



## Notice of meeting of

### Executive

<b>To:</b>	Councillors Steve Galloway (Chair), Aspden, Sue Galloway, Jamieson-Ball, Reid, Runciman, Sunderland, Vassie and Waller
<b>Date:</b>	Tuesday, 20 November 2007
<b>Time:</b>	2.00 pm
<b>Venue:</b>	The Guildhall, York

### AGENDA

#### Notice to Members - Calling In:

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

**10:00 am on Monday 19 November**, if an item is called in *before* a decision is taken, *or*

**4:00 pm on Thursday 22 November**, if an item is called in *after* a decision has been taken.

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

#### 1. **Declarations of Interest**

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

## **2. Exclusion of Press and Public**

To consider the exclusion of the press and public from the meeting during consideration of the following:

- Annex 2 to Agenda Item 8 (York Racecourse – Application for Lease Extension and Amendments)
- Annex A to Agenda Item 9 (Review and Strategy for the Commercial Property Portfolio)

on the grounds that they contain information relating to the financial or business affairs of particular persons. This information is classed as exempt under paragraph 3 of Schedule 12A to Section 100A of the Local Government Act 1972 (as revised by The Local Government (Access to Information) (Variation) Order 2006).

## **3. Minutes (Pages 3 - 8)**

To approve and sign the minutes of the re-convened Executive meeting held on 30 October 2007 and the Executive meeting held on 6 November 2007.

## **4. Public Participation**

At this point in the meeting, members of the public who registered their wish to speak regarding an item on the agenda or an issue within the Executive's remit can do so. The deadline for registering is **5:00 pm on Monday 19 November 2007**.

## **5. Executive Forward Plan (Pages 9 - 12)**

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

## **6. IT Development Plan 2008-09 (Pages 13 - 64)**

This report sets out areas for investment in IT that have been identified and put forward by Directors and asks Members to review these proposals and decide which ones they wish to fund.

## **7. Comprehensive Performance Assessment Inspection - Self Assessment (Pages 65 - 106)**

This report seeks endorsement for the Council's draft self assessment, to be submitted to the Audit Commission on the 10th December 2007, in preparation for the corporate inspection in January 2008.

**8. York Racecourse – Application For Lease Extension And Amendments** (Pages 107 - 120)

This report asks Members to consider a request from the Race Committee to extend the lease of York Racecourse to 99 years from 2008, to include permanent rights to retain the 'Ascot Bend' and to make other changes to update the lease.

**9. Review & Strategy for the Commercial Property Portfolio** (Pages 121 - 200)

This report identifies the properties making up the Council's Commercial Property Portfolio, examines the background to current ownership, establishes criteria for holding these premises in the future and audits performance for the period 2000 to 2005.

**10. Urgent Business**

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

Democracy Officer:

Name: Fiona Young

Contact details:

- Telephone – (01904) 551027
- E-mail – [Fiona.young@york.gov.uk](mailto:Fiona.young@york.gov.uk)

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

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

Contact details are set out above.

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

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### **Holding the Executive to Account**

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

### **Scrutiny Committees**

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

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

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City of York Council

Committee Minutes

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MEETING	EXECUTIVE (RE-CONVENED)
DATE	30 OCTOBER 2007
PRESENT	COUNCILLORS STEVE GALLOWAY (CHAIR), JAMIESON-BALL, ASPDEN, SUE GALLOWAY, REID, WALLER, RUNCIMAN, SUNDERLAND AND VASSIE

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**89. DECLARATIONS OF INTEREST**

Members were invited to declare at this point in the meeting any personal or prejudicial interests they might have in the business on the agenda. Cllr Waller declared a personal, non-prejudicial interest in agenda item 3 (Referred Item: Review of the Leisure Facilities Strategy (Swimming)), as a governor of York High School.

**90. REFERRED ITEM: REVIEW OF THE LEISURE FACILITIES STRATEGY (SWIMMING)**

Members considered a report which set out the background to development of the Council's leisure facilities strategy, an update on schemes already approved, strategic issues and choices now facing the Council and options available for an updated facilities strategy, specifically in relation to swimming.

This item had originally been considered by the Executive at their meeting on 23 October 2007 and had subsequently been referred to the Strategic Policy Panel (SPP) by Cllr David Scott, Leader of the Labour Group. At their meeting on 29 October 2007, the SPP had agreed:

*"That the Executive be recommended to re-convene to consider their decision in the light of the opinions expressed by Members of the SPP."*

On consideration of the advice offered by the SPP, Members reviewed their original decision and it was

RESOLVED: (i) That Option C in the report be agreed; that is, to reconfirm the Council's commitment to the partnership with the University and also to plan for an additional City Centre pool to meet further identified needs, subject to detailed agreement on the terms of the Council's contribution, and in particular:

- a) the University / Council partnership adopting a project plan which will deliver the pool for public use before the end of 2011;
- b) satisfactory arrangements being agreed regarding the location of, public opening hours and access arrangements for, the pool;

- c) agreement on arrangements for residents wishing to use the facility which must meet the Council's requirements, including a pricing structure which must be commensurate with other Council owned pools (e.g. provide a discount for York Card holders and recognise the special requirements of families, disabled groups etc.);
- d) full details of the operating costs of the facility, and any Council liability relating to such costs, to be agreed in principle before contracts are signed and any capital payment made.

(ii) That the provision of a "Community" pool in the City Centre area will remain an ambition of the Council, and that Council Officers will actively seek partners to provide such a facility. Progress reports will be made to Group Leaders' meetings at not less than 6 monthly intervals.

(iii) That the respective schemes within the capital programme be revised to take account of:

- a) allocating the pools programme contingency budget as set out in paragraph 77 of the report;
- b) the additional prudential borrowing set out in paragraph 78;
- c) allocating the overall procurement budget as set out in paragraph 75.

REASON: So that a clear and agreed strategy can be taken forward, with immediate progress, to create excellent swimming facilities in York and options developed for a further pool, taking into account the views on this matter expressed by members of the Strategic Policy Panel.

S F Galloway, Chair

[The meeting started at 2.00 pm and finished at 2.10 pm].



MEETING

EXECUTIVE

DATE

6 NOVEMBER 2007

PRESENT

COUNCILLORS STEVE GALLOWAY (CHAIR),  
ASPDEN, SUE GALLOWAY, JAMIESON-BALL,  
REID, RUNCIMAN, SUNDERLAND, VASSIE AND  
WALLER

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**PART A - MATTERS DEALT WITH UNDER DELEGATED POWERS****91. Declarations of Interest**

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

Cllrs Reid, Sue Galloway and Jamieson-Ball each declared a personal and prejudicial interest in agenda item 7 (Selection of a Preferred Discus Bungalows Re-Development Partner) and withdrew from the meeting during consideration of this item, as members of the Planning Committee that would subsequently deal with the planning application in relation to the re-development.

**92. Exclusion of Press and Public**

RESOLVED: That the press and public be excluded from the meeting during consideration of Annexes 1, 2 and 4 to Agenda Item 7 (Selection of a Preferred Discus Bungalows Re-development Partner), on the grounds that they contain information relating to the financial or business affairs of particular persons, which is classed as exempt under paragraph 3 of Schedule 12A to Section 100A of the Local Government Act 1972 (as revised by The Local Government (Access to Information) (Variation) Order 2006).

**93. Minutes**

RESOLVED: That the minutes of the Executive meeting held on 23 October 2007 be approved and signed by the Chair as a correct record.

**94. Public Participation**

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

**95. Executive Forward Plan**

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

**96. Selection of a Preferred Discus Bungalows Re-development Partner**

Members considered a report which detailed the tenders received from organisations interested in being selected as the Council's preferred development partner for the Discus Re-development Project.

A total of eleven tender submissions had been received, and evaluated in accordance with the selection criteria agreed by the Discus Project Board at their meeting on 11 June 2007. The Board had then met on 25 September to discuss the four highest scoring bids and had agreed to invite the following three tenders to the presentation stage of the evaluation:

- Tees Valley Group / York Housing Association / Southdale Homes
- Hanover Housing Association / Accent Group / Keepmoat PLC
- Miller / Yorkshire Housing

At the presentation stage, these bids had been evaluated against an additional six criteria. Details of the resulting scores were set out in Exempt Annex 1 to the report. On the basis of these scores, the Board had selected Tees Valley / York Housing Association / Southdale Homes as their recommended preferred partner.

The report outlined the following options for Members' consideration:

**Option 1** – Accept the Project Board's recommendation and sell the land to Tees Valley / York Housing Association / Southdale Homes, subject to certain conditions being satisfied. This was the recommended option.

**Option 2** – Reject the Board's recommendations and approve one of the other tenders. This would affect the capital receipt of the land sale and the type of re-housing provided.

**Option 3** – Reject all the tenders and begin a new procurement process. This would result in the development being delayed pending the re-tendering process and could lead to loss of Housing Corporation funding.

In commending the recommendations to Members, the Executive Member for Housing Services thanked all the Officers, residents and Project Board members involved for their hard work in reaching this stage of the project.

RESOLVED: (i) That the contents of the report, and the progress of the Discus re-development project to date, through the work of the Project Board that has agreed the selection process, be noted.

REASON: In accordance with the requirement to keep Members informed on the progress of major projects.

(ii) That Option 1 be approved; that is, to select the partnership of Tees Valley Housing Group, York Housing Association and Southdale Homes Ltd. as the provisional preferred development partner to purchase and develop the

three Discus sites, subject to the receipt of satisfactory planning consent, ground investigation surveys, the award of a Social Housing Grant and resolution of issues brought up as part of the evaluation, providing this does not affect the capital receipt to a point where it will affect the order of the evaluation scores.

REASON: This developer scored the highest marks in the selection process.

(iii) That authority be delegated to the Director of Housing and Adult Social Services, in consultation with the Project Board, to agree a Heads of Terms and Conditional Development Agreement with the preferred development partner, to include the Discus Housing Objectives, subject to the Project Board's confirmation of the agreements and prior consultation with the Executive Member, the Corporate Landlord and the Chief Finance Officer, in the event that the agreement may result in any reduction of the capital receipt.

REASON: To secure an agreement with the Discus development partner that achieves all the outcomes agreed through consultation with stakeholders and interested parties.

**97. Reference Report: National Service Planning Requirements for Environmental Health and Trading Standards Services**

Members considered a report which presented a recommendation, referred to the Executive by the Executive Member for Neighbourhood Services, to approve the Council's environmental health and trading standards service plans.

The service plans had been considered by the Executive Member and Advisory Panel (EMAP) at a meeting on 17 October 2007. The Executive Member, on the advice of the Advisory Panel, had resolved to agree the plans and refer them to the Executive for approval. The plans, together with the report to EMAP, were attached as Annex A to the Executive report.

RESOLVED: That the recommendations of the Executive Member be endorsed and the service plans approved.

REASON: In line with Constitutional requirements and to comply with government guidance stating that these plans should be submitted to the appropriate Member forum for approval.

**PART B - MATTERS REFERRED TO COUNCIL**

**98. City of York Local Development Framework – Adoption of the Statement of Community Involvement**

Members considered a report which presented the findings of the inspection of York's Statement of Community Involvement (SCI), and asked them to recommend the amended SCI to full Council for formal adoption.

Following submission of York's draft SCI to the Secretary of State, an Inspector had been appointed to carry out an independent examination of the SCI. The Inspector had judged the SCI to be sound but had recommended a number of minor amendments, details of which were set out in the Inspector's Report attached as Annex A. The Inspector had also recommended that changes put forward in response to comments received during the submission consultation be implemented. All of the recommended changes had now been made to the SCI and the final document was attached as Annex B.

The Inspector's Report was binding on the Council, so there was no option to make any further amendments to the SCI at Annex B. The options available were either to adopt the SCI as recommended by the Inspector or to ask Officers to prepare a different SCI. The latter was not recommended, as it would take approximately three years in view of the consultation stages required and would have considerable resource implications.

Members expressed their thanks to Officers for their hard work in progressing the SCI document to completion.

**RECOMMENDED:** That Council adopt the Statement of Community Involvement, attached as Annex B to the Executive report, as part of York's Local Development Framework (LDF).

**REASON:** To comply with section 18(1) of the Planning and Compulsory Purchase Act 2004, and so that the standards set out in the Statement can inform future community involvement in the LDF and in making decisions on planning applications.

S F Galloway, Chair

[The meeting started at 2.00 pm and finished at 2.20 pm].

Executive Meeting 20 November 2007

EXECUTIVE FORWARD PLAN

<b>Table 1: Items scheduled on the Forward Plan for the Executive Meeting on 4 December 2007</b>		
<b>Title &amp; Description</b>	<b>Author</b>	<b>Portfolio Holder</b>
<p><b>Minutes of Social Inclusion Working Group &amp; Young People’s Working Group</b></p> <p><i>Members are asked to note the minutes of the meetings of the Social Inclusion Working Group and the Young People’s Working Group and consider any recommendations in the minutes.</i></p>	Fiona Young	Executive Leader
<p><b>Review Report – Housing (affordable and social)</b></p> <p><i>Review report will look at the availability of affordable and social housing and the effectiveness of the 50% affordability planning rule.</i></p>	Bill Woolley	Executive Leader
<p><b>Lord Mayoralty 2008-09</b></p> <p><i>Purpose of report: To consider which of the political groups should be invited to appoint the Lord Mayor for the municipal year 2007/08.</i></p> <p><i>Members are asked to: Invite the political group with the most points to nominate the Lord Mayor for the municipal year 2008/09.</i></p>	Elizabeth Ellis	Executive Leader
<p><b>Energy &amp; Water Management – Policy &amp; Practice/ Sustainability in Design</b></p> <p><i>As a response to the climate change agenda, Members will be informed of best practice and will be asked to approve a draft policy which will generate an action plan to prioritise energy and water management issues and sustainability in design projects and work with external partners.</i></p>	Neil Hindhaugh	Executive Member for Corporate Services

<p><b>Reducing the Maintenance Backlog</b></p> <p><i>Members are asked to consider the finance and performance implications of requirements under CPA/CAA and determine where CYC is to position itself. They are also asked to approve options for inclusion in a strategy.</i></p>	Neil Hindhaugh	Executive Member for Corporate Services
<p><b>Chief Officer Search and Selection Contract</b></p> <p><i>To decide to whom the Chief Officer Search and Selection contract should be awarded.</i></p>	Stephen Forrest	Executive Leader
<p><b>Report of the Future York Group</b></p> <p><i>Purpose of report: To brief the Executive on consultation undertaken following receipt of the Future York Group and makes recommendations for the Council, working in partnership with others, to adopt in response to the report.</i></p> <p><i>Members are asked to: Agree actions set out.</i></p>	Roger Ranson	Executive Leader

<b>Table 2: Items scheduled on the Forward Plan for the Executive Meeting on 18 December 2007</b>		
<b>Title &amp; Description</b>	<b>Author</b>	<b>Portfolio Holder</b>
<p><b>Minutes of Local Development Framework Working Group &amp; Economic Development Partnership Board</b></p> <p><i>Members are asked to note the minutes of the meetings of the Local Development Framework Working Group and the Economic Development Partnership Board and consider any recommendations in the minutes.</i></p>	Fiona Young	Executive Leader
<p><b>Future of City Archives Service</b></p> <p><i>Purpose of the report: The report will update members on options for future development of the City Archive service over the next 20 years.</i></p>	Charlie Croft	Executive Member for Leisure & Culture

<p><i>Members are asked to: Consider options that they wish to see further developed.</i></p>		
<p><b>Review Report – Finding a consensus on the way forward for the city (Part 2)</b></p> <p><i>Review report will look at development of devolved decision making arrangements for local communities and capacity building for the voluntary sector.</i></p>	Heather Rice	Executive Leader
<p><b>Thin Client Management Arrangements</b></p> <p><i>A review of the Client &amp; Contractor roles within the Council – this report seeks to rationalise and streamline them.</i></p>	Simon Wiles	Executive Member for Corporate Services

<b>Table 3: Items slipped on the Forward Plan with the agreement of the Group Leaders</b>					
<b>Title &amp; Description</b>	<b>Author</b>	<b>Portfolio Holder</b>	<b>Original Date</b>	<b>Revised Date</b>	<b>Reason for Slippage</b>
<p><b>Report of the Future York Group</b></p> <p><i>Purpose of report: To brief the Executive on consultation undertaken following receipt of the Future York Group and makes recommendations for the Council, working in partnership with others, to adopt in response to the report.</i></p> <p><i>Members are asked to: Agree actions set out.</i></p>	Roger Ranson	Executive Leader	20 November 2007	4 December 2007 (as indicated in Table 1 above)	At the request of Cllr Scott, to allow further time for consideration by the Group Leaders.
<b>Administrative Accommodation</b>	Maria Wood	Executive Member for Corporate	4 December 2007	29 January 2008	At the request of the Project Board

**Review: End of Stage Update Report**

*To advise Members of completion of Stage 3 of the Administrative Accommodation Review (Finance, Timeframes, Risk & Performance of Work Streams) and identify objectives for Stage 4.*

Services





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**Executive****20 November 2007**

Report of the Acting Director of Resources

## **Corporate Information Technology Development Plan 2008/09**

### **Summary**

1. The annual Corporate Information Technology Development Plan (ITDP) sets out areas for investment in IT that have been identified and put forward by Directors. Members are asked to review these proposals and decide which ones they wish to fund.

### **Background**

2. All of the bids have been through a 3 stage, rigorous appraisal process that has been undertaken at departmental, directorate and corporate levels. This approach assesses the bids against both corporate and directorate strategies and reviews risk using a matrix developed with collaboration from colleagues in Audit and Risk Management. This provides a comparative assessment of the bids. The Corporate IT Strategy Group (CITSG) has evaluated the bids and they are presented in priority order in Annex A for Members consideration.
3. A summary of each bid providing a breakdown of costs has been identified in Annex B.
4. At the first review session undertaken by CITSG, 17 bids totalling £1,118,780 were rejected because they would not deliver priority improvements for the Council and one of the bids being put forward for your approval had its guide capital bid reduced by £100,000. A summary of the bids rejected by CITSG can be found in Annex C.

### **IT Strategy**

5. The current IT Strategy covers the period 2002-2007. This is currently being revised and Members have agreed 5 Strategic Objectives which are in the process of being worked up into a full IT Strategy for 2007-2012 for presentation to Members in the New Year.
6. The themes of the draft IT Strategy are -
  1. Use technology to make the Council a sustainable organisation.

2. Develop our IT infrastructure to deliver unified communications that will enable staff to work effectively wherever they are.
  3. Use technology to deliver effective and efficient services that meet customer needs.
  4. Use technology to forge stronger working relationships with our partners, to enable the sharing of information and improve joint service planning commissioning and delivery.
  5. Use technology to empower communities, reach socially excluded groups, encourage economic development in the city and develop the IT skills of the residents of York.
7. The development of a programme of work to deliver the corporate strategy will lead to detailed project plans, some of which will include IT development projects and some of which will need IT input. The agreement of these projects in terms of the allocation of funding and resource still needs to be managed through the IT Development Plan mechanism. The strategy will strongly influence future IT development but there will remain a need to allocate resource to the replacement and support of IT systems that underpin service delivery.
8. The new IT strategy will strike a balance between delivering the corporate strategy whilst providing adequate investment and ongoing support to the base operation of the Council.

### Themes of this IT Development Plan

9. Broadly speaking, the bids received for consideration cover the following themes. These themes are all consistent with elements of the new Council Corporate strategy and themes of the draft corporate ITT Strategy and are mapped against them.

Theme	Efficiency	
<b>IT Bids</b>	08LCCS01	Linking the ICS and the Pupil Database
	08LCCS02	Children's Centres Database
	08LCCS03	Extension of Integrated pupil database
	08LCCS04	ILR Data for Adult & Community Education
	08LCCS05	RAISE on going development
	08LCCS07	New Finance System for Schools and the LA
	08LCCS08	Primary School Management Information System
	08CEX01	Review of QPR
	08CSTR02	EXOR Business Appraisal
	08HASS02	Adult Social Services Mobile Working
	08COR07	Corporate use of LLPG
	08COR04	GIS Strategy and Implementation
	08LCCS06	Integrated Transport Database
	08RES01	FMS Interfaces, Integration and BPR
08RES02	HR/Payroll Business Appraisal/Replacement	
08COR10	Magique Licensing	
08COR11	Governance system	
<b>Direction</b>	Our ambition is to be clear about what we will do to meet the needs	

<b>Statement</b>	of our communities, and then to deliver the best quality services that we can afford	
<b>Value</b>	Encouraging improvement in everything we do	
<b>Improvement Priority</b>	Improve the life chances of the most disadvantaged and disaffected children, young people and families in the city	
<b>Imperative</b>	FMS Replacement	
<b>IT Strategy</b>	Use technology to deliver effective and efficient services that meet customer needs.	
<b>Theme</b>	<b>Customer Service Improvements</b>	
<b>IT Bids</b>	08HASS01 08CSTR03 08CSTR01 08COR03	Electronic Monitoring for Home care Car Parks Management Information System Register of Building Control Information Government Connect
<b>Direction Statement</b>	Our ambition is to be clear about what we will do to meet the needs of our communities, and then to deliver the best quality services that	
<b>Value</b>	Delivering what our customers want	
<b>IT Strategy</b>	Use technology to deliver effective and efficient services that meet customer needs.	
<b>Theme</b>	<b>Stable and secure ITT Infrastructure</b>	
<b>IT Bids</b>	08COR02 08COR08 08COR06 08COR09 08COR01	Expansion of Corporate Data Storage Upgrade of Proxy Servers Citrix Upgrade (Informational only) Upgrade to MS Exchange 2007 (Information only) Desktop Equipment Review
<b>Direction Statement</b>	Reduce the environmental impact of council activities and encourage, empower and promote others to do the same	
<b>Imperative</b>	Administrative Accommodation Review	
<b>IT Strategy</b>	Use technology to deliver effective and efficient services that meet customer needs  Use technology to make CYC a sustainable organisation	

## Financial Implications

10. It is now Council practice to finance IT Development Plan expenditure by borrowing over a five- year period. Budget sums allocated to the plan are revenue and not capital as is often assumed. The columns in **Annex A** show: -

- **Guide Capital** – This is the gross expenditure for each bid, what the project would cost if it were funded from capital. This is not the budget allocated to the project.
- **Total Cost over 5 years** – What the project will finally cost over the five-year repayment period, including loan repayments and maintenance costs.
- **Annual Ongoing Cost** – the revenue sum paid each year in loan payments and maintenance. This is the actual budget that will be allocated to the project and included in recharges in future years.
- **First Year Costs** – a proportion of the Annual revenue costs that will be incurred in the first year, based on an estimate of when the project will be implemented within the year. This is often difficult to predict. The column P/Y indicates the proportion of the year expected to be covered by the part year effect.

## Budget provision in 2008/9

11. Not all IT Development Plan costs fall on the General Fund. Where applicable expenditure has been allocated to the General Fund and the other ring-fenced funds Commercial Services (CS) and Housing Revenue Account (HRA). Where a corporate project affects all funds, costs have generally been split on the basis of the number of PC's in each area. This has been applied to all the corporate projects in this round of bids.

**General Fund** - Within the 2008/09 projected revenue budgets, provision has been made for up to £500,000 to fund the IT Development Plan. The full-year effects of the 2007/8 IT Development Plan and a top slice to fund easy@york have already been committed. The table below shows the overall position.

**Neighbourhood Services – Commercial Services** are allocating funds to meet their share of corporate projects.

**Housing Revenue Account (HRA)** - Housing Revenue Account has allocated funds to meet their share of corporate projects.

2008/9	General Fund	HRA	Neigh. Services	Total
Allocation for 2008/9	£500,000	£3,529	£3,529	£507,058
Committed 2007/8 Full year	£92,481	0	0	£92,481
Top Sliced for Easy@york phase 1	£50,000	0	0	£50,000
Available Funding for 08/09 Part Year	£357,519	£3,529	£3,529	£364,577

12. As the Council continues to face significant budget pressures this year, the CITSG have therefore applied strict prioritisation so that only essential bids are recommended for funding.

### Consultation

The bids have been put forward by Directorates and have subsequently been reviewed by CITSG.

### Options

13. Members have three options to consider and these are:

**Option 1** - To fund all bids recommended by the CITSG, in Annex A all bids above the dotted line. This would mean spending £44,908 less than has been allocated from the General Fund for 2008/9, with a total commitment of:

<b>Option 1</b>	<b>General Fund</b>	<b>HRA</b>	<b>Neigh. Services</b>	<b>Total</b>
Available funding for 2008/9	£357,519	£3529	£3529	£364,577
Recommended Bids Part year 2008/9	£312,611	£3,529	£3,529	<b>£319,669</b>
Unspent Balance	£44,908	0	0	<b>£44,908</b>
Commitment for 2009/10	£180,184	0	0	£180,184

**Option 2** – To fund more bids than recommended by the CITSG, selecting additional proposals from below the dotted line. All of the bids could be funded from the General Fund allocation, however more funding would be required from HRA and Neighbourhood Services. This would mean spending £38,354 less than has been allocated from the General Fund for 2008/9, with a total commitment of:

<b>Option 2</b>	<b>General Fund</b>	<b>HRA</b>	<b>Neigh. Services</b>	<b>Total</b>
Available funding for 2008/9	£357,519	£3,814	£3,814	£365,147
Recommended Bids Part year 2008/9	£319,165	£3,814	£3,814	<b>£326,793</b>
Unspent Balance	£38,354	0	0	<b>£38,354</b>
Commitment for 2009/10	£180,204	0	0	£180,204

The additional bids that would be funded are:

- **08COR11 Governance Standards** - A proposed pilot scheme that would include the procurement of a new system that if proved successful, could be expanded to support the governance and compliance needs of the Council. The system would enable us to disseminate Health & Safety legislative changes and guidance to all appropriate staff. This would both reduce the risk of H&S incidents and ensure that the Council can provide robust audit trails of good management practice, clear guidance and preventative measures which would protect the Council in any investigations in future.

This would directly help to prevent H&S incidents and prevent reputation damage and reduce the financial cost of defending claims. The Officer Governance Group see this pilot as key to managing future Health and Safety risks.

- **08CSTR04 Uniform Planning and Building Control** - A time only bid to review the existing use of the Planning and Building Control System. This is not recommended as significant investment has recently been made in this system and it is unlikely that there will be a robust business case to replace the system.

**Option 3** - To fund fewer bids than recommended by the CITSG, selecting which bids above the dotted line they do not wish to fund. This would mean spending £76,041 less than has been allocated for 2008/9, with a total commitment of:

<b>Option 3</b>	<b>General Fund</b>	<b>HRA</b>	<b>Neigh. Services</b>	<b>Total</b>
Available funding for 2008/9	£357,519	£3,407	£3,407	£364,333
Recommended Bids Part year 2008/9	£281,478	£3,407	£3,407	<b>£288,292</b>
Unspent Balance	£76,041	0	0	<b>£76,041</b>
Commitment for 2009/10	£163,582	0	0	£163,582

The bids that would not be funded if this option were taken are:

- **08CEX01 Review of QPR** - A system upgrade review of the existing Corporate Performance management system following a review to confirm that it meets the organisational requirements
- **08CEX01 Corporate use of LLPG** - A time only bid to establish the Council's Local Land and Property Gazetteer (LLPG) as the Corporate Property Dataset and produce a standard approach for its integration into existing and future systems to provide an accurate and consistent view of property data for both external and internal use.
- **08HASS01 Electronic Monitoring for Home care** - The procurement of a Home Care Monitoring System to support the increasing demands for the Council to provide a high-quality home care service.
- **08CSTR03 Car Parks Management Information System** - A time only bid to review the Council's Car Parking Management information system requirements that will include a review of the alternative methods to pay for parking and increase customer satisfaction.
- **08COR10 Magique Licensing** - A bid to purchase 75 additional user licences for the Corporate Risk Management system to be distributed throughout the organisation to those with risk management responsibility to support their day-to-day operations and service planning activities.

## Spending Pressures in Future Years

14. The financial commitments recommended in this report are less than has been set aside to fund the IT Development Plan in 2008/9. However, in the next two years we will see a significant increase in the pressures to spend on IT. To help future planning, the report contains two informative bids that highlight the likely demand on financial and staff resources for 2009/10 and 2010/11.
15. By 2010 it will be 10 years since we upgraded the Council's Citrix and Desktop and Email systems. The implementation of Citrix in 2000, to deploy these systems from a central server farm has meant that we have not had to incur the massive expense or disruption of upgrading hardware, operating systems and Microsoft Office versions every few years. However by 2010 it is likely that we will be experiencing difficulties with unsupported software and sharing documents created in more recent version of MS Office.
16. These are significant bids and are very costly. The potential of phasing these bids will form part of the appraisal and impact assessment process prior to them being finalised for the 2009/10 ITT Development Plan. A fourth major infrastructure project for 2009/10 is the provision of a new and flexible network for Hungate but it is projected that this will be funded from a future procurement exercise making optimum use out of existing revenue streams to fund the technology refresh.
17. If we continue investing in IT at the current level (£500,000 pa), then in 2009/10 it is likely that there will be very little available investment. It is unlikely that the strategic and service pressures that drive some investment decisions will not be experienced next year and therefore Members will need to consider temporarily increasing the level of IT investment next year to ensure that we can continue to use IT to deliver the corporate strategy and respond to essential organisational pressures. It is recommended that provision be made in the Medium Term Financial Strategy for increased spend on the IT Development Plan in 2009/10 to accommodate this exceptional spend.

<b>Future Bid – Description</b>	<b>Guide Capital</b>	<b>2009/10 Ongoing</b>
Pre commitment from 2008/9	0	£180,184
Citrix/desktop Operating System/Microsoft Office Upgrade	£970,785	£242,946
Email System Upgrade	£174,028	£63,903
<b>Total</b>	<b>£1,144,813</b>	<b>£487,033</b>

## Implications

- 18.
- **Financial** identified in report. Consulted with Sarah kirby, Debbie Mitchell, Nigel Oates and Peter Steed.

- **Human Resources (HR) , Equalities , Legal, Crime and Disorder Property**  
- None
- **Information Technology (IT)** IT implications are set out in the report
- **Risk Management** All bids have been assessed on their risk rating and are presented in priority order to Members for decision

### Recommendations

19. That Members select Option 2 outlined in Para 13.

Reason for Recommendation - in order to allocate 2008/9 IT Development Plan funding to priority projects to support the delivery of our corporate priorities

20. That provision is made in the Medium Term Financial Strategy for increased spend on the IT Development Plan in 2009/10. A suggested level would be £750k rather than £500k normally set aside. This would allow for a consistent level of investment as well as funding the projected exceptional spend.

Reason for Recommendation - in order to ensure that sufficient resources are identified for future years IT Development within the Council forward plan.

### Contact Details

#### Author:

*Author's name: Roy Grant  
Title: Head of ITT Operational Services  
Dept Name: Resources  
Tel No: 01904 551966*

#### Chief Officer Responsible for the report:

*Chief Officer's name Tracey Carter  
Title Acting Director of Resources*

**Report Approved**  **Date** 6<sup>th</sup> Nov 07

*Co-Author's name: Stephen Sangster  
Title Development Team Manager  
Dept Name Resources  
Tel No: 01904 552976*

*Chief Officer's name: Roy Grant  
Title: Head of ITT Operational Services*

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

**All**

**For further information please contact the author of the report**

### Background Papers:

Annex A - List of bids in priority order with associated financial impacts.

Annex B - Summary of bids in alphabetical order with guidance notes.

Annex C - Summary of initial bids that were not put forward following an early assessment by the CITSG.



