



Notice of a public meeting of

Customer and Corporate Services Scrutiny Management Committee

- To:** Councillors Williams (Chair), Galvin (Vice-Chair),
N Barnes, D'Agorne, Douglas, Fenton, Gates, Looker
and Reid
- Date:** Monday, 14 January 2019
- Time:** 5.30 pm
- Venue:** The Thornton Room - Ground Floor, West Offices (G039)

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. Minutes

(Pages 1 - 12)

To approve and sign the minutes of the meeting held on 12 November 2018 and the CSMC Call-in meeting held on 5 November 2018.

3. Public Participation

At this point in the meeting members of the public who have registered to speak can do so. The deadline for registering is **5.00pm on Friday 11 January 2019**. Members of the public can speak on agenda items or matters within the remit of the Committee.

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

Filming, Recording or Webcasting Meetings

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

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

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

4. Schedule of Petitions (Pages 13 - 28)

This report provides Members 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.

5. 2nd Qtr Finance and Performance Monitoring Report (Pages 29 - 44)

This report presents the overall finance and performance

position for the period covering 1 July 2018 to 30 September 2018, together with an overview of any emerging issues. This is the second report of the financial year and assesses performance against budgets, including progress in delivering the Council's savings programme.

6. Internal Audit Report into CYC Overtime 2017-18 (Pages 45 - 58)

This report provides information on the findings of an internal audit into overtime within the Waste Services of the Economy and Place Directorate (Annex A).

7. Update Report on Attendance and Wellbeing Project (sickness absence) (Pages 59 - 68)

This report provides an update on the sickness absence figures in City of York Council (CYC) and the work being undertaken to address their increase with a focus on attendance management and employee wellbeing.

8. Update Report from Scrutiny Operations and Functions Review (Pages 69 - 74)

This report provides an update to the Customer and Corporate Services Scrutiny Management Committee on the progress of its Task Group looking into the operations and functions of Scrutiny at City of York Council.

9. Work Plan 2018-19 (Pages 75 - 76)

The committee are asked to look at their work plan for the remainder of the municipal year.

10. Any Other Business

Any other business which the Chair decides is urgent.

Democracy Officer:

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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**

City of York Council

Committee Minutes

Meeting	Customer and Corporate Services Scrutiny Management Committee
Date	12 November 2018
Present	Councillors Williams (Chair), N Barnes, D'Agorne, Fenton, Gates, Looker, Reid, Richardson (as a substitute for Galvin) and Steward (as a substitute for Brooks)
Apologies	Councillors Galvin and Brooks

29. Declarations of Interest

At this point, Members were 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 the agenda. None were declared.

30. Public Participation

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

31. Schedule of Petitions

Members were presented with a report outlining petitions that have been received by the Council.

Officers updated the committee on petition 109, explaining that a meeting had been scheduled to discuss this petition. It was organised by the York Parent Carers and attended by around 25 parents alongside CAMHS (Children and Adolescent Mental Health Services) and Children's Commissioners. The meeting was successful and it was agreed at that point, that more work should be undertaken on Multi Agency pathways and support for parents and carers whose children are awaiting assessment.

Members requested that an update be provided to the committee on petition 107 as its status was still reported as 'to be completed', despite having been received in July 2018.

Resolved: That Members note the receipt and actions proposed in the report

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

32. Update Report on Section 106 Agreements

Officers presented a proposal to procure a new software package to help manage the administration of Section 106 agreements.

Officers informed Members that the current system was complex and did not allow for easy interrogation or reporting. Officers explained that the suggested software would be more malleable, would assist officers in the day-to-day management of Section 106 payments and their allocation and would facilitate feedback to departments and Councillors on the status of specific agreements.

Officers responded to Members' questions on the system's capabilities, cost and what resource would be required. The committee was informed that the initial cost would be £15k with an annual payment of £4k and that a business case would be written for both the purchase of the system and the potential addition of a new staff member to assist the team.

The committee declared their support for the proposal and requested that they receive a follow up report in six months time.

Resolved: Members are asked to note the information contained in this report and to advise if further reports are required.

Reason: To ensure Members are updated on the administration of S106 agreements

33. Financial Inclusion Scrutiny Review Update Report

Officers updated Members on the Customer and Corporate Services Scrutiny Management Committee review into financial inclusion. It was reported that one meeting of the appointed task group had taken place and another three meetings had been scheduled.

Officers also informed Members that following a Motion to Council, it had been suggested that food poverty be added to the remit of this task group. Members suggested the following be adopted as the remit of the task group.

Aim: To understand the impact of Universal Credit on the citizens of York and the activities being run to promote financial inclusion *and to reduce food poverty in York.*

Objectives:

- i) To ensure processes are ready and resilient enough to deal with the growing impact of Universal Credit;
- ii) To examine the low take up of the Council Tax Discretionary Reduction Scheme and how this is being signposted to potential customers;
- iii) To determine the drivers behind the increased demand on Discretionary Housing Payments and look at whether Financial Inclusion activities and resources can mitigate any causes;
- iv) To understand how the various initiatives aimed at addressing the cause of financial exclusion funded by the Financial Inclusion Steering Group are awarded and measured.
- v) To look at the impact of Universal Credit on families with uncertain employment patterns within a volatile employment market
- vi) *To understand how the above issues are linked to apparently increasing levels of food poverty in York including work on the following:*
 - *the background to food poverty in York including any available local statistics and how local measurement might be improved;*
 - *the current role of crisis support in York in mitigating food poverty*
 - *a range of options for the Council and its partners to improve the city wide response to food poverty in York.*

Resolved: That the Motion to Council on food poverty is included in the financial inclusion scrutiny review and the amended remit is adopted to reflect this.

Reason: To progress the scrutiny review into financial inclusion.

34. Scrutiny Review Support Budget

Officers presented the annual budget for Scrutiny Support and asked the committee to consider the budget required for the 2019/20 municipal year.

During debate, Members noted that this budget is often unspent and the majority of Members agreed that this was not an issue, and that should more financial support be needed for a specific research project, additional funds could be requested from the Executive.

Resolved: That the committee recommend the Executive retains the current budgetary support for external research and consultancy work.

Reason: To address the committee's constitutional right to comment on the setting of the Scrutiny Support budget.

35. Work Plan 2018/19

Members discussed the current workplan for this committee and noted the number of task groups currently established. It was noted by all Members that there must be some urgency amongst task group members to complete reviews before the last meeting of the municipal year, on 11 March 2019.

Officers also informed Members of a suggestion that a scrutiny review into the reduction of single-use plastics be a joint committee review between CSMC and the Economy and Place Policy Development Committee. This would require two additional Members from the Liberal Democrat and Labour groups to undertake the cross party review. Councillors Looker and Fenton agreed to represent CSMC on the task group.

Councillor D Williams, Chair

[The meeting started at 5.30 pm and finished at 6.30 pm].

Meeting	Customer and Corporate Services Scrutiny Management Committee (Calling In)
Date	5 November 2018
Present	Councillors Williams (Chair), Galvin (Vice-Chair), D'Agorne, Fenton, Gates, Looker, Reid, Rawlings (Substitute for Councillor Brooks) and Pavlovic (Substitute for Councillor N Barnes)
Apologies	Councillors N Barnes and Brooks

4. Declarations Of Interest

Members were asked to declare any personal interests not included on the Register of Interests, any prejudicial interests or any disclosable pecuniary interests that they had in respect of business on this agenda. None were declared.

5. Public Participation

It was reported that there had been one registration to speak under the Council's public participation scheme.

Andrea Dudding, Lead Convenor & Branch Secretary UNISON, spoke in support of the call-in. She stated that the union were supportive of a more positive and pro-active approach being taken toward sickness absence and also welcomed the comments made by the call-in Members. She highlighted the union's concerns that an external service could not manage the long term cultural changes and support they felt were needed. Finally she stated that there should have been more engagement with the unions before the report was produced.

6. Called-In Item Post Decision: Attendance Management and Wellbeing

Members considered a report which set out the reasons for the call-in and the role of the Committee, together with options available to it under the agreed post-decision call-in arrangements. In accordance with those arrangements

Councillors Myers, Boyce and Crawshaw (Labour Group) and Councillors Craghill, D'Agorne and D Taylor (Green Group) had called in the above item for the following reasons:

Labour Group

- The report provides insufficient detail on the root causes of stress related absence as the biggest cause of work-related absence at the council. This information is essential to determine the appropriate response;
- The omission from the report of historic rates of absence over an extended period and the interplay with factors such as shrinking budgets, also prevents a thorough understanding of, and response to, the sickness absence issue;
- Some analysis of the council's previous experience of contracting an external provider to help manage adult social care staff absence is missing from the report;
- An under-resourced central HR function means the preferred proposal cannot be compared against internal efforts to address the problem because the latter have not been resourced, contrary to the Executive Leader's assertion; and
- The Executive Member for Culture, Leisure and Tourism's expressed concerns about 'financially incentivising companies to drive people back to work' in cases of stress-related absences not being 'the type of approach that is appropriate for people in this situation' has not been adequately addressed in taking this decision, given the new model is predicated on exactly this approach.

Green Group

- We believe the Executive should revisit its decision to support Option 2 rather than Option 1 and should reconsider recruiting an in-house dedicated team to address problems associated with the current levels of sickness absence in the authority.
- It should also reconsider what an appropriate brief should be for such a dedicated team. The current decision commits the Council to taking a target based approach to reducing sickness absence without any apparent consideration of what the root causes of current sickness absence levels might be. It commits the authority to taking an enforcement based approach which aims to set up

every manager in a policing role with their 'performance' based on meeting targets and the likelihood that a remote private company will be bullying staff who are ill into returning to work 'at the earliest opportunity'. We believe the brief for a dedicated team should not initially include specific targets but should begin with a requirement to listen confidentially to all staff, to review work demands against current capacities and to support and empower managers to come up with options for work programmes that can be delivered with existing resources in reasonable timescales.

They added:

- We know that following a 40% cut to Council budgets many Officers in the authority are still attempting to cover 2 – 3 jobs or even more and it would not be surprising if levels of sickness absence were related to this situation. Mindfulness classes and a table tennis table are not going to make a significant impact unless we also address the root problems of an authority that is becoming increasingly dysfunctional. Staff are attempting to cover much of the same work their teams were doing before and in many cases the only guidance on priorities comes from whoever shouts loudest. This is increasingly frustrating both for staff and the public. Part of the brief for a dedicated team should indeed include looking at positive ways of improving support for staff who have been sick and are ready to return to work, but the key part of the brief should be about getting down to the root causes and coming up with recommendations for change.

Councillor Crawshaw spoke first, on behalf of the Labour call-in Members. He stated that they had called in this decision as they did not feel the report to Executive contained all of the information they needed to make an informed decision on a sensitive issue. He stated that the reasons for current levels of sickness absence were complex, but the Council had lost over 800 staff since 2010 and budget cuts had caused significant staffing and management issues, meaning that Officers were being asked to cover more work with no additional resources. This, understandably, left the public frustrated when services were not running effectively. Inevitably, this was causing mental health issues and reduced productivity. The Labour group felt that any new initiative should be focused on supporting staff, not

merely on bringing down absence figures. Finally, he stated that inviting in an external company could potentially exacerbate stress levels in staff who already had mental health issues.

