



Notice of meeting of

Effective Organisation Overview & Scrutiny Committee

To: Councillors Watt (Chair), Horton (Vice-Chair), D'Agorne, Firth, Boyce, Gunnell, Hyman and R Watson

Date: Tuesday, 12 January 2010

Time: 6.00 pm

Venue: The Guildhall, York.

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 1 - 6)

To approve and sign the minutes of the meeting held on 24 November 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 **Monday 11 January at 5pm.**

4. Question & Answers with the Executive Leader and the Corporate Services Executive Member.

Members will be given the opportunity to have a discussion with the Executive Leader and Corporate Services Executive Member with regards to their plans and priorities for the next twelve months, as well as addressing more specific questions.

5. Annual Audit Letter 2008/09 - Audit Commission. (Pages 7 - 44)

This report introduces the Annual Audit Letter 2008/09 (see Annex A) prepared by the Audit Commission which gives a clear audit opinion on the Council's financial statements.

6. Report on the 2010/11 Budget Strategy and Medium Term Financial Planning 2011/12 to 2013/14. (Pages 45 - 58)

This report presents an Executive report dated 15 December 2009 detailing the strategy being adopted for the development of the 2010/11 Revenue Budget and outlines the longer term issues linked to Public Sector funding and the implications these may have on the Council's medium term financial planning.

7. Review of the Effectiveness of the Forward Plan - Interim Report. (Pages 59 - 110)

8. Work Plan (Pages 111 - 112)

9. Urgent Business

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

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

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

City of York Council

Committee Minutes

MEETING	EFFECTIVE ORGANISATION OVERVIEW & SCRUTINY COMMITTEE
DATE	24 NOVEMBER 2009
PRESENT	COUNCILLORS WATT (CHAIR), HORTON (VICE-CHAIR), FIRTH, BOYCE, GUNNELL, HYMAN, R WATSON (ITEMS 14-20) AND TAYLOR (SUBSTITUTE FOR CLLR D'AGORNE)
APOLOGIES	COUNCILLOR D'AGORNE

14. 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.

15. MINUTES

RESOLVED: That the minutes of the meeting of the committee held on 30 September 2009 be approved and signed as a correct record by the Chair.

16. PUBLIC PARTICIPATION

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

17. WORK PLAN

Consideration was given to the committee work plan for 2009-10.

It was noted that the Executive Leader and the Executive Member for Corporate Services had requested that they received advance notification of the questions that the committee wished to put to them prior to their attendance at a meeting. The committee agreed that it would be useful for the Leader and Executive Member to attend the January meeting to outline their plans and priorities for the next twelve months, as well as addressing more specific questions.

Members were informed that the Green Travel Plan for staff had been held in abeyance pending a decision being made in respect of the new council headquarters. Members reiterated their request that information be provided to the Committee on the costs of offering free Park and Ride passes to council employees and requested that this be included in the work plan.

RESOLVED: (i) That the work plan be updated to reflect the agreed amendments.

- (ii) That Members notify the Scrutiny Officer of questions for the Executive Leader and the Executive Member for Corporate Services.

REASON: To ensure that a robust and relevant work plan is in place for the municipal year.

18. SECOND PERFORMANCE AND FINANCIAL MONITOR FOR 2009/10

Members received a report that provided details of the headline performance issues from the second performance monitor of 2009/10 covering the period from 1 April to 30 September 2009. The report updated on finance, performance and key projects and priorities.

Discussion took place regarding the level of detail that the Committee would wish to receive when information was presented to them. It was agreed that it would be beneficial for a training session to be arranged in order that Members could gain a greater understanding of how they could utilise the information in carrying out their role.

Officers went through the key issues in the report and highlighted areas where there was significant variance. Attention was drawn to financial pressures amounting to £1,842k that needed to be managed by directorates in order to contain overall spending within budget by the end of the financial year. The savings required to contain the pressures equated to a reduction of 1.5% of net budget for each directorate. The committee was pleased to note that, following the concerns that they had raised regarding the overspend in fostering costs for looked after children, the Learning and Culture Overview and Scrutiny Committee would be receiving a presentation on this issue. The presentation would include an analysis of the current overspend.

Discussion took place regarding the impact of the present economic situation on revenue and expenditure. Members were concerned to note that should the current level of spend continue it would take the council well below the recommended minimum threshold for revenue reserves. They questioned officers as to how long it would take to recoup the reserves. Officers explained that historically the council was an underspending authority and the underspend had passed into reserves. Medium-term financial planning was a key issue, particularly in the context of the likely outcome of the next spending review and the decisions on levels of public spending.

Members commented on the implications for staff when posts were frozen and training budgets reduced. It was agreed that it would be helpful for the Committee to receive a presentation on the "More for York" project and to receive a summary of the comments on the accommodation move and details of the staff survey.

Consideration was given to the data on performance indicators. Members' attention was drawn to indicators where performance was deemed to be an exception (e.g. good improvement or possible areas of concern).

- RESOLVED: (i) That the performance issues identified in the report be noted.
- (ii) That the finance issues identified in the report be noted, including the following:
- The significant pressures arising due to the economic recession and social care costs that are still evident across the council.
 - The work already undertaken within directorates to contain financial pressures.
 - The ongoing work to identify and implement options to meet the 1.5% savings targets required to contain spending within budget by the end of the financial year.
 - The longer term need for growth in some budgets, which will require compensating efficiencies and service transformation across the council.
- (iii) That a training session be arranged for the Committee on utilising the performance and financial monitoring data.

- REASONS: (i) To ensure that the council's expenditure can be contained within budget.
- (ii) To assist the Committee in utilising the data presented to them.

19. PRESENTATION - RISK MANAGEMENT PROCEDURE.

A presentation was given on the Council's Risk Management Procedure. The presentation covered the following issues:

- The risk management framework
- Benefits and requirements
- Application of risk management
- Identification and reporting cycle
- Key corporate risks
- The role of the Audit and Governance Committee
- The Risk Matrix
- Evaluation of risk
- Training and support available for Members and officers
- A demonstration of Magique - the on-line risk register

Members noted that the annual CPA rating for risk management had been "2" for each year from 2005-2008 but that the CAA rating for 2009 was "3". Members welcomed the improvement that had been made and the efforts that were taking place to seek to attain a "4" rating.

It was noted that Councillor Holvey was the nominated Risk Management Champion and his role was outlined to Members.

Discussion took place as to whether Members considered that the committee should carry out a scrutiny review into risk management. Although it was acknowledged that risks could not be eliminated entirely, concerns were expressed as to whether everything possible was being done to reduce them. Members were also concerned that the on-line register may not be being used effectively and that more needed to be done to ensure that it was fully embedded. It was noted that an update of the software was due next year.

Details were given of the monitoring carried out by the Audit and Governance Committee in respect of risk management, including the reporting arrangements that were in place. Members agreed on the importance of avoiding duplicating work that the Audit and Governance Committee were already carrying out.

RESOLVED: That a scrutiny review on risk management not be carried out by the Effective Organisation Overview & Scrutiny Committee at this time; but that the Committee's concerns regarding the need to ensure that the on-line register is fully embedded throughout the organisation be brought to the attention of the Audit and Governance Committee with a request that this matter be kept under review as part of their ongoing monitoring¹.

REASON: To ensure effective monitoring of risk management.

Action Required

1. Refer resolution to the Audit & Governance Committee MC

20. SCOPING REPORT - EFFECTIVE USE OF THE EXECUTIVE FORWARD PLAN.

Members received a report that presented information on the legislative and constitutional requirements associated with an Executive Forward Plan. The report highlighted those requirements that were not currently being met and suggested issues for further consideration as part of the review.

Consideration was given to a number of issues with the current Forward Plan and the ways in which these could be addressed to ensure legislative and constitutional requirements were met.

Discussion took place as to whether it would be appropriate to include only key decisions in the Forward Plan. It was noted that should this change be recommended as a result of the review, additional recommendations would be required regarding how information on forthcoming non-key decisions should continue to be made available to Members and the public, in order to ensure the same level of transparency and opportunity for participation in decision-making. It was agreed that it would be beneficial to seek the views of officers, including directors, forward plan contacts and the acting monitoring officer, regarding possible changes to the content and format of the Forward Plan.

- RESOLVED: (i) That Members endorsed officers' implementation of the following changes to the Council's current working practices to ensure that they are in line with legislation:
- To carry out the annual publication of its statement of intent.
 - To change the period covered by the Forward Plan to bring it in line with legislation, as detailed in paragraph 11 of the report.
- (ii) That it be recommended that the Forward Plan be produced on a monthly rather than a fortnightly basis and that consultation take place with Group Leaders regarding this matter.
- (iii) That the review focus on the following issues:
- Whether the Forward Plan should be limited to key decisions only, and possible alternative methods of identifying non-key decisions if necessary.
 - Methods for addressing the issue of late submission of Forward Plan items.
 - Alternative format and content for the printed plan.
- (iv) That a task group comprising of the Chair, Vice-Chair and Councillor Firth be established to progress the review of the Forward Plan by seeking the views of officers and looking at examples of Forward Plans from other local authorities.

- REASONS: (i) To ensure that the publication of the Forward Plan is in accordance with legislative requirements and the Council's Constitution.
- (ii) To ensure better use of resources and to support the correct use of the Forward Plan in line with the regulations.
- (iii) To progress the review of the effective use of the Forward Plan.

Cllr Watt, Chair

[The meeting started at 5.00 pm and finished at 7.05 pm].

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Effective Organisation Overview & Scrutiny Committee

12 January 2010

Report of the Assistant Director of Resources (Customer Service & Governance) and Assistant Director of Resources (Finance)

Annual Audit Letter 2008/09- Audit Commission

Summary

1. This paper introduces the Annual Audit Letter 2008/09 (see Annex A) prepared by the Audit Commission which gives a clear audit opinion on the council's financial statements for 2008/09. This report has already been discussed at Executive on 15 December 2009 and Audit & Governance Committee on 21 December 2009. Prior to that, most of the content had been discussed at the Audit & Governance Committee on 21 September 2009 as part of the agenda items relating to the Annual Governance Report 2008/09 and the Use of Resources Report 2008/09. Both covering reports are attached at Annex B and Annex C which include the council's response to these reports.

Background

2. The District Auditor reports annually his independent opinion of the council's arrangements based on an annual programme of work agreed by officers and members. This programme of work must meet the standards set out in the Code of Audit Practice and gives an opinion on the corporate governance arrangements at the council focusing on:
 - the opinion given on the council's annual Statement of Accounts (including the Annual Governance Statement);
 - the council's arrangements to secure value for money in its use of resources (including confirmation of the Use of Resources score of Level 2 'performing adequately').