## Corporate IT Development Plan for 2008/09

### Annex A - List of bids in priority order with associated financial impacts

New Bids Submitted for 2008/09																						
Ref.	Description	Scheme Type	Risk Score	IT Wks	Avg. P/Y	Guide Capital	Contingency	Total 5yr Cost	Annual Ongoing Cost (£)				First Year Costs (£)				Cumulative Costs (£)					
									Total	GF	HRA	NS	Total	GF	HRA	NS	Cum IT Weeks	All Funds Annual Ongoing	Annual On-going eGov	Gen Fund Ongoing	All Funds First Year	Fst Yr G Fund
<b>Recommended Projects</b>																						
08CSTR01	Register of Building Control Information	BA & Procurement	68	5.0	100%	47,300	4,300	100,706	20,141	20,141	0	0	20,141	20,141	0	0	5.0	20,141	0	20,141	20,141	20,141
08LCCS04	ILR Data for Adult & Community Education	Upgrade	66	4.0	100%	8,775	1,200	10,706	2,141	2,141	0	0	2,141	2,141	0	0	9.0	22,282	0	22,282	22,282	22,282
08LCCS05	RAISE on going development	Development	64	4.0	100%	31,000	0	37,820	7,564	7,564	0	0	7,564	7,564	0	0	13.0	29,846	0	29,846	29,846	29,846
08RES01	FMS Interfaces, Integration and BPR	Extension	62	11.0	100%	200,000	30,000	369,200	73,800	73,800	0	0	74,000	74,000	0	0	24.0	103,646	0	103,646	103,846	103,846
08LCCS07	New Finance System for Schools and the LA	BA	61	4.0	100%	0	0	0	0	0	0	0	0	0	0	0	28.0	103,646	0	103,646	103,846	103,846
08COR01	Desktop Equipment Review	BA	58	14.0	100%	0	0	0	0	0	0	0	0	0	0	0	42.0	103,646	0	103,646	103,846	103,846
08COR03	Government Connect	New System	58	4.0	100%	17,000	5,000	146,740	29,348	27,000	1,174	1,174	29,348	27,000	1,174	1,174	46.0	132,994	0	130,646	133,194	130,846
08CSTR02	EXOR Business Appraisal	BA	54	8.0	100%	0	0	0	0	0	0	0	0	0	0	0	54.0	132,994	0	130,646	133,194	130,846
08LCCS02	Children's Centres Database	New System	53	5.5	100%	43,500	2,500	53,070	10,614	10,614	0	0	10,614	10,614	0	0	59.5	143,608	0	141,260	143,808	141,460
08COR08	Upgrade of Proxy Servers	Upgrade	52	2.0	100%	27,000	0	37,940	7,588	6,981	304	304	7,588	6,981	304	304	61.5	151,196	0	148,241	151,396	148,441
08COR02	Expansion of Corporate Data Storage	Extension	50	1.5	100%	71,000	0	105,620	21,124	19,434	845	845	21,124	19,434	845	845	63.0	172,320	0	167,676	172,520	167,876
08COR04	GIS Strategy and Implementation	Extension	49	4.5	100%	66,000	1,000	124,520	27,104	24,936	1,084	1,084	16,104	13,936	1,084	1,084	67.5	199,424	0	192,611	188,624	181,811
08LCCS01	Linking the ICS and the Pupil Database	Development	44	4.0	100%	35,000	0	65,200	13,040	13,040	0	0	13,040	13,040	0	0	71.5	212,464	0	205,651	201,664	194,851
08LCCS08	Replacement of Primary School Management Info System	BA	44	5.5	100%	0	0	0	0	0	0	0	0	0	0	0	77.0	212,464	0	205,651	201,664	194,851
08HASS02	Adult Social Services Mobile Working	New System	43	8.0	100%	80,000	0	97,600	19,520	19,520	0	0	19,520	19,520	0	0	85.0	231,984	0	225,171	221,184	214,371
08LCCS03	Extension of Integrated pupil database	Development	43	3.5	100%	56,700	5,000	114,174	22,835	22,835	0	0	22,835	22,835	0	0	88.5	254,819	0	248,006	244,019	237,206
08LCCS06	Integrated Transport Database	Extension	41	5.0	100%	10,100	3,000	19,822	3,964	3,964	0	0	3,964	3,964	0	0	93.5	258,784	0	251,970	247,984	241,170
08RES02	HR/Payroll Business Appraisal/Replacement	Procurement	41	21.0	38%	515,400	45,000	812,666	193,090	193,090	0	0	40,308	40,308	0	0	114.5	451,873	0	445,060	288,291	281,478
08CEX01	Review of QPR	Procurement	41	10.5	100%	30,000	0	86,100	18,320	18,320	0	0	12,820	12,820	0	0	125.0	470,193	0	463,380	301,111	294,298
08COR07	Corporate use of LLPG	BA	40	5.0	100%	0	0	0	0	0	0	0	0	0	0	0	130.0	470,193	0	463,380	301,111	294,298
08HASS01	Electronic Monitoring for Home care	New System	35	5.5	63%	109,000	8,000	121,878	26,596	26,596	0	0	15,494	15,494	0	0	135.5	496,789	0	489,976	316,605	309,792
08CSTR03	Car Parks Management Information System	BA	32	7.0	100%	0	0	0	0	0	0	0	0	0	0	0	142.5	496,789	0	489,976	316,605	309,792
08COR10	Magique Licensing	Extension	27	1.5	100%	6,000	0	15,320	3,064	2,819	123	123	3,064	2,819	123	123	144.0	499,853	0	492,795	319,669	312,611
<b>Total Recommended Spend</b>				<b>144</b>		<b>1,353,775</b>	<b>105,000</b>	<b>2,319,082</b>	<b>499,853</b>	<b>492,795</b>	<b>3,529</b>	<b>3,529</b>	<b>319,669</b>	<b>312,611</b>	<b>3,529</b>	<b>3,529</b>						
<b>Projects Not Recommended by CITSG</b>																						
08COR11	Governance Standards	New System	25	8.5	100%	21,000	3,000	35,620	7,124	6,554	285	285	7,124	6,554	285	285	152.5	506,977	0	499,349	326,793	319,165
08CSTR04	Uniform Planning & Building Control	BA	21	6.0	100%	0	0	0	0	0	0	0	0	0	0	0	158.5	506,977	0	499,349	326,793	319,165
<b>Totals for all Bids</b>				<b>159</b>		<b>1,374,775</b>	<b>108,000</b>	<b>2,354,702</b>	<b>506,977</b>	<b>499,349</b>	<b>3,814</b>	<b>3,814</b>	<b>326,793</b>	<b>319,165</b>	<b>3,814</b>	<b>3,814</b>						

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# **CORPORATE IT DEVELOPMENT PLAN**

**2008/2009**

**ANNEX B**

Summaries Of All The Bids

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## Council Corporate Strategy Elements & IT Strategy Themes

### Corporate Imperatives

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C11	Pay & Grading
C12	School Modernisation Strategy
C13	York Stadium
C14	Administrative Accommodation Review
C15	Local Development Framework
C16	FMS Replacement
C17	Respond effectively to the needs of the city's changing population

### Corporate Priorities for Improvement

PI1	Decrease the tonnage of biodegradable waste and recyclable products going to landfill
PI2	Increase the use of public and other environmentally friendly modes of transport
PI3	Improve the actual and perceived condition and appearance of city's streets, housing estates and publicly accessible spaces
PI4	Reduce the actual and perceived impact of violent, aggressive and nuisance behaviour on people in York
PI5	Increase people's skills and knowledge to improve future employment prospects
PI6	Improve the health and lifestyles of the people who live in York, in particular among groups whose levels of health are the poorest
PI7	Improve the life chances of the most disadvantaged and disaffected children, young people and families in the city
PI8	Improve the quality and availability of decent affordable homes in the city
PI9	Improve the economic prosperity of the people of York with a focus on minimising income differentials
PI10	Reduce the environmental impact of council activities and encourage, empower and promote others to do the same

### Corporate Vision

#### Direction Statements

DS1	We want services to be provided by whoever can best meet the needs of our customers
DS2	Our ambition is to be clear about what we will do to meet the needs of our communities, and then to deliver the best quality services that we can afford
DS3	The Council will provide strong leadership for the city using partnerships to shape and deliver the Community Strategy for the City
DS4	We will listen to communities and ensure that people have a greater say in deciding local priorities
DS5	We will seek to place environmental sustainability at the heart of everything we do
DS6	We will be an outward looking council, working across boundaries to benefit the people of York
DS7	We will promote cohesive and inclusive communities

#### Values

V1	Delivering what our customers want
V2	Providing strong leadership
V3	Supporting and developing people
V4	Encouraging improvement in everything we do

### Corporate IT Strategy Themes

IT1	Use technology to make CYC a sustainable organisation
IT2	Develop our IT Infrastructure to deliver unified communications which will enable staff to work effectively wherever they are.
IT3	Use technology to deliver effective and efficient services <i>that meet customer needs</i>
IT4	Use technology to forge stronger working relationships with our partners, to enable the sharing of information and improve joint service planning commissioning and delivery.
IT5	Use Technology to empower communities, reach socially excluded groups, encourage economic development in the city and develop the IT skills of the residents of York.

<b>08CEX01 - Review of QPR</b>	
<b>Directorate</b>	<b>Chief Executive's</b>
<b>Bid Details</b>	
<b>Description of the proposed scheme</b>	
<p>A performance management system (QPR Scorecard) was purchased in 2003 to collect, analyse and report performance data across the council. The system is not currently being used at a corporate level for a variety of reasons, including problems with reporting and accessibility. Directorate performance officers also have concerns, as information entered into QPR is accessible by different users, so potentially giving wider access to sensitive/controversial information.</p> <p>Although some of the reasons why QPR is not being used are IT related, there are important organisational issues to consider. These include different performance data collection and reporting practices across directorates and a need for clarity on what role the PMS should play in operating a performance management framework in CYC. These issues need to be tackled as there is an increasing need for the organisation to have an effective performance management system as the current disjointed arrangements are costing us dearly in terms of time, resources and effectiveness.</p> <p>A business appraisal of PMS requirements across the organisation has been started to consider ways forwards, including any future requirements. It is apparent that a more strategic approach to managing performance needs to be adopted, concentrating on the need to <i>"understand our PMF design requirements first – develop an IT system later"</i>. A degree of organisational change therefore needs to take place before further IT investment is made. Proposals for change will be addressed as part of the current review.</p> <p>This scheme has strong links to CPA and the government's new data quality audit procedures. A recent self-assessment scored CYC 2 out of 4 for performance data quality. This scheme also provides us with an opportunity to look at the system and framework requirements in light of the new White Paper and the introduction of the Local Area Agreement (LAA). In future, local authorities may need to use web-based systems to enable joint data collection, input, analysis and reporting between CYC and its key partner organisations (in the Local Strategic Partnership).</p>	
<b>Links To Corporate Strategy</b>	This proposal links to the following corporate strategy elements
<b>V2, V4, IT1, IT3, IT4, IT5</b>	
<b>Benefits of undertaking the scheme</b>	
<ul style="list-style-type: none"> <li>• <i>Removal of duplication for performance data input and submission</i> - Many performance officers and service managers have to submit in-year and outturn data 5 or 6 times in any one monitor period resulting. Statistics can change leading to confusion for some of the performance management bodies that receive the information.</li> <li>• <i>More timely performance information</i> – data to be entered into a shared corporate system to be available to all performance staff involved in analysis and management across the council. At present, directorates are reluctant to send out performance data until their DMT has approved it ready to send to their EMAP.</li> <li>• <i>More effective performance analysis and reporting</i> – more cross-data manipulation and scorecard development to show the results from different perspectives (e.g. progress on a corporate priority, service performance, CPA, LPSA, etc). This is extremely difficult to do without a shared (corporate), IT based system.</li> <li>• <i>Links to actions and contextual documentation</i> – monitoring of progress on actions that support improvement under a particular scorecard or strategic area. Links to proforma, strategic documents or reports will help us comply with data quality inspections and may improve our overall self-assessment and audit score.</li> </ul>	
<b>Risks of not undertaking the scheme</b>	
The Performance Management Framework as a whole might underachieve. Service delivery may suffer as well as the Comprehensive Performance Assessment.	

<b>Risk and Impact Score</b>	41	<b>Resource Requirements</b>	Medium
<b>Scheme budget</b>			
Guide Capital	2008/09	Continuing	
£30,000	£12,820	£18,320	
<b>Recommendations of the Corporate IT Strategy Group</b>			
The timescale looks over ambitious. The capital funding was reduced to the £30,000 needed to upgrade QPR. The recommendations from the appraisal to be presented to COG for that group to decide whether to release the funds or not.			

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|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|------------------------------|--------|
| <b>08COR01 - Desktop Equipment Review</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                  |                              |        |
| <b>Directorate</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <b>Resources</b>                                                 |                              |        |
| <b>Bid Details</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                  |                              |        |
| <b>Description of the proposed scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                  |                              |        |
| <p>This Business Appraisal will determine the ITT hardware, software, licensing and application delivery options that can meet the anticipated future flexible ITT requirements of the council at the most economically advantageous cost. The Accommodation review and move to Hungate in 2010 anticipates flexibility in terms of when and where ITT access will be required. ITT will undertake a thorough review of these requirements and review the market to ensure that appropriate options are identified and costed that can deliver maximum flexibility, efficiency, security and supportability as the council moves to Hungate and beyond. The review will help achieve the council's imperatives, priorities, vision and values as described below. This work will link with the Citrix Upgrade Business appraisal proposed for 2009/10, ref 08COR06.</p>                     |                                                                  |                              |        |
| <b>Links To Corporate Strategy</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | This proposal links to the following corporate strategy elements |                              |        |
| <b>CI4, CI6, PI1, PI10, DS1, DS2, DS5, DS6, V1, V4</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                  |                              |        |
| <b>Benefits of undertaking the scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                  |                              |        |
| <ul style="list-style-type: none"> <li>• Potential Improved ITT service quality</li> <li>• Improved productivity/efficiency through the better use of physical accommodation in the Hungate building</li> <li>• Potential Increased staff morale and motivation due to having the correct standard IT tools available to enable them to undertake their duties regardless of location or Directorate membership.</li> <li>• Increased customer satisfaction.</li> <li>• Identification of potential savings in terms of energy efficiency</li> <li>• Increased environmental sustainability</li> <li>• More resilient future proofed services.</li> </ul>                                                                                                                                                                                                                                   |                                                                  |                              |        |
| <b>Risks of not undertaking the scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                  |                              |        |
| <ul style="list-style-type: none"> <li>• Non realisation of the following ITT strategy 5 year vision 2007/12 themes <ul style="list-style-type: none"> <li>○ IT1 - Use technology to make CYC a sustainable organisation</li> <li>○ IT2 - Develop our IT Infrastructure to deliver unified communications, which will enable staff to work effectively wherever they are.</li> <li>○ IT3 - Use technology to deliver effective and efficient services that meet customer needs</li> <li>○ IT4 - Use technology to forge stronger working relationships with our partners, to enable the sharing of information and improve joint service planning commissioning and delivery.</li> <li>○ IT5 - Use technology to empower communities, reach socially excluded groups, encourage economic development in the city and develop the IT skills of the residents of York.</li> </ul> </li> </ul> |                                                                  |                              |        |
| <b>Risk and Impact Score</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | 58                                                               | <b>Resource Requirements</b> | Medium |

| Scheme budget                                                                    |         |            |
|----------------------------------------------------------------------------------|---------|------------|
| Guide Capital                                                                    | 2008/09 | Continuing |
| £0                                                                               | £0      | £0         |
| Recommendations of the Corporate IT Strategy Group                               |         |            |
| Needs to specifically review the hardware and software requirements for Hungate. |         |            |

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08COR02 - Expansion of Corporate Data Storage			
Directorate	Corporate		
Bid Details			
Description of the proposed scheme			
Purchase of extra storage and maintenance for the NetApp storage solutions at the main Museum Street site and the DR / Backup / Mirror site at 10 / 12 GHS.			
Links To Corporate Strategy		This proposal links to the following corporate strategy elements	
CI4, PI1, PI2-PI10, IT1-4			
Benefits of undertaking the scheme			
<p>Increase in electronic storage capacity. Better, faster and more reliable backup and restore of systems by employing disk to disk backup instead of disk to tape leading to a reduction in the amount of failed backups. Removal of instances of backups over running into the working day causing system slow down for users.</p> <p>Will allow for the removal of more paper based records which will assist the Hungate move into offices with reduced physical storage and encourage more efficient, environmentally friendly storage of data. It will better support the council's move to flexible working allowing for more data to be stored electronically for access by hot desk / remote / home workers.</p> <p>Data stored electronically is easier to safeguard, report on, audit and search to comply with the Data Protection Act and the Freedom of Information Act amongst other.</p>			
Risks of not undertaking the scheme			
<p>Disk storage space running out.</p> <p>An inability to support the amount of electronic data storage required in order facilitating the flexible working initiative and the move to Hungate.</p> <p>As the amount of tape backup increases there will be more instances of backups over running into the working day, which impacts users and usually leads to backups being prematurely stopped.</p>			
Risk and Impact Score	50	Resource Requirements	Medium
Scheme budget			
Guide Capital	2008/09	Continuing	
£71,000	£21,124	£21,124	
Recommendations of the Corporate IT Strategy Group			
Recommended			

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| <b>08COR03 - Government Connect</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                  |
| <b>Directorate</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <b>Corporate</b>                                                 |
| <b>Bid Details</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                  |
| <b>Description of the proposed scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                  |
| <p><b>Background</b></p> <p>Government Connect (GC) is a secure network that provides public and approved voluntary and private bodies with a safe means of exchanging data and sharing electronic services. Central government is promoting GC as the default infrastructure for partnership working and combined service delivery at regional and national levels.</p> <p>To date, 240 local authorities have signed-up for connection and all major government departments have plans to use it.</p> <p>We have applied to join GC and are going through the security vetting process necessary before we will be connected. We expect to have the connection available by January 2008. The subscription for the first year's connection is free. Thereafter we will have to pay an annual charge to maintain the connection.</p> <p><b>Overview Of Government Connect</b></p> <p>GC is a layered offering. At the base is a secure, electronic communications network. Working over this network is a set of generic facilities such as secure email, secure data exchange, online payment. Over those will sit service-specific facilities such as the national children register.</p> <p>GC will also provide a set of facilities direct to the citizen which we can use to "front" our services:</p> <ul style="list-style-type: none"> <li>• GC Register - a single gateway through which a citizen will be able to register for services delivered by local and central government and use an online identity that can be used across the public sector.</li> <li>• GC Alert - provides public services with a proactive contact facility to reach individuals about matters concerning them, e.g. the progress of a service request.</li> <li>• GC Pay - online payment using the Government Gateway</li> <li>• GC Citizen Account - when developed, will provide citizens with the ability to manage their online identity and to personalise their online services.</li> <li>• GC Business Account - when developed, will provide a single point of access and identification for businesses wishing to interact with government agencies online.</li> </ul> <p><b>City of York's Current Requirements</b></p> <p>We have immediate requirements for the facilities which GC can provide, in Trading Standards, Children's Information Service and Youth Offending.</p> <p><b>Purpose Of The Proposal</b></p> <p>This bid is requesting ITT time to carry out the investigations and planning described below and also money for the annual fee to maintain the connection. The financial commitment is annual, we can, with notice, terminate the connection at the end of each payment year without penalty.</p> <p>The project will involve:</p> <ul style="list-style-type: none"> <li>• Using GC to meet the three immediate requirements noted above and then monitor the quality and performance of the service to inform the wider assessment of GC</li> <li>• Developing a road map of our requirements for data and system sharing with partners, other public bodies and with citizens over the next 5 years.</li> <li>• An assessment of the business, technical and cost impacts that central government's plans for use of GC will have on the Council</li> <li>• An assessment of the opportunities that a GC connection will offer us for reducing costs and improving our processes and delivery of services</li> <li>• Evaluation of possible alternatives to GC, if they exist</li> <li>• Identifying the best solution to meet our data and system sharing needs over the next 5 years.</li> </ul> |                                                                  |
| <b>Links To Corporate Strategy</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | This proposal links to the following corporate strategy elements |
| PI1, PI4, PI5, PI6, PI7, DS6, IT3, IT4                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                  |

| <b>Benefits of undertaking the scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |         |                                     |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|-------------------------------------|
| <p><b>Efficiency</b><br/>As GC develops, it will include most of the public sector organisations we need to work with. So, it has the potential to be a single solution for many of our needs for secure data exchange and shared systems.</p> <p><b>Risk Reduction</b><br/>By putting the effort into evaluating the benefits and costs of employing the Government Connect solutions we will avoid the risk of committing to a solution that is inappropriate for us in the long term.</p> <p>Using GC to meet the three identified requirements in Trading Standards, the Children’s Information Service and Youth Offending will enable us to test the reliability of the service.</p> <p><b>Cost Saving</b><br/>In principle, a connection to GC would allow us to take advantage of a shared, centrally procured and built-for-government solution that works with our existing infrastructure. The design and development costs will be spread across a large number of organisations and all subscribing bodies will use the same technical platform and standards. We will, therefore, benefit from the savings coming from scale economies and the efficiencies inherent in standardisation.</p> |         |                                     |
| <b>Risks of not undertaking the scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |         |                                     |
| <p>If we do not maintain the connection to GC, we will incur re-connection costs and charges when we need to use it. At the moment, central government is promoting it heavily and underwriting much of the establishment costs; connection costs can be expected to rise once the user base is established.</p> <p>Without a connection to GC we will have to find, negotiate, fund and then continue to support alternative communication solutions partner by partner. The end result will be a complex mix of different communication channels and support arrangements which will be more costly to maintain and less reliable than the single solution that Government Connect offers.</p> <p>If we do choose to put in our own specific solutions, at some point the use of Government Connect could be mandated by one or more government departments. This could be done explicitly or effectively through charging models which make alternatives not cost-effective for us.</p>                                                                                                                                                                                                                 |         |                                     |
| <b>Risk and Impact Score</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | 58      | <b>Resource Requirements</b> Medium |
| <b>Scheme budget</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |         |                                     |
| Guide Capital                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | 2008/09 | Continuing                          |
| £17,000                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | £29,348 | £29,348                             |
| <b>Recommendations of the Corporate IT Strategy Group</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |         |                                     |
| Recommended                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |         |                                     |

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<b>08COR04 - GIS Strategy &amp; Implementation</b>	
<b>Directorate</b>	Corporate
<b>Bid Details</b>	
<b>Description of the proposed scheme</b>	
<p>The purpose of this bid is to provide increased efficiency and service delivery using mapping and GIS provision.</p> <p>Currently there are 3 GIS systems in use within CYC, ArcView (an older version of ESRI’s ArcGIS), MapInfo and Cartology. Data is scattered around locations on the network, duplicated and in different</p>	

versions without version control. Ownership of the layer information, management and maintenance of data is also not structured. This means that there is a wealth of mapping data stored on the servers, most of which cannot be easily found and is of unknown quality and accuracy.

Only data which has been required by Easy@york is currently accessible, shared and maintained. This is a small proportion of the mapping information held, and does not include anything created by Cartology users.

Cartology is an outdated, unsupported application, running on 15 year old technology. Cartology is therefore a high risk application, on which CYC heavily rely, and an alternative must be provided to the users that is compatible with the corporate infrastructure, using a common mapping file format.

**The current situation is already having a significant impact on the ability of all the directorates to provide the required level of service expected.**

The Easy@york solution established a technical framework to enable a corporate GIS system built around the ArcGIS 9 suite of products from ESRI and a centrally held repository for base maps and mapping layers. This architecture now requires further development to become a Corporate solution in line with the GIS strategy.

There are GIS mapping requirements in areas across the Council, including:

- Housing & Adult Social Services
- Emergency Planning
- Environmental Protection Unit
- Neighbourhood Pride Unit
- Asset Management & Housing Services
- Leisure Services
- Public Rights of Way
- Network Management & Highways
- Neighbourhood Services

A corporate GIS solution, adopted council wide, will enable geographical data to be shared and stored in an accessible way. The Easy programme has created this information sharing environment. The GIS strategy needs to build on this by making the mapping software more accessible to users.

The project will introduce the use of current ESRI GIS software and replace the obsolete Cartology. With this will be the requirements for training, support from ESRI and internal resource. The project aims will include the use of a common base map and the ability to share published mapping layer data. This sharing will be across the Council via the web based YorkMap, available to all users of the CouncilNet intranet and to the public via the LocalView map tool on the CYC website.

To enable this to happen, extra ArcGIS licences and associated training of staff is required.

**Links To Corporate Strategy** This proposal links to the following corporate strategy elements

**CI7, PI2, PI6, PI7, PI10, DS1, DS2, V1, V4, IT2-5**

#### **Benefits of undertaking the scheme**

- **Information Sharing – Internal**

Increased internal organisation wide sharing of up-to-date map data, created by other groups in other areas and accessed via the central mapping store. Leading to increased communication between directorate service providers, improved data quality, better answers quicker, and 'joined up thinking'.

Measure: Number of map layers available to the YorkMap intranet viewer.

Currently: 47 corporate layers

Target: 25% increase over 3 years

- **Information Sharing – Public**

Increased public sharing of map based data via LocalView the central mapping store. Leading to more efficient communication between City of York Council service providers and the public via the York Contact Centre, back office staff and the internet. This has an added benefit of providing better quality information both out of hours and immediately.

Measure: Number of map layers available to the LocalView internet viewer.

Currently: 37 corporate layers

Target: 25% increase over 3 years

- **Service Improvements**

Improved service delivery, analysis, and monitoring within directorates. Allowing services to be developed and remodelled appropriately to meet geographic needs. This includes HASS and LCCS services.

<p>Measure: Development, location and service provision considered by geographical spread.                  Currently: Zero (within most service areas)                  Target: Service proposals include annual geographic analysis &amp; review.</p> <ul style="list-style-type: none"> <li> <b>Consolidation &amp; Efficiency of Mapping Software</b>                      Removing Cartology and upgrading ArcView users to ArcGIS will allow the consolidation of the licensing and support for mapping software. Time spent maintaining and fault finding Cartology will be reduced. Time spent converting data from one format to another will also reduce. It will enable mapping users to maintain their own data. Staff will also be using current software which can be maintained effectively and integrates with the surrounding infrastructure.                 </li> </ul> <p>Measure: Number of mapping software products actively used within CYC.                  Currently: 4 (ArcView, Cartology, MapInfo &amp; ArcGIS)                  Target: 50% reduction over 3 years</p> <ul style="list-style-type: none"> <li> <b>Increased Access to GIS Tools</b>                      Enabling the sharing and analysis of a central store of data in a mapping format. Consequently more efficient targeting and planning of services, plus improved strategic planning and decision making.                 </li> </ul> <p>Measure: Number of 'hits' to the server requesting pages                  Currently: 1182                  Target: 200% increase over 3 years</p> <ul style="list-style-type: none"> <li> <b>Increased Maintenance and Ownership of Data</b>                      Enabled by data formats that can be easily submitted to the central store                 </li> </ul> <p>Measure: Length of time to submit data to central mapping data store.                  Currently: Nil                  Target: Data submitted to central store within 1 week of layer being updated within 2 years.</p>		
<p><b>Risks of not undertaking the scheme</b></p> <ul style="list-style-type: none"> <li>Risk of failure of Cartology and the associated loss of data.</li> <li>Increased isolation of mapping data due to being in unsupported or out of date formats</li> <li>Wasting resources maintaining systems which will not integrate with the current infrastructure.</li> <li>Greater risk of inefficient service provision and policy decisions due to no geographical data analysis.</li> <li>Increased reliance on back office departments answering queries due to the lack of information being shared with other departments and the public.</li> <li>Increased time to answer these information requests due to data format issues.</li> <li>Not meeting customer expectations on the quantity and quality of mapping data available via the council website.</li> <li>Greater confusion over data accuracy due to duplicate datasets being managed in multiple service areas</li> </ul>		
<p><b>Risk and Impact Score</b></p>	<p>49</p>	<p><b>Resource Requirements</b></p>
<p>Medium</p>		
<p><b>Scheme budget</b></p>		
<p>Guide Capital</p>	<p>2008/09</p>	<p>Continuing</p>
<p>£66,000</p>	<p>£16,104</p>	<p>£27,104</p>
<p><b>Recommendations of the Corporate IT Strategy Group</b></p>		
<p>Recommended for approval.</p>		

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| <p><b>08COR07 - Corporate Use of LLPG</b></p>                                                         |                  |
| <p><b>Directorate</b></p>                                                                             | <p>Corporate</p> |
| <p><b>Bid Details</b></p>                                                                             |                  |
| <p><b>Description of the proposed scheme</b></p>                                                      |                  |
| <p>The Local Land and Property Gazetteer (LLPG) needs to be established as the corporate property</p> |                  |

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| dataset. This will be achieved by developing a solution for maintaining accurate address data across all our systems.                                                                                                                                                                                                                              |         |                                                                  |
| <b>Links To Corporate Strategy</b>                                                                                                                                                                                                                                                                                                                 |         | This proposal links to the following corporate strategy elements |
| <b>CI7, DS1, V1</b>                                                                                                                                                                                                                                                                                                                                |         |                                                                  |
| <b>Benefits of undertaking the scheme</b>                                                                                                                                                                                                                                                                                                          |         |                                                                  |
| This bid will produce a standard approach for integrating the LLPG into new and existing systems.<br>Reduce the time required to investigate new approaches each time required.<br>Reduce potential costs that each new system will incur from 3rd party address data suppliers.<br>More accurate address data.<br>Easier linking between systems. |         |                                                                  |
| <b>Risks of not undertaking the scheme</b>                                                                                                                                                                                                                                                                                                         |         |                                                                  |
| CYC using inaccurate and inconsistent address data for customers across the services.                                                                                                                                                                                                                                                              |         |                                                                  |
| <b>Risk and Impact Score</b>                                                                                                                                                                                                                                                                                                                       | 40      | <b>Resource Requirements</b> Low                                 |
| <b>Scheme budget</b>                                                                                                                                                                                                                                                                                                                               |         |                                                                  |
| Guide Capital                                                                                                                                                                                                                                                                                                                                      | 2008/09 | Continuing                                                       |
| £0                                                                                                                                                                                                                                                                                                                                                 | £0      | £0                                                               |
| <b>Recommendations of the Corporate IT Strategy Group</b>                                                                                                                                                                                                                                                                                          |         |                                                                  |
| A property database is a part of the IT strategy and will support a number of the elements of the Corporate Strategy. More important than the R&I score indicates.                                                                                                                                                                                 |         |                                                                  |

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<b>08COR08 - Upgrade Of Proxy Servers</b>		
<b>Directorate</b>	Corporate	
<b>Bid Details</b>		
<b>Description of the proposed scheme</b>		
We plan to replace the current single proxy server with two.		
<b>Links To Corporate Strategy</b>		This proposal links to the following corporate strategy elements
<b>CI6, PI1-10, V1, V4, IT3</b>		
<b>Benefits of undertaking the scheme</b>		
<ol style="list-style-type: none"> <li>1. Improved performance which can be measured by a reduction in support calls logged by users complaining about speed of internet access or availability of the system</li> <li>2. Improved resilience with the automatic backup available with 2 servers.</li> <li>3. Improved supportability from Microsoft – The current software and operating system is out of mainstream support.</li> <li>4. Faster recovery from failures either hardware or software.</li> </ol>		
<b>Risks of not undertaking the scheme</b>		
We will become increasingly vulnerable to a failure of the server which will bring down our online services for citizens and our internal applications which rely on the proxy server.		
<b>Risk and Impact Score</b>	52	<b>Resource Requirements</b> Low

Scheme budget		
Guide Capital	2008/09	Continuing
£27,000	£7,588	£7,588
Recommendations of the Corporate IT Strategy Group		
A necessary underpinning of many service improvement projects.		