In response to questions he stated:

- The Labour Group would favour internal delivery over outsourcing, but the key message of their call-in was lack of detail in a report on such a significant issue. They would support Option 2 of the Executive report;
- A decision like this should be based on evidence, and this report merely cited one provider's 'sales pitch' as to how they could reduce absence figures, with nothing to back this up;
- The Labour and Green 'Call-ins' could work together;
- Expanding the capacity of the internal HR department would be a more effective way to make long-term savings; and
- The capacity of line managers to deal with their teams' absence was a major issue. If people had an unmanageable workload then managing these issues was almost impossible. Efforts needed to be made to give capacity back to managers.

Councillor D Taylor the spoke, on behalf of the Green call-in Members. He stated that the intention to reduce sickness absence by a third, in line with the public sector, seemed a spurious target. He said that the number of days lost was not rising, rather it was fluctuating with the seasons, and was currently the lowest it had been for some time. This would suggest reducing figures by a third may not be viable, and trying to do so could make the situation worse. He suggested that it was possible new measures could damage relationships between staff and managers, and even force staff out of work. Finally, he stated that this money would be better spent employing expert staff within the CYC HR team to support staff and line managers.

In response to questions he stated:

- It was concerning that people may feel pressured to come back to work too early after injury or illness, causing a more significant problem in the long term;
- Team work may suffer if relationships between staff and managers were damaged by new measures;

- A spike in sickness figures over the past year did not constitute an upward trend; and
- The group objected to both the decision to outsource the service, and the premise on which the decision had been made.

The Executive Leader (inc. Finance and Performance) attended the meeting to answer questions. In response to the points made by the call-in Members he stated that the Executive did not wish to 'bully' people back to work and they recognised that some areas had higher absence figures than others, for a variety of reasons. He stated that he did accept the current system for dealing with sickness absence had not been as well funded as this service would be, and that there could have been better engagement with unions over the proposals. He went on to state that there had been much said so far about stress, but there were many other reasons for sickness. The Council also had duty to consider those who were regularly covering for those off sick.

In response to questions from Members he stated:

- A professional outside agency could train and up-skill the CYC HR team and managers over the period of the contract, they would not be working in isolation;
- A two year contract could not be considered a 'quick fix';
- There would be safeguards in place to ensure there were no incentives for pushing staff back to work too early;
- The financial loss from days lost to sickness did have a significant impact, and making savings was a consideration; and
- Using internal staff had not worked in reducing sickness absence up to now and this was some of the rationale for bringing in an external team.

The Corporate Director of Customer and Corporate Services and Head of HR attended the meeting to answer Member questions. In response to some of these questions they stated:

- Social Care had some previous external support for this issue previously which had led to a reduction in absence in that area;
- Choosing an external team over recruiting fixed term CYC employees was partly due to the speed in which an external team could be procured;

- It could take up to 5 months to recruit an internal team, given the specialist nature of the role. A complicating factor was that there was only 2 years funding agreed and it was much harder to recruit to a fixed term contract;
- There were several companies who provided such a service who would all be able to provide testimonials. Looking at these would be part of the tendering process;
- Unions, alongside managers from areas with high sickness levels, would be involved in the procurement process;
- Sickness rates varied greatly across departments and this was a complex picture. More analysis would be done, in particular looking at departments with very low absence rates. However, it was important to note the wide ranging nature of roles within the Council, some of which were very physical or high stress jobs;
- The initial 'call centre' approach was only one aspect of a whole package of measures to be used. This would not be a faceless service, but would work alongside line managers; and
- The service would be reviewed in 2019/20 and decisions made about long term funding.

Members then debated the 'call-in' fully and considered the options outlined in the report, namely whether to make any formal comments to the Executive or not.

Some Members highlighted that sickness absence had been an ongoing problem at CYC for many years and felt this decision was a much needed move forward in tackling significant financial cost to the Council. They therefore felt it was important not to delay this any further. They also suggested that there was benefit to bringing in outside experts to tackle issues which internal staff had historically struggled to manage.

Conversely, several other Members felt strongly that this new service could have a detrimental effect on staff and therefore creating an internal wellbeing team with this budget would be far more worthwhile in the long term. They expressed their concern that the chosen option was merely a short term fix.

An amendment was moved to Option A in the report to add:

2. That Executive bring details of the procurement process, including safeguards, to a future CSMC meeting

On being put to the vote this amendment was carried. It was therefore

Resolved:

1. That there were no grounds to make specific recommendations to the Executive in respect of the report. The original decision taken on the item by the Executive on 18 October 2018 will be confirmed and would take effect from the date of the CSMC (Calling-In) meeting
2. That Executive bring details of the procurement process, including safeguards, to a future CSMC meeting

Reason: To enable the called-in matter to be dealt with efficiently and in accordance with the requirements of the Council's Constitution.

Cllr D Williams, Chair

[The meeting started at 6.00 pm and finished at 8.10 pm].

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**Customer & Corporate Services Scrutiny
Management Committee**

14 January 2019

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 former 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>

Current Petitions Update

5. A copy of the reduced petitions schedule is now attached at Annex A of the report which provides a list of new petitions received to date together with details of those considered by the Executive or relevant Executive Member/Officer since the last meeting of the Committee in April. Further information relating to petitions which have been considered by the Executive Members/Officers since the last meeting are set out below:

Petition Number:

106. Residents of Strensall with Towthorpe PC petition in support of the “Traffic Study & Road Safety Improvement proposals report” prepared by PC and original submitted in August 2015.

This 80 name petition was sent via email by Cllr Doughty to the Director of Economy and Place and the CYC Head of Transport and Major Transport Projects. It was considered by the Executive Member for Transport and Planning on 20 December 2018 and the Executive Member resolved that the receipt of the petition be noted and that officers inform the Parish Council and York Golf Club of the procedures and policies currently in place to address the points made. This was to inform the Golf Club and Parish Council how road safety matters are assessed and prioritised across the city.

115. “We the undersigned ask the Government, City of York Council, MPs and other relevant bodies to listen to residents and oppose fracking now. Fracking poses unacceptable risks to people, the climate and the environment.”

This 2,750 name York Liberal Democrats ‘Stop Fracking in York Petition was presented to Full Council by Cllr Cuthbertson on 25 October 2018. It was considered by Council alongside a Motion to Council around fracking. Council resolved to lobby against the Government’s fracking proposals and to contact the Secretary of State for BEIS and local MPs outlining the Council’s objections to ‘permitted development’ and fracking and asking them to reconsider the Government’s proposals.

117. We call on City of York Council to complete the missing section of Green Lane pavement.

This petition from 501 residents in 340 households was emailed to Cllr Aspden on 8 November 2018 and forwarded to the Director of Economy and Place on 13 November 2018. Officers emailed the lead petitioner on

1 December 2018 explaining the work has been raised as a ward scheme and the highways design team are reviewing the feasibility for delivery in the new year.

118. We call on City of York Council to improve the Southholme Drive road surface.

This petition from 38 residents in 27 households was emailed to Cllr Aspden on 8 November 2018 and forwarded to the Director of Economy and Place on 13 November 2018. Officers emailed the lead petitioner on 1 December 2018 advising where the scheme is placed in respect of the Annual Condition Assessment survey.

122. Clementhorpe Flood Barrier Petition. We the undersigned express our dismay and frustration at the continued risk of flooding of our homes following yet another delay to flood defence works in the Clementhorpe area.

This 87-name petition was presented at Full Council. The Lead Petitioner attended the 10 December 2018 Executive Member for the Environment Decision Session and registered to speak on the issue. The Executive Member, CYC officers and the Environment Agency (EA) as lead on the flood schemes in this location responded to the key concerns and gave assurances that the scheme would progress within the desired timescales within the petition. The minutes of the Decision Session support this discussion and this will be further reinforced by the CYC Flood Risk Manager within the EA Programme Board for the flood scheme and by the Executive Member in the next quarterly update to the Decision Session.

The Process

6. 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 resources 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:

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

Report Approved

☒

Date

21 December 2018

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
106. Residents of Strensall with Towthorpe PC petition in support of the “Traffic Study & Road Safety Improvement proposals report” prepared by PC and original submitted in August 2015.	Email from Cllr Doughty to Tony Clarke & Neil Ferris	80 Signatures	Tony Clarke	<i>Executive Member for Transport and Planning</i>	20-12-18	The Executive Member resolved that the receipt of the petition be noted and that officers inform the Parish Council and York Golf Club of the procedures and policies currently in place to address the points made. This was to inform the Golf Club and Parish Council how road safety matters are assessed and prioritised across the city.	
107. One Way System Traffic Direction Towards Lord Mayors Walk from St John Street, York	Presented at Full Council 19 July 2018 by Councillor Denise Craghill	41	Alistair Briggs	<i>Executive Member for Transport and Planning</i>	17-01-19		
111. Use of Hidden Air Raid Shelter “We the undersigned petition the council to investigate the use of the air raid shelter under the city walls opposite York Railway Station for possible uses, e.g a) a museum b) retail facilities c) a cafe/waiting area for	ePetition	12	John Oxley	<i>Executive Member for Culture, Leisure and Tourism</i>			

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
buses d) a pedestrian route to the service road outside West Offices, also to ask the citizens of York for their ideas.”							
112. Calculate Planning Gain for Local Plan “We the undersigned petition the council to calculate and publish their best estimate on the Planning Gain for the major sites allocated in the submitted City of York Local Plan (2018). Also to calculate and publish the total planning gain for the Local Plan and to publish how the planning gain was calculated.”	ePetition	34	Rachel Macefield/Mike Slater	<i>Director of Economy and Place</i>	tba	Officer response to be prepared on behalf of Director Economy and Place rather than taking it to a decision session.	January 2019?
113. Respark on Farrar St. “We call on City of York Council to consult residents on introducing a residents’ parking scheme for Farrar St, York (YO10 3BY/BZ) to prevent commuter parking in our street.”	Presented at Full Council on 25/10/18 by Cllr D’Agorne	51	Alistair Briggs/ Sue Gill	<i>Executive Member for Transport and Planning</i>	February 2019		

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
114. Green Waste Collection for East Mount Road “We the undersigned call upon City of York Council to look for suitable collection arrangements for green waste in East Mount Road, to provide the service paid for by council tax to all council tax payers.”	Presented at Full Council on 25/10/18 by Cllr Kramm	39	Suzanne Middleton / Russell Stone	<i>Executive Member for Environment</i>	tbc		
115. York Liberal Democrats ‘Stop Fracking in York’ Petition “We the undersigned ask the Government, City of York Council, MPs and other relevant bodies to listen to residents and oppose fracking now. Fracking poses unacceptable risks to people, the climate and the environment.”	Presented at Full Council on 25/10/18 by Cllr Cuthbertson	2,750	Rachel Macefield / Mike Slater	<i>This was discussed at Full Council</i>	N/A	Full Council (26 October) resolution opposing permitted development rights.	
116. Traffic Speeds on Wetherby Road “We the undersigned request the York Council to consider the following action to control vehicle	Emailed to Democratic Services inbox by Liberal Democrat Action on	19	Tony Clarke	Executive Member for Transport and Planning	tbc		

