



**Notice of meeting of  
Effective Organisation Overview & Scrutiny Committee**

**To:** Councillors Watt (Chair), D'Agorne, Firth, Gunnell,  
Horton, Hyman, Merrett and R Watson

**Date:** Wednesday, 30 September 2009

**Time:** 4.30 pm

**Venue:** The Guildhall

**AGENDA**

**1. Declarations of Interest**

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

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

To approve and sign the minutes of the meeting held on 30 June 2009.

**3. Public Participation**

At this point in the meeting, members of the public who have registered their wish to speak regarding an item on the agenda or an issue within the Committee's remit can do so. The deadline for registering is Tuesday 29 September 2009 at 5pm.

**4. Update Report On Issues Raised At Last Meeting and Response To Previous Referrals Made By This Committee** (Pages 9 - 32)

This report provides Members with update information on issues arising at their last meeting, in June 2009, together with feedback from Scrutiny Management Committee (SMC) on the referrals made at that time by this Committee.

**5. Review of the Executive Forward Plan** (Pages 33 - 50)

This feasibility report details the regulations around use of the Executive Forward Plan, examines how this Council's Executive Forward Plan is currently used and identifies alternative options for its use in order to support the recent changes to the decision making process and the overview and scrutiny function in York.

**6. First Performance and Financial Monitor for 2009/10** (Pages 51 - 72)

This report provides details of the headline performance issues from the first monitor of the Council's performance during 2009/10, covering the period from 1<sup>st</sup> April to 30<sup>th</sup> June 2009, with further up-to-date data where possible.

**7. Urgent Business**

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

Democracy Officer:

Name: Laura Bootland

Contact details:

- Telephone – (01904) 552062
- E-mail – [laura.bootland@york.gov.uk](mailto:laura.bootland@york.gov.uk)

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

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

Contact details are set out above.

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- ensure that what you want to say speak relates to an item of business on the agenda or an issue which the committee has power to consider (speak to the Democracy Officer for advice on this);
- find out about the rules for public speaking from the Democracy Officer.

**A leaflet on public participation is available on the Council's website or from Democratic Services by telephoning York (01904) 551088**

### Further information about what's being discussed at this meeting

All the reports which Members will be considering are available for viewing online on the Council's website. Alternatively, copies of individual reports or the full agenda are available from Democratic Services. Contact the Democracy Officer whose name and contact details are given on the agenda for the meeting. **Please note a small charge may be made for full copies of the agenda requested to cover administration costs.**

### Access Arrangements

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

The majority of councillors are not appointed to the Executive (40 out of 47). Any 3 non-Executive councillors can 'call-in' an item of business from a published Executive (or Executive Member Decision Session) agenda. The Executive will still discuss the 'called in' business on the published date and will set out its views for consideration by a specially convened Scrutiny Management Committee (SMC). That SMC meeting will then make its recommendations to the next scheduled Executive meeting in the following week, where a final decision on the 'called-in' business will be made.

### **Scrutiny Committees**

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

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

### **Who Gets Agenda and Reports for our Meetings?**

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- Public libraries get copies of **all** public agenda/reports.

City of York Council

Committee Minutes

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MEETING	EFFECTIVE ORGANISATION OVERVIEW & SCRUTINY COMMITTEE
DATE	30 JUNE 2009
PRESENT	COUNCILLORS WATT (CHAIR), GUNNELL, HORTON AND MERRETT
APOLOGIES	COUNCILLORS D'AGORNE, FIRTH, HYMAN AND R WATSON

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### 1. **DECLARATIONS OF INTEREST**

At this point in the meeting, Members were asked to declare any personal or prejudicial interests they may have in the business on the agenda. None were declared.

### 2. **PUBLIC PARTICIPATION**

It was reported that there had been no registrations to speak under the Council's Public Participation Scheme, on general issues within the remit of the Committee.

### 3. **NEW ARRANGEMENTS FOR OVERVIEW & SCRUTINY IN YORK**

Members received a report which highlighted the agreed changes to the Overview and Scrutiny function in York, detailing the terms of reference for the new committees and the resources available to support the function.

The following agreed changes came into effect as of Annual Council in May 2009:

- Remove Executive Member and Advisory Panels
- Replace existing Scrutiny Committees with an increased number of alternative Scrutiny Committees.
- Retain the Scrutiny Management Committee
- The formation of five Overview and Scrutiny Committees.

Members commented that the new Scrutiny Committees should aim to examine topics in detail and pull out key issues to look at in depth.

In relation to paragraph 16 bullet point 6 of the Officer's report, Members queried whether a copy of the forward plan should be a key paper for the Committee to be brought to every meeting. Officers advised that the document is lengthy and not suitable to have as a standard item. Members queried whether a summarised version showing which Scrutiny Committee an issue would go to could be produced. Officers agreed to look into this.

Officers pointed out that currently the Forward Plan is showing information for 2 months in advance which would make it difficult for the Committee to identify items for pre-decision scrutiny. Members queried why the Forward Plan was not showing information for 4 months ahead, as is the legal requirement, and asked if this could be a possible Scrutiny Topic to explore how Council departments are using the forward plan.

RESOLVED: That the contents of the report be noted and further information be received at the next meeting, examining the issues surrounding a potential review of the current effectiveness of the Council's Forward Plan.

REASON: To inform Members of the new arrangements for Scrutiny.

#### **4. 'EFFECTIVE ORGANISATION' - A CORE ELEMENT OF THE CORPORATE STRATEGY.**

Members considered a report which presented an update report on the Single Improvement Plan (SIP) for 2009/10, in order to inform them of work currently being undertaken throughout the Council in support of the eighth theme of the Corporate Strategy, that of being an Effective Organisation.

Following a review of corporate governance, further areas were identified for possible inclusion in a refreshed version of the SIP. As a result the Corporate Management Team (CMT) received an interim report in April 2009 to inform decisions regarding the 2008/09 SIP workstreams which should continue to the 2009/10 year. Overall nine areas were identified as proposed workstreams.

As there is a SIP behind Effective Organisation, the report had been brought to the Committee to inform Members of the work currently being undertaken. Officers advised that Members may choose to identify a topic for review based on and in support of one of the workstreams.

Members expressed concern at paragraph 11 of the covering report which stated that Audit and Governance Committee had already agreed to look at some of the workstreams. In response to this Officers confirmed they would advise the Committee accordingly in order to prevent duplication.

RESOLVED: That Members:

- (i) note the information contained within the Single Improvement Plan Refresh Report.
- (ii) Will continue to monitor the work being carried out and requested a report be brought to the next meeting.

REASON: To inform Members on the Single Improvement Plan.

## 5. YEAR-END PERFORMANCE AND FINANCIAL REPORT FOR 2008/09.

Members received a report which provided details of how the Council had performed in 2008/09, covering the period April 2008 to March 2009.

Officers outlined the report and highlighted the following:

### Financial

- A net underspend of £1.478k was projected in 2008/09.
- Due to external pressures City Strategy and Children's Services had overspends.
- A net sum of £1.817k had been received from HM Revenue and Customs (HMRC) for cultural exemption VAT on museums admissions paid between January 1990 to July 2002 and had been added to the general reserve.
- The balance on revenue reserves on 31 March 2009 stood at £8,745k, which looks satisfactory but by 2013 it is anticipated the general fund reserve will be under what is deemed reasonable.

### Performance - Corporate Overview

- Not all 200 Indicators have been compared as some are not reportable.
- Pricewaterhouse Cooper Benchmarking Site used to check how well York has done in comparison to other authorities.
- Corporate Health Indicator is something which would fall under the remit of this Committee
- Health and Safety improved for 2008/09, but further improvement is expected.
- Equalities is an area which is not performing well and data is being sought to find out why.

Members considered the report and identified the following areas for further investigation:

- The underlying budget issues in Children's Services and Housing and Adult Social Services (HASS), the underachievement of income for Newgate Market and the issues surrounding graffiti and litter are to be referred to the Scrutiny Management Committee to decide which are the appropriate Scrutiny Committees to look at these issues in more detail.
- Corporate Health – staff sickness rates and corporate health and safety and the lack of corporate data for Equalities and Human Resources – Councillor Gunnell to register a scrutiny topic.
- ITT – Scrutiny Officer, Councillor Gunnell and the Assistant Director of Resources (Transformation and Efficiency) to meet to discuss how best to consider project slippage and underspends within ITT.
- Project management – some key projects appeared not to have been fully delivered after agreed implementation, including the University Pool. Councillor Merrett to register a suitable scrutiny topic. Additionally on key projects, Members then asked Officers to look into a Council Motion regarding provision of a city centre swimming pool, which they recalled having been agreed previously by Council.

- Reserves – Use of reserves report to be brought to the November meeting. Scrutiny Officer to liaise with Kevin Best.
- Members requested a briefing on the More for York Programme.

RESOLVED: That the performance and financial issues identified in the report be noted and the issues identified above for consideration be agreed.<sup>1</sup>

REASON: To assist in producing the work plan for the Effective Organisation Overview Scrutiny Committee.

Action Required

1. Investigate the issues identified at the meeting on 30 June, with Officers/Members. MC

**6. CORPORATE STRATEGY - RELEVANT KEY PERFORMANCE INDICATORS & ACTIONS.**

Members received a report that presented the Corporate Strategy key performance indicators and actions relevant to the remit of the Committee.

As part of the restructure of the overview and scrutiny function in York it was agreed that the new standing Overview and Scrutiny Committees would be responsible for:

- Monitoring progress on the council priorities relevant to each committees terms of reference
- Identifying aspects of the Council's operation and delivery services that are perhaps not on target that may be suitable for an efficiency review
- Supporting the achievement of the relevant 'Local Area Agreement' priority targets.

Officers advised Members that the report was brought before them to ensure they have a complete set of information at the outset.

RESOLVED: That Members note the contents of the report.

REASON: To inform the work of this Committee.

**7. EFFECTIVE ORGANISATION OVERVIEW & SCRUTINY COMMITTEE WORK PLAN 2009-10.**

Members considered the work plan for the Effective Organisation Overview and Scrutiny Committee for 2009-10.

Members agreed that the following work areas be added to the work plan:

- Forward Plan – Corporate use of the forward plan throughout the Council – September 2009.



- HR and Equalities – Councillor Gunnell to register a scrutiny topic to focus on the lack of corporate data and on issues related to the corporate health of the organisation.
- Resources Directorate and relevant other directorates – Councillor Merrett to register a scrutiny topic examining the management and delivery of key projects.
- Reserves – Report to be brought to the meeting on 24 November.
- More for York - programme briefing.
- ITT – Officers and Councillor Gunnell to discuss how best to consider issues.

RESOLVED: That the work areas detailed above be added to the work plan of this Committee.

REASON: To assist in the planning of work for this Committee.

Councillor Watt, Chair

[The meeting started at 5.00 pm and finished at 6.30 pm].

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## **Effective Organisation Overview & Scrutiny Committee**

**30 September 2009**

Report of the Democratic Services Manager

### **Update Report On Issues Raised At Last Meeting & Response To Previous Referrals Made By This Committee**

#### **Summary**

1. This report provides Members with update information on issues arising at their last meeting in June 2009 and provides feedback from SMC on the referrals made at that time by this Committee.

#### **Background**

2. At the first meeting of this Committee in June 2009, Members received a number of reports, some of which raised issues requiring clarification i.e. the update report on the Single Improvement Plan (SIP) for 2009/10, the Year-end Performance & Financial Monitoring Report for 2008/09 and the Corporate Strategy – Relevant Key Performance Indicators & Actions Report.
3. Members requested that the scrutiny officer seek clarification on which of the workstreams identified within the SIP report are to be looked at by the Audit & Governance Committee, in order to prevent any duplication of that work by this committee.
4. In considering the year-end monitoring report, the Committee identified a number of possible topics suitable for scrutiny review and agreed that specific members would submit these topics to the scrutiny officer to enable work to commence on the associated feasibility reports.
5. The Committee also referred a number of issues identified within the year-end monitoring report to Scrutiny Management Committee (SMC), in order to seek clarification on which were the appropriate Overview & Scrutiny Committees to look at the issues in more detail i.e. the underlying budget issues in Children's Services and Housing and Adult Social Services (HASS), the underachievement of income for Newgate Market and the issues surrounding graffiti and litter. This Committee requested feedback on their referrals at this meeting in order that any relevant additions to and/or changes required to their annual workplan could be made.

6. In regard to the list of performance indicators shown at Annex A to the Corporate Strategy – Relevant Key Performance Indicators & Actions report, The intention of providing a definitive list of performance indicators relevant to each of the new Overview & Scrutiny Committees terms of reference was to give each Committee a fuller understanding of the areas potentially covered by their remit. Members recognised that those shown as relevant to this Committee, were incorrect.

## **Consultation**

7. Report on Single Improvement Plan Refresh 2009/10  
The Assistant Director of Customer Service & Governance has clarified that the Audit & Governance Committee will not be looking at the following workstreams identified within the SIP Refresh 2009/10 report dated 26 May 2009:
  - Member Training
  - Internal Communications
  - Risk Management
8. Extracts from the SIP Refresh 2009/10 report detailing the above workstreams is shown at Annex A.
9. In regard to those workstreams being monitored by the Audit & Governance Committee, an update report was presented to the Executive on 21 July 2009, containing detailed actions plans for these, and the Audit & Governance Committee will be receiving an update report on progress made, in December 2009.
10. Year-end Performance & Financial Monitoring Report  
At their meeting on 27 July 2009, SMC noted that the information within the complete year-end monitoring report originally considered by this committee, had subsequently been separated into smaller reports for the other overview & scrutiny committee. SMC therefore recognised that the issues referred to them had already be presented for consideration to the relevant O & S committees. SMC acknowledged that it was up to each of those committees to decide for themselves whether they wished to proceed to a scrutiny review of any of the issues identified within the reports. For clarity however, SMC identified that:
  - the budget pressures in Children’s Services and HASS should have been a matter of consideration for the Learning and Culture Overview and Scrutiny Committee and the Health Overview & Scrutiny Committee respectively;
  - the underachievement of income for Newgate Market should have been a matter of consideration for the Economic and City Development Overview & Scrutiny Committee;
  - the concerns regarding graffiti and litter should have been a matter of consideration for the Community Safety Overview & Scrutiny Committee.
11. SMC agreed that the issue of graffiti and litter would be suitable for scrutiny review, and therefore requested that it be referred back to them if the Community Safety O&S Committee decided not to request a feasibility report on the topic. At the first meeting of the Community Safety O&S committee, it was agreed not to

make any decisions about possible topics for review until their next meeting on 22 September, in order to allow themselves sufficient time to absorb all of the information presented at their first meeting. The issue of graffiti and litter will be raised by the scrutiny officer responsible for Community Safety O&S Committee when that Committee considers additions to their annual workplan at their next meeting.

12. Corporate Strategy – Relevant Key Performance Indicators & Actions Report  
Currently, information on performance indicators is being provided on an exception basis as part of the quarterly monitoring reports. Work is ongoing to establish whether a corporate approach to providing update reports to the Overview & Scrutiny Committees on all national performance indicators is required.
13. Annual Workplan  
For information, a copy of this Committee's annual workplan is shown at Annex B and an extract from the current Executive Forward Plan (showing all the entries relevant to the remit of this committee), is shown at Annex C.

### **Options**

14. In regard to the workstreams identified with the SIP report, the Committee may choose to carry out one or more scrutiny reviews based on any of those workstreams which are not going to be looked at by Audit & Governance (as identified in paragraph 7 above), and timetable those reviews into their annual workplan - see Annex C.
15. In regard to the issues previously referred to SMC by this Committee, Members may choose to accept the advice of SMC in regard to which O&S committee remit they best fit and therefore agree not to pursue them further.