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| 08COR10 - Magique Licensing (for the corporate risk register)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                  |
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| Directorate                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Resources                                                        |
| Bid Details                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                  |
| Description of the proposed scheme                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p>The proposal is to purchase 75 additional user licences for the corporate risk register (Magique) to be distributed throughout the organisation to those with risk management responsibility. This will provide officers with a risk management tool to utilise in their day-to-day operations and planning. The system will allow members and senior management to take an overview of all risks across the organisation as a whole.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                  |
| <b>Links To Corporate Strategy</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | This proposal links to the following corporate strategy elements |
| <b>CI1-7, PI1-10, DS1-7, V1-4, IT1-4</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                  |
| Benefits of undertaking the scheme                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                  |
| <ol style="list-style-type: none"> <li>1. Help to ensure we can easily and cost effectively meet the minimum requirements of the CPA for the Use of Resources KLOE - 'The council maintains and reviews a register of its corporate business risks linking them to strategic business objectives and assigning ownership for each risk'.</li> <li>2. Additional licenses will help to better embed a robust risk management framework and we will be better placed to respond to the new CAA inspection cycle. CAA will replace CPA with effect from April 2008 which is an annual risk assessment identifying key risks to outcomes and delivery, with inspection activity based on the risk assessment.</li> <li>3. With the introduction of a new quarterly monitoring report to Corporate Management Team, on the level and management of corporate risks within each directorate, access to the register for each responsible officer (risk owner) will help to ensure accuracy and quality of information reported.</li> <li>4. Reduce the time and resources required to maintain an up to date risk register and provide increased efficiency aligned to a standard and consistent approach to risk recording throughout the organisation.</li> <li>5. Identification of areas for potential savings is a key deliverable of risk management that in turn will allow better direction of resources into areas of high risk.</li> <li>6. Identification and understanding of areas of weakness will lead to improved controls, reducing our exposure to potential threats. The use of one risk register will promote the monitoring of progress and improvements across departments, identification of areas of good practice, and introduction of these good practices across the board.</li> <li>7. Risk management forms part of the prince 2 project methodology contributing to successful outcomes for projects and programmes. Access to one risk register for all officers involved in projects and programmes will provide a standard approach to be taken for future work.</li> </ol> |                                                                  |
| Risks of not undertaking the scheme                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                  |

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|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|------------------------------|
| If the organisation does not embrace and utilise the potential of this management tool then threats to achieving objectives and improvements to operational service delivery will not be identified and correctly managed or realised. |         |                              |
| <b>Risk and Impact Score</b>                                                                                                                                                                                                           | 27      | <b>Resource Requirements</b> |
|                                                                                                                                                                                                                                        |         | Low                          |
| <b>Scheme budget</b>                                                                                                                                                                                                                   |         |                              |
| Guide Capital                                                                                                                                                                                                                          | 2008/09 | Continuing                   |
| £6000                                                                                                                                                                                                                                  | £3,064  | £3,064                       |
| <b>Recommendations of the Corporate IT Strategy Group</b>                                                                                                                                                                              |         |                              |
| Licences should only be provided for staff that will actively use the system.                                                                                                                                                          |         |                              |

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<b>08COR11 - Governance, standards &amp; compliance</b>	
<b>Directorate</b>	Corporate (Director of Resources)
<b>Bid Details</b>	
<b>Description of the proposed scheme</b>	
<p>The Council's prevailing management model is premised on a system of devolved responsibility and control to Directorates. This kind of management model requires robust systems of checks and balances to ensure that corporate governance arrangements are suitably maintained and appropriate systems of control, regulation and compliance are observed across the organisation. However, it is apparent that current arrangements are inadequate and there is a growing body of evidence that suggests the organisation must act corporately to support the proper management and control of professional standards and management competencies across all departments to help protect the assets and reputation of the Council.</p> <p>The key drivers surrounding this scheme are:</p> <ol style="list-style-type: none"> <li>1. The work of the Officer Governance Group (a sub-committee of CMT, chaired by Simon Wiles) has identified significant governance concerns regarding wide-spread non-compliance with corporate policies and standards, allied to lack of investment in staff training and exacerbated by a lack of capacity centrally to support the effective roll-out.</li> <li>2. There is significant pressure for the Council to be able to demonstrate corporately how well its staff and services comply with policy, professional standards and lawfulness requirements further to external schemes of audit and inspection such as the CPA 'Use of Resources' exercise and annual governance judgement of the Audit Commission.</li> </ol> <p>Currently, the Council relies almost wholly on individuals keeping themselves up to date with changing professional requirements and new legislations. This approach puts both the organisation and our staff at risk.</p> <p>This proposal is investigate 'light-touch' software products that would allow the organisation to achieve an appropriate level of governance and compliance. To implement a pilot scheme in the first instance, in an area where there is a clear, mandatory requirement, e.g. H&amp;S, and to examine the benefits to staff and the organisation.</p> <p><u>Requirements of the proposed scheme:</u></p> <ol style="list-style-type: none"> <li>1. Funds in 2008/09 to pay for a limited number of licenses</li> <li>2. IT staffing resources to test, implement and support the system prior to it going live</li> </ol>	
<b>Links To Corporate Strategy</b>	This proposal links to the following corporate strategy elements
<b>CI1-7, PI1-10, DS1-7, V1-4, IT1-4</b>	
<b>Benefits of undertaking the scheme</b>	

<p><u>Improving efficiency and reducing waste to free up more resources</u> - The scheme could be used to help properly manage and document the delivery, understanding and implementation of the Council's policy framework, new legislations and new or revised working procedures in accordance with good governance, audit and inspection requirements.</p>			
<p><u>Improving leadership at all levels</u> - Allow managers and leaders at all to better manage and direct appropriately informed staff resources, understand staff development needs across their service areas and ensure all staff are able to work to consistent standards that are known and understood.</p>			
<p><u>Improving our focus on the needs of customers and residents</u> - Ensure the consistent delivery of better outcomes for customers and residents.</p>			
<p><u>Improving the way the council and its partners work together to deliver better services</u> - Provide assurance to the Council that all partnership working arrangements are conducted properly and in accordance with the governance requirements set out by the Council's Constitution by ensuring that all relevant departmental staff are properly informed and understand the appropriate policies, standards and relevant legislations within which they are required to work.</p>			
<p><b>Risks of not undertaking the scheme</b></p>			
<p>Reduces the ability of the Council to objectively demonstrate how standards are observed and take any necessary measures to reduce the risk of claims of unlawful action made by a third party.</p>			
<b>Risk and Impact Score</b>	25	<b>Resource Requirements</b>	Low
<p><b>Scheme budget</b></p>			
Guide Capital	2008/09	Continuing	
£21,000	£7,124	£7,124	
<p><b>Recommendations of the Corporate IT Strategy Group</b></p>			
<p>The problems are essentially organisational, these should be addressed before a system is introduced.</p>			

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|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| <p><b>08CSTR01 - Register of Building Control Information</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |               |
| Directorate                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | City Strategy |
| <p><b>Bid Details</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |               |
| <p><b>Description of the proposed scheme</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |               |
| <p>The Department of Communities &amp; Local Government (DCLG) perceives an inconsistency in the way that Local Authorities across England maintain a register of Building Control activity.</p> <p>The DCLG proposes to use the statutory powers given it under the legislation quoted below to create a regulatory framework obliging all LA's to hold registers in a consistent form.</p> <p>The scheme has been initiated by the DCLG and will be statutory. The relevant statutory sections are Scs. 56 &amp; 91A Building Act 1984 and Scs. 7 &amp; 11(2) Sustainable &amp; Secure Building Act 2004</p> <p>Not only will the requirement to hold a publicly accessible register become statutory but the consultation document (Annex A sc. 12.1) suggests that the regulations will require the register to be in a computerised format.</p> <p><b>This bid is to investigate, procure and implement a suitable system to address the statutory requirements of the Building Control Register, as laid out in the regulatory framework.</b></p> <p>CYC Building Control is a de-regulated fee-earning service, in direct competition with other certification providers. Other providers fall into 2 categories</p> <p>(1) Approved Inspectors who can carry out Inspection of work and issue certificates etc.</p> <p>(2) Competent Persons who can self certify their own work e.g. CORGI engineers.</p> <p>The register (as currently proposed) will encompass both categories of 'other providers' as well as our own Building Control Service.</p> <p>The register will be a fee earning service which is expected to charge the public an amount sufficient to</p> |               |



cover the costs of providing the documents. Therefore the setup costs, including purchase, integration and any development, data migration or manipulation services, can be included in the fee and recouped over the initial years of service. This gives CYC more options to provide and finance a suitable solution.

The DCLG consultation document suggests the register should be in 2 parts.

**Part 1 – Index – Allows a search on a property by address.**

**Part 2 – Building Control Documents – Electronic copies of activity documents.**

Copies of the documents can be requested by the customer and the Council can charge for the supply.

**Links To Corporate Strategy** This proposal links to the following corporate strategy elements

**CI4, CI7, PI8, DS1, DS6, V1, IT3-5**

**Benefits of undertaking the scheme**

The principal benefits to CYC are:-

- **Compliance with a statutory requirement.**  
Measured by having a publicly viewable register.  
Currently: Nil  
Target: Having the website in place and viewable by the due date.
- **Introducing a new revenue stream.**  
Measured by budget monitoring reports of income cost centre.  
Currently: Zero  
Target: £45,000 per year, 3 years after the register is in place.
- **Improving the quality of service and customer satisfaction provided by Building Control Unit** This will be achieved by timely and accurate responses to requests for data from domestic and commercial customers. Also conforming to a more consistent and transparent fee charging regime. As a result of this CYC will be promoting good practice amongst other LA's.  
  
Measured by the response time to provide complete data and information for the upcoming Home Information Pack (HIP) regime.  
Currently: Zero  
Target: 90% response within statutory response time, & 12 months of the register being in place.

The associated benefits to CYC customers are:-

- Information will be easily accessible and more readily available
- The public will have knowledge of where and how to obtain and access building control information
- Property search organisations will be able to retrieve information more easily
- The Home Information Pack (HIP) regime and the whole home buying process will be complemented and supported

**Risks of not undertaking the scheme**

The principal risk is that we would be in breach of a statutory requirement.

We would also be passing up an opportunity for fee earning.

|                              |    |                              |        |
|------------------------------|----|------------------------------|--------|
| <b>Risk and Impact Score</b> | 68 | <b>Resource Requirements</b> | Medium |
|------------------------------|----|------------------------------|--------|

**Scheme budget**

|               |         |            |
|---------------|---------|------------|
| Guide Capital | 2008/09 | Continuing |
| £47,300       | £20,141 | £20,141    |

**Recommendations of the Corporate IT Strategy Group**

Recommended

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<b>08CSTR02 - EXOR Business Appraisal</b>		
<b>Directorate</b>	<b>City Strategy</b>	
<b>Bid Details</b>		
<b>Description of the proposed scheme</b>		
<p>The EXOR Highways Management System is the core back office system for the Highway Infrastructure team and has been in use for over 7 years.</p> <p>Phase 1 of EASY is now largely operational. The CRM function is provided by software from Lagan and as a result of this EXOR's role has turned out to be far less central to the programme than initially envisaged. While it continues to act as a core back office system for the Highway Infrastructure team, it is felt that a full appraisal of EXOR is now required. This is also good procurement practice under current financial guidelines.</p> <p>Given that EXOR's future use will be less extensive than initially thought it is certainly the case that CYC have too many licences for some modules. It may even be the case that complete modules are no longer relevant.</p> <p>This Business Appraisal is an opportunity to assess the whole use of EXOR. This is to include how EXOR is currently being used, making recommendations regarding its future use and development. Also to assess the system, explore whether we are getting value for money and where savings can be made.</p> <p>This investigation will ascertain if EXOR is the most effective store of all datasets currently held by Highway Infrastructure and their associated processes. The results should give guidance on whether other existing CYC systems give a better alternative, providing improved functionality, analysis and integration of data.</p> <p>Finally, alternatives to EXOR as a Highways Management solution will also be investigated. The BA will ascertain which other highways systems are available and cost them. Also whether these would provide the functionality needed by CYC at a lower cost, i.e. whether they would be better value for money.</p> <p>The result would be a recommendation on whether CYC should remain with a re-worked, re-licensed EXOR or procure an alternative system.</p>		
<b>Links To Corporate Strategy</b>	This proposal links to the following corporate strategy elements	
<b>PI3, PI9, V4</b>		
<b>Benefits of undertaking the scheme</b>		
<ul style="list-style-type: none"> <li>• <b>Maximise savings</b>            Achieved from reducing the ongoing maintenance and licence paid to EXOR by examining the business case and usage for each module            Measurable by the annual costs paid to EXOR.            Currently: Unclear. Support &amp; maintenance in the region of £25,000            Target: Reduction of total maintenance costs by a <b>minimum</b> of £5,000 per year, ongoing.</li> <li>• <b>Validate the continued usage of EXOR for Highways Management</b>            Achieved by evaluating the value for money benefits of replacing all or parts of EXOR with other systems.            Measured by comparative ROI figures over 5 years for EXOR and competitor systems            Currently: Unknown.            Target: Driving out further savings over a 5 year period or satisfy us that we are realising the best VFM solution by continuing EXOR use.</li> </ul>		
<b>Risks of not undertaking the scheme</b>		
<p>Unnecessary expenditure on support and maintenance of unused and under used EXOR software modules</p> <p>Continuing use of a Highways system that is not the most appropriate for CYC, both in functionality and value for money.</p>		
<b>Risk and Impact Score</b>	54	<b>Resource Requirements</b> High
<b>Scheme budget</b>		
Guide Capital	2008/09	Continuing
£0	£0	£0

**Recommendations of the Corporate IT Strategy Group**

Recommended for Approval with the following comments.

Appraisal to include

- (1) review of licensing requirements
- (2) review of alternative solutions and value for money review of Exor
- (3) if the conclusion of the reviews is to continue with Exor then the process re-engineering will be done as part of the Easy programme.

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**08CSTR03 - Car Parks Management Information System**

Directorate

City Strategy

**Bid Details****Description of the proposed scheme**

The Parking Services department is a business critical source of funding for CYC, producing a revenue of approximately £6.3 million from car park charges. Management Information (MI) from the 119 ticket machines at the managed car parks is used at all levels within CYC to assess the usage and determine appropriate charging levels and opening times.

The current process, until very recently, relied upon manual downloading of ticket machine data from the Foss Bank car park to floppy disk to transfer information back to St Leonard's. At St Leonard's a specialist system called LogiPark was used to analyse the data, which was installed approximately 10 years ago.

Over time, the analysis LogiPark provided became inadequate to satisfy the ever growing needs of MI requests. Additional analysis routines have been created, using both MS Excel and MS Access, to try and address this shortfall. The resulting set of management reports still do not enable CYC to make intelligence driven decisions on revenue, as there is minimal monitoring of statistics on throughput of vehicles, peak usage times etc. by LogiPark. It was almost impossible to provide any robust justification for decisions on car park charges, off-peak periods or opening/closing times. This has become apparent in meetings with stakeholders. This makes efficient running of the car park business extremely difficult.

At the beginning of 2007 the LogiPark software failed. Parkeon, the suppliers, have been involved in trying to resolve the failure but with no success. As an intermediate solution, due to the urgency and importance of these issues, a waiver was granted so that CYC could enter into a remote data hosting agreement with Parkeon, the suppliers of the 119 car parking ticketing machines. As the remote hosting arrangement could be implemented quickly, and at a cheaper cost over the first 2 years than an in-house solution, a decision was made to take this immediate approach until a fully informed BA could be conducted.

**The purpose of this BA will be to identify a longer term solution to replace LogiPark.**

The BA will explore and analyse:

- Management Information solutions for car park data beyond August 09.
- Cash payment systems for car parks
- Alternative ways of paying for parking, e.g. the existing SMS text message

It will explore and address additional payment methods, including accepting bank notes and credit/debit cards. This is to provide the users of the car parks with more convenient methods to pay for parking and increase customer satisfaction. Proposals as to which additional methods might be implemented and how this might be done will be an output from the BA.

**Links To Corporate Strategy**

This proposal links to the following corporate strategy elements

**CI7, PI2, PI9, DS2, DS3, V1, V4, IT3-5**

**Benefits of undertaking the scheme**

The BA will look at the value benefits of replacing Parkeon with other systems as well as the best option for delivering the Parkeon beyond 2009.

It will demonstrate an increase in system savings over a 5 year period or satisfy us that we are realising the best value solution by continuing Parkeon use.

- Identify the best value system of M.I.**  
 Measured by: The comparative ROI figures over 5 years for Parkeon vs. competitors

The principal future benefits to CYC are:-

- Increased Quality of M.I.**  
 Measured by: The number of different M.I. data types available to report on.  
 Currently: One – Amount of money received per machine.  
 Target: 4 within 2 years  
*Time of arrival*  
*Duration of stay purchased*  
*Associated fee for stay*  
*Amount tendered, inc. coin analysis*
- Increased Management**  
 Measured by: The production of Price vs. Time, & Time vs. Usage models.  
 Currently: Nil  
 Target: Production of a set of reporting models & scenarios – within 2 years
- Increased Accessibility of Payment**  
 Measured by: The number of different payment methods available.  
 Currently: 2 – Coins & mobile telephone text message (SMS).  
 Target: 4 within 2 years  
*Banknotes*  
*Credit/debit cards*

**Risks of not undertaking the scheme**

There would be no management information available to allow successful operation of the car parks. Customer service would be compromised.

The contract with Parkeon for the hosted solution only lasts for 2 years so we need to have a considered future solution.

We would be in breach of the financial regulations under which the waiver was granted.

We would be open to criticism from auditors and external parties that we had not conducted a proper value for money analysis of the adopted solution.

|                              |    |                              |  |
|------------------------------|----|------------------------------|--|
| <b>Risk and Impact Score</b> | 32 | <b>Resource Requirements</b> |  |
|------------------------------|----|------------------------------|--|

**Scheme budget**

|               |         |            |
|---------------|---------|------------|
| Guide Capital | 2008/09 | Continuing |
| £0            | £0      | £0         |

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<b>08CSTR04 - Uniform Planning &amp; Building Control</b>	
<b>Directorate</b>	<b>City Strategy</b>
<b>Bid Details</b>	
<b>Description of the proposed scheme</b>	
<p>The Uniform Planning &amp; Building Control system is a core system to both the City Strategy Directorate and also Phase 1 of the EASY project. It has been in use for over 11 years and the current contract has been in place for 5 years.</p> <p>Considerable money is spent with CAPS Solutions, the suppliers of Uniform, on development, bi-annual upgrades and associated services. Recently CYC have experienced late delivery of products putting us in danger of failing to fulfil our contractual obligations. In 2005/06 CYC spent £35,650, in 06/07 £20,750 and as of August in 07/08 £33,870. Details of these figures are supplied in an additional document.</p> <p>It is therefore felt that it would be prudent to examine the processes used in the various service units using Uniform and evaluate their effectiveness. In particular to confirm that all functions and modules within the Uniform system are being used to their full effect.</p>	

It is proposed that the Business Appraisal will look at the following;

- A thorough discussion with CAPS regarding contract renewal
- A full evaluation of Uniform usage within CYC
- A market review of other Planning & Building Control systems currently available

This would not harm the CYC relationship with CAPS Uniform and will highlight competitor systems that can deliver similar or better functionality at lower costs.

For this BA to be successful, it is necessary to examine all the business processes within the community of Uniform users. This includes their links to other processes in other business/service areas and with external partners.

It is anticipated that business process analysis, particularly within Building Control, will be required. Building Control has encountered some difficulties working within Phase 1 of the EASY programme. Improvement and re-design of their internal processes is required to find a suitable way forward. Of particular interest is the number of Uniform BC fields that are actually filled in by Building Control staff. This will provide valuable information and give an insight on how to gain maximum advantage from the functionality of the system.

There are embedded links between the Uniform database, ESRI's GIS mapping software and the IDOX Document Management System. These will be examined to ensure that supporting scanned documents are available to all groups of users. Also that all groups of users are making full use of both GIS and DMS opportunities.

The Planning & Building Control database market place is fairly mature and there are 2 or 3 other major suppliers besides CAPS. These systems will be fully evaluated against Uniform to see if significant functionality gains are available. If an increased value for money case can be made for signing a contract with a new supplier, rather than renewing our contract with the suppliers of Uniform, then this will be recommended.

**Links To Corporate Strategy** This proposal links to the following corporate strategy elements

**DS2, V4, IT3**

#### **Benefits of undertaking the scheme**

The benefits of the BA are:

- Establishing the costs, risks & value in replacing all or parts of Uniform with other systems  
Measured by comparative ROI figures over 5 years for Uniform and competitor systems

This will either drive out further savings over a 5 year period or satisfy us that we are realising the best VFM solution by continuing Uniform use.

- **Improving the effectiveness of business processes by Building Control Unit**

A successful examination of business processes and associated re-engineering should lead to:

- More efficient Building Control workflow
- Building Control re-establishing its links with Easy

Measured by the workload passed to BC back office staff, i.e. workload unable to be dealt with by YCC staff, and by the time taken to handle each stage of an application, search or query.

Previously: Increased workload to BC back office staff, when initially linked to Easy

Target: Reduced workload to BC back office staff within 12 months of establishing links with Easy.

#### **Risks of not undertaking the scheme**

CYC fails to make value for money savings

Work processes do not benefit from examination and appropriate re-engineering

<b>Risk and Impact Score</b>	21	<b>Resource Requirements</b>	Medium
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#### **Scheme budget**

Guide Capital	2008/09	Continuing
£0	£0	£0

#### **Recommendations of the Corporate IT Strategy Group**

This scheme was NOT approved.

It was felt that Uniform is too closely integrated with other systems to consider replacing at this time. Also that the time and effort required by the appraisal were better directed towards working with other Uniform

customers to push the supplier to improve. The relevant Business Units agree with this recommendation.

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| <b>08HASS01 - Electronic Monitoring for Home Care</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                  |                              |     |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|------------------------------|-----|
| <b>Directorate</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | HASS                                                             |                              |     |
| <b>Bid Details</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                  |                              |     |
| <b>Description of the proposed scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                  |                              |     |
| Business appraisal for, and the associated procurement of, a Home Care Monitoring System                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                  |                              |     |
| <ol style="list-style-type: none"> <li>The business appraisal will identify the best option for delivery of the functional requirements to meet home care monitoring needs by: <ul style="list-style-type: none"> <li>reviewing processes in home care rota management, charging, and contract management; and defining standard recording practices</li> <li>defining appropriate interfaces linking into other major applications e.g. Financial management systems and Frameworki</li> <li>evaluating solution options, estimating associated costs, making recommendations and scoping system requirements</li> </ul> </li> <li>The procurement of the selected system for home care monitoring and associated equipment, infrastructure, support/maintenance and licences</li> </ol>                                                                                                                                                                                                                                             |                                                                  |                              |     |
| <b>Links To Corporate Strategy</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | This proposal links to the following corporate strategy elements |                              |     |
| <b>CI7, PI1, PI6, DS1, V1-4. IT1, IT3-5</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                  |                              |     |
| <b>Benefits of undertaking the scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                  |                              |     |
| <ul style="list-style-type: none"> <li>Immediate Access to information by enabling Commissioners to monitor services more effectively and manage home care contracts to the value of approx £6m.</li> <li>Compliance with National Care Standards for accurate record-keeping.</li> <li>Increased face to face contact time achieved by using the system to manage staff rotas, timesheets, call allocation etc</li> <li>Improved Management Information to support service planning at strategic level.</li> <li>Improved budget projections.</li> <li>Greater service transparency since electronic timesheets can be used to calculate bills and generate invoices for external domiciliary care services.</li> <li>More accurate charging with fewer queries from customers and fewer discrepancies on invoices</li> <li>Reduced discrepancies and processing time and elimination of potential timesheet fraud etc.</li> <li>Real time alerts and alarms reduce health and safety risks for both staff and customers.</li> </ul> |                                                                  |                              |     |
| <b>Risks of not undertaking the scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                  |                              |     |
| <ul style="list-style-type: none"> <li>Failure to Deliver a Core Efficiency Measure identified by CSED (Care Services Efficiency Delivery), an initiative funded by the Department of Health. It would be difficult to satisfy this measure in the absence of an electronic home care monitoring system.</li> <li>Failure to effectively monitor contractual arrangements for the delivery of home care against Block Contracts and in-house SLAs. This is intended to deliver better capacity and cost benefits than the previous spot-purchasing model and requires regular monitoring of hours of care delivered which cannot be carried out consistently, accurately and efficiently without using an automated system.</li> </ul>                                                                                                                                                                                                                                                                                                |                                                                  |                              |     |
| <b>Risk and Impact Score</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | 35                                                               | <b>Resource Requirements</b> | Low |
| <b>Scheme budget</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                  |                              |     |
| Guide Capital                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | 2008/09                                                          | Continuing                   |     |
| £109,000                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | £15,494                                                          | £26,596                      |     |
| <b>Recommendations of the Corporate IT Strategy Group</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                  |                              |     |
| Recommended.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                  |                              |     |

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<b>08HASS02 - Adult Social Services Mobile Working</b>		
<b>Directorate</b>	HASS	
<b>Bid Details</b>		
<b>Description of the proposed scheme</b>		
<p>To extend the Electronic Social Care Programme to enhance the delivery of social care by providing up to 90 staff with remote access to the Frameworki system in order to complete assessment and review processes with the customer <i>at the time of visit</i>. Thus streamlining the overall social care process by capturing data in the customer's home and seamlessly integrating it into the central social care database.</p> <p>To enable staff with remote access to the Community Equipment Database so that they can advise the customer on the aids or equipment needed, and confirm availability and delivery dates on the spot.</p>		
<b>Links To Corporate Strategy</b>	This proposal links to the following corporate strategy elements	
CI7, PI1, PI2, PI6, PI7, PI10, DS2, V1, IT1-4		
<b>Benefits of undertaking the scheme</b>		
<ul style="list-style-type: none"> <li>• Timely information to enable the customer input to the service planning process</li> <li>• Reduction in time spent by professional staff in administrative duties</li> <li>• Input directly at point of contact instead of writing notes and typing up back at the office</li> <li>• Reduced service costs based on actual recorded care rather than planned care</li> <li>• Remote on-line ordering of Community Equipment</li> <li>• Reduced number of desks required for care management staff (as per Accommodation Project)</li> <li>• Reduced hours spent travelling</li> <li>• Improved recruitment and retention of staff</li> <li>• Significant reduction in costs of office supplies and associated expenditure</li> <li>• improve Quality and Excellence of service</li> <li>• Enhance Customer Independence, Choice and Control</li> <li>• Improve Performance</li> </ul>		
<b>Risks of not undertaking the scheme</b>		
<ul style="list-style-type: none"> <li>• Failure to Complete Delivery of the Electronic Social Care Record (ESCR Programme)</li> <li>• Failure to achieve the goal of reduction in desk space requirement for the move to Hungate</li> <li>• Failure to implement flexible working through mobile technologies, will increase staff turnover and therefore not only will service quality suffer but training overheads will be unnecessarily severe.</li> <li>• This project supports the LA Carbon Management Programme in reductions in the number of paper documents and in printing together with reduced travel times and journeys back to base that would not be achieved</li> </ul>		
<b>Risk and Impact Score</b>	43	<b>Resource Requirements</b>
		Low
<b>Scheme budget</b>		
Guide Capital	2008/09	Continuing
£80,000	£19,520	£19,520
<b>Recommendations of the Corporate IT Strategy Group</b>		
Recommended		

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| <b>08LCCS01 - Linking the ICS and the Pupil Database</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                       |
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| <b>Directorate</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | LCCS                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                       |
| <b>Bid Details</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                       |
| <b>Description of the proposed scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                       |
| <p>The proposal is to integrate the two major child information systems operating in LCCS:</p> <ul style="list-style-type: none"> <li>○ <b>Integrated Pupil Database.</b> (Main education based system)</li> <li>○ <b>Raise Integrated Children's System (CS/YOT).</b> (Children's Social Care system)</li> </ul> <p>This will provide front line staff with the information they need help ensure good outcomes for children in accordance with the ECM framework and help the directorate feel the full benefit of integrated working.</p> <p>Both the Pupil database and the Integrated Children's system (ICS) are web services enabled (XML), we plan to make use of this facility to exchange information between the two systems.</p> <p>Examples of the kind of information we are proposing to transfer are:-</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> <p>From Pupil Database :</p> <ul style="list-style-type: none"> <li>• Current and previous schools</li> <li>• Special Education Needs</li> <li>• Previous exam test results</li> <li>• Exclusion information</li> <li>• Historic attendance information</li> <li>• Referrals to specialist support teams (Education Welfare, Behaviour support etc.)</li> </ul> </td> <td style="width: 50%; vertical-align: top;"> <p>From Raise:</p> <ul style="list-style-type: none"> <li>• Details of look After Children (including start date and end dates)</li> <li>• Indication of an active involvement with a child (Inc an indication of the team and possible contact officer)</li> <li>• Key worker information</li> </ul> </td> </tr> </table>                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                       | <p>From Pupil Database :</p> <ul style="list-style-type: none"> <li>• Current and previous schools</li> <li>• Special Education Needs</li> <li>• Previous exam test results</li> <li>• Exclusion information</li> <li>• Historic attendance information</li> <li>• Referrals to specialist support teams (Education Welfare, Behaviour support etc.)</li> </ul> | <p>From Raise:</p> <ul style="list-style-type: none"> <li>• Details of look After Children (including start date and end dates)</li> <li>• Indication of an active involvement with a child (Inc an indication of the team and possible contact officer)</li> <li>• Key worker information</li> </ul> |
| <p>From Pupil Database :</p> <ul style="list-style-type: none"> <li>• Current and previous schools</li> <li>• Special Education Needs</li> <li>• Previous exam test results</li> <li>• Exclusion information</li> <li>• Historic attendance information</li> <li>• Referrals to specialist support teams (Education Welfare, Behaviour support etc.)</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <p>From Raise:</p> <ul style="list-style-type: none"> <li>• Details of look After Children (including start date and end dates)</li> <li>• Indication of an active involvement with a child (Inc an indication of the team and possible contact officer)</li> <li>• Key worker information</li> </ul> |                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                       |
| <b>Links To Corporate Strategy</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | This proposal links to the following corporate strategy elements                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                       |
| <b>PI4, PI5, PI6, PI7, PI9, DS1-3, V4, IT1-5</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                       |
| <b>Benefits of undertaking the scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                       |
| <p><b>Practitioners will have access to timely and accurate background information and other practitioner's involvement</b> for the children they are working with required by ECM.</p> <ul style="list-style-type: none"> <li>• Having the <b>right information at the right time</b> has a big impact on the services offered. Information sharing and its impact on the delivery of 'good outcomes' for children is a central theme running through the whole of the Every Child Matters agenda.</li> </ul> <p><b>Improved management information reports</b> that make use of information from the directorates main systems without the need for 3<sup>rd</sup> party databases.</p> <ul style="list-style-type: none"> <li>• Currently pupil matching is done on an ad hoc basis (mainly around looked after children). If information is requested that requires information from both data sources the development of the reports takes 2-3 days, matching done on an on going basis would improve efficiency and significantly reduce response time.</li> </ul> <p><b>Enabling compliance with ICS 1B minimum Standards.</b></p> <ul style="list-style-type: none"> <li>• Currently no Unique Pupil Numbers are held in the Raise ICS system, these would be transferred from the pupil database to ICS.</li> </ul> <p><b>The Local YorOK index:</b> The automation of the links between the two databases would improve accuracy of the data available to the index and reduce the burden of collecting \ linking the information.</p> <p>The sharing of reference data is key to checking the consistency of the data held in the two systems and will help us <b>comply with the ContactPoint Local Data Quality standards</b>. The automation of this link will free up more resources to work on developing Contact Point data feeds from other bodies (inc the Private and Voluntary sector).</p> |                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                       |
| <b>Risks of not undertaking the scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                       |
| <p>Not undertaking this scheme or delaying its implementation would cause the directorate problems in the following areas:-</p> <ul style="list-style-type: none"> <li>• The lost opportunity to improve the integrated working across the directorate</li> <li>• Reduced efficiency and delays in front line staff having accurate information available to them. In</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                       |



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| <p>particular <b>lack of information</b> about the service currently involved with a child could <b>lead to poorer outcomes for children and young people</b>.</p> <ul style="list-style-type: none"> <li>• Preparation for <b>National Contact Point</b> (due to be implemented at the end of Dec 2008), would be significantly hampered by significantly poorer quality local data which could jeopardise the local success of this key initiative.</li> <li>• <b>Non compliance with the governments Integrated Children's Systems(ICS) 1B minimum Standards</b> by the end of March 2008.</li> </ul> |         |                              |     |
| <b>Risk and Impact Score</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | 44      | <b>Resource Requirements</b> | Low |
| <b>Scheme budget</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |         |                              |     |
| Guide Capital                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | 2008/09 | Continuing                   |     |
| £35,000                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | £13,040 | £13,040                      |     |
| <b>Recommendations of the Corporate IT Strategy Group</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |         |                              |     |
| High priority for the directorate. Recommended                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |         |                              |     |