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
speeds on Wetherby Road.”	<p>23/10, with a note: <i>‘Please find attached petition which we have asked the Westfield Councillors to present on our behalf.’</i></p> <p>Presented by Cllr Waller at Decision Session- Exec Member for Transport and Planning- on 15 Nov 2018</p> <p>Updated Petition emailed to Democratic Services inbox by Liberal Democrat Action on 18 Nov with a note <i>“Please find an updated copy of the Wetherby Road</i></p>						

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
	<i>speeding issues petition which now includes an extra signature”</i>						
117. We call on City of York Council to complete the missing section of Green Lane pavement.	Petition emailed to Cllr K Aspden on 8.11.18 – fwd to Neil Ferris 13.11.18 for action.	501 residents 340 households	Bill Manby	Executive Member for Transport and Planning	N/A	Officer emailed on 01/12/18 to Lead Petition explaining the work has been raised as a ward scheme, the highways design team are reviewing the feasibility for delivery in the new year.	
118. We call on City of York Council to improve the Southolme Drive road surface.	Petition emailed to Cllr K Aspden on 8.11.18 – fwd to Neil Ferris 13.11.18 for action.	38 residents 27 households	Bill Manby	Executive Member for Transport and Planning	N/A	Officer emailed on 1/12/18 to Lead Petition advising where the scheme is placed in respect of the Annual Condition Assessment survey.	
119. Kingsway Area Improvements Needed before building works start – requesting Council to undertake improvements (access	Paper Petition Presented by Cllr Waller at Decision Session, Exec	37	TBC – handed to Tony Clarke but may also involve officers in	Executive Member for Transport and Planning	tbc		

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
road, dropped kerbs, alternative play facilities) prior to any further building works starting in the Hob Moor Area	Member for Transport and Planning, on 15 Nov 2018		other depts. Copy sent to Gareth Arnold, as Cllr Waller requested that this go to planning due to upcoming planning applications coming to Area Sub committee.	Area Planning Cttee	tbc		
120. Windmill Gates requesting Residents' Priority Parking Mon-Fri 0800 – 1700 hrs	Petition emailed to Network Management on 17 Dec 2018	52	Alistair Briggs	Executive Member for Transport and Planning	Feb 2019		
121. Alma Terrace (part) and Alma Grove, requesting Residents' Priority Parking	Paper Petition Handed to Network Management by Cllr D'Agorne on 17 Dec 2018	29	Alistair Briggs	Executive Member for Transport and Planning	Feb 2019		
122. Clementhorpe Flood Barrier Petition We the undersigned express our dismay and frustration at the continued risk of	Paper Petition presented at Full Council	87	Steve Wragg	Executive Member for Transport and Planning	18/12/18	The Lead Petitioner attended the 10 th December 2018 Executive Member for the Environment Decision Session and	

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
flooding of our homes following yet another delay to flood defence works in the Clementhorpe area.						registered to speak on the issue. The Executive Member, CYC officers and the Environment Agency (EA) as lead on the flood schemes in this location debated the issue. They responded to the key concerns and gave assurances that the scheme would progress within the desired timescales within the petition. The minutes of the Decision Session support this discussion and this will be further reinforced by the CYC Flood Risk Manager within the EA Program Board for the flood scheme and by the Executive Member in the next quarterly update to the Decision Session.	
123. Kingsway area improvements needed before building works starts. We the undersigned request York Council to undertake the following	Paper Petition presented at Full Council	23	Bill Manby	Executive Member for Transport and Planning			

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
<p>improvements prior to any further building work starting in the Hob Moor area:</p> <p>Improving the access along Kingsway West/Ascot Way, removing where necessary, the grass verge</p> <p>Providing dropped kerbs of lay-by parking where this doesn't already exist</p> <p>Providing alternative, modern, children's play facilities before any existing provision is removed</p>							
<p>124. Highway repairs in the Ridgeway area</p> <p>To take action regarding to have roads and footpaths in the Ridgeway area repaired and, where necessary, resurfaced and that grass verges be "edged" and hedges trimmed back so that the original widths of footpaths are restored</p>	Paper Petition presented at Full Council	8	Bill Manby	Letter response only as under 10 signatures			

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
125. Highway repairs in the Askham Lane area To take action to have roads and footpaths (including speed cushions) at the low numbered end of Askham Lane repaired and that grass verges be “edged” and that hedges/trees are trimmed back so that the original width of the footpath is restored	Paper Petition presented at Full Council	13	Bill Manby	Executive Member for Transport and Planning			
126. We call on Talk Talk to repair footpaths and verges that they damaged during their works	Paper Petition presented at Full Council	277	James Gilchrist	Executive Member for Transport and Planning			
127. To consider a full resurface of Grange Street, York, which is in a very poor state	Paper petition handed in by Cllr D’Agorne	125	Bill Manby	Executive Member for Transport and Planning			

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**Customer and Corporate Services Scrutiny
Management Committee****14 January 2019****Report of the Deputy Chief Executive / Director of Customer & Corporate Services****2018/19 Finance and Performance Monitor 2****Purpose of the Report**

- 1 To present details of the overall finance and performance position for the period covering 1 July 2018 to 30 September 2018, together with an overview of any emerging issues. This is the second report of the financial year and assesses performance against budgets, including progress in delivering the Council's savings programme.

Summary

- 2 The financial pressures facing the council are projected at £619k. This is broadly in line with previous years forecasts at this stage in the financial year. However, the Council has regularly delivered an under-spend by the year end, demonstrating a successful track record of managing expenditure within budget over a number of years.
- 3 This report highlights a number of known pressures that need to be carefully managed throughout the year, with mitigation strategies being in place and regularly monitored across all directorates. It is expected that, as a result of ongoing monitoring and identification of mitigation, overall the Council will again outturn within the approved budget. There is contingency provision available to cover some of the projected pressures, and it is also anticipated there will be improvement in the position during the year.
- 4 York is maintaining both sound financial management, and delivering priority services to high standards, during a period of continued challenge for local government. In particular, key statutory services continue to perform well, having seen investment in recent years. Whilst there remain challenges in future years, the overall financial and performance position is one that provides a sound platform to continue to be able to deal with the future challenges.

Recommendations

- 5 The Committee is asked to note the finance and performance information

Reason: to ensure expenditure is kept within the approved budget

Financial Analysis

- 6 The Council's net budget is £121.9m. Following on from previous years, the challenge of delivering savings continues with £5m to be achieved in order to reach a balanced budget. Early forecasts indicate the Council is facing financial pressures of £619k and an overview of this forecast, on a directorate by directorate basis, is outlined in Table 1 below. The position will continue to be monitored carefully to ensure that overall expenditure will be contained within the approved budget. As outlined in the Monitor 1 report presented to Executive in August, it is likely that additional income will be available during the year as a result of the Council being part of the Leeds City Region business rates retention pilot. Members are reminded that some of this funding may be required to deal with some of pressures outlined in this report. The following sections provide more details of the main variations and any mitigating actions that are proposed.

Table 1: Finance overview

2017/18 outturn		2018/19 Forecast Variation Monitor 1	2018/19 Forecast Variation Monitor 2
£'000		£'000	£'000
+147	Children, Education & Communities	+1,255	+869
-204	Economy & Place	+282	+322
-274	Customer & Corporate Services	-200	-200
285	Health, Housing & Adult Social Care	+508	+576
-574	Central budgets	-300	-300
-620	Total	+1,545	+1,267
-761	Contingency	-740	-648
-1,381	Total including contingency	+805	+619
	Potential additional income from business rates	-2,000	-2,000

Customer & Corporate Services

- 7 A net underspend of £200k is forecast and this is predominately due to additional income within bereavement services of £130k and additional grant funding secured to offset some staffing costs within business intelligence. Agreed budget savings are being delivered in line with the original plans across a number of areas. 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.

Corporate Budgets

- 8 These budgets include Treasury Management and other corporately held funds. It is anticipated that a £300k underspend will be achieved, predominantly as a result of reviewing some assumptions on the cash flow position following a review of the profile of planned capital expenditure which will mean less interest being paid than previously anticipated.

Leeds City Region Business Rates Pool

- 9 As Members will be aware, the Council is a member of the Leeds City Region Business Rates Pool and the application to be a 100% retention pilot scheme was successful. The likely anticipated additional business rates income due directly to the Council from this pilot scheme is anticipated to be approximately £2m. This funding could be available to support additional expenditure, although some of this may be required to assist in cash flow issues regarding major projects, particularly York Central. This will be considered further in future reports.
- 10 Further funds totalling £14.7m are available in the pool to be distributed across strategic priorities, as agreed by the member authorities and the Councils share of this should be approximately £1.4m. In July 2018, the Leeds City Region Business Rates Joint Committee considered bids from all member authorities over 4 themed areas:
- Culture, Sport and Major Events
 - Enabling Housing Growth
 - Business Support, Trade and Investment
 - Inclusive Growth
- 11 The outcome of this process is that the Council has been awarded £1,395k for 3 schemes. The funding will be provided over 2018/19 (£1,025k) and 2019/20 (£370k) and incorporated into the service budgets. Further reports on each of these schemes will be brought to the relevant Executive Member Decision Session.
- York City attracting inward investment (£660k) To develop a shared vision and promotion activities to attract inward investment for York.
 - Better by Design (£325k) which will support the Housing Delivery Project programme.
 - Castle Gateway (£410k) will support the partnership between the council and YMT, including the detailed design of the master plan proposals and the continued hosting of events in the Castle Gateway.

Contingency

- 12 As in previous years a contingency budget of £500k is in place. In the 2017/18 outturn report presented to Executive on 21th June the remaining balance of £250k from the 2017/18 general contingency was added to the balance available for 2018/19. A further £10k was allocated to the WWI commemorations (as agreed in January 2018) and a report elsewhere on this agenda requests funding of £92k from contingency towards York's bid to be a host city for the Rugby League World Cup 2021 leaving a balance of £648k available. Members are asked to note that this may be required to deal with some of pressures outlined in this report. Any decisions regarding the allocation of this sum will be brought to a future meeting.

Loans

- 13 Further to a scrutiny review, it was agreed that these quarterly monitoring reports would include a review of any outstanding loans over £100k. There are 2 loans in this category. Both loans are for £1m and made to Yorwaste, a company part owned by the Council. The first was made in June 2012 with a further loan made in June 2017 as agreed by Executive in November 2016. Interest is charged on both loans at 4% plus base rate meaning currently interest of 4.25% is being charged. All repayments are up to date.

Performance – Service Delivery

- 14 The Performance Framework surrounding the Council Plan for 2015-19 launched in July 2016 and is built around three priorities that put residents and businesses at the heart of all Council services.