### **Corporate Strategy**

15. Each of the new overview & scrutiny committees is based on a individual theme of the Local Area Agreement in line with the recently revised Corporate Strategy. It is important that each committee works within its own remit, therefore SMC has been given responsibility for correctly allocating any topic which has the potential to fit more than one committee's remit. The remit for this committee is to make recommendations which will result in improvements in the council's effectiveness, its ability to be modern with high standards and values, and to be a great place to work.

### **Implications**

16. There are no known Financial, Human Resources, Equalities, Legal, Crime and Disorder, IT, Property or other implications associated with the recommendations in this report

### **Risk Management**

17. There are no known risks associated with the recommendations in the update report.

### Recommendations

18. Members are asked to note the information in this report and take it into consideration when agreeing any changes to the Committee's workplan.

Reason: To ensure a robust and relevant workplan is agreed for this municipal year.

### Contact Details

**Author:**

Melanie Carr  
Scrutiny Officer  
Scrutiny Services  
Tel No.01904 552063

**Chief Officer Responsible for the report:**

Dawn Steel  
Democratic Services Manager

**Report Approved**



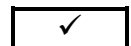
**Date**

17 September 2009

**Specialist Implications Officer(s)** N/A

**Wards Affected:**

All



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

### Background Papers:

Executive Report on Single Improvement Plan Refresh dated 26 May 2009  
Year-end Performance & Financial Report for 2008/09 dated 30 June 2009  
Corporate Strategy – Relevant Key Performance Indicators & Actions Report dated 30 June 2009

### Annexes

**Annex A** - Updated information on those SIP workstreams not being considered by Audit & Governance Committee

**Annex B** - Annual Workplan

**Annex C** - Extract from current Executive Forward Plan

## Single Improvement Plan Workstreams Available For Scrutiny Review

### **Member Training**

Identified in the 2008/09 SIP, work is continuing on the foundations laid last year. Members have agreed to sign up to the IDeA Charter for member development, and a working group is to decide the components of next year's training courses for members.

Key areas for action include developing a Member Development Policy, agreeing the annual training programme and agreeing the implementation plan for achieving charter status.

Lead Officers: Chief Executive / Head of Civic, Democratic & Legal Services

### **Internal Communications**

This workstream was identified in the staff survey as being an area for further work, but underpins many of the issues identified in the review of corporate governance. In addition, only 39% of staff believe action will be taken on problems identified through the staff survey, so there will be further communication work required to explain what action has resulted from the staff survey, both corporately and through individual directorate management teams.

Areas to be covered will include a fundamental review of the council's internal communication arrangements. Primary focus will be on face to face channels of communication, e.g. systematic team briefings, as well as a review of electronic and paper communications including the implementation of the new intranet (COLIN).

Lead Officers: Director of Learning, Culture & Children's Services / Head of Marketing & Communications/ Head of HR & Organisational Development

### **Risk Management**

This workstream was requested for inclusion by Executive at their meeting on 21<sup>st</sup> October 2008 after considering the Corporate Risk Management Report 2008/09. The minute states 'That the Director of Resources be requested to ensure that the work of the Risk Management system is worked into the Single Improvement Programme as a prioritisation of officer resources'.

Areas for further work include a fundamental review of the strategic risk register in line with the new corporate strategy, and the integration of risk reporting into the new performance management framework.

Lead Officers: Director of Resources / Assistant Director of Resources, Customer Service & Governance

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## Effective Organisation Overview & Scrutiny Committee Work Plan 2009-10

Meeting Date	Work Programme
30 June 2009	<ol style="list-style-type: none"> <li>1. Report on Overview &amp; Scrutiny Committees - Terms of Reference</li> <li>2. Information Report on Improvement Plan 2009/10</li> <li>3. 2008/09 Year End Outturn Report</li> <li>4. Corporate Strategy – Key Performance Indicators &amp; Actions for 2009/10 – Understanding the corporate priorities relevant to the Committee’s ‘terms of reference’ in order to establish a baseline for making proposals for changes to the Corporate Priorities in 2010/11</li> </ol>
<b>30 September 2009</b>	<ol style="list-style-type: none"> <li><b>1. First Quarter Monitoring Report</b></li> <li><b>2. Feasibility Report for possible review of ‘The Executive Forward Plan’</b></li> <li><b>3. Update Report presenting feedback on referrals previously made to SMC</b></li> <li>4. <i>Two Further Feasibility Reports (subject to expected topic registration forms being submitted on HR and Project Management – not received)</i></li> </ol>
<b>24 November 2009</b>	<ol style="list-style-type: none"> <li><b>1. Second Quarter Monitoring Report</b></li> <li><b>2. Report on ‘Reserves’</b></li> </ol>
<b>12 January 2010</b>	<ol style="list-style-type: none"> <li><b>1. Budget Consultation</b></li> <li><b>2. Audit Commission Report on Use of Resources</b></li> </ol>
<b>23 February 2010</b>	<ol style="list-style-type: none"> <li><b>1. Third Quarter Monitoring Report</b></li> <li><b>2. Annual Report from relevant Local Strategic Partners</b></li> </ol>

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FORWARD PLAN ITEM	
<b>Meeting:</b>	Executive
<b>Meeting Date:</b>	22/09/09
<b>Keyword:</b>	
<b>Item Type:</b>	Executive Decision - of 'Normal' Importance
<b>Title of Report:</b>	Results of Place Survey
<b>Description:</b>	Purpose of report: To update members with outcomes from the Place Survey.
<b>Wards Affected:</b>	Members are asked to Note the results. All Wards;
<b>Report Writer:</b>	Matt Beer
<b>Lead Member:</b>	Leader
<b>Lead Director:</b>	Chief Executive
<b>Contact Details:</b>	Matt Beer, Head of Marketing & Communications, Chief Executives
	matt.beer@york.gov.uk
<b>Deadline for Report:</b>	10/09/09
<b>Implications</b>	
<b>Level of Risk:</b>	01-03 Acceptable
<b>Reason Key:</b>	
<b>Making Representations:</b>	
<b>Process:</b>	N/A
<b>Consultees:</b>	All residents
<b>Background Documents:</b>	Committee Report for Results of Place Survey
<b>Call-In</b>	
If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 28/09/09	
<b><u>Internal Clearance Process</u></b>	
<u>Pre-Decision</u>	
By Chief Officers at	CMT on: 09/09/09
By Political Group Leaders on:	
By Strategic Policy Panel (if required) on:	
<u>Post-Decision</u>	
By Strategic Policy Panel (if Required) on:	

FORWARD PLAN ITEM	
<b>Meeting:</b>	Executive
<b>Meeting Date:</b>	22/09/09
<b>Keyword:</b>	Budget;
<b>Item Type:</b>	Executive Decision - of 'Normal' Importance
<b>Title of Report:</b>	Administrative Accommodation Project Financial Update
<b>Description:</b>	<p>Purpose of report: To inform Members of some of the specific financial implications of the administrative accommodation project</p> <p>Members are asked to: Approve the accounting implications of the abortive costs associated with the administrative accommodation project, following the decision not to develop the site at Hungate (b) the current funding position of the project and (c) removal of the "land assembly Hungate" costs from the £43.8m administrative accommodation project budget.</p>
<b>Wards Affected:</b>	
<b>Report Writer:</b>	Louise Branford-White
<b>Deadline for Report:</b>	16/08/09
<b>Lead Member:</b>	Councillor Richard Moore
<b>Lead Director:</b>	Director of Resources
<b>Contact Details:</b>	Louise Branford-White
	louise.branford-white@york.gov.uk
<b>Implications</b>	Financial
<b>Level of Risk:</b>	09-15 Constant monitoring required
<b>Reason Key:</b>	
<b>Making Representations:</b>	n/a
<b>Process:</b>	n/a
<b>Consultees:</b>	n/a
<b>Background Documents:</b>	Committee Report for Administrative Accommodation Project Financial Update
<b>Call-In</b>	
If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 28/09/09	
<b><u>Internal Clearance Process</u></b>	
<b><u>Pre-Decision</u></b>	
By Chief Officers at	CMT on: 09/09/09
By Political Group Leaders on:	
By Strategic Policy Panel (if required) on:	

**Call-In****Internal Clearance Process****Pre-Decision**

By Chief Officers at CMT

on: 09/09/09

By Political Group Leaders on:

By Strategic Policy Panel (if required) on:

## FORWARD PLAN ITEM

**Meeting:** Executive

**Meeting Date:** 22/09/09

**Keyword:** Executive Decision - a 'Key Issue' - decision leading to savings or expenditure of £500,000 or above;

**Item Type:** Executive Decision - a 'Key Issue' - decision leading to savings or expenditure of £500,000 or above

**Title of Report:** HR/Payroll System Replacement for Delphi

**Description:** Purpose of report: As part of the HR Transformation Project, the report provides an update on the procurement of a HR/Payroll IT System replacement. The report updates Members on the business case for a new system, the whole life costs against budget and a proposed implementation timetable.

Members are asked to: approve the recommendation by the procurement evaluation team for a preferred system supplier.

**Wards Affected:**

**Report Writer:** Angela Wilkinson

**Deadline for Report:** 10/09/09

**Lead Member:** Councillor Richard Moore

**Lead Director:** Director of Resources

**Contact Details:** Angela Wilkinson

angela.wilkinson@york.gov.uk

**Implications** Financial

**Level of Risk:**

**Reason Key:** A decision which is likely to result in the Council incurring expenditure, or making savings which are significant having regard to the Council's budget for the service or function to which the decision relates. The savings or expenditure are significant if they are equal to or greater than £500,000 or equal to or greater than £100,000 where the savings or expenditure exceeds 10% of the budget for the service plan area whichever is the less. Expenditure in excess of these levels will not constitute a key decision if such expenditure is made

as part of the implementation of a decision which itself was a key decision e.g. the award of a contract.

**Making Representations:** n/a

**Process:** n/a

**Consultees:** HR Management Team  
More for York Board

**Background Documents:** Committee Report for HR/Payroll System Replacement for Delphi

**Call-In**

If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 28/09/09

**Internal Clearance Process**

Pre-Decision

By Chief Officers at QCG (No meeting - Circulation Deadline only) on: 03/09/09

By Political Group Leaders on:

By Strategic Policy Panel (if required) on:

Post-Decision

By Strategic Policy Panel (if Required) on:

FORWARD PLAN ITEM	
<b>Meeting:</b>	Executive
<b>Meeting Date:</b>	22/09/09
<b>Keyword:</b>	Service Monitoring;
<b>Item Type:</b>	Executive Decision - of 'Normal' Importance
<b>Title of Report:</b>	First Corporate Performance & Finance Monitor
<b>Description:</b>	<p>Purpose of report: The report provides members with an update on service and financial performance for the council, cover the first monitor period of 2009/10.</p> <p>Three areas of performance are covered in this report: 1) Budget – service and corporate budgets 2) Performance indicators – NPIs. 3) Key projects and priorities – progress against the council's corporate priorities and the key projects that support their improvement.</p> <p>Members are asked to: note the report and make decisions on a number of actions to address the existing overspend.</p>
<b>Wards Affected:</b>	
<b>Report Writer:</b>	Janet Lornie, Peter Lowe
<b>Deadline for Report:</b>	10/09/09
<b>Lead Member:</b>	Councillor Richard Moore
<b>Lead Director:</b>	Director of Resources
<b>Contact Details:</b>	Janet Lornie, Peter Lowe
	janet.lornie@york.gov.uk, peter.lowe@york.gov.uk
<b>Implications</b>	Financial
<b>Level of Risk:</b>	04-08 Regular monitoring required
<b>Reason Key:</b>	
<b>Making Representations:</b>	N/A
<b>Process:</b>	N/A
<b>Consultees:</b>	N/A
<b>Background Documents:</b>	Committee Report for First Corporate Performance & Finance Monitor
<b>Call-In</b>	
	If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 28/09/09
<b><u>Internal Clearance Process</u></b>	
<b><u>Pre-Decision</u></b>	
<b>By Chief Officers at</b>	CMT on: 09/09/09
<b>By Political Group Leaders on:</b>	

FORWARD PLAN ITEM	
<b>Meeting:</b>	Executive
<b>Meeting Date:</b>	06/10/09
<b>Item Type:</b>	Executive Decision - of 'Normal' Importance
<b>Title of Report:</b>	Review of Financial Regulations
<b>Description:</b>	<p>Purpose of report: To present the revised Financial Regulations to Members for approval.</p> <p>Members are asked to: Approve the revised Financial Regulations at the next the full council.</p>
<b>Wards Affected:</b>	
<b>Report Writer:</b>	David Walker
<b>Lead Member:</b>	Councillor Richard Moore
<b>Lead Director:</b>	Director of Resources
<b>Contact Details:</b>	David Walker
	david.walker@york.gov.uk
<b>Deadline for Report:</b>	24/09/09
<b>Implications</b>	
<b>Level of Risk:</b>	04-08 Regular monitoring required
<b>Reason Key:</b>	
<b>Making Representations:</b>	N/A
<b>Process:</b>	N/A
<b>Consultees:</b>	N/A
<b>Background Documents:</b>	Committee Report for Review of Financial Regulations
<b>Call-In</b>	
If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 12/10/09	
<b><u>Internal Clearance Process</u></b>	
<u>Pre-Decision</u>	
By Chief Officers at	CMT on: 09/09/09
By Political Group Leaders on:	
By Strategic Policy Panel (if required) on:	
<u>Post-Decision</u>	
By Strategic Policy Panel (if Required) on:	

**Call-In****Internal Clearance Process**Pre-DecisionPost-Decision



FORWARD PLAN ITEM	
<b>Meeting:</b>	Leader
<b>Meeting Date:</b>	06/10/09
<b>Item Type:</b>	Executive Member Decision - of 'Normal' importance
<b>Title of Report:</b>	Core Grants to Voluntary Organisations (City Strategy) 2010/2011
<b>Description:</b>	<p>Purpose of report: This report advises Members of the process for the allocation of the City Strategy 'core grant's to voluntary sector organisations for the 2010/2011 financial year.</p> <p>Members are asked to: Consider officer recommendations for re-allocation of City Strategy Core Grant funding to the current grant holders for one further financial year i.e.g From march 2010 to April 2011.</p>
<b>Wards Affected:</b>	
<b>Report Writer:</b>	Adam Gray
<b>Lead Member:</b>	Councillor Andrew Waller
<b>Lead Director:</b>	Director of City Strategy
<b>Contact Details:</b>	Adam Gray, Senior Partnership Support Officer (VCS)
	adam.gray@york.gov.uk
<b>Deadline for Report:</b>	22/09/09
<b>Implications</b>	
<b>Level of Risk:</b>	
<b>Reason Key:</b>	
<b>Making Representations:</b>	N/A
<b>Process:</b>	N/A
<b>Consultees:</b>	N/A
<b>Background Documents:</b>	Committee Report for Core Grants to Voluntary Organisations (City Strategy) 2010/2011
<b>Call-In</b>	
If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 12/10/09	
<b><u>Internal Clearance Process</u></b>	
<u>Pre-Decision</u>	
By Chief Officers at	on:
By Political Group Leaders on:	
By Strategic Policy Panel (if required) on:	
<u>Post-Decision</u>	
By Strategic Policy Panel (if Required) on:	

**FORWARD PLAN ITEM**

**Meeting:** Executive

**Meeting Date:** 20/10/09

**Keyword:**

**Item Type:** Executive Decision - of 'Normal' Importance

**Title of Report:** More for York - Progress report

**Description:** Purpose of report: To present to Members a review of progress made on the More for York efficiency programme, particularly detailed business cases on some of the 10 work streams with decisions on some of the proposed actions to be taken.