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<b>08LCCS02 - Children's Centres Database</b>	
<b>Directorate</b>	LCCS
<b>Bid Details</b>	
<b>Description of the proposed scheme</b>	
<p>The local authority requires a robust and credible means of monitoring and evaluating the performance of its Children's Centres from 1 April 2008 onwards. Funding is required to (i) undertake a thorough technical and business appraisal that will inform a choice about the effectiveness and cost-effectiveness of a range of available options for procuring a Children's Centres database, including an assessment of whether existing systems can be used; and (ii) purchase and implement a preferred solution, as necessary, if there is no reasonable alternative to introducing a new system.</p>	
<b>Links To Corporate Strategy</b>	This proposal links to the following corporate strategy elements
<b>PI4, PI5, PI6, PI7, PI9, DS4, DS6, V1, V3, V4, IT1-5</b>	
<b>Benefits of undertaking the scheme</b>	
<p>A national performance management framework for Sure Start Children's Centres has been published by the Department for Children, Schools &amp; Families (previously the DfES). The performance of Sure Start Children's Centres will contribute to the Children's Services Annual Performance Assessment and to the Council's Comprehensive Performance Assessment. They will make a significant contribution to the Council's corporate priorities, as outlined above. There is likely to be a national Public Service Agreement target on improving outcomes for children, to which the performance of Children's centres will contribute. The Joint Area Review (due locally in February 2008) will also assess the performance of Sure Start Children's Centres and their contribution to meeting the overall objectives of the Children &amp; Young People's Plan.</p> <p>A Children's Centres database is required to support and evidence:</p> <ul style="list-style-type: none"> <li>• A strong performance against key national and local indicators, as measured by year-on-year improvements in performance;</li> <li>• continuous service improvements, as measured by the range and variety of services offered and the numbers of children and parents/carers accessing those services;</li> <li>• the targeting of services on the most vulnerable families, where the risk of poor outcomes for children is greatest, as measured by increasing numbers of contacts with children and families in priority</li> </ul>	

<p>groups, for example, lone parent families, teenage mothers; and</p> <ul style="list-style-type: none"> <li>customer satisfaction, as measured by feedback from children and parents/carers through a variety of routes, for example, parental involvement in governance arrangements; questionnaires; parents' forums.</li> </ul>			
<b>Risks of not undertaking the scheme</b>			
<p>There are clearly risks to the reputation of the local authority if it does not have a robust and credible means of monitoring and evaluating the performance of its Children's Centres and demonstrating their contribution to national and local priorities.</p>			
<b>Risk and Impact Score</b>	53	<b>Resource Requirements</b>	Low
<b>Scheme budget</b>			
Guide Capital	2008/09	Continuing	
£43,500	£10,614	£10,614	
<b>Recommendations of the Corporate IT Strategy Group</b>			
<p>Include an assessment of whether existing systems can be used, avoid introducing a new system unless there is no reasonable alternative.</p>			

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| <b>08LCCS03 - Extension of Integrated pupil database</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                  |
| <b>Directorate</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | LCCS                                                             |
| <b>Bid Details</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                  |
| <b>Description of the proposed scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                  |
| <p>The LCCS directorate is seeking to improve the information systems, integration and reporting functionality required to support the Government's 'Every Child Matters' (ECM) framework and a range of other local and corporate objectives. This bid is a key part of the authority's response to the framework, which has highlighted the need for practitioners working with children to share information and improve integrated working.</p> <p>The Integrated Pupil Database is the main database in the directorate containing education-based information on the majority of children living in York across all tiers of the pyramid of need. It is already used to deliver the information needs of York's local index (the YorOK index).</p> <p><b>The proposal:</b><br/>The proposal covers :-</p> <ul style="list-style-type: none"> <li>Further extension to the Integrated Pupil Database by the purchase of two more specific modules, <b>Children missing education</b> and <b>Session attendance</b>.</li> <li>The purchase of Group Call software to enable the <b>regular automated collection of information from schools</b> to enable us to increase the frequency of collection from once a term to weekly.</li> <li>Improvements in the <b>reporting facilities</b> for the system by upgrading our server to SQL 2005 and making use of new reporting services software, provided by Microsoft. This will enable development of sophisticated reports quickly and easily, improving the quality and accessibility of information available to front line staff and middle and senior management.</li> <li>Purchase of <b>additional training and consultancy</b> in order to keep up with new functionality and development available in the existing system.</li> </ul> <p>These four developments will improve our ability to track children and ensure that every child has access to high quality provision, which meets their specific needs.</p> |                                                                  |
| <b>Links To Corporate Strategy</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | This proposal links to the following corporate strategy elements |
| <b>PI4, PI5, PI7, PI9, DS2, DS3, DS6, DS7, V3, V4, IT1, IT3, IT4</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                  |

| <b>Benefits of undertaking the scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |         |                              |
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| <p><b>This bid if successful will:-</b></p> <ul style="list-style-type: none"> <li>• Assist the LA to meet the statutory requirement to identify children missing education (CME).</li> <li>• Increase the frequency of collection of pupil data from schools, so the database can provide front line staff with an up to date picture of a child's circumstances.</li> <li>• Maintain a database register of all children missing education (specified good practice by DCSF).</li> <li>• Contributing to safeguarding children by providing up to date information to the Education Welfare team, assisting them in their work to reduce unauthorised absence.</li> <li>• Poor attendance has been linked closely to poor attainment. This bid should have an indirect impact on attainment particularly of key groups that traditionally suffer from low attendance (travellers) or a disrupted education (looked after children).</li> <li>• Help prepare LCCS for the introduction of Contact Point in December 2008. We have a duty to develop and ensure the quality of local data sources, to be used to help us work with our local partner organisations</li> </ul> <p><b>Improved data accessibility</b></p> <ul style="list-style-type: none"> <li>▪ Increase the number of practitioners directly accessing information held in the integrated pupil database from 25 to 40 and through integration with Raise and Contact point enable access to a range of professionals working with children.</li> <li>▪ Enhanced reporting will enabling reporting across sections and modules. Currently it can take several weeks to develop a new report. If this proposal is successful it will: <ul style="list-style-type: none"> <li>○ Improve the reporting functionality making information more accessible to front line staff, by enabling reports to be delivered over the web.</li> <li>○ Improve information available to senior and middle managers, giving them the information they need to make informed and timely decisions.</li> </ul> </li> </ul> <p><b>Improved quality of data in schools systems,</b> more regular collection of data from schools will provide MIS with the information they need to work more closely with schools to improve the quality and accuracy of the data they hold.</p> |         |                              |
| <b>Risks of not undertaking the scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |         |                              |
| <p><b>Failure to meet statutory duties:</b><br/>The LA has a statutory duty to identify children at risk of missing education (CME's). If this bid is unsuccessful we would be in danger of failing to fulfil our statutory duty to identify these key vulnerable groups of children and would not be complying with best practice guidelines which specify that a database register should be maintained of all CME's.</p> <p><b>Failure to identify vulnerable groups:</b> The regular collection of data from schools and in particular the collection of information on absence has an important role to play in identifying and working with vulnerable groups of children and ensuring they are receiving a good quality education. The reasons for non-attendance can be many and complicated and can provide an early indicator for other more serious underlying problems enabling early intervention. Failure to identify that a child is vulnerable could lead to a poor outcome for that child.</p> <p><b>Contact point:</b> We have a duty to provide high quality local data on service involvement to Contact Point. Failure of this bid would make fulfilling this requirement problematic. In particular this bid if successful has an important role to play in ensuring data quality.</p> <p><b>Failing to make use of available technology):</b> If unsuccessful we will be failing to take full advantage of the capability of current technology particularly in the areas of reporting and data collection.</p> <p><b>Falling behind other authorities:</b> With a growing number of GroupCall implementations (over 35 LAs), the regular collection of data from schools is rapidly becoming the norm. If we don't put this in place we will be falling behind other authorities, in particular a number of our neighbouring authorities are already using this method, inc North Yorkshire, Leeds, Bradford.</p>                                                                                                                                                                                                                                                                                                                                                                                      |         |                              |
| <b>Risk and Impact Score</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | 43      | <b>Resource Requirements</b> |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |         | Low                          |
| <b>Scheme budget</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |         |                              |
| Guide Capital                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 2008/09 | Continuing                   |
| £56,700                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | £22,835 | £22,835                      |
| <b>Recommendations of the Corporate IT Strategy Group</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |         |                              |
| Recommended                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |         |                              |

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<b>08LCCS04 - ILR Data Software for Adult &amp; Community Education</b>			
<b>Directorate</b>	LCCS		
<b>Bid Details</b>			
<b>Description of the proposed scheme</b>			
<p>Software upgrade to the current bespoke Adult Education MIS System which is used to generate a mandatory Individual Learner Record (ILR) return to the Learning &amp; Skills Council (LSC). This return generates over £1.1million in direct funding. The current software providers (Tribal) are migrating the system from an Oracle Forms interface to .NET and de-support notices have been received for modules fundamental to this return. Once de-supported, modules will not be kept up to date with current LSC specifications which, in turn, would render our ILR return invalid resulting in no funding being generated. It should be noted that, as the service receives no direct funding from the Council or other sources, failure to produce this return would result in the closure of the service.</p>			
<b>Links To Corporate Strategy</b>	This proposal links to the following corporate strategy elements		
C17, PI5, PI6, PI7, DS6, IT1-5			
<b>Benefits of undertaking the scheme</b>			
<p>The service will remain working and able to generate the funding required to deliver the adult learning programme (which includes Family Learning and Skills for Life Programme) to meet not only the Corporate Strategies detailed above but also national priorities.</p> <p>ILR data is also required to measure performance and set future targets which, in part, helped us to achieve a successful inspection outcome (a Grade 1 was achieved for Family Learning and Skills for Life provision). Existing reports meeting all requirements for BVPIs, self assessment, national targets, funding targets etc will still be compatible with the upgraded system, there will be no need for the creation of new ones.</p> <p>The move towards a web based product will improve the performance of the current software, give the users a simpler interface and easier access. Currently all staff accessing the system have to do so via an NTrust connection to Citrix at a current cost of approximately £50 per year per user. With over 20 users, if implemented, there could be an eventual saving of over £1,000 per annum.</p>			
<b>Risks of not undertaking the scheme</b>			
<p>Without an ILR return, the service would be unable to generate the £1.1million of direct funding from the LSC which would effectively mean that the service is unable to operate. If the service closed, this would affect not only Adult Education but also Family Learning and Skills for Life provision throughout the city which contribute to local and national priorities and strategies.</p> <p>As well as the mandatory returns, the ILR data is also used for reporting purposes such as curriculum planning, self assessment, quality assurance, equal opportunities management, student focus groups etc. Data is used directly to inform planning, without which it would be difficult not only to respond effectively to the needs of the city's changing population (C17) but also to target provision in the most vulnerable and disadvantaged areas (P16 and P17).</p> <p>In addition, the Service is inspected by OFSTED and the Self Assessment Report is used to inform as to the level of inspection required. Data also plays a large part of any subsequent inspection so if this were not available there would be a very high likelihood of an unsatisfactory inspection report. As any OFSTED inspection (formerly Adult Learning Inspectorate) is part of a multi-remit inspection of the Council's whole post 16 provision, this would have a corporate impact.</p>			
<b>Risk and Impact Score</b>	66	<b>Resource Requirements</b>	Low
<b>Scheme budget</b>			
Guide Capital	2008/09	Continuing	

£8,775	£2,141	£2,141
<b>Recommendations of the Corporate IT Strategy Group</b>		
Recommended		

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|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>08LCCS05 - RAISE on going development</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                  |
| <b>Directorate</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | LCCS                                                             |
| <b>Bid Details</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                  |
| <b>Description of the proposed scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                  |
| <p>Children’s and Family service have, under the Every Child Matters Agenda and ICS (Integrated Children’s System) minimum standards, a legislative obligation to remain compliant with detailed ways of working. The minimum standards for ICS compliance are published by central government in a phased manner with items 1c and 2 due for release during the later part of 07 and first half of 08 respectively. This approach to change requires our system suppliers to create new functionality within the ICS system in order to meet these standards, unfortunately there has been no announcement of additional funding to allow for this work to be paid for by the directorate.</p> <p>Information could potentially be stored outside of the core system but this approach would result in the creation of isolated systems that present high risk and result in inefficient practices.</p> <p>This bid is an in year funding requirement to ensure that the directorate can purchase the new modules required. The value has been defined by reviewing the costs associated with moving from Phase 1 to 1b compliance.</p> <p>Should further announcements be made in relation to compliance that require additional functionality or new modules further funding may be required in future years.</p> <p>It is also necessary to migrate the existing database off the current ‘legacy’ platform to ensure ongoing support from the supplier.</p> |                                                                  |
| <b>Links To Corporate Strategy</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | This proposal links to the following corporate strategy elements |
| <b>CI4, CI7, PI7, PI10, DS5, DS6</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                  |
| <b>Benefits of undertaking the scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                  |
| <p>The business will benefit from having an ICS system that supports Children’s and Families :</p> <ul style="list-style-type: none"> <li>• by enabling workflow to be applied to business processes and improving efficiency.</li> <li>• ensure that children’s data is held in a manner that reduces the risk of harm to children.</li> <li>• allows the directorate to become compliant with the legislative standards required by central government.</li> <li>• in reducing isolated data by holding it in the core system</li> <li>• reducing the need for duplicate entry and additional maintenance of 3<sup>rd</sup> party systems.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                  |
| <b>Risks of not undertaking the scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                  |
| <ul style="list-style-type: none"> <li>• The directorate will fail to remain compliant with government legislation which at a minimum could result in funding in other areas such as Contact Point being withheld. Non-compliance in such a critical area would most likely impact the status of LCCS as a whole reducing York from a leading to underachieving authority.</li> <li>• Having to maintain 3<sup>rd</sup> party databases for additional information will result in poor data quality and inefficient practices and use of resources.</li> <li>• Non-compliant systems and poor data quality will prevent the authority joining up with national systems such as Contact Point.</li> <li>• Not sharing data in an efficient manner can present significant risk to children.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                  |

|                                                           |         |                              |        |
|-----------------------------------------------------------|---------|------------------------------|--------|
| <b>Risk and Impact Score</b>                              | 64      | <b>Resource Requirements</b> | Medium |
| <b>Scheme budget</b>                                      |         |                              |        |
| Guide Capital                                             | 2008/09 | Continuing                   |        |
| £31,000                                                   | £7,564  | £7,564                       |        |
| <b>Recommendations of the Corporate IT Strategy Group</b> |         |                              |        |
| Recommended                                               |         |                              |        |

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<b>08LCCS06 - Integrated Transport Database</b>			
<b>Directorate</b>	LCCS		
<b>Bid Details</b>			
<b>Description of the proposed scheme</b>			
Extend the use of the Trapeze transport database into Housing and Adult Social Services by replacing the unsupported MS Access Database, as part of the Corporate Integrated Transport project.			
<b>Links To Corporate Strategy</b>	This proposal links to the following corporate strategy elements		
C17, PI2, DS1, DS6, V4, IT1-5			
<b>Benefits of undertaking the scheme</b>			
<p><b>Financial savings</b></p> <ul style="list-style-type: none"> <li>○ HASS transport is a core component of the overall transport review. The project as a whole is estimated to achieve savings of c£1.2m over 3 years. If the Trapeze system is not adopted by HASS a percentage of these identified savings will be at risk.</li> <li>○ The annual cost of contracted HASS transport is c£240k. By adopting Trapeze and a new method of procuring taxis we can expect an anticipated saving of between 10 and 20 percent of the total annual costs.</li> </ul> <p><b>Business Improvement</b></p> <ul style="list-style-type: none"> <li>○ The service currently operates using an access database. This is unstable and requires significant administration time to keep running. By adopting Trapeze we can minimise the risk of system failure and reduce the amount of administrative time spent on maintaining the current system.</li> <li>○ In addition the transport teams from LCCS and HASS are now integrated and we need to be using one common IT platform to deliver the service.</li> </ul> <p><b>Additional benefits:</b></p> <ul style="list-style-type: none"> <li>• Potential better control of costs</li> <li>• Improved audit trail</li> <li>• Move to integrated system in line with IT Strategy</li> <li>• Provision of a supported system for additional security</li> </ul>			
<b>Risks of not undertaking the scheme</b>			
<p>The current HASS ACCESS database is unsupported, consequently if the current system fails there is the risk of losing all data which will lead to a serious service failure.</p> <p>Without both LCCS and HASS transport data being loaded onto TRAPEZE it will be very difficult to fully utilise all transport resource across the City.</p>			
<b>Risk and Impact Score</b>	41	<b>Resource Requirements</b>	Medium

<b>Scheme budget</b>		
Guide Capital	2008/09	Continuing
£10,100	£3,964	£3,964
<b>Recommendations of the Corporate IT Strategy Group</b>		
Recommended		

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| <b>08LCCS07 - New Finance System for Schools and the LA</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|
| <b>Directorate</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | <b>Learning, Culture and Children's Services</b> |
| <b>Bid Details</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                  |
| <b>Description of the proposed scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                  |
| The request is for a Business appraisal, to inform and lead to the replacement of the financial management system for schools in the following year.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                  |
| <b>Links To Corporate Strategy</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                  |
| This proposal links to the following corporate strategy elements                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                  |
| <b>CI2, CI6, PI5, PI7, PI10, DS1, DS5, V1, V3, V4, IT1, IT3, IT4</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                  |
| <b>Benefits of undertaking the scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                  |
| <p>The new system will deliver system improvements that will benefit schools and the LA as follows:</p> <ul style="list-style-type: none"> <li>• Double entry system</li> <li>• Electronic or no data transfer to minimise human error</li> <li>• Improved reporting</li> <li>• Improved resilience</li> </ul> <p>Changing the system will deliver potential efficiencies both to the Council and to its schools. The current system of transferring electronic data to schools is paper based and labour intensive. An appropriate system should reduce the volume of paper, energy and manpower used to complete these processes.</p> <p>The new system will enable staff to deliver quality information for governors, managers and the LA which will enable sound spending decisions to be made. Data for all schools in one area will enable more effective and efficient monitoring and interrogation of school budgets whilst reducing the number of requests for information schools receive from the Authority.</p> <p>Business continuity is protected as the risk of data being corrupted by an unsupported system is minimised.</p> <p>If the analysis finds that one system for schools and the LA is the best way forward then this is likely to be an efficient solution, recommended by CIPFA. The ability to analyse the cost of levels of curriculum delivery will be greatly beneficial.</p> |                                                  |
| <b>Risks of not undertaking the scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                  |
| <p>The current software will be de-supported by April 2011. Running the system without this support would introduce an unacceptable level of risk to the LA, schools and public funds. Schools are spending in the region of £77.5m annually and require a robust financial system to ensure that they are protected and that governors are provided with information from a system that they have confidence in when making spending decisions. Being part of the Council's budget, a poor quality financial management system in schools could have an adverse impact on Corporate budget processes.</p> <p>The LA has a statutory duty to challenge and monitor school budgets, which would prove difficult without a reliable FMS.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                  |

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| If an appraisal is not carried out, the service will be exposed to the risk of a poorly researched solution that may not satisfy the requirements. |         |                              |
| <b>Risk and Impact Score</b>                                                                                                                       | 61      | <b>Resource Requirements</b> |
|                                                                                                                                                    |         | Medium                       |
| <b>Scheme budget</b>                                                                                                                               |         |                              |
| Guide Capital                                                                                                                                      | 2008/09 | Continuing                   |
| £0                                                                                                                                                 | £0      | £0                           |
| <b>Recommendations of the Corporate IT Strategy Group</b>                                                                                          |         |                              |
| Recommended.                                                                                                                                       |         |                              |

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<b>08LCCS08 - Replacement of Primary School Management Information System</b>		
<b>Directorate</b>	LCCS	
<b>Bid Details</b>		
<b>Description of the proposed scheme</b>		
<p>Business appraisal support is requested from the IT department to ensure that the appropriate expertise is used to delivery our major primary school Management Information System replacement project.</p> <p>All 54 primary schools in York use the RM Integriss school management information system which has an important administration and information role in schools. RM, the current suppliers of the system are planning to withdraw support for the system within the next 24 months as they move to a new web based system. We need to investigate the IT software, hardware, infrastructure and financial cost of this new web based system and the other major management information systems available to schools.</p>		
<b>Links To Corporate Strategy</b>	This proposal links to the following corporate strategy elements	
CI2, PI7, DS1, V1, V4, IT1, IT4		
<b>Benefits of undertaking the scheme</b>		
<p>It will ensure that the experience and expertise of the IT department will be utilised within this major project. This will help to ensure that any proposals that come out of this process are well conceived and offer a practical, robust and useable solution for Primary Schools.</p> <p>IT has a particularly important role in ensuring that any proposed system:</p> <ul style="list-style-type: none"> <li>• Meets data security and encryption standards</li> <li>• delivers secure storage of data in a cost effective way</li> <li>• is compatible</li> <li>• complies with corporate contractual procedures</li> <li>• and if necessary European tendering procedures</li> <li>• Significantly reduces the risk of the wrong system being purchased</li> </ul>		
<b>Risks of not undertaking the scheme</b>		
<ul style="list-style-type: none"> <li>• The current primary school management information system supplier will withdraw support for the system and primary schools will not have a replacement system in place. It is a statutory requirement that schools have a British Educational Communications and Technology Agency (BECTA) specified system to record information about individual pupils attending a school.</li> </ul>		
<b>Risk and Impact Score</b>	44	<b>Resource Requirements</b>
		Medium



Scheme budget		
Guide Capital	2008/09	Continuing
£0	£0	£0
Recommendations of the Corporate IT Strategy Group		
Recommended		

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| 08RES01 - Financial Management System Integration and Business Process Reengineering                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                  |
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| Directorate                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Resources                                                        |
| Bid Details                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                  |
| Description of the proposed scheme                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                  |
| <p>The Financial Management System (FMS) replacement project was approved as part of the 2004/05 IT Development Plan. The age of the current system has resulted in a number of work-arounds being imbedded in to business processes to enable its operation. As the replacement project has advanced it has become increasingly clear that modern financial systems offer a much greater degree of flexibility and automation. This creates important integration and business process re-design (BPR) opportunities to improve operational processes and services to our customers.</p> <p>The current FMS has 18 interfaces with other systems, many of which involve manual processes and checks to make them operate effectively. Since the original bid a market leading integration solution has emerged (in the form of Microsoft Biztalk) which moves away from the traditional point-to-point connections to a more flexible hub and spoke approach for linking systems. Biztalk has been adopted as the CYC standard for interfaces and will reduce the level of manual intervention currently employed.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                  |
| <b>Links To Corporate Strategy</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | This proposal links to the following corporate strategy elements |
| <b>CI4, CI6, DS1, DS5, V1, V4, IT1, IT3, IT4</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                  |
| Benefits of undertaking the scheme                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                  |
| <p>A fully integrated FMS with efficient workflow will provide the Council with a thoroughly modern and cost effective solution to the business challenges we face:</p> <ol style="list-style-type: none"> <li>1. A fully integrated system with improved automation of interfaces between CYC systems that share common data with FMS, operating in real time as appropriate, enabling the customer to obtain accurate and timely information</li> <li>2. Improved ability to record key financial, analytical and statistical data essential for best value performance management reporting.</li> <li>3. A system that uses current technology, simplifying support and training, and ensuring the business continuity needs are fully catered for.</li> <li>4. Integration with the more sophisticated reporting solution that comes with the new FMS will provide improved cross council reporting and decision making as a result of better information management.</li> <li>5. Standardised business processes to facilitate best practice across the Council, particularly in the areas of e-Procurement (Purchasing and Invoicing)</li> <li>6. A positive response to both CPA and Gershon requirements as a result of the service improvements derived from BPR.</li> <li>7. The management of Workflow via the system, in areas where complex document flows have been identified and the opportunity for improving business processes exists.</li> <li>8. BPR should ensure that services are delivered more efficiently, releasing staff capacity for other work.</li> </ol> |                                                                  |
| <b>Measuring the Benefits</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                  |
| A key best value performance indicator affected by the new system is BVPI 8, the number of                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                  |

invoices paid within 30 days of receipt. The system will enable productivity gains by eliminating workarounds and through the Purchase to Pay Cycle e.g. reducing the number of manually input invoices, ICT's and miscellaneous cash income transactions.

**Target Measures:**

- 18 batch interfaces, some of which require manual intervention  
Target: 14 supported interfaces and 4 removed through BPR
- B-Cash income (37,000 transactions per annum)  
Target: Reduced to 3,700 transactions per annum
- Internal billing (11,000 manual ICT's per annum)  
Target: 100% electronic ICT's per annum
- The purchase to pay cycle (28,000 Manual Purchase Orders)  
Target: 95% electronic transactions (approx. 5% Manual Purchase Orders remaining)
- Scanning the majority of (not all) Invoices after processing for reference and storage  
Target: Scanning of all Invoices before processing to facilitate workflow and management of the process as well as for reference and storage
- Current Controlled Stationery Budget  
Target: Reduction of Controlled Stationery Budget by approximately 10%

**Risks of not undertaking the scheme**

Failure to interface and integrate properly with the new FMS, will jeopardise effective management of financial activity resulting in a financial crisis, misallocation of resources, qualification of accounts and poor CPA scores. More staff resources would be needed to reconcile data to ensure accuracy.

Failure to undertake BPR will result in processes remaining as they do with the current system, reducing the benefits of having a modern financial system and not being able to release efficiency savings to allow the redirection of resources to other priority areas.

|                                                                                                                         |         |                              |      |
|-------------------------------------------------------------------------------------------------------------------------|---------|------------------------------|------|
| <b>Risk and Impact Score</b>                                                                                            | 62      | <b>Resource Requirements</b> | High |
| <b>Scheme budget</b>                                                                                                    |         |                              |      |
| Guide Capital                                                                                                           | 2008/09 | Continuing                   |      |
| £200,000                                                                                                                | 74,000  | £74,000                      |      |
| <b>Recommendations of the Corporate IT Strategy Group</b>                                                               |         |                              |      |
| Re-costed for project team to review:<br>Software: £140,000 Services: £30,000 Contingency: £30,000 Maintenance: £25,000 |         |                              |      |

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<b>08RES02 - HR/Payroll Business Appraisal/Replacement</b>	
<b>Directorate</b>	<b>Resources</b>
<b>Bid Details</b>	
<b>Description of the proposed scheme</b>	
<p>The existing HR/Payroll system was purchased in 1998 and is now 9 years old. Due to the need to comply with updated BVPI reports, Equalities, Absence monitoring, Recruitment and Job Evaluation the Authority has to constantly invest in costly CYC specific enhancements to facilitate our requirements. There is also an increasing need for additional functionality to provide accurate, timely and detailed management information to meet both Government and Department requirements.</p> <p>Following a business appraisal, which looked at a number of options, the recommended approach to address the weaknesses in the current system and ways of working is to procure and implement a replacement HR/Payroll Integrated system. It was felt that this was the most viable solution to provide CYC with a modern HR/Payroll system to meet the needs of the organisation as it prepares for the restructuring and changes in working practices ahead of the move into the new offices in Hungate.</p> <p>The scheme will involve a procurement exercise and system implementation. The opportunity will also be taken to undertake a Business Process Redesign in order to improve the way in which information is managed between HR and Payroll, with the intention of delivering the service improvement benefits</p>	

below.		
<b>Links To Corporate Strategy</b>		This proposal links to the following corporate strategy elements
CI1, CI4, DS1, V1, V2, V3, V4, IT1, IT3		
<b>Benefits of undertaking the scheme</b>		
1. More effective use of staff time		
<ul style="list-style-type: none"> <li>Manual input and checking of new starter forms, post amendment forms, employee change forms etc (approx 700 per month) entered onto the system by HR administrators and checked by payroll staff before accepting onto the payroll system <u>Target value</u> – a reduction of forms being checked by payroll of approx 90%</li> <li>Manual input of Neighbourhood services timesheets (approx 7,000 per annum) <u>Target value</u> – 99% reduction of manual entry equating to 0.5fte</li> </ul>		
2. Improved management information		
<ul style="list-style-type: none"> <li>The ability to produce timely and consistent management reports to improve decision-making and allow staff time to be redirected to other tasks <u>Target value</u> – the majority of reports available from the new system resulting in 85% reduction in ad-hoc report writing - equates to 4 days per month time savings</li> </ul>		
3. Information consolidation		
<ul style="list-style-type: none"> <li>Presently each directorate relies on spreadsheets and no consistent records are held in respect of corporate data. <u>Target value</u> – the use of full system integration and electronic means will result in 99% of corporate data being held on the system and accessible to managers, as appropriate</li> </ul>		
<b>Risks of not undertaking the scheme</b>		
<ul style="list-style-type: none"> <li>Decreases the risk of the current system not functioning as statutory requirements and data recording increase over time</li> <li>Service will remain static and may not be possible to make efficiency gains</li> <li>The existing system will become outdated and may in 18 months time no longer be supported by Midland Software</li> <li>The current system does not produce the required reports for the increasing statutory HR information and BVPI reports</li> <li>Absence data is not compatible with business requirements</li> </ul>		
<b>Risk and Impact Score</b>	41	<b>Resource Requirements</b> High
<b>Scheme budget</b>		
Guide Capital	2008/09	Continuing
£515,400	£40,308	£193,090
<b>Recommendations of the Corporate IT Strategy Group</b>		
Will need a high level of resource which will not be available in 08/09, estimated that the bulk of the work, 75%, will be later. A part year effect of 25% was applied to reflect this.		

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| <b>08COR06 - Citrix Upgrade</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                  |
| <b>Advance Information Of A 2009/10 Requirement</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                  |
| <b>Directorate</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | <b>Resources</b> |
| <b>Bid Details</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                  |
| <b>Description of the proposed scheme</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                  |
| <p>Current Citrix platform which delivers about 95% of all applications used in the authority, runs on Windows 2000 Server and uses Citrix Presentation Server 4. We will need to move to a later release of both as support for both will end in 2009.</p> <p>The current installation of Office 2000 is unsupported from July 2009 and will need to be upgraded or an alternative be evaluated.</p> <p>This bid is closely linked to Bid 08COR01 – Desktop Equipment Review, and will be looked at in tandem</p> |                  |

|                                                                                                                                                                                                                                                                                                                                          |          |                                                                  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|------------------------------------------------------------------|
| with it.                                                                                                                                                                                                                                                                                                                                 |          |                                                                  |
| <b>Links To Corporate Strategy</b>                                                                                                                                                                                                                                                                                                       |          | This proposal links to the following corporate strategy elements |
| <b>CI4, PI1-10, IT1-4</b>                                                                                                                                                                                                                                                                                                                |          |                                                                  |
| <b>Benefits of undertaking the scheme</b>                                                                                                                                                                                                                                                                                                |          |                                                                  |
| To continue to provide a flexible, reliable and efficient application delivery mechanism. The increase in flexible working, hot desk working and remote working can only be achieved by using a server based computing solution such as Citrix. It is essential that this continues to be efficient, effective and most of all reliable. |          |                                                                  |
| <b>Risks of not undertaking the scheme</b>                                                                                                                                                                                                                                                                                               |          |                                                                  |
| The current solution will become unsupported during 2009 and this will expose the authority to a significant risk of service failure and reputation damage should the system fail and no support be available. The risk of such a failure is quite low but the impact would be significant.                                              |          |                                                                  |
| <b>Risk and Impact Score</b>                                                                                                                                                                                                                                                                                                             | 58       | <b>Resource Requirements</b> High                                |
| <b>Scheme budget</b>                                                                                                                                                                                                                                                                                                                     |          |                                                                  |
| Guide Capital                                                                                                                                                                                                                                                                                                                            | 2008/09  | Continuing                                                       |
| £970,785                                                                                                                                                                                                                                                                                                                                 | £242,946 | £242,946                                                         |
| <b>Recommendations of the Corporate IT Strategy Group</b>                                                                                                                                                                                                                                                                                |          |                                                                  |
|                                                                                                                                                                                                                                                                                                                                          |          |                                                                  |

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<b>08COR09 - Exchange Mail Upgrade</b>		
<b>Advance Information Of A 2009/10 Requirement</b>		
<b>Directorate</b>	Corporate	
<b>Bid Details</b>		
<b>Description of the proposed scheme</b>		
The current Exchange 2003 system reaches the end of mainstream support in April 2009. Although the product continues to be supported with patches and security updates after this date, no performance or feature updates will be provided.		
<b>Links To Corporate Strategy</b>		This proposal links to the following corporate strategy elements
<b>CI4, PI10, IT1-4</b>		
<b>Benefits of undertaking the scheme</b>		
To provide a secure, reliable and robust electronic mail system. To help facilitate and support flexible working, home working, remote working and mobile working. The use of mobile data access is increasing and with the mobile working project will increase at a faster pace. The basis for the delivery of some of this is a robust exchange system.		
<b>Risks of not undertaking the scheme</b>		
The current solution will out of mainstream support from April 2009 which means there will be no system enhancements issued by Microsoft. The solution will have basic break fix support after this time for a short period. We will not be able to take advantage of the enhancements in later versions for the secure, reliable and robust provision of data to mobile devices. All data sent to handheld PDA / Smart phones is now processed by exchange and we will need to upgrade the system if we want to take advantage of improvements in this delivery mechanism.		
<b>Risk and Impact Score</b>	na.	<b>Resource Requirements</b> High

<b>Scheme budget</b>		
Guide Capital	2008/09	Continuing
£174,028	£42,463	£63,903
<b>Recommendations of the Corporate IT Strategy Group</b>		

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# **CORPORATE IT DEVELOPMENT PLAN**

**2008/2009**

**ANNEX C**

Bids Rejected By CITSG At The First Review Session





Reference & Title	Description	Guide Capital	Annual Cost	CITSG Comments
<b>08COR-A - Network Infrastructure For Hungate</b>	The project will deliver the new ITT infrastructure enabling the council to realise the expected benefits from the new ways of working as part of the migration into the new accommodation at Hungate.	£ 950,000	N/A	This bid is to be funded from a future procurement exercise making optimum use out of existing revenue streams to fund the technology.
<b>08COR-C - Corporate Project Management Tool</b>	The Council has done a lot of work to improve the way projects are structured and controlled, however, we have neither common record management nor reporting facilities to support it. Time and money is requested to research and evaluate project support tools and, if a suitable tool is found, to purchase and implement it for corporate use.	£25,000	£10,000	This requires Corporate buy-in, backing and support to make it work. Refer to Heather Rice and Corporate Performance Improvement Team. The assessment of requirements should include our working with partner organisations and the cost implications for them.
<b>08COR-H - Citrix Farm Server Refresh</b>	Many of the servers in the current Citrix server farm are nearing the end of their end of life. The continued support costs for extended warranty are significant. We need to start to renew these servers over the next 3 years and should continue a rolling refresh policy to replace servers as they reach the end of their supportable life.	£11,000	£10,000	No further significant investment in new hardware to be made until we have decided upon the direction regarding the expansion of virtualisation as an option for delivering this service.
<b>08COR-M - Extension of Corporate Mobile Working</b>	There is a continued, and increasing need to enable workers to be able to carry out their jobs while on the move, on site, in customer's homes, with access to back office systems and the ability to complete their work immediately. The technology in this area is still relatively new and untried. This project will use AppSwing to pilot mobile technology in a number of business areas to assess the technical and business issues to inform the development of a longer-term strategy.	£ 60,000	£ / unknown	If the current solution being used for the current pilot is generally applicable then we may not need additional money, put forward as a time only extension, add money only if the current pilot indicates it will be required.
<b>08HASS-A - Continuing Development Of FLARE Within Housing</b>	The Housing Standards and Adaptations team currently use the "FLARE" system to record all the work relating to private sector housing and for management information required for statutory returns.	£ 7,000	£ 3,500	These are service operational costs and therefore should be funded by the department . The annual costs are very high - 50% of purchase price and need to be verified .