Performance – Overview			2016/17	2017/18	2018/19 Q1	2018/19 Q2	DoT	Frequency	Benchmarks
Service Delivery	A Focus on Frontline Services	Number of days taken to process Housing Benefit new claims and change events (DWP measure)	5.58	3.2	2.97	3.62 (August 18)	↓ Good	Quarterly	National 16/17: 9 days
	A Council That Listens to Residents	% of panel who agree that they can influence decisions in their local area	25.65%	26.87%	25.68%	Not collected this quarter	→	Quarterly	National Community Life Survey 17/18: 26%
		% of panel satisfied with their local area as a place to live	89.84%	89.94%	88.09%	Not collected this quarter	→	Quarterly	National Community Life Survey 17/18: 77%
		% of panel satisfied with the way the Council runs things	65.54%	62.13%	60.29%	Not collected this quarter	↓ Bad	Quarterly	National LG Inform 17/18: 72.50%
		Overall Customer Centre Satisfaction (%) - CYC	92.48%	93.13%	93.16%	93.23% (July 18)	→	Quarterly	NC
	A Prosperous City for All	Median earnings of residents – Gross Weekly Pay (£)	£508.1	£519.3	Collected annually	Collected annually	↑ Good	Annual	National 17/18: £552.7 Regional 17/18:
		Business Rates - Rateable Value	£247,348,791	£254,662,152	£254,045,397	£254,207,892 (Aug 18)	→	Quarterly	NC
		% of panel who give unpaid help to any group, club or organisation	64.30%	66.22%	67.83%	Not collected this quarter	→	Quarterly	National Community Life Survey 17/18: 64%
Organisational Health Check	Performance	Red rated Major Projects - CYC	1	1	0	0	→	Quarterly	NC
		Amber rated Major Projects - CYC	5	6	9	9	→	Quarterly	NC
		Overall Council Forecast Budget Outturn (£000's Overspent / -Underspent)	-542	-£620	£1,545 (including contingency)	£1,267 (including contingency)	→	Quarterly	NC
	Employees	PDR Completion (%) - CYC - (YTD)	75.90%	90.40%	36.70%	71.61% (Aug 18)	↑ Good	Quarterly	NC
		Staff FTE - CYC Total (Excluding Schools) - (Snapshot)	2,071.6	1,972.2	1,994.8	2053.2 (Aug 18)	→	Quarterly	NC
		Average sickness days lost per FTE - CYC (Excluding Schools) - (Rolling 12 Month)	10.2	11.5	11.8	11.8 (Aug 18)	↑ Bad	Quarterly	CIPD (Public Sector) 16/17: 8.5 days
		Voluntary Turnover (%) - CYC Total (Excluding Schools) - (Rolling 12 Month)	7.60%	7.55%	6.84%	7.32% (Aug 18)	→	Quarterly	NC
		% of staff who would recommend the council as a good place to work	NC	NC	71.12%	75.00%	Awaiting 3rd data point	Quarterly	NC
		% of staff who believe action will be taken following this survey	NC	NC	30.70%	37.00%	Awaiting 3rd data point	Quarterly	NC
	Customers	% of external calls answered within 20 seconds - CYC	89.01%	89.75%	87.70%	-	→	Quarterly	SSAC Industry Standard 17/18: 80%
		% of complaints responded to within 5 days	75.40%	58.76%	39.60%	49.44%	↓ Bad	Quarterly	NC
		FOI & EIR - % In time - (YTD)	93.14%	89.20%	92.80%	92.24%	→	Quarterly	NC
		Digital Services Transactions / Channel Shift	Narrative Measure				→	Quarterly	NC

NC = Not due to be collected during that period
The DoT (Direction of Travel) is calculated on the latest three results whether they are annual, quarterly or monthly.

A Council That Listens to Residents

- 15 The council carries out a number of consultation and research activities throughout the year, including: annual surveys, statutory research, one-off pieces of research and using Talkabout, our citizens' panel, which is comprised of a representative sample of around 1,000 York residents who are invited to complete a bi-annual survey to capture a variety of resident satisfaction measures across all areas of council business. Details of all other public consultations are available on the consultations page of the councils website.

% 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

- 16 The most recent Talkabout survey will be sent to residents in mid October to gain their views on a variety of resident satisfaction measures across all areas of council business. The results of this survey will be reported in the Q3 Finance and Performance Monitor.

Tenant Satisfaction Survey

- 17 City of York Council's Housing Services are committed to working with their tenants and sent out an annual survey to a sample of tenants in mid September asking them how satisfied they are with their home and the landlord services provided by the council. Tenants can complete either a paper copy or an online version of the survey by the 2nd November.

Budget Consultation

- 18 The council are challenging residents and businesses to set what they think the council budget should be for 2019/20. Early in the New Year the council will have to set the budget for the 2019/20 financial year and want input into what that looks like. Residents can use a budget simulator to visualise the impact of setting the budget and advise on the areas they would prioritise. Residents can also complete a paper copy of the survey and responses are invited by the end of November.

Carers Survey

- 19 In October, over 1,000 surveys were sent out to eligible carers as part of the statutory survey managed by NHS Digital. The results of this survey are brought together with those of all other English councils and processed by NHS Digital. These results will feed into the monitoring of the impact of the national carers strategy and will also be used to populate a number of measures in the Adult Social Care Outcomes Framework. The deadline for responses is the end of November and the results will be available in the new year.

Bootham Hospital Site

- 20 City of York Council is working with health partners to shape the future of the site of the former Bootham Hospital and guide its re-

development for the benefit of health, care, housing and public services in York. York Teaching Hospital NHS Foundation Trust, the Vale of York Clinical Commissioning Group (CCG), and City of York Council, part of the Humber, Coast and Vale Sustainability & Transformation Partnership (STP), together with Primary Care have joined forces. They aim to propose a sustainable and achievable development master plan for the site to support the longer term sustainable delivery of a range of service to meet health and social care needs.

- 21 Using monies granted by the government under the One Public Estate programme, the partnership will prepare a Site Development Plan. This will examine the constraints and opportunities of the site and will involve extensive stakeholder and public engagement. A schedule of public consultation is being planned for this autumn to focus on the future of the 240-year-old site – one of the UK's first mental health hospitals.

York Suicide Safer Community Strategy

- 22 The council have been working to reduce suicide in the city and the harm and negative impact associated with suicide experienced by those who live, work in and are connected to York. The draft Suicide Safer Community Strategy aims to make the city a Suicide Safer Community and was approved by the Health and Wellbeing Board for public consultation to seek views from members of the public about its content and ambitions to help reduce suicide. All comments and feedback were considered in the final version of the Strategy which was introduced at the Suicide Prevention Conference in September 2018.
- 23 Examples of other consultations active during Q2 include;
4CommunityGrowthYork – a survey to assess the awareness and impact of the project and how it can be improved, Redevelopments in Fossgate / Castle Gateway, Statement of Licensing Policy, and Our City – we asked for views to help shape future editions

% of residents satisfied with their local area as a place to live - this measure gives an understanding of residents' views about the area and the quality of their ward / neighbourhood

% 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

- 24 The most recent Talkabout survey was sent to residents in mid October to gain their views on a variety of resident satisfaction measures across all areas of council business. The results of this survey will be reported in the Q3 Finance and Performance Monitor.

Overall Customer Centre Satisfaction (%) - CYC - (being replaced with Digital service satisfaction 2017) - this measure gives an understanding of the quality of our face to face, phone and front office customer services (and in future our digital services through the CYC website)

- 25 The Customer Centre offers advice and information on many services including benefits, council tax, housing, environmental, transport, educational, social care and planning. At the end of phone enquiries customers have the opportunity to complete a short phone based customer satisfaction survey or, when visiting West Offices, rate their experience via a feedback terminal. Customer Satisfaction remains high with latest data (July) showing 93% of people rate the service as either good or very good.

A Focus on Frontline Services

Number of days taken to process Housing Benefit new claims and change events - this measure gives an understanding of the efficiency and effectiveness of a key front-line service

- 26 Due to improvements in digital processes, performance in this area remains consistently strong in York with the average number of days taken to process a new Housing Benefit claim or a change in circumstance less than 4 days during August 2018. York performance is also the best out of all other local authorities that we are benchmarked against (North and East Yorkshire, Lincolnshire and the Humber) and much higher than the national average of 9 days (2016-17).

A Prosperous City for All

Median earnings of residents – Gross Weekly Pay (£) - this measure gives an understanding if wage levels have risen within the city, a key corner-stone in the cities economic strategy

- 27 New earnings data for 18/19 will be available in November 2018.

Job Seekers Allowance (JSA) Claimants

- 28 The JSA figures should be viewed in the context of the number of people receiving Universal Credit in York increasing from 4,173 in August to 4,454

in September. Of these, there were 2,548 claimants in September who were not in employment. Under Universal Credit, a broader span of claimants are required to look for work than under Jobseekers Allowance. As Universal Credit Full Service is rolled out in particular areas, the number of people recorded as being on the Claimant Count is therefore likely to rise.

- 29 Figures from the Office for National Statistics contained some positive news for York with employment, in 2017, growing by 5,000 more jobs than in the previous year. This 5% increase was the best in the region which averaged a 2% increase. The majority of these jobs were in the professional, scientific, technical businesses sectors and the food and drink sectors and were distributed across the city with Guildhall, Clifton and Rural West seeing the largest increases.
- 30 Figures from the Office for National Statistics also showed that;
- There were 185 JSA claimants in York in September 2018 which is a decrease of 20 from the previous month and a decrease of 225 from September 2017.
 - The claimant count for York represents 0.1% of the working population, which is lower than both the regional and national figures of 1.2% and 0.9% respectively in September 2018.
 - Recent figures also highlight a fall of 30 in the youth unemployment count since September 2017. The youth unemployment figure of 0% is lower than both the regional and national figures of 1.2% and 0.8% respectively.

Department of Work and Pensions

- 31 Data released by the Department of Work and Pensions is published 6 months in arrears and the latest data relates to February 2018. The total number of claimants for either Income Support or Employment Support Allowance in York is 5,370, which is a decrease of 250 from November 2017. The claimant count represents 3.9% of the working population which is lower than both the regional and national figures of 7.9% and 7% respectively. Although these figures are the lowest in the region, due to the changes in the benefits system some of the data is transitional. The introduction of Universal Credit, for example, means that some people are still in the process of transitioning over.

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

- 32 Business rates are based on the property's 'rateable value' which is the Valuation Office Agency's (VOA) estimate, as at 1st April 2015, of the

property's open market rental value. The government's aim to increase the level of business rates retained by local government from the current 50% to 75% in April 2020 means that York will start to receive an increased level of income especially as higher rated development schemes (e.g. hotels and offices) are completed and then assessed.

% of residents who give unpaid help to any group, club or organisation - this measure gives an understanding of how much volunteering is currently being undertaken within the city

- 33 The most recent Talkabout survey was sent to residents in mid October to gain their views on a variety of resident satisfaction measures across all areas of council business. The results of this survey will be reported in the Q3 Finance and Performance Monitor.

Other Performance

Major Projects - this measure gives an understanding of the performance of the large projects the Council is currently working to deliver

- 34 There are currently 14 major projects in progress during September which is the same as in June 2018. Each project is given a status to give an overview of significant risks and provide assurance as to how individual projects are being managed. 8 projects are rated "Amber" and 6 are rated "Green" which is the same as last quarter.