Members are asked to: Approve the actions that are proposed in the report.

**Wards Affected:**

**Report Writer:** Tracey Carter      **Deadline for Report:** 08/10/09

**Lead Member:** Councillor Richard Moore

**Lead Director:** Director of Resources

**Contact Details:** Tracey Carter

tracey.carter@york.gov.uk

**Implications**

**Level of Risk:** 09-15 Constant      **Reason Key:**  
monitoring required

**Making Representations:** N/A

**Process:** N/A

**Consultees:** N/A

**Background Documents:** Committee Report for More for York - Progress report

**Call-In**

If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 26/10/09

**Internal Clearance Process**

**Pre-Decision**

By Chief Officers at CMT      on: 07/10/09

By Political Group Leaders on:

By Strategic Policy Panel (if required) on:

**Post-Decision**

By Strategic Policy Panel (if Required) on:

**FORWARD PLAN ITEM****Meeting:** Executive**Meeting Date:** 20/10/09**Keyword:****Item Type:** Executive Decision - of 'Normal' Importance**Title of Report:** Corporate Asset Management Update Report**Description:** Purpose of report: To advise on progress with the Corporate Asset Management Plan against each of the original property outputs.

Members are asked to: Approve the recommendations made in the report.

**Wards Affected:****Report Writer:** Philip Callow, Tim Bradley **Deadline for Report:** 08/10/09**Lead Member:** Councillor Andrew Waller**Lead Director:** Director of City Strategy**Contact Details:** Philip Callow, Tim Bradley

philip.callow@york.gov.uk,

**Implications****Level of Risk:** 04-08 Regular monitoring required **Reason Key:****Making Representations:** NA**Process:** N/A**Consultees:** N/A**Background Documents:** Committee Report for Corporate Asset Management Update Report**Call-In**

If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 26/10/09

**Internal Clearance Process****Pre-Decision**

By Chief Officers at CMT on: 07/10/09

By Political Group Leaders on:

By Strategic Policy Panel (if required) on:

**Post-Decision**

By Strategic Policy Panel (if Required) on:

## FORWARD PLAN ITEM

**Meeting:** Executive

**Meeting Date:** 03/11/09

**Keyword:** Budget;

**Item Type:** Executive Decision - of 'Normal' Importance

**Title of Report:** Review of the Council's Reserves

**Description:** Purpose of report: To present to Members a comprehensive review of both earmarked and general reserves held by the Council, including the purpose for which they were established.

This report has been deferred from the Executive Meeting of 6th October due to considering the strategy of reserves usage more in line with the budget and More 4 York processes.

Members are asked to: Reconfirm their holding and purpose.

**Wards Affected:**

**Report Writer:** Janet Lornie

**Deadline for Report:** 22/10/09

**Lead Member:** Councillor Richard Moore

**Lead Director:** Director of Resources

**Contact Details:** Janet Lornie

janet.lornie@york.gov.uk

**Implications** Financial

**Level of Risk:** 04-08 Regular monitoring required

**Reason Key:**

**Making Representations:** N/A

**Process:** N/A

**Consultees:** N/A

**Background Documents:** Committee Report for Review of the Council's Reserves

**Call-In**

If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 09/11/09

**Internal Clearance Process**

**Pre-Decision**

By Chief Officers at CMT

on: 21/10/09

By Political Group Leaders on:

By Strategic Policy Panel (if required) on:

FORWARD PLAN ITEM	
<b>Meeting:</b>	Executive
<b>Meeting Date:</b>	17/11/09
<b>Keyword:</b>	
<b>Item Type:</b>	Executive Decision - of 'Normal' Importance
<b>Title of Report:</b>	Contract Procedure Rules
<b>Description:</b>	<p>Purpose of report: As requested by Members the Contract Procedure Rules have been updated and amended.</p> <p>Members are asked to: Approve the Contract Procedure Rules at the next the full council.</p>
<b>Wards Affected:</b>	
<b>Report Writer:</b>	David Walker
<b>Lead Member:</b>	Councillor Richard Moore
<b>Lead Director:</b>	Director of Resources
<b>Contact Details:</b>	David Walker
	david.walker@york.gov.uk
<b>Deadline for Report:</b>	05/11/09
<b>Implications</b>	
<b>Level of Risk:</b>	04-08 Regular monitoring required
<b>Reason Key:</b>	
<b>Making Representations:</b>	N/A
<b>Process:</b>	This report has been deferred from the Executive Meeting of 06/10/2009 in order to reflect the outcomes of current MoreforYork work in blueprinting the procurement workstream,
<b>Consultees:</b>	N/A
<b>Background Documents:</b>	Committee Report for Contract Procedure Rules
<b>Call-In</b>	
If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 23/11/09	
<b><u>Internal Clearance Process</u></b>	
<b><u>Pre-Decision</u></b>	
By Chief Officers at	CMT on: 09/09/09
By Political Group Leaders on:	
By Strategic Policy Panel (if required) on:	
<b><u>Post-Decision</u></b>	
By Strategic Policy Panel (if Required) on:	

FORWARD PLAN ITEM	
<b>Meeting:</b>	Executive
<b>Meeting Date:</b>	17/11/09
<b>Item Type:</b>	Executive Decision - of 'Normal' Importance
<b>Title of Report:</b>	Debt Policy
<b>Description:</b>	<p>Purpose of report: The report will present the councils debt policy for approval.</p> <p>Members are asked to: Approve the councils dept policy at the next full council.</p>
<b>Wards Affected:</b>	
<b>Report Writer:</b>	David Walker
<b>Lead Member:</b>	Councillor Richard Moore
<b>Lead Director:</b>	Director of Resources
<b>Contact Details:</b>	David Walker
	david.walker@york.gov.uk
<b>Deadline for Report:</b>	05/11/09
<b>Level of Risk:</b>	04-08 Regular monitoring required
<b>Reason Key:</b>	
<b>Making Representations:</b>	N/A
<b>Process:</b>	Deferred from the Executive meeting of 06/10/2009 to reflect the outcomes of the currenet MoreforYork work in blueprinting the income workshream.
<b>Consultees:</b>	N/A
<b>Background Documents:</b>	Committee Report for Debt Policy
<b>Call-In</b>	
	If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 23/11/09
<b><u>Internal Clearance Process</u></b>	
<b><u>Pre-Decision</u></b>	
By Chief Officers at	CMT on: 23/09/09
By Political Group Leaders on:	
By Strategic Policy Panel (if required) on:	
<b><u>Post-Decision</u></b>	
By Strategic Policy Panel (if Required) on:	

**Call-In****Internal Clearance Process****Pre-Decision****Post-Decision**

FORWARD PLAN ITEM	
<b>Meeting:</b>	Executive
<b>Meeting Date:</b>	17/11/09
<b>Keyword:</b>	Budget;
<b>Item Type:</b>	Executive Decision - of 'Normal' Importance
<b>Title of Report:</b>	Treasury Management Monitor 2
<b>Description:</b>	Purpose of report: To update Members on the performance of the treasury management function.  Members are asked to: Approve the content of the report.
<b>Wards Affected:</b>	
<b>Report Writer:</b>	Ross Brown, Louise Branford-White
<b>Lead Member:</b>	Councillor Richard Moore
<b>Lead Director:</b>	Director of Resources
<b>Contact Details:</b>	Ross Brown, Louise Branford-White  ross.brown@york.gov.uk, louise.branford-white@york.gov.uk
<b>Implications</b>	Financial
<b>Level of Risk:</b>	04-08 Regular monitoring required
<b>Reason Key:</b>	
<b>Making Representations:</b>	N/A
<b>Process:</b>	N/A
<b>Consultees:</b>	N/A
<b>Background Documents:</b>	Committee Report for Treasury Management Monitor 2
<b>Call-In</b>	
If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 23/11/09	
<b><u>Internal Clearance Process</u></b>	
<u>Pre-Decision</u>	
By Chief Officers at CMT	on: 04/11/09
By Political Group Leaders on:	
By Strategic Policy Panel (if required) on:	
<u>Post-Decision</u>	
By Strategic Policy Panel (if Required) on:	

**Call-In****Internal Clearance Process**Pre-DecisionPost-Decision

FORWARD PLAN ITEM	
<b>Meeting:</b>	Executive
<b>Meeting Date:</b>	17/11/09
<b>Keyword:</b>	Service Monitoring; Budget;
<b>Item Type:</b>	Executive Decision - of 'Normal' Importance
<b>Title of Report:</b>	Performance & Finance Monitor 2
<b>Description:</b>	<p>Purpose of report: Provision of the latest forecast of the council's financial and performance position.</p> <p>Members are asked to: to agree proposed amendments to plans, mitigation for identified issues and financial adjustments (such as allocations from contingency and virements) which are reserved to the Executive.</p>
<b>Wards Affected:</b>	
<b>Report Writer:</b>	Peter Lowe, Janet Lornie
<b>Deadline for Report:</b>	23/10/09
<b>Lead Member:</b>	Councillor Richard Moore
<b>Lead Director:</b>	Director of Resources
<b>Contact Details:</b>	Peter Lowe, Janet Lornie
	peter.lowe@york.gov.uk, janet.lornie@york.gov.uk
<b>Implications</b>	Financial
<b>Level of Risk:</b>	04-08 Regular monitoring required
<b>Reason Key:</b>	
<b>Making Representations:</b>	N/A
<b>Process:</b>	N/A
<b>Consultees:</b>	N/A
<b>Background Documents:</b>	Committee Report for Performance & Finance Monitor 2
<b>Call-In</b>	
If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 23/11/09	
<b><u>Internal Clearance Process</u></b>	
<b><u>Pre-Decision</u></b>	
By Chief Officers at	CMT on: 04/11/09
By Political Group Leaders on:	
By Strategic Policy Panel (if required) on:	

**Call-In****Internal Clearance Process****Pre-Decision**

By Chief Officers at CMT

on: 04/11/09

By Political Group Leaders on:

By Strategic Policy Panel (if required) on:



FORWARD PLAN ITEM	
<b>Meeting:</b>	Executive
<b>Meeting Date:</b>	17/11/09
<b>Keyword:</b>	Budget;
<b>Item Type:</b>	Executive Decision - of 'Normal' Importance
<b>Title of Report:</b>	Capital Programme Monitor 2
<b>Description:</b>	<p>Purpose of report: Provision of the latest forecast of the council's financial and performance position.</p> <p>Members are asked to: to agree proposed amendments to the capital programme and financial adjustments which are reserved to the Executive.</p>
<b>Wards Affected:</b>	
<b>Report Writer:</b>	Louise Branford- White, Ross Brown
<b>Deadline for Report:</b>	23/10/09
<b>Lead Member:</b>	Councillor Richard Moore
<b>Lead Director:</b>	Director of Resources
<b>Contact Details:</b>	Louise Branford-White, Ross Brown
	louise.branford-white@york.gov.uk, ross.brown@york.gov.uk
<b>Implications</b>	Financial
<b>Level of Risk:</b>	04-08 Regular monitoring required
<b>Reason Key:</b>	
<b>Making Representations:</b>	N/A
<b>Process:</b>	N/A
<b>Consultees:</b>	N/A
<b>Background Documents:</b>	Committee Report for Capital Programme Monitor 2
<b>Call-In</b>	
	If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 23/11/09
<b><u>Internal Clearance Process</u></b>	
<b><u>Pre-Decision</u></b>	
By Chief Officers at	CMT on: 04/11/09
By Political Group Leaders on:	
By Strategic Policy Panel (if required) on:	
<b><u>Post-Decision</u></b>	
By Strategic Policy Panel (if Required) on:	

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## Effective Organisation Overview & Scrutiny Committee

30 September 2009

### Review of the Executive Forward Plan

#### Summary

1. This report details the regulations around use of the Executive Forward Plan, examines how this Council's Executive Forward Plan is currently used and whether it enables and supports the pre-decision scrutiny of forthcoming decisions. The report also identifies alternative options for its use in order to support the recent changes to the decision making process and the overview and scrutiny function in York.

#### Criteria

2. The decision to consider this possible review was taken at the last meeting of this Committee in June 2009 and as a result, no topic registration form was completed for this. However the Scrutiny Officer has identified that the proposed topic fits with the following eligibility criteria:
  - It is in keeping with the Corporate Strategy - the correct and most effective use of the Executive Forward Plan will support and enable an effective decision making process, which in turn will enable the Council to be an 'Effective Organisation'
  - Significant Public Interest – The Executive Forward Plan is published on the Council's website in order to give members of the public access to and information on forthcoming Executive and Executive Member decisions so they can participate in the decision making process. This is a legislative requirement, and therefore the most effective use of the Forward Plan is crucial.

#### Executive Forward Plan Regulations

3. The principal aims of Executive arrangements are to make decision making more efficient, transparent and accountable so that local authorities can be more open and responsive to the needs and aspirations of the communities they serve. Central to Executive arrangements there will need to be effective access for the public to decision making and decision makers. The key characteristics of effective access which local authorities should follow are:
  - it is publicly known who is responsible for decisions;
  - it is publicly known what decisions they are planning to take;

- people know how they can make an input to those decisions and at what point in the process they can best influence them;
  - people have access to information about decisions;
  - people know what decisions have been taken and the reasons for them; and
  - significant decisions should not be a surprise to those whom they affect.
4. Key decisions which have significant effects within the community or on interests outside the local authority will need to be identified and properly consulted on. Such key decisions may be delegated to various bodies within the local authority, including officers but, no matter who is taking the decision, the same principles should apply.
5. Principles of Accountable Decision-Making  
All decisions of a local authority (whether they are the responsibility of the Executive or not), need to be made in accordance with the following principles:
- proportionality (i.e. the action should be proportionate to the desired outcome);
  - decisions should be taken on the basis of due consultation and professional advice from officers;
  - respect for human rights;
  - a presumption in favour of openness; and clarity of aims and desired outcomes.
6. Advance Notification of Decisions of the Executive  
The Executive is responsible for delivering the local authority's policy framework either through taking decisions individually or collectively in respect of functions which are the responsibility of the Executive or through delegation of decisions to officers, particularly for day-to-day operational and management decisions, and to area committees etc.
7. Wide participation is essential to an effective local authority. Local authorities need to ensure that people know what decisions are planned and how they can influence those decisions. In addition, the Executive needs to ensure that any decisions it takes are consistent with the agreed policy framework and take into account the needs and aspirations of the local community.
8. Executive Forward Plan  
To underpin these principles of greater accountability and transparency, regulation 13 of the Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 requires the Executive to set out its programme of work in the coming four months, as far as it is known, in a 'Forward Plan'. Regulation 12 requires an annual statement to be published by the proper officer of the local authority giving notice of when Forward Plans will be published for the coming year, explaining what a Forward Plan is and how it can be obtained from the local authority.
9. The Regulations require the Forward Plan to be made publicly available and in particular a local authority Executive should ensure that it is made available to the relevant overview and scrutiny committee at least two weeks in advance of the

commencement of the period covered.