Consultation

3. Not relevant for the purpose of the report.

Options & Analysis

4. Not relevant for the purpose of the report.

Corporate Priorities

5. This report contributes to the Effective Organisation priority within the Corporate Strategy.

Implications

6. There are no financial, HR, equalities, legal, crime and disorder, IT or property implications arising from this report.

Risk Management

7. By not responding effectively to the matters contained in the Annual Audit Letter, the council will fail to properly comply with legislative and best practice requirements, and its performance in future CAA assessments could be adversely affected.

Recommendations

8. Members are asked to:
 - a) note the contents of this report and the Annual Letter itself, attached as the annex to this report;

Reason: To inform the future business of the Committee as necessary.

- b) note the council's response to the issues raised by the District Auditor to be monitored Audit & Governance committee at future meetings as outlined in Annex B and Annex C

Reason: To ensure the effective management and follow-up of key action to be taken to support on-going development and improvement work at the council.

Contact Details

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Director of Resources
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Report Approved



Date 24th December 2009

Specialist Implications Officers: Not applicable

Wards Affected:

All



For further information please contact the author of the report

Background Papers: See below

Annexes

Annex A Annual Audit & Inspection Letter 2008/09

Annex B Report to Audit & Governance Committee 21 September 2009 –
Annual Governance Report 2008/09

Annex C Report to Audit & Governance Committee 21 September 2009 –Use of
Resources 2008/09

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Annual Audit Letter

City of York Council

Audit 2008/09

November 2009



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Status of our reports

The Statement of Responsibilities of Auditors and Audited Bodies issued by the Audit Commission explains the respective responsibilities of auditors and of the audited body. Reports prepared by appointed auditors are addressed to non-executive directors/ members or officers. They are prepared for the sole use of the audited body. Auditors accept no responsibility to:

- any director/member or officer in their individual capacity; or
 - any third party.
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Key messages

This report summarises the findings from our 2008/09 audit. It includes messages arising from the audit of your financial statements and the results of the work I have undertaken to assess your arrangements to secure value for money in your use of resources.

Audit Opinion

- 1 I gave an unqualified opinion on the Council's 2008/09 financial statements on 30 September 2009.

Financial Statements

- 2 The draft financial statements presented for audit contained a number of significant and material errors which the Council amended. The Council is designing and implementing quality assurance processes that will prevent and detect these errors before the 2009/10 draft financial statements are approved by members and submitted for audit.
- 3 Additional audit work required to give the unqualified opinion has resulted in me charging the Council an extra £2,000.

Value for money

- 4 I gave an unqualified opinion on the Council's value for money arrangements in 2008/09.
- 5 The Council's overall use of resources score for 2008/09 is level 2, meeting minimum standards and representing an adequate performance.
- 6 Within this score there are elements of stronger performance in some areas, in particular the Council's provision of value for money services, its risk management arrangements and elements of its commissioning of services.
- 7 The Council has embarked on a challenging programme to deliver £15m efficiency savings over a three year period. The successful delivery of this programme should have a positive impact on the Council's future use of resources.

Table 1 Audit fees

	Actual	Proposed	Variance
Financial statements and annual governance statement	134,701	132,701	2,000
Value for money	108,354	108,354	0
Total audit fees	243,055	241,055	2,000
Non-audit work	0	0	0
Total	243,055	241,055	2,000

Actions

- 8 Recommendations are shown within the body of this report and have been agreed with officers.

Independence

- 9 The audit has been carried out in accordance with the Audit Commission's policies on integrity, objectivity and independence.

Financial statements and annual governance statement

The Council's financial statements and annual governance statement are an important means by which it accounts for its stewardship of public funds.

Audit opinion

- 10 I gave an unqualified opinion on the Council's 2008/09 financial statements on 30 September 2009.

Significant issues arising from the audit

- 11 My audit of the 2008/09 financial statements identified a number of errors, and some were material.
- 12 A significant proportion of the errors related to the tangible fixed assets balance and the related capital accounting entries. In particular we identified a number of duplicate entries in the 'assets under construction' category of the balance sheet. In total the tangible fixed assets balance was reduced by £25.5m from the balance in the draft financial statements as a result of my audit.
- 13 The asset register has an important role in helping the Council manage and account for its tangible fixed assets. While the Council has improved the usefulness and quality of its asset register from 2007/08, further work is needed to ensure that it is fully effective. The Council is reviewing the register to ensure that it contains all, and only, the fixed assets that it needs to account for in 2009/10.
- 14 Other material errors included £15.3m of expenditure and £2.6m of income being mis-classified in the Income & Expenditure Account, and £19.5m mis-classified as a deferred asset and a deferred liability in the balance sheet, as a result of a change in the financial reporting requirements. In addition there were several smaller value errors.
- 15 Officers are establishing the reasons why these errors occurred, and are committed to implementing a thorough robust quality assurance process, to identify and correct the errors before the financial statements are approved in June 2010.

Recommendation	
R1	Implement a thorough and robust quality assurance process that is designed to identify material errors in the financial statements before they are approved in June 2010.

- 16 Whilst my audit identified a greater number of errors than the previous year's audit, the Council had improved its project planning and project management for producing the 2008/09 financial statements. The financial statements were produced slightly earlier than in 2007/08, and the supporting working papers were generally produced to the required standard. I will continue to work with officers to enable them to deliver further improvements in 2009/10.

Material weaknesses in internal control

- 17 Other than the comments above relating to the quality assurance processes in the closedown of the accounts, I did not identify any significant weaknesses in your internal control arrangements.

Accounting Practice and financial reporting

- 18 The Council made a number of amendments to the presentation of the financial statements before we gave our opinion. These amendments improved the quality of the financial statements.
- 19 There are some outstanding matters that officers intend to resolve in the 2009/10 financial statements, and I will work closely with officers to continuously improve the quality of the financial statements. These matters were fully reported in my 2008/09 Annual Governance Reports issued in September 2009.

Value for money and use of resources

I considered how well the Council is managing and using its resources to deliver value for money and better and sustainable outcomes for local people, and gave a scored use of resources judgement.

I also assessed whether the Council put in place adequate corporate arrangements for securing economy, efficiency and effectiveness in its use of resources. This is known as the value for money (VFM) conclusion.

Use of resources judgements

- 20 In forming my scored use of resources judgements, I have used the methodology set out in the use of resources framework. Judgements have been made for each key line of enquiry (KLOE) using the Audit Commission's current four point scale from 1 to 4, with 4 being the highest. Level 1 represents a failure to meet the minimum requirements at level 2.
- 21 I have also taken into account, where appropriate, findings from previous use of resources assessments (updating these for any changes or improvements) and any other relevant audit work. However, the 2008/09 assessment is very different from previous assessments. Judgements are now much more strategic and less detailed, with a focus on outcomes rather than processes. The standard required to achieve a level two assessment has been raised and is now much more demanding.
- 22 The Council's use of resources theme scores are shown in Table 2 below. The key findings and conclusions for the three themes, and the underlying KLOE, are summarised in Appendix 1.

Table 2 Use of resources theme scores

Use of resources theme	Scored judgement
Managing finances	2
Governing the business	2
Managing resources	2

- 23 The Audit Commission's overall score for the Council's use of resources is level 2 (performing adequately). This takes into account
- the Audit Commission's scoring criteria in the new Use of Resources approach this year; and
 - the Council's planned and actual progress, and the positive impact this should have on the Council's arrangements.
- 24 The Council has embarked on a three year efficiency programme to realise £15m of savings and improve service delivery. While it is too early to assess the impact of this programme on the outcomes delivered by the Council, it is clear that the successful delivery of the programme is critical for the Council to achieve its priorities with the strict financial climate facing all public service bodies.

Financial planning and monitoring

- 25 The Council has an established and well understood financial planning and monitoring system. The design of the system is geared towards identifying and monitoring efficiencies and savings in a detailed and methodical way on a service by service level, rather than focusing on more corporate wide and cross directorate efficiencies.
- 26 The Council has recognised the difficulties in continuing with this approach and taken positive action by employing an efficiency partner to look for savings across the Council, as well as reviewing and revising the existing financial planning and monitoring arrangements.

Asset management

- 27 The Council has developed a strategic approach to asset management, which has had some positive impact, but is not consistently applied across the organisation. The approach is centred around a corporate Asset Management Plan (AMP) and a corporate Asset Management Group charged with the task of implementing the AMP. The group relies on influence rather than direct control of asset management across the Council, and structures are not in place across the Council to ensure the principles of good asset management are applied consistently. Implementation plans for asset management are not consistently robust. Corporate and service AMPs are not under-pinned by robust implementation plans although the existing area-based AMPs have action plans which are clearly focused on local needs and priorities.
- 28 The delivery of the Council's ambitions for asset management is constrained by limited financial resources and a lack of a full understanding of how assets contribute to the achievement of corporate priorities. This makes it difficult to ensure that financial resources are consistently prioritised to maximise their impact, although there are examples of how social and environmental outcomes have been improved.
- 29 The Council does not have systems in place to effectively demonstrate value for money in asset management. Steps are being taken to address the gaps in information regarding the Council's asset portfolio through the development of a new asset database.

- 30 Performance indicators are not routinely used to monitor progress against the corporate AMP. Annual benchmarking is carried out against a set of national asset management indicators, but there is no framework of local indicators and targets to monitor progress against the objectives and priorities contained in the corporate AMP.
- 31 The Council is not addressing the growing level of backlog maintenance. There is a repair and maintenance strategy which is managed by the corporate landlord, and aims to ensure the effective use of the Council's resources. It sets a number of objectives designed to ensure that all the Council's assets are fit for purpose by 2017. However, as repair and maintenance budgets are largely devolved to services, it is difficult to ensure that they are consistently prioritised in line with the corporate Asset Management Plan.
- 32 There are examples of how the Council is improving services through improvements to its asset base. However, there is no consistent approach to challenge whether assets are required, fit for purpose, and provide value for money in meeting current and future needs.
- 33 The Council has an established policy to work with community groups which is delivering community benefits. There are examples of assets being transferred to community groups which have had a positive impact and others are being considered, particularly in relation to those areas covered by an area Asset Management Plan. The Council is also developing its approach to working with partners to improve the effectiveness of the asset base. There are examples of shared use of buildings, but the Council recognises the need to adopt a more strategic approach.

Recommendation

R2 Produce and implement action plans arising from the use of resources assessments and value for money work.

VFM conclusion

- 34 I assessed your arrangements to secure economy, efficiency and effectiveness in your use of resources against criteria specified by the Audit Commission. From 2008/09, the Audit Commission will specify each year, which of the use of resources KLOE are the relevant criteria for the VFM conclusion at each type of audited body. My conclusions on each of the areas are set out in Appendix 1.
- 35 I issued an unqualified conclusion stating that the Council had adequate arrangements to secure economy, efficiency and effectiveness in its use of resources.