Performance – Employees

Staffing PDR Completion Rates - this measure gives an understanding of how we making sure that the organisations strategic aims, goals and values are being passed to all employees

- 35 City of York Council is committed to developing confident, capable people working positively for York. As part of that commitment, all colleagues are entitled and encouraged to reflect on their performance and discuss future aspirations and work goals through regular one to ones and an annual Performance and Development Review (PDR) appraisal. The annual PDR process starts in May and, by the end of August 2018, 72% of PDRs had been undertaken, an improvement on the 58% at the same point last year.

Staff Total - this measure gives an understanding of total numbers of staff, and our staffing delivery structure

- 36 At the end of August 2018 there were 2,534 employees (2,053 FTEs) working at City of York Council (excluding schools). This is an increase

from 2,472 (1,995 FTEs) at the end of June, mainly due to the transfer of the Social Enterprise Community Interest Company 'beIndependent' and its employees in to City of York council.

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

- 37 At the end of August 2018-19 the rolling 12 month sickness days per FTE has remained static at 11.8 days. Figures continue to be impacted by higher than normal sickness absence over the previous winter period but since the start of the year there has been a steady decline in monthly absence rates which have fallen to 1,766 days during August (from an average 2,344 between December and March).
- 38 There is variation in the level of sickness absence across the organisation. Economy and Place (E&P) and Health, Housing and Adult Social Care (HHASC) have the highest levels, with Customer and Corporate services having the lowest sickness levels with an average of 8 days per FTE. There are a number of teams in the Council where sickness is very low but it is acknowledged that overall sickness absence at CYC continues to be higher than comparable organisations.
- 39 Proposals to address the issue were presented to Executive in Autumn 2018 with a number of options being considered:
- Targeting a reduction in sickness absence by around a third across the authority, to align our figures more closely with the Public Sector average of around 8.5 days and regionally to be in the lower quartiles.
 - Managers will continue to take responsibility and own attendance management within their teams and across Directorates. Managers will be clear of the targets being set and will be accountable for performance against that target.
 - The provision of relevant training packages and direct support through HR Advisers will continue in guiding managers in applying consistently the policy and procedure.
 - The attendance management policy and procedure will be reviewed to ensure consistent application across the authority, and reflect the role of the centralised well-being team if it is agreed to be established.
 - Feedback from other authorities suggests that a common approach being considered or recently put in place is the use of a dedicated team, including occupational health provision integrated into the team, to focus on attendance and work with managers and employees on a timely return to work.

Staffing Turnover - this measure gives an understanding of the number of staff entering and leaving the organisation

- 40 Total staff turnover has increased slightly to 14.9% over the rolling 12 months to August 2018 while voluntary leavers have remained stable at 7.3%. This level of staffing turnover is expected and in line with the council's changing service delivery models.

Staff Satisfaction - this measure gives an understanding of employee health and their satisfaction with the Council and a place to work and its leadership, management and practices

- 41 Throughout the year, employees will be invited to complete surveys covering a range of topics including 'values and behaviours' and 'leadership and management', with feedback helping to shape and improve the organisation and make CYC an even better place to work.
- 42 The second in a series of short 'pulse' staff satisfaction surveys went live at the end of June with employees asked to give feedback on Values and Behaviours. The results showed that 72% of respondents would recommend the Council as a good place to work (a slight increase from 71% in the first survey).
- 43 The third in the series of surveys on Inclusion, Wellbeing and Behaviour at Work went live at the end of August with a closing date of mid September. The results will be included in the Q3 Monitor.
- 44 The fourth survey in the series on Leadership and Management went live at the end of October with a closing date of mid November. The results will be included in the Q3 Monitor.

Performance – Customers

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

- 45 In Q2 the percentage of all external calls answered within 20 seconds decreased to 77.5% (88% in Q1) which is below the industry benchmark of 80%

Customer Centre

- 46 Our Customer Centre is the main point of contact for residents and business visitors. During Q2, the number of calls received increased to 64,529 (an increase from 61,787 in Q1), with 96.8% answered (62,463). Demand for Concessionary Travel, Electoral Services, Council Tax, Planning and Building Control, Parking and Waste has increased due to "seasonal" activity within the services. During peak periods customers may experience increased waiting times and, although calls are typically not held in a queue for more than 34 seconds, customers can make use of the call back facility.

% of complaints responded to within 5 days

- 47 Overall performance in responding to complaints is lower than in previous years, but there has been an increased response rate since Q1. In Q2 the council received 451 stage 1 corporate complaints, a significant increase of 173 complaints compared with Q1. Even with the increase in number, there has been an improvement of 9.84% (to 49.44%) for the number of stage 1 corporate complaints responded to within the 5 day timescale. Where timescales were not met, this was due to resource pressures in some service areas.
- 48 Additional resources have been provided to deal with and monitor complaints with work ongoing to;
- Ensure that complaints performance is monitored. Managers now have access to a dashboard of live reports relating to real time complaints and customer performance information;
 - Refresh the corporate complaints policy and procedures along with the complaints IT system

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

- 49 In Q2 2018/19 the council received 527 FOIs, EIRs and SARs. We achieved 90.5% in-time compliance for FOIs (Freedom of Information requests), 95.2% in-time compliance for EIRs (Environmental Information Regulations requests) and 62.5% in-time compliance for SARs (Subject Access to records requests). There has been a small decrease in the total number of FOIs, EIRs and SARs requests received in this quarter compared to Q1. We are continuing to look for ways to improve the reporting in this area based on feedback from service areas, management teams, councillors and committees and aim to include this in the next report. This will include, where possible, benchmarking information, data breaches, ICO cases and outcomes.

Digital Services Transactions/Channel Shift

- 50 The number of residents who came to West Offices remained stable at 11,529 in Q2 with an average wait of 6 minutes and 83% of residents were seen within the target wait time of 10 minutes. 12,879 business visitors came to West Offices during Q2 18/19 (16,053 in 18/19 Q1). In addition to phone calls and face to face interactions, the customer service team responded to 10,946 emails.
- 51 Moving customer interactions through to a digital channel is a key priority for the council and reflects the changing needs of the city's residents; in Q2 3,154 payments were made using the auto payments system and 20,271 customers used the telephone auto operator.

Procurement

52 The tables below summarises the quarter 2 position.

Size of business	2018/19 Q2 spend		Of which in Yorkshire & Humber	Of which in a YO postcode
	£'000	% of total	£'000	£'000
Micro (less than 10 employees)	3,708	8	2,480	3,515
Small (11 to 49 employees)	13,167	28	10,427	7,522
Medium (50 to 249 employees)	8,506	18	5,351	3,210
Sub total SME's	25,381	54	18,258	14,247
Large (250 or more employees)	22,035	46	7,789	3,515
Grand Total	47,416	100	26,048	17,762

53 Spend to the end of September shows 54% of the total spend was with SME's, compared to 60% in a full year for 2017/18. Local spend has also reduced to 55% of the total compared to 60% in 2017/18. This slight reduction is predominantly due to the ongoing expenditure on the Community Stadium with a large supplier. If this spend is removed, both figures would be 60%, which is comparable to previous years.

Annexes

54 All performance data (and approximately 975 further datasets) 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

55 Not applicable.

Options

56 Not applicable.

Council Plan

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

Implications

58 The implications are:

- **Financial** are contained throughout the main body of the report.
- **Human Resources (HR)** There are no HR implications.
- **One Planet Council / Equalities** There are no One Planet Council or equalities implications.
- **Legal** There are no legal implications.
- **Crime and Disorder** There are no crime and disorder implications.
- **Information Technology (IT)** There are no IT implications.
- **Property** There are no property implications.
- **Other** There are no other implications.

Risk Management

59 An assessment of risks is completed as part of the annual budget setting exercise. These risks are managed effectively through regular reporting and corrective action being taken where necessary and appropriate.

Contact Details

Authors:		Chief Officer Responsible for the report:			
Debbie Mitchell Corporate Finance & Commercial Procurement Manager <i>Ext 4161</i>	Ian Floyd Director of Customer & Corporate Services (Deputy Chief Executive)				
	Ian Cunningham Head of Business Intelligence <i>Ext 5749</i>	Report Approved	x	Date	16/11/18
Wards Affected: All					✓
For further information please contact the authors of the report					

Background Papers:

None

Glossary of Abbreviations used in the report:

CCG	Clinical Commissioning Group	JSA	Job Seekers Allowance
CYC	City of York Council	NHS	National Health Service
EIR	Environmental Information Regulations	PDR	Performance Development Review
FOI	Freedom of Information	STP	Sustainability and Transformation Partnership
FTE	Full Time Equivalent	VOA	Valuation Office Agency
HHASC	Health, Housing and Adult Social Care	WWI	World War 1
ICO	Information Commissioner's Office	YMT	York Museums Trust



**Customer and Corporate Services Scrutiny
Management Committee****14 January 2019**

Report of the Assistant Director – Legal & Governance

CYC Overtime 2017-18 Internal Audit Cover Report**Summary**

1. This report provides information on the findings of an internal audit into overtime within the Waste Services of the Economy and Place Directorate (Annex A).

Background

2. Overtime is regularly included in the internal audit plan and the focus has varied between service areas and directorates. Following discussions between Veritau and CYC's Corporate Director of Economy and Place it was agreed that Waste Services would be the focus of audit.
3. Waste Services crews record the number of hours worked on a daily basis and claim overtime at the end of the week if the number of hours worked during the week exceeds 37 hours. The number of hours of overtime claimed during 2017/18 in Waste Services was approximately 5,800.
4. Key findings from the internal audit report into overtime within Waste Services was that adequate explanations were not being provided to support overtime claims and that in several instances staff were claiming 7.4 hours overtime for working on bank holidays even though the waste collection round actually took less time than the 7.4 hours they were claiming, meaning they were claiming overtime for hours that were not worked.
5. The audit report was considered at a meeting of the Audit and Governance Committee in early December 2018 when Members agreed that this issue should be the subject of closer scrutiny and agreed to refer the matter to CSMC.

Consultation

6. Consultation was not relevant in the preparation of this report.

Options

7. Having considered the information in this report and its annex Members can agreed to receive more detailed information into overtime within Waste Services, or not.

Analysis

8. There is no analysis in this report.

Council Plan

9. The work of internal audit helps support the overall aims and priorities of the Council Plan by promoting integrity and accountability and by helping to make the Council a more effective organisation.

Implications

10. Financial implications are included in the Internal Audit Report at Annex A.

There are no implications within this report in relation to:

- Human Resources (HR)
- Equalities
- Legal
- Crime and Disorder
- Information Technology (IT)
- Property
- Other

Risk Management

11. A number of risks are identified in the Internal Audit Report at Annex A.

Recommendation

12. After considering the information in this report and its annex Members are asked to comment on the findings of the internal audit report and agree what, if any, further information the Committee requires.