10. The Forward Plan, should be updated each month on a rolling basis, and will, in accordance with regulation 14 of the Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 set out:
  - a short description of matters under consideration and when key decisions are expected to be taken;
  - who is responsible for taking the decisions and how they can be contacted;
  - what relevant reports and background papers are available; and
  - how and when the decision maker intends to involve local stakeholders in the decision making process.
11. The timing of the publication of the plan should have regard to the cycle of meetings of overview and scrutiny committees and electoral cycles (the forward plan should not bind an incoming new administration although it would be useful to make clear what issues will be in the "in-tray" of any incoming executive).
12. The Forward Plan cannot be an exhaustive list of all decisions but it should give an indication of those key decisions which it is known the Executive will need to consider in the coming period, as well as relevant key decisions which will be delegated by the Executive to officers or to devolved structures.
13. Key Decisions  
Regulation 8 of the Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 sets out the definition of decisions which must be included in the Forward Plan i.e. **only key decisions**. The definition is a two-stage test.
14. **Stage 1** - Any decision in relation to an executive function which results in the local authority incurring expenditure which is, or the making of savings which are, significant having regard to the local authority's budget for the service or function to which the decision relates, is a key decision.
15. It will be for the potential decision-maker to decide, in any one case, whether a decision to be taken is likely to involve significant expenditure. In order to assist potential decision-makers within a local authority reach consistent and demonstrative objective judgements and to ensure the public are clear about what is regarded as significant locally, the local authority should agree as a Full Council the limits above which items are significant and those agreed limits should be published. . In York the limits have been set at 10% of the budget for a particular area or £500,000. Any decision involving expenditure or saving above the limits set would be a key decision.
16. **Stage 2** - The second test for a key decision focuses on those decisions which are not likely to involve significant expenditure or savings but which nevertheless are likely to be significant in terms of their effects on communities. The Regulations require that a decision which is likely to have a significant impact on two or more wards or electoral divisions is a key decision. Nevertheless, local authorities should, unless it is impracticable to do so, specify that they will treat as if they were

key any decisions which are likely to have a significant impact on communities in one ward or electoral division. For example, a council should regard as key a decision to close a school or carry out roadworks (such as introducing or altering traffic calming measures) in a neighbourhood, notwithstanding the thresholds of financial significance and that there may be an impact in only one ward.

17. Where a decision is only likely to have a significant impact on a very small number of people in one ward or electoral division the decision maker should ensure that those people are nevertheless informed of the forthcoming decision in sufficient time for them to exercise their rights to see the relevant papers and make an input into the decision making process.
18. It is recognised that not all key decisions need to be, or indeed will be capable of being, identified four months in advance of the decision being taken. Some decisions (such as the adoption of certain plans or strategies in the policy framework) will be able to be identified that far in advance and therefore should be on the forward plan for some time, whereas others will not be known until a few weeks before the decision is due to be taken. The forward plan will inevitably include more decisions which will be taken within, say, one month than it will decisions to be taken in, say, three or four months and can therefore be viewed as a planning tool for managing the work programme of the Executive.
19. Local authorities should make widespread use of electronic media in disseminating a forward plan. Where a local authority has a website, the forward plan should be accessible on that website, together with relevant papers. Local authorities should also consider the opportunities to ensure that communities have advance notification of decisions which, whilst they may not be of significance across the local authority as a whole, will be of particular relevance to a particular locality within that local authority. The use of electronic media should assist in that respect. In particular, local authorities should consider ways of allowing local people to comment electronically on issues raised by the forward plan although they will also need to ensure that local people without access to the Internet are equally able to comment effectively to the local authority.
20. Where key decisions need to be taken and timing means it is unfeasible to include them on the Forward Plan, regulation 15 of the Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 allows that, in such cases, the person or body to whom, the decision has been delegated will be able to make the decision even though it was not notified on the Forward Plan. However, at least five clear days notice of the decision needs to be given to the relevant Overview and Scrutiny Committee(s) and the public before it is formally taken.
21. Urgency Procedures  
In very rare circumstances it may be necessary for a decision to be taken with less than five clear days' notice. In such cases, regulation 16 of the Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 states that the decision maker will need to obtain agreement from the chair of a relevant overview and scrutiny committee (and in her or his absence the chairman of the local authority or in her or his absence the vice-chairman of the local

authority) that the decision could reasonably be regarded as urgent in the circumstances. If the relevant person does not agree that the decision may reasonably be regarded as urgent in the circumstances then the decision cannot be taken without five days' notice for publication of the relevant papers. Under regulation 20, the Executive Leader, elected Mayor (in mayor and cabinet constitutions) or council manager (in mayor and council manager constitutions) will need to report quarterly to full council on how often the urgency procedure has been used together with the reasons for the decision and why the matter was urgent.

22. Under regulation 19 of the Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 if a particular decision was not included on the forward plan or was not dealt with in accordance with the provisions of regulations 15 or 16 (i.e. has not been regarded as a key decision) but an overview and scrutiny committee comes to the view that it should have been, that overview and scrutiny committee will be able to require the Executive to make a report to the local authority on the decision and the reason why it was not regarded as a key decision.

### Current Use of the Executive Forward Plan in York

23. Population & Publication

- Currently, York's Forward Plan lists both forthcoming 'Key' and non-key decisions to be made by either the Executive as a whole or an individual Executive Member – this is over and above the requirement of Regulation 8 of the Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 (see paragraph 13 above)
- Each Directorate has an identified Forward Plan Contact responsible for submitting items onto the Executive Forward Plan
- Items are submitted via the electronic Committee Management System (CMS) – the system is designed to enable all report authors to submit their own items onto the Forward Plan as these are the people who have all the relevant information at hand, and is therefore the quickest and most efficient method. When the CMS was introduced in York, a decision was taken not to use the system as it was designed to be used, but rather to retain the use of a supervisor role within each Directorate, in the form of a Forward Plan Contact, responsible for making all submissions for their Directorate. This decision was based on the historic method for populating the Forward Plan i.e. each Directorate had an officer who liaised with Democratic Services regarding new entries for the Forward Plan and supervised the submission of an AF1 form containing the relevant information to Democratic Services.
- Each entry made by the Forward Plan Contact is checked by the Forward Plan Administrator in Democratic Services before being transferred into the current draft Forward Plan.

- The Forward Plan is published as a draft two days before the official publication dates. The draft is visible on the intranet to Officers and Members only.
- The Forward Plan Contacts are informed by email that the draft has been published and are expected to check that all their entries are visible and that the information contained therein is correct.
- The Forward Plan Contacts can make changes to their entries if necessary but the Administrator must accept these changes to the draft in order for the changes to take effect. This includes changes to the meeting dates - when a decision is deferred to a later meeting date the Forward Plan Contact must provide a valid reason for the deferral.
- the Forward Plan is ready for publication once all the required changes have been made
- The Plan is published twice a month on 14<sup>th</sup> and 28<sup>th</sup> of each month or on the last working day before these dates (e.g. where the 14<sup>th</sup> or 28<sup>th</sup> fall on a weekend or Bank Holiday)
- An example of the type of information required within a Forward Plan entry is shown at Annex A

24. Internal Clearance Process for Reports Linked to Forward Plan Entries

The nature of the decision required, informs the decision on who will review the draft report prior to its publication as part of an agenda. In order to keep the report writer informed, each Forward Plan entry identifies the route that the report will take through the internal clearance process.

25. In regard to Executive reports, the Corporate Management Team may choose to look at draft reports, dependant on the subject matter or strategic importance of the outcome expected from the decision. These reports are identified by the Director / Assistant Directors in each Directorate, at the time that the item is added to the Forward Plan. All other Executive reports and Executive Member reports are considered by the Quality Control Group who check that the reports are in line with the Report Writing Protocol, and that they contain all the required information i.e. the implications associated with approving or not approving the recommendations and the associated risks to the Council.

26. Members Engagement with Forthcoming Executive Decisions

Following the local election in May 2007, a decision was taken to change the way in which political groups engaged with forthcoming Executive business prior to a decision being made. At fortnightly meetings of Group Leaders, new entries on the Forward Plan were considered together with the drafts of the reports due to appear on the next Executive agenda. These meetings were held fortnightly in part to coincide with the fortnightly cycle of Executive meetings.

27. This created a problem in that at that time the Forward Plan was only published once a month (on 14<sup>th</sup> of the month) in line with the legislative requirement, often



resulting in a delay in the Group Leaders seeing new entries. A decision was therefore taken to publish the plan fortnightly in order to provide a more up to date and current view of the new decisions required. The date of the relevant Group Leaders meeting was shown against each Forward Plan entry in order to keep the report writer informed.

28. Since the Group Leaders no longer meet fortnightly there is no longer an organisational requirement to have the Forward Plan published twice a month.

29. Advantages to Monthly Publication

- Less labour intensive than fortnightly publication i.e. better use of resources
- More time for consultation on reports or for pre-decision scrutiny to take place before a decision is required
- Less time consuming for members of the public, officers and Members to check the published forward plan once a month
- Better supports the correct use of the Forward Plan in line with the regulations e.g. officers will be less inclined to add an item 4 months in advance of the decision being required, if they can add it 2 weeks before and still get the decision made

30. Advantages to Fortnightly Publication

- New entries can be made closer to a required decision date enabling speedier decision making
- Less business added under urgency provisions due to frequency of publication

31. Effect of Recent Changes to Executive Member Decision Making Process on Executive Forward Plan

The removal of 'Information Only' reports and quarterly finance & performance monitoring reports from Executive Member agenda has, as expected, resulted in a 50% reduction to date in the number of entries appearing on the Executive Forward Plan. The number of entries per publication is shown at Annex B.

## Consultation

32. Directors and Forward Plan Contacts were asked for their views in regard to their use of the Forward Plan and their feedback is shown in Annex C.

## Analysis

33. It is clear from some of the feedback, that officers within Directorates feel very disconnected from the forward plan process and do not fully understand their role in the decision making process. If responsibility for submitting forward plan entries was passed to report authors (in line with the correct use of the CMS) it would require them to better understand the decision making process of the Council and help them to take ownership of that process. This would require a degree of training for report authors which could be extended to include further training on the use of the report writing database which is also part of the CMS. This would result in a more corporate approach to decision making and report writing rather

than the number of different methods currently in use within the individual Directorates.

34. Having looked at the use of the Executive Forward Plan at a number of other Councils, it has not been possible to identify another Council that includes 'non-key' decisions on their Forward Plan. If a decision were taken to stop including them here in York, the issue around length of time items appear on the Forward Plan before a decision is required would be alleviated, but would require some other mechanism for Scrutiny Members to identify items suitable for pre-decision scrutiny based on ongoing work within directorates requiring a decision in the future.
35. To support this alternative method of working, the CMS facility could be used to provide each Directorate with their own individual Annual Forward Plan / Annual Work Plan. This could be populated and published by a responsible officer within each directorate and made available on the intranet only, for officers and Members to view. This facility would support the Overview & Scrutiny Committees in their understanding of the ongoing work within directorates relevant to their individual terms of reference, long before an item appears on the Executive Forward Plan, thus enabling the O & S Committees to identify possible topics for review and opportunities for pre-decision scrutiny. This would alleviate the issues around items appearing on the Executive Forward Plan only a short number of weeks before the decision is required which is currently a barrier to pre-decision scrutiny.

### Options

36. Having considered the information contained within this report, Members may choose:
  - i. To carry out a scrutiny review of the effective use of the Executive Forward Plan
  - ii. To request further information before deciding whether or not to carry out the review
  - iii. Not to carry out the review on the basis that Democratic Services had already planned to carry out an operational review of the use of the Executive Forward Plan

### Conduct of Review

37. Should a decision be taken to carry out a review of 'the Use of the Executive Forward Plan', it is suggested that the review include consultation with CMT and other senior officers within Directorates, and consideration of alternative working methods at other Councils carrying out successful pre-decision scrutiny.
38. It is recognised that any review of this topic could be completed within a limited timescale over 3/4 meetings which would have a limited impact on CYC resources in regard to staff time and costs incurred.

## Implications

39. There are no known Financial, Human Resources, Legal, Equalities, Property, Crime & Disorder, ITT or Other implications associated with the recommendation in this report.

## Risk Management

40. There are no known risks associated with the recommendation in this report. However, if a decision is taken not to proceed with a review of this topic, there is a risk that the content of the Executive Forward Plan will continue to fall short of 'standards' set out in legislation and remain unresponsive to the organisation's needs. In any event, Democratic Services had planned to undertake an operational review of the Forward Plan, so given the current issues identified in this report, if Members choose not to proceed with this review, an officer led review will still need to take place.

## Recommendation

41. Having considered the information contained within this report, Members are recommended to proceed with the review based on the overall aim and objectives suggested in Annex D.

## Contact Details

**Author:**

Melanie Carr  
Scrutiny Officer  
Scrutiny Services  
Tel No.01904 552063

**Chief Officer Responsible for the report:**

Dawn Steel  
Democratic Services Manager

**Feasibility Approved**



**Date**

17 September 2009

## Specialist Implications Officer(s)

**Wards Affected:**

All



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

**Background Papers:** None

## Annexes:

- Annex A** – Example of Forward Plan Entry
- Annex B** – Evidence on Falling Number of Forward Plan Entries
- Annex C** – Consultation Feedback
- Annex D** – Suggested Remit for Review

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## FORWARD PLAN ITEM

<b>Meeting:</b>	Executive		
<b>Meeting Date:</b>	23/10/07	<b>Keyword:</b>	
<b>Item Type:</b>	Executive Decision - of 'Normal' Importance		
<b>Title of Report:</b>	Energy & Water Management - Policy & Practice		
<b>Description:</b>	<p>Purpose of the Report: As a response to the Climate Change Agenda, Members will be informed on best practice. All CYC staff will be affected and it is also intended to heighten public perception of this issue through the Council's website.</p> <p>Members are being asked to: Approve a draft policy which will generate an Action Plan to prioritise energy and water management issues for CYC over the next 4 years.</p>		
<b>Wards Affected:</b>	All Wards		
<b>Report Writer:</b>	Neil Hindhaugh	<b>Deadline for Report:</b>	11/10/07
<b>Lead Member:</b>	Councillor Ceredig Jamieson-Ball		
<b>Lead Director:</b>	Director of Resources		
<b>Contact Details:</b>	Neil Hindhaugh neil.hindhaugh@york.gov.uk		
<b>Implications:</b>			
<b>Level of Risk:</b>		<b>Reason Key:</b>	
<b>Making Representations:</b>	N/A		
<b>Process:</b>	N/A		
<b>Consultees:</b>	N/A		
<b>Background Documents:</b>	Energy & Water Management - Policy & Practice		
<b><u>Call-In</u></b>			
	If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 29/10/07		

Internal Clearance ProcessPre-Decision

By Chief Officers at QCG on: 09/10/07

By Political Group Leaders on: 12/10/07

By Strategic Policy Panel (if required) on: 22/10/07

Post-Decision

By Strategic Policy Panel (if Required) on: 29/10/07

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## Forward Plan – Number of Entries

