



Notice of a public meeting of

Customer and Corporate Services Scrutiny Management Committee

To: Councillors Williams (Chair), Galvin (Vice-Chair),
D'Agorne, Fenton, Gates, Reid, S Barnes, Flinders and
K Myers

Date: Monday, 4 September 2017

Time: 5.30 pm

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

AGENDA

1. **Declarations of Interest**

At this point, Members are asked to declare:

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

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

2. **Public Participation**

At this point in the meeting members of the public who have registered to speak can do so. The deadline for registering is **5.00pm on Friday 1 September 2015**. Members of the public can speak on agenda items or matters within the remit of the Committee.

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

Filming, Recording or Webcasting Meetings

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The Council's protocol on Webcasting, Filming & Recording of Meetings ensures that these practices are carried out in a manner both respectful to the conduct of the meeting and all those present. It can be viewed at http://www.york.gov.uk/download/downloads/id/11406/protocol_for_webcasting_filming_and_recording_of_council_meetings_20160809.pdf

3. Schedule of Petitions (Pages 1 - 6)

This report provides the committee with details of new petitions received to date, together with those considered by the Executive or relevant Executive Member/Officer since the last report to the Committee.

4. 2017/18 Finance and Performance Monitor 1 (Pages 7 - 14)

This report provides a high level analysis of the performance and financial position of services falling under the remit of this Committee for the first quarter of the 2017/18 financial year.

5. Draft ICT Strategy (Pages 15 - 20)

This report outlines the process undertaken to develop the new proposed ICT Strategy as a platform for the Council's ICT provision moving forward. After receiving a presentation on the draft strategy, Members will be asked to comment upon and endorse the broad strategic direction set, ahead of formal approval.

6. Overview Report on Financial Inclusion (Pages 21 - 38)

This report provides Members with an update on the activities and initiatives undertaken by the Council to promote financial inclusion across the city.

7. Section 106 Agreements (Pages 39 - 54)

This report provides Members with further information on Section 106 agreements and how they are administered and controlled, as requested at a meeting of this Committee's predecessor in November 2016.

8. Attendance and Wellbeing Project (Pages 55 - 70)

This report provides information on the current and planned work being undertaken to address the management of sickness absence within the Council, with a focus on attendance management and employee wellbeing.

9. Work Plan 2017/18 (Pages 71 - 72)

Members are asked to consider the Committee's draft work plan for the remainder of the municipal year.

10. Urgent Business

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

Democracy Officer:

Name: Laura Clark

Contact details:

- Telephone – (01904) 554538
- E-mail – Laura.Clark@york.gov.uk

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

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

Contact details are set out above.

This information can be provided in your own language.

我們也用您們的語言提供這個信息 (Cantonese)

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

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

Bu bilgiyi kendi dilinizde almanız mümkündür. (Turkish)

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

 (01904) 551550



**Customer & Corporate Services Scrutiny
Management Committee**

4 September 2017

Report of the Assistant Director - Legal and Governance

Schedule of Petitions**Summary**

1. Members of this Committee are aware of their role in the initial consideration of petitions received by the Authority. The current petitions process was considered by the Audit and Governance Committee on 2 October 2014 and endorsed by Council on 9 October 2014. This process aims to ensure scrutiny of the actions taken in relation to petitions received either by Members or Officers.

Background

2. Following agreement of the above petitions process, Members of the Corporate and Scrutiny Management Policy and Scrutiny Committee (CSMC) had been considering a full schedule of petitions received at each meeting, commenting on actions taken by the Executive Member or Officer, or awaiting decisions to be taken at future Executive Member Decision Sessions.
3. However, in order to simplify this process Members agreed, at their June 2015 meeting, that the petitions annex should in future be provided in a reduced format in order to make the information relevant and manageable. At that meeting it was agreed that future petitions reports should include an annex of current petitions and agreed actions, but only following consideration of the petitions by the Executive or relevant Executive Member or Officer.
4. This was agreed, in the knowledge that the full petitions schedule was publicly available on the Council's website and that it was updated and republished after each meeting of the Committee.
<http://democracy.york.gov.uk/ecCatDisplay.aspx?sch=doc&cat=13020&path=0>

5. **Current Petitions Update**

A copy of the reduced petitions schedule is now attached at Annex A to the report, which provides a list of new petitions received to date. There have been no petitions considered by the Executive or relevant Executive Member/Officer since the last meeting of the Committee in July.

6. **The Process**

There are a number of options available to the Committee, as set out in paragraph 7 below; however, these are not exhaustive. Every petition is, of course, unique, and it may be that Members feel a different course of action from the standard is necessary.

Options

7. Having considered the reduced schedule attached which provides details of petitions received and considered by the Executive/Executive Member since the last meeting of the Committee, Members have a number of options in relation to those petitions:

- Request a fuller report, if applicable, for instance when a petition has received substantial support;
- Note receipt of the petition and the proposed action;
- Ask the relevant decision maker or the appropriate Executive Member to attend the Committee to answer questions in relation to it;
- Undertake a detailed scrutiny review, gathering evidence and making recommendations to the decision maker;
- Refer the matter to Full Council where its significance requires a debate;

If Members feel that appropriate action has already been taken or is planned, then no further consideration by scrutiny may be necessary.

8. Following this meeting, the lead petitioner in each case will be kept informed of this Committee's consideration of their petition, including any further action Members may decide to take.

Consultation

9. All Groups were consulted on the process of considering more appropriate ways in which the Council deal with and respond to petitions,

resulting in the current process. Relevant Directorates are involved and have been consulted on the handling of the petitions outlined in Annex A.

Implications

10. There are no known legal, financial, human resource or other implications directly associated with the recommendations in this report. However, depending upon what, if any, further actions Members agree to there may, of course, be specific implications for resources which would need to be addressed.

Risk Management

11. There are no known risk implications associated with the recommendations in this report. Members should, however, assess the reputational risk by ensuring appropriate and detailed consideration is given to petitions from the public.

Recommendations

12. Members are asked to consider the petitions received on the attached schedule at Annex A and as further outlined in this report, and agree an appropriate course of action in each case.

Reason: To ensure the Committee carries out its requirements in relation to petitions.

Contact Details:

Author:
Laura Clark
Democracy Officer
Tel No. 01904 554538
Laura.Clark@york.gov.uk

Chief Officer Responsible for the report:
Andrew Docherty
AD Legal and Governance

Report
Approved



Date

21 August 2017

Wards Affected:

All



Background Papers: None

Annexes:

Annex A – Extract from schedule of petitions received and action taken to date

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Petition Details	Petition Type	No of Signatures (Approx)	Responsible Officer	Decision maker (e.g. Executive Member, Director)	Date of Consideration	Action Agreed	Date of Consideration by CSMC & Outcome
85. Petition for permanent basketball nets for Glen Gardens	Handed over at Full Council on 20-7-17 by Cllr Williams	44 signatures	James Gilchrist – AD, Transport Highways & Environment		21/08/17	Replacement nets have been fitted, as part of a previously agreed programme of works.	
86. Petition for a Push Button Crossing on Bishopthorpe Road at Butcher Terrace to improve pedestrian and cycle safety	Handed over at Full Council on 20-7-17 by Cllr Crawshaw	TBC	Tony Clark – Head of Transport				
87. Petition for a Clean Air Zone – a request for implementation of the Air Quality Action Plan, a Clean Air Zone for the City Centre and targeted enforcement action.	Handed over by Cllr D'Agorne at a Decision Session – Executive Member for Environment held on 7-8-2017	600	Mike Southcombe				

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**Customer and Corporate Services Scrutiny
Management Committee****4 September 2017****Report of the Deputy Chief Executive / Director of Customer &
Corporate Services****2017/18 Finance and Performance Monitor 1****Purpose of the Report**

- 1 This report provides a high level analysis for the services falling under the responsibility of the Customer and Corporate Services Scrutiny Management Committee, which include all corporate, strategic and business services.

Financial Analysis

- 2 The council's net General Fund budget for 2017/18 is £119.6m and the net budget for the areas covered by this report is £19.5m. Following on from previous years, the challenge of delivering savings continues with £6m to be achieved in order to reach a balanced budget. £1.1m of these savings fall within the services covered by this report.
- 3 All budgets are reviewed on a quarterly basis and some are monitored monthly. Those that are monitored monthly are high value or high risk areas. The latest review has identified a net underspend of £200k and this is predominately due to additional income within bereavement services of £115k and staffing vacancies across a range of services including finance and democratic services. Agreed budget savings are being delivered in line with the original plans across a number of areas, including those within customer services. A range of other minor variations make up the directorate position. Work will continue to try and identify additional savings to help the overall position.

Performance Framework

- 4 Agreement was made at Executive of a core strategic set of indicators to help monitor the council priorities and this will provide structure for future reporting. A number of new recording measures and metrics will be created over the next reporting period in order to understand progress on these strategic performance indicators. Indicators within

the core strategic set for the services falling under the responsibility of the committee are reported in the table below.

Performance – Overview			2014/15	2015/16	2016/17	Q1	Benchmark	DoT
Service Delivery	A Council That Listens to Residents	% of panel who agree that they can influence decisions in their local area	NC	NC	25.65%	28.41%	Above National Average	↑
		% of panel satisfied with the way the Council runs things	NC	NC	65.54%	64.76%	Above National Average	→
	A Prosperous City for All	Business Rates - Rateable Value	NC	NC	£247,348,791	£255,784,571	NC	→
Organisational Health Check	Performance	Overall Council Forecast Budget Outturn (£000's Overspent / -Underspent)	£-688	£-876	-£542	£636	NC	↓
	Employees	Average sickness days lost per FTE - CYC (Excluding Schools) - (Rolling 12 Month)	11.4	10.1	10.2	10.2	Above National Average	→
	Customers	% of external calls answered within 20 seconds - CYC	91.27%	88.15%	89.01%	87.57%	Above National Average	→
		% of complaints responded to within 5 days	NC	NC	75.40%	73.20%	NC	→
		FOI & EIR - % In time - (YTD)	94.00%	95.60%	93.14%	92.50%	NC	→

NC = Not due to be collected during that period,

Performance Analysis

% of residents satisfied with the way the Council runs things - this measure gives an understanding of residents' satisfaction with frontline service delivery and the Council's responsiveness to residents' views

- 65% of the respondents to the Talkabout survey in Q1 2017/18 are satisfied with the way the Council runs things (66% in the same period in 2016/17) which is higher than the LG Inform benchmark figure of 50% for 2016/17, however only 49% agree that the Council provides value for money (although an increase from 45%).

% of residents who agree that they can influence decisions in their local area - this measure gives an understanding of residents' recognition about how we are listening and reacting to residents views

- The latest national figure of 27% (Community Life Survey 2016/17) is consistent with the 26% of respondents to the latest Talkabout survey in York who agreed that they could influence decisions in their local area. The York figure is a slight increase from the result in Q1 2016/17.