Reason: To enable members to consider the findings and implications of the audit

Contact Details

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Report Approved ☒ Date 18/12/2018

Wards Affected:

All ☒

For further information please contact the author of the report

Background Papers:

Annexes

Annex A – Overtime 2017-18 CYC Internal Audit Report

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Overtime 2017-18

City of York Council

Internal Audit Report

Business Unit: Economy and Place
 Responsible Officer: Assistant Director – Transport, Highways and Environment
 Service Manager: Head of Operations
 Date Issued: 8th November 2018
 Status: Draft
 Reference: 10200/012

	P1	P2	P3
Actions	0	2	2
Overall Audit Opinion	Reasonable Assurance		

Summary and Overall Conclusions

Introduction

Overtime is regularly included in the internal audit plan and the focus of the audit has varied between service areas and directorates. Following discussions with the Director of Economy and Place it was agreed that Waste Services would be the focus of this audit.

The council collects waste on a weekly basis from 89,000 properties across York with a mixture of domestic, green, recyclable and commercial waste being collected each week. There are 25 collection rounds each week which collect an average of 1,600 tons of waste each week. Crews record the number of hours worked on a daily basis and claim overtime at the end of the week if the number of hours worked during the week exceeds 37 hours. The number of hours of overtime claimed during 2017/18 in Waste Services was approximately 5,800 hours.

Objectives and Scope of the Audit

The purpose of this audit was to provide assurance to management that procedures and controls within the system will ensure that overtime payments within the Waste Services are:

- made in line with the council's policies on overtime working
- only paid for work that has been carried out
- authorised by a person with suitable delegated authority.

Key Findings

A Waste Services Operational Framework was introduced in December 2016 which sets down the terms and conditions for staff in Waste Services. The policies in this document are slightly different to the council's terms and conditions in order to provide an incentive for staff to complete waste collection rounds efficiently. The terms and conditions are based on a collective task and finish principle where staff are able to go home and be paid for a full day's work if the waste collection round took less than the contracted number of hours. However, these arrangements were not working as well in reality because staff were not always providing explanations when claiming overtime for waste collection rounds that were taking longer than normal and were also claiming overtime on bank holidays for hours that hadn't been worked.

It was also found that drivers were completing waste collection rounds without a break that was required by the UK's Working Time Directive which could mean the driver or the council would be liable if there was an accident.

The process for authorising the overtime payments was found to be working well.

Overall Conclusions

The arrangements for managing risk were satisfactory with a number of weaknesses identified. An acceptable control environment is in operation but there are a number of improvements that could be made. Our overall opinion of the controls within the system at the time of the audit was that they provided Reasonable Assurance.

1. Adequate explanations are not being provided to support overtime claims

Issue/Control Weakness	Risk
The council is paying overtime for waste collection rounds that are being completed slower than expected with no explanation given as to the reason why the round took longer to complete.	The council is paying an excessive amount of overtime.

Findings

The Daily Work Sheets ask for a record to be kept of bins that were not presented for collection and any other problems on the round such as blocked access. A sample of overtime claims was taken when overtime was being claimed for reasons such as 'Finish Work' or 'Worked over 37 hours' to see if the Daily Work Sheet provide details of why the round took longer than expected. In 8 of the 10 cases there was no record of either bins not being presented for collection or other problems encountered on the round. The other two cases listed a small number of bins that had routine problems such as bulky waste that would not explain why a round took extra time to complete.

Agreed Action 1.1

The service has recognised that the auditable paper trail for overtime was not satisfactory, although they felt that management was aware of the overtime and maintained responsibility for it being sanctioned. The Waste Head of Service has subsequently introduced a high level spreadsheet which records all issues that have a financial or operational impact on the service. It records the predicted impact (such as overtime) and also the actual. The intention is to allow management to challenge any gaps between predicted and actual and relate it back to the overtime sheets. This will serve as an additional reconciliation of overtime paid but also allows management to have greater control and knowledge over overspends and their origin.

Priority	2
Responsible Officer	Waste Head of Service
Timescale	Completed

2. Driver breaks

Issue/Control Weakness	Risk
Drivers are not taking breaks required by the UK's Working Time Directive.	The driver and the council could be liable if an accident occurred due to the driver completing an excessively long shift without the required break set down by the Working Time Directive.

Findings

The Draft Framework Agreement states that: 'The Working Time Directive rules apply to all workers and there is a duty on the City of York Council to provide for the opportunity for its employees to take a break if their working day exceeds 6 hours. Therefore, as all of our Drivers are employed on a full-time contract of 7 hours 24 minutes a day, all employees should take an uninterrupted break of 20 minutes.' A sample of daily crew sheets was reviewed which showed that 64% of rounds within the sample did not record a break on their crew sheet. 17% of rounds took less than 6 hours to complete with these cases also not recording a break on the crew sheet.

Agreed Action 2.1

The council is embarking on the digital capture of driver's working hours with the use of tachographs which records the vehicle's speed and distance. This should benefit the service and users as the need for a daily form filling will cease. The driver data will be managed via a download box, which will be uploaded to a driver compliance management system called FTA Vision. This will allow for the viewing of data to ensure the council complies with the Working Time Directive. Each user department will have their own log ins to manage the analysis of the data. For example the driver hours and any infringements around these areas. The roll out date for this is the 1st November

For those not yet on the Tachograph system and during the interim period, drivers are asked to hand in their completed driver hours books to the supervisors each evening. These are checked every night by the supervisors. Supervisors will challenge any inconsistencies and advise on the correct practices.

Further meetings have been arranged with the Union and driver and user training are planned.

Priority	2
Responsible Officer	Waste Head of Service
Timescale	30 th November 2018

3. Overtime payments made to staff who are working on bank holidays

Issue/Control Weakness	Risk
Staff are being paid for working 7.4 hours on bank holidays when the waste collection round actually took less time to complete.	Overtime is being claimed for hours where work hasn't been done.

Findings

The Draft Framework Agreement states that 'All employees will work Bank Holidays as any other normal working day'. Appropriate rates of pay, and lieu days, will continue to be paid in accordance with the Collective Agreement on Pay and Grading.' However, a sample of cases was taken where staff were claiming overtime for working on a bank holiday. There were seven cases where the person claimed 7.4 hours overtime even though the waste collection round actually took less than the 7.4 hours that were claimed meaning that they were claiming overtime for hours that were not actually worked. In the three cases where the waste collection round took longer than 7.4 hours the actual number of hours worked was claimed rather than 7.4 hours.

Management Response

Staff are paid a minimum 7.4 hours a day regardless of the length of the shift, Under the Waste Framework Agreement Bank Holidays are treated the same. The reason behind this is to provide incentives to work on bank holidays and to maintain the integrity of the task and finish principle. Trying to differentiate between the number of hours worked on a bank holiday compared to those in the rest of the week would also create an administrative burden without saving much money in return.

4. Claiming overtime on a weekly basis.

Issue/Control Weakness	Risk
Overtime is being claimed in one week that could be offset against the following week when less than 37 hours are being worked.	An excessive amount of overtime is being paid to staff.

Findings

The Draft Framework Agreement states that staff in Waste Collection Services are contracted to work 37 hours per week with overtime being paid if the number of hours exceeds this number. Waste is currently being collected on a fortnightly basis so staff could be paid overtime for the week where waste collection rounds took longer even though they completed rounds in less than 37 hours the following week. A sample of cases was reviewed which showed instances where staff had claimed overtime in one week even though they worked less than 74 hours across two consecutive weeks.

Agreed Action 4.1

Overtime is claimed under the current agreed and recognised procedures and any changes to this will be considered as part of the Frontline Workforce Review over the next 12 months. This review will include whether it would be better to operate on a fortnightly basis for claiming overtime because waste is collected on a fortnightly basis. This may result in an updated collective agreement that would then require agreement from both management and the unions.

Priority	3
Responsible Officer	Waste Head of Service
Timescale	31 st August 2019

5. Waste Services Operational Framework

Issue/Control Weakness	Risk
The Waste Services Operational Framework was not available at the time of the audit and there was no written evidence to confirm that it has been agreed by the directorate management team and the trade unions	Disputes occur between the service management team and the trade unions because there is no written agreement on terms and conditions for staff in Waste Services.

Findings

The Waste Services Operational Framework sets down the workforce strategy and the terms and conditions for staff in Waste Services. The terms and conditions are different from the council's in that they are based on a collective task and complete basis in order to encourage staff to complete waste collection rounds efficiently. Staff are able to go home and be paid for a full day's work if the waste collection round took less than the contracted number of hours.

A draft version of the Operational Framework was provided when the report was being finalised in July 2018 although this document was not available when the audit was undertaken in April 2018, although it was subsequently provided following the issue of the initial draft report. The Operational Framework document was entitled 'Draft' and was dated December 2016. There was no written evidence produced to confirm that the Framework has been agreed by the directorate management team and the trade unions. The Operational Framework was also meant to be reviewed annually but there was no written evidence to confirm that this review has been carried out since December 2016.

Agreed Action 5.1

Overtime is claimed under the current agreed and recognised procedures and any changes to this will be considered as part of the Frontline Workforce Review over the next 12 months. This may result in an updated collective agreement that would then require agreement from both management and the unions. A new Operational Framework will then be produced and be available to staff.

Priority	3
Responsible Officer	Waste Head of Service
Timescale	31 st August 2019

All LGV vehicles are being fitted with tachographs which will accurately record drivers hours and remove the need for paper records for drivers.

Audit Opinions and Priorities for Actions

Audit Opinions

Audit work is based on sampling transactions to test the operation of systems. It cannot guarantee the elimination of fraud or error. Our opinion is based on the risks we identify at the time of the audit.

Our overall audit opinion is based on 5 grades of opinion, as set out below.

Opinion	Assessment of internal control
High Assurance	Overall, very good management of risk. An effective control environment appears to be in operation.
Substantial Assurance	Overall, good management of risk with few weaknesses identified. An effective control environment is in operation but there is scope for further improvement in the areas identified.
Reasonable Assurance	Overall, satisfactory management of risk with a number of weaknesses identified. An acceptable control environment is in operation but there are a number of improvements that could be made.
Limited Assurance	Overall, poor management of risk with significant control weaknesses in key areas and major improvements required before an effective control environment will be in operation.
No Assurance	Overall, there is a fundamental failure in control and risks are not being effectively managed. A number of key areas require substantial improvement to protect the system from error and abuse.

Priorities for Actions

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.

Where information resulting from 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.



**Customer & Corporate Services Scrutiny
Management Committee****14 January 2019**

Report of the Director of Customer & Corporate Services

Attendance and Wellbeing**Summary**

1. This report provides an update on the sickness absence figures in City of York Council (CYC) and the work being undertaken to address their increase with a focus on attendance management and employee wellbeing.
2. The report also provides an update on progress towards the introduction of a dedicated well-being team (through an external provider) to strengthen the authority's approach to absence management, as agreed through Executive in October 2018.

Background**Policy**

3. For assurance and clarification, the current Attendance Management policy is still fit for purpose, but as in previous reports, we have identified the inconsistencies in practice. This is being addressed through managers with direct support through HR colleagues.
4. For clarification, short term absence is categorised as less than four weeks after which any continuous absence is referred to as long term sick. Staff can self-certify, without the need to see their GP, up to 7 days. This is standard practice.
5. Once a member of staff is absence for four weeks or more, they are referred to Occupational Health. There are also instances where staff may be referred before the four weeks, this is dependent upon individual circumstances and reasons for absence. Generally where the reason for absence is stress or mental health related then a referral is progressed.