Forward Plan Period	Nov	Dec	Jan	Feb	March	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan
15 Sept 2009 – 14 Jan 2010											<b>10</b>	<b>20</b>	<b>8</b>	<b>1</b>	<b>0</b>
29 Aug 2009 – 28 Dec 2009										<b>0</b>	<b>31</b>	<b>4</b>	<b>7</b>	<b>1</b>	
15 Aug 2009 – 14 Dec 2009										<b>0</b>	<b>28</b>	<b>4</b>	<b>5</b>	<b>1</b>	
29 July 2009 – 28 Nov 2009									<b>0</b>	<b>0</b>	<b>20</b>	<b>4</b>	<b>1</b>		
15 July 2009 – 14 Nov 2009									<b>15</b>	<b>0</b>	<b>7</b>	<b>1</b>	<b>1</b>		
29 June 2009 – 28 Oct 2009								<b>0</b>	<b>27</b>	<b>0</b>	<b>5</b>	<b>1</b>			
15 June 2009 – 14 Oct 2009								<b>6</b>	<b>21</b>	<b>5</b>	<b>1</b>				
29 May 2009 – 28 Sept 2009							<b>0</b>	<b>18</b>	<b>7</b>	<b>0</b>	<b>1</b>				
15 May 2009 – 14 Sept 2009							<b>4</b>	<b>14</b>	<b>5</b>	<b>0</b>	<b>1</b>				
29 April 2009 – 28 Aug 2009						<b>0</b>	<b>6</b>	<b>1</b>	<b>4</b>	<b>1</b>					
15 April 2009 – 28 Aug 2009						<b>8</b>	<b>3</b>	<b>1</b>	<b>4</b>	<b>0</b>					
28 March 2009 – 28 July 2009					<b>5</b>	<b>13</b>	<b>3</b>	<b>1</b>	<b>2</b>						
15 March 2009 – 14 July 2009					<b>47</b>	<b>7</b>	<b>1</b>	<b>0</b>	<b>0</b>						
1 March 2009 – 28 June 2009					<b>63</b>	<b>4</b>	<b>1</b>	<b>0</b>							
15 Feb 2009 – 14 June 2009				<b>6</b>	<b>62</b>	<b>4</b>	<b>0</b>	<b>0</b>							
29 Jan 2009 – 28 May 2009			<b>0</b>	<b>23</b>	<b>30</b>	<b>2</b>	<b>0</b>								
15 Jan 2009 – 14 May 2009			<b>41</b>	<b>22</b>	<b>25</b>	<b>2</b>	<b>0</b>								
29 Dec 2008 – 28 April 2009		<b>0</b>	<b>41</b>	<b>17</b>	<b>23</b>	<b>2</b>									
15 Dec 2008 – 14 April 2009		<b>5</b>	<b>33</b>	<b>14</b>	<b>18</b>	<b>0</b>									
29 Nov 2008 – 28 March 2009	<b>0</b>	<b>55</b>	<b>19</b>	<b>11</b>	<b>10</b>										
15 Nov 2008 – 14 March 2009	<b>3</b>	<b>53</b>	<b>12</b>	<b>5</b>	<b>8</b>										

Figures shown in **BOLD** represent those Forward Plans that did not include 'information Only' items

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## **Consultation Feedback From Directors & Forward Plan Contacts**

### Director of Resources

I am not entirely clear as to why this has been selected as a topic for review, or what such a review could achieve. However, clearly the FP is an important document and if it can be improved that is welcomed.

The reality is that there will always be many decisions that are added late - and I think expectations need making clear at beginning of such a review that you will never actually get the amount of decisions that are added late down to merely the exception. Very often the late decisions are also the most sensitive/significant.

We also need to make clear that there are often very valid reasons why things are either added late, or are deferred - given some recent reports that were deferred seemed to attract more interest than would otherwise have been anticipated.

### Forward Plan Contact For Neighbourhood Services

In an ideal world it would seem sensible that the report writer submit their own entry on to the draft FP as they have all the necessary information at hand. As the FP Contact, there is no problem using the system once the correct information is received from the officers. In order to do this in a consistent way I've produced a form for them to use.

It is virtually impossible for Neighbourhood Services to put reports on the FP up to 4 months in advance - much of what we submit is reactive and reports are produced as and when required. I'm usually more or less to the very latest deadline when submitting reports, although this may change once when the new Director arrives.

The main reason our reports are pulled or deferred is because the required information is not available to us in time to include in the report or the situation requiring the report has changed in the meantime. It is also useful to have the FP published every two weeks as it acts as a reminder. Shocking I know, but the FP is not at the forefront of my mind on an average working week.

### Director of Learning, Culture & Children's Services

Submitting entries 4 months in advance is not practical as it doesn't reflect the day to day nature of the world we operate in.

### Director of Housing & Adult Social Services

Submitting entries 4 months in advance is fine in principle as some issues can be anticipated as regular items, but around 2 months is more realistic and would presumably reduce the number of changes needed as timescales slip/situations change etc. Even so, there will always be some issues that cannot be anticipated and crop up at short notice.

In regard to the frequency of publishing the FP, fortnightly seems much too frequent and I would have thought that monthly would be sufficient. It also seems to be overly complicated and a time-consuming process to amend entries. I can't say precisely

how many times we do need to change an item (less since EMAPs ceased), but I think this process should be made simpler.

Response from Service Manager (a regular report author)

System -

I tried to use the system when it first came on stream. I recall you coming to our DMT meeting. Unfortunately I couldn't understand it. I'm not the best with IT anyway, so very quickly gave up - and haven't returned. I just didn't have the time or motivation to use it.

(I assume) most users will only need to place items onto whatever FP (Exec, EMDS) very infrequently. Therefore its not like you are likely to start to learn the system by becoming familiar with it through continual use.

You might tell me that the system is now working - if so I'd welcome having another go at it - but to be honest its a lot easier for me as a user to send stuff to Kate as I know she will get whatever I need onto the system.

FP -

You guys clearly see the FP as important - its your bread and butter. But in reality I never give it a moment's thought (and I suspect I'm not alone). I'm too busy just getting on with the day to day work trying to keep head above water to worry about something as high level as the FP. When I'm planning some work I will have a think about when I will need a decision taken - and at that point I'll maybe think about the FP. But for most of the time its not relevant.

4 Months Warning -

Blimey. Not sure who came up with the 'statutory regulations' but I suspect they don't work here.

We can probably get together a programme of very boring stuff that needs to be done regularly - say Performance reports, or decisions needed by the Assistant Director to keep his policies up to date - and these could be placed on the FP a long time in advance. But anything beyond that and it seems to me that 4 months is hopelessly optimistic - projects just don't come together as you'd want and things crop up that need decisions.

If there wasn't any flak if something was deferred then might not be a problem - but given the political nature of the stuff we do I'd be very cautious about over promising - I'd rather not place something into the public arena until I'm sure I can deliver it. Then if I can't deliver I'm not going to get into political hot water.

## **Review of the Use of the Executive Forward Plan**

### **Suggested Remit**

To review the effectiveness of the Executive Forward Plan and its role in providing public information to the public and supporting the decision making process

### **Key Objectives**

- i. To understand how the Forward Plan currently operates
- ii. To ensure the Forward Plan works effectively within legislative requirements
- iii. To recommend appropriate changes to Forward Plan working practices, to deliver an agreed corporate approach

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## Effective Organisation Overview & Scrutiny Committee

30 September 2009

### Report of the Director of Resources

### First Performance and Financial Monitor for 2009/10

#### Purpose

- 1 This report provides details of the headline performance issues from the first performance monitor of 2009/10 covering the period from 1<sup>st</sup> April to 30<sup>th</sup> June 2009, with further up-to-date data where possible. Three areas of performance are covered in this report:
  1. *Finance* – which covers service and corporate budgets.
  2. *Performance* – which examines how well the council is performing across a wide range of performance indicators, at both corporate and directorate level.
  3. *Key projects and priorities* – providing an update on progress against the council's corporate priorities and the key projects that support their improvement.

#### Summary

- The forecasted overspend on departmental activity is £2.1m with a further £0.6m on central budgets, offset by the assumption that there will be no further releases from the contingency fund resulting in a net projection overspend of £2.3m, with this position only possible following the identification of in year savings totalling £1.8m.
- Should this level of spend continue, the potential call on revenue reserves would take the Council below its minimum acceptable reserves threshold and will have implications on next year's Council Tax levels both to contain the expenditure and also to re-build the reserve levels.
- Whilst significant actions have already been taken within individual directorates to reduce costs, it is recognised that further action will be necessary to bring expenditure in line with the budget.
- National Performance Indicators (NPIs) – 54% of NPIs (with data available) are improving, with 56% on track to hit their 09/10 target. 60% of the LAA indicators (with data available) are improving and 64% are on track to hit their 09/10 target. Areas of poor performance will be reviewed and benchmarked for improvement, action will be taken where appropriate. Any areas of poor performance which relate to corporate or community priorities may also be reviewed by scrutiny, the council's 5 themed committees.
- Corporate Strategy – 6 of the 54 milestone actions have now been completed and a over three quarters are on track to hit their agreed deadline. Slippage has been reported for 9 of the actions. Action is being taken to ensure these items are addressed within the year.

## Finance - Overview

- 2 The General Fund budget for 2009/10 is £117,705k, with utilisation of balances and reserves reducing the call on Council Tax to £113,565k. The current projection is that there will be a gross overspend of £4,457k, with corrective in year action taken by Directorates reducing this to a net overspend figure of £2,340k.

## General Fund

- 3 The following table summarises current approved budgets and forecasts for areas falling under the remit of the Executive. It shows that service areas are currently projecting a net overspend of £2,142k, with central budgets and the contingency an overspend of £198k, combining overall for a total net overspend on the General Fund of £2,340k.

Variance 2008/09  £000		Currently Approved Budget			Projected Out-turn  £000	Variance Out-turn to Net Budget  £000
		Gross Exp.  £000	Income  £000	Net Budget  £000		
	<b>Service Area</b>					
+759	Children & Young People's Services	74,608	(44,868)	29,740	31,045	+1,305
-28	Leisure and Culture	13,158	(4,248)	8,910	8,981	+71
-2	Economic Development	5,990	(3,273)	2,717	2,717	-
+277	City Strategy	23,578	(18,214)	5,364	5,527	+163
+77	Property	9,379	(9,035)	344	639	+295
-244	Neighbourhood Services	68,159	(37,462)	30,697	31,017	+320
-27	Chief Executive's Department	3,200	(983)	2,217	2,248	+31
-634	Resources	70,368	(63,959)	6,409	6,177	-232
-19	Housing General Fund	11,305	(9,898)	1,407	1,407	-
+33	Adult Social Services	62,155	(23,478)	38,677	39,266	+589
-	Credit Crunch Budget Not Allocated	400	-	400	-	-400
<b>+192</b>	<b>Total of Service Areas</b>	<b>342,300</b>	<b>(215,418)</b>	<b>126,882</b>	<b>129,024</b>	<b>+2,142</b>
	<b>Centrally Held Budgets</b>					
-	Notional Interest	(15,029)	-	(15,029)	(15,029)	-
-	Contribution from Cap Fin Acct	-	(7,946)	(7,946)	(7,946)	-
-363	Other Central Budgets	4,882	-	4,882	4,910	+28
-1,099	Treasury Management	11,178	(2,621)	8,557	9,086	+529
-208	General Contingency	359	-	359	-	-359
<b>-1,478</b>	<b>General Fund Total</b>	<b>343,690</b>	<b>(225,985)</b>	<b>117,705</b>	<b>120,045</b>	<b>+2,340</b>

- 4 The reasons for the projected overspend are summarised in the table overleaf. One key reason is the current economic climate with a number of service areas experiencing significant shortfalls in income. These total £978k in service areas and include major reductions in expected parking income and planning fees. The budget for 2009/10 included £400k against this eventuality and this is included in the main table above. In addition the movement on Treasury Management activity, from producing an underspend in 2008/09 to an overspend projection is largely due to reduced interest rates and market uncertainty.

<u>Type of Pressure</u>	Total (£000's)	
Economic Climate:		
Interest Rates/Market Uncertainty	529	
Planning Fees	500	
Parking Income	200	
Building Control	125	
Yorwaste Dividend Shortfall	130	
Other Net Income Shortfalls	23	1,507
Increased Children's Social Care Demand:		
Looked After Children	950	950
Increased Adult Social Care Demand:		
Elderly People	419	
Physical Disabilities	405	
Learning Disabilities	384	
Mental Health	83	1,291
Standard/On-going Budget Pressures	709	<u>709</u>
		4,457

- 5 Whilst the economic climate may be seen as a one off occurrence, other reasons for the current overspend represent serious on-going budget pressures and future budget rounds will require services to identify actions that will fully address them. In particular, the increased demand for social care across the city contributes £2,241k towards the projected overspend. In children's social care, the number of Looked After Children has increased by 28% since March 2008 which has resulted in a significant increase in associated costs, which have in part been mitigated by the Council's investment in foster care, and thereby reducing the proportion of children in more expensive residential placements. Likewise in adult social care, demand for community care packages has increased by 25% and care placements by 22% which again has seen a marked increase in associated costs. These issues as well as other on going budget pressures are outlined in more depth by service portfolio later in this report.
- 6 There are further potential future cost pressures that are not included in the projected figures, most significantly those associated with the implications of equal pay and in particular the cost of appeals following the recent implementation of the pay and grading review. The figures included in the table assume that the cost of appeals can be met by a lower pay award settlement than included in the budget. If the combined cost of the pay award and appeals is higher than the budget available then there will be a further pressure on the Council's budget. Preliminary indicative costings are that the costs can be contained in 2009/10, but that there will be additional cost pressures in future years.
- 7 In light of these increased spending pressures, Departmental Management Teams have been working hard to identify in-year savings to mitigate the Council's overall overspend position. As a result, departments have found £1,758k of projected in year savings, which, together with the removal of the remaining contingency budget, reduces the overall overspend from £4,457k to the reported position of £2,340k. A table summarising the broad areas of the savings is shown below.

<u>Type of Saving</u>	Total (£000's)
Staffing/Vacancy Freezes	471
Cash Limiting Budgets	421
Reorganisation of Service Provision	866
	<u>1,758</u>

- 8 As well as these savings, Departmental Management Teams are continuing to review opportunities to bring the projected overspend back in line with the budget. This will include delaying expenditure where possible, further opportunities for the control of staffing costs (e.g. vacancies) and other options to improve the overall efficiency of services. This will be regularly monitored by Corporate Management Team (CMT), and in discussion with Executive Members, with a view to reaching a balanced budget position. Looking ahead to 2010/11, it is important that some of the ongoing budgetary pressures are addressed as part of the financial strategy. As a result, this is likely to result in the requirement for further savings, and thereby highlighting the need for the fundamental transformation of services across the Council, through the More4York programme.

#### Children & Young People's Services

- 9 Children & Young People's Services is currently forecasting a net overspend of £1,639k, reduced to £1,305k following corrective action, which is made up of several significant cost pressures across the service. There are numerous overspends across the statutory children's social care budgets totalling a net £1,012k (9.1% of the total CSC budget). The vast majority of this is due to the continuing increase in the Looked After Children (LAC) population, up from 166 at March 2008 to 199 at March 2009 and 213 at 30 June 2009, an increase of 28% with no accompanying increase in the budget. The directorate has managed to contain the financial increase at a much lower level than the percentage increase in LAC by, in part, continuing the expansion of the local fostering programme and thereby reducing the proportion of LAC placed in more expensive out of city placements.
- 10 Home to School Transport budgets are projecting an overspend of £411k due to increased SEN taxi costs, more LAC (as above) and more appeals granted by Members.
- 11 There are unbudgeted net additional costs, estimated at £322k in 2009/10, across all LCCS services following the implementation of the new pay and grading system for APT&C staff. This is almost entirely due to a significant number of staff now being entitled to additional allowance payments for contracted shift, evening and weekend working which were all contained within basic pay under the previous pay system.
- 12 Other projected overspends elsewhere across the directorate include shortfalls in fee income in Adult Education (£90k) and the Music Service (£75k), and Youth Service activity that has continued to be undertaken even though the external funding supporting it has now ceased (£39k). This is offset by an underspend of £340k due to the staffing structures supporting the new Integrated Children's Centres not yet being fully recruited to.
- 13 The department has taken action to reduce its overspend position by finding in-year savings of £334k, including gaining approval from the Schools Forum to fund extra SEN transport costs from the Schools Budget (£100k), staffing savings (£81k), reprioritisation of grant funding (£54k) and targeted increases in income from traded services (£28k).