Business Rates - Rateable Value - this measure gives an understanding of how much money the Council is likely to receive to spend on public services

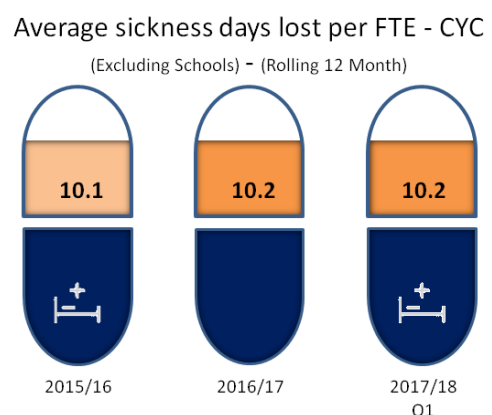
- The rateable value is the legal term for the notional annual rental value of a rateable property, assessed by the valuation officers of the VOA

(Valuation Office Agency). The revaluation from 1st April 2017 resulted in a 4.14% percentage change increase in the rateable value for York with Yorkshire, whilst England increased by 9.1%. Currently English authorities keep hold of 50% of locally-collected business rates with the other half going into a central government pool and redistributed back to the local authorities according to need.

- 8 The introduction of new online forms including direct debit forms promote low cost swift billing and collection, and has increased the collection rates for both Business Rates and Council Tax. The use of "Analyse" software has been used to identify increases in rateable values which has been maximising the collection rates. The collection rate for Council Tax at the end of Q1 was 29.55% compared with 29.70% in the corresponding period in 2016/17. This slight reduction can be attributed to more customers moving from 10 monthly payments to 12 months. The collection rate for Business Rates at the end of Q1 was 32.02% compared with 29.50% in the corresponding period of 2016/17. Last year was York's highest Business Rates collection rate on record achieving 99.04% for the full year.
- 9 The York Business Improvement District (BID) has looked to change the appearance of the city centre's vacant spaces by installing window dressing options to shop fronts. Applied vinyl that projects a 3-D appearance is enhancing the atmosphere for neighbouring businesses and improving the look of the city centre for visitors and residents. An alternative way of marketing empty properties, the dressing of vacant shops is aiming to inspire and attract prospective businesses to open their doors in York. At the end of June there were 58 vacant shops (9.21% of all shops) which is a slight decrease on the 61 vacant shops at the end of March.

Average sickness days lost per FTE (12 Month rolling) - this measure gives an understanding of the productivity of the organisations employees

- 10 The 12 month rolling average of sickness days per FTE (excluding schools) has remained constant at 10.2 days but still remains higher than the CIPD Public Sector average of 8.7 days. The 12 month rolling average for Stress related absence averaged 2.2 days per FTE in March, but has increased slightly in June to 2.4 days.



The organisation is continuing to effectively manage and monitor sickness absence by ensuring that the impacts and costs are understood and discussed throughout the Council's management structure.

- 11 To complement our existing services, and offer permanent and fixed term contract employees around the clock access to confidential, independent, professional information and emotional support, the council has appointed Workplace Wellness to replace the independent employee support service, the Employee Assistance Programme (EAP). Workplace Wellness offers self referral to specialists and counsellors through telephone conversations and up to six sessions of face to face counselling. It is available 24/7 every day of the year and is a confidential service totally independent of the council. We hope that this service will continue to help reduce the overall sickness levels.

External Calls answered within 20 seconds - this measure gives an understanding of speed of reaction to customer contact

- 12 In Q1 the percentage of all external calls answered within 20 seconds was 88% which was a small decrease from 89% in 2016/17 however this is still well above the industry benchmark of 80%.
- 13 The council's Customer Centre is the main point of contact for residents and business visitors. During Q1 2017/18, the number of calls received increased considerably by 11% to 61,163 from 55,124 in the previous quarter. This increase was due to a combination of council tax annual billing and the unexpected general election. Of these calls 95% were answered, with 72% within 20 seconds which, despite a decrease from last quarter (75.7%), due to this significant increase in demand, demonstrates a consistently good performance.
- 14 The number of residents who came to West Offices decreased slightly to 14,621 (15,987 in the previous quarter) with an average wait of less than 7 minutes. 78% of residents were seen within the target wait time of 10 minutes.
- 15 14,354 business visitors came to West Offices during Q1 2017/18 (17,801 in the previous quarter). The reduction in demand across our face to face channel shows the changing behaviour of our residents; 4,158 payments were made using the auto payments system and 16,349 customers used the telephone auto operator.

- 16 Residents are now encouraged to complete certain transactions online. In Q1 2017/18, 46% (406) of all street lighting and street cleansing issues were reported by customers on-line.

% of complaints responded to within 5 days

- 17 In Q1 2017/18 the council received 467 stage 1 complaints, which is an increase of 18.5% on the number received in the previous quarter. The council responded to 73.2% within the 5 day timescale. Where timescales were not met, the cause was resource pressures in some service areas. Work is ongoing to ensure complaints performance is monitored and there is cross council learning from complaints in a systematic manner.

FOI & EIR - % In time - this measure gives an understanding of our speed of reaction to FOI's

- 18 In Q1 2017/18 the council received 414 FOIs, EIRs and SARs. In-time compliance of 90.8% has been achieved for FOIs (Freedom of Information requests) and 96.1% for EIRs (Environmental Information Regulations requests). There continues to be performance improvement for in-time compliance with Data Protection Act Subject Access to Records requests (SARs) with an increase this quarter to 84.6% which is an increase of 4% on the previous quarter.

Performance – Procurement

- 19 The tables below summarises the quarter 1.

Quarter 1

Size of business	2017/18 Q1 spend		Of which in Yorkshire & Humber	Of which in a YO postcode
	£'000	% of total	£'000	£'000
Micro (less than 10 employees)	3,174	8	2,094	1,493
Small (11 to 49 employees)	11,612	30	9,427	7,133
Medium (50 to 249 employees)	8,807	23	5,282	3,484
Sub total SME's	23,593	61	16,803	12,110
Large (250 or more employees)	14,788	39	6,677	3,911
Grand Total	38,381	100	23,480	16,021

- 20 Spend to the end of June shows 61% of the total spend was with SME's, compared to 60% in a full year for 2016/17. Local spend has remained broadly the same at 61% of the total (62% in 2016/17).

Annexes

- 21 All performance data within this document is made available in machine-readable format through the Council's open data platform at www.yorkopendata.org under the "performance scorecards" section.

Consultation & Options

- 22 This report is for information so no options are presented.

Corporate Priorities

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

Implications

- 24 The financial implications are all dealt with in the body of the report.
- 25 There are no other specific implications of this report.

Recommendations

- 26 As this report is for information only there are no specific recommendations.

Reason: To update the Committee on the forecast position for 2017/18.

Authors:	Chief Officer Responsible for the report:			
Debbie Mitchell Corporate Finance & Commercial Procurement Manager Ext 4161 Ian Cunningham Group Manager – Shared Intelligence Bureau Ext 5749	Ian Floyd Deputy Chief Executive / Director of Customer & Corporate Services			
	Report Approved	✓	Date	24/8/2017
Wards Affected: All				
For further information please contact the authors of the report				

Abbreviations

BID – Business Improvement District
EIR – Environmental Information Regulations
FOI – Freedom of Information
FTE – Full Time Equivalent
LG – Local Government
SAR – Subject Access to Records
SME – Small and medium Enterprises
VOA – Valuation Office Agency

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**Customer & Corporate Services Scrutiny
Management Committee****4th September 2017**

Report of the Assistant Director of Customer & Digital Services

Draft ICT Strategy**Summary**

1. This report outlines the process undertaken to develop the new proposed ICT Strategy as a platform for the council's ICT provision moving forward. After receiving a presentation of the draft strategy members will be asked to comment and endorse the broad strategic direction set ahead of formal approval.

Background

2. In February 2017 a process was started to develop a new strategy for ICT, based directly on the experiences and aspirations of internal and external customers. The consultation approach is outlined in paragraph 11 to 13 below.
3. In order for this to be undertaken in a structured and measurable way, the ICT staff involved used a number of customer research techniques already in use in ICT. These allowed them to better understand customer needs and develop insights into how they can deliver against these.

Developing the strategy

4. Taking all the research into consideration ICT were able to develop a strategic digital vision for the organisation, closely aligned to the business and workforce aspiration, both in terms of the technology and some of the cultural challenges that had emerged from the consultation.
5. In addition, by comparing the outputs of research interviews against staff questionnaires they were able to identify some of the key areas where the current ICT experience either empowered – or restricted – internal and external customer's shift towards that vision.

6. This enabled them to identify key insights into where they should focus their energies. These were articulated these as 'hypotheses' or the guiding principles that will directly mould the ICT provision going forward.

Delivering the strategy

7. It became clear during the engagement process that internal customers wanted to see a different kind of ICT strategy – one that would evolve as the business challenge and priorities shifted, and would adapt to new business strategies as they came online.
8. The council has therefore, developed a digital strategy that will be continually updated and communicated over time. The first full version of the strategy is available here: <http://cycictstrategy.com>; once approved this will be publicised and available via the council's website. A summary 'strategy on a page' is contained at the Annex to this report.
9. In terms of driving change, what is already emerging, is the need to better baseline and measure the performance and experience around ICT's customer offer.

Consultation

10. The process began by members of the ICT service interviewing their own service leads, to identify a view of the future and practical challenges they face. These were then tested against the views of senior managers across the council and Member portfolio leads to ensure the higher level strategic direction and aspirations of the organisation were captured.
11. Using the outputs from this work, questionnaires were designed for ICT colleagues and, separately, the broader staff base to capture their current concerns and aspirations.
12. Finally some light touch public engagement was undertaken to baseline the public view of the council's current digital offer.

Options and Analysis

13. This is a report seeking feedback on approach and content, and so no other options are presented for consideration.

Council Plan

14. The ICT Strategy and digital ambitions should underpin all of the Council Plan 2015-19 priorities and related key change programmes.

Implications

15. The main implications relate to 'Information Technology' and are outlined in the report.

Risk Management

16. There are risks relating to the delivery of the ICT Strategy which are directly related to skills, capacity and financial resources. To mitigate these risks ICT programme management, robust financial business plans and skills/resource planning are a necessary priority for the service.

Recommendations

17. The Committee is asked to:
 - a. comment on the draft strategy and endorse it for onward approval and;
 - b. consider receiving future updates as part of future work plans.

Reason: To ensure that scrutiny members have the opportunity to be consulted on a key strategy that will influence the future delivery of frontline services.