Closing remarks

- 36 I have agreed this letter with the Chief Executive and the Director of Finance. I will present this letter at the Audit & Governance Committee in December 2009 and it will be made available to all members.
- 37 Further detailed findings, conclusions and recommendations in the areas covered by our audit are included in the reports issued to the Council during the year.

Table 3 Reports issued in 2008/09

Report	Date issued
Audit & Inspection Plan	April 2008
Financial Planning & Monitoring Arrangements	March 2009
Data Quality Arrangements	April 2009
Supplementary Opinion Plan	April 2009
Use of Resources Report	September 2009
Annual Governance Report	September 2009
Supplementary Governance Report	September 2009
Asset Management Report	November 2009

- 38 The Council has taken a positive and constructive approach to our audit. I wish to thank officers for their support and co-operation during the audit.

Steve Nicklin
 District Auditor
 November 2009

Appendix 1 – Use of resources key findings and conclusions

- 1 The following tables summarise the key findings and conclusions for each of the three use of resources themes.

Managing finances

Theme score	2
Key findings and conclusions	
<p>The Council has performed strongly on understanding its costs, and is making improvements to the financial planning and financial reporting areas. The Council's efficiency programme which seeks to achieve £15m of efficiency savings in three years, will impact on future years' use of resources assessments. The previous years' pre-audit financial statements have had numerous issues with them, but the Council has set in place improved closedown arrangements including good project management arrangements and as a result some of the problems of previous years have not been repeated. However we have identified material issues with the draft accounts this year.</p>	

<p>KLOE 1.1 (financial planning)</p> <p>Score</p> <p>VFM criterion met</p>	<p>2</p> <p>Yes</p>
<p>Key findings and conclusions</p> <p>Financial and corporate planning processes are partially integrated. Savings proposals are considered in terms of their impact on priorities, and reports to Council include an analysis of resource utilisation compared with priorities. The focus of financial planning has largely been on making savings, albeit ones that don't jeopardise the achievement of service priorities, rather than focusing on the expenditure needed to fully fund the service priority improvements. The priorities for funding have been subject to significant debate in previous years, and the redirection of funding to the Easy@york project has contributed to efficiency savings. The Council's new efficiency programme should enable it to fully integrate and deliver service improvements and efficiencies across all services.</p> <p>Clearer links need to be made to the risks of not achieving corporate and service priorities in relation to the medium term financial strategy (MTFS), although upcoming developments are actively considered and contingencies built in. Income charging is integral to the annual savings identification process, but closer and more explicit links need to be made to the processes for capital, IT and human resources planning that are run in parallel to the medium term and annual financial planning processes.</p> <p>A comprehensive, balanced and realistic budget is set, supported by challenging but realistic savings plans scrutinised by Members. The Council has recently moved to make savings more corporate than directorate focused by appointing an efficiency partner that has helped to identify required levels of savings over the medium term, and therefore had a direct input to the budget planning process from 2009/10. The £15m savings required over the next three years are a direct result of the Council's awareness of its resource shortfalls over the medium term, and the need to maintain a sound financial standing.</p> <p>The medium term financial strategy itself is regularly updated and reflects the Council's key strategic priorities, and the efficiency review now implemented is intended to challenge resource use and explore alternative ways to deliver priorities.</p> <p>The Council has been assessing its policies and strategies in line with the equalities legislation since 2007/08 by undertaking equalities impact assessments. In terms of financial planning, the Council has developed an Engagement Strategy and an engagement calendar that includes local improvement scheme budget consultation in September and postal and on line surveys as well as workshops with stakeholders as part of its wider budget consultation in December. In 2008/09 the surveys were responded to by 8 per cent of residents, and the consultation led to specific budget decisions being made such as the increase in the cost of non resident parking permits, previously thought to be unpopular.</p> <p>The Council has reviewed its Treasury Management strategy in light of the collapse of the Icelandic banks, and has taken into account CIPFA guidance. The Council did have investments in Icelandic banks but had ended these investments prior to the credit ratings being downgraded. Consequently it was not exposed when the banks collapsed.</p> <p>The Council has a well understood financial governance structure with clear lines of reporting and development of the financial plans from directorate through to full Council. Individual responsibilities are clearly set out in the Constitution, and the Financial Regulations and Scheme of Delegation provide the framework around these responsibilities. Some targeted training has been provided to officers and members, and lengthy debates have been held by Council in relation to the budget proposals in recent years, although these would benefit from more constructive scrutiny and challenge.</p>	

Appendix 1 – Use of resources key findings and conclusions

<p>KLOE 1.2 (understanding costs and achieving efficiencies)</p> <p>Score</p> <p>VFM criterion met</p>	<p>3</p> <p>Yes</p>
<p>Key findings and conclusions</p> <p>The Council has a clear understanding of its costs, and the key drivers and pressures, both internally and externally. A strong focus on cost and performance has enabled the Council to deliver good quality services at the lowest spend per head and the third lowest Band D Council Tax rate of unitary councils nationally.</p> <p>The Council makes use of numerous benchmarking opportunities which it uses to identify areas of potential inefficiency. Despite the strong focus on managing costs, improvements have been made in a range of priority services in recent years, and high performance in children's services sustained. A review of adult care services included actions to reduce cost, but also delivered service improvements and took account of the growing demand for services.</p> <p>Successful action has also been taken to address corporate issues, such as reducing sickness absence costs across the Council. Whole life costing techniques are applied to major projects, such as the planned move to new office accommodation, which has also included an environmental assessment. Financial monitoring now reported to members with service performance management information but the links between these two areas need to be made more explicit to enable a more informed debate on how costs contribute to service delivery outcomes. This approach is being developed to cover partnership working.</p> <p>The Council is starting to make better use of the cost information at its disposal to inform decision making. This applies to routine operational decisions which have resulted in gradual improvements in the ratio of costs to outcomes in a number of areas. And it applies equally to major strategic decisions, such as those relating to the development of new office accommodation. This approach extends to partnership working where partners have made decisions on bids for allocation of the LAA delivery fund based on alignment with priorities and the scale of potential impact.</p> <p>There are a number of examples of how the Council has worked in partnership to improve efficiency whilst at the same time considering wider social and environmental impacts, with an increasing emphasis on narrowing the equalities gap which exists in some parts of the city. The Council's Sustainable Procurement Strategy takes account of environmental and social issues as well as the financial impact and some positive outcomes have been achieved.</p> <p>The tight financial constraints within which the Council operates requires the setting of challenging efficiency targets, and the Council has a track record of achieving them with efficiency targets for each of the three years to 2007/08 being exceeded and over £2m cash releasing savings measured by NI 179 being achieved in 2008/09. There is a clear focus on priorities, as evidenced by the easy@york programme. This programme is making innovative use of new technology and has incorporated a range of reviews over a number of years which has resulted in efficiency savings and improved access to services. The Council has worked with a private sector partner to develop an ambitious efficiency programme for the future which aims to make efficiency savings of £15m over the next three years through fundamental service redesign.</p>	

<p>KLOE 1.3 (financial reporting)</p> <p>Score</p> <p>VFM criterion met</p>	<p style="text-align: center;">2</p> <p style="text-align: center;">Yes</p>
<p>Key findings and conclusions</p> <p>Overall the Council has adequate financial monitoring systems in place, although in 2008/09 monitoring has been more frequent and effective at the directorate level than at the corporate level. Improvements have been made since 2007/08, particularly with regards to the directorate level monitoring and the level of corporate scrutiny on the monitoring information. This has contributed to the 2008/09 outturn being in line with the budget and the projected position through the year.</p> <p>The Council is developing a revised financial reporting framework, and had started to implement some of this before the end of 2008/09. Further improvements are being implemented in 2009/10 and we will assess the impact of these in next years' Use of Resources assessment. The continued improvements should help the Council cope with the anticipatec pressures of faster accounts closure, the timetable adopted in 2008/09 and closure of the accounts meant that monitoring did not start until July 2008 in most directorates.</p> <p>Members did not receive budget monitoring information until September 2008, and reports were concentrated in the period to January 2009 before a final report was presented in June 2009.</p> <p>The financial reporting within directorates is primarily on a monthly basis, although only one directorate has a formal budget monitoring timetable and there are variations in approach. Above directorate level, monitoring is almost exclusively based on projections to the year end, and although there is no set methodology for producing these projections, most are based on prior year or prevailing trends and known upcoming developments. All variances over £50,000 are reported above the directorate level (where more minor variances might be looked at for performance management purposes), making these more formal reports lengthy, and potentially promoting more focus on minor issues. Our work in previous years has shown that information provided is sufficient for action to be taken to mitigate any potential impact on service delivery where overspends are identified. Due to the way in which projections are used in financial monitoring it is difficult to identify a clear trail between internally reported results and those reported externally in the financial statements, although the statements do contain a comparison of budget to outturn at a summary level in the foreword.</p> <p>Although financial and non financial information is reported together in a single report, and there are clear explanations in the reports to explain the two sets of data, the linkages between financial and non-financial data are currently not made in a clear and consistent way.</p> <p>The financial statements submitted for audit in 2008/09 have been produced using a more structured and project managed approach than last year, and the accounts were submitted to members on time. The working paper trail has improved from last year.</p> <p>The Council has made some progress in improving the accessibility of its publicly available documents, and has acknowledged that further work is needed to assess and meet the needs of the diverse local community. The Council's web site does contain information on different accessible versions of documents, including foreign language translation and recent improvements have been made to the ease of locating these.</p>	

Appendix 1 – Use of resources key findings and conclusions

Governing the business

Theme score	2
Key findings and conclusions	
<p>The Council has performed strongly on risk management, although there is scope to improve the extent to which the good practices are extended to the Council's partnerships. The Council has a strong approach to commissioning services for e.g. children and young people and older people, particularly those most vulnerable. Further improvements continue to be made to the Council's data quality, and these improvements are continuing in 2009/10 where the Council expects to be able to demonstrate clear improved outcomes.</p>	
KLOE 2.1 (commissioning and procurement)	
Score	2
VFM criterion met	Yes
Key findings and conclusions	
<p>The Council has developed a clear understanding of the needs of local communities through extensive consultation and engagement in the development of the Sustainable Community Strategy. This is also informed by further analysis relating to economic development and the Joint Strategic Needs Assessment carried out in partnership with the Primary Care Trust (PCT). This is influencing the approach to commissioning services, particularly those most vulnerable, and takes account of future needs.</p> <p>There are examples of how users have been engaged in commissioning services and how their views have had an influence, particularly in respect of young people, people with disabilities and older people. User engagement linked to the Supporting People Programme has resulted in the commissioning of a handypersons service and a new advice and information service for older people. Communities are involved in agreeing local priorities for improvement through a network of effective Ward Committees which have developed neighbourhood action plans. Community engagement has also had an impact on the design of corporate projects such as the new office accommodation project and the easy@york project to ensure services are designed in a way to maximise access.</p> <p>The Council monitors service satisfaction and takes account of feedback from users and partners in identifying areas for improvement and prioritising services for review, and is making good use of technology to redesign services and improve efficiency. The easy@york programme has improved access to services and delivered £404,000 in cashable efficiency savings over the last three years through business process redesign and the use of technology.</p> <p>The Council is continuing to develop its web site as a means of direct access to services and is seeking to deliver further service improvements and efficiencies through initiatives such as extending mobile working. There are some examples of externally procured services, such as managed network services, fleet management and elements of home care, and some shared services. The easy@york programme is being integrated with a major Efficiency Review programme which aims to deliver £15m savings over the next three years through a fundamental redesign of a number of key services. This is driving the Council towards a more mixed economy of service delivery.</p>	