#### Leisure and Culture

- 14 There is currently a net £180k overspend projected in Leisure and Culture which has been reduced to £71k following the identification of in-year savings. The Library



Service is currently experiencing an expected £80k shortfall in income. Sport & Active Leisure are predicting an £85k overspend linked in part to shortfalls in income at Edmund Wilson Swimming Pool and increased energy costs (not usage) at Yearsley Swimming Pool. This is offset by in year savings of £109k including vacancy management measures (£54k) and reduced repairs and maintenance work in the city's parks and open spaces (£28k).

#### Economic Development

- 15 Current forecasts are that Economic Development will out-turn on budget. This is following a fundamental review of markets and city centre area budgets which has resulted in a lower, more achievable income target for Newgate Market, with higher income budgets elsewhere.

#### City Strategy

- 16 The current projection is that City Strategy (excluding Property Services) will have a gross overspend of £413k reduced to £163k after corrective action has taken place. The overspend is mainly due to a number of services experiencing income shortfalls linked to the economic downturn. City Development and Transport is forecasting a shortfall in Parking income of £200k and the additional cost of £112k in issuing concessionary fares tokens. This is offset by a forecasted in-year reduction in concessionary fares costs of £125k resulting from the Concessionary Fare Partnership seeking to reduce the Council's rate used to reimburse bus operators.
- 17 In Planning, there are significant projected shortfalls in income linked to a reduction in fees received from major planning applications (£500k) and building control fees (£125k). However a potential additional receipt of the Housing & Planning Delivery Grant of £440k is expected to offset this.
- 18 There is a further shortfall in income due to a lower than budgeted anticipated dividend from Yorwaste (£130k) due to reduced tonnages.
- 19 The department have identified actions to reduce its overspend by £250k comprising vacancy management measures (£100k) and cash limiting budgets and deferring project expenditure across the department (£150k).

#### Property

- 20 Property Services is projecting an overspend of £295k which is mainly due to an assumed loss in the Commercial portfolio linked to not receiving wayleave income at Harewood Whin (£170k) and costs associated with maintaining surplus assets such as the Manor and Lowfields schools (£50k).

#### Neighbourhood Services

- 21 The latest projection for Neighbourhood Services is a net overspend of £320k, after identification of in-year savings of £200k. Of this, Waste Services is projecting an overspend of £375k comprising Landfill Tax costs (£200k), a shortfall in Commercial Waste income linked to the current economic climate (£100k) and the funding of additional security at Towthorpe Household Waste Recycling Centre (£75k). Other areas contributing to the overspend include costs associated to losing the Elvington Airfield noise abatement case (£68k) and reduced income from parking penalty charge notices (£46k). This is offset by a projected £200k in year saving linked to extending transport leases.

Chief Executive's Department

- 22 The residual Chief Executive's department is forecasting an overspend of £31k. This is primarily attributable to a £38k shortfall in income from the Print Unit and the sponsorship of boundary signs.

Resources

- 23 Resources are projecting that they are on track for a small net underspend of £32k, but are taking further action to alleviate the corporate overspend position by offering in year vacancy management savings of £100k and £100k of other savings, resulting in the net reported underspend of £232k.
- 24 Further opportunities, including the potential for delaying some IT projects, are being considered with a view to increasing the overall underspend in the directorate.

Housing General Fund

- 25 Based on current estimates, it is expected that the Housing General Fund service will out-turn on budget. An overspend of £61k on repairs and utility costs at travellers sites is offset against an underspend at Howe Hill Hostel linked to higher occupancy rates (£38k) and other minor variations (£23k).

Adult Social Services

- 26 After identifying £665k of in-year savings to address cost pressures in the year it is currently projected that Adult Social Services will overspend by £589k. Contributing to this overspend is an increase in the number of customers supported at home (£622k), an increased Direct Payment take up (£586k) and increases in the number of Mental Health residential and nursing placements (£83k). This is offset by underspends at Elderly Persons' Homes, due in part to overachievement of income (£278k), and corrective in year action by the directorate of £665k designed to reduce the gross overspend position. This is comprised of the redirection of grants (£389k), reduction in training expenditure (£150k) and vacancy management controls (£126k).
- 27 The long term commissioning strategy which was reported to Members in 2008 predicted increases in demand for adult social care services at about 10% per year based on changing demographics. The actual growth has been slightly higher with a 25% increase in community care packages and a 22% increase in care placements over the past 2 years. It is for this reason that commissioning more community based services that promote and support independence and optimise people's ability to look after themselves is such a priority for work with NHS colleagues. The More For York programme is also focussing on service delivery within adult social care and in particular the arrangements for home care, re-ablement and residential care. However, there will need to be more work done before proposals for changes can be brought forward and there is unlikely to be any change to demand within the remainder of 09/10.

Centrally Held Budgets

- 28 These are budgets where the reporting responsibility has been reserved to the Executive and any activity against them is deemed part of this report. Current activity is projected to overspend by £557k.
- 29 Treasury Management activity is currently expected to produce a deficit of £529k. This is due to two key factors; firstly, interest rates payable on long term borrowings are higher than anticipated due to uncertainty in the prospect for growth causing investors

to switch between equities and gilts resulting in high and fluctuating rates and the projected drawing down of new debt being brought forward to allow borrowing to be taken earlier in anticipation of rising rates toward the latter part of the year (£150k), and secondly, the decrease in interest receivable is due to the continued fall in market interest rates available for investment with the 1-year rate starting the year at 2.15% and continuing to fall to 1.43% in the first 4 months. In addition there are lower cash balances than originally anticipated coupled with lower interest rates which have meant a significant reduction in interest earned projections (£379k).

- 30 The remaining £28k overspend is attributable to increased costs of providing staff with Park and Ride passes.

### **Contingency**

- 31 The General Contingency for 2009/10 was set at £600k. Areas that may potentially require funding from this were identified during the budget process and these totalled £944k, including Landfill Tax (£400k) and shortfalls in parking income (£150k).
- 32 To date, £241k has been released to cover expenditure in areas that were not identified during the budget process; £120k towards Barbican development options and £121k to provide additional support to Burnholme Community College.
- 33 Given the current financial situation, it is recommended that no further allocations from the £359k balance on the Contingency are accepted. The projected overspend for the year, as set out in the table in paragraph 3, assumes that this budget will not be spent, resulting in a saving to offset overspends elsewhere.

### **Non General Fund**

- 34 In the Dedicated School Grant (DSG) area there is a projected overspend of £696k against a budget of £87,865k. Due to the nature of the DSG, any underspend must be carried forward and added to the following year's funding with overspends either being funded from the general fund or reducing the following year's funding allocation. Following the convention used in 2008/09, the £696k overspend would be used to reduce the funding allocation granted for 2010/11.
- 35 The budgeted HRA balance is £8,149k. The current projection is that there will be a £415k overspend which will reduce this balance to £7,734k. The main reason for the variation is linked to repairs and maintenance activity.

### **Reserves**

- 36 The table on the next page shows a summary of the Council's revenue reserves. It is currently projected that the balance of these reserves will be £6,593k at 31 March 2010 before any adjustment is made for net variations in the current year. The 2009/10 budget process recommended a minimum threshold for revenue reserves of £5,521k.

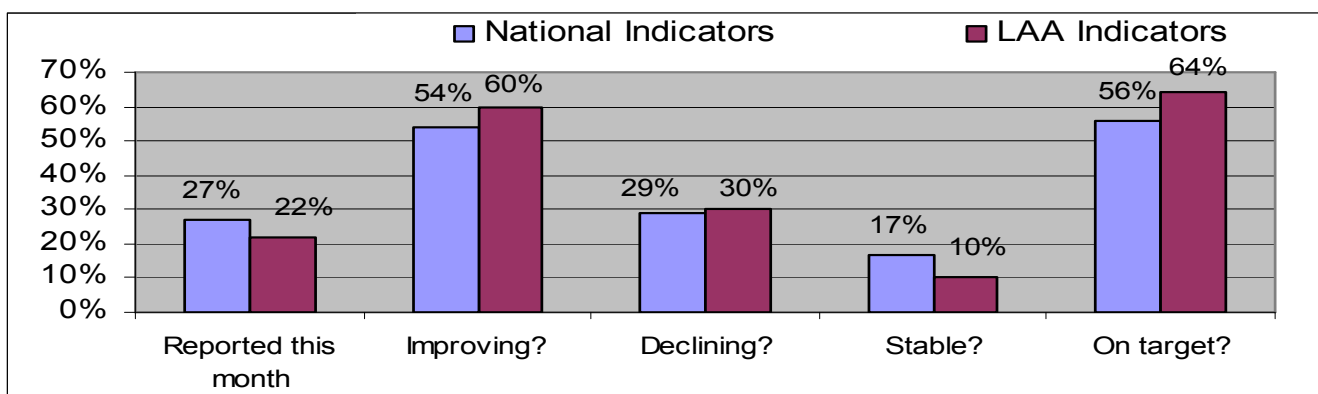
	<b>2009/10</b>
	<b>£000</b>
<b>General Fund Reserve</b>	
Balance at 1 April	(10,012)
<b>Less:</b> Already Committed To Annual Budget	3,511
Already Committed To Annual Budget (LABGI Grant)	186
Carry Forward Underspend from Previous Years	472
<b>Revised General Fund Reserve</b>	<u>(5,843)</u>
<b>Add:</b> <u>Other Adjustments</u>	
NDR Rebates	(50)
Transfer funds from insurance reserve	(400)
Transfer funds from trading activities	(300)
	<u>(750)</u>
<b>Expected General Fund Reserve as at 31 March 2010</b>	<b>(6,593)</b>

- 37 It should be noted that any overspend will reduce the overall level of reserves, and should the current level of spend continue it will take the Council below the recommended minimum threshold for revenue reserves which will have implications on next year's Council Tax levels both to contain the expenditure and also to re-build the reserve levels. Therefore corrective action in the form of further savings must be taken to avoid the threshold being breached as well as avoiding the requirement for further savings in 2010/11.

### Performance indicators

- 38 Overall just over a quarter of the national performance indicators have data available at this point in the year. Of those 54% are improving compared to last year and 56% are on track to hit their 2009/10 target. Only 22% of the LAA indicators have 2009/10 data available at this stage in the year with just over half of those showing improvement.

	Reported this month	Improving	Declining	Stable	On target
<b>National Indicators</b> (NPIs)	<b>58 of 214</b>	<b>28 of 52</b>	<b>15 of 52</b>	<b>9 of 52</b>	<b>29 of 52</b>
<b>LAA indicators</b> (sub-set of NPIs above)	<b>11 of 50</b>	<b>6 of 10</b>	<b>3 of 10</b>	<b>1 of 10</b>	<b>7 of 11</b>



39 The following paragraphs provide members with details of indicators where performance is deemed to be an exception (e.g. good improvement or possible areas of concern). In particular, indicators that support priority improvement (e.g. LAA or corporate strategy targets) have been included.

Transport & road safety

40 *NPI 47 (people killed or seriously injured in road traffic accidents):* performance for April to June 2009 currently stands at 10. This is significantly better than the 30 incidents that occurred for the same time period in 2008. A range of successful initiatives have been introduced over the past year such as the 'Made you Look' campaign, which was launched in 2008. A 'Safer Business Driving Conference' was also co-coordinated by the Council in June 09 for fleet managers in the York area and an event for older drivers is planned for October 09 as the days start getting shorter. This is an LAA indicator and if the trend continues York will easily achieve the 2009/10 target.

41 *Park & ride:* There has been a slight decline for Q1 of 2009/10 to 691,081 compared to 695,612 for the same period in 2008/09, see the table below.

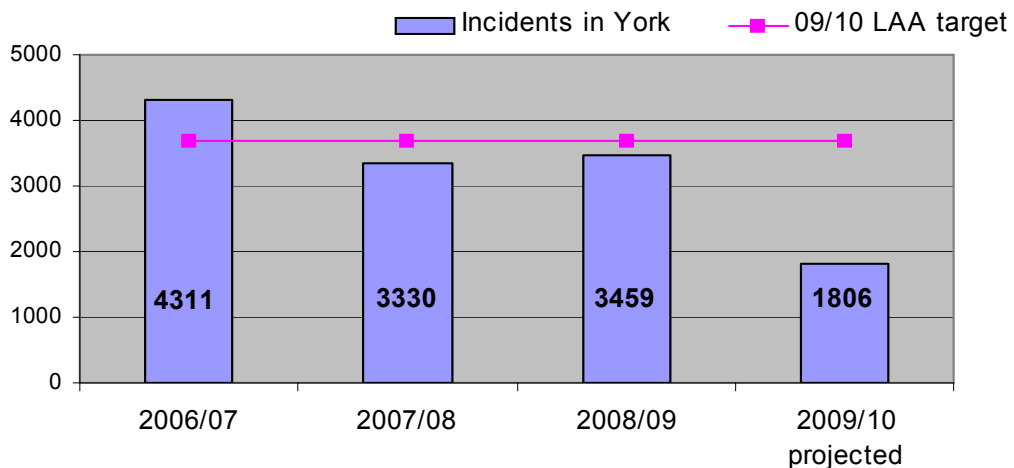
*Park and Ride Passengers*

Q1 08/09	Q2 08/09	Q3 08/09	Q4 08/09	Q1 09/10
695,612	779,471	825,263	682,275	691,081

Community Safety

42 *NPI16: Serious acquisitive crime rate.* 2008/09 saw a 4% rise with serious acquisitive crimes in York (3459), although the 4th quarter of last year did report much lower incidents than the previous 3 quarters. This trend has continued during 2009/10 with just 602 crimes recorded between April and July. NPI16 is made up of a number of crime types and several of the sub category crime areas are experiencing significant reductions in incidents. If the current trend continues, the forecast is to reach around 1800 by the end of the year, which would equate to a 48% reduction on 2008/09 and would achieve the 2010/11 LAA target by a significant margin.

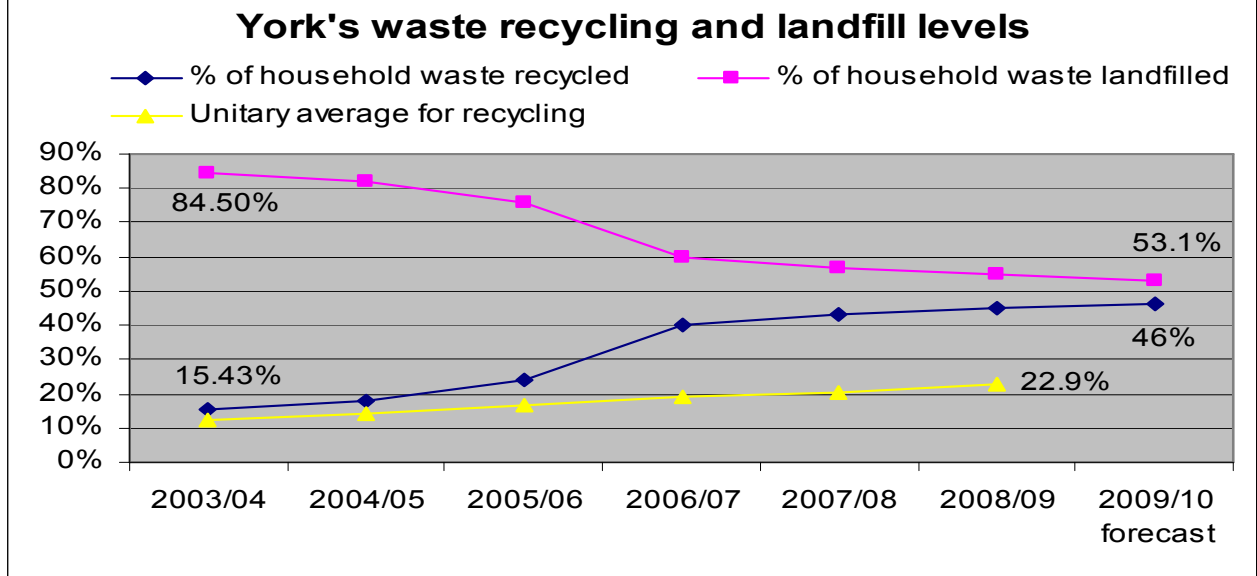
**Serious aquisitive crime levels in York**



Waste & recycling

- 43 *NPIs 191 to 193: Waste collection & management.* Recycling levels continue to improve on the already top quartile performance that has been achieved over the past 4 years. This has had the corresponding knock-on effect with the proportion of waste landfilled, which is now approaching 53% (see table below).