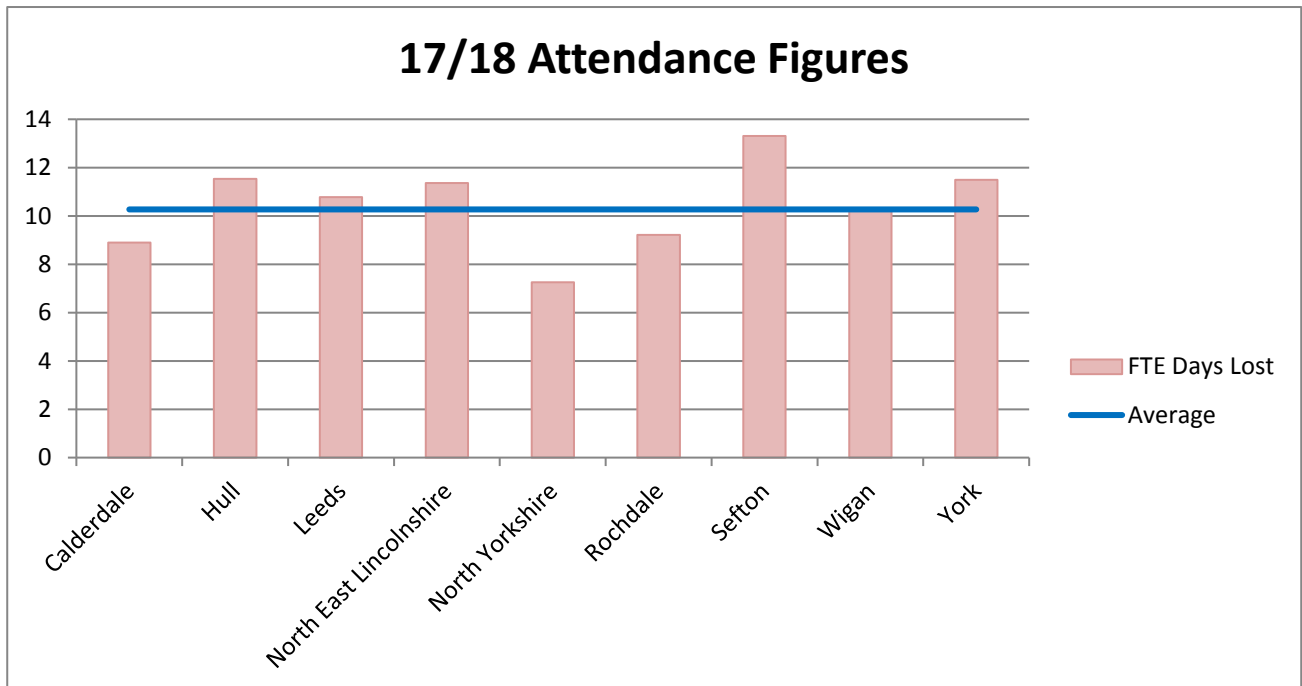
6. CYC policy has certain 'trigger points' upon which managers should arrange a review meeting with the member of staff, in the first instance this is informal.
7. The trigger points are shown below:
 - Three periods of absence in a rolling three month period
 - Four periods of absence in a rolling six month period
 - 10 or more working days in a twelve month period
 - A trend of an unacceptable pattern of absence e.g. regular Mondays / Fridays
 - A period of continuous absence lasting 4 weeks or more
8. There are four stages to the review meeting process shown below:
 - Informal Meeting
 - First Formal Review meeting
 - Second Formal Review meeting
 - Final Formal Review meeting
9. The purpose of the review meeting both, informal and formal, is to investigate the reasons for absence, identify support to facilitate a sustained improvement in attendance, or where a return to work is not foreseeable what other action can be taken.
10. Once a meeting has taken place and the evidence considered the manager may either issue a warning to improve attendance and agree a timescale for improvement. Alternatively mitigating factors may make it inappropriate to issue a warning or lessen the severity of a warning. A formal warning is a specified period during which the employees absence will be monitored. If the employees absence does not reach the specified targets at any point during the warning period the manager will progress to the next stage in the absence management procedure
11. Following a period of sickness absence a return to work interview will be held by the employee's manager. This will be held within three days of the return to work. The purpose of the meeting is to:

- Discuss the reasons for the absence and ensure the member of staff is fit to return to work. (Records of all absences, discussions and medical certificates will be kept confidential).
- Check that necessary certification has been completed and provided.
- Discuss the details of the return to work, based on any advice given by a GP in the Statement of Fitness for Work.
- Explore the need for specific support or workplace adjustments, and where appropriate consider referral to Occupational Health for advice
- Establish if the sickness is work-related and whether there are any health and safety issues or work related factors that need to be addressed.
- Provide an update on workplace developments including how the work has been covered in their absence and how the workload can be organised to accommodate any backlog.
- Clarify expected standards of attendance including absence triggers and possible consequences where standards are not met.
- As appropriate identify and raise any concerns regarding absence levels and triggers and consequences where standards are not met.

Data Analysis and Comparator Data

12. Sickness absence figures have increased from 10.2 days (rolling 12 month fte) in 16/17 to 11.5 days 17/18. As previously reported Public sector average, as reported by the Chartered Institute of Personnel and Development (CIPD), is 8.7 days.
13. The most up to date figures produced through Business Intelligence team, show for the rolling period up to September 2018 the average days lost are 11.66 days. A very marginal increase on the 2017/2018 figure.
14. Informal benchmarking has taken place to share data between authorities, however this has been difficult and as can be seen not all authorities have provided information. There should also be some caution in the use of the data as authorities use different calculations.

This graph shows the FTE days lost for 2017/18.



N.B. Some Councils use different methods for calculating FTE days lost.

15. From the above graph, York is above the average which is just above 10 fte days lost.
16. There has been no significant change since we last reported to scrutiny on absence figures across directorates. Based on the rolling 12 months to end of September 2018, Economy and Place are averaging 17.39 days lost per fte and HHASC averaging 13.87. Children's, Education and Communities (CEC) and Corporate Services are 7.71 and 8.32 working days lost.
17. The majority of time lost to sickness absence is caused by long term sickness. The ratio for long term sick across the authority is around 71% of total absence. This increases to 80% in E&P and is averaging around 62% in CEC and CCS.
18. The main reasons for long term sickness include mental health and stress related absence. Mental Health, stress and depression were the most prevalent reasons for absence across all participating councils in the recent benchmarking exercise. This was closely followed by Muskulo-skeletal related absence.

19. At CYC, Stress and Mental Health related absence accounts for 30% of the total absence figure. CEC average 37%, HHASC 36%, Economy and Place (E&P) 28% and CCS 15%.
20. Whilst there has been some discussion in identifying the root cause of absence there is no one single cause. It is an amalgamation of many aspects. These can include changes to the workplace, performance management, ill health (which cannot be avoided) and issues and life events outside of the workplace that impact on people being able to attend work.

Accountability

21. Directorates continue through their Directorate Management Teams (DMT) to regularly review absence data and other cost control information. They are holding Heads of Service to account for managing absence and trying to ensure consistency is established across the directorate.
22. On a monthly basis the Head of HR, with HR colleagues, review all long-term sick cases and ensure that referrals have been made and the appropriate review meeting has taken place.
23. As you can appreciate no two absences are the same due to personal circumstances and therefore there will be differences between cases. We must be pragmatic and ensure that staff are being supported appropriately with the aim for them to be able to return them to work as soon as possible.
24. Cost control data is also monitored and challenged by the Chief Executive and members of the Corporate Management Team (CMT) at a quarterly cost control review meeting.

Ongoing initiatives

25. Training is still provided for managers as we appreciate that managing sickness absence can be difficult. The training provided covers how to manage attendance, handle difficult conversations and understand disabilities within the workforce.
26. The data available to managers on absence continue to be enhanced along with other dashboard information. In Mid-December a “Manager”

dashboard, mainly containing HR information, was released to all Heads of Service and above and provided details of absences, Performance and Development Reviews (PDR) and additional salary costs of all staff within the manager's responsibility. The variety of information will continue to be enhanced in 2019.

27. Direct support through HR colleagues with line managers is ongoing, supporting individual cases.
28. There is a strong economic case for improving staff wellbeing, both in terms of reduced sickness absence and improved productivity for the organisation.
29. CYC already has a range of initiatives for staff which can help to improve their health and wellbeing. This includes health checks, stop smoking support, healthy lifestyle advice, access to counselling, walking and cycling at lunchtimes and various activities organised through the staff lotteries fund. But we recognise there is more that can be done so CMT has approved the establishment of a Workplace Health Strategy Group.
30. The Workplace Health Strategy Group is chaired by the Director of Public Health with representation from across all Directorates and will be focused on developing a co-ordinated, council-wide strategy and delivery plan for improving health and wellbeing of the workforce.
31. Employees who are unable to work will be supported by the organisation and their managers to return to work as soon as possible. To ensure appropriate support is available, we will continue with the Employee Assistance Programme (EAP), Occupational Health, Osteopath and Counselling provision.

Dedicated Well Being Team

32. In the last scrutiny report in July, it was proposed that a centralised well bring team be established to support the reduction in absence levels. A further report on proposals was considered by Executive in October and was subject to Scrutiny Call-In in early November.
33. It was agreed to progress with the centralised team, through an external provider, with expertise in the field, working closely with managers, HR and our own Occupational Health Provision.

34. Taking on board comments from Executive and Scrutiny, since early November we have been working with key stakeholders across the authority to build the specification for the provision. This has included the proactive involvement of the trade unions.
35. The procurement process for an external provider will be carried out in conjunction with the re-procurement of the Occupational Health provision. This will ensure that there is one provider of support for staff and that a holistic approach is taken to staff wellbeing.
36. The plan to include the external support in the re-provision of the Occupational Health contract has been welcomed by Trade Union colleagues. Such an approach will offer continuity in terms of support for staff and assist in ensuring the right support is available at the very earliest opportunity.
37. When a provider is appointed there will be clear service level agreements and the requirement for the provider to provide both quantitative and qualitative data to the authority. This data and results of their provision will be included in future updates to this committee.

Staff Survey

38. In previous scrutiny meetings we have discussed the root cause of absence and the value of conducting a staff survey to gauge how staff are feeling, and as such the authority embarked on a programme of short staff pulse surveys to establish a baseline of staff views across a range of areas, these areas are shown below.

Survey	Topic
1	My Role (informed and equipped) & Teamwork
2	Values and Behaviours
3	Inclusion, Wellbeing and Behaviour at Work
4	Reward and Recognition
5	Performance and Development
6	Leadership and Management

39. Across the first four surveys, on average around 75% of respondents would recommend the council as a good place to work. This is very positive. It should be noted our response rates are around 38%, which is a good response rate.