Annex A

<p>KLOE 2.1 (commissioning and procurement) (continued)</p> <p>The Council has a good understanding of local supply markets and is working with partners to develop them. It is supporting adult care providers in the move towards more personalised services and in developing the capacity to meet an increasing demand for services. In addition to general support and advice to suppliers on how to tender for Council business, the Council has provided specific support to local businesses linked to the economic downturn. This has helped to protect local jobs as well as minimising the risk to Council services due to the potential failure of local suppliers.</p> <p>The Council procures over £14m of services each year from the voluntary sector and has recently reviewed commissioning to ensure a sustained focus on priorities and value for money. It is also working with the voluntary sector and others to plan for changes in demand for services, such as the anticipated increase in demand for elderly care services. The Council has well established processes for tender evaluation. Major tenders are evaluated using a CIPFA model which balances cost and quality, with evaluation criteria published in advance. The process includes a clear focus on environmental sustainability and the equalities agenda. The effectiveness of existing framework contracts is undermined by limited information on the extent of 'off-contract spend', although this is to be addressed through the introduction of new financial systems. The Sustainable Procurement Strategy is delivering environmental and social benefits as well as financial savings, although the Council is unable to fully quantify the impact.</p>	<p>KLOE 2.2 (data quality and use of information)</p> <p>Score 2</p> <p>VFM criterion met Yes</p>
<p>Key findings and conclusions</p> <p>There is a robust corporate framework to oversee data quality (DQ). The profile of DQ issues has been raised through the nomination of a Chief Officer as DQ champion and the inclusion of DQ as a key project within the Council's Improvement Plan. A policy has been adopted which sets out standards for accuracy, validity, timeliness and accessibility of data. It includes a matrix to allow a scored assessment of each indicator against the standards and identify actions to mitigate the risks of data being flawed. This assessment is in progress, starting with those priority indicators included in the Local Area Agreement (LAA), and is informing a risk-based approach to internal audit checks of DQ.</p> <p>The policy provides guidance and toolkits to support improvements in data collection and is translated into action through a Council-wide Performance Officer Group (POG) which champions DQ within services and provides an ongoing challenge to the accuracy of data. The Audit & Governance Committee receives reports on the effectiveness of arrangements, including progress in responding to issues raised in last year's audit. The Council has a good track record of producing and using relevant and reliable data, and systems for validating data collected from partners are adequate, being done mainly through a shared area within the Council's intranet. Work is progressing to address weaknesses in some partnership data, as well as dealing with issues in respect of some of the new National Indicator set. Good quality information is provided to support decision makers. Reports include a combination of financial and operational performance information which is tailored to the needs of the audience. Their format has recently been reviewed to make them easier to understand.</p> <p>In addition to regular monitoring reports, joint performance monitoring sessions involving Corporate Management Team and the Council's Executive consider in-depth reports and presentations on current performance issues. Information provided includes relevant comparisons with other organisations.</p>	

Appendix 1 – Use of resources key findings and conclusions

<p>KLOE 2.2 (data quality and use of information) (continued)</p> <p>Reporting arrangements take account of elements of diversity and the Council is developing its information systems to enable greater geographical analysis of data. The Council has integrated within its performance management system the local and national indicators included in the LAA and provides regular performance reports to the Local Strategic Partnership (LSP).</p> <p>The POG provides a mechanism for gathering feedback from decision makers to ensure reports remain relevant. Data management systems are effectively managed and controlled to minimise the risk of data loss or corruption. A disaster recovery plan is in place which is updated annually and regularly tested. Testing of the plan has not identified any problems which could impact on the reliability of data. An IT security policy is in place which covers key business areas, is compliant with national standards and is supported by appropriate practices and procedures, and the Council is working towards compliance with the Government Connect standard.</p> <p>The range of indicators used to manage performance has been reviewed to ensure alignment with the Local Area Agreement and the corporate priorities of the Council. Performance reports are structured around priorities for both the Council and the LSP and include summaries of performance at a strategic level. Information includes financial and efficiency measures as well as user satisfaction, quality of life indicators and elements of diversity. There are clear links between the performance management process and business planning and the Council has a track record of using performance information to target under-performance, improve value for money and identify actions to improve.</p>	
<p>KLOE 2.3 (good governance)</p>	<p>2</p>
<p>Score</p>	<p>Yes</p>
<p>VFM criterion met</p>	
<p>Key findings and conclusions</p> <p>The Council Constitution is comprehensive, clearly sets out the roles and responsibilities of Members and Officers. It follows the DETR model and is regularly reviewed so it remains up to date. There are predominantly good working relationships between members and officers. Improvements have been made in recent years, though there are still some tensions and further improvements can be made. The Council has responded positively to the outcomes from our ethical governance audit, and is considering how to measure and track progress against improvements.</p> <p>The Council provides training to ensure that members are properly equipped and developed. A Member Development Committee has been established, so members can assess their own training needs and decide what training is required. Members have signed up to the Idea Member Development Charter, and member development appraisals have been introduced, although only 17 members have currently signed up to a formal personal development plan.</p> <p>There is still some work to do to ensure that all members and officers work together to achieve the Council's overall purpose and vision, and the level of this cooperation differs across the organisation. The Leader and Chief Executive have worked together to achieve corporate priorities in a structured way, and there are four joint monitor sessions held each year between CMT and Executive Members to review progress against key performance areas that support council priorities.</p>	

Annex A

KLOE 2.3 (good governance) (continued)

The Standards Committee operates in accordance with the requirements, publicises its role both internally and externally, and helps members follow their code of conduct. Consideration needs to be given to how high standards of behaviour are maintained when working in partnership with other organisations. The Council is actively trying to raise the profile of the Standards Committee, and has an independent co-opted member as chair. The Council hasn't fully assessed the training needs of members in relation to standards of conduct, but has provided some training in specific areas during 2008/09. The Standards Committee and chair do not routinely meet with the Chief Executive, Leader or other party leaders to discuss ethical issues, although an initial meeting with the Chief Executive was held in June 2009.

The member complaints process is widely available via the Council's website, and although the outcomes of all investigations are published on the website, feedback is not currently sought from those involved in the complaint. Member and officer codes of conduct are in place and there is a formal member/ officer protocol within the constitution. Registers of interests and hospitality are in place for members and senior officers, and reminders are sent annually to members on the requirements of the code of conduct.

The Council maintains a database of its partnerships, has set criteria for determining its significant partnerships, training is provided to officers, there is a 30 point checklist in corporate guidelines to help officers determine whether a partnership should be formed, and resources are available to support officers in setting up and monitoring partnership activity. All the main partnerships have action plans and performance indicators to measure whether they are achieving their aims, and significant partnerships complete an annual self assessment, with the results fed back to the LSP. The Council has a locality wide agreement with the third sector, ie voluntary and community organisations that is being linked into their efficiency agenda. The Council have put in place the Third Sector Compact, a national framework for working with voluntary and community organisations that they have adapted to their local circumstances.

Appendix 1 – Use of resources key findings and conclusions

<p>KLOE 2.4 (risk management and internal control)</p> <p>Score 3</p> <p>VFM criterion met Yes</p>	<p>Key findings and conclusions</p> <p>The Council has good risk management arrangements, risk is embedded within working practices, and continues to be more embedded within the day to day activities of the Council, being included in all major and minor project management, and linked to all policy, decision making and procurement processes. Risk is understood as an enabler for more successful project delivery, and as a way of seeking opportunity and improving efficiency. Risks are owned, managed and delivered within departments rather than by the risk management officer. The Admin Accom Project and the waste PFI have both used risk to help make project decisions and consider the potential barriers to successful project completion. In the current economic climate, the Council has actively sought to identify and manage the economic downturn risks, aligning the risks to the achievement of specific corporate priorities. Partnership risk is considered on a project basis and also in an annual questionnaire to key partnerships.</p> <p>The Council provides risk management training to members and officers through the year, and the training was well received by Members who attended. Members are more involved in the risk management process, with updates being presented on key corporate risks to the Audit Committee for them to consider and comment upon as necessary. The final monitoring report of 2008/09 shows that the member review resulted in out of date risk actions being dealt with and the risks updated, and although some reference is made to corporate priorities in the report individual risks have not been explicitly linked to individual priorities.</p> <p>The programme of counter fraud and corruption work is resourced, risk based and proportionate. There is an annual counter fraud activity plan agreed by the Audit Committee. This includes budgets for both reactive and preventative work and time for staff training and general fraud awareness. The counter fraud and corruption policy was revised and approved in March 2008, prepared in accordance with CIPFA good practice principles, and it sets out the overall approach of the Council.</p> <p>The Council has a strong counter fraud culture and reviews the success of its arrangements. Fraud awareness training was provided to certain groups of staff, the council publicises successful investigations, and continued to work closely with the DWP and other organisations. The fraud team work with key departments such as housing to raise awareness and identify potential frauds, and internal and external publicity of the fraud team and successful prosecutions is used frequently. Several high profile cases with successful prosecutions, either working with the police or bringing their own prosecution, have served to embed a strong counter fraud culture within the council and a public awareness that fraud is not tolerated.</p> <p>The Council's Audit and Governance Committee has a balanced membership, is independent, receives and approves reports on the control framework, and training is provided to members of the Committee. The Committee is starting to actively challenge internal control arrangements, though there is little evidence of liaison with other committees to identify potential internal control issues. The Council has an effective internal audit service that completed over 90 per cent of the 2008/09 audit plan, but there have been vacancies in 2008/09 that have impacted on delivery. In addition in 2008/09 the Council has delivered the project to establish a separate Internal Audit shared service provider, which commenced on 1 April 2009. We will assess the operation and impact of the new arrangements in next years' Use of Resources assessment. The Internal Audit plan provides sufficient assurance over financial controls. The Constitution underpins all the internal control arrangements in place, and there is a framework in place for assessing and completing the AGS. An Officer Governance Group meets regularly to discuss governance arrangements, and coordinates preparation of the AGS. The s151 and Monitoring Officer, as well as the Constitution, effectively provide control over the legality of expenditure and compliance with law and regulations. Emergency and business continuity plans are in place and are regularly reviewed and tested.</p>
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Annex A