Contact Details

Author:

Roy Grant/Simon Donnelly
ICT Service

Tel No. 01904 551966

Chief Officer Responsible for the report:

Pauline Stuchfield
Assistant Director of Customer and Digital
Services

**Report
Approved**

☒

Date 20th July 2017

Specialist Implications Officer(s) None

Wards Affected: List wards or tick box to indicate all

All

☒

For further information please contact the author of the report

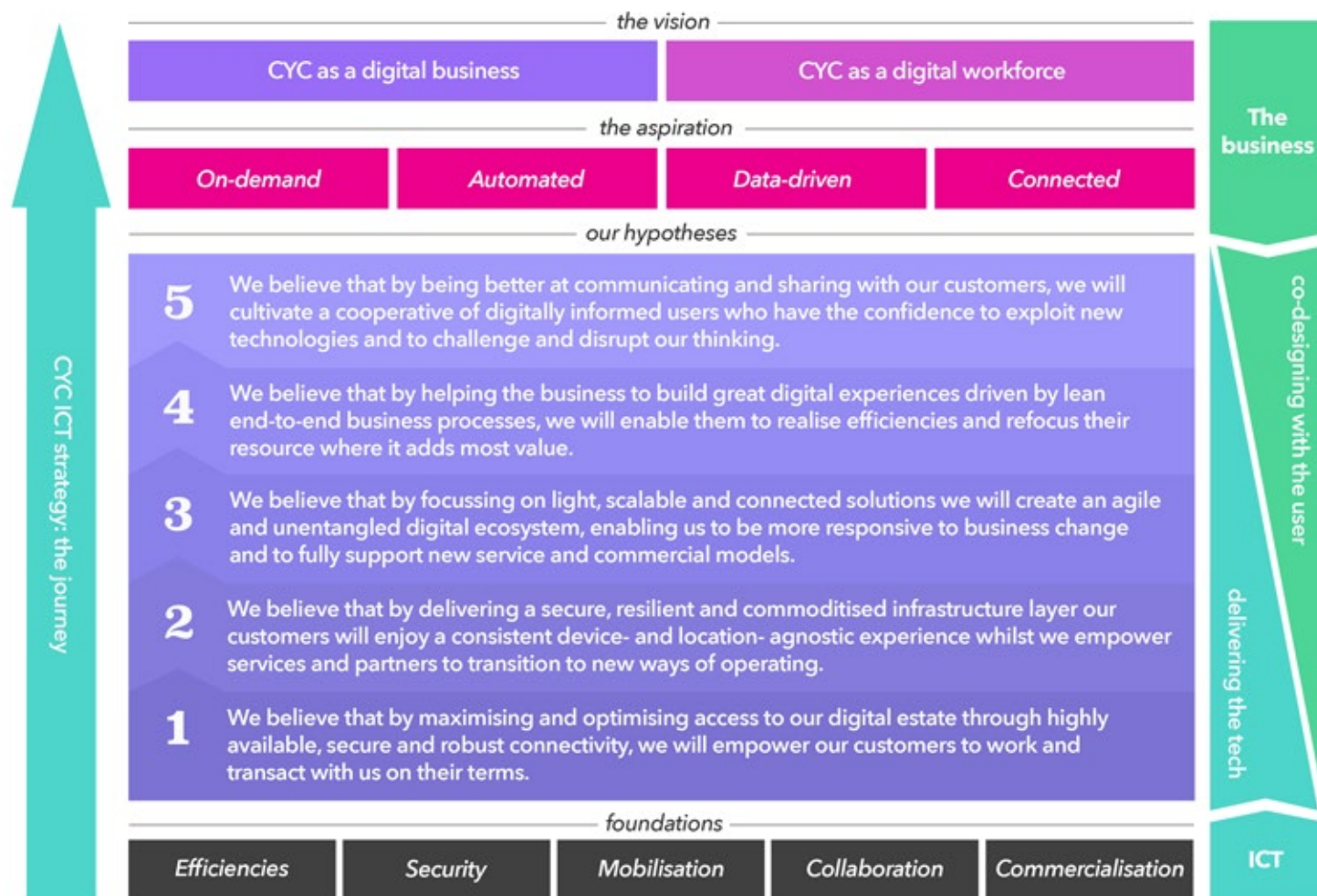
Background Papers: None

Annex 1: CYC ICT Strategy Overview

List of Abbreviations used in this Report

CYC City of York Council

ICT Information & Communication Technology



Notes

Foundations: These are the constants that inform everything we do as a department.

Our hypotheses: These are our guiding principles that will shape our future outputs:

- 1. Connectivity:** Connectivity is our base layer. Great connectivity means maximum opportunity for our customers to do what they need to do.
- 2. Infrastructure:** Next is the infrastructure. This is the platform. The right platform allows us to deliver and adapt, at scale and at pace.
- 3. Applications:** Applications sit on the infrastructure. This is where our customers interact and work. They need to be highly useable and available.
- 4. User experiences:** The right application layer means we can deliver great user experiences. Great user experiences drive the digital economy.
- 5. Communication & sharing:** We need to tell our customers what we are doing, share our expertise and ideas and foster creative conversations, so we can collectively understand and exploit the digital space.

[ICT x the business: As we progress up through the layers the extent of ICT engagement with the business increases significantly.]

The aspiration: The hypotheses will give us the strategic tools to deliver on the technological and cultural aspirations of the business.

The vision: Delivering on the aspirations of the business will drive us towards the vision.

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**Customer & Corporate Services Scrutiny
Management Committee****4th September 2017**

Report of the Assistant Director Customer Service & Digital

Overview Report on Financial Inclusion**Summary**

1. This paper provides an update to Customer & Corporate Services Scrutiny Management Committee (CCSSMC) on the activities and initiatives undertaken by the council to promote financial inclusion across the city.

Background

2. The board established to help improve financial inclusion for residents is the Financial Inclusion Steering Group (FISG). Its core purpose is to ensure that people are able to access support and services that allows them to make more informed choices to reach and maintain financial stability. The board membership includes officers from all services, member Executive Portfolio Holders and key partners (South Yorkshire Credit Union and Citizens Advice York).
3. Council support includes the appropriate allocation of funding to support key projects aimed at addressing the root cause of financial exclusion delivered by partners that meet the FISG objectives. Over £300k has been made available for 2017/18 and 2018/19 and nine projects have been funded in 2017/18.
4. In addition FISG also has responsibility for the strategic oversight of the council's Discretionary Housing Payment (DHP), York Financial Assistance (YFAS) and Council Tax Support (CTS) schemes.
5. A detailed report to Executive on 13th July 2017 provided comprehensive information on the work of FISG during 2016/17 and the first quarter of 2017/18. The full report can be seen at Annex A. The rest of this paper

picks up the key headline information and key up to date statistics in relation to financial inclusion.

Roll out of Universal Credit (UC) Full Service

6. 'Full Service' UC including support for housing costs is being introduced in York between 12th July and September 2017 and will now apply to most but not all new claimants, and in some cases to existing claimants who have a change in their circumstances.
7. UC will replace and merge six¹ national working age benefits (known as legacy benefits) into a single payment. Full migration (including existing case load on legacy benefits) to UC is not expected to be complete until after 2022. The council will continue to administer Housing Benefit (HB) claims for pensioners beyond 2022 as well as other tenants in some specialist accommodation.
8. The switch to UC will present some well documented and difficult challenges for some of our residents. For example, the need to claim on line, the inclusion of the housing element in the single payment to the claimant, the move to a single monthly payment in arrears, a several week delay in the first payment and the stricter conditionality rules will create some disruption to the ability of some claimants to manage their finances effectively.
9. It will also mean that social landlords, including the council, and the council's council tax team will have to be mindful of the potential impacts of UC on their customers' ability to manage their finances and to tailor their support accordingly.
10. With all that in mind the council has undertaken a great deal of preparatory work with key partners to ensure that the transition to UC is as smooth as possible and that the appropriate support is available to residents. This includes Citizens Advice York (CAY) and the wider advice sector, the Department for Work & Pensions (DWP), Explore Libraries,

¹

The six benefits that will be replaced by UC for working age people are

- Income-based Jobseeker's Allowance (JSA) - not Contribution-based (CB)
- Income-related Employment and Support Allowance (ESA) - not Contribution based.
- Income Support
- Working Tax Credit
- Child Tax Credit
- Housing Benefit (HB)– this will be replaced by a Housing Credit within UC

social landlords, the Credit Union; the council's housing teams and customer services. All have been kept involved and informed.

11. For residents unable to use or access the internet to make a claim council staff will help find the best solution for them through the provision of 'Assisted Digital Support'. In addition, free access to the internet is available at West Offices customer centre, Explore libraries and Tang Hall Community Centre.
12. Council staff can also provide advice on 'Personal Budgeting and Support' including finding and opening the right bank account, managing money on a monthly basis and prioritising bills. The DWP predict the demand on the council for both digital support and budgetary advice will be 18 and 17 customers per week respectively.
13. The council's housing services have procedures in place to help identify those of its tenants who are claiming UC and may require additional support to pay their rent and secure their home.
14. We also worked closely with the Welfare Benefits Unit (WBU) to commission training for around 140 key front line staff to prepare them for UC to provide the best possible advice for their clients. In addition one of the FISG funded projects for 2017/18 is specifically linked to supporting advisers in dealing with UC enquiries.
15. As of June 8th 2017 there were 706 UC claims in payment in York (split evenly between those in and out of work) and 172 Council Tax Support claims reflecting that the impact of introducing UC for single working age customers has been fairly modest locally. We are monitoring the impact of the full roll out and to 31st July 2017 there have been:
 - 33 Customers using the self service computers in the Customer Centre to make their claims;
 - 5 Requests for assisted digital support (ADS);
 - 0 referrals to Explore for ADS;
 - 0 Requests for Personal Budgetary Advice (too early for this) .

Discretionary Housing Payments (DHP)

16. DHP is a discretionary payment that can be made to support benefit customers with their rental costs. Councils will retain responsibility for awarding DHPs for all eligible customers including those on UC. It is funded by way of a DWP grant which can be increased by the council to 2.5 times the DWP grant (CYC have an internal budget of £27K). The

grant in 2016/17 was £205,155 and CYC awarded £180,842 to 512 residents. The grant for 2017/18 has increased to £256,596 reflecting the continuing impact of on going welfare reforms. At week commencing 14th August the position of the 2017/18 DHP fund was:

Total DHP Fund available	£	283,596 (Includes £27K internal budget)	100%
Amount spent	£	87,773	31%
Amount remaining	£	195,823	69%

It is expected that the demand for DHP will increase by quarter 4 2017/18 and into next year as the full effects of the rollout of the full UC service affects a greater proportion of York's residents.

17. This area of spend is closely monitored given the expected increased demand that the roll out of UC will have on it.

York Financial Assistance Scheme (YFAS)

18. This locally funded scheme can assist residents to remain in or move into the community or with emergencies. It provides essential household goods such as cookers, beds, fridges as well as supermarket vouchers, fuel top-up for emergencies. Spend in the last two full financial years was £200,028 and £203,133 and the budget for 2017/18 is £209,590. There is no cash in the scheme as it uses either call off contracts or vouchers.
19. CYC will closely monitor any effect that the increase in UC activity has on the demand for YFAS although we expect any pressure to materialise later in the financial year. By the end of July 2017 CYC had spent a third of the budget for the year.

On-line Services for Residents

20. The Council has been moving many of its regular revenue and benefit transactions online since July 2017 the services currently available include:

Benefits

- New claims applications – Housing Benefit & Council Tax Support (CTS)
- Reporting changes of circumstances

Revenues

The following on-line facilities are now available:

Reporting of:

- Move in
- Move out
- Move within the city;
- Direct debits – set up and amendment;
- Single person discount ;
- Request a copy of Council Tax bill;
- Change of Tenancy
- Service for students;
- Special arrangements (Court Summons).