40. Key results from the staff survey are provided on the councils open data platform.

Consultation

41. We continue to engage with the trade unions on absence management, and they are involved in the review of Occupational Health Provision and the new dedicated well-being team through the external provider.

Council Plan

42. 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

Financial

43. No specific implications at this stage, though the costs of a wellbeing team will need to be considered by the Executive.

Human Resources (HR)

44. 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.

Equalities

45. 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.

Risk Management

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

Recommendations

47. Members are asked to:

- i. Consider the information provided in the report.
- ii. Agree a method of how Members will be kept up to date with progress towards absence management target and new outcomes of the wellbeing strategy.

Reason: To inform Members of the sickness absence figures in City of York Council

Contact Details

Author:

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Head of HR

01904 554519

Chief Officers Responsible for the report:

Ian Floyd,
Deputy Chief Executive and Director of Customer & Corporate Services

Report Approved ☒ Date 31 December 2018

Wards Affected:

All



For further information please contact the author of the report

Abbreviations

CCS – Customer and Corporate Services
CEC – Children, Education and Communities
CIPD – Chartered Institute of Personnel and Development
CMT – Corporate Management Team
CYC – City of York Council
DMT – Directorate Management Team
E&P – Economy and Place
EAP – Employee Assistance Programme
FTE – Full Time Equivalent
GP – General Practitioner
HHASC – Health, Housing and Adult Social Care
HR – Human Resources
PDR – Performance and Development Reviews

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**Customer & Corporate Services Scrutiny
Management Committee****14 January 2018**

Report of the CSMC Scrutiny Review Task Group

Scrutiny Operations and Functions Review - Update Report**Summary**

1. This report provides an update to the Customer and Corporate Services Scrutiny Management Committee on the progress of its Task Group looking into the operations and functions of Scrutiny at City of York Council.

Background

2. In September 2018, CSMC agreed to set up a Task Group with the following remit:

Aim: To propose operational arrangements and a structure for scrutiny to improve engagement and outcomes, ensuring that the function is as effective as possible.

Objectives:

Structure

- To address the balance of committee workloads
- To evaluate the current functions of Scrutiny Committees, including pre and post decision call-in, overview and the performance management role

Engagement

- To assess the current level of officer and member engagement and explore ways to improve it
- To explore ways to establish robust and measurable work planning

Training

- To assess the need for member training and on-going development on scrutiny topics
- 3. The Task Group has had 3 meetings to date and a short summary of discussions is included below.
- 4. The proposed timing of this review is to complete all investigations and proposed recommendations prior to the end of the current municipal year, to allow the next administration to begin their tenure with a solid foundation for scrutiny work in York.

Scoping Meeting

- 5. The Task Group met to discuss the aims and objectives of the review and establish an initial base of enquiries.
- 6. Members agreed that it would be essential to investigate the views of Members in key Scrutiny positions (Chairs / Vice-Chairs) in order to ascertain their views on the current effectiveness of scrutiny in York.
- 7. It was highlighted in this meeting that a number of similar reviews had previously been carried out and that this review would not be focussed solely on the structure of scrutiny committees as it was felt that engagement with the function was of equal importance.
- 8. Members also discussed the importance of discussing the scrutiny function with the Corporate Management Team in order to establish support for the review from Senior Management and to seek their views on potential solutions to improve engagement, in accordance with the Task Group's terms of reference.

Scrutiny Chairs and Vice-Chairs

- 9. Members discussed the current arrangements for Chair and Vice-Chair briefings and how this could be developed to include looking at the work plans of each committee in more detail with a senior officer in attendance.
- 10. Members highlighted their belief that Councillors are not always assigned to the Committees in which they have the most interest / expertise and that this resulted in a lack of engagement and focus in scrutiny. It was also noted that Members were often left feeling disheartened by the lack of action as a result of scrutiny reviews.

11. Members discussed the number of reports that scrutiny committees received and the number of which were 'to note'. Members felt that the purpose of scrutiny was not being fulfilled in this sense.
12. One of the key issues discussed at the meeting was that of timing, particularly in relation to the existing pre-decision scrutiny call in process. Members suggested that reports to Scrutiny often came 'too late' in order to scrutinise the process and policy that preceded a decision and that this should be an important stage prior to any decision being made by the Executive. There were discussions regarding how this could be resolved in terms of committee work planning and review of the forward plan process.
13. Members also discussed how the new working arrangements for Economy and Place Scrutiny and Policy were going. It was noted that whilst the acknowledgement of different roles that Scrutiny plays was important, the distinction between the committees was not always clear.

Corporate Management Team

14. Discussions with CMT were highly productive and highlighted a number of issues with the current operation of the Scrutiny function.
15. Members and Officers discussed the Health, Housing and Adult Social Care Scrutiny Committee and its remit, noting that due to the wide range of topics, this particular committee often struggled to deal with complexities of issues presented to it. It was also felt that this remit had a negative impact on the ability of Members to become 'experts' in the area in which they are scrutinising, often moving between the work of varied sections of the directorate too often.
16. Officers highlighted that as Members are sometimes assigned to areas in which they are not subject experts, discussions can be unproductive. This led to members of the Corporate Management Team suggesting that a more senior scrutiny position could be created to act as an independent voice in assisting committees to critically analyse the issues presented to them. Officers noted that this was included in the Local Government Committee's recommendations to Central Government on the Effectiveness of Local Government Overview and Scrutiny Committees. It was suggested that this role could offer enhanced support to members and the scrutiny function as a whole. The Council's appointed statutory Scrutiny Officer is the Head of Civic & Democratic Services. Thought may need to be given to how that role can be supported by a new more immersive role within the Scrutiny Team.

17. Continuing that theme, Members and officers agreed that Scrutiny Members can therefore be led to asking for generic information from specialist officers and lose sight of the pertinent questions on the topic. It was suggested that briefings for the committee from an authoritative independent member of the scrutiny team could help fill any gaps in Member expertise prior to the meeting.
18. The Corporate Management Team also expressed their view that there needed to be a structured plan of member development for scrutiny members and that this was a potential area in which further resources could be allocated to enhance the scrutiny function. Members and officers agreed that further support in the form of workshops on specific issues would be of great benefit and would help develop member expertise in their Scrutiny areas.
19. Officers agreed with Members of the Task Group that in the past, Council Motions have been used to compensate for a lack of scrutiny input into Executive decisions and that this was a sign of Scrutiny not functioning effectively. Although, it was equally noted that Party Groups would continue to reserve their right to submit to Council motions of their choice, subject to the procedural rules
20. Finally Officers discussed the art of work planning for Scrutiny committees and highlighted that further ideas needed to be explored on ways in which the planning and development of Committee workloads could challenge the topics most important to York's communities and CYC as an authority.
21. In all three meetings, Members and Officers highlighted the importance of challenging the culture of the organisation with regard to Scrutiny, to see it as a more important and viable option when finding solutions to problems. It was noted that in authorities in which scrutiny works effectively, it is seen as a critical friend and an important part of the decision making process.

Analysis - Progress against Objectives

22. Below are the objectives agreed by CSMC in September 2018 and key points that have been discussed in relation to each issue.
 - a. To address the balance of committee workloads
 - o The size of the Health, Housing and Adult Social Care Scrutiny Committee workload and its effectiveness

- The effectiveness of the trialled new way of working for the Economy and Place Scrutiny and Policy Committees
- b. To evaluate the current functions of Scrutiny Committees, including pre and post decision call-in, overview and the performance management role
 - The role of CSMC in the post-decision call-in process and whether this process would better sit with the Scrutiny committee with which the issues lie.
 - The value and purpose of the current pre-decision call in process and whether this undermines true pre-decision engagement with scrutiny, which as a result may need reviewing.
 - The differing roles of committees, with the understanding that committees have different responsibilities in different areas (e.g evaluating the Council's performance, the Council's management of an external provider or even the performance of the provider itself)
- c. To assess the current level of officer and member engagement and explore ways to improve it
 - The need for Senior Officers, the Executive and members of Scrutiny committees to understand and embrace the purpose of Scrutiny and how this can positively affect decision making and the outcomes of Scrutiny.
- d. To explore ways to establish robust and measurable work planning
 - The link between Committee work planning and the Executive's forward plan and how procedural changes could help improve the effectiveness of Scrutiny
 - The timing of reports to Scrutiny committees and the way in which topics are followed up
- e. To assess the need for member training and on-going development on scrutiny topics
 - The need for issue based briefings and workshops on topics being discussed by Scrutiny and whether more

resources are required within the Scrutiny function to carry out this function.

Options

23. The following options are available to Members:

- a. Members can note the information above and make comments and contributions to the review.
- b. Members can suggest further areas of investigation needed to complete this review.

Recommendations

24. That the Committee:

(i) consider the issues raised in this report, incorporating the views and information gathered to date, and invite the Task Group to formulate a final report, setting out recommendations for the scrutiny function in York and ask that the final report be brought to the March meeting of CSMC for further consideration by the Committee;

(ii) identify any further areas considered appropriate for consideration as part of that report, within the agreed remit

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Report
Approved



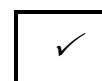
Date 03/01/19

Specialist Implications Officer(s) None

Wards Affected:

For further information please contact the author of the report

All



Customer and Corporate Services Scrutiny Management Committee

Work Plan 2018-19

11 June 2018 @ 5.30pm	<ol style="list-style-type: none"> 1. Attendance of the Executive Leader (Finance and Performance) – Priorities & Challenges for 2018-19 2. Schedule of Petitions 3. Update Report on Ways of Working in Scrutiny and Effectiveness of Scrutiny 4. Six-monthly Review of One Planet York Strategy 5. Overview Report on Corporate Approach to Social Values 6. Draft Annual Scrutiny Report 7. Draft Work Plan 2018-19 including potential scrutiny topic
9 July 2018 @ 5.30pm	<ol style="list-style-type: none"> 1. Update Report on Attendance and Wellbeing Project (Sickness Absence) 2. Implementation Update from Electoral Arrangements Scrutiny Review 3. Update Report on Delivery of ICT Strategy 4. Year End Finance and Performance Monitoring Report 5. Work Plan 2018-19
10 Sept 2018 @ 5.30pm	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. 1st Qtr Finance and Performance Monitoring Report 3. Pre-decision Report on CYC Social Value Policy 4. Annual Review of Complaints 5. Scoping Report on Financial Inclusion 6. Scrutiny Operations and Functions Scrutiny Review Update report 7. Work Plan 2018-19

12 Nov 2018 @ 5.30pm	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. Update Report on Section 106 Agreements 3. Financial Inclusion Scrutiny Review Update Report 4. Annual Scrutiny Budget 5. Work Plan 2018-19
14 Jan 2019 @ 5.30pm	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. 2nd Qtr Finance and Performance Monitoring report 3. Internal Audit Report into CYC Overtime 2017-18. 4. Update Report on Attendance and Wellbeing Project (sickness absence) 5. Update Report from Scrutiny Operations and Functions Review (tbc) 6. Work Plan 2018-19
11 March @ 5.30pm	<ol style="list-style-type: none"> 1. Schedule of Petitions 2. Work Plan 2018-19