Managing resources

Theme score	2
Key findings and conclusions	
<p>The Council has embarked on a number of projects to reduce its consumption of natural resources and its environmental impact. Further work is continuing in 2009/10 to demonstrate the impact of the projects and to accurately measure the improvements they have delivered. The Council's approach to asset management needs to be developed to ensure that it delivers positive impacts and outcomes across the organisation.</p>	
KLOE 3.1 (use of natural resources)	
Score	2
VFM criterion met	Yes
Key findings and conclusions	
<p>The Council has an understanding of the natural resources it consumes and has developed a strategic approach to reduce its environmental impact. It has developed an internally-focused Environmental Sustainability Strategy and has embarked on a Carbon Management Programme, although the Council cannot fully demonstrate its impact.</p> <p>The Council calculated a baseline figure of its CO2 emissions based on 2006/07 information which it has used to set targets and measure progress. This estimated the Council's annual CO2 emissions as 57,800 tonnes, arising mainly from its housing stock (59 per cent), other buildings (28 per cent), transport (5 per cent) and street lighting (6 per cent). However, the Council has continued to verify the accuracy of the baseline data, and the original baseline included some estimates relating to buildings where accurate readings were not available.</p> <p>The Council has set a target to reduce its carbon emissions by 25 per cent by 2013 excluding housing. It aims to reduce emissions from its housing stock by 25 per cent by 2020, reflecting longer term funding issues in respect of housing. Early progress has been made on implementing projects to reduce emissions, but the Council cannot fully demonstrate their impact.</p> <p>The Council estimates that 400 tonnes of carbon were saved during 2008 through the opening of a purpose built Eco Depot, the installation of biomass boilers in a number of buildings and improved insulation, but is unable to accurately assess the impact of each project. Other projects are in progress which the Council anticipates will increase the saving to more than 2,400 tonnes by the end of 2010. Further savings are being delivered through improvements to heating systems and insulation of the housing stock linked to the Decent Homes Standard. Other projects relating to street lighting, transport and continued improvements to the Council's buildings are being developed to meet longer-term targets.</p>	

Appendix 1 – Use of resources key findings and conclusions

<p>KLOE 3.1 (use of natural resources) (continued)</p> <p>All water usage is monitored and new council buildings have water conservation devices. There are also examples of water being re-used, for example at the Eco Depot to wash vehicles. A recent review of the Corporate Plan made climate change a priority for the Council, resulting in the redirection of £250,000 in 2008/09 to fund carbon reduction projects. Resulting financial savings are to be reinvested in further projects, and bids for external funding are being submitted for building and street lighting projects. Two new posts have been created along with a Carbon Board comprising senior officers and councillors to oversee delivery of the carbon reduction plan.</p> <p>Bids for capital investment in buildings must consider carbon reduction and information on carbon emissions is considered as part of the process to prioritise bids capital funding. The Council is also participating in a virtual trading scheme through Carbon Action Yorkshire to prepare for the introduction of the Carbon Reduction Commitment which will impose an annual carbon budget. The monitoring of elements of environmental performance is built into established performance management processes.</p> <p>The Council is working towards an organisation-wide approach to managing environmental risks through the introduction of an Environmental Management system. This is not yet complete, although the process is well advanced in some areas such as Neighbourhood Services and Environmental Protection. The Council has carried out sustainability impact assessments on the Corporate Strategy and the draft Economic Strategy and plans to introduce this approach across all directorates in 2009. The Council has a sustainable procurement strategy and promotes the use of products that have a low environmental impact. Tender evaluation arrangements are being reviewed to emphasise the importance of reducing the Council's carbon footprint through the services it procures.</p>	<p>KLOE 3.2 (strategic asset management)</p> <p>Score 2</p> <p>VFM criterion met Yes</p>
<p>Key findings and conclusions</p> <p>The Council has developed a strategic approach to asset management, which has had some positive impact, but is not consistently applied across the organisation. There is a corporate Asset Management Plan (AMP) and a corporate group of officers charged with the task of implementing it. The Plan is well structured and based on good practice principles. The officer group comprises a range of appropriate, experienced officers from across the Council, recently supplemented by representatives from partner organisations. It provides a useful forum for sharing information and identifying opportunities to improve asset management, and has a role in prioritising bids for capital funding. However, the group relies on influence rather than direct control of asset management and structures are not in place to ensure principles are applied consistently.</p> <p>There are some service AMPs in place which provide links with service planning, although these are not used effectively to manage progress towards strategic priorities. Area AMPs have been developed for some parts of the city to ensure the needs of local people are taken into account in managing assets in the locality. However, these are few, and are being developed in a piecemeal way. There are also examples of asset management taking place at a service level outside the Council's corporate approach. Implementation plans for asset management are not consistently robust. Corporate and service AMPs are not under-pinned by robust implementation plans although area AMPs have action plans which are clearly focused on local needs and priorities.</p>	

Annex A

KLOE 3.2 (strategic asset management) (continued)

The delivery of ambitions for asset management is constrained by limited financial resources and a lack of a full understanding of how assets contribute to the achievement of corporate priorities. This undermines the Council's ability to demonstrate value for money in asset management. Steps are being taken to address the gaps in information regarding the Council's asset portfolio through the development of a new asset data base, but this is not yet complete.

Annual benchmarking is carried out against a set of national asset management indicators which is used to identify good practice, but there is no framework of local indicators and targets to routinely monitor progress against the objectives and priorities contained in the corporate AMP. Although a range of relevant indicators exist, they are seen as service-related indicators and are not brought together to provide a rounded view of the performance of the asset base.

The Council has a repair and maintenance strategy which aims to ensure its assets remain fit for purpose and there are examples of how the Council is improving services through improvements to its asset base. However, as repair and maintenance budgets are largely devolved to services, it is impossible to ensure that they are consistently prioritised and there is no consistent approach to challenge whether assets provide value for money in meeting current and future needs. The Council is failing to address the growing level of backlog maintenance. The planned move to new office accommodation is expected to reduce the backlog by £5m, but delays in the move mean that these savings are yet to materialise. There is an established policy to work with community groups which is delivering community benefits.

There are examples of Council assets being transferred to community groups which have had a positive impact and others are being considered, as part of area asset management planning. Through the corporate officer group, the Council is engaging partners in identifying opportunities for sharing assets for the benefit of the local community. There are some examples of shared use of buildings with partners, but the Council and partners are working to develop a more strategic approach.

Appendix 2 – Action plan

Page no.	Recommendation	Priority 1 = Low 2 = Med 3 = High	Responsibility	Agreed	Comments	Date
	Annual Audit Letter 2008/09 Recommendations					
5	R1 Implement a thorough and robust quality assurance process that is designed to identify material errors in the financial statements before they are approved in June 2010.	3				
9	R2 Produce and implement action plans arising from the use of resources assessments and value for money work.	3				

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Audit and Governance Committee

21 September 2009

Report of the Director of Resources

Annual Governance Report – Audit Commission

Summary

1. The International Standard on Auditing (United Kingdom and Ireland) – ISA (UK&I) - 260 requires the Audit Commission to report to those 'charged with governance', issues arising from the audit of Financial Statements. The purpose of this report is to bring to Members attention the Audit Commission's Annual Governance Report, agree the Council's response and seek approval to changes to the 2008/09 Financial Statements. A copy of the Audit Commission report is attached at Annex A.

Background

2. In 2006 the Audit Commission introduced revised reporting arrangements that included a new requirement for an Annual Governance Report to be presented to those 'charged with governance' at the council, this requirement has been retained under the new Comprehensive Area Assessment (CAA). The report must be considered by the council before a statutory deadline of the 30 September each year. This report is made in addition to the Annual Audit Letter which will be published in December 2009.
3. International Standard on Auditing (ISA) 260 also requires the Audit Commission to give an opinion on the Council's arrangements for securing economy, efficiency and effectiveness in its use of resources (the value for money conclusion). An unqualified Audit Opinion on the Council's arrangements is anticipated by the 30th September 2009.
4. The Pre-Audit Statement of Accounts 2008/09 were approved by Audit and Governance Committee on 29th June 2009 in accordance with the planned timetable and statutory deadline. Various improvement activities that had been introduced to the Closure of Accounts process were outlined in the covering report presented to the Committee.
5. The nature of the continuing work on the audit of the financial statements accounts has necessitated a delay in the production of these papers. This has resulted from the extremely tight timescales involved in the project, and the need to provide Members with the most up-to date agreed position on the audit for consideration at the meeting. The audit of the accounts will formally continue until the statutory deadline of the 30th September 2009 however during the course of the audit to date, a number of material misstatements

have been identified which the Council proposes to amend, Appendix 2 of the Annual Governance Report schedules those misstatements that the auditor considers are non-trivial.

6. Appendix 3 of the Annual Governance Statement provides an analysis of misstatements to the accounts which the Council proposes not to amend the accounts to reflect. A Letter of Representation (as required by International Auditing Standards) has been prepared for signature by the Chair of this Committee following members consideration of this item. The Letter of Representation will explain that management believes the unadjusted amendments scheduled in Appendix 3 to be immaterial, both individually and in aggregate, to the financial statements as a whole. The letter has been drafted in accordance with the template provided by the Audit Commission. The Council's S151 Officer will also be required to sign this letter.
7. In addition to the Annual Governance Report, a detailed schedule of amendments to the accounts has been provided at Annex B. This annex provides a comprehensive analysis of the impact of the changes referred to in the Annual Governance Report, together with details of trivial changes to the pre-audit statement of accounts which have not been detailed in the Annual Governance Report. A revised Statement of Accounts reflecting all the agreed changes will be available on the day of the meeting to be re-approved by Audit and Governance Committee and signed by the Chair of the meeting.
8. The Annual Governance Report acknowledges significant improvements in the process for closing the accounts. In particular, queries have generally been turned round in accordance with a new protocol agreed with the Auditors. Improvements to the internal Quality Assurance (QA) process have resulted in fewer issues being identified by the Audit Commission, although it is recognised that the internal QA process needs to be embedded even further into the Close of Accounts process for future years in order to ensure fewer errors are presented as part of the Pre-Audit Statement of Accounts.
9. The production of the Statement of Accounts is the subject of continuous review and further improvements will be sought in 2009/10. This will be another challenging year bearing in mind the preparation required towards the implementation of International Financial Reporting Standards (IFRS) in 2010/11, a topic which is the subject of a further report on this agenda.
10. The Annual Governance Report contains an Action Plan which highlights a number of areas for improvement, all of which will be monitored by a Governance Group chaired by the Director of Resources. Key matters raised within the report, which remain unresolved during 2009/10 will be feature in the Annual Governance Statement for 2009/10.