21. The move to digital provides far greater accessibility to council services on a 24/7 basis for all residents. It has also provided an early indication as to how our welfare benefit customers will adapt to the Government's digital by default agenda for UC. In terms of Housing Benefit 98% of claims are made digitally either at home or using the council's self service machines. The volumes for these digital channels are set out below and whilst we do not have full year statistics for all channels the channel shift for council tax from phone and face to face is nearly 40%.

Table

Process	Volume	Automation*	% of all Transactions**
All Revenues	5,000 per month (pm)	63%	N/A
New Benefit Claims	273 pm	N/A	98%
Change of Circ's	747 pm	N/A	100%

* Percentage of transactions completed with no human intervention

** No of transactions completed digitally by customers requiring assessment

- 22 The Benefit and CTS digital forms above include a calculator to ensure that customers do not make an application unless they are likely to be entitled to support.
23. The further rollout of digital as we move into 2018 will provide much greater support for all residents including welfare benefit customers through the use of webchat.

York Citizens Advice (CAY)

24. The CAY has recently reduced the number of drop in advice sessions it provides for customers at a time when there is growing need for support. The council is currently seeking the views of the advice sector and other partners in the city on ways to mitigate this reduction. This is in response to a Council Motion, relating to the provision of advice and support for residents affected by the further roll-out of Universal Credit, passed on 20 July 2017. A report will be going to the Decision Session of the Executive Member for Adult Social Care and Health on 14th September on this issue.

Recommendations

25. That committee members:

Note the work on promoting financial inclusion in the city and the preparations in place for the further roll out of UC.

Reason: So Members are aware of the activities and initiatives undertaken by the council to promote financial inclusion.

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**Report
Approved**

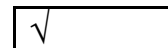


Date 21/08/2017

Specialist Implications Officer(s) *None*

Wards Affected:

All



**For further information please contact the authors of the report
Background Papers:**

Annex A – Report to Executive 13/7/17 ‘Report on Work of the Financial Inclusion Steering Group for 2016/17 and 2017/18 Update’

Abbreviations:

CYC City of York Council
CAY Citizens Advice York
CTS Council Tax Support
DHP Discretionary Housing Payment
DWP Department for Work and Pensions
FISG Financial Inclusion Steering Group
HB Housing Benefit
UC Universal Credit
SYCU South Yorkshire Credit Union
YFAS York Financial Assistance Scheme
K £thousand

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Executive**13th July 2017**

Report of the Deputy Chief Executive & Director of Customer & Corporate Services

Joint Report of Executive Member for Finance & Performance and Executive Member for Adult Social Care & Health

Report on work of the Financial Inclusion Steering Group for 2016/17 and 2017/18 update

Summary

1. This report covers the work in 2016/17 and 2017/18 to date of the Financial Inclusion Steering Group (FISG). Its purpose is to inform Members of the progress made in delivering financial inclusion activity across the city. It also provides information about the Council Tax Support (CTS) Scheme, the delivery of the York Financial Assistance Scheme (YFAS) and an update on Discretionary Housing Payments (DHP).

Recommendations

2. Executive Members are asked to:
 - Note the work of the Financial Inclusion Steering Group in 2016/17 and 2017/18 to date.

Reason: to ensure Members are aware of Financial Inclusion activity and how related financial support is administered through CTS and YFAS schemes to inform planning for future financial pressures relating to these schemes and to ensure that support continues to be effectively provided.

Background

3. The Financial Inclusion Steering Group (FISG) was set up in January 2013 following former Cabinet approval. Membership includes council directorate representatives, Citizens Advice York (CAY), Advice York (AY) and South Yorkshire Credit Union (SYCU) as well as the Executive Member for Adult Social Care and Health.

4. The group's purpose is:

'To ensure that local people have the knowledge of and access to appropriate services, allowing them to make more informed choices to achieve and maintain financial stability'.

5. The aim of the group is to secure the following outcomes:

- Ensure that residents have the knowledge to manage their finances effectively
- Better coordination of advice services across the city
- Advice givers and those 'sign posting' better understand the welfare benefits system
- Explore opportunities to reduce general living expenses.

6. FISG has responsibility for the strategic oversight of the council's DHP, YFAS and CTS schemes.

7. It is also responsible for overseeing the delivery of financial inclusion work including the allocation of funds to projects delivered by partners that meet the group's objectives. FISG has an agreed base budget of £100k for 2017/18 and 2018/19. In February 2017 Council agreed a further £100k per year to be allocated to projects with an additional £25k per year to fund specific debt advice related support work.

8. To target resources effectively to those who most need support, bids are invited from partners for projects that promote financial inclusion. These are subject to panel selection at which bidders make a presentation about their proposals. Rigorous selection is made against a range of criteria. Successful schemes are subject to the council's Financial Regulations and a Service Level Agreement. Grants are paid by instalment over the life of the project with regular reporting on progress built in to ensure delivery.

Funded projects 2016/17

9. In 2016/17, two bids were awarded funding:

Table 1: FISG project grants awarded in 2016/17

Provider	Project Title	Description	Duration	Period	Grant
The Blueberry Academy	My Choice	To work with people with learning difficulties to raise their financial confidence and skill levels to increase their financial independence. Provide them with knowledge to access future support.	12 months	1/8/16-31/7/17	£24,852
CYC (York Learning)	Making More of Your Money	Support unemployed/low waged residents who use York Foodbank to make the most of their finances through accessing advice, guidance, support and training that improves their circumstances and promotes independence.	12 months	1/6/16-31/5/17	£21,036

Total £45,888

10. Monitoring of the projects funded in 2016/17 is ongoing. Outcomes so far include the following:

- **The Blueberry Academy, My Choice**

11. Two 10 week training courses are now underway as part of the My Choice project, with one to one support also offered to those learners that require it. Further, work has been done to integrate financial awareness into Education Health and Care Plan (EHCP) meetings which is bringing rewards e.g. personal bank cards given to some learners, learners being more involved in budget planning.

- **CYC (York Learning), Making More of Your Money**

12. Since the project started in June 2016, 160 clients have accessed information, advice and guidance through the service with 69 clients accessing in depth support. Of those, 13 have completed Functional Skills, 18 have completed a budgeting exercise, 8 have completed a savings exercise, 14 joined digital training classes and 14 have attended an online job search workshop. Staff have also received welfare benefits training.

Funded projects 2017/18

13. The FISG Annual Report 2015/16 highlighted that more could be done to promote its work more widely. As a result, some additional publicity took place in advance of the 2017/18 bidding process to promote interest in the available funding. This was to ensure agencies in the city knew how and when to apply for funding, as well as what kind of projects were suitable.

This included rebranding the available money as the '*Improving Finances, Improving Lives*' fund and holding a launch event to encourage a wider range of organisations to apply. This took place on 3/4/17 and was attended by 14 representatives of advice organisations in the city.

14. Following this, ten bids were submitted and nine further grants were made:

Table 2: FISG project grants awarded in 2017/18

Provider	Project Title	Description	Duration	Period	Grant
Citizens Advice York	Specialist Debt Support Advice	Provide a specialist debt caseworker to support clients to manage debts and budgets and build confidence in money management for future. Service 18.5 hours p/w plus 9 hours admin p/w. Appointments at W/O, community venues and via phone.	24 months*	1/07/17 - 30/06/19	£49,875
Experience Counts	Experience Counts: 50 plus project	Deliver workshops in Tang Hall for residents aged 50+ and unemployed /at risk of redundancy/ returning to work, to help with employment prospects e.g. work on self esteem, CVs, mock interviews	7 months	01/09/17 - 14/03/18	£5,647
Citizens Advice York	GP Surgeries Advice Project	Continue and develop previous project to provide an advice service within GP surgeries for 30 hours per week. 2 full day sessions at Priory Medical Group plus sessions at 2 new practices.	12 months	1/07/17 – 30/06/18	£33,361
The Blueberry Academy	My Choice Plus	To enhance 'My Choice' project outlined above through investment in mobile technology to support staff and trainees to access information, make assessments/ calculations, fill out applications etc.	12 months	1/07/17 – 30/06/18	£6,000
Citizens Advice York	Information and Budgeting Cafes	Run 'information and budgeting cafes' in Tang Hall and Acomb to increase people's financial capability with a focus on prospective CYC tenants.	12 months	1/07/17 – 30/06/18	£19,089
York Foodbank	Making More of Your Money	Building on previous FISG project, deliver IAG to food bank users to help tackle barriers to financial inclusion.	12 months	01/08/17 - 31/07/18	£8,340
Peasholme Charity	My Money, My Life... a pathway approach to financial capability	Develop Peasholme's financial capability service, including through online information/ advice, drop in support at community venues, benefits advice, crisis interventions and signposting.	17 months	1/5/17 - 30/9/18	£17,663

Provider	Project Title	Description	Duration	Period	Grant
Changing Lives	Financial Inclusion Champion	Fund a Financial Inclusion Officer for Changing Lives customers to help clients address financial difficulties and support them to develop skills to avoid future crisis. Both 1:1 appointments and drop ins.	12 months	01/08/17 - 01/08/18	£25,000
Welfare Benefits Unit	Universal Credit Focus	To offer support to advisers dealing with queries from clients regarding Universal Credit.	12 months	01/06/17 - 31/05/18	£16,070

Total £ 181,045

*For debt advice support funding, bids were encouraged for 2 years to provide continuity.

15. The decision was taken on 12/5/17 by the Director of Customer and Corporate Services following approval by the Executive Member for Adult Social Care and Health. The projects will be regularly monitored through a Service Level Agreement and regular update reports.

Other activities

16. FISG partners continue to work together to take a coordinated approach to supporting York residents affected by Welfare Reform (for example the lower benefit cap implemented from November 2016). This has included working with colleagues across CYC and throughout the city (e.g. with housing associations) to ensure a coordinated city wide approach is adopted.
17. The South Yorkshire Credit Union (SYCU) has been actively involved in FISG for several years. There are two SYCU branches in York – Acomb and West Offices – with work ongoing to provide affordable financial services and goods to York residents. In addition, a payroll deduction scheme for CYC staff who are SYCU members has been implemented and the Tenancy Support Scheme has just been launched for CYC tenants. This is a scheme run by SYCU, and used by other social landlords, which enables tenants' arrears to be paid off through a loan from SYCU. This is a way to help tenants protect their tenancy and manage their debts more effectively. So far, whilst still in the early days of both schemes, both have had low take up, and work is ongoing between CYC and SYCU to look at how these schemes can be promoted more effectively.

Council Tax Support (CTS)

18. Following consultation a decision was taken by Executive on 15th December 2015, to increase the maximum amount of CTS available by 7.5% to 77.5% effective from 1st April 2016. In 2016/17 the total value of bills raised for working age residents on Council Tax Support was £2,389k, with the collection rate at 79.65%, making the value of uncollected council

tax £487k. For context, in 2015/16 the collection rate was 74.94% and the value not collected was £643k. Although it is not possible to infer that the improved collection rate is a direct result of the increase in the maximum amount of CTS available, it is positive that the value of the collection rate has increased which suggests that more people are able to afford to pay their council tax.