Reference & Title	Description	Guide Capital	Annual Cost	CITSG Comments
	Growth in the work of the team has meant that additional licences are now required to access the system in order to meet all the demands of both local service delivery and central government returns.			
<b>08HASS-B - GIS For Adult Services</b>	Adult Services, together with the Primary Care Trust, need to be able to develop commissioning and operational plans for services and also need to inform customers about the range of services that are available to them, both from statutory and voluntary agencies. This bid is for software and equipment to provide the ability to map where needs and services are located which will bring an extra level of understanding to the Service.	£ 6,380	TBC	This bid should be included within the Corporate GIS proposal. The PCs and equipment are operational costs and therefore should be funded by the department.
<b>08LCCS-G - Self Service For Acomb Library Learning Centre</b>	The request is for funding for hardware to introduce RFID technology to Acomb Library Learning Centre, enabling the public to self-issue books which would bring about staff time savings and extension of opening hours, helping move further towards meeting the National Public Library Standard.	£ 50,000	£12,000	The business case needs to identify the benefits and provide a cost justification. If this is solely in Acomb then the purpose of a pilot and any longer term roll out plans must be explained The bid should include an assessment of other self-issue technologies, in particular what St. John's use.
<b>08LCCS-H - Mobile Working To Support Children's Social Workers</b>	The request is for IT staff time for business analysis and procurement/implementation support in order to make use of an ICT Capital Grant which has been allocated to the authority to take forward mobile technology to support the work of children's social workers. York has been allocated £25.6K – payments to be made 50% at Dec 2007 and 50% at March 08.	£ unknown	£ unknown	Submit the bid to the Corporate mobile project to be started this year following the current pilot as a priority above other service areas (due to the grant having to be spent this year).
<b>08LCCS-I - Secure Server Based e-Mail For YOT</b>	The request is for funding and staff time to implement a server based secure email solution which allows the Youth Offending Team (YOT) to send secure information to Youth Offenders Institutions and other authorities required for the	£ unknown	£ unknown	The business case and the requirements being asked for are unclear, need to investigate whether Government Connect will replace the EYE project before additional investment in an alternative

Reference & Title	Description	Guide Capital	Annual Cost	CITSG Comments
	Electronic Yellow Envelope (EYE) project, part of the Youth Justice Board's Wiring Up Youth Justice Project.			solution is supported.
<b>08LCCS-L - Music Tuition Management System</b>	To develop or replace the existing system used by the Music service to improve its usefulness to the service and to customers.	£ unknown	£ unknown	Insufficient business case presented, detailed business requirements review required and the scope must include reviewing any overlaps with the replacement FMS project. The amount of integration looks excessive and therefore needs to be rationalised or a robust business case provided to justify it.
<b>08LCCS-K – Upgrade Of IT requirements For Connexions</b>	The Connexions service is being merged into CYC and North Yorkshire Councils, this bid is intended to alert to possible implications for MIS systems and networks. A procurement for a new MIS is currently being conducted by the Connexions-CYC-North Yorkshire Connexions Transition partnership, aimed to be delivered by April 2008. This proposal is for prior notice of potential requirements.	£ unknown	£ unknown	Discussions on the broader networking options within North Yorkshire are in progress and this bid should be included as part of that agenda.
<b>08NS-A - Uniform Access In Planning</b>	Additional licences are required to provide access to the Planning database (Uniform) for members of the team to enable us to access planning documents and the history of a site	£ 400	£ 0	These are service operational costs and therefore should be funded by the department
<b>08NS-B - Remote Access To CYC Network For Licensing</b>	Before making a visit, Licensing officers need to check the Licensing system (Flare) and the Staff Warning Register. This project is to provide officers with mobile devices with remote access to the CYC network. to avoid the need to return to the office for unplanned visits, e.g. when on Noise Patrol.	£ unknown	£ unknown	This bid should be incorporate into the corporate mobile working project and its business case should be taken to project board.
<b>08NS-C - Access To</b>	At the moment, officers have to contact estate	ca. £1,000	ca. £ 1,000	This proposal should be incorporate into

Reference & Title	Description	Guide Capital	Annual Cost	CITSG Comments
<b>Housing Databases For NS</b>	managers to find out if a property is owned by the council and for tenants' details. The bid is for funding to provide mobile access to the Integrated Housing System.			the corporate mobile working project and consider doing this with the work on mobilising Housing. A business case will need to be taken to the project board.
<b>08NS-D - Support For The Hand-Held Food Flare System</b>	Inspections of food premises have been highlighted as a national priority for regulatory services and they will form part of the new performance framework for the council when CPA is replaced. The bid is to provide inspecting officers with mobile access to the Licensing system (Flare), to replace the current paper-based procedures and improve customer service.	£ 0	£ unknown	This bid should be incorporate into the corporate mobile working project and the business case will need to be taken to the project board.
<b>08NS-E - Contaminated Land Prioritisation Software</b>	Our current prioritisation approach for investigating land under Part IIA may not stand up under audit scrutiny. The bid is to procure contaminated land investigation prioritisation software.	Estimate of £5,000`	£1,000	ITT to be involved to investigate the requirement and solutions and a revised bid should be made forward if more money or IT time is required than shown in the outline.
<b>08NS-F - ArcEditor Software (ESRI)</b>	The bid is to purchase one ArcEditor licence to enable the Environmental Protection Unit to maintain their own geographical data.	£4,000	£ 1,000	These are service operational costs and therefore should be funded by the department



Executive

20<sup>th</sup> November 2007

Report of the Director for People and Improvement

## Comprehensive Performance Assessment – Self Assessment

### Summary

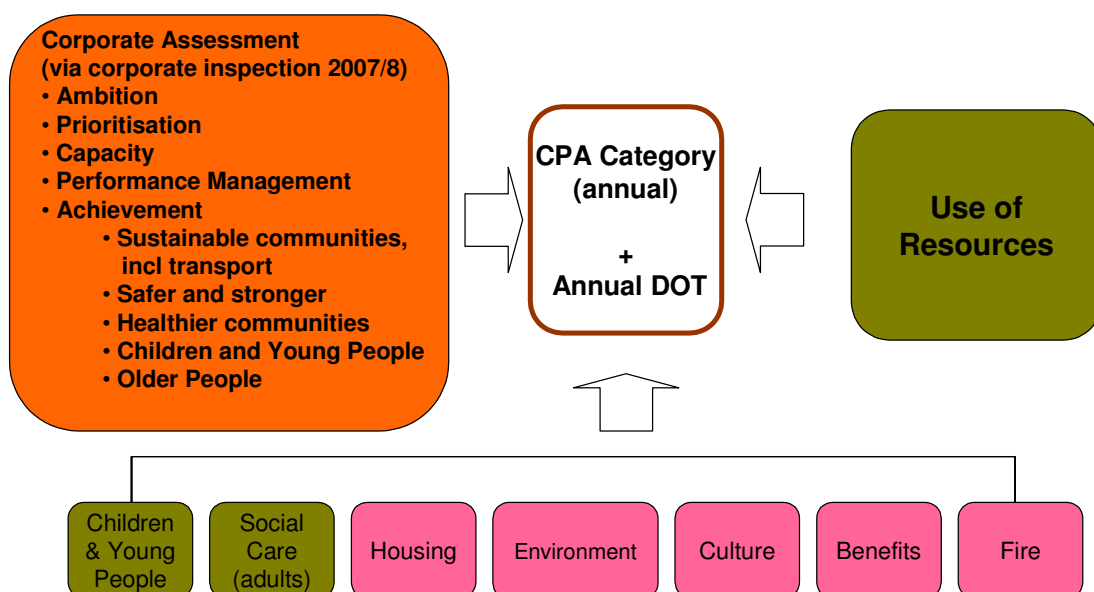
1. The report introduces our draft self assessment (Annex A) which will be submitted to the Audit Commission on the 10th December 2007, in preparation for our corporate inspection in January 2008.

### Background

#### CPA Context

2. Comprehensive Performance Assessment (CPA) measures how well councils are delivering services for local people and communities. It looks at performance from a range of perspectives and combines a set of judgments to provide both a simply understood rating and a more complete picture of where to focus activity to secure improvement.

### CPA Context - Model



Rules Colour Coding Key

Level 1

Level 2

3. The overall CPA star rating for the council (0 to 4 stars) is made up of 8 individual star ratings:
  - Corporate rating
  - Seven ratings for seven key service blocks (Benefits, Culture, Housing etc)
- There are a set of rules to bring these eight individual ratings together.
- Each of the seven service ratings is updated annually.
- The corporate rating is developed through a major corporate inspection.
- Our last corporate inspection was in Autumn 2002.
- Our next corporate inspection will be in January 2008

### **Corporate Inspection Process**

4. The Audit Commission will send in a team of CPA inspectors over a two week period (beginning 28th January 2008)
5. A corporate self assessment will be submitted beforehand. This will form the basis of the inspection (deadline 10th December 2007)
6. The Audit Commission will assess York against a set of criteria – called Key Lines of Enquiry (KLOE)
7. Simultaneously – The Joint Area Review (JAR) inspection for Children and Young People will be taking place, to inspect Children and Young People's services (one of the service blocks). The two inspection teams cross-reference with each other.
8. In the inspection weeks, the inspectors will want to talk to Members, senior managers, managers, staff, customers, partners, other government bodies. This will be in the form of interviews, focus groups, surveys etc

### **Corporate Inspection Framework (KLOE)**

9. There are five elements that we have to base our self assessment around– each worth 20% of the final judgement:
  - Ambition
  - Prioritisation
  - Capacity
  - Performance management
  - Achievement
10. Fundamentally the inspection is about asking three basic questions:
  - 1) What are we trying to achieve?
  - 2) How are we going to achieve it?
  - 3) Can we provide evidence of achievement against the programme?

## Consultation

11. Consultation on the detail of the self assessment has been wide ranging and inclusive in the hope of producing a document which is truly representative of our present position against the Audit Commission's Key Lines of Enquiry. Accordingly we have engaged with a range of stakeholders, both internal and external, to seek their views in shaping the document.
12. As the self assessment will form the starting point for the inspection team's work it is important that those people they will interview have had chance to have their say and recognise what the document contains. Consultation work has included engagement with Members, Departmental Management Teams and unions. Externally we have sought views, for example, from the Local Strategic Partnership and its thematic groups as well as community and interest groups represented on Inclusive York Forum.

## Options

13. We have a requirement by the Audit Commission to submit a self assessment.

## Analysis

14. See above.

## Corporate Priorities

15. The self assessment document is descriptive of our present strategic position and also indicates the direction of our future improvement journey. Accordingly it contains strong links to our Corporate Strategy and this, together with the extent to which it is embedded in the organisation, will in turn play a central role in informing the judgments of the inspection team.

## Implications

- **Financial** No implications
  - **Human Resources (HR)** No implications
  - **Equalities** No implications
  - **Legal** No implications
  - **Crime and Disorder** No implications
  - **Information Technology (IT)** No implications
  - **Property** No implications
  - **Other**
16. The self assessment forms the basis for our corporate inspection. Our corporate inspection score counts as a third of our overall CPA score. It is the only component that is not reviewed annually, therefore the score will be used in our overall rating until our next inspection (minimum of three years till our next inspection).

## Risk Management

17. The CPA project team, lead by the Director of People and Improvement, have a risk register for managing the inspection process.

**Recommendations**

18. It is recommended that the Executive endorse the content of the self assessment and appreciate that it will be subject to editorial changes by the Chief Executive.

Reason: To enable the self assessment to be sent to the Audit Commission according to their required timetable. We welcome any further comments from the Executive before submission.

**Contact Details**

**Author:**

**Author's name**

Janna Eastment

**Title** Improvement Officer

**Dept Name**

Policy, Improvement and

Equalities Team

Tel No. 01904 551019

**Chief Officer Responsible for the report:**

**Chief Officer's name** Heather Rice

**Title** Director of People and Improvement

**Report Approved**

**Date** 7<sup>th</sup> Nov 2007

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

**All**

**For further information please contact the author of the report**

Annexes

**All annexes to the report must be listed here.**

*Annex A – City of York Council's CPA self assessment*





## Comprehensive Performance Assessment (CPA)

# Self-Assessment Report

10 December 2007

### **Contents**

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- I. Foreword by Group Leaders
- II. Introduction by the Chief Executive
- III. Context
- IV. Self Evaluation
  - a. Ambition
  - b. Prioritisation
  - c. Capacity
  - d. Performance Management
  - e. Achievement

## I. Foreword by Group Leaders

We have a lot to be proud of in the beautiful and historic city York – our city has a deservedly global reputation as a great place to live and visit. Despite having the lowest funding per head of any comparable council in the country, we also have a lot to be proud of with our council. We have been assessed as a good council, but we are not complacent and we have a strong desire to improve – we believe that more can be achieved and we are clear what we want to do.

We as party leaders know that the council is driving the city's success and that through our dedicated staff we will continue to do this. Our senior managers understand that the council's reputation should be as strong as the city's in the services delivered to our customers and in the relationships built at a local, regional and national level. The foundations are already in place for moving our city forward, acknowledging our history and looking to the future and the prosperity of all our residents. We are ambitious for the city and we aim to transform our council into a modern, motivational and inspirational organisation. We do understand the importance of getting the balance right though, so that York remains the city we all love while it continues to thrive. We are looking forward to our Corporate Assessment as a significant milestone in our improvement journey.



Cllr. A. D'Agorne

**Leader of the  
Green group**



Cllr. S. Galloway

**Leader of the Liberal  
Democrat group**



Cllr. I. Gillies

**Leader of the  
Conservative group**



Cllr. D. Scott

**Leader of the  
Labour group**

## II. Introduction by the Chief Executive

I am pleased to have joined an organisation that has such ambition and drive to improve and this document is testament to the commitment I have seen to provide great service, particularly to the most disadvantaged groups in our communities. It shows the pride we have in our city and in our contribution to making York an outstanding place to live, work and do business. It also shows that we have an awareness of our strengths and our weaknesses - that we know who we are and where we are going, that we have plans and ambitions and we have the strategy to achieve those. And it shows where we are up to in that journey.

At the heart of our vision is the passion to secure excellent public value for our citizens. This means we keep the council tax low, we build coalitions of partners working in the public interest, we aim for excellence in our services – great outcomes shaped by and responsive to our customers – and that no one gets left out in York.

Our corporate strategy sets out our priorities and values as we make this journey, based on listening to what our communities tell us is important to them.

**Bill McCarthy**  
**Chief Executive**

### III. Context

1. York is a nationally prominent city for a range of reasons, not least for its history, but also for being one of the UK's most visited tourist centres, its rail links across the country, a centre of academic excellence, and its importance within the Church of England. It is a city where people have lived and worked for over two thousand years. This sense of permanence and national importance has a bearing on the present-day culture of the city and the council. But York is changing very rapidly. The council has been at the forefront of this change and we are keen to sustain and develop it further. We are working from a strong base and we are committed to a culture of continuous improvement, working with, and for, the people of York.
2. City of York Council area covers 105 square miles. Over 186,000 residents live in the boundaries, with some four million tourists visiting every year. York was declared "European Tourism City of the Year" in June 2007 by independent judges from European Cities Marketing (ECM). This level of tourism poses challenges for the city in balancing the needs of our residents, who are our primary concern, with the economic strength and opportunity that tourism brings.
3. York is the lowest spending unitary council in England. Our running costs for 2007/08 are budgeted at £379m, with a net spend of £103m. The key funding streams supporting this expenditure include Dedicated Schools Grant (£84m), Council Tax (£64m) and Revenue Support Grant / Non-Domestic Rates (£38m). We have 47 councillors representing 22 electoral areas. At present there are 20 Liberal Democrat councillors, 18 Labour councillors, 7 Conservative councillors and 2 Green Party councillors. Given this political balance it is vital that staff work effectively with all members in agreeing and delivering our priorities and vision.
4. The Future York Group has said "York's economy has been successful and competitive in comparison to other towns and cities in the region. The city has contributed significantly to the region's economy, and in the science and research and development sectors, to that of the nation. Employment has grown in the recent past by over 1,000 jobs per year and key policy decisions, for example in relation to Science City York, to public transport improvements and in supporting tourism, have clearly contributed to this success"
5. We recognise that we need to be 'one council'. In the past we have concentrated with considerable success on service areas, rather than the corporate whole, but the need for more corporate and strategic approaches has become apparent. We have now established systems and processes that will deliver a more corporate, prioritised and integrated organisation (*please see our improvement story below*).
6. The council has well developed and effective systems for communicating with residents through the quarterly publications [Your City](#) and [Your Ward](#), which cover council business at a citywide and local level respectively. Council tenants also receive [Streets Ahead](#) magazine four times a year. In 2007 we delivered our first printed A-Z to every household since 1999 at minimal cost, financing the publication's printing and distribution through advertising. Meetings open to the

public are frequent through council meetings Ward Committees and [councillor surgeries](#).

7. The council has a good track record in communicating with its staff with over 80% of staff saying they have the information they need to do their job well - the top result in the council's staff survey benchmarking group. The fortnightly bulletin [News and Jobs](#) and quarterly magazine [News in Depth](#) are the main sources of information for staff and are well established. The council has conducted five staff surveys with a 50% response rate in the most recent. This has shown a consistent upward trend in staff satisfaction.

**Case study 1: Our improvement story** – Kevin Banfield, Service Improvement Manager

*Our first CPA corporate inspection in 2002 confirmed we were a good council with some really excellent services. We knew though we could not be complacent so we committed to building on our successes and tackling the areas of weakness. We recognised that while we could (and still can) point to many examples of high quality services, there were a number of issues that we had to tackle and that key to it all was improved corporate working.*

*We started on an improvement journey which has taken us to our refreshed corporate strategy. One of the biggest steps was the Transforming York project which brought together all the council's improvement activity within one, joined-up change management programme. The IDeA Peer Review then gave us an understanding of the corporate management element of CPA and a 'mock' CPA self assessment in relation to the harder test told us where we were against the new CPA framework. Finally the Organisational Effectiveness Programme (OEP), the four internal priorities from the 2006 corporate strategy, has evolved and given us the improvement tool we need to continue our journey.*

*As a result there has been a marked cultural shift towards corporate working. In 2003 cross-*

*directorate working was unusual - now through the Corporate Leadership Group (CLG) and the Senior Managers Group (SMG) it is an expectation of all senior management.*

*This process has been helped by much more cross-cutting project work that has weakened the old 'silo' mentality and put the council in a good position as part of our administrative accommodation review for moving to one building as one council.*

*From Transforming York to the OEP the improvement process has affected this cultural change. Transforming York gave us a clear and agreed vision for the council (following extensive consultation with staff) which is now a part of the refreshed corporate strategy. It allowed us to align the council's aims to those of the city, the principles of which have again featured strongly in the corporate strategy and its refresh. It significantly improved service planning arrangements and embedded a positive performance management culture within the council. Finally it provided an improved method of delivering service improvement and an up to date constitution which sanctions decision making responsibility at the appropriate level.*

## IV. Self Evaluation

### a. Ambition

Are there clear and challenging ambitions for the area and its communities?

8. York wants to be a city of quality and innovation, known around the world for its exciting and sustainable future as much as for its historic past. We want it to be a great place to live, work and do business in, now and for future generations. We recognise that we have a major role to play in our city and our region, not just in providing excellent services but by fully engaging with all of our residents and partners. We believe we are well on the way to a shared vision and ambition for the city based on resident's views, the expert opinion of our partners and stakeholders, our analysis and benchmarking and our understanding of government priorities. We are validating this through 'Without Walls', the Local Strategic Partnership (LSP) which is effectively delivering the [community strategy](#). It is supported by the [Local Area Agreement \(LAA\)](#), which is owned by our partners and it will be expressed through the Sustainable community strategy.

9. The community strategy was launched in 2004 following an innovative consultation process (see box below from Gill Cooper), with a commitment to review it after three years. It is based on seven themes each with objectives and measures.
10. The LAA, which was produced for April 2007, allowed us to refresh the community strategy with our partners. It updated the outcomes and measures against which progress could be measured and reinvigorated strategic partnership working. York's LAA 2007-2010 was rated very highly by Government Office Yorkshire and Humber, and well received within the city. Partners generally regard the LAA as helping to move the community strategy forward and pave the way for the 2007 review that will lead to the creation of the Sustainable Community Strategy.
11. The process of reviewing the community strategy in 2007-8 includes a range of consultations called Festival of Ideas 2. This consultation and review process is being explicitly linked with the development of the Local Development Framework so that the long term strategy for the city and physical development of the city are aligned. This is entirely consistent with the governments 'Place Shaping' policy as set out in the Lyons Review. Consultation events include an all household questionnaire, ward committees, stakeholder events (for hard to reach groups for instance), public exhibitions and a city summit.

**Case Study 2: A Festival of Ideas** – Gill Cooper, Head of Arts and Culture

The red carpet was rolled out in July 2004, at the City Screen in York, for a viewing of a film of the city's vision for the future. The vision for York – its community strategy – was developed through a widespread consultation and reflection programme called the Festival of Ideas. The Festival demonstrated the potential of arts and culture to engage people in a dialogue about the future. Getting creative people involved in consultation brought a fresh approach. Many groups, particularly children and young people, are more likely to participate if the activities are innovative and enjoyable. The Festival programme had six main strands:

**Video work by hard to reach groups.**

Groups identified as hard to reach through normal survey methods were interviewed and filmed by young students from the media course at the local FE college. They included travellers, the homeless, single parents with young children, students, housebound elderly, and people with a mental or physical impairment. The edited 20-minute video allowed these groups to share their vision for York with other people. It was shown at Ward Committee meetings in order to spark debate.

**Postcards from the future.** We distributed postcards with jokey or unusual visions for York printed on one side and a space for people to write their own predictions. They were in

**Three wishes for York events.** Staff, easily identifiable in Without Walls t-shirts and with big bunches of yellow balloons, attended many events in summer 2003 "granting" three wishes for York to members of the public. Over 2000 wishes were recorded, 807 from school children, and with 150 of the wishes captured on camera.

**Hot topic debates.** Each of the Without Walls theme groups was asked to take on a debate about its most contentious issue. Seven hot topic debates were held, with feature articles in the evening press, three live Radio York phone-ins and votes on the hot topic question on the local BBC Radio website.

**Art and architecture competition.** An art and architecture competition for children up to eleven confirmed for us the strong interest that young people had in living in an environmentally friendly city.

**What's the big idea?** Every single household in York was asked to tell us what their big idea was, both for the city and for changes at local ward level. Over 1800 ideas came in and were used to contribute to ward based pride plans.

To share the results of the Festival with the public, a special 16-page supplement of York's local paper was published one week before our third City Conference. It included articles

council offices, conference centres, pubs, clubs and used in school personal, social and health education lessons. As the visions for the city came in, they were featured in ward newsletters and in the local paper, sparking further rounds of postcard writing.

on each key theme, special features from the Festival of Ideas events, and it launched the draft vision for the city.

12. In early 2005, prompted in part by the findings of the Peer Review (see our *improvement story – page x*), we committed to developing a long-term corporate strategy for the council. We recognised then that this would be essential to improve the way that we set out long-term ambition, the way we connect this ambition to the aspirations of the city as agreed through the community strategy, the way we prioritise what we do and crucially the way that all this is informed by the needs of residents.
13. The corporate strategy was produced in mid-2006 covering the period 2006 to 2009. The strategy represented a significant step forward in helping the council to set out the direction and priorities of the council over the medium-term. At the heart the corporate strategy were thirteen priorities which articulated our contribution to improving the lives of the people of York. Nine of these priorities focussed on improving services to customers and residents and four focussed on improving the way we do things internally. These priorities were identified through an extensive piece of work during the early part of 2006 involving the Chief Executive, the Leader, Corporate Management Team (CMT), the Corporate Leadership Group (CLG) of directors and assistant directors, Executive and Shadow Executive.
14. The process of developing our original corporate strategy successfully aligned our ambitions to those in the community strategy, and at the same time provided an organisational focus on the issues of the uppermost importance to the people of York. We recognise however that the corporate strategy is by necessity work in progress and needs to be continually reviewed. We also see the crucial need to reflect key elements of the government's modernisation agenda (as articulated in the strong and prosperous communities white paper) within our strategic planning framework.
15. We therefore took the opportunity to take advantage of a number of convergent drivers (including the government's white paper, the May 2007 election, the findings of the Future York study, up-to-date resident opinion feedback) to refresh our corporate strategy in the early part of 2007. This also gave the opportunity to improve the 2006-9 strategy and set out a programme for the four years of the new administration.

*Are ambitions based on shared understanding amongst the council and partner organisations of local needs?*

16. The council works extensively with its partners to ensure that it has a robust understanding of local needs. Effective cultural and sports partnerships are at the summit of a structure of partnership working that engages all sections of the community. Local information is collected in a systematic way in order to underpin strategic planning. This can be seen clearly in the sports partnership for example with its four 'zones' that are engaging the whole sector in local planning and development and which are establishing clear priorities. Regular survey work, for

example, through the annual residents opinion survey and the annual visitor survey is undertaken to ensure that residents' views are taken on board.

17. Production of the LAA used as its starting point the consultation data generated by the Festival of Ideas which informed the community strategy in 2004 (see Gill's panel). It also sought to reference strategies developed since that time and ensure responsiveness to known emerging city issues. An LAA stakeholder event of 80 delegates from the public, private and third sector helped to shape an initial long list of priorities with a specific focus on the needs of the city and its residents. Hard to reach communities contributed through consultation with Inclusive York Forum and accordingly the communities of interest it represents. The Forum underwent a lengthy exercise to identify the issues which cause exclusion and used the findings of this to develop a list of priority outcomes which fed into the LAA process. Partner organisations also underwent an inclusive process of negotiation that drew on previous plans and their knowledge of the city's needs. The indicators in the LAA are now the basis of performance monitoring that takes place via the Without Walls Executive Delivery Board.

**Case Study 3: talkabout** – Sophie Gibson, Research Officer

*Talkabout, the council's citizens panel, is made up of over 2,000 residents who are invited at random to take part in regular consultation. The panel is balanced on ward, age, gender and working status to make sure it is truly representative of the city and it is also monitored to make sure it represents 'hard to reach' groups properly - we actively recruit members of the BME community to the panel. Every 18 months we refresh a third of the members of the panel. It is one of the largest panels in the country, which allows us to segment the responses and understand how people feel from different backgrounds and social groups. Many other councils used talkabout as an example of best practice in establishing and running citizen's panels.*

*There is a huge input into all of the corporate priorities from talkabout, but especially the corporate value that we should deliver what our customers want. The regularity and commitment of the council to talkabout means that our panel members have a sense of ownership of the process and feel they are doing a 'civic duty' in helping the council. The commitment of our panellists allow us to run focus groups and other types of research that get 'underneath' the results and encourage a more two-way relationship. We give regular feedback through Your City for other residents and an annual newsletter for panellists which explains the results, why we've gathered them and what we will do with them.*

*Talkabout is an essential route for understanding what customers think of our services, allowing us to try out new ideas and concentrate on what residents really want. It goes far beyond collecting data for targets giving the opportunity for service development. We take suggestions for topics of discussion from the panellists themselves, as well as council teams on the ground. We are also able to run questions from our partners when we have the space.*

*The difference talkabout makes to customers is to make sure that our services are truly responsive to customer's needs. For the council talkabout and other research are our eyes and ears - we would be working without a compass if we had no research. And talkabout does make a real difference - for instance questions about accessing council services have had a direct impact on shaping the council's new website and helped in the development of the York Customer Centre.*

18. The council is committed to good quality, open and honest consultation having conducted an annual residents opinion survey since 1996. All consultation and research activities are run with the input of a dedicated research team who work to the ethical standards of the Market Research Society. Research work is coordinated centrally through an inclusive consultation database which lists all the research and consultation activities planned for the forthcoming year, as well as activity over the last year. The database is an essential way of sharing information



between officers and avoiding duplication. The database also lists all the steps taken to make the consultation as inclusive and accessible as possible.

19. Other consultation on major projects is done through door to door leaflets, face to face or telephone surveys, and recently using the council website. This has proved especially helpful with [budget consultation](#), where many methods are used to engage the public in influencing the council's spending priorities and council tax levels, including leaflets to every household. In 2005 this approach gained a 10 per cent response rate, which is extremely high for this sort of consultation.
20. At a local level, we have embraced the concept of neighbourhood management based on needs of local communities by developing Neighbourhood Action Plans (NAPs) (case study 4). Through recognition of the changing community in York we have developed an Equalities Strategy specifically to address the needs of minority groups and individuals. Workshops were held to gather views from all of the relevant groups, and a conference using the community strategy themes to identify relevant equalities issues was run in 2005. The outcome of the conference was an understanding of the further work that needed to be undertaken within our services, a baseline of 'where we were' in relation to equalities, and gaps in the way that the council works as a whole to address inequality. This formed the basis of our Equality Strategy and action plans, alongside legislative requirements.