	08/09 Result	09/10 Forecast	09/10 Target	Improving ?	On target ?
NPI 191: Residual household waste per head	629kg	597kg	617kg	Yes	Yes
NPI 192: Household waste recycled/composted	45.1%	46.0%	47.9%	Yes	No
NPI 193: Municipal waste landfilled	55.1%	53.1%	52.6%	Yes	No



- 44 However, current landfill projections suggest that we may fall 0.5% short of the 2009/10 target of 52.62%. Residual waste collected per household is forecast to reduce further (597kgs), which would come in well under the very challenging 2009/10 target. This very encouraging given that it is an LAA target.

Street environment

- 45 *NPI195a-d: Street environment and cleanliness.* These four NPIs measure the proportion of areas around York that suffer from unacceptable levels of litter, detritus, graffiti and fly-posting. They are measured by a survey three times a year with the aim being to get a generally representative picture of the level of street environmental quality across the city. In 2008/09 performance on all four indicators declined slightly. The first survey of 2009/10 was carried out during June 2009 and the result for is encouraging for litter, graffiti and fly-posting, but suggests that detritus levels are getting worse compared to the levels recorded last June. Neighbourhood Services are undertaking a number of initiatives, including developing educational material for schools in relation to impact of littering and treating recreation areas as hot-spots during the summer in order to clear away litter related to 'drinking parties'. It is hoped that these will result in an improvement for this year's second survey, which will be carried out in October.

N195 – Street Cleanliness

	Litter	Detritus	Graffiti	Fly-posting
2007/08	7.6%	8.9%	2.3%	0.3%
2008/09	8.9%	11.0%	4.7%	1.1%
2009/10 (after 1 <sup>st</sup> survey)	4.5%	13.3%	2.6%	0.0%
2009/10 target	7.5%	9.0%	4.0%	1.0%

Previous Survey results	June 07	Oct 07	Feb 08	June 08	Oct 08	Mar 09	June 09
Litter Fail rate	2.3%	8.5%	12.0%	10.3%	4.6%	11.8%	4.5%
Detritus Fail rate	4.1%	4.1%	18.4%	8.4%	10.6%	14.0%	13.3%
Graffiti Fail rate	1.1%	3.0%	2.9%	7.9%	4.0%	2.2%	2.6%
Fly-posting Fail rate	0.3%	0.3%	0.3%	2.6%	0%	0.8%	0%

### Adult Care

- 46 *NPIs 132 & 133 – timeliness of social care assessments and packages.* Both these indicators cover areas that need to show improvement to address performance issues highlighted in the last Adult Social Care inspection. Progress based on the first quarter of 09/10 is mixed:
- Timeliness of assessments: Performance has improved from 67% to 77%, which matches the 2009/10 target. This has been achieved despite an increase of volume intake (25 referrals in April rising to 40 in June). This could impact on the ability to keep performance at the current levels, but if this were maintained, it would move York up from the bottom to the 3rd quartile, based on unitary authority comparative data.
  - Timeliness of care packages: Performance has dropped in the first period of this year (currently 83% compared 90.3% in 2008/09). This falls short of the 90% target set for 2009/10 and if no further improvement is made this year, this will move York from 3<sup>rd</sup> quartile to low in the bottom quartile of unitary authorities. HASS have investigated reasons for the drop in performance and action is being taken to address the process and reporting issues identified.
- 47 *NPI 141 – Independent living:* The number of people achieving independent living in York has increased to 72.6% (from 69.9% in 2008/09 and just 52% in 2007/08). If this trend continues, the 2009/10 LAA target of 70% should be achieved or exceeded.

### Children & Education

- 48 *NPI 59 & 66: Children Looked After.* The % of assessments of children's social care carried out within 7 working days of their referral has dropped for April to June 2009 (65% from 71% in 2008/09), but with the implementation of lead practitioner schemes, the latest interim unvalidated figures shown an improvement to 75.8%. The % of looked after children cases reviewed within government timescales has improved to 97.8% (from 92.4% in 08/09). This moves York from the 3rd to top quartile.
- 49 *NPIs 73 & 76: Literacy & numeracy (KS2).* The % of pupils achieving Level 4 or above in **both** English & Maths at KS2 has shown a decline since last year although all results are still inline with or above national average. Provisional figures for 2009/10 show the combined level to be at 74% compared to 77% in 08/09. Looking at the subjects separately; in English, 81% of pupils achieved Level 4 or above (1% above the national average) and in Maths the figure was 80% (1% above the national average). The reduction has had a knock-on effect with the number of schools not achieving the floor target of 55% for Level 4+ in both English & Maths at KS2, which is now estimated to be 6 schools (above the 2009/10 target of 4). Further analysis is currently being carried out to look at why these schools have not hit the required floor target.

50 *NPI 75: GCSEs. The % of York children achieving 5 or more A\*-Cs has increased significantly, although these are still provisional at this stage:*

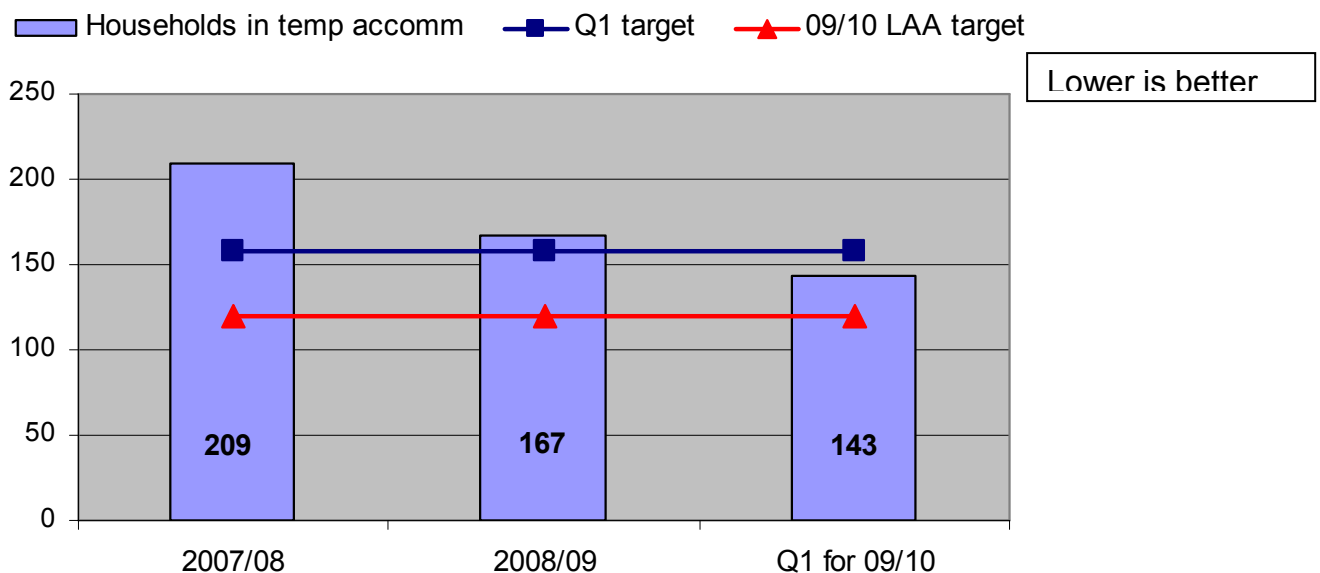
- 73.4% achieving 5+ GCSEs - up 5% from 68.5% achieved in 2008.
- 60% achieving 5+ GCSEs (including English & maths) - up 6.2% from 53.8% achieved in 2008).

Economy

51 *NPI 117: % of 16-18 year olds who are not in education, employment or training (NEET). The NEET target is unlikely to be achieved this year, interim figures for 2009/10 are at 5.1%, a sizeable increase on the 4.2% reported in 2008/09 and well in excess of the 3.5% LAA target. This is due to an increase of approximately 70 young people becoming NEET compared to June 2008 with pre level provision now up to capacity along with a lower number of employment and training vacancies being available due to the current economic situation. In addition, most of the young people who are NEET are qualified below level 2 and approx 60 have learning difficulties.*

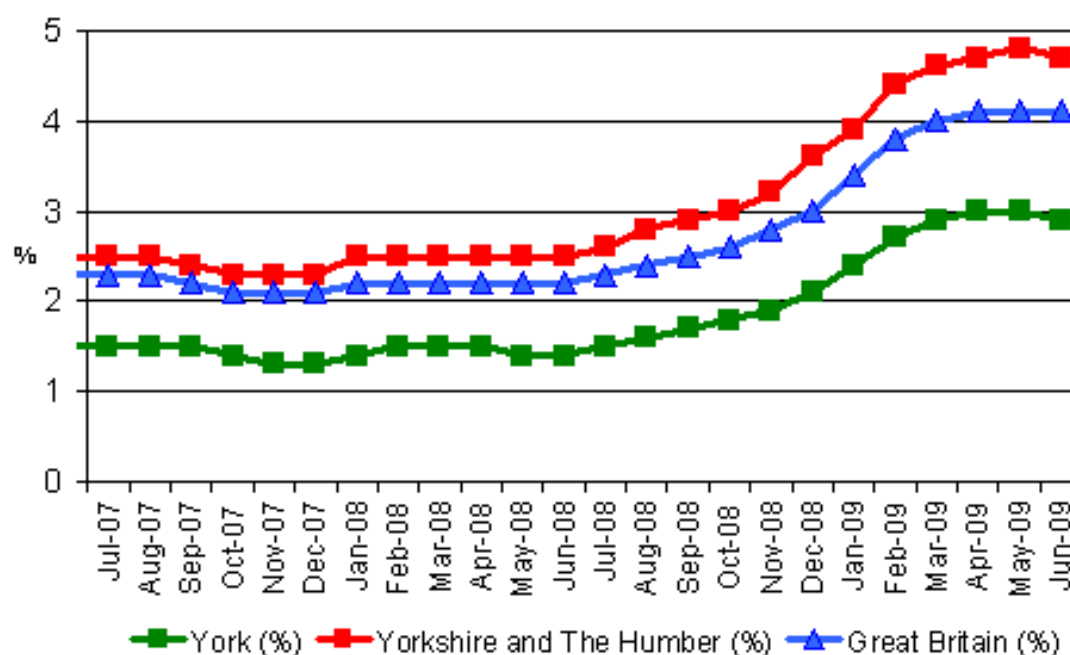
52 *NPI 155: Affordable Housing. 13 affordable houses were delivered in Q1 of this year, which is well down on the level delivered last year (155 for 2008/09). The current economic climate has had a major impact on the council's performance and the LAA targets of 280 and 350 for 2010-12 will be reviewed in the next LAA refresh.*

53 *NPI 156: Homelessness. The number of households living in temporary accommodation has declined significantly so far this year and is now below the Q1 target (see graph below). The improvement result from changes to the council's letting and registration policy, supported by a significant increase in prevention work. This is particularly encouraging in the current economic climate and HASS expect to exceed the 2009/10 LAA target of 120 if this trend continues.*



54 *VJ 15a & VJ 15B Unemployment: The unemployment rate for York can be estimated from those actively seeking work and ready to start through data released as a 12 month rolling average linked to how far York is under the regional and national rate.*



% of people claiming job seekers allowance in York

- 55 York's unemployment rate is currently 1.6% below the regional and 1.09% below the national average. Despite the economic climate, the gap has widened from the same period last year. Unemployment is also linked to the job seekers allowance claimant count in York, which has recorded a fall in June 09, following a continual increase throughout the economic downturn. However the claimant count is still double the amount it was for the same period last year, 2.9% in June 2009 compared to 1.4% in June 08 (see graph above).

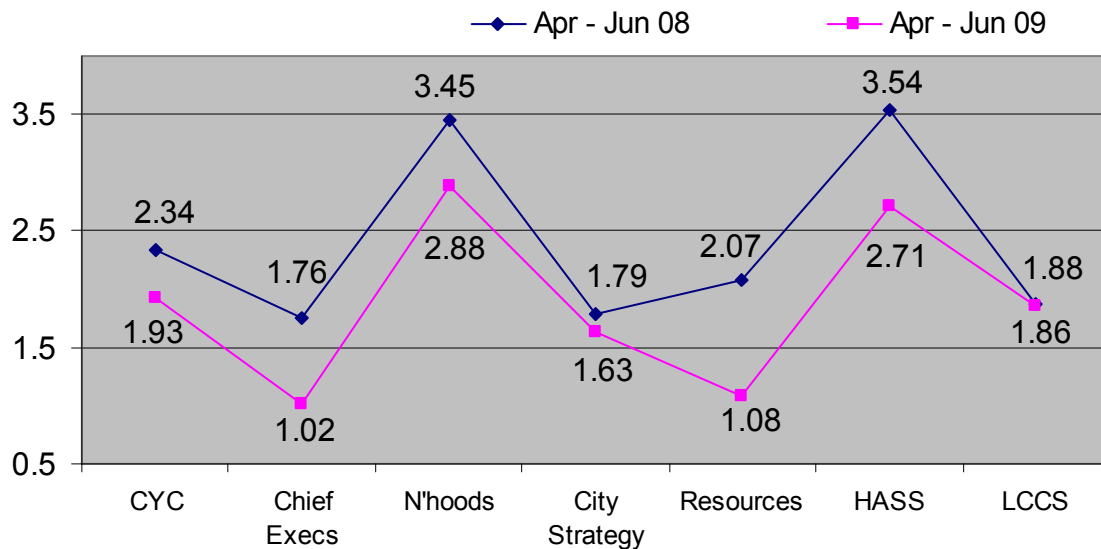
Corporate Health

Corporate health performance area	Latest 2009/10	Improving since last year?
Average days sickness per FTE	1.93 days	Yes (2.34 by June last year)
H&S: Major injuries to employees	2	Yes (3 by July last year)
H&S: Minor injuries to employees	11	Yes (16 by July last year)
H&S: Injuries to non-employees	10	No (8 by July last year)
Phone calls answered within 20 secs	94%	Yes (91% last year)
Letters dealt with within 10 days	96%	Yes (94% last year)
Stage 2 complaints dealt with in 10 days	87%	No (100% last year)

- 56 Staff attendance levels continue to show good improvement with the average sickness days per FTE currently standing at 1.93 days compared to 2.34 days for the same period last year (see graph on next page). Sickness levels in HASS, Resources and Chief Executive's have improved significantly, particularly in Resources, which reported a 50% drop so far this year. If this reduced trend in sickness absence continues over the next 10 months, projected performance indicates that the council could achieve 7.7 days per FTE, which would exceed the 2009/10 target of 8.6 days and place York close to the top quartile. However, the predicted high levels of absenteeism due to flu over the autumn and winter months could undermine any forecasts based on Q1 of 2009/10.