19. Additionally, the 'council tax discretionary reduction scheme' (managed and funded under the YFAS umbrella) can provide financial help to any council tax payer who find themselves in difficulty with paying their council tax, subject to scheme criteria. Reductions are made on hardship grounds with each application considered on its own individual merits and based on their net council tax liability after any discounts, exemptions, reductions for disabilities or CTS have been applied. In 2016/17 £23,957 was awarded under this scheme compared to £26,745 in 2015/16.

Discretionary Housing Payments (DHP)

20. Tenants on Housing Benefit (HB) or receiving the housing element of Universal Credit (UC) can claim DHP from the council if the amount they get is less than their rent and they are struggling to pay their landlord the difference. It is largely intended to be a short term award. The council receives a direct grant from the Department for Work and Pensions (DWP) to fund DHP payments and this can be increased from local resources up to a maximum of 2.5 times the DWP grant. In 2016/17 the council made 512 awards totaling £180,842 which was within the DWP grant of £205,155. This was an increased spend on 2015/16 where a total of £160,896 was awarded to 537 residents.
21. The DWP DHP grant for 2017/18 is £256,596 and expenditure by the end of May 2017 was £57,061 (20% of the total available budget). It should be noted that DHP spend does not follow a linear profile as spend tends to be higher at the start of the year.
22. With an unpredictable impact on demand for DHPs following the planned roll-out of 'full service' Universal Credit in July 2017 there will be close monitoring of expenditure in this area.

York Financial Assistance Scheme (YFAS)

23. YFAS was established in April 2013, following the transfer of responsibility and funding from central government. The former national scheme, delivered by the DWP, was part of the Social Fund. Funding was allocated to local authorities to replace the Crisis Loans and Community Care Grants elements. YFAS is locally administered and can assist residents to stay or move into the community or with emergencies.

24. The government ended the existing funding arrangements for these local schemes from April 2015. However, the council committed additional funding to support YFAS following the withdrawal of this direct grant.
25. From April 2013 to April 2015 assistance was provided through non-repayable grants with residents receiving pre-loaded cash cards that could be used to pay for goods in shops or to withdraw cash at cash-point machines.
26. A review in 2014 resulted in a revised scheme from April 2015 which largely removed the 'cash element'. It now provides essential household goods (delivery and fitting) such as beds, cookers, and fridges, directly through the Community Furniture Store as well as supermarket food vouchers, fuel top-ups for emergencies and pre-paid cards in exceptional circumstances. Food bank vouchers are issued through other supporting agencies.
27. There have been no changes to the scheme since 2015 and feedback from stakeholders has been positive. A recent internal audit of the scheme completed in February 2017 gave an opinion of 'Substantial Assurance' as an overall assessment of controls present within its processes.
28. A summary of expenditure in 2016/17 is shown below:

Table 3: Household types helped

Category	Number
Single people, no children	663
Households with children	528
Couples, no children	29
Over pension age	40
Total	1260

Table 4: Types of spend

Category	Spend
Goods (fridges/cookers)	£170,256
Supermarket vouchers	£23,190
Help with energy bills	£5,802
Other	£3,885
Total	£203,133

Table 5: Category of spend

Category	Spend
Community	£171,944
Emergency	£31,188
Total	£203,133

30. By way of comparison, total spend in 2015/16 was £200,028 which shows a marginal increase. Following a review of budgets and the availability of underspends from previous years, the budget for 2017/18 is £209,590 and requires close monitoring going forward but will be considered alongside the success/impact of the FISG approved projects mentioned earlier in this report.

Consultation

29. Not applicable.

Analysis

30. There is no further analysis other than the information in this report.

Council Plan

31. Outcomes achieved through the Financial Inclusion Steering Group support the commitment to achieve 'a prosperous city for all' through promoting financial inclusion by supporting the Living Wage, supporting voluntary organisations and developing financial inclusion work with measurable outcomes.

Implications

32.

- a. **Financial.** Future funding of FISG projects and YFAS will be covered within the Budget process later in 2017/18, although as noted in paragraph 7 above some funding has already been committed for 2017/18 and 2018/19.
- b. **Human Resources (HR).** The ability to administer the YFAS scheme will depend on future budget available.
- c. **Equalities.** None.
- d. **Legal.** None.
- e. **Crime and Disorder.** None
- f. **Information Technology (IT).** None if no current change to service provision.
- g. **Property.** None.
- h. **Other.** None.

Risk Management

33. The key risks are in relation to YFAS are:

- Managing the costs of the service (both service delivery and administration) within a fixed budget for 2017/18.
- Managing the budget to ensure that customers get the same service irrespective of when they apply in the financial year.
- Minimising opportunities for abuse, whilst ensuring that customers who need help can access scheme easily and quickly
- Any failure to provide an appropriate service will have a negative impact on the wellbeing of vulnerable people and the reputation of the council.

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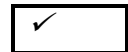
Pauline Stuchfield
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Chief Officer Responsible for the report:

Ian Floyd
Deputy Chief Executive and Director Customer
and Corporate Services

Report Approved**Date 14/6/17****Specialist Implications Officer(s)** *List information for all*

Financial: Ian Floyd
Director of Customer & Business Support Services

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

**Report of Cabinet Member for Finance, Performance & Customer
Services 26/1/17** - Report on work of the Financial Inclusion Steering
Group 2015/16 and 2016/17 update

List of Abbreviations

AY Advice York

CAY Citizen's Advice York

CFS Community Furniture Store

CTS Council Tax Support

CYC City of York Council

DHP Discretionary Housing Payment

DWP Department for Works and Pensions

FISG Financial Inclusion Steering Group

SYCU South Yorkshire Credit Union

YFAS York Financial Assistance Scheme

m £million

k £thousand



**Customer and Corporate Services Scrutiny
Management Committee****4 September 2017**

Report of the Assistant Director Planning and Public Protection

Section 106 Agreements**Summary**

1. This report and its annex provide Members with more information on Section 106 agreements and how they are administered and controlled.

Background

2. At a meeting of the former Corporate and Scrutiny Management Policy & Scrutiny Committee (CSMC) in September 2016, a member of the public made comments, during the public participation section, asking Members of the Committee to look in detail at the enforcement of Section 106 agreements following an internal audit by Veritau.
3. Members resolved that a “scoping” report be brought before the CSMC to provide more information about S106 Obligations generally, how they are administered and controlled and how information about them is made available to the public, to help considerations about whether this was a topic suitable for scrutiny review.
4. This report, which set out the procedures in place to prepare, register and monitor compliance in York, was considered by CSMC at a meeting in November 2016 when Members resolved that no further scrutiny was required in relation to Section 106 agreements but requested that a further update be brought to the Committee in summer 2017. Attached at Annex A is a Veritau follow up report of the agreed actions from the 2015/16 audit of Section 106 agreements and this document will also be considered by the Audit and Governance Committee at their meeting on 20 September 2017.

What is a S106 contribution?

5. Planning obligations under Section 106 of the Town and Country Planning Act 1990 (as amended), are a legal mechanism which can make a development proposal acceptable in planning terms, that would not otherwise be acceptable. They are focused on site specific mitigation of the impact of development. S106 obligations are often referred to as 'developer contributions'.
6. The planning obligation is a formal legal document, a deed, which states that it is an obligation for planning purposes, identifies the relevant land, the person entering the obligation and their interest and the relevant local authority that would enforce the obligation. The obligation must be secured by way of a deed, and can be either a unilateral undertaking or a multi party agreement. The obligation is registered as a local land charge.

What are they used for?

7. The common uses of planning obligations are to secure financial contributions to provide infrastructure or affordable housing. However these are not the only uses for a S106 obligation.
A s106 obligation can:
 - restrict the development or use of the land in any specified way
 - require specified operations or activities to be carried out in, on, under or over the land
 - require the land to be used in any specified way; or
 - require a sum or sums to be paid to the authority on a specified date or dates or periodically.
8. In York S106 contributions are mainly used to:
 - Mitigate the impact of the development on the highway network
 - Contribute to public transport
 - Mitigate the impact of the development on schools
 - Contribute to existing or new open spaces
 - Contribute to sports facilities
 - Provide affordable housing

Restrictions on the use of S106 planning obligations

9. The legal tests as to when a S106 obligation is appropriate are set out in government guidance and regulation:

Local planning authorities should consider whether otherwise unacceptable development could be made acceptable through the use of conditions or planning obligations. Planning obligations should only be used where it is not possible to address unacceptable impacts through a planning condition.

Planning obligations should only be sought where they meet all of the following tests:

- *necessary to make the development acceptable in planning terms*
 - *directly related to the development; and*
 - *fairly and reasonably related in scale and kind to the development."*
10. From April 2015 there are also restrictions on the “pooling “of planning obligations. Where there is no Community Infrastructure Levy (CIL) Charging Schedule in place, when determining planning applications, local authorities can no longer use a planning obligation as a reason to grant planning permission if there has been more than five s106 obligations entered into since March 2010 to pay for the single infrastructure project or type of infrastructure sought to make the development acceptable. The recent regulations are designed to urge local authorities to adopt the Community Infrastructure Levy (CIL).

Community Infrastructure Levy (CIL) and s106 planning obligations

11. A CIL Charging Schedule would provide for a fixed amount to be paid by Developers based upon a charge per m2, to be used towards infrastructure identified in the Infrastructure Delivery Plan and aligned with the Local Plan. This would be instead of section 106 contributions from developers being pooled towards infrastructure. To be able to adopt this in York, the Local Plan needs to be in place so that the required infrastructure projects are identified within the associated Infrastructure Delivery Plan. There is

a requirement to consult on any proposed CIL Charging Schedule and have an independent public examination to demonstrate, inter alia, viability before adoption.

12. The reason that CIL is charged per square metre of floorspace, according to rates set by councils is that the government considers that raising money in this way is fairer and more transparent than through Section 106, which is often negotiated on a case-by-case basis.
13. Once a CIL is in place, that Local Authority would no longer be able to collect generic contributions through S106 under terms such as "open space", "education" or "transport", where these are identified as Infrastructure that is covered by CIL, as this would constitute double counting.
14. Instead, where CIL is in place, any S106 Obligations would only be in addition to the CIL payment where the Infrastructure required is not included in the CIL Schedule and the Obligations are "necessary to make a development acceptable in planning terms; directly related to the development; and fairly and reasonably related in scale and kind to the development." (An example would be affordable housing provision, which is not covered by CIL).

The administration of S106 planning obligations

15. Anticipated S106 obligation requirements are identified (where appropriate) in formal pre-application advice provided to individuals and developers.
16. S106 planning obligations are the subject of discussion with applicants/ agents during the assessment of a significant number of planning applications. Service departments will at this stage identify or confirm s106 requirements as appropriate. Assessment of viability and deliverability may be undertaken if relevant at this time.
17. The Development Management case officer identifies s106 requirements in the planning report on an application, so that the heads of terms required are clear at the decision making stage. If an application is approved, subject to a S106 agreement, CYC Planning solicitors will be instructed to draft and agree the detailed wording of the Deed with the Applicant's solicitors to secure the necessary planning obligations that were identified in the Committee resolution. On completion of the S106, the Deed is registered as a land charge and scanned onto the public

access system that forms the Planning Register. This is available through the Council's website.