**Case study 4: Neighbourhood Action Plans** – Zoe Burns, Head of Neighbourhood Pride Unit

*We have produced Neighbourhood Action Plans for all ward committees by analysing the needs of a neighbourhood (in this context the geographic area of a ward committee), recognising specific local issues and developing a planned approach to tackling these in partnership with the community and service providers. Key to their development has been our desire to engage the public in shaping the content, the recognition that these are dynamic ever changing documents and a desire to put councillors at the centre at the centre of the local process.*

*We started the process by profiling the wards using census and other statistical information to build a picture of the wards and sending this information to every household. We asked the public what they wanted to see improved in their local area, and taking into account the responses from this, worked with the ward elected members to shape ambitions and visions for each individual ward committee. Most wards have either 3 or 4 ambitions, across the board all wards have included one around environmental issues and most have an ambition to improve crime, disorder and the fear of crime. Since then we have encouraged, through 'participatory budgeting' principals, the public to suggest schemes to be funded which will make improvements in these ambitions and visions. The public are currently voting on these schemes ready*

*for a final decision by elected members to allocate the baseline revenue and capital ward committee funding for 2008/09 financial year.*

*The introduction of this approach came from a desire to implement some of the ethos of the Local Government White Paper 'Strong and Prosperous Communities' and to continue to build on the strong platform of engagement and participation at a local level in a more targeted manner, whilst strengthening elected members role as champions in their community.*

*We have found that the public have engaged with this process and that other service providers and partners have recognised the potential of this process in supporting their work areas and delivery. For example because seventeen out of eighteen of the NAP's contain an ambition/ vision around crime and disorder and the fear or crime North Yorkshire Police are now utilising ward committees as one of their formal consultation mechanisms to obtain local public priorities for them to deliver against.*

*We have not completed a full cycle of the delivery of NAP's, however, the future development of NAP's is currently being corporately developed as are the links between the local needs set against the strategic and city vision.*

21. In 2007 we held a conference in June with service based workshops, focusing on BME and disability issues, with the results are being used to improve services. For example, the results of the workshops around accessible housing and access are being fed into the LDF. Feedback from the disability conference was also used by the easy@york project in the design of our new customer contact arrangements and these groups also assisted with the testing of both web based services and with the structure of telephone contact arrangements.
22. We have many examples of tailor-made research to suit the audience and to get the most meaningful responses. One example is the Young Person's Health Group (YPHG). We initiated a consultation project to explore how young people's health needs are identified and addressed, perceptions of the annual health check, services and information young people receive from broader agencies such as help with healthy eating and exercise. With guidance from the research team, we engaged GPs, social workers and managers, foster carers and other looked after children by inviting them to complete a postal survey, written with the specific audience in mind and with the help of the young people. The response to the questionnaires was very encouraging. The YPHG helped analyse the results and are currently writing up the findings in their own words. This will be used to devise a leaflet explaining how the research has had an impact on real changes in the provision of health care support for looked after young people, sent to all GPs, social workers, foster carers and looked after young people.
23. York's work on the visitor economy and tourism has been extensively evaluated with an annual visitor survey of the characteristics and attitudes of visitors. These responses have been reflected in targeted marketing activity, and in investment improvements to the public realm (such as architectural and artistic lighting schemes). Most recently the findings of research with residents and visitors on the evening economy has shown strong demand for events to put on activities into the evening - reflected in the Festival of Food and Drink, Illuminating York and Yuletide York promotions which have all featured evening entertainment and activity.

*Does the Council and its partners provide leadership across the community and ensure effective partnership working?*

24. **The LSP in York is called Without Walls. Its philosophy is that we will see improvements quicker if we work together than if organisations work on their own. Critical to the design and operation of the LSP is the recognition of eight key strategic thematic partnerships through membership from the Chairs of these groups. WoW has an independent chair, and representations from the Chamber of Commerce, the University of York, the Citizen's Advice Bureau and Jobcentre Plus.** The LSP reviews key strategic issues that affect the whole city and considers an appropriate response. A recent example of this is York's anti-poverty strategy. A citywide climate change strategy will be adopted by the LSP. In addition the WoW Executive Delivery Board exists to monitor performance and improve collaborative working between partners. Another example of leadership across the community is the Children and Young People's Plan 2007 – 2010, which describes the partnership work of YorOk (see case study 5).
25. Two of the more established partnerships are the Healthy City Board (HCB) and Safer York strategic partnership board. The Healthy City Board was set up to create an effective alliance across York that could deliver improved health outcomes it has become the delivery body for the Healthier Communities and Older People

block of the Local Area Agreement. It is directly linked to the Older People's Partnership Board. There is therefore clear accountability. Chaired by the jointly appointed Associate Director of Public Health, who holds the PCT-wide portfolio for health improvement. The HCB demonstrated its ability to galvanise partners by introducing a workplace ban on smoking supported by some employers in the city well in advance of the 2007 smoking legislation and at a time when the national debate was very much in the balance.

**Case study 5: YorOK Board** – Jane Marshall, Director of Commissioning, PCT

*I am delighted to be Chair of the YorOK Board in York. It is a partnership body made up of senior representatives of all the services that work with children, young people and parents/carers. I believe it provides a really important symbol of our commitment to working together to improve the lives of children and young people in the city. The Board meets every two months and the meetings are open to the public who, on occasions, come to listen or to express their own views and ideas. Through these meetings we have been able to pool ideas and find creative and innovative ways of developing services that are responsive to the needs of children and young people. The Board is inclusive, with a clear constitution and specific remit in developing and implementing the Children and Young People's Plan for the city and the children and young people's block of the Local Area Agreement (LAA)*

*We have the Board because we know that children and young people are both precious and our future - we also know that in the past those who work with children and young people and those responsible for services have not always worked well together. The Board is determined to end the potential for confusion that this has created. Although York's work meets national requirements, I think it is particularly important to recognise that we were ahead of the game and that the partnership was established well before national expectations arose.*

*I am greatly impressed with the level of commitment from partners but also their willingness to listen to the views of local children, young people and their families. When we consulted on what should be the priorities in the plan, we issued 25,000 postcards through schools to give to parents, and also received 560 postcards back from the 2000 we sent to young people. The Board really wanted to hear their views, and the priorities we identified are based on the messages they gave us.*

*I have been impressed with the way that partners have kept focus on making a difference and not just talking about issues in relation to their own service. When we have needed to do things differently, to pool the separate resources that exist in order to tackle a problem, the Board has been willing to do so. This isn't easy, as we all separately have faced budget difficulties but we do know that collectively we can and have made a difference.*

*The Board gives a strong symbolic leadership message to the rest of the Children's Trust in York - concentrate on improving the lives of children and young people and work together to do so. The Board has already set key priorities and targets for those priorities in its plan and it is now great to hear reports of those targets being met. We know that more children, particularly in less advantaged communities, are doing better at school; we know that more parents are being able to get access to the type of parental advice they want; we know that more children are being able to go to really good child care that they enjoy and which helps them prepare for school. We know that we are building great new places to go and creating more things for older young people to go to but if and when special help is needed it is more easily available. There is still lots to do but I am confident that the partnership in York is so positively established that our work will go from strength to strength. And when you read the most recent inspection feedback on our services you hear a description that confirms our confidence:*

*"The authority is adept at staying ahead of the game, with continuing involvement in initiatives aimed at further improvement. It has a strong track record of becoming successfully involved in innovative practice which has been recognised at national level. Systems are well established and the local authority is small enough to know its providers well, to be able to build up good relationships with stakeholder and to intervene early to effect improvement."*

26. The Safer York strategic partnership Board is chaired by North Yorkshire Police with the council acting as vice chair whilst the delivery and tactical group of the partnership (the 'Executive') is chaired by the council with North Yorkshire Police vice chair. Not content with current performance the partnership has recently

reviewed its delivery structure to work in line with the National Standards for CDRPs and to achieve the six hallmarks of effective good practice. The partnership has also recently delivered a revised business plan and introduced an intelligence based business model to its task groups to focus on key business objectives. The strength of the partnership was recently recognised by the Home Office who commented that the good practice experienced in York should be shared with other CDRP's throughout the UK. See the achievement section for more details (page x).

27. Across the nine external priorities much work has already taken place. For instance the council recruited the Future York Group, a panel of eminent local business and public sector leaders, in response to recent manufacturing closures to advise it on how best to respond to these problems and plan for the future. The group produced a challenging report which is informing the Festival of Ideas 2, the LDF and the refresh of the corporate strategy.

### b. Prioritisation

#### ***Are there clear and robust priorities within the ambitions for the area?***

28. Our corporate strategy states our priorities, what is most important for us to improve and where we want to go as an organisation. They have been picked to best represent the needs of the city and where improved performance will bring the biggest benefit to customers.
29. The priorities were decided in 2005 using data giving customer feedback on what services needed to be improved. This was collected through corporate customer surveys and consultation such as the annual Resident's Opinion Survey and the talkabout panel. A number of possible improvement areas were developed throughout the corporate strategic planning process and these were evaluated against set criteria incorporating the [customer feedback](#). The customer feedback criteria was weighted more heavily than other areas so that resident and community feedback had a significant influence on what improvement areas eventually became corporate priorities.
30. The list of priorities drives our planning and performance management cycles, both at service and corporate level. This ensures appropriate alignment to our priorities for designing action and appraising progress. The CLG were involved every step of the way in the priorities and the SMG (top 200 managers) have been briefed regularly throughout the corporate strategy process. There have also been significant inroads made into raising awareness of the corporate strategy for individual members of staff. From a standing start, 41 per cent of staff in the last staff survey were aware of the 13 priorities, with posters in every office, articles in staff publications and a leaflet to all staff. However, we are aware that this is only a start and our aim is for all staff to be aware of the priorities and know their role in delivering them. All of the council's communications, internally and externally, are being aligned through new communications strategies to reflect the refreshed corporate strategy as the basis of all the council's work, as well as plans to communicate the refreshed strategy itself.
31. Our values contained in our corporate strategy are being managed like our priorities, with champions for each and with supporting delivery and innovation plans (DIPS). We have made them distinct from our priorities in acknowledgement of their longer term and cross-cutting nature and their focus on cultural change. Our direction statements set out key principles which will guide our journey in the

long term. Our decision making will therefore be aligned to these aspirations to ensure that the council manages change in culmination of the things it wants to achieve. The Organisational Effectiveness Programme (OEP) is a mechanism for delivery of the council's values contained in the corporate strategy vision. It is at the heart of our drive to improve the council's organisational culture and effectiveness.

### ***Is there a robust strategy to deliver the priorities?***

32. Our strategy is to align our resources, our focus, and our improvement work. The council's financial plans and strategies set out how the priorities will be resourced. The Information Technology Development Plan, Capital Programme Resource Allocation Model and revenue growth budget allocation consider the priorities and rank each bid for funding. The implications of these strategies then feed into the council's overall resource planning model that starts with the production in the summer of the medium term financial strategy (MTFS) and which is then developed into the final budget proposals for full council the following February. The MTFS also factors in the implications of major projects and service developments.
33. In developing the budget proposals there is a strong linkage between potential developments, saving options and the council's priority framework. All proposals are assessed against their potential impact on the corporate strategy. Consideration of the implications are a key element of the ultimate decision making process. However, we recognise we can improve this process and a revised finance and service planning process will be implemented in 2009/10 that will look to bring forward key elements of the process into the spring and summer and provide a clearer development brief to all services based around political aspirations, local needs and performance benchmarking.
34. Since 2004/5, the revenue budget process requires managers to identify explicitly the potential impact of growth, reprioritisation and savings proposals on the council's priorities. These therefore now represent the key strategic drivers for use by managers in making recommendations on the allocation of resources. Given York's fiscal position therefore, pressure to make savings is significant, but these mechanisms ensure that they have a low impact on priorities and customers.
35. At a community level, York has always valued the role of councillors in identifying and addressing the needs of their wards. Each ward has a dedicated [Ward Committee](#) which on an annual basis asks residents to identify their local priorities by voting at meetings or by post against dedicated funds. These committees mirror much of the government's vision for local empowerment and provide a real opportunity for investment in the express needs of local communities.
36. In support of the corporate strategy we have developed delivery and innovation plans (DIPS) which make explicit the means of delivering on our priorities by establishing the actions which will underpin their achievement. Each priority is led by a champion who is responsible for driving its achievement. They ensure that the priorities have a high profile within the organisation and play a vital leadership role in promoting a culture of working corporately across organisational boundaries. The DIPS set out each champion's vision for the achievement of their priority, the critical path of their achievement and demonstration of areas of innovation. The DIPS also set out how we will quantify what success looks like and provide a key reference for ensuring meaningful performance management of the corporate strategy and accountability back to CMT.

37. Our service planning framework sets out how priorities will be delivered, with each directorate having a plan which identifies its contributions to delivering the community and corporate strategies. These are converted into detailed service plans, using our service planning guidance, including key actions from relevant DIPS and a clear focus on residents and users of services. All service plans are subject to member scrutiny, approval and monitoring through the Executive Member Advisory panel (EMAP) process.

***Is robust action taken to deliver the strategy?***

38. We consistently looks to focus our efforts on the medium to long term, and in recent years this approach has been enhanced through the introduction of [three year financial planning](#) and a [four year capital programme](#). In some instances pursuing such an approach has meant that councillors have had short-term political difficulties with localised protest, but we have successfully run a balanced budget every year, despite facing significant budget pressures – evidencing our ability to make hard decisions.
39. Due to the tight fiscal constraints a key element of the annual budget process is the need for resources to be redirected from existing services to support new requirements, whether these arise from contractual changes, legislative requirements, governmental policy, demographic change or local prioritisation. In the 2007/08 budget such reprioritisation totalled £4.8m, approximately 4.6 per cent of the net revenue budget and included significant additional investment in the council's priorities for decreasing waste going to landfill, and increasing skills and knowledge.

In 2006/07 the council identified early in the financial year that some social care services that are prominent in the corporate priorities, were in danger of running out of funds. This was treated as a corporate issue from the outset, and clear action was taken to ensure that savings were achieved in the service departments, as well as some one-off and ongoing resources from elsewhere in the council being identified and redirected into maintaining service levels. This reprioritisation not only protected services for vulnerable individuals but also ensured that the two directorates concerned met their revised budgets for the year.

## **c Capacity**

***Is there clear accountability and decision making to support delivery and continuous improvement?***

40. York has an unambiguous framework in which decisions are taken. We have clear decision making and accountability and good programme and project management. In May 2006 we adopted a revised [constitution](#) to ensure there was a clear delineation and recognition of the respective member and officer roles in the decision making process. Under the scheme of delegation [officer decision records](#) are published on the internet thereby allowing members to retain an overview, while allowing officers to manage operational issues effectively. It has been realised however that for it to be truly effective the constitution must continually develop and grow. To this end there has been an on-going process of review and revision. The election of a balanced council in 2007 has made such a process of review doubly important.

41. Members have responded to the new political situation with decisiveness. The group leaders have come together to deliver a strategic framework for potential service and functional improvements ([the Policy Prospectus](#)) and have [agreed mechanisms](#) to ensure that the opposition groups have the opportunity to comment on proposals before they are considered by the single party Executive. We have [clear and comprehensive frameworks \(link to diagram\)](#) for the cross party review of decisions. Decisions falling within an Executive Member's portfolio are taken by the Executive Member in the light of advice offered by their cross party EMAP. These panels provide a forum for public debate prior to decisions being made. They are a form of pre-decision scrutiny and make for a more open decision making process. Scrutiny has an important part to play in terms of challenging and developing council policy - there is clear evidence that such challenges have positively influenced the council's overall policy framework.
42. The Corporate Management Team (CMT) make the key links to the Executive and shape and influence papers going for decision - DMTs fulfil the same role for decisions going to EMAPs. It deals with core corporate business, with sub-groups delegated through the constitution to take decisions on CMT's behalf. These groups deal with issues of governance, corporate operation (including CPA), health and safety and quality issues, amongst other things.
43. We have a clear [forward plan](#) covering executive business and the forward agendas of the committees and EMAPs. We have implemented an electronic committee management system which ensures all information regarding the membership of committees, dates of meetings, reports and minutes are all available to the public on line.
44. [The Standards Committee](#) has six members, two of which are independent, and one of the two independent members also chairs the committee. The Monitoring Officer and Standards Committee have undertaken a [number of training sessions](#) on ethical governance issues and the changes to the Code of Conduct. We have undertaken an Ethical Governance Audit in partnership with the Audit Commission to identify areas of the ethical framework that require further development in line with best practice. Preparations for conducting local investigations are in place. We have had training sessions for Standards Committee members and have made a formal appointment of a [Deputy Monitoring Officer](#) to assist with local investigations and provide independent advice to the Committee. The Committee is actively considering how it will respond to the challenge of the local filtering of complaints.
45. The Monitoring Officer has developed working relationships with the Parish Councils through the York Local Councils Association. Also, through the Constitution review delegations to the Standards Committee were reviewed and links made to the new Audit and Governance Committee.
46. The council has taken championing its customers and vulnerable clients very seriously. Not only is there a corporate value to deliver what customers want, which establishes customer standards championed by the Head of Public Services, but there are also three key member championing roles - Executive member for Social Inclusion, Champion for Older People, Champion for Young People. The annual [Performance Development Review](#) process helps to ensure employees are clear about their roles and responsibilities. Our staff survey showed 76% of staff understand how their job 'contributes to the success of the organisation'.

47. Over recent years we have made great strides in embedding risk management into our work. The establishment of a dedicated risk team to support the overall risk management function has helped to formalise the management of risk. Risk assessment is a routine part of the prioritisation and decision making process and risk assessments are used to analyse the impact of all growth and savings. All major projects operate risk logs and the development of a risk management IT system enables improved visibility, accountability and monitoring of risks at all levels. CMT is responsible for monitoring clearly identified corporate risks and use regular sessions with the Executive to explore and mitigate these risks. Project and Programme Boards are responsible for monitoring managing their risks.
48. The Council has a database of over 250 working groups and partnerships with any external partners, across all Directorates. This data is regularly updated and covers a range of issues, including strategic objective links, commitments, risks, accounting and governing documents. In addition the council has a partnership training programme for all staff and members, which is designed to deliver improvements in all aspects of partnership working particularly performance, governance and accountability. Partnership and Working Group Guidelines have been created. Incorporating a risk assessment tool and a 30 point template for governing documents which includes defining the roles and responsibilities of all partners alongside the production of action plans and performance targets

***Is capacity used effectively and developed to deliver ambitions and priorities?***

*Through the budget process*

49. As the lowest spending unitary council in England York gives value for money to its communities, continually ensuring we are . The budget process is built upon a rigorous challenge of future spending plans and this service level challenge is backed up by an on-going [programme of efficiency reviews](#). All services are challenged through the budget process and as a result the reasons for areas with above average spending are well understood. Our success can be demonstrated by our well above target performance under [Gershon](#) and our value for money assessment of 2005 and 2006 have both been rated at three. As a result, we demonstrate bottom quartile expenditure across many services.
50. We have looked to enhance the use of comparative information in the service and financial planning process. Initially this focused around selective benchmarking of services but for the 2006/07 budget process this was extended to provide a more comprehensive assessment of relative service performance across the council. The results of this analysis then fed into the decision making process that underpinned the council's efficiency review programme. For the 2008/09 budget process the council has integrated this assessment of performance into the budget process with all saving, growth and reprioritisation proposals being required to assess their direct and indirect implications and their relative financial costs and overall performance.

*Working with partners*

51. We have used our opportunities to improve service delivery via public and voluntary sector partners. Councillors have taken decisions to invest funding into such provision in order to enhance or maintain the quality of service delivery such as the [Arclight Homelessness Hostel](#), the [joint approach to improving public health](#) with the PCT and the appointment of a joint Associate Director of Public Health for York. Another example is using a voluntary sector provider, [York Rotters](#), to provide recycling services to areas which the council's traditional models of delivery would struggle to reach.



52. The council has worked closely with the Council for Voluntary Services to create and deliver a new external funding/grants training programme, specifically designed to improve skills in the voluntary sector. The 6 course programme has been fully evaluated and is entering its second year of operation. It is the councils intention to roll out the current internal partnership training programme in a similar way, in the next 12 months

*Through our staff*

53. We want a well trained highly motivated workforce, satisfied with their roles and confident in their ability to understand and respond to customers. The [HR Strategy](#) outlines the key strategic objectives of developing an enabling culture, effective organisation of people resources, managing performance, developing employees, valuing and involving employees, and working in partnership.
54. 'Developing Employees' is achieved by a corporate learning and development function in HR and by a significant amount of directorate training activity focused on specific service needs. Corporate provision includes a suite of in-house short courses aligned to the Leadership and Management Standards to support development needs identified at [Performance and Development Reviews \(PDRs\)](#), a nationally-recognised regional [mentoring partnership](#), support for 'out of hours' [learning](#) and provision of an extensive range of regional development activities through partnership with other North Yorkshire authorities.
55. The council's strategic approach to workforce planning is the focus of the HR Strategy, and at an operational level is driven by directorate service planning. Some directorates, for example Housing & Adult Social Services, have developed a focused workforce planning group chaired by a Chief Officer and working with private partners and the Health and Safety Executive to invest in additional reporting & recording systems to help managers respond more effectively to the high sickness rate.
56. The council's poor performance in managing sickness absence is being addressed by comprehensive new procedures and guidelines underpinning a new [Attendance at Work Policy](#) which places an emphasis on maximising employee attendance. Launched in October 2007 this approach is being strengthened by a wide-scale development programme to equip managers to effectively manage absence and make timely use of management data.
57. In response to the high cost of temporary agency staff, we have introduced a recruitment pool operating on a full trading basis, covering all admin staff up to SO1/ 2 and drivers. Instead of going to a temporary agency, managers contact the recruitment pool which provides them with fully occupational health-checked, telephone screened, interviewed and tested casual staff. This has proved highly effective and in its first year generated over £100,000 of efficiency savings with a BME representation of 7.3% (above the council average) supplying approximately 90% of the council's administrative temps every month.
58. With the influx of new councillors in May 2007 a [comprehensive training programme](#) has been developed and delivered that will assist individuals in becoming effective advocates for their communities and providers of strategic direction for the organisation.

*Through project management*

59. We believe establishing strong and effective project management has been a major cultural shift for the council. It is key to projects such as the Administrative Accommodation Review, [easy@york](#) and the Pay and Grading review. These are managed by boards with clarity about lines of responsibility and reportage, including the provision of regular information for councillors and staff as part of comprehensive stakeholder management strategies. The council utilises [Prince 2](#) as the basis of its approach and provides training for relevant staff. It has adopted the OGC Managing Successful Programmes Methodology for the delivery of large and complex programmes of work, ensuring that the council is able to deliver the desired strategic objectives. Audit reports have identified [easy@york](#) (see box below) as an exemplar of good programme management practice and York has invested in formal training and accreditation for its Programme Managers.

**Case study 6: [easy@york](#) – Tracey Carter, [easy@york](#) programme director**

[easy@york](#) (Electronically Accessing Services in York) is an innovative programme of change, that transforms our contact with customers, putting their needs at the heart of service planning and delivery whilst making our end to end services both more efficient and more effective. The Programme has established a multi disciplinary, corporate customer contact centre, focussed on the web and the telephone, which delivers redesigned, technology enabled services to customers in four of our main customer facing services. Through a process of service improvement, involving clear identification of desired outcomes, BPR, innovative integrated technology deployment and change management techniques, we have created a single customer entry point into the organisation which has transformed the customer experience.

Through this route we will handle 2.5million customer transactions in the first year. Since going live we have seen 99% of customers satisfied with the service received, £307k of efficiencies, cashable and non cashable savings and an 88% reduction in complaints. We now have speech recognition technologies handling 25% of telephone contact, 72% of revenues transactions handled entirely at point of customer contact and 92% of all service request completed within SLA. Finally the transactional web site has had 27,000 service requests processed in first year.

The [easy@york](#) project was initially conceived to deliver a comprehensive response to the e-government agenda and to implement the recommendations from a Best Value Review of access to services. We identified that a more transformational approach was needed which led us to examine the end-to-end processes and

systems used. We looked long and hard at policies and targets that encouraged ways of working that were not customer focussed. This fundamentally changed the scope of the Programme, making it primarily about cultural change, rather than technology.

The Programme sits at the heart of the Council's Corporate Strategy to improve services to customers and make the Council more efficient, and it has been supported with over £1m capital grant funding and £3.3m revenue funding over three years.

To deliver the Programme we have adopted the OGC Managing Successful Programmes Methodology, accrediting key staff, establishing a specialist Programme team, providing sponsorship at Director level and establishing a Member champion. Stakeholder management has established the commitment to change, clear programme definition has enabled us to articulate the benefits and envision a blueprint of the customer experience in the future. This led to the development of workstreams to convert the desired outcomes into a resourced and deliverable plan of outputs that would create the required changes.

Through internal business knowledge, an array of specialist technical skills, external challenge, rigorous programme management, HR change management processes and highly effective stakeholder management, we have successfully implemented a huge range of changes that have effectively forged a new model of customer service delivery which is now being deployed across the entire organisation.

Through more efficient procurement

60. Over the past three years the council has continued to develop its approach to procurement with the formal adoption of a [procurement strategy](#) and the development of internal networking groups, via the creation of a [procurement community](#) of relevant officers. The effectiveness of these initiatives can be seen

through the continued delivery of services via joint commissioning for example. The re-tendering of home care to locality providers on block contracts in 2006 achieved very significant savings, and there has been a reduction in incidences of breaches and waivers that are reported to councillors via the Audit and Governance Committee.

### *With the voluntary sector*

61. We have a specific post within the council to help build the capacity of the voluntary sector, which focuses particularly on ensuring that the voluntary sector funding (VSF) budget is used effectively in order to achieve Council and citywide objectives. A key achievement of this post was the establishment of a Credit Union in the city. We have worked closely with the Council for Voluntary Services to create and deliver a new training programme specifically designed to improve skills in the voluntary sector. The six course programme has been fully evaluated and is entering its second year of operation. It is the council's intention to roll out the current internal partnership training programme in a similar way, in the next 12 months.
62. We are also working with a large number of third sector organisations such as Bike Rescue, Friends of St Nicholas Fields and the Friends of Rowntree Park in more informal partnership ways but which deliver improved efficiencies and are extremely effective – these three examples deliver across a number of city priorities, draw in extra external resources and illustrate the way we work with the community.

### *Through greater innovation*

63. The council has been effective in using innovation to support and increase the quality of services. Such innovation has not been concerned with protecting internal delivery models but about delivering the best solution for residents. Key examples of this would include the [Museums Trust](#), new [homecare arrangements](#), [Whizz Go](#), and [payments of parking](#) via mobile phone and text message. To support its 'invest to save' and innovation activity in 1997 the council established a [£4m Venture Fund](#). To date advances from this fund have supported 35 projects with £4.8m of funding.

## **Does the Council, with its partners, have the capacity it needs to achieve change and deliver its priorities?**

### *Through our people*

64. We feel that we do. Improving our internal leadership management arrangements has been a key focus over recent years. Work to date includes the development of [leadership and management standards \(LAMS\)](#), which form a blueprint of the York leader for the future and support the corporate priority to 'improve leadership at all levels'. These have been rolled-out to all managers and are being first embedded in PDRs followed by recruitment, training, and induction. We are also undertaking [360 degree feedback](#) assessments aligned to the LAMS. The council also provides two popular in-house modular [management development programmes](#) to ensure that our managers have the skills to work to their full potential.

### *Through external funding*

65. The council has also successfully utilised innovative funding to maximise the efficiency and delivery of its services. Outcomes from this have included the council's innovative [EcoDepot](#), a [joint transport review](#) with the East Riding and Ambulance [Trust](#) (funded by the regional assembly, regional centre of excellence

and DCLG) and new schools and children centres through the private finance initiative.

*Through use of assets*

66. We have begun the implementation of Area Asset Management Plans (AAMP) which take the priorities set by the Corporate Asset Management Plan and focus on community areas, looking at council and non-council community needs. It incorporates partnership working and promotes asset rationalisation and shared use of buildings.

*Via the IT Development Plan*

67. There is a clearly defined framework to manage investment in new and replacement IT systems. In addition to this the council has also directed resources to fund its investment in the [easy@york](#) programme which has delivered both the government agenda and also contributed to the delivery of our customer services and efficiency priorities, supported by £900k of government funding.

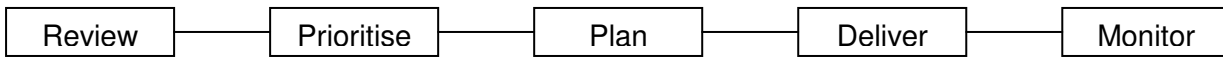
*With our partners*

68. We work with our partners across all sectors to build and sustain financial and leadership capacity. The council has well established management arrangements with the NHS and NYCC to improve service delivery, value for money and efficiency in social services. The Community Equipment Loans Service is a consistently top quartile performing service run by the council covering provision of health and social care equipment across York and parts of North Yorkshire and East Riding. This means one route into getting equipment for staff and patients and the service has been able to expand to meet increased demand without reducing its delivery times.
69. The council is also responsible for an integrated health and social care learning disabilities service covering York, Selby and Easingwold. Again this simplifies issues for clinicians and patients with one route into all services. A Commission for Social Care Inspection in 2006 one year after the service was set up was positive (two stars). Formal arrangements also exist for the PCT to deliver integrated mental health and occupational therapy services on our behalf.

*Through equalities*

70. Work has been done to help raise the profile of equalities within the council through a generic equalities awareness course. A highly successful theatre-based session using actors and designed to evoke empathy, was piloted with senior staff and will be rolled out to all staff. Using feedback from managers, a workbook has been developed in Easy Read format containing York context, equalities information, tips and links to further information. This will be available to all staff in 2008.
71. Following a review by the Scrutiny committee, the [Social Inclusion Working Group](#) was formed. It involves councillors, community groups representing equality strands and officers whose primary role is to consider the impact of council decisions before they go to the Executive. The group choose which items to scrutinise based on their perceived importance and impact on social inclusion. The results are fed back to the Executive by the Chair of the Group, the Portfolio Holder for Social Inclusion and Youth, and are used to inform decisions. The minutes of the group are produced in Easy Read format, and the meetings are open to the public. The agenda enables two-way communication as the group can ask for items to consider that are not on their way to Executive, such as the council's response to the Future York Group report.

## d. Performance Management



The golden thread of improvement – Our Performance Management Framework

Review	Vision & Prioritisation	Develop Strategies & Plans	Delivering Improvement	Monitoring and Managing Progress
<ul style="list-style-type: none"> <li>EDB (Executive Delivery Board) consider year-end outturns – baseline review</li> <li>Year-end performance reports considered at DMTs &amp; EMAPs.</li> <li>Year-end performance report – special CMT &amp; Executive member session.</li> <li>Customer/Resident consultation (Talkabout or Resident's Opinion Survey)</li> <li>Comprehensive Performance Assessment (CPA) refresh and formal self assessments</li> <li>Review of comparative performance</li> <li>Period Peer R reviews</li> <li>Audit &amp; Inspection recommendations</li> </ul> <p><i>Underpinned by Policy &amp; Guidance</i></p> <ul style="list-style-type: none"> <li>Actual performance</li> <li>3-stage Data quality model – including significant variance analysis</li> </ul>	<ul style="list-style-type: none"> <li>Community Strategy refresh process (every 3 years)</li> <li>Local Area Agreement refresh process (annual)</li> <li>Political manifesto &amp; mandate</li> <li>Corporate Strategic refresh (annual)                             <ul style="list-style-type: none"> <li>✓ Our vision and 4 values</li> <li>✓ Our 10 priorities</li> </ul> </li> </ul>	<p>Partner/Corporate level:</p> <ul style="list-style-type: none"> <li>City Vision</li> <li>Community Strategy</li> <li>Local Area Agreement</li> <li>Corporate Strategy</li> <li>Medium Term Financial Strategy</li> <li>HR Strategy</li> <li>Asset Management Plan</li> <li>Capital Programme</li> <li>Risk management planning &amp; register</li> <li>IT Development Plan</li> <li>Corporate project plans</li> </ul> <p>Directorate &amp; Service level:</p> <ul style="list-style-type: none"> <li>Directorate business plans</li> <li>Other directorate level plans (LTP, EDP, etc)</li> <li>Service plans</li> </ul> <p><i>Underpinned by Policy &amp; Guidance</i></p> <ul style="list-style-type: none"> <li>Service planning guidance &amp; templates</li> <li>Target setting guidance and performance templates</li> </ul>	<ul style="list-style-type: none"> <li>Workplans</li> <li>OEP (Organisational Effectiveness Programme)</li> <li>Project plans &amp; programme management</li> <li>Corporate priority champions</li> <li>Procurement management</li> <li>Constitution - decision making (e.g. EMAPs, scrutiny, CMT, Executive, etc)</li> </ul> <p><i>Underpinned by Policy &amp; Guidance</i></p> <ul style="list-style-type: none"> <li>Corporate DIPS (Delivery &amp; Innovation Plans)</li> <li>PRINCE2 Project planning policy &amp; guidance</li> <li>Data quality policy &amp; guidance</li> </ul>	<ul style="list-style-type: none"> <li>EDB consider monitor report on progress against the Local Area Agreement.</li> <li>Monitor 1 &amp; 2 performance reports at DMTs &amp; EMAPs. *</li> <li>Monitor 1 &amp; 2 corporate performance report – special CMT &amp; Executive member sessions. (emphasis on our priorities &amp; corporate health)*</li> <li>Monthly Priority Champion meetings take place monthly to review progress.</li> <li>Capital Monitor Group (CAPMOG) monitors progress on capital projects, many of which help us achieve performance improvement across directorates.</li> <li>IT Development Board monitors progress on key IT projects across the council.</li> <li>Regular Service &amp; Team level performance management meetings.</li> <li>Staff appraisal process is used to disseminate improvement actions to team and individual level. Mid-year appraisal reviews also take place to review progress.</li> </ul> <p>* Consider both service &amp; financial performance</p>

72. Since our last formal CPA assessment, the new framework has become an effective driver for improvement across priority service plan areas. Notable achievements include
- Recycling and landfill** Waste recycling levels have more than doubled over the past three years, with nearly 42% of waste currently being sent for recycling or composting. As a result, the tonnage of landfilled waste has also declined by 30%, despite household waste levels rising in York. By avoiding significant government LATs charges, the reduction in landfill has had a very positive impact upon the council's financial position.
  - York Pride** This has been the top political priority since March 2004 and has helped drive significant improvement in areas such as street cleanliness, removal of graffiti, fly-tipping fly-posting and abandoned cars.
  - Community Safety** March 2008 is the end of the three-year Community Safety Plan period, when the targets set by the home office will reach a conclusion. These were very challenging targets with the overall aim being to reduce crime in the city by 24% by 2008. We have made extremely good progress towards all these targets and the vast majority will be achieved or exceeded. To put this achievement into context, our target for 2007/08 was 13,600 crimes or less. Current forecasts predict that we will end up with around 11,600 crimes. If achieved, this would represent a 35% reduction over the period which started with nearly 18,000 crimes in 2004/05.