- 57 Health and Safety reported accidents show mixed results for April to June, with decreases in 'major' and 'minor incidents, and an increase in public' incidents, compared to the same period last year. Both major incidents occurred in Neighbourhood Services and LCCS (1 each), and the majority of public incidents were reported in schools. So far, the predicted increase in H&S incidents has failed to materialise in Q1. The forecast increase was due to more robust incident reporting arrangements being introduced.

### Staff sickness - comparing this year with last



### Progress on priorities & key projects

- 58 The summary table below shows progress on the 54 milestone actions and 52 commitment target indicators set out in the 2009/12 corporate strategy. 11% of the milestone actions have now been completed and a further 72% are on track to hit their agreed deadline. Only 8 of the 52 commitment targets are reportable for this monitor, but nearly all are showing improvement on their 2008/09 baseline.

	Milestone actions				Commitment targets				
	Number	Completed	On track	Not on track	Number	Reported	Improving	Not improving	On target
Thriving City	6	0 (0%)	6 (100%)	0 (0%)	8	0	0	0	0
Sustainable City	10	1 (10%)	7 (70%)	2 (20%)	15	3	3	0	2
City of Culture	5	1 (20%)	3 (60%)	1 (20%)	2	0	0	0	0
Healthy City	5	0 (0%)	3 (60%)	2 (40%)	4	0	0	0	0
Inclusive City	10	0 (0%)	10 (100%)	0 (0%)	9	2	2	0	2
Learning City	5	1 (20%)	2 (40%)	2 (40%)	6	1	0	1	0
Safer City	8	0 (0%)	7 (88%)	1 (12%)	4	2	2	0	2
Effective Organisation	5	3 (60%)	2 (40%)	0 (0%)	4	0	0	0	0
<b>Total</b>	<b>54</b>	<b>6 (11%)</b>	<b>40 (74%)</b>	<b>8 (15%)</b>	<b>52</b>	<b>8 (15%)</b>	<b>7 (88%)</b>	<b>1 (12%)</b>	<b>6 (75%)</b>

59 The following 6 milestone actions have now been completed:

City of Culture milestone

- *Carry out a market analysis and get a decision on interim use of the Barbican Auditorium by June 2009:* The market analysis has now been carried out and a report was taken to the Executive on 28th April 2009. These proposals were approved and they agreed that the project could move onto stage 2 of the process. Work is ongoing and the Executive will receive a report in September 2009 on the outcome of stage 2.

Learning City milestone

- *Completion of a pilot in 14 schools involving YorOK brokers which targets early intervention to those children identified as vulnerable by March 2010:* The pilot has now been completed and evaluated.

Sustainable City milestone

- *Complete the Groves recycling pilot by Sept 2009:* The Groves recycling project is now complete and the results of the trial have been published. These results have also been a helpful in deciding the methods to be used for the wider city roll out.

Effective Organisation milestones

- *Commit to the introduction of quality city-wide magazine:* On 23rd June the Executive agreed to the production of a new council publication to improve direct communication with residents. The report acknowledged the correlation between overall satisfaction with the council and satisfaction with information provided by the authority. As a follow-up, the Executive have asked Marketing and Communications to enter into a contract for distribution and begin production of the new publication which will be delivered six times a year.
- *Incorporate actions in response to the 2009 staff survey into the refreshed SIP:* A paper on the results of the 6th staff survey was considered alongside a report on the refreshed Single Improvement Plan (SIP) at the Executive on the 26th May. The response to the staff survey has now been addressed in the workstreams for the refreshed 2009/10 Improvement Plan.
- *Implement an Engagement Strategy to help communicate, consult and involve York residents about changes and improvements the council makes:* York's Community Engagement Strategy 'Listening, Informing and Working Together' was published in June and is now available on the council's website. The strategy sets out a consistent approach for consultation across the city's partnership agencies and provides practical guidance for officers via an engagement toolkit.

60 The following 8 milestone actions are reporting slippage:

Sustainable City milestones

- *Complete an easy@york review of waste, neighbourhood pride and street environment services by Summer 09:* This will be slightly delayed as the easy@york programme has been widened and is now part of the 'More for York' programme.
- *Introduce new technological devices to improve the identification and removal of street litter by Sept 09.* The mobile devices, and other technological solutions, were an integral part of the Easy @ York Phase 2 project: Again, as above, the deadline

for this action will be slightly delayed as the easy@york programme has been widened to ensure it is done as part of the 'More for York' programme.

#### City of Culture milestone

- *Develop and hold a Young Peoples Festival by Dec 2009, involving 90% of cultural agencies.* Due to the LAA bid being unsuccessful the original deadline will now not be met. However pleased to report that the events will be run in the summer of 2010.

#### Healthy City milestone

- *Launch a campaign by Sept 2009 to encourage an additional 1,600 adults to participate in regular weekly physical activities (5x30mins):* Work has been ongoing with this project, but the procurement process to use the secured LAA Development Fund is taking longer than expected, means that the September target date is now not possible. The next opportunity to launch the campaign is January 2009, which could be seen as a more desirable time given that people start New Year resolutions to get fit and/or lose weight.
- *Complete a corporate review of the response needed to meet the needs and aspirations of the increasing population of older people by Mar 2010:* Start of work has been delayed and scoping work on the process for undertaking the review will be completed by September. A revised deadline will be set after that.

#### Learning City milestones

- *Build a new children's centre at Knavesmire Primary School by January 2010:* Planning has been approved for the 9th Children's Centre and is well under way but currently running behind schedule. Completion of the project by December 2009 is now unlikely but a revised deadline of April 2010 is achievable.
- *Respond positively to the economic downturn by reducing the number of NEETS by targeted interventions with 16-18 year olds and the provision of wider range of qualifications for all by Mar 2010:* Although slippage has been reported, work is ongoing with partners to address the mismatch between the learning needs of young people in the not in employment, education or training (NEET) group and current post-16 learning provision. Some progress has been made in relation to diploma provision, increased provision for LDD learners (learning difficulties & disabilities) and pre-employment/learning readiness programmes.

#### Safer City milestone

- *Capable Guardians to commission at least 50 restorative justice and young people's service interventions by March 2010 with children at risk of becoming first time offenders:* The Youth Offending Team Restorative Justice Development Officer has taken retirement, which has led to slippage in promoting and supporting the schemes/provision. The employer (NYPolice) is about to interview for a successor.

#### Progress on the corporate improvement plan

- 61 94% (28 out of 30) of the corporate improvement plan actions are on track to be delivered to their agreed deadlines. Slippage has occurred on two actions to develop a Member Development Policy and agree an annual programme for delivery, but efforts are being made to ensure these are still delivered within the year. If the original deadline of 30 September is not met, it is still anticipated that the milestones will be met shortly afterwards.

## **Options**

- 62 The Director of Resources has certain statutory powers to ensure the Council's financial management is conducted properly. At present the current strategy is to seek for each Director to take appropriate corrective action in their own areas, with a view to minimising expenditure. Significant progress has been made, but clearly further is still required. As a result there remain very significant risks in terms of the Council's current financial position, which if these are not able to be progressed to a satisfactory conclusion very soon, may require the Director to enforce a series of measures that he considers essential to ensure the Council's financial position is maintained. This position will be constantly reviewed, and members advised accordingly.
- 63 It must be clearly stated, that the Council can only spend what it can afford, and whilst certain actions may have service implications, the consequences of a major overspending are very significant, particularly in light of the Council's reserves position, and therefore corrective action must be taken. CMT, in discussion with Executive Members are continuing to look at further opportunities to bring this projection down. In the longer term, some of the major financial pressures, in particular social care, may require increased budget provision, which will clearly require compensating savings elsewhere within the Council.
- 64 Annex 1 outlines figures provided by LCCS showing the increase in looked after children between 2006/07 and 2010/11. Annex 2 provides context behind the figures reported by HASS. In other areas of the Council, further mitigation to reach a balanced budget position will continue.

## **Analysis**

- 65 All the analysis of service performance, progress on key actions and the financial position of the council is included in the body of the report.

## **Consultation**

- 66 A number of performance management meetings and forums have taken place at DMTs and CMT to review performance and delivery. These have helped to inform this report.

## **Corporate priorities**

- 67 The information and issues included in this report is designed to demonstrate progress on achieving the priorities set out in the council's corporate strategy (2009-12). It also provides evidence of the co-operation between CMT and the Executive in working together to drive forward prioritised improvement and address performance, delivery or financial issues of corporate concern.

## **Implications**

- 68 The implications are:
- Financial - the financial implications are dealt with in the body of the report.
  - Human Resources - there are no specific human resource implications to this report, but it does contain important information on staff management and welfare.
  - Equalities - there are no equality implications to this report
  - Legal - there are no legal implications to this report

- Crime and Disorder - there are no specific crime and disorder implications to this report, but it does provide the Executive with crucial performance information to inform future resource allocation.
- Information Technology - there are no information technology implications to this report
- Property - there are no property implications to this report
- Other - there are no other implications to this report

### **Risk Management**

69 The budget setting process always entails a degree of risk as managers attempt to assess known and uncertain future events. As with any budget the key to mitigating risk is prompt monitoring of income and expenditure and appropriate management control. As such regular updated figures and revised corrective actions will be monitored via Directorate Management Teams, Corporate Management Team and the monitor reports during the year.

### **Recommendations**

70 Members are asked to:

a. Note the performance issues identified in this report.

*Reason: So that corrective action on these performance issues can be taken by members and directorates.*

b. Note the finance issues identified in this report, in particular:

- The significant pressures arising due to the economic recession and social care costs.
- The work already undertaken within directorates to reduce the potential overspending.
- The need for further work to bring expenditure in line with the budget.
- The longer term need for growth in some budgets, which will require compensating efficiencies and service transformation across the Council.

*Reason: So that corrective action can be taken to bring the Council's expenditure within budget.*

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Ian Floyd  
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#### **Janet Lornie & Andrew Crookham**

Corporate Finance

**Report Approved**  **Date**

**Specialist Implications Officer(s)** - None

**Wards Affected:** None

**All**

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

#### **Annexes**

Annex 1 – LCCS Looked After Children Figures

Annex 2 – HASS Context

**Annex 1****Children Looked After Costs & Numbers 2006/07 to 2010/11****2006/07**

Types of Placements	Number	%	Budget	Actual	Actual Per Child
Fostering (York)	100				
Children's Home	6				
Placed for Adoption	9				
Placed with Parents	21				
Other	5				
<b>Total LAC (York)</b>	<b>141</b>	<b>90%</b>	<b>1,200,490</b>	<b>2,165,476</b>	<b>15,358</b>
Residential School	5	3%	369,340	327,051	65,410
Fostering (IFA)	11	7%	402,950	506,188	46,017
<b>Total</b>	<b>157</b>		<b>1,972,780</b>	<b>2,998,715</b>	<b>19,100</b>

**2007/08**

Types of Placements	Number	%	Budget	Actual	Actual Per Child
Fostering (York)	113				
Children's Home	7				
Placed for Adoption	5				
Placed with Parents	22				
Other	2				
<b>Total LAC</b>	<b>149</b>	<b>89%</b>	<b>2,342,450</b>	<b>2,406,679</b>	<b>16,152</b>
Residential School	7	4%	334,860	371,006	53,001
Fostering (IFA)	12	7%	405,820	568,057	47,338
<b>Total</b>	<b>168</b>		<b>3,083,130</b>	<b>3,345,742</b>	<b>19,915</b>

**2008/09**

Types of Placements	Number	%	Budget	Actual	Actual Per Child
Fostering (York)	153				
Children's Home	4				
Placed for Adoption	5				
Placed with Parents	17				
Other	1				
<b>Total LAC</b>	<b>180</b>	<b>90%</b>	<b>2,556,310</b>	<b>2,883,601</b>	<b>16,020</b>
Residential School	10	5%	358,400	490,010	49,001
Fostering (IFA)	9	5%	553,310	460,071	51,119
<b>Total</b>	<b>199</b>		<b>3,468,020</b>	<b>3,833,682</b>	<b>19,265</b>

**2009/10 Estimate**

Types of Placements	Number	%	Budget	Outturn	Outturn Per Child
Fostering (York)	171				
Children's Home	4				
Placed for Adoption	5				
Placed with Parents	20				
Other	0				
<b>Total LAC</b>	<b>200</b>	<b>89%</b>	<b>2,523,714</b>	<b>3,229,458</b>	<b>16,147</b>
Residential School	10	4%	395,250	520,847	52,085
Fostering (IFA)	14	6%	567,140	691,000	49,357
<b>Total</b>	<b>224</b>		<b>3,486,104</b>	<b>4,441,305</b>	<b>19,827</b>

**2010/11 Estimate**

Types of Placements	Number	%	Budget	Outturn	Outturn Per Child
Fostering (York)	175				
Children's Home	4				
Placed for Adoption	5				
Placed with Parents	20				
Other	0				
<b>Total LAC</b>	<b>204</b>	<b>87%</b>	<b>2,574,200</b>	<b>3,294,000</b>	<b>16,147</b>
Residential School	10	4%	403,155	521,000	52,100
Fostering (IFA)	20	9%	578,480	987,000	49,350
<b>Total</b>	<b>234</b>		<b>3,555,835</b>	<b>4,802,000</b>	<b>20,521</b>

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**Annex 2****Housing & Adult Social Services Context**

The main areas causing the overspend on Adult Social Services are;

- An increase in the expected number of Mental Health residential and nursing placements – this was an area where the budget was reduced for 09/10 based on previous years' activity
- A continued increase in the volume and complexity of community based support for Learning Disabilities
- A continued increase in the number of Older People needing community based supports
- An agreed budget saving to deliver additional customer income of £180k has not yet been implemented due to the need to complete a full Equalities Impact Assessment (EIA) and lack of sufficient resources to complete all the work needed.

The increase in demand from older and disabled people was anticipated and the York Long Term Commissioning Strategy reported to members in October 2007 projected that by 2020 there would be an increase of 31% in the over 65 population, and within this number, an increase in the over 85s of 60%. People over 85 are more likely to need support from health and social care services. The strategy also went on to project the likely impact on service demands and costs.

The table below shows the numbers of people accessing services in 2007, the projections that were made at the time about the increased capacity that was likely to be required by 2010 set alongside the current number of packages in place. This shows that increases are happening broadly in line with the forecast although at a higher rate with a 25% increase in community care packages and a 22% increase in care home placements over the past 2 years.

	Baseline snapshots (as at 17/7/07)	2010 forecast of capacity needed	Actual packages (as at 31/7/09)
Community Based	2635	3104	3322
Residential & Nursing	653	761	797

It is for this reason that the major reviews of direct services were agreed by members and these are being brought within the broader More for York programme. However, within this context of increasing demand it will be very difficult to produce a balanced outturn position in 09/10 in advance of the completion of the major reviews.

As part of the budget setting process for 09/10 savings were offered in a number of areas that did not affect service delivery. They included:

- in increase in the existing vacancy factor by 1% saving £85k.
- a 1% efficiency against premises, supplies & services budgets and a minor base budget exercise that had been undertaken to drive out further efficiencies saving £200k.
- Further savings identified corporately in administration, use of external consultants, energy budgets, transport, and improved staff attendance totalling £167k.