Consultation

11. The report of the External Auditor has been discussed with the relevant responsible officers and has been approved in draft by the S151 Officer. It is reported here for due consultation with those members charged with governance at the council.

Options

12. Not relevant for the purpose of the report.

Analysis

13. Not relevant for the purpose of the report.

Corporate Priorities

14. This report contributes to the overall effectiveness of the council's governance and assurance arrangements. It directly contributes to the corporate priority of 'An effective Organisation' in enhancing financial use of resources within the council.

Implications

15. There are no financial, HR, equalities, legal, crime and disorder, IT or property implications arising from this report.

Risk Management

16. The council will fail to comply with legislative and best practice requirements to provide for the proper audit of the authority if it does not consider this report or approve and sign off the letter of representation now required by International Auditing Standards.
17. By not responding effectively to the matters contained in this report, the council will fail to properly comply with legislative and best practice requirements, and its performance in future CAA assessments could be adversely affected.

Recommendations

18. Members are asked to:
 - (a) note and discuss the matters set out in the Annual Governance Report presented for discussion by the External Auditor;

Reason

To ensure the proper consideration of the opinion and conclusions of the External Auditor in respect of the annual audit of accounts and review of the council's arrangements for ensuring value for money.

- (b) consider the action plan arising from the report as set out in Appendix 5 to the External Auditor's report;

Reason

To ensure appropriate action is being taken by officers to address any matters raised by the External Auditor further to his report

- (c) Consider the items identified in Appendix 2 of the Annual Governance Report and agree to amend the 2008/09 Statement of Accounts for those items.
- (d) Consider the items identified in Appendix 3 of the Annual Governance Report and agree not to amend the 2008/09 Statement of Accounts for those items.
- (e) Approve the amended Statement of Accounts 2008/09
- (f) Approve the letter of representation for signature by the Chair of this Committee, having first considered whether it sufficiently reflects the views and beliefs of the Committee as those charged with governance at the Council

Reason

To ensure compliance with International Auditing Standards and relevant legislative requirements.

- (g) Note the anticipated receipt of an unqualified Audit Opinion to both the Statement of Accounts 2008/09 and the Council's arrangements for securing economy, efficiency and effectiveness in its use of resources

Reason

To ensure Members of the Audit and Governance Committee are aware of any matters arising from the annual audit of the Statement of Accounts.

- (h) Note the improvements to the Closure of Accounts process in 2008/09.

Contact Details**Author:**

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Chief Officer Responsible for the report:

Ian Floyd
Director of Resources
Telephone: 01904 551100

Report Approved**Date** 15/9/09**Specialist Implications Officers**

Not applicable

Wards Affected:All

For further information please contact the author of the report

Background Papers:

Audit and Governance Committee 29th June 2009 – Statement of Accounts 2008/09

Annex

Annual Governance Report 2008/09

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Audit and Governance Committee

21 September 2009

Report of the Director of Resources

Use of Resources 2008/09: Audit Commission Report

Summary

1. This paper introduces a report (see annex) prepared by the Audit Commission summarising the findings from the Use of Resources Assessment relating to the financial year 2008/09 which is now operating within the Comprehensive Area Assessment (CAA) framework. This is one part of a scored auditor's assessment with the Organisational Assessment aspect of the CAA process.

Background

2. In the first year of CAA the Audit Commission has carried out its annual review of the council's arrangements for use of its resources. This focussed on a new suite of themes with the following overall scores:

KLOE	Score	Theme score
Managing Finances		
1.1 Financial planning	2	2
1.2 Understanding costs & performance	3	
1.3 Reporting financial performance	2	
Governing the Business		
2.1 Commissioning & procurement	2	2
2.2 Data quality	2	
2.3 Good governance	2	
2.4 Risk management & internal control	3	
Managing Resources		
3.1 Natural resources	2	2
3.2 Asset management	2	
	Overall Score	2

3. In summary the report concludes that the council performed adequately in its use of resources in 2008/09, based on an overall score of **2**. The overall score is not comparable with the previous year's score of 3 as it took place under a different assessment process which is explained in the report.
4. The report states that 'There are elements of strong performance across a number of the use of resources Key Lines of Enquiry (KLOE), in particular the Council's provision of value for money services, its risk management arrangements and elements of its commissioning of services'.
5. Ongoing improvement actions will continue to be monitored, where appropriate, through the council's Improvement Plan and Corporate Strategy, and by the Strategic Officer Governance Group chaired by the Director of Resources as part of the improvement work set down within the 2008/09 Annual Governance Statement.

Consultation

6. The report and action plan has been discussed and agreed by officers.

Options

7. Not relevant for the purpose of the report.

Analysis

8. Not relevant for the purpose of the report.

Corporate Priorities

9. This report contributes to the overall effectiveness of the council's governance and assurance arrangements and the achievement of the corporate priority 'Effective Organisation'.

Implications

10.
 - **Financial** – there are no financial implications to this report.
 - **Human Resources (HR)** – there are no HR implications to this report.
 - **Equalities** - there are no equalities implications to this report.
 - **Legal** - there are no legal implications to this report
 - **Crime and Disorder** – there are no crime and disorder implications to this report.
 - **Information Technology (IT)** - there are no IT implications to this report.

- **Property** - there are no property implications to this report.

Risk Management

11. By not responding to the content of this report, the council will fail to properly comply with legislative and best practice requirements, and its Use of Resources score in current and future CAA assessments could be adversely affected.

Recommendations

12. Members of the Audit and Governance Committee are asked to note the report and the progress the council is making in addressing the areas for improvement in this and previous reports.

Reason

To ensure the maintenance of an effective internal control environment at the council.

Contact Details

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Chief Officer Responsible for the report:

Ian Floyd
Director of Resources
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Report Approved

Date 11 September 2009

Specialist Implications Officers

Not applicable

Wards Affected:

All

For further information please contact the author of the report

Background Papers:

See below

Annex

Audit Commission Use of Resources Report 2008/09

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Effective Organisation Overview & Scrutiny Committee

12 January 2010

Report of the Head of Civic, Democratic & Legal Services

Report on the 2010/11 Budget Strategy and Medium Term Financial Planning 2011/12 to 2013/14

Summary

1. This report presents an Executive report dated 15 December 2009 detailing the strategy being adopted for the development of the 2010/11 Revenue Budget and outlines the longer term issues linked to public sector funding and the implications these may have on the council's medium term financial planning.
2. A report on the arrangements for the development of the 2010/11 Budget was originally approved by Executive on 23rd June 2009, and the report attached at Annex A seeks to provide further information to Members.

Background

3. As a result of the re-structure of the scrutiny function at the beginning of the municipal year 2009-10, the remit agreed for this committee includes the responsibility for considering the Council's budget strategy. This report is the first of this type, and the Committee will continue to receive such a report annually, around this time in December, until such time as this Committee's remit is changed.

Consultation

4. The budget strategy has been discussed and supported at Corporate Management Team level which has resulted in each Directorate, via their Departmental Management Teams submitting budget proposals.

Options

5. Having considered the information within this cover report and the report at Annex A (and its associated annexes), Members may choose to:
 - ask questions of the Assistant Director of Resources who will be present at the meeting;
 - provide comments on the budget strategy

Analysis

6. A full analysis of the budget strategy is included within the report at Annex A.

Corporate Strategy

7. The information and issues included in the report attached at Annex A are designed to demonstrate that the council's financial planning is focussed on achieving the priorities set out in the council's corporate strategy (2009-12).

Implications

8. **Financial** – There are no financial implications associated with the recommendation in this report. In regard to the report at Annex A, the associated financial implications are detailed in the body of that report.
9. There are no known Legal, HR, Equalities, ITT, Property or other implication associated with the recommendation in this report or the report attached at Annex A.

Risk Management

10. It is clear that the current economic climate and the longer term implications this may have on central government funding represents a significant risk in terms of preventing the council from delivering quality services and meeting its corporate priorities. All financial planning decisions that are made need to be assessed for their sustainability in view of reduced funding and set against expectations that significant efficiencies are derived from the way in which the council delivers its services.

Recommendations

11. Members are asked to consider the report at Annex A and provide any comments on the principles being adopted for the preparation of the 2010/11 budget.

Reason: To assist their understanding of the budget strategy and its approach in 2010-11

Contact Details

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Chief Officer Responsible for the report:

Dawn Steel
Democratic Services Manager

Report Approved



Date 18 December 2009

Specialist Implications Officer(s) N/A

Wards Affected:

All



Background Papers: N/A

Annexes

- Annex A** – Report on the 2010/11 Budget Strategy and Medium Term Financial Planning 2011/12 to 2013/14
- Annex A1** – Unitary Authority Formula Grant – increases in funding for 2010/11
- Annex A2** – Unitary Authority Formula Grant – funding per capita fro 2010/11

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Executive**15th December 2009****Report of the Director of Resources****2010/11 Budget Strategy and Medium Term Financial Planning
2011/12 to 2013/14****Summary**

1. This report seeks to update Members on the strategy being adopted for the development of the 2010/11 Revenue Budget, which will require approval from Council on 25 February 2010. The report also outlines longer term issues linked to public sector funding and the implications these may have on the council's medium term financial planning.
2. The current funding assumptions underpinning the development of the 2010/11 Revenue Budget are:
 - a) A Council Tax increase of 2.9%.
 - b) A Formula Grant increase of 2.5%, which is 0.5% below the average increase for unitary authorities and follows a 'damping' reduction of £1.155m. The settlement also sees the council as the 9th lowest out of all 55 unitary authorities in per capita funding, equating to £153.99 below the national average for each person in the city.

Background

3. The 2009/10 Budget Report approved by Council in February 2009 contained a Medium Term Financial Forecast (MTFF) which broadly outlined the council's financial strategy through to 2012/13. The MTFF set out the main financial risks faced by the council, indicated a balanced position for 2010/11 and was based on a number of key assumptions, i.e.
 - a) A Council Tax increase of 4%.
 - b) Efficiency savings delivered through a transformation programme which would remove the need for unstructured 'salami slicing' of budgets.
 - c) Resulting in additional financial capacity to allow investment in key corporate priority areas.
4. Since the MTFF was produced, the economic climate has deteriorated significantly resulting in pressures on income generating services and additional demand for services from residents who have been worst hit by the recession. In addition, demand for social care across the city has risen dramatically, resulting in ongoing financial pressures in 2009/10 which will need to be addressed as part of the development of the 2010/11 Budget.

5. At the same time, the council's corporate strategy has been refreshed which was approved by Council in April 2009. Any financial planning decisions that are made should therefore work towards meeting the revised aims and objectives outlined in the strategy.
6. A report on the arrangements for the development of the 2010/11 Budget was approved by Executive on 23rd June 2009, and this report seeks to provide further information to Members.