18. The terms of S106 Agreements/Undertakings will usually contain "trigger points" requiring either payment or another action by the developer (e.g. provide a children's play area on a site after "x" number of house have been built). The Planning Enforcement officers monitor the implementation of planning permissions to check that where trigger points are reached, payments are being made. Upon receipt of the agreed payment to the council Finance team the relevant / directorate/ service is notified of the income and is obligated to spend this as detailed in the S106 agreement.
19. Both the Finance team and Planning Enforcement officers record the S106 requirements, triggers for payments or other actions. Directorates / services receiving payments are required to confirm both when and how the money is spent.

Enforcement of S106 Obligations

20. In the rare event that a payment is not made, or an Obligation is otherwise breached, the Council will in the first instance write to the Developer and request payment. It is very rare that payments are not made, as the S106 creates a contractual obligation to make the payment, and any breach gives rise to reputational damage for the developer.
21. However, continued failure to make the payment could result in the Council having to take formal Court action to obtain an injunction. It is also open to the Council to take direct action and enter the land to carry out any required obligation and recover any expenses reasonably incurred in doing so from the person against whom the obligation is enforceable. Such matters will be assessed on a case by case basis, taking specialist legal advice in determining the appropriate and proportionate action.

Council Plan

22. This Report relates to A Prosperous City for All and A Council That Listens to Residents elements of the Council Plan

Options

23. Members can choose to:

- (i) Note the information received in this report, including the follow up of the agreed actions from the 2016/16 audit of Section 106 agreements;
- (ii) Make any comments which may be helpful to the Audit and Governance Committee when they further consider Section 106 agreements.

Implications

24. There are no direct implications associated with the recommendations of this report in relation to any of the following implications:

- Financial
- Equalities
- Legal
- Crime and Disorder
- Information Technology (IT)
- Property

Risk Management

25. There are no known direct risk management implications associated with the recommendations in this report.

Recommendations

26. Members are asked to

- (i) Note the information contained in this report, including the follow up of the agreed actions from the 2016/16 audit of Section 106 agreements;
- (ii) Refer any helpful comments to the Audit and Governance Committee to assist them in their further consideration of Section 106 agreements.

Reason: So members are aware of the follow up of the agreed actions from the 2015/16 audit of Section 106 agreements.

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Report Approved ☒ Date 24/08/2017

Wards Affected:

All ☒

For further information please contact the author of the report

Annexes

Annex A – Veritau follow up of the agreed actions from the 2015/16 audit of
Section 106

Abbreviations

CIL – Community Infrastructure Levy

CSMC – Corporate & Scrutiny Management Policy & Scrutiny Committee

CYC – City of York Council

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Follow up of the agreed actions from the 2015/16 audit of Section 106 agreements

**City of York Council
2016/17**

Memorandum

For: Assistant Director Planning and Public Protection
Status: Final
Date Issued: 9 August 2017

Where information resulting from investigation and/or audit work is made public or is provided to a third party by the client or by Veritau then this must be done on the understanding that any third party will rely on the information at its own risk. Veritau will not owe a duty of care or assume any responsibility towards anyone other than the client in relation to the information supplied. Equally, no third party may assert any rights or bring any claims against Veritau in connection with the information. Where information is provided to a named third party, the third party will keep the information confidential.

1 INTRODUCTION

- 1.1 Section 106 of the Town and Country Planning Act 1990 relates to agreements regulating the development or use of land. Planning obligations under the Act are employed as legal mechanisms to make acceptable, in planning terms, a development proposal which otherwise would not be and must be secured by way of a deed. Section 106 obligations are often referred to as 'contributions'.
- 1.2 The agreements should be focused on site specific mitigation of the impact of development and most frequently seek financial contribution towards infrastructure or affordable housing (although they can be used for other reasons, such as to restrict the use of land).
- 1.3 A briefing paper on the administration of Section 106 agreements was presented to members at the 7 November 2016 Corporate and Scrutiny Management Policy and Scrutiny Committee (CSMPSC) by the Assistant Director Planning and Public Protection.
- 1.4 The report was brought to members in response to a request from a public participant during the 5 September 2016 meeting of the CSMPSC for the council to provide more information on Section 106 agreements and to explain how they are administered and controlled following the publication of the 2015/16 audit of Section 106 agreements. This was with the intention of assisting the committee in determining whether or not to proceed with further scrutiny work.

Scope and objectives

- 1.5 The objective of this audit was to determine the progress made towards implementing appropriate actions to improve both the administration and controls that were agreed by management as part of the 2015/16 audit of Section 106 agreements. The report was issued on 3 June 2016 with a Reasonable Assurance opinion.
- 1.6 The 2015/16 Section 106 agreements audit report has been provided in Annex 1 for reference. Full details of identified issues, risks and agreed actions can be found in this report.

Key findings

- 1.7 It was found that reasonable progress has been made towards the improvement of controls through the implementation of agreed actions and/or alternative actions which achieve the same outcome as two of those previously agreed. One of these better addresses the risk that Section 106 agreements are finalised without containing all of the contributions sought by the council.
- 1.8 The detailed findings in each area are set out below and, where action is still required, this is set out in the action plan at Appendix 1.

2 FINDINGS

Area reviewed: framework for monitoring Section 106 agreement progress

Agreed action 1.1

- 2.1 The 2015/16 audit of Section 106 Agreements found that there was no formal framework in place to facilitate monitoring of each agreement as contributions are sought from departments within the council and then incorporated into the final deed.
- 2.2 It was agreed that:
- The existing Section 106 agreement checklist would be revised to ensure that the obligations sought comply with CIL Regulations and would be used to monitor the progress of the agreement across departments.
 - The Planning Officer would inform the Economic Development Intelligence Hub (EDIH) of the contributions being sought to enable the council to seek, wherever possible, to leverage funding from bodies such as Local Enterprise Partnerships in order to maximise the economic benefit of the development.
 - The new arrangement would make provision for closer monitoring of the delivery of projects funded through Section 106 contributions to ensure that all expenditure is in accordance with the heads of terms (the obligations as set out in the deed) of the agreement.
- 2.3 At the time of this audit the Section 106 agreement checklist was not in place.
- 2.4 When this was discussed with senior planning officers (including the Assistant Director Planning and Public Protection) it was advised that the checklist originates from the old paper-based system and was in place to evidence that all necessary consultations had taken place regarding the contributions required in order to make the development permissible.
- 2.5 This function is now provided by the electronic document management system (IDOX) that holds all of the related correspondence and thus provides an audit trail of discussions. Furthermore, the scope of the Section 106 agreement (including its heads of terms, any representations received and concessions made based on viability) is a matter for the officer's report and should be captured there.
- 2.6 Any heads of terms identified in the officer report may be subject to minor change post-resolution (by Committee or delegated officer) but before the Section 106 is finalised and thus would not be reflected in the report. Any significant changes would be referred back to the decision making body before incorporation into the draft Section 106 agreement. However, where this is not the case, documentary evidence explaining changes is held on IDOX and so is capable of interrogation.

- 2.7 To provide further clarity, a revised action to include on the records a summary document capturing any changes prior to finalisation of the Section 106 agreement has been proposed, and this is detailed in action number 1 of the Action Plan in Appendix 1. In addition, an existing part time enforcement officer post has been assigned to work exclusively on the monitoring of agreements to seek compliance with obligations and to ensure that the records of agreements are maintained and kept up to date
- 2.8 In relation to the second part of this agreed action, regard must be had to the relevant legislative position. Regulation 122 of the Community Infrastructure Levy Regulations 2010/948 states that obligations can only be enforced as part of the planning permission if they are:
- necessary to make the development acceptable in planning terms
 - directly related to the development
 - fairly and reasonably related in scale and kind to the development.
- 2.9 If the council were to seek developer contributions on the grounds that they make the development acceptable and then pursues leverage funding from other sources towards large scale infrastructure schemes, the landowner could argue that the level of contribution that they have been required to commit to is over that which would make the development acceptable. The council could then be open to potential legal challenge.
- 2.10 There are limited opportunities for the council to leverage funding from other bodies since there are rarely any ongoing infrastructure schemes that would justify contributions from developers (recently introduced pooling restrictions further limit the potential for this) and Section 106 agreements require specificity which precludes the use of funding generally or on wider schemes.
- 2.11 Given the abovementioned issues, this part of the agreed action cannot be lawfully implemented by the service. However, the risk identified in the original report is addressed by the revised action for this finding detailed in action number 1 of the Action Plan in Appendix 1.
- 2.12 The third part of the agreed action, relating to the monitoring of project delivery and appropriateness of expenditure, had been completed at the time of this audit.
- 2.13 When a Section 106 agreement is signed, the Development Management team raises an enforcement case on the case management system (Uniform). Within each case an 'obligation enforcement table' is now produced and maintained by the dedicated enforcement post. This is a document which records the obligations under the various schedules of the deed – both those that relate to the landowner and those that relate to the council.
- 2.14 Planning Enforcement Officers are expected to monitor the obligations and update the table to evidence their fulfilment. The tables will also deliver the additional benefit of providing a central record of any post signature changes

or variations to the agreement. The intention is for this document to be made available to the public through the council's website. A dedicated resource to manage Planning Enforcement has been agreed by members which will include overseeing and monitoring compliance with Section 106 agreements. The post is currently under recruitment.

- 2.15 Council departments in receipt of developer contributions are still expected to update Finance and Planning Enforcement on when and how the monies have been spent. As of January 2017, data regarding details of Section 106 contributions has been published on the York Open Data Platform, with arrangements also being made to include details of expenditure of those contributions.
- 2.16 With the introduction of the obligation enforcement table the issue previously identified has been satisfactorily addressed and there is now an improved management of risk. Therefore, this part of the agreed action has been completed.

Agreed action 1.2

- 2.17 It was initially agreed that the EDIH would assess the viability of a development where viability is an issue in obtaining agreement over the heads of terms. However, an alternative option, considered by the service to provide a more robust approach and involving the independent assessment of viability, has been implemented.
- 2.18 Paragraph 176 of the National Planning Policy Framework (which underpins development management in the UK) says that planning permission should not be granted if the safeguards necessary to prevent inappropriate development cannot be secured but also that the options for keeping costs associated with obligations to a minimum should be fully explored so that development is not inhibited unnecessarily.
- 2.19 Assessment of viability is a specialist discipline, involving determination of such factors as Gross Development Value, costs, land value and competitive return to developers and land owners.
- 2.20 Planning Officers are not expected to be proficient in viability assessment. However, where viability is an issue, the council has the option of commissioning a District Valuer to carry out an independent assessment at the applicant's cost. Furthermore, the council has internal resource (through the Housing Development Manager) which it can call upon should there be a dispute with the developer over the contributions sought.
- 2.21 The specific risk that this agreed action sought to address has therefore been mitigated.