- d. **Educational attainment** York's provisional key stage 4 results for 2007 are at 68%. This represents an extremely good trend for 5 A\*-C grades at GCSE and this is now 5% above the comparative early national results. It also represents a 9% increase over the past 3 years.
- e. **Processing planning applications** Our performance has significantly improved from being a 'standards' authority we now exceed national performance targets for all categories of applications (for instance in March 2003 we only determined 18% of 'major' applications in the target time, by March 2006 this had reached almost 70% and we have since maintained a high level of performance).

***Is there a consistent, rigorous and open approach to performance management?***

- 73. We have a well-established performance management culture and framework (PMF), with significant improvements having been made over the past two years, as we have recognised the importance of having a framework that supports transformational change and drives improvement. Our corporate management team (CMT) have carried out a [review of our PMF](#) which has led to changes in the way we review and report performance corporately. We have also identified a set of **'high-risk' KPIs** to help focus on performance that has strategic implications. This has also allowed us to strengthen the golden thread between our LAA/strategic priorities and service delivery.
- 74. Performance management information plays a key role in the development of strategic goals and priorities (both service and financial). [Corporate performance reports](#) are used to inform decision-making forums and the Leader used the 2006/07 joint service and financial [year-end performance report](#) to set out areas of particular importance for the forthcoming year. This was used to help refresh our corporate priorities and develop a revised corporate strategy.
- 75. The council carries out three formal corporate performance management events which start at service level and end with a joint Executive and CMT monitor session. The in-year monitors take place in September and December, with a year-end review session in May. [Budget sheets](#) are completed by finance managers alongside [directorate performance scorecards](#), which provide performance headlines to allow us to focus on areas of strategic performance importance. At a corporate level, our framework uses the principles of exception reporting to help dedicate time to addressing the big issues in-depth.
- 76. Currently, we use directorate EMAP performance reports to review progress at a corporate level. We are currently reviewing our IT based performance management and will use this opportunity to exploit the fact that the government have now introduced the new performance framework and review our IT requirements with the key LSP partners, allowing us to procure a web-based system which can be used by everyone.
- 77. There is a high degree of [cross-party involvement](#) in performance management (including EMAP and shadow Executive). All four parties can use the [calling in procedures](#) within the constitution. A regular meeting of all [Performance Officers](#) seeks to address current weaknesses in our PM system, and share good practise. The outcome of corporate monitor sessions gets [disseminated to departments](#) and services and [progress on remedial action](#) is measured at the next corporate monitor session. Remedial action on problem areas of performance or slippage on key actions is effective at EMAP level.

78. Under our framework, directorates review particular areas of performance on a shorter, necessary basis if this has become a cause for concern. We also try to solve performance problems at an early stage. Recent examples of both these approaches include:
- Problems with the roll out of alternate weekly waste collections, which could have affected the achievement of recycling targets. Repercussions for our corporate priorities, and for the financial LAT penalties, were identified at EMAP and the corporate monitor sessions. This led to more regular monitoring and corporate support to address the issue.
  - Driving improvements on the processing of planning applications. This transition was monitored closely at DMT, EMAP and corporate monitor sessions as it affected our CPA block score and the levels of Planning Delivery Grant (PDG) we received from the government.
  - Reviewing specific areas of library services provision to avoid a possible drop in our CPA culture score, which could have knock-on effects for our overall corporate CPA score.
  - Addressing the council's staff sickness. Our performance framework has allowed us to review the issue at all levels of the organisation and this led to a CMT/Executive decision to commission a major review of our absence management procedures.

***Do the council and partner organisations know how well they and each other are performing against planned outcomes?***

79. Reporting and managing performance at a partnership level has become much more effective with the launch of the [LAA](#) in April 2007. An LAA performance management framework is in place via the Without Walls Executive Delivery Board. Each of the themes from the community strategy have been linked to LAA indicators and KPIs and each LAA indicator has been allocated to a partner. The partnership training programme based on the council's guidelines and on good practice is designed to improve performance management within partnerships focused on four key aspects: clear aims, linking to strategy, action planning and performance management. The partnership database underpins that activity and monitor the improvements, for example by reviewing the partnerships governing documents/agreements. A draft competency framework to underpin the training programme will be completed in the next six months.
80. The Reducing the Performance Burden changes recently introduced by the government will help us integrate our corporate performance 'collection', 'reporting' and 'management' much better with LSP arrangements. Although we can demonstrate a golden thread of delivery and improvement from the LAA down to service delivery, this needs to be supported by a more seamless framework – shared by all key partners. Work is underway to develop a shared PM framework, operated under a single performance management system.
81. Where directorates need to gather or provide performance data to and from partners, this works well. LAA performance information is managed at varied levels of the organisation, and this is fed into various forums, including the [Safer York Partnership](#), the [Social Inclusion Working Group](#), [corporate monitor sessions](#), [Corporate Management Team](#) and [Departmental Management Teams](#).
82. Partnership performance information is becoming mainstreamed in the council performance management framework. The Local Public Service Agreement ([LPSA2](#)) is now reported to both CMT and the Executive and the partnership EDB.

Performance management with partners is also very effective at service and directorate level. Reports and PM meetings with [Yorwaste](#), and [housing repairs](#) are just two examples of this.

83. Unitary and All England [quartile data](#) is used at a corporate level for reporting (especially year-end) to help provide more comparative context for our performance improvement results. Resources also [produce CIPFA benchmarking data](#) for managers and this is used in the [annual VFM statement](#). We also participate in the [National People Skills](#) scoreboard exercise each year, which involves an assessment of our staff training and development services. The results are shared with other councils and a report showing comparative costs and activity is produced for all members.
84. We communicate performance very effectively externally and internally including leaflets to all households, special articles in Your City and the staff publications. All performance reports and supporting data are made public through EMAP and Executive committee papers and we have a good, open culture of debate.

*Is knowledge about performance used to drive continuous improvement?*

85. Service managers develop [local indicators](#) to reflect the local perspective on performance in the city. These are developed from our extensive customer feedback and involvement processes. [Service standards](#) are in place for most core services (currently under review), which provide more transparency on the level of service they can expect from us. Again, these standards were developed around customer requirements, rather than service capabilities.
86. We have a robust [target setting procedure](#) in place at service manager level. This is complimented by a corporate [three-stage data quality policy](#) which requires [target proforma templates](#) to ensure all targets are set within realistic improvement and capability limits. Further guidance has recently been produced to allow CMT and Executive members to review improvement targets which have corporate strategic implications. Any proposals to stretch performance levels beyond those predicted by services will be reviewed in the context of re-direction of resources.
87. All areas of staff welfare and performance are regularly reviewed at all levels of the organisation. We also have a proven [grievance and complaints procedure](#) in place and a good culture of dealing with complaints. Evidence shows that this is taken seriously, with very few [ombudsmen complaints](#) compared to other councils. We monitor customer first statistics on dealing with complaints showing that we deal with most stage 1-3 complaints in a timely and effective manner.
88. We accept that we could improve the way we learn from our successes and failures. Recent work has involved a number of lessons learned workshops in service areas and a work shadowing pilot. The purpose of the pilot is to offer staff from across the council a structured approach to sharing best practice, gaining new perspectives and sharing learning with each other. It aims to help challenge departmental 'silo thinking' and to offer opportunities to demonstrate how staff are using the new Leadership & Management Standards in their work. Once the pilot is evaluated it is intended to roll-out this model to all staff.

## **e. Achievement**



89. We have achieved much as a council since our last CPA by establishing the golden thread from community need via the community strategy, through to our priorities in our corporate strategy and onto our actions and achievements. Our ambitions and priorities are clear and our achievements below show that overall there has been widespread improvement. Our education provision and attainment continues to be a four star service and our traditional areas of strength – transport, housing, social care – continue to thrive as shown below.
90. Where we are able to compare our performance with other unitary councils the picture is very encouraging. We use consultation and research to understand our customers' needs and through the corporate strategy we balance competing priorities and agree what's important. Resources are allocated to strategies and priorities and we deliver services with our partners and through our highly successful and innovative services – monitoring performance against delivery.

### **Sustainable Communities and Transport**

#### **Sustainable Economy**

91. We have well developed strategic objectives for the economic development of the city as set out in the [community strategy](#). In addition, partnership working is well embedded through the [Economic Development Partnership Board](#), [Science City York](#), [York Tourism Partnership](#), [City Centre Partnership](#), [york-england.com](#) as well as other partnerships focussed on learning and skills. The council plays a pivotal role in leading, developing and facilitating these partnerships along with our involvement in sub-regional and city regional working to support economic development.

**Case study 7: Science City York – From Lord Sainsbury of Turville  
Review of Government's  
Science and Innovation Policies :- A Race to the Top, October 2007**

*The development of Science Cities is based on the notion that, in the global economy, the UK's future prosperity depends, first, on the capacity to expand knowledge through science (in the widest sense) and translate it into innovative products and better services and, second, on achieving this by building critical mass in clusters based around world-class universities.*

*Science City York (SCY) is a partnership between the City of York Council, the University of York, Yorkshire Forward - the RDA for Yorkshire and the Humber/and business. SCY is strengthening business - university links to develop and increase the competitiveness of the knowledge-based cluster in and around York. The aim is to develop the economy and employment opportunities and to ensure that new jobs are available as opportunities in York's traditional industries decline.*

*SCY works through three main clusters: bioscience and health, IT and digital, and the creative industries. SCY has a number of mechanisms in place to promote an environment in which technology, skills and business can thrive:*

- cluster managers and business promoters help entrepreneurs to develop their business ideas and provide mentoring and business advice;*

- direct access is available to two early-stage funds for technology-based businesses;*
- businesses are put in contact with a wide range of schemes in the universities and other sources in the region;*
- appropriate incubation and grow-on space is provided at science parks for knowledge-based businesses; and*
- a programme of public understanding and support is used to promote the science-led economy.*

*Key employers and clusters are brought together with the universities, further education and schools to identify and address the skills needed to ensure successful growth.*

*Since the start of Science City York, over 60 new companies and 2,600 new jobs have been created in the technology-based cluster in York, and as many people are now employed in this sector as in tourism. Following support for the Science City concept from government, Science City York has recently been re-formed as a company limited by guarantee owned by the city and the university, and has appointed a high-level Chief Executive to lead it into a new and more entrepreneurial phase with even closer involvement of the private as well as the public sector.*

92. [Future Prospects](#), two times winners of the Matrix Award for Information, Advice and Guidance reward for learning and work, excel in specifically identifying groups and areas within the city at risk of disadvantage. Future Prospects Specific programmes show marked increases in getting those at risk into training and employment, and are aimed at the most deprived Super Output Areas in the Authority. An increasing number of help sessions are created specifically targeting groups such as the disabled, single mothers, carers, (funded through the carers grant to meet national carer strategy objectives), and people from ethnic minorities etc.
93. Over the past four years, through funding from its supporting partners, Yorkshire Forward, NYCC, and the council, york-england.com has successfully assisted in the relocation of 61 companies, directly creating over 580 jobs. This results in more than 2,000 when additional jobs in the supply chain are included.

## **Housing Market**

94. The [2006-9 Housing Strategy](#) was developed in partnership with key stakeholders. It clearly established the links to the [Regional Housing Strategy](#) objectives, creating better places and delivering better homes, York's City Vision as well as the council's corporate strategy. A [Housing Needs Survey](#) was completed in 2002 and updated in 2006 via a [Housing Market Assessment \(HMA\)](#). A new HMA, commissioned via the LDF has been completed and has been adopted for Development Control purposes by the Planning Committee. In response to national planning guidance as well as local pressures the focus of planning policy has resulted in a significant shift to brownfield development. The city led the way regionally in developing its affordable housing policy, and in response to local needs, a target of 50% affordable housing on all developments (subject to thresholds) was introduced in 2005. Following the recent publication of PPS3 and the completion of the new HMA, thresholds will be reviewed so that our policies continue to reflect local need.

95. We work closely with its partners to ensure new development proposals consider any wider impact. We are on target to meet the decent homes standard by 2010 for our own stock and we are working towards the regional target of 70% of vulnerable households in the private sector living in decent homes by 2010. During 2006/7 over 1200 minor adaptations were carried out enabling vulnerable people to remain in their homes, and 342 private sector renewal grants were awarded to help people bring their homes up to the decency standard. A new private sector stock condition survey has been commissioned to replace the existing one. A key improvement with the data from the new survey will enable us to work with our partners to map private sector non-decency, and then proactively target available resources towards areas of low thermal comfort, the biggest element of private sector non-decency in York. In the last three years the council has also converted older people's accommodation to provide more specialist supported accommodation in two extra care schemes.

### Environment

96. The council has agreed to implement an [Environmental Management System](#) and a new post has been created and filled to take this forward. This system will reduce the impact of council activities on the environment and help us deliver the new sustainability corporate priority.
97. We have completed the national benchmarking questionnaire the Index of Environmental Engagement every year and this year we received a certificate as a 'significant improver'. An [Energy and Water Working Group](#) has been set up and is now demonstrating reduced energy use and has established baseline consumption figures for water. The council is an active participant in the European DISPLAY campaign and a [sustainable procurement strategy](#) is in preparation. We are now members and have started [the Carbon Trust's Local Authority Carbon Management Programme](#), which will form the focus for coming activities to reduce the carbon footprint of the council and key into the signing for the Nottingham Declaration.
98. We are taking an active role in the development and application of [ecological footprinting](#) and is the only authority in the region to have purchased the policy profiling tool associated with it, [REAP](#). We are developing measures to reduce the carbon footprint of our current buildings and activities by 25% in the next six years. Measures to reduce energy and water consumption and expand recycling facilities in our own buildings are underway. The construction of a new single headquarters to replace a number of old buildings with high energy consumption will give a large contribution towards the council's carbon target. A specific sustainability objective is being built into the refresh of the IT Strategy to ensure that we undertake carbon assessments as part of the procurement of IT equipment but also use IT to reduce our carbon footprint through reduced paper (DMS), reduced travel (flexible working) and reduced energy consumption (server virtualisation, thin client devices and centralised printing). To pull these and other activities together into a coherent and coordinated approach a [sustainability strategy and action plan](#) the sustainability strategy and action plan was approved by the Executive in September 2007.

**Case Study 8: The EcoDepot** – Kristina Peat, Sustainability Officer

*York EcoDepot is the council's newest development a 15kW 15m tall wind turbine will be arriving in the*

*and was occupied by the Neighbourhood Services Directorate in December 2006. As you would expect from the part of the council that manages the cities recycling and waste, repairs its road, sweeps its streets and mends what's broken it's a very hardworking and functional site and not somewhere you'd expect to find a building made from straw!*

*The old council depot at Foss Islands was outdated, due to service changes and consumed a lot of water and energy. In 2003 we spent on this site alone £25,000 on water, £24,000 on electricity and £14,000 on gas. It was these figures that formed the basis of a business case for doing something very different with the new depot. The strong desire in the council to save money on utility bills, reduce its green house gas emissions, protect the council against increasing utility costs in the future, demonstrate our commitment to sustainable design and construction and provide a regional exemplar project combined with drive and enthusiasm from officers and elected members has resulted in the largest timber frame straw bale building in Europe.*

*The whole depot boasts a number of sustainability features including underground storage for rain that falls on the workshops which is then used to wash refuse and other council vehicles, dramatically reducing the water bills. Also the large area of concrete pad used recycled aggregates (some of it from York roads),*

*new year (subject to funding) and the main office and amenity block holds York's largest set of solar panels making electricity for use in those buildings and any surplus sold to the Grid.*

*Undoubtedly the centrepiece of the EcoDepot is the main office building that is made with a timber frame and walls of straw. Both the timber and the straw are materials that require little fossil based energy to make so have low embodied green house gas emissions and the straw also gives insulation levels three time better than that demanded by building regulations (2006). These high levels of insulation coupled with; highly efficient under floor heating; a natural ventilation system instead of air conditioning all managed by a building management system mean the building offers 76% efficiency savings compared to a building of the same size with traditional materials and air con. The solar panels on the roof provide approximately 40% of the electricity used in the building and the interpretation room has given information and educational opportunities to 1000 visitors from age 6 upwards from local, regional, national and European areas.*

*The EcoDepot is a regional exemplar of sustainable design and construction for Yorkshire Forward who provided support and funding and is a development we are very proud of that demonstrates the council's commitment to tackling climate change.*

99. York has undertaken significant and numerous recycling initiatives which have enabled the performance to substantially exceed targets. It has also identified the reduction of biodegradable waste as one of its 13 key improvement areas. The Waste Section was inspected by the Audit Commission during the Spring 2007. The outcome of the inspection was the auditor considered that our waste service had been "transformed" having significantly improved recycling rates whilst making excellent progress in areas such as performance management, customer satisfaction and missed bin collections. The council's recycling performance has increased from 24% in 2005/06 to 39.9% in 2006/07 following significant investment in one of our priority areas.
100. We have been working in partnership on waste management across North Yorkshire to deliver a [joint waste strategy](#). This involves initiatives in all parts of the waste hierarchy, and particularly in relation to waste treatment where a joint bid for PFI funding has been submitted to DEFRA for waste treatment facilities.
101. Through the Development Control Local Plan we put particular emphasis on the quality of new development and the need to embed sustainability principles. We prepare comprehensive development briefs for major sites (such as Nestle South, and Derwenthorpe) which set out our requirements in more detail linked to specific visions for each site. These are subject to comprehensive consultation and we then work collaboratively with site owners or developers to masterplan these sites using a cross-council 'development team' approach. This has proved successful in achieving

high quality developments. At Germany Beck and Derwenthorpe where all 1200 homes will be built to Eco-home Excellent or Very Good rating and to 'Lifetime home standards'. There will be significant elements of affordable housing (35% and 40% respectively), community facilities and comprehensive frameworks of open space. The independent Planning Inspector for the Derwenthorpe and Germany Beck schemes concluded that "It is rare in my all too extensive experience to come across schemes of such quality and that exhibit in their different ways pioneering approaches to large scale residential development."

102. Work on our LDF is well underway with significant additional resources committed to ensure we have a comprehensive planning framework in place by 2010. We have commissioned a significant suite of 'evidence base' studies including a housing market (and needs) assessment, a housing land availability assessment, and city-wide retail, employment, open space and flooding studies. The latter was carried out in close collaboration with the Environment Agency to build up the most comprehensive ever picture of flooding issues facing the city and recommending a policy approach for addressing this.
103. We are using our Housing Market Assessment on detailed negotiations around mix and type of housing needed in York with excellent results in terms of achieving higher levels of affordable housing and a greater mix on family homes. Work on an Area Action Plan for York Northwest is underway working in partnership with Yorkshire Forward to achieve an "exemplar sustainable community" with a new central business district and wide range and type of high quality housing. Work on an Area Action Plan for the historic City Centre has also now begun and joint work with the Local Strategic Partnership to review the Community Strategy and progress the LDF in tandem is in progress. This includes joint visioning work and joint work with the Stockholm Environment Institute to embed the use of eco-footprinting.
104. To ensure we embed sustainable development principles into development from the outset we have prepared an Interim Planning Statement on Sustainable Design and Construction to give detailed guidance to developers on how Policy GP4a on Sustainability should be implemented. This has been subject to widespread public and stakeholder consultation and will be taken to Planning Committee in November seeking approval to use for development control purposes.
105. The council has a clear plan for investing in its parks and open spaces, working in partnership with a wide range of friends groups and other community bodies. The result is that eight sites now have formal management and maintenance plans of which three have attained [Green Flag](#) status. More are in the pipeline. Public satisfaction with parks and open spaces is rising, and at 78%, is top quartile, with parks being used by 88% of residents. The number of playground conforming to national standards is rising and currently stands at 49% whilst allotments have been transformed to the extent that many sites now have a waiting list. We have established four Statutory Nature Reserves.

### **Transport**

106. The provision of an effective transport system is particularly important for York. Rising vehicle numbers combined with the historic road layout could result in longer journey times and reduced air quality in the city centre, and in the late 1980s we recognised that traffic congestion would become a critical issue for the city if it was left unchecked. The council was one of the first to introduce a policy that put pedestrians, cyclists and public transport at the top of the hierarchy of users and

began one of the first Park and Ride (P&R) services in the country. P&R still forms one of the most important components of our strategy to reduce congestion and improve air quality.

107. We have submitted Local Transport Plans for 2001-6 (LTP1) and 2006-2011 (LTP2). LTP1 was successful in limiting peak period traffic levels to 1999 levels and increasing bus patronage by 49%. LTP2 set some challenging targets particularly in relation to traffic levels (less than 7% growth) and bus journeys (17.5m passengers/year) with a programme to deliver integrated schemes. This plan was assessed by the DfT to be "excellent" because of its overall approach to delivering improved transport solutions. However there is significant pressure on the delivery of the proposed strategies as annual funding of the LTP is projected to fall by approximately 50% over the plan period as a result of the formula based allocation regime introduced by DfT.
- 108.** We have shown our commitment to transport with the setting of a corporate priority to "Increase the use of public and other environmentally friendly modes of transport" for which there is a delivery DIP, giving greater focus to some of our transport services. The principle behind the approach to meeting the transport demands for the future are in their adoption of the hierarchy of users, encouragement to a modal shift to public transport, cycling and walking through better facilities and the provision of a credible alternative to the car. The P&R service has been a huge success with patronage increasing steadily. The contract for providing the service has recently been tendered and a new improved service is expected to start in Spring 2008. This is one of the few P&R operations in the country that operates without a subsidy.
109. The city has a long history of cycling and provides a significant network of on and off road cycle routes as well as cycle parking in the city centre and at other key locations. We are committed to developing cycling in the city and to extending the network to make it more attractive for users. We have an extensive cycle training programme particularly in primary schools where young children can be taught good road safety habits and also learn the longer term benefits of cycling.
110. The city centre has an extensive area of footstreets, where limited or no vehicular access is allowed during most of the day, which will be reviewed shortly to see what possibilities there are for extending. Other softer measures are used to encourage different modes of travel to the car. We are developing methods to improve bus information, which includes not just better timetabling at the stands but access via telephone, internet and SMS messaging and we operate public transport information columns around the city that have real time information on the stands.
111. In the near future we have planned to complete our strategic plan for transport needs together with a further review of the commercial bus services. Integrated ticketing is becoming a more realistic proposition with the improvements in technology and we will be investigating an extension of the West Yorkshire Metrocard into the York area.
112. Finally we are preparing a major scheme bid "Access York" to be submitted to the Regional Transport Board and DfT. The bid will be for major transport improvements to the city including traffic congestion relief, new bus facilities with additional park and ride sites linking to the rural hinterland and supporting the major developments planned for the city including York Northwest.

## Safer and Stronger Communities

### Reduce and Prevent Crime and Fear of Crime

113. Reduction of crime and the fear of crime have been identified as key priorities in the council's corporate strategy and the North Yorkshire Police Control Strategy. We work closely with our CDRP partners to address crime and fear of crime. There are a number of groups and strategies that work toward this aim including, [Community Safety Plan 2005-8](#), [Nightsafe Task Group](#), [Domestic Violence Steering Group](#) (both contributing to reduction in violent crime), [Anti-social behaviour steering group](#), [Burglary Task Group](#), [Cycle Theft Task Group](#), [Begging and Rough Sleepers](#), [Road Safety](#) and [Vehicle Crime Task Group](#).
114. The CDRP (in York this is the Safer York Partnership (SYP)) has recently reviewed its structure and delivery mechanism and the recommendations have been implemented. The SYP has undertaken a gap analysis and a new business plan is currently under review. In terms of PSA targets, the council has contributed to the SYP already achieving its overall crime reduction target, one of only two CDRPs in the Yorkshire and Humber Region to achieve this.
115. A large range of consultative methods have used to assess need and perception including residents associations, neighbourhood watch and task groups and Travellers Liaison meetings. There has also been consultation on alley gating. These consultations help us make sure resources are placed in the areas of greatest need.. York is a High Crime Quartile CDRP and as such, great emphasis is placed regionally on its contribution toward the Governments PSA 1 crime reduction target.
116. In addition to SSCF funding, further funds have been made available from internal council budgets to support further the delivery of initiatives aligned to the Safer and Stronger Communities block and in recognition of Safe City as a top priority for the council. These include the pooling of Ward Committee and Target Hardening funds to support the wider implementation of an alleygating programme in the highest crime area of the city and joint funding to contribute to multi-agency days of action aimed at increasing reassurance and community safety. SYP chairs a number of multi-agency task groups aligned to the key themes under Safer and Stronger Communities within the LAA. These groups are comprised of representatives from the statutory responsible authorities, including the council.

### Reduce anti-social behaviour (ASB)

117. Reducing ASB is a priority for the council and as a result, a key area of focus. Objectives for SYP include improving resident's perception of levels of ASB and impact on quality of life, and achieving the action plan for the Anti-social Behaviour Steering Group.
118. SYP has identified three levels of intervention to address anti-social behaviour and the council contributes significantly at all levels either through the routine activities of our officers or through participation and engagement in multi-agency problem solving at Levels 2 and 3. We successfully communicate regarding antisocial behaviour issues through Your Ward and have widely publicised the system to report incidents. A three month Feeling & Being Safe in York proactive media campaign has focused on positive press stories aimed at providing the community with information on activities being undertaken to reduce fear of crime. Criminal damage is currently 6% lower than at the same time last year. Vehicle interference is 45% lower than at same time last year

119. The council has formed and chairs the Anti-Social Steering Group, and has developed a 'Hate Incident' strategy, involving key partners. A great deal of work has been undertaken by council tenancy enforcement and Legal Services team towards the development of the multi-agency anti-social behaviour referral panel and to taking out anti-social behaviour orders (ASBOs) on those individuals who are seen to cause significant disruption within communities. The Tenancy Enforcement Team also supports witnesses of ASB. We currently have 25 ASBOs in York. The purpose of the panel is not just to determine appropriate enforcement action but also to monitor and track the status of cases. In addition, the panel looks at the relevant support required for each case such as where dispersal orders are made, it is essential that diversionary activities are put in place to prevent displacement.
120. Finally we manage [Network 2](#) working with those young people already engaged in or at risk of engaging in anti-social behaviour. This provides them with opportunities to change their behaviour and participate in organised activities.

### **Reducing drug and alcohol abuse**

121. Action is delivered through various avenues including the [Adult Drug Treatment Plan 2007-8 \(DAAT\)](#), the [Young Peoples Substance Misuse Plan](#) and [service plans \(CYC Youth Services\)](#) and the [York and North Yorkshire Alcohol Harm Reduction Strategy \(final draft for SYP Board approval\)](#). [SYP](#) is a merged CDRP/DAAT. Further work is being undertaken to ensure better integration of the DAAT and CDRP agenda, including a [DAAT needs assessment](#).
122. A multi-agency task group (Nightsafe) has been in existence since 2003 with a remit to reduce alcohol related violence linked to the night time economy. In 2006/07 this group reduced alcohol related violence in the city centre by 28% through the development of a number of multi-agency initiatives. The group has identified a cumulative impact zone which effectively restricts the number of new applications for licensed premises based on the impact these could have to crime and disorder. This has been tested through appeals but has enabled the council to maintain a strong stance on ensuring that a balance is maintained between economic development and reducing levels of alcohol related crime and disorder in the city.
123. Headlines improvements that have been achieved through the above plans include 16 alcohol exclusion zones and a 28% reduction in violent crime in the city centre 2006/07, while education and prevention of drug and alcohol abuse are being addressed through schemes such as the Healthy Schools Scheme, and the One Stop Shop for young people.

### **Reducing accidents and making people feel safer**

124. The council uses well established partnerships with health, police, highways and fire authorities, to reduce accidental death and injury. Relevant work includes the [road safety task group](#), [police attendance at ward committees](#), [traffic calming](#), [smoke alarm work](#) and [CCTV](#). These are reducing accidents - in the first six months of 2006 76 people were killed or seriously injured in 53 accidents. In the same period in 2007 the figures were 52 and 48 respectively.
125. Policies and procedures are led by health and safety considerations. We work with our partners to identify those individuals most at risk from accidents, can identify hot spot locations, and we act accordingly to a reduce the risk of death and injury.



126. As a result of consultation with residents road safety is identified in the LAA and the Community Safety Plan as a major issue. A multi-agency Road Safety Task group is chaired by the Fire & Rescue service with the police and council road safety teams as key members, and Safer Communities Policing Teams attend ward committees to both identify residents' concerns and feedback on actions taken by themselves or through SYP to address their priorities

## **Response to emergency situations**

127. Our emergency arrangements are fit for purpose and would allow the council to respond to emergencies, support emergency service partners and communicate effectively with the public about an emergency at any time, while continuing to deliver critical public services. Emergency Plans are in place to deal with most appropriate risks and an emergency handbook allows for effective communication procedures – for instance the council and its partners successfully put its plans into action when dealing with the recent local emergencies including flooding and foot and mouth. Our emergency planners maintain a 24/7 duty officer rota to ensure emergency service partners are able to obtain the necessary support at all times, while a flood line operates in time of flood emergency, a particular issue for York. A Flood Recovery Group is responsible recovering property after a flooding incident and getting people back in their homes. Co-opted onto the group are representatives of the benefits agency, CVS, the NY trauma counseling service (MERT) and social services. These agencies help secure appropriate support for the vulnerable.
128. The council has an up-to-date [local risk assessment](#), developed through North Yorkshire Local Resilience Forum (NYLRF), which informs business continuity plans based on risk assessments for major incidents including flooding and fuel shortages. These arrangements are tested and activity, including promotion and training, is aimed at reducing and preventing relevant risks. Flood Room exercises involving council directorates and blue lamp services have been run to confirm and validate the existing Flood Plan. In 2006 the Emergency Planning Unit ran a corporate level exercise to test the councils response to such an outbreak of pandemic flu and two workshops to examine the Fuel Plan and Local Risk.
129. Communication with the public has been addressed through the NYLRF Warning and Informing sub-group, with the council chairing, and the NYLRF media group, with active council participation. The [community risk register](#) produced by this group has been distributed to Parish Councils and libraries throughout the authority area, and the Parish Plans identify local risks relevant to their particular parish.