2010/11 Revenue Budget – Latest position

7. As part of the development of the 2010/11 Revenue Budget, a review of the MTFF has taken place and updates have been made in respect of key assumptions, which have been extended following a review of the council's reserves and an assessment of the areas where corporate growth is seen as essential for financial pressures deemed unavoidable.
8. The key assumptions underpinning the development of the 2010/11 budget are set out below:
 - a) A Council Tax rise of 2.9%.
 - b) A Formula Grant rise of 2.5%.
 - c) The cash limiting of budgets for directorates, with the need to self fund all non-exceptional budget pressures within this cash limit, including:
 - i) pay increases, i.e. operating on a cash standstill basis.
 - ii) inflationary increases, as above.
 - iii) any cost of appeals and increments arising from the Pay and Grading review.
 - iv) one-off growth items to reduce pressure on the council's reserves.
 - d) An assumed level of savings gained through the More for York programme.
 - e) The reinvestment of any such savings into priority areas identified as part of ongoing budget monitoring and from the corporate strategy.
9. The provisional Formula Grant settlement was confirmed on 26 November 2009 and it showed that York would be receiving a 2.5% increase in the grant for 2010/11, giving total funding of £44.570m. This is low overall as York does not have a high deprivation level in comparison to other councils, which is one of the key drivers for allocating the grant. In addition, York's annual increase is top sliced under the 'damping' system to guarantee other councils a minimum level of grant, meaning a loss of £1.155m in 2010/11. Annex 1, summarised in the table below, outlines the percentage increase in Formula Grant for all unitary authorities and shows that the average increase is 3.0% which is 0.5% more than York.

Unitary Authority	Rank	% Increase in Formula Grant - 2010/11
Rutland (Highest)	1	6.2
York	34	2.5
Wokingham (Lowest)	55	1.5
Average		3.0

10. The table below shows how much Formula Grant funding per person that York will be receiving in 2010/11 and compares this to other unitary authorities, the full results of which can be seen in Annex 2. It can be seen that York is ranked 47th out of the 55 unitary authorities (9th lowest) and receives £153.99 per person less in funding than the average.

Unitary Authority	Rank	Formula Grant Per Capita - 2010/11 (£'s)
Leicester (Highest)	1	639.56
York	47	224.19
Wokingham (Lowest)	55	126.69
Average		378.18

11. The self funding of non-exceptional budget pressures by directorates, along with the work being carried out through the More for York programme, is designed to promote efficient delivery of services whilst at the same time ensuring funding is available for investment in key priority areas across the council.
12. The 2009/10 budget monitoring process has identified areas of activity that currently have insufficient financial capacity to deal with the increased demands placed on those services. It is essential that priority is given to directing investment into these areas so that the planning and monitoring for service delivery can take place against an adequate resourcing platform.
13. As a result of this it is apparent that the following three areas need to be at the forefront of discussions for additional investment:-
- Children's Social Care – York's Looked After Children (LAC) population has risen by 32% since March 2008 and investment is required to ensure that this area is adequately funded. A new government requirement for 16/17yr olds to be classed as LAC will add pressures to this area anticipated to total approximately £2.1m.
 - Adult Social Care – throughout 2009/10, the council has faced dramatic increases in learning disabilities cases, home care contracts and care for the elderly which is expected to continue to rise due to the ageing population. This rise in demand equates to approximately £1.8m in investment.
 - Waste Management – includes the requirement to fund rising Government levies on Landfill Tax, the £8 per tonne increase of this costing the council a further £0.44m in 2009/10, as well as meeting household recycling targets.
14. As part of the 2009/10 Budget, the council made a specific budgetary provision of £400k to deal with the effects of the economic downturn, which has affected services such as car parking, planning and leisure and the prolonged effects of this suggests that it would be prudent to consider increasing this provision as part of the 2010/11 Budget, with anticipated pressures next year totalling £1.3m.

15. Additionally, consideration must be given to Treasury Management where an eventual upturn in the economy would ease current financial pressures, currently predicted to be £3.1m in 2010/11, as well as providing revenue support that will assist the council in meeting its long term objectives through the capital programme.
16. In summary, the council is facing spending pressures that, due to demands placed on services, greatly exceeds inflation. The council is committed to investing only in priority areas outlined in the corporate strategy which is exemplified by the fact that directorates will be expected to contain all pay and inflation costs within existing budgets.

Linking Financial Planning and Corporate Priorities

17. It is essential that the budget preparation process facilitates adequate resourcing of the council's priorities as expressed in the corporate strategy. Some of the priorities will be addressed through specific growth bids, however many will result from internal re-alignment of existing budgets within directorates. Officers in corporate performance are working closely with directorates to ensure that sufficient resources are in place to deliver against the milestones contained in the corporate strategy.
18. It is important that the process is transparent, and that there is seen to be a robust process of realignment of priorities, certainty over the way Directorates propose to meet the cost of pay and grading, and that it is demonstrated that funding has been allocated priority areas.
19. As a result each directorate will need to have demonstrated, and where relevant submitted, on the following:
 - a) Requests for priority growth areas.
 - b) Clearly set out any budget realignment that they are proposing – i.e. proposed internal savings that will fund any new priority areas or inflationary pressures.
 - c) Clearly set out how they will be dealing with the effects of Pay and Grading.

Timeline

20. A first round of budget meetings took place during November where each directorate was required to present the current pressures being faced, how they would fund these as well as explaining bids for corporate growth as outlined in paragraphs 12 to 15. For directorates where further work is required to reach a balanced position, a second round of budget meetings will be taking place in the middle of December.
21. Following this, each directorate will be taking a report to an Executive Member Decision Session during January where their plans will be considered in depth. Information made available will help form the basis of the 2010/11 Budget Report presented to Members in February.

Medium Term Financial Planning Implications

22. The 2010/11 budget will be the last to be prepared under the current three year Comprehensive Spending Review (CSR) financial settlement, which as outlined in paragraph 8 will be providing the council with a 2.5% increase in government funding compared to 2009/10.
23. Since the previous settlement was agreed, the UK's economic landscape has changed dramatically which has placed great strain on public finances. It is because of this that the council has to be prepared to accept that it will be subjected to cuts in the funding it receives from central government, with similar authorities predicting real term cuts of upto 5% year on year.
24. A revised three year MTFP upto 2013/14 will be included as part of the 2010/11 Budget Report which will have to display prudent assumptions on any future government funding. As a result, there is a need for significant debate over the coming months in terms of the council's readiness to deal with these potentially large funding reductions. This will require the council to change the way it delivers its services in ways that go beyond the work being carried out by the More for York programme.

Consultation

25. The budget strategy has been discussed and supported at Corporate Management Team level which has resulted in each directorate, via their Departmental Management Team's submitting budget proposals.

Corporate Priorities

26. The information and issues included in this report is designed to demonstrate that the council's financial planning is focussed on achieving the priorities set out in the council's corporate strategy (2009-12).

Implications

27. The implications are:
 - Financial - the financial implications are dealt with in the body of the report.
 - Human Resources - there are no human resource implications to this report.
 - Equalities - there are no equality implications to this report.
 - Legal - there are no legal implications to this report.
 - Crime and Disorder - there are no crime and disorder implications to this report.
 - 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

28. It is clear that the current economic climate and the longer term implications this may have on central government funding represents a significant risk in

terms of preventing the council from delivering quality services and meeting its corporate priorities. All financial planning decisions that are made need to be assessed for their sustainability in view of reduced funding and set against expectations that significant efficiencies are derived from the way in which the council delivers its services.

Recommendations

29. It is recommended that Members:

- a) Note the principles being adopted for the preparation of the 2010/11 budget, in particular the fact that any additional resources will be used to invest in key priority areas across the council.
- b) Note that work is continuing to review the impact of future public spending reductions as part of the ongoing development of the Council's Medium Term Financial Strategy.

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Ian Floyd, Director of Resources

Report Approved **Date** *December 2009*

Keith Best, AD Resources (Finance)

Report Approved **Date** *December 2009*

Specialist Implications Officer(s):

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

All

For further information please contact the author of the report

Annexes:

Annex 1 – Unitary Authority Formula Grant – Increases in Funding 2010/11

Annex 2 – Unitary Authority Formula Grant – Per Capita Funding 2010/11

Unitary Authority Formula Grant - Increases in Funding 2010/11

	Increase in Grant (£ million)	Increase in Grant (%)	Rank (Highest)	Rank (Lowest)
Rutland	0.452	6.2%	1	55
Torbay	2.868	5.1%	2	54
Blackburn with Darwen	3.848	4.9%	3	53
Telford and the Wrekin	3.141	4.7%	4	52
East Riding of Yorkshire	4.504	4.7%	5	51
Cornwall	9.278	4.5%	6	50
North Lincolnshire	2.462	4.1%	7	49
Blackpool	3.175	4.0%	8	48
Herefordshire	2.232	4.0%	9	47
Bath & North East Somerset	1.583	4.0%	10	46
Isle of Wight Council	2.284	3.9%	11	45
North East Lincolnshire	2.680	3.8%	12	44
Shropshire	3.383	3.8%	13	43
Luton	3.145	3.6%	14	42
South Gloucestershire	2.124	3.6%	15	41
Medway	2.937	3.6%	16	40
Peterborough	2.630	3.5%	17	39
Milton Keynes	2.954	3.5%	18	38
North Somerset	1.747	3.5%	19	37
Stoke-on-Trent	4.257	3.5%	20	36
Kingston upon Hull	5.028	3.4%	21	35
Hartlepool	1.700	3.4%	22	34
Derby	3.487	3.3%	23	33
Durham	7.238	3.2%	24	32
Nottingham	5.223	3.1%	25	31
Redcar and Cleveland	2.061	3.1%	26	30
Thurrock	1.758	3.0%	27	29
Northumberland	3.695	2.9%	28	28
Cheshire East	1.775	2.9%	29	27
Leicester	5.035	2.8%	30	26
Darlington	1.060	2.8%	31	25
Stockton-on-Tees	2.081	2.7%	32	24
Central Bedfordshire	1.333	2.7%	33	23
York	1.108	2.5%	34	22
Bristol	4.087	2.5%	35	21
Plymouth	2.567	2.5%	36	20
Bedford	1.299	2.5%	37	19
Halton	1.525	2.4%	38	18
Middlesbrough	1.916	2.3%	39	17
Cheshire West & Chester	1.923	2.1%	40	16
Southend-on-Sea	1.214	2.0%	41	15
Southampton	1.879	1.9%	42	14
Wiltshire	1.728	1.7%	43	13
Portsmouth	1.396	1.6%	44	12
Bournemouth	0.813	1.5%	45	11
Bracknell Forest	0.386	1.5%	46	10
Brighton & Hove	1.614	1.5%	47	9
Poole	0.398	1.5%	48	8
Reading	0.818	1.5%	49	7
Slough	0.839	1.5%	50	6
Swindon	0.748	1.5%	51	5
Warrington	0.799	1.5%	52	4
West Berkshire	0.432	1.5%	53	3
Windsor and Maidenhead	0.278	1.5%	54	2
Wokingham	0.289	1.5%	55	1
Average % Increase	3.0%			