Agreed action 1.3

- 2.22 It was agreed that a full review of the implementation of the new process in the negotiation and monitoring of Section 106 agreements would be undertaken to establish progress made and lessons to be learned.

- 2.23 Alternative and more robust proposals (see 2.21) to those included in the action agreed at the time of the audit have been formulated and so there is no longer a requirement for it to be implemented as stated in the original report.

Area reviewed: register of Section 106 agreements

- 2.24 Beyond the Finance monitoring spreadsheet, the 2015/16 audit found that the council does not maintain a definitive list of all Section 106 agreements entered into.
- 2.25 It was originally agreed that a central register of all Section 106 agreements would be maintained and that this would also include those agreements that contain only non-financial obligations.
- 2.26 However, the planning register and the monitoring records held on the IDOX system effectively form this additional register, which is not considered necessary for operational purposes.
- 2.27 Should information need to be retrieved for any reason, the enforcement module on Uniform could be used. Entering the search term 'S106' would return all Section 106 agreements that the council has entered into since 2006 when the system was originally launched.
- 2.28 It would then be possible to compare this list (which should contain all agreements) to the list of agreements recorded on the Finance monitoring spreadsheet in order to separate those which contain financial obligations or a mixture of financial and non-financial from those purely non-financial agreements.
- 2.29 The agreed action has been completed as sufficient assurance can be derived from the fact that the planning system has the capacity to produce a register of all Section 106 agreements should this information be required.

3 CONCLUSION

- 3.1 The service has successfully addressed issues of risk which were highlighted by the 2015/16 audit of Section 106 agreements, either through the actions originally agreed or, alternatively, through new actions which are considered to be both appropriate and more robust. Monitoring of the new agreed action will be undertaken, with any follow up work being carried out during 2017/18.

APPENDIX 1 – ACTIONS AGREED TO ADDRESS CONTROL WEAKNESSES

Action Number	Report Reference	Issue	Risk	Agreed Action	Priority*	Responsible Officer	Timescale
1	2.3 – 2.6	The framework in place to ensure the final deed reflects the full contributions sought by the council has not been formalised.	Section 106 agreements may be finalised without containing all contributions required by departments.	A new pro-forma will be introduced, to be completed by the Development Officer, which captures the audit trail of any changes in heads of terms post reporting and up to the point at which the deed receives the council's seal. Once completed, this will be held on IDOX.	2	Assistant Director Planning and Public Protection	31 Oct 17

*The priorities for actions are:

- Priority 1: A fundamental system weakness, which presents unacceptable risk to the system objectives and requires urgent attention by management.
- Priority 2: A significant system weakness, whose impact or frequency presents risks to the system objectives, which needs to be addressed by management.
- Priority 3: The system objectives are not exposed to significant risk, but the issue merits attention by management.



**Customer & Corporate Services Scrutiny
Management Committee****4 September 2017**

Report of the Director of Customer and Corporate Services

Attendance & Wellbeing Project**Summary**

1. This report provides information on work being undertaken to address the management of sickness absence in the council and to brief Members on the current and planned work being undertaken by Human Resources with a focus on attendance management and employee wellbeing.

Background

2. In 2013, following a task group scrutiny review, the former Corporate and Scrutiny Management Committee made changes to the Council's Sickness Absence process to improve the attendance at work policy. In December 2016, a report on Sickness Absence Management was considered by the Audit & Governance Committee in relation to the council's recording of sickness absence on iTrent (the council's payroll/HR MI system). The report also outlined the wider actions and plans in place to manage sickness absence in the council and address inconsistencies in the reporting of sickness absence.
3. Across the Council there are many areas with good attendance and good practice, however there are some areas that require focused interventions due to having high levels of absence
4. The People Plan for 2016-2020 was agreed at Executive on 14 July 2016. The development of the People Plan was led by Human Resources, with engagement from a wide range of stakeholders, including Departmental Management Teams, staff focus groups, senior managers and Trade Unions.
5. The Council's People Plan priorities and summary of each of the five key areas can be referred to in Annex A. Wellbeing is an agreed area of

focus and the Executive and Corporate Management Team have an ongoing commitment to continue to support staff wellbeing.

6. Significant progress has been made against the action plan in the first year. The key activities in relation to attendance and staff wellbeing included:

- The build of the iTrent absence module.
- Gathering data for the Wellbeing Charter accreditation and to inform and support the creation a wellbeing strategy for the Council.
- To complement existing services, the council we have launched a Workplace Wellness scheme to replace the Employee Assistance Programme. It offers around the clock access to confidential, independent, professional information and emotional support.

Employees can self refer to specialists and counsellors through telephone conversations and receive up to six sessions of face to face counselling. It is available 24/7 every day of the year and is a confidential service, independent of the council (see Annex B).

- Review of arrangements for the support we provide to staff experiencing organisational change.
7. The priority for the second year is a focus on attendance management. The original Absence Management Project scope will now extend beyond the implementation of self service absence reporting to ensure the wellbeing priority is addressed.
8. At the end of June 2017/18, the 12 month rolling average of sickness days per FTE(full time equivalent), excluding schools, has remained constant at 10.2 days but still remains higher than the CIPD (Chartered Institute of Personnel & Development) public sector average of 8.5 days¹.
9. 12 month rolling stress related absence increased slightly to 2.4 days per FTE in June from 2.2 in March and overall, stress, depression and mental health related absences account for a quarter of all sickness.
10. The focus on attendance management aims to reduce the CYC sickness absence rates to be more reflective of national benchmarks.

¹ Annual report undertaken by CIPD to provide organisations with benchmarking data. This figure includes all public sector organisations not just Local Government

11. The organisation is continuing to effectively monitor and manage sickness through appropriate absence management techniques and by ensuring impacts and costs are understood throughout the management structure.
12. The Business Intelligence Team provides consistent information to assist services to manage attendance. Information is now reported to all managers through a variety of mechanisms, Directorate management reports, self service through the KPI machine, reporting to Corporate Management Team and Senior managers.
13. Further development of the self service information available to managers, through the internal 'KPI machine' and integrated performance management framework, are being undertaken to continue to make sure decisions are timely and well informed, focussing on the outcomes expressed within the Council Plan and contributing to reduced overall sickness levels.
14. The management information is enabling the organisation to identify 'hot spots' and to target particular teams who require support with managing attendance. Adult Social Care (see Annex C) have used the intelligence to highlight areas requiring support and taking appropriate action.
15. Between July and October 2017, the HR team will build on the implementation of the iTrent Absence Management module to allow managers to record sickness into iTrent. To note, this element of the project has taken longer to put in place than first anticipated. There have been some delays with the software providers which has preventing us making some changes to the system. This has now been addressed and we are on track to roll out the self service element by 1 November 2017.
16. Following the restructure of the HR department, a HR Wellbeing and Occupational Health Advisor has been appointed to work with managers and staff to support improving attendance and staff wellbeing. The postholder will also review the Occupational Health contract and the associated provision of services the Council procures.
17. The project will draw together much of the existing support and resources available to staff and managers, along with specific activity as follows:
 - The implementation of self service absence reporting into iTrent which will reduce the reporting burden for managers and assist with

more accurate reporting and improved management information, including email workflow prompts when absence triggers are hit.

- Based on feedback received the further development of learning and development for managers including attendance management training, disability awareness, support with difficult conversations.
- Specific communication to ensure all employees having a shared understanding of their roles and responsibilities regarding application of policy and why this is important.
- A review of the role of Occupational Health and counselling service.
- An engagement campaign to promote an understanding of the benefits of proactive management of absence and help support managers and staff to deal with sensitive issues e.g mental health, support with cancer and terminal illness) and promotion of flexible working and work life balance, to ensure staff have an understanding of wellbeing initiatives and how they access them.
- Detailed work with areas across the Council where there are high absence rates. This may be something the Committee wish to consider for further specific Scrutiny.
- Review of the current attendance management toolkit to consider improvements and determine if there are any recommendations to revise policy. To achieve fundamental change in absence rates may well require policy changes to be considered, and the Committee may wish to consider this as a specific piece of further Scrutiny.

Consultation

18. Trade Union colleagues will be part of the project team. Staff will be involved in focus groups throughout the project. Any proposed changes to policy will be consulted upon as required.

Council Plan

19. The information outlined in this report is in line with the Council Plan and the People Plan which has health and wellbeing as a priority.

Implications

20. **Financial**

There are direct costs associated with absenteeism in some areas due to the use of agency. Indirect costs are associated in relation to potential loss of productivity.

21. Human Resources (HR)

If sickness absence is not tracked and managed appropriately, the implications for staff members could be significant if appropriate support or responses are not put into place either through worsening absence or symptoms, or through litigation action taken against the council. If absence reasons and volumes recorded in iTrent are not accurate, they cannot be relied upon to inform decision making and subsequent actions.

22. Equalities

The poor recording of sickness absence reasons and related management action could result in reasonable adjustments or occupational health advice not being provided where staff are covered by the Equalities Act in relation to disability.

23. Legal

See HR implications

24. Crime and Disorder

None

25. Information Technology (IT)

Matters relating to the HR system are covered in the report

26. Property

None

27. Risk Management

The main risks relate to failure to record, track, monitor and put in place actions to monitor sickness, and that sickness levels are not accurate and the response to intentions are not proportionate or in line with policy. Mitigations will be put in place as detailed in the main body of the report.

Recommendations

28. Members are asked to note and comment on the contents of the report.

Reason: To understand the key issues and response to the recommendations to secure improvements in control arrangements around sickness absence.

29. Members are asked to consider receiving future updates and a specific report in 6-9 months

Reason: To review the progress and impact of the project and the impact on attendance and wellbeing across the Council.

30. Members are asked to consider any further areas to review or explore in more details.

Contact Details

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Chief Officer responsible for the report:

Ian Floyd
Director, Customer & Corporate Services

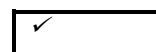
**Report
Approved**



Date 23/08/17

Wards Affected:

All



For further information please contact the author of the report

Background Papers: None

Annexes

Annex A – People Plan

Annex B – Information, Advice and Support

Annex C – Case Study of Work Being Undertaken in Adult Services to
Manage Sickness Absence

Abbreviations

CIPD – Chartered Institute of Personnel & Development

CYC – City of York Council

FTE – Full Time Equivalent

HR – Human Resources

IT – Information Technology

KPI – Key Performance Indicator

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People Plan – Working together as a team for the benefit of York

Resourcing

To resource the council in the most cost effective way, using a flexible resourcing model. Recruit and retain a core workforce with skills and values we need. Challenge and address accessibility barriers.

- Key organisation design principles are in place;
- Focus has moved away from retaining staff with resourcing more flexible;
- Recruitment processes are streamlined through the use of IT;
- Selection is based on values, behaviours and competencies;
- Offer to young people becomes more sustainable in a shrinking workforce;
- Talent continues to be utilised.

Skills and Behaviours

To have a visionary ambitious workforce to enable effective delivery of outcomes for residents in challenging times. To further develop our teams so that in enabling the provision of outcomes they can demonstrate flexibility, innovation, decision making, an ability to engage with external parties and at all times excellent customer service.