## **Building stronger communities**

130. The council has a [Neighbourhood Management Unit](#) (NMU) which works with the community, elected members and parish councillors to help administer local decision making forums (Ward Committees) and deliver local priorities through neighbourhood action plans. The NMU also assists representatives on [local management committees for community centres](#) and it supports tenants groups. The main focus is around trying to build community capacity and offer training support.
131. The council listens, supports and responds to the local community and the voluntary and community sectors and involves them extensively in service delivery. The council and its partners have also signed a local compact in place for consultation and engagement of communities and the voluntary sector.

132. A York anti-poverty strategy has been approved by the LSP and the SYP is continually monitoring information relating to disadvantage and mapping this against levels of crime and disorder. This work enables all partners to be able to place resources into the areas of greatest need.

### Healthier Communities

133. Action to address health improvement and reduce health inequalities has been identified through the Healthy City Board, a sub committee of the Without Walls Board. York is a relatively healthy place to live but the city is not immune from the trends that are affecting the rest of the country, and the [Annual Public Health Report 2006](#) identifies concerns about teenage pregnancy, alcohol misuse, obesity, levels of physical activity and smoking, including smoking in pregnancy. In general mortality rates are good, with low rates of early death from coronary heart disease and stroke and from cancer and low death rates due to smoking. However, in many aspects inequalities in health outcome can be seen to relate to relative levels of deprivation.
134. Improving the health and lifestyles of people who live in York is one of the 13 priority areas for improvement in the corporate strategy with an identified champion). The council and PCT engaged with the Yorkshire and Humber Strategic Health Authority to promote a whole systems approach to reducing health inequalities. York is one of the non-spearhead areas that are focussing on reducing the intra-area gap in health inequalities. This whole systems approach promoted by the Strategic Health Authority is delivered at three different levels to support change.

Level of Intervention	I. <u>Brief Description</u>	Examples of Initiatives in York
Population Health	II. Health protection measures, societal changes, influencing behaviour, policy and legislation etc.	<ul style="list-style-type: none"> <li>➤ Library learning centres</li> <li>➤ All schools have joined the National Healthy School programme – 50% achieved the standard, on course for all to achieve by 2010.</li> <li>➤ Enforcing laws on under-age tobacco or alcohol sales. Successful smoke-free legislation roll-out, support and enforcement.</li> <li>➤ Fuel poverty and benefit check services/campaigns</li> <li>➤ <a href="#">Air Quality Action Plan</a> Integrated into the Local Transport Plan promotes walking and cycling and regulates industrial emissions</li> </ul>
Personal Health	III. Treatments, Therapies and technologies effective at a personal level	<ul style="list-style-type: none"> <li>➤ Chair based exercise in care homes and smoking cessation, action on nutrition campaign.</li> <li>➤ Pinetrees wheel chair dance sessions, disability community sports coach scheme</li> <li>➤ Exceeded the national targets for children and young people accessing GPs and health workers as part of strategy to reduce teenage pregnancies.</li> <li>➤ Social care support to help people to maintain or develop their optimum level of independence and control over their lives</li> </ul>
Community Health	IV. The choice of behaviours and treatments that fit with the cultural and belief system of the	<ul style="list-style-type: none"> <li>➤ Active engagement in the in-depth multi-agency <a href="#">Tang Hall Needs Assessment</a> followed by Council Asset Management Plan for the area.</li> <li>➤ Allotment schemes and distribution of organic grown food</li> </ul>

	community – improving conditions in the community through their health and well being'	<ul style="list-style-type: none"> <li>➤ City 2 school sports partnerships, extended school club links within an overall physical activity plan.</li> <li>➤ Meeting Decent Homes standard by 2010. Provision of warm home schemes and care and repair schemes.</li> </ul>
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### Older People

135. There is an agreed overarching strategic framework for developing support to older people across York and North Yorkshire. This framework is underpinned by more specific strategies but it recognises that both councils are responsible for developing the strategic needs assessment with the PCT. Within York there is a regular [Older People's Partnership Board](#) chaired and supported by the council involving delegates from the [Older People's Assembly](#), the Older People's Champion and officers from the NHS and the council. This was originally established to oversee implementation of the Older People's NSF (?). To achieve this the Board, following extensive consultation over a twelve month period, developed the '[Never Too Old](#)' Strategy and subsequently has evolved to take on the additional role of monitoring [LAA objectives](#) through formal representation on the Healthy City Board.
136. Across the council there are a number of plans that contribute to the well-being of older people including [Adult Services \(Older people, Physical Disability & Sensory Impairment plan\)](#), the [Learning Disability Services](#) the [Older People's Housing Strategy](#), [Physical Activity Plan](#) and the [Stock condition and Housing Needs surveys](#) to identify needs and priorities. The most comprehensive attempt at long-term planning based on strategic needs assessment is the current development of a [10-15 year commissioning plan](#) for social care services for older people. This has been developed in conjunction with the Institute for Public Care and local stakeholder representation. It will form the basis of the Joint Strategic Needs Assessment to be developed with the PCT.

#### Case study 9: Older People's Long Term Commissioning Strategy – Kathy Clark, social care information analyst

*We knew from national projections on population that there would be a growing number of older people over the next 10-15 years. We wanted to be able to meet the challenges of an ageing population and describe how care and support services need to develop to meet the changing needs and aspirations of people. We had worked with local partners in 2004 to consult with older people and agree what their aspirations and priorities were. Very clear messages emerged from this work forming an excellent starting point for our Commissioning Strategy.*

*We were being encouraged through the White Paper "Our Health, Our Care, Our Say" to deliver better outcomes for our customers and had the opportunity to be supported in our work by the Institute of Public Care, because the Department of Health was keen to explore examples of how Local Authorities could commission services in a more strategic way. The work was published by the Care Services*

*an analysis of where the gaps will be and what will be the priorities for change to meet the challenges that the future will bring. We worked with health colleagues, provider partners and representatives from the Older People's Assembly and their input has been invaluable to challenge and focus our analysis. We returned to all of these partners to consider our conclusions with them, before publishing our strategy.*

*We now have a document which will help us plan how we will use our investment decisions in the next 3-5 years to begin to shape and change the market to meet the priorities we have identified. Using this data we are now undertaking a city-wide consultation with staff, with service providers and with older people about some of the options that we have on how best to meet the future challenges.*

*The strategy has already helped us to agree joint priorities for action with the Primary Care Trust,*

*Improvement Partnership in 2007 as part of an exemplar "Key Activities in Commissioning Social Care".*

*The Commissioning Strategy is an analysis of what is known about current needs and what changes are likely over the next 15 years; what is known about current services and the extent to which they can meet needs now and into the future;*

*including reshaping older people's mental health services to improve the support available within the community, and developing services that will promote health and well being. It has also led to a recognition of older people's needs within the development of the Local Development Framework, and targeting of leisure and fitness activity at older people within the council's leisure programmes.*

137. The council has established an internal partnership approach to benefits and finance issues. There is a particular focus on older people who use services and are more likely to have low incomes, such as older women and black and minority ethnic elders. The council can demonstrate that older people's incomes have risen substantially as a result.
138. Most council consultation activity with the community engages with older people, especially through talkabout and residents associations. We use [talkabout](#) to assess Adult Education in terms of the nature of the courses provided, the facilities used and the learning techniques used. We undertake capacity audits for identifying training for members of resident and tenant associations of which a large number are older residents. In leisure services partner networks are used to advertise activities.
139. Examples of how consultation has been used to influence the development of policy and services includes workshops to shape the [easy@york](#) project, research into the over 50 age group preferred leisure services, and specific consultation on social care provision, including long term commissioning plans. The challenge is to ensure that all sections of the older community of York can be engaged and that the needs of all communities are reflected in the plans.
140. The council has challenging targets ([KPI and LAA objectives](#)) in supporting older people to live independently. We meet these through increases in extra care, home care and [direct payments](#) that have resulted in [reduced admissions to registered care](#), supporting [voluntary organisations](#) to provide a range of local services, making good use of '[Supporting People](#)' and practical support. This last comes from sources such as the [York Home Improvement Agency](#) (HIA), the [Private Sector Renewal Policy](#) assisting vulnerable people to remain in their own homes through Disabled Facilities & Repair Grants and a [free garden grooming service](#) for older tenants.
141. We are also providing assistive technology through a fully integrated community equipment store and we commission and deliver, with partners, a co-ordinated and comprehensive range of services. These include home care 24/7, registered care homes, intermediate care, advice and support services for the voluntary sector and warden services.
142. The current emphasis on older people's services is on the modernisation of approaches to care management and service delivery with specific emphasis on inclusion, developing choice, using resources more efficiently, developing preventative and diversionary services in the community and utilising partnerships within the council and with key statutory and voluntary partners. The development of the long term commissioning plan for social care and its associated investment

plan will have major challenges for delivering support across the council to the growing older population in York.

### **Children & Young People**

143. Children and Young peoples services: this is a significant area of strength within the authority as acknowledged externally by the national awards of Beacon status to the authority in 2006 (Early Intervention Children at Risk) and 2007 (School Improvement). The services consistently rank in the top quartile of performance and the authority has been a key pathfinder/pilot area for key national initiatives. Further detail of this area of performance will be covered in more detail as part of the concurrent Joint Area Review process.

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**Executive**

**20 November 2007**

**Report of the Corporate Landlord and Director of Learning, Culture and Children's Services**

**York Racecourse – Application For Lease Extension And Amendments**

**Purpose of Report**

- 1 The Racecourse is let by virtue of a 99 year ground lease from January 1957. This report is to enable Members to consider a request from the Race Committee to extend the lease to 99 years, from 2008, to include permanent rights to retain the 'Ascot Bend' and make other changes to update the lease.
- 2 The reason for this report coming to members now is because with less than 50 years remaining on the lease it is not financially prudent for the York Race Committee to borrow further funds with which to develop and maintain their facilities to the highest order. An agreement on an extended lease will allow such investment to continue.

**Background**

- 3 The current position
  - a) The plan at Annex 1 shows the area subject to the 1957 lease by black hatch. The Race Committee have invested significantly in this area, including building the new Ebor, Knavesmire and County stands. As this is a ground lease, the buildings are the tenant's property, to maintain for the period of the lease.
  - b) In addition to this area, the lease permits the Race Committee to;
    - i) Retain and maintain the Racecourse
    - ii) Construct and retain the Totalisator in the public part of the West Enclosure, opposite the main stands.
    - iii) Control admission to the Knavesmire and erect marquees etc during 'Race Weeks', which are defined as being from the Saturday

preceding any week during which racing takes place to the Saturday next following (both days inclusive).

- c) The course was extended in 2005 to form a full circuit for the Royal Ascot meeting, by the addition of about 500m of track beyond the winning post connecting with the straight at Tadcaster Road, the extra section being known as the 'Ascot Bend'. This section is held on licence only, and is shown x – x on the plan.
- d) Rent payable is related to receipts, and is reviewed ten yearly. The rent was last fixed on 1 January 2007. Further details are given in Exempt Annex 2.
- e) 15 Race days are permitted as of right. Others are by agreement with the council at an additional rent. It is current practice for 16 or 17 days racing to be run, although only 15 days are scheduled for 2008 due to the planned drainage improvements in Autumn 2008. The core meetings are:

May Festival - 3 days

June - 2 days

July – John Smiths Cup Meeting – 3 days

August – Ebor Meeting – 3 days

September - 2 days

October - 2 days

- 4 The Traffic Management Plan for Race Meetings has been approved by the Executive (Agenda Item 7 to the meeting of 27 March 2007 in particular) following discussions and negotiations with all relevant parties. The council undertake approved measures within a budget of £30,000 and the Racecourse fixed their agreed works at an estimated cost of £45,000. It is not possible to include this subject within the lease but is part of the wider discussions with the Race Committee.
- 5 The use of the Knavesmire for recreational purposes and the impact on race days upon the local neighbourhood are subjects of great interest to citizens and ward councillors. The proximity of the racecourse to the new Terry's site also presents significant opportunities for economic development. Local ward Councillors have been consulted and their views have helped shape the negotiations, however not all of their concerns can be remedied through the lease.

#### Proposed changes

- 6 The changes requested are:

- a) To restore the lease length to 99 years, from 2008.

This is because there are now 48 years remaining on the existing lease, and as the remaining length declines, investment is impeded. It is more difficult to raise



finance under a shorter lease, and investment has to be depreciated over a shorter period, affecting the viability and long term view. The extended lease is requested to facilitate continued investment in order that the Racecourse may retain and enhance its position as a leading course, in a modern racing environment.

The current projects being considered (subject to an extended lease being granted and other necessary permissions) are;

- Enhanced facilities and refurbishment of the Melrose Stand,
- Improvements to the parade ring area.
- Integrate the Conference and Exhibition facilities at the Racecourse with the Terry's site development, which includes hotels, to create a year round venue to develop York's Conference and Exhibition business.

These are in addition to the track widening, drainage improvements and inner safety road, already approved.

b) To include the whole of the West Enclosure in the lease.

This is the 3 acre site marked 'W' on the plan at Annex 1. It is in practice heavily used during Race Meetings as of right under the current lease, and the time taken for the turf to recover adversely affects its use for public or other events at other times. It is used however by the Motor Caravan Show in particular. These larger events do simultaneously hire facilities from the Racecourse .

If approved in principle;

- Additional rent would be payable as detailed in Exempt Annex 2
  - The council would save on any future maintenance or investment costs which average about £1,000 pa
  - It does not prevent other events from being held on other parts of the Knavesmire, e.g. Race For Life, Circuses, football
  - The proposal to lease the whole area would need to be advertised in the local press for public comment, as disposal of open space, under S123 of the Local Government Act 1972. All comments received would be considered in consultation with the Executive Member for Corporate Services, and referred to the Executive Member Advisory Panel if he considers them to be substantial.
- c) To increase the number of permitted Race Days under the lease from the present 15 to 20.

Fifteen race days will remain the core for the calculation of the rent based on the existing rental formula. Outside the core 15 days, additional rent would be payable (which is calculated on the same formula). An additional meeting, often in July, is now the norm, and this is permitted by consent. As the course at York improves, with the safety road and better drainage etc, more Race Days can be bid for in the future to the Racing Authorities, and this would give the Race Committee the ability to do so.

d) To add the 'Ascot Bend' to the track on a permanent basis.

Planning consent has been obtained for the permanent retention of the track with public crossing points reserved (January 2006). There are safety benefits in keeping the 'run off' area separate from the public, and longer races can be attracted in the future. In return for this being added, part of the former straight adjoining Tadcaster Road, between A and B on the plan, would be removed from the track and lease, and returned to full public use.

e) To extend the definition of 'Race Weeks'.

The current definition, being the Saturday before a meeting to the Saturday afterwards inclusive, can allow only 2-3 days to erect and take down marquees. This is often impractical in the time available, especially with more marquees and hospitality around events currently. Up to 10 days before a meeting and 4 days afterwards is requested for marquees, but only in defined areas at Bustardthorpe and adjoining the Parade Ring, and not the Knavesmire as a whole. Marquees cannot be retained for more than 28 consecutive days without planning consent.

8. Based on the terms provisionally negotiated, the council would obtain the following direct benefits from the proposed changes.

a) The rent be reviewed 5 yearly, not 10 yearly, beginning from the next review in 2017. This would smooth out the council's income from the Race Course and aid budget planning. An analysis of this is at Exempt Annex 2.

b) That the events budget for the Arts and Culture Service within Learning, Culture and Children's Services be reimbursed for the events which currently pay to use the balance of the West Enclosure proposed to be included in the lease. The details are in Exempt Annex 2.

c) Additional rent is payable for additional race days.

d) That the new track safety road be used as a cycle track and footpath, excluding Race Days. The council would be responsible for connections to Tadcaster Road via Cherry Lane, and to Campleshon Road.

## **Consultation**

9 Ward Members have made 5 suggestions for consideration, listed a) to e), with officer's response below;

- a) Proper policing of events funded by the course.

Response; This is covered by the Safety of Sports Grounds Certificate. Up to 50 police are on duty, and up to 250 site security staff employed. The control of possible offences by those who have left a sports event is not the legal responsibility of the event organiser.

- b) Fuller funding of traffic management arrangements, or providing parking off Sim Balk Lane (as for the Ascot meeting) rather than Knavesmire Gates.

Response; The Traffic Management Plan for Race Meetings has been approved by the Executive in March 2007. This is a recently agreed solution and renegotiation is not reasonably possible so soon after conclusion.

The temporary 'Ascot' car park on the Knavesmire side of Sim Balk Lane is costly to establish. The arable land concerned is in private ownership. Access is along the cycle way, and there is a long walk to the course. It is regarded as an overflow option only, and that vehicles on Sim Balk Lane can quickly get to the Bustardthorpe car park in any case. Race goers may not use a car park so far from the course and may then cause congestion by parking elsewhere.

- c) Funding temporary toilets on walking routes into town after meetings.

Response; Some toilets were provided during the Ascot meeting by the Council, but were funded on a 'one off' basis by Yorkshire Forward. There is no obligation for the Race Committee to provide any toilets off site e.g. through the safety of sports grounds and liquor licences. They do however provide additional toilets within the course. As the location for other toilets would be outside of the lease area, the Race Committee will not fund or manage such a facility. This issue is discussed later in paragraph 11.

- d) Providing proper stiles/gates where they cross recognised walking routes, e.g. Tyburn to Albermarle Road.

Response; This can be achieved by returning part of the straight opposite Tadcaster Road to full public use, as referred to in paragraph 3(c). A fixed crossing point causes wear and tear on the track hence the Race Committee move access points from time to time.

- e) Connecting paths to the new safety road

Response; It is agreed that the safety road will be useable for pedestrians and cyclists and investigations are underway to provide and sign such links e.g. from Tadcaster Road via Cherry Lane.

- 10 In summary two suggestions have been included within the proposed changes (d) and (e), two are not believed practical under the lease (a) and (b), and one (c) is examined further in paragraph 11.
- 11 As has been discussed above the provision of toilets in the Scarcroft Hill area is not something which Race Committee are willing to do. The estimated cost for the providing and servicing toilets for the main meetings (May to August) is £8,000. There is no budget for such provision.
- 12 The Director of City Strategy has been consulted and his comments are incorporated into the report.

### **Options**

- 13 Members have the option to either;
- A) Agree the new 99 year lease incorporating the changes in paragraph 6, or
  - B) Decline to extend the lease, or
  - C) Agree a new lease but subject to conditions

### **Analysis**

- 14 Option A – Agree the lease extension

Advantages - York Racecourse is operated on a not for profit basis. Income from meetings is reinvested to improve the facilities and racing. Extending the lease would provide greater financial security for the Racecourse to continue to invest, and to retain and enhance York's position as one of the country's leading courses. This is particularly important now to also link the Racecourse's conference and sporting facilities with the Terry's development and proposed hotels. This option is consistent with the council's role as an enabling authority, to encourage investment in the city. The declining lease length would otherwise act increasingly as a barrier to future investment.

Disadvantages - The terms of the lease would be fixed for 99 years, save for changes by agreement. This may be seen as more inflexible.

- 15 Option B – Decline to extend the lease.

Advantages - To retain future options to amend the lease terms, albeit not until 2056 or at some time in the future when both parties wish to review the situation.

Disadvantages - Not to support the track improvements, future investment in the stands and to link with Terry's for an integrated Conference and Exhibition facility which could be seen as detrimental to the long term prosperity of the City.

16 Option C

Advantages - A balance between options A and B and accept some of the changes requested in paragraph 6, and not others.

Disadvantages - It is doubtful if York Race Committee would accept a partial agreement.

### **Corporate Priorities**

17 The proposed new lease will enable the following corporate priorities as set out in the Council's 2007/08 Best Value Performance Plan to be enhanced;

- a) Increase the use of environmentally friendly transport. The proposals include joint use of the new track safety road as a cycle way and footpath.
- b) Increase the actual and perceived condition and appearance of the city's streets and open spaces. Through the ongoing investment in the facilities and continued involvement in Yorkshire In Bloom.
- c) Improve Economic Prosperity. The Race Meetings and the developing conference business will contribute.
- d) Working with partners to deliver better services i.e. working with the racecourse to enhance the venue for the provision of leisure and business facilities.

### **Implications**

- 18
- a) Financial – there are no significant financial implications in the short term. In the longer term, the income to the council will increase due to these proposals as referred to in Annex 2 (Exempt). Loss of opportunity for the use of the West Enclosure is compensated by a guaranteed payment from the Race Committee.
  - b) Human Resources, Equalities, Crime and Disorder and IT. There are no implications in these areas.
  - c) Legal – a new lease will require many hours of work and this may have to be externalised. Legal costs will be recoverable from the Racecourse Committee.
  - d) Property – as contained in the report. The land use is established.
  - e) Other – there are no new licensing or other implications.

## **Risk Management**

- 19 There are limited risks to the council arising from the options in this report. If the negotiations do not proceed the existing lease will continue to run for a further 48 years and the Council will continue to receive the annual income.

## **Recommendation**

- 20 Members are asked to consider;
- a) The approval of Option A being;
    - i) The surrender of the existing lease for the Racecourse in favour of a new 99 year lease, from 2008
    - ii) The inclusion of the remaining 3 acres of the West Enclosure in the lease, subject to the results of advertising under S123 of the Local Government Act 1972
    - iii) To increase the number of permitted Race Days as of right to 20, with any others to be subject to approval of the Head of Parks and Open Spaces in consultation with officers in City Strategy
    - iv) To add the 'Ascot Bend' to the race track, in exchange for land on the Tadcaster Road straight
    - v) To allow up to 10 days for the erection of hospitality marquees and 4 days for removal, instead of the current 'Race Week', to be subject to approval of the Head of Parks and Open Spaces.
  - b) Giving guidance on the possible provision of temporary toilets as set out in paragraph 11.
  - c) Reason  

To ensure that York Racecourse maintains its position amongst the top courses in the country whilst at the same time continuing to be a valued local amenity that plays a valuable role in the economic development of the city and brings benefits in a manner that is acceptable to the residents of York.

**Author:** David Baren  
Property Manager (Commercial)  
Property Services  
Tel: (01904) 553306

**Chief Officer Responsible for the report:**  
Neil Hindhaugh  
Head of Property Services  
Tel: (01904) 553312

Email: [david.baren@york.gov.uk](mailto:david.baren@york.gov.uk)

Email: [neil.hindhaugh@york.gov.uk](mailto:neil.hindhaugh@york.gov.uk)

Co – Author: Dave Meigh,  
Head of Parks and Open Spaces,  
Learning, Culture and Children’s  
Services.

Tel: (01904) 553386

Email: [dave.meigh@york.gov.uk](mailto:dave.meigh@york.gov.uk)

**Wards Affected: Micklegate, Report Approved  
Dringhouses and Woodthorpe**



**Date** *25<sup>th</sup> October  
2007*

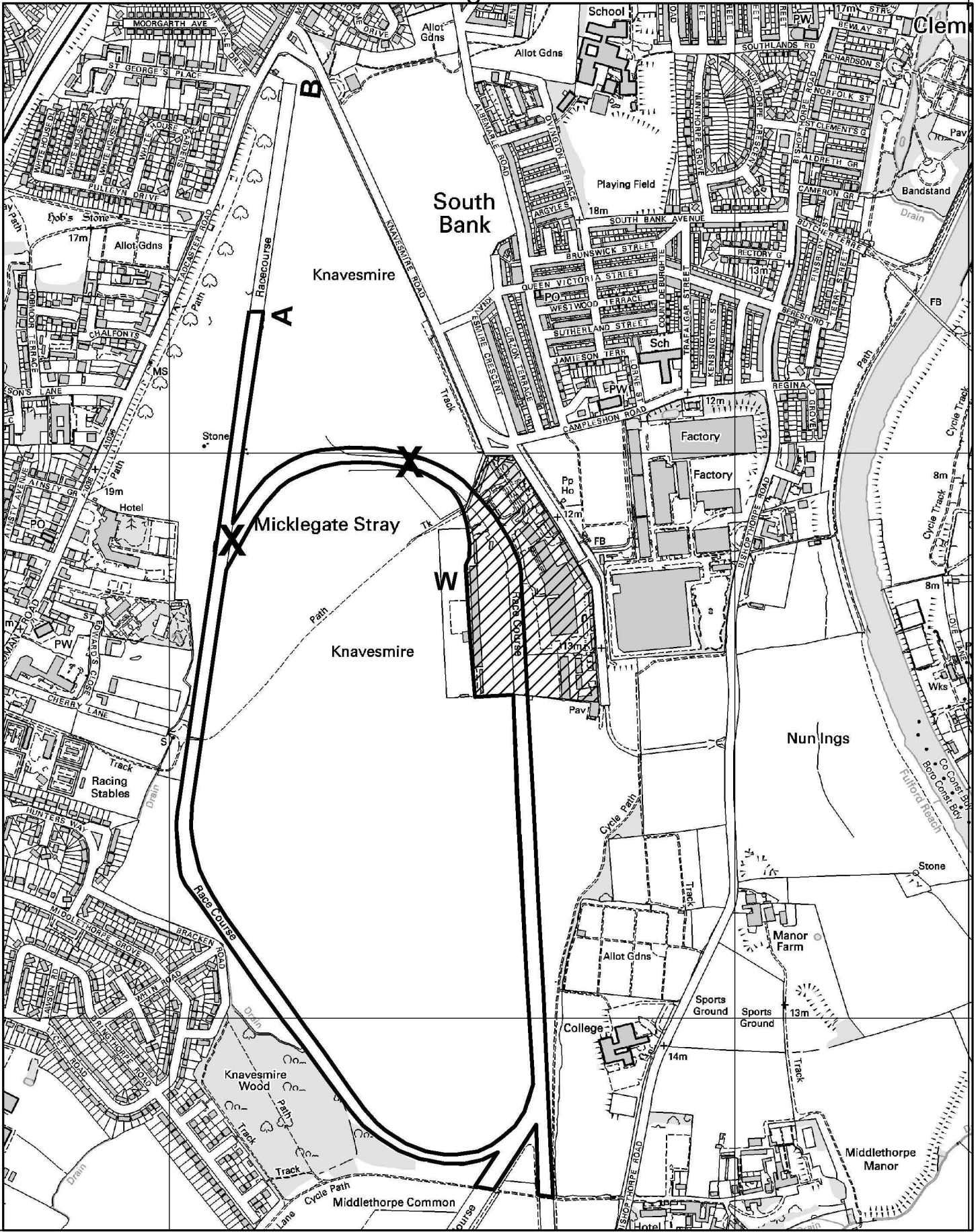
**For further information please contact the author of the report**

**Background Papers – Lease Documents (Confidential)**

- Annexes      1 – Site Plan  
                  2 – Exempt Financial Analysis

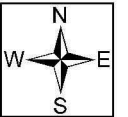
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Resources  
Property Services

## York Racecourse - Proposed Lease Amendments



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## Agenda Item

### Executive

20 November 2007

The information in the attached report on the council's Commercial Property Portfolio is regarded as exempt information pursuant to paragraph 3 of part 1 of schedule 12A of the Local Government Act 1972 (as amended) being information relating to the business affairs of the commercial tenants of the council.

### Report of the Corporate Landlord

### Review and Strategy for the Commercial Property Portfolio

#### Summary

- 1 Further to the introductory report to Corporate Services EMAP on 11 September 2007, attached to this report is the exempt full report on the review of the Commercial Portfolio. Performance has previously been monitored by the Resources Scrutiny Board.

#### Background

- 2 The review forms a **Service Asset Management Plan** linking to the council's approved Corporate Asset Management Plan. It relates to commercial properties in two categories:
  - a) Non Operational. Properties not directly part of a service, for example Shambles shops or Hospital Fields Industrial Estate, and
  - b) Operational. Properties ancillary to service use, for example housing estate shops
- 3 The report was also considered by the Executive Member for Corporate Services and Advisory Panel, on 30<sup>th</sup> October. The Executive Member Resolved to accept and endorse the following principles;
  - (1) That the report be received and the performance of the Commercial Portfolio be noted;
  - (2) That a yearly report on Performance Indicators as identified in the report be received;
  - (3) That any proceeds received from selling any of the properties suitable for disposal (excluding those receipts already committed to fund the approved capital programme) should be put into a fund to be used for future acquisitions and investments;

- (4) That the views of Members expressed at the meeting be referred to the Executive on 20th November to inform the council's future policy on its non-operational and operational Property portfolios.

4 **The aims of the report** are summarised as follows:-

- a) To identify the properties. Some 220 properties in all are referred to.
- b) To examine the background to current ownership and establish criteria for holding these premises in the future linked to Corporate Strategy.
- c) To establish benchmarks and to audit performance for the period 2000 to 2005. Full asset valuations were undertaken in each of these years to enable growth and performance indicators to be assessed.
- d) To recommend an action plan for the future to improve performance including setting performance indicators.

5 The **main focus** of the review is the non-operational Property Portfolio. Attached to the report are fact sheets on each group of non-operational properties setting out the benchmarks, voids and write-offs which may have occurred and recommending future policy in respect of the property. The main report summarises the outcomes and lists those properties which may be subject to review.

6 **The recommended objectives for holding property** in the future are:-

- a) Generation of revenue income to support council budgets.
- b) To improve asset value and generate capital receipts where appropriate.
- c) To provide opportunities for small businesses to support the local economy.
- d) To provide property for operational requirements and partners.
- e) To influence land use, for example retaining areas for employment use.

For operational properties, there are also the following:-

- f) To retain property in a beneficial use, for example the City Wall Museums.
- g) To support the service.

7 The recommended **performance indicators for future management** are:-

- a) Improve revenue income.
  - i) Increase the rent roll by 2½% per annum net of sales.
  - ii) Reduce the cost of management (now 20% in total). 15% is the first target figure.
  - iii) To increase the percentage of rent collected within the quarter due (currently 98%).
- b) Improve asset value:

- i) To complete 20% of condition surveys for each of the next 5 year to assess repair backlogs.
  - ii) To monitor capital receipts through the Asset Management Group.
  - iii) To revalue 5 yearly.
- c) To provide small business opportunities.
- i) To maintain full occupation – keeping the void rate to less than 3% of properties.

## **Consultation**

- 8 Corporate Services EMAP – On the 11 September 2007. Members accepted the introduction to the report and noted that this report followed previous examinations of the Commercial Property Portfolio by the Resources Scrutiny Board.

The Head of Housing Services – Wishes to retain the housing flats situated above several of the non-operational shop properties.

Director of Resources – incorporated within the report

## **9 Options and Analysis**

Options and analysis relating to policy in respect of the properties will be discussed at the meeting. Any properties which may be suitable for disposal will be the subject of an individual report, as this review focuses on performance and policy only.

## **10 Corporate Priorities**

The council's commercial properties contribute to the following priorities as referred to in the current Best Value Performance Plan:

- Improve the street scene.
- Improve employment prospects.
- Improve efficiency to free resources.
- Improve partnership working to delivery better services for people in York.

## **Implications**

- 11 Financial - There are no financial implications linked to this policy review. Detailed financial implications would be given on any follow up reports concerning individual properties.
- Human Resources - There are no HR implications.
- Equalities - There are no equalities implications.
- Legal - There are no legal implications to this policy review.
- Crime and Disorder - There are no crime and disorder implications.

- IT - There are no IT implications
- Property - Property implications are included within the exempt report attached.
- Other - There are no other implications.

**Risk Management**

12 There are no known risks associated with this report.

**Recommendations**

13

**Executive**

- 1 That the report be received and the performance of the council’s operational and non-operational portfolios noted
- 2 That the Executive be recommended to approve the summary of recommendations included in paragraph 10 of Annex A (exempt report) and that recommendation d) of paragraph 10 be considered further by the Corporate Asset Management Group and a report brought back to the Executive Member for Corporate Services outlining the investment strategy.

Reasons:

To provide Members input to the Commercial Property Review, to set targets for future performance and to identify actions on individual properties as determined at the meeting.

**Author:**  
David Baren  
Commercial Property Manager  
Resources – Property Services  
01904 553306  
[david.baren@york.gov.uk](mailto:david.baren@york.gov.uk)  
**Specialist Implications**  
**Officers Consulted**  
*None*

**Chief Officer Responsible for the report:**  
Neil Hindhaugh  
Assistant Director – Head of Property Services  
01904 553312  
neil.hindhaugh@york.gov.uk  
Report Approved  Date

Wards Affected: All

For further information please contact the author of the report

**Background Papers:** None  
**Annex A**



Exempt report entitled 'Service Asset Management Plan 2007 – 2012 – Commercial Property Portfolio'.

25 September 2007

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