Focus is on:

- Development (rather than traditional training) with a culture of coaching in place;
- Development more readily accessible with e-learning tool supporting offer;
- Annual L&D programme continues to be in place delivering key skill areas (e.g. digital awareness; customer services etc);
- Managers are key enablers with the leadership team visible and on message;
- A skills audit tool is frequently used to identify appropriate resources along with identified talent instrumental in bringing about change.

Pay, Reward and Recognition

To provide pay structures and flexible reward packages that allows for the changing nature of the council's structure, ensuring fairness across all grades.

- Pay structure is reviewed and redesigned;
- Remains confident in fairness of reward and pay practices;
- A total reward package is in place;
- Outstanding work continues to be recognised and rewarded.

Performance and Change

To be an organisation that can transform quickly and effectively that is outcome focussed, that values and engages with employees and has a culture that is collaborative, innovative, inclusive and creative.

- Good people management is viewed as key;
- All are clear of the Council's vision and live its values;
- Performance is consistently managed with everyone clear on their objectives and how their role links to the delivery of service and council plans;
- Talent continues to be identified and developed;
- People policies are simple and accessible and resolution focussed;
- Staff feel in control supported and equipped as change impacts them;
- Networks are in place to share learning/knowledge and skills.

Wellbeing and Engagement

To be an organisation that supports and manages wellbeing, that promotes effective and active employee engagement with staff initiative encouraged and welcomed. We will manage risks sensibly and proportionately to ensure the levels of accidents and incidents of occupational ill health are as low as possible.

- Wellbeing programmes and pro active support continue to be delivered focussing on key health issues for the organisation informed by HR Metrics and aligned with Public Health Strategy;
- There is continuous dialogue with staff via pulse surveys and other mechanisms with their views actively sought to help shape how services are delivered;
- Greater collaboration with trade union colleagues with most issues resolved outside of formal processes with a focus on outcomes;
- More staff are involved in community engagement;
- Clear understanding across the organisation of roles and responsibilities re: H&S;
- Risks are actively managed as a matter of routine and considered in any change to how services are delivered;
- Incident reporting and investigation is improved through the use of IT.

Support processes and systems running throughout

Resources aligned with operating model

Flexible resourcing model informed by operating model;

Focus on future workforce (aging workforce demographics)

Increased flexibility utilising identified talent along with need to remove internal blockers "cut internal red tape"

People who are:

Accountable

Able to take decisions

Flexible and work at pace

Able to make full use of IT, embracing technology to support their work.

Customer orientated

Commercially aware

Innovative and entrepreneurial

Able to work in partnership with stakeholders.

Leaders and managers that are enablers who:

Empower

Coach

Mentor

Encourage Innovation

Pay structures that address immediate pay and grading issues

National Living Wage

Reflect council's structure

Market compatibility to help facilitate alternative service delivery models

Recognition and Total Rewards Statements are key in employment proposition

We demonstrate:

Transparency and evidence based decision making

Mutual respect

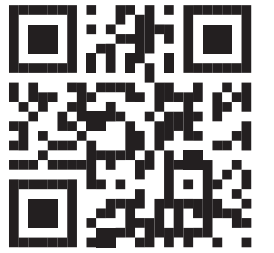
We are:

Engaging and enabling

Accountable

A stakeholder in community

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Manager Support

The EAP (Employee Assistance Programme) can be a vital and invaluable source of help to ensure your team members/employees receive timely and professional support to help them to manage all of life's issues. By helping to reduce the impact of life's stressors, both at home and at work, we are able to ensure employees are more productive, higher performers, are engaged and have reduced levels of absence. By encouraging employees to contact the EAP when needed, we will help to alleviate increasing people issues, allowing you to focus on more strategic responsibilities.

However, the EAP can also be an effective tool for you:

Manager Support Helpline

Our Management Support Helpline will assist you to rapidly explore challenging and complex staff issues and help identify potential solutions, offering information, advice or even a sounding board to role play conversations and explore options, gain clarity and provide reassurance. The Helpline provides you with confidential, impartial, independent advice on how to effectively manage difficult situations and support your duty of care. Issues may include: conflict, communication, change, stress, time management, coaching, team building, and support for emotionally distressed staff.

These services are a professional, additional, external and confidential resource which should be utilised alongside HR and your existing policies and procedures. The Helpline is available from Monday – Friday 9am to 6pm

Online Management Support Portal

The online EAP provides access to a dedicated area for managers which contains a useful library of information to support you in your role as a people manager. Fact Sheets will support you in: managing change, stress management techniques, managing a distressed employee, how to structure a difficult conversation, performance management, or even improving team working, as well as much more.

Critical Incident Telephone Support

Managers whose staff are affected by trauma can access immediate, expert, telephone support and receive practical guidance from our trauma specialists.

We can help with various issues including the effects that trauma may have, the emotional and behavioural responses that trauma may trigger and the steps that can be taken to support both the managers managing the situation and the staff impacted by it. We can support you in the event of a critical incident 24hrs a day.

Personal Support for You

In the same way as it is for your team members, the EAP is available to support you, 24hrs a day, 7 days a week. Whether you need practical information (such as legal, debt, or consumer etc.) or need emotional support, our Counsellors and Information Specialist are here to help.

To Access your EAP

Online: www.my-eap.com Username: XXXXXX

General EAP Support: 0800 111 6387

Manager Support Helpline: 0800 111 6385

From Abroad: +44 845 330 5132



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Audit & Governance Committee**7th December 2016**

Case Study of Work Being Undertaken in Adult Services to Manage Sickness Absence

Background

Based on data available on the corporate KPI Health Check scorecards for the period 2015/2016, the absence rate for the council stood at 8.4 days per FTE. However, when this data was broken down to directorate level the rate of absence in Adult Services stood at 13.8 days per FTE. It was agreed at Directorate Management Team (DMT) that a concerted effort needed to be made to ensure absences were being managed effectively and staff were being supported appropriately.

Following a presentation to DMT in May 2016 on absence management a number of actions were agreed to enable absence to be managed more effectively and to support managers in applying the council policy more robustly. This would enable support to be offered to staff as appropriate; and in the case of long term absences work with staff with the primary aim of facilitating their return to work.

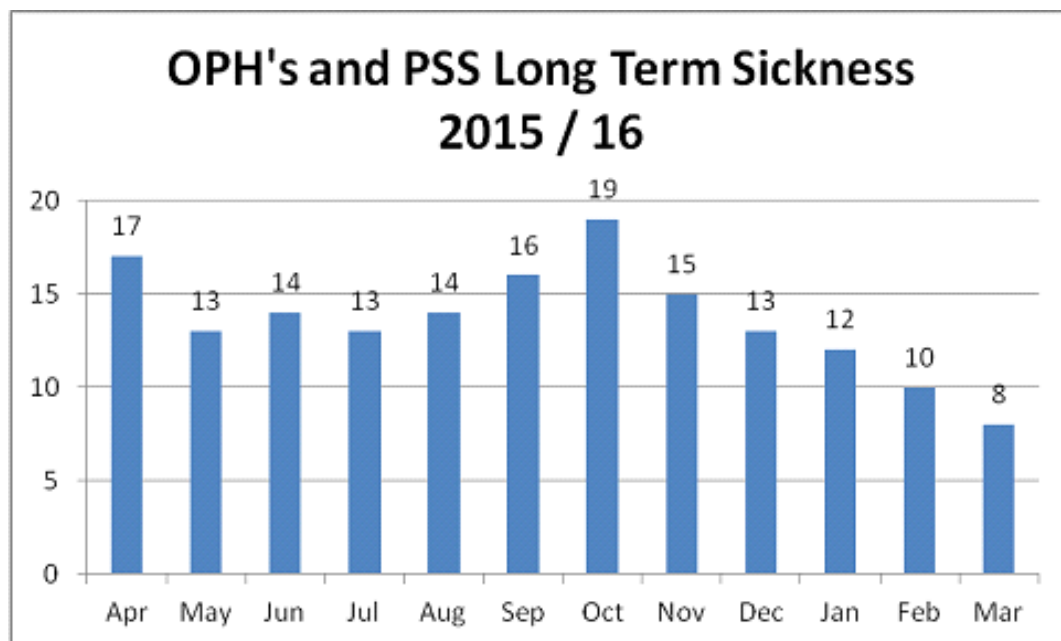
Work to Date

It was identified in 2015/2016 that provider services had the highest rate of absence in the directorate and a concerted effort was made by senior managers of the services to improve attendance levels across the Older People's Homes (OPHs) and Personal Support Services (PSS) in particular.

A more robust reporting mechanism was put in place and managers in the OPHs and PSS received bespoke training from officers in the HR team regarding the application of the attendance management policy; the significance of trigger points and the requirement to apply the policy consistently and objectively.

It is generally acknowledged that due to the nature of frequent short term absences these have a more adverse impact on the delivery of service. In directorate services which operate 24/7 there is always the need to maintain staffing levels for the safety of customers. There is a cost associated with this through additional hours, overtime or use of agency staff. By reporting and managing attendance more effectively, the costs are now reducing.

Below is a graph detailing the level of reduction in number of days lost per FTE achieved within OPHs and PSS as a result of the more robust way in which managers are managing sickness absence.



Meeting dates	Customer & Corporate Services Scrutiny Management Committee Work Plan 2017-18
Mon 12 June 2017 @ 5:30pm	<ol style="list-style-type: none"> 1. Attendance of Executive Leader (Finance & Performance) - Priorities & Challenges for 2017/18 2. Schedule of Petitions 3. Draft Annual Scrutiny Report 4. Update Report on Customer Relations Management System (CRM) and digital inclusion 5. Draft Work Plan 2017/18 & Discussion re potential topics for 2017/18
Mon 31 July 2017 @ 5:30pm	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. Year End Finance & Performance Monitoring Report 3. Police and Crime Commissioner presentation on future governance of North Yorkshire Fire and Rescue Service 4. Update Report on Section 106 Agreements 5. Overview Report on CYC Sickness Absence 6. Consultation on Draft ICT Policy 7. Work Plan 2017/18
Mon 4 Sept 2017 @ 5:30pm	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. First Qtr Finance & Performance Monitoring Report 3. Consultation on Draft ICT Policy (Deferred from July) 4. Overview Report on Financial Inclusion 5. Update Report on Section 106 Agreements (Deferred from July) 6. Overview Report on CYC Sickness Absence (Deferred from July) 7. Work Plan 2017/18
Mon 13 Nov 2017 @ 5:30pm	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. Second Qtr Finance & Performance Monitoring Report 3. Work Plan 2017/18

Mon 15 Jan 2018 @ 5:30pm	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. Third Qtr Finance & Performance Monitoring Report 3. Update Report on Consultation on Draft ICT Policy 4. Scrutiny Review Support Budget. 5. Update on Implementation of Recommendations from One Planet York Scrutiny Review 6. Work Plan 2017/18
Mon 12 March 2018 @ 5:30pm	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. Overview Report on evidence-based Ward Profiles. 3. Work Plan 2017/18
Tues 8 May 2018 @ 5:30pm	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. Draft Work Plan 2018-19