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Annex A2

Unitary Authority Formula Grant - Funding Per Capita 2010/11

	Funding per Head of Population £'s	2010/11 Formula Grant £000's	Population Millions	Rank (Highest)	Rank (Lowest)
Leicester	639.56	285,148	182.370	1	55
Middlesbrough	625.85	133,628	83.632	2	54
Nottingham	602.52	286,458	172.595	3	53
Kingston upon Hull	599.58	253,450	151.964	4	52
Blackburn with Darwen	568.29	143,647	81.633	5	51
Blackpool	555.29	147,305	81.797	6	50
Hartlepool	554.39	92,935	51.522	7	49
Stoke-on-Trent	540.11	235,678	127.293	8	48
Halton	537.44	119,024	63.969	9	47
Redcar and Cleveland	492.64	139,474	68.711	10	46
Slough	485.22	116,970	56.756	11	45
Luton	484.58	185,510	89.894	12	44
Durham	465.50	496,978	231.341	13	43
Derby	459.29	238,736	109.649	14	42
Peterborough	458.21	168,078	77.014	15	41
North East Lincolnshire	455.08	159,913	72.772	16	40
Portsmouth	438.27	199,694	87.519	17	39
Southampton	432.36	231,597	100.133	18	38
Brighton & Hove	429.13	254,430	109.185	19	37
Plymouth	428.24	247,574	106.022	20	36
Isle of Wight Council	425.01	144,461	61.397	21	35
Telford and the Wrekin	418.80	168,426	70.537	22	34
Torbay	418.43	140,985	58.992	23	33
Northumberland	416.67	312,572	130.239	24	32
Stockton-on-Tees	404.07	193,521	78.196	25	31
Bristol	401.82	415,359	166.901	26	30
Reading	393.96	140,561	55.375	27	29
Thurrock	393.07	152,046	59.765	28	28
Cornwall	390.69	546,860	213.650	29	27
Darlington	388.46	99,962	38.831	30	26
Southend-on-Sea	383.42	160,397	61.499	31	25
North Lincolnshire	378.78	164,359	62.256	32	24
Milton Keynes	373.98	233,417	87.294	33	23
Bournemouth	338.63	162,492	55.025	34	22
Bedford	330.59	163,644	54.099	35	21
Medway	328.95	258,795	85.130	36	20
Herefordshire	316.59	181,888	57.584	37	19
Shropshire	316.22	295,640	93.488	38	18
East Riding of Yorkshire	290.38	348,967	101.334	39	17
Cheshire West & Chester	281.39	332,213	93.482	40	16
Warrington	277.52	194,723	54.040	41	15
Swindon	269.75	187,756	50.647	42	14
North Somerset	247.95	209,620	51.975	43	13
Bracknell Forest	233.50	111,841	26.115	44	12
Bath & North East Somerset	230.02	180,673	41.559	45	11
South Gloucestershire	229.48	264,913	60.792	46	10
York	224.19	198,805	44.571	47	9
Wiltshire	219.86	465,945	102.442	48	8
West Berkshire	199.25	146,717	29.234	49	7
Rutland	198.89	38,797	7.716	50	6
Poole	198.75	135,397	26.910	51	5
Central Bedfordshire	194.61	260,597	50.714	52	4
Cheshire East	173.86	365,167	63.487	53	3
Windsor and Maidenhead	134.00	140,291	18.799	54	2
Wokingham	126.69	154,372	19.557	55	1
Average Funding Per Capita	378.18				

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Effective Organisation Overview & Scrutiny Committee

12 January 2009

Review of the Effectiveness of the Executive Forward Plan – Interim Report

Background to the Review

1. For some time, scrutiny Members have been expressing concern that their inability to carry out pre-decision scrutiny is due to the limited amount of time available between items appearing on the Executive Forward Plan and the relevant decision making meeting taking place. Many items appear on the Executive Forward Plan (FP) on average six weeks before the decision is required and this may be insufficient time to carry out any pre-decision scrutiny of the issues without requiring a deferral of the issue to a later decision meeting.
2. With this in mind, this Committee agreed to look in detail at the current use of the Council's FP in order to identify any methods for improving its use and effectiveness, and to agree a robust method for identifying issues suitable for pre-decision scrutiny.
3. In undertaking this review it is important that Members do not assume that the FP is the only tool available to assist in carrying out effective pre-decision scrutiny. There may be wider planning issues to be addressed which may provide greater assistance.
4. In November 2009, Members received a scoping report that presented information on the legislative and constitutional requirements associated with an FP. The report highlighted a number of requirements that were not currently being met and Members suggested that Democratic Services should make those necessary changes immediately to bring the Council's FP in line with legislation.
5. Having dealt with meeting the legislative requirements, the Committee identified a number of other issues to be addressed by this review:
 - the appropriateness of including only 'Key' decisions on the FP – it was recognised that should they recommend this change, it would limit the public's access to information on forthcoming 'Non-Key' decisions, thereby reducing their ability to participate in the decision-making process. They therefore agreed that if as a result of their review, they were to recommend limiting the FP to 'Key' decisions only, they would also need to make recommendations in regard to an alternative mechanism for identifying forthcoming non-key decisions, in order to ensure the same level of transparency and opportunity for participation by Members and the public.

- The inability to use the FP as a method of identifying issues suitable for pre-decision scrutiny, due to them appearing on the FP only 4/6 before the decision is required.
 - Whether the current format of the printed FP is overly complicated, and whether the information currently provided is relevant and/or sufficient
6. With that in mind, the Committee agreed to focus their review on the following issues:
- Should the Forward Plan be limited to ‘Key’ decisions only
 - The timing of Items appearing on the Forward Plan
 - Is the current format of the printed Forward Plan fit for purpose

Consultation

7. Both the Democratic Services Manager and the Monitoring Officer have been consulted in regard to the information gathered in support of this review. The Democratic Services Manager will be present at this meeting to answer any questions arising.

Information Gathered

8. Limiting the Forward Plan to ‘Key’ decisions only
 Since the introduction of Executive arrangements in York, the Council’s FP has always included both ‘Key’ and ‘Non-Key’ decisions. The number of ‘Key’ decisions appearing on the FP is minimal in comparison to the number of ‘Non-Key’ decisions – as shown below:

Municipal Year	Number of Key Decisions	Number of Non-Key Decisions
2009 – 2010	1 (to date)	81
2008 – 2009	7	219
2007 – 2008	12	173

9. These figures suggest that items are not being correctly identified as either key or non-key. From a cursory examination of recent Executive agenda it appears that potentially more than one ‘Key’ decision has been taken this municipal year.
10. In the case of ‘Non-Key’ decisions, it is expected that the figures for 2009-10 will be lower than previous years following the introduction of a separate log for ‘information only’ reports, resulting in their removal from Executive Member agenda.
11. Council is exceeding its legislative requirement by including non-key decisions on its forward plan. Based on the number of ‘Key’ and ‘Non-Key’ decisions shown above, it is clear that there is an issue within the Council of identifying what is a ‘Key’ decision. This may be as a consequence of the Council’s constitutional definition i.e.:

‘A decision made in connection with the discharge of a function which is the responsibility of the Executive and 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 i.e.:
 - make a saving of more than 10% of the budget for a particular area - or be more than £500,000
 - require spending that is more than 10% of the budget for a particular area - or be more than £500,00
 - be significant in terms of its effects on communities ‘
12. Alternatively, it may be that there is a lack of understanding about the need to make this identification correctly, when the FP contains both ‘Key’ and ‘Non-Key’ items. If this is the case, the removal of ‘Non-Key’ items from the FP may encourage officers to correctly identify the type of decision they require.
13. There are some consequences to limiting the FP to ‘Key’ decisions only, e.g.:

Consequence	Effect / Available Solution
It would seriously reduce the amount of work involved and time taken to populate and publish each FP.	Effect - Reduced workload for: <ul style="list-style-type: none"> • Directorate based FP Contacts (currently the Director’s PAs act as FP Contact for their Directorate), • Forward Plan Administrator in Democratic Services.
It would require another mechanism for identifying ‘Non-Key’ decisions items for agendas	Available Solution - The Committee Management System provides a simple mechanism for addressing this issue e.g. <ul style="list-style-type: none"> • an officer writing a report which requires a ‘Non-Key’ decision can easily submit an agenda item onto the relevant draft agenda via the electronic system, well in advance of the meeting date.
It would require more focus on correctly identifying whether an item is ‘Key’ or ‘Non-Key’	<ul style="list-style-type: none"> • Later, they can attach the associated report they’ve produced to that agenda item. • The Democracy Officer can see at a glance whether the report has been attached and can chase up the report as the report deadline approaches. • Once attached, the Democracy Officer can check the report in the usual way before publishing the agenda. <p>Effect – Introducing the above mechanism would involve establishing a separate procedure for ‘Non-Key’ decisions, which may be seen as an unnecessary complication</p>

14. Timing of Items Appearing on the Forward Plan

The issue of deferring items on a FP has always been contentious, and many Authorities experience this. Historically in York, it has led to many items appearing on the FP only 4/6 weeks in advance of the decision being required. This is limiting the time available for scrutiny members to identify and carry out pre-decision scrutiny of the associated issues.

15. It should be noted that the longer the period between an item appearing on the FP and the decision date, the more likely it is that the decision date will change, as the entries become more speculative. A necessary consequence of including items early is that Members understand the need for flexibility around decision dates. It is therefore recognised that an important cultural change at the Council is required in order to ensure an environment exists in which officers work within guidelines on acceptable reasons for deferral of FP items, and where Members accept the necessity on occasion for deferral. The Committee Management System already provides a mechanism for recording reasons for deferral and enables those reasons to be visible online.

16. The alternative method for identifying forthcoming 'Non-Key' decisions outlined within the table at paragraph 8 above, would not restrict report writers from adding these well in advance of the decision being required, thus enabling their earlier identification by scrutiny, allowing more time for pre-decision scrutiny to take place where necessary.

17. Optimum Format of Printed Forward Plan

An example of this Council current FP format is shown at Annex A. Only some of the information contained therein is required by legislation, leaving some scope for simplifying the process by reducing the amount of information required per item. However, the current printed format of the Council's FP does not include all of the information required by legislation. Therefore, whatever changes this Committee recommends to the layout and format of the FP, they must allow for the inclusion of the following information:

- the members of the decision making body to be listed i.e. the names of the Executive Members (*in practical terms it would be better for this information to appear at the beginning of the printed FP, rather than on each FP entry*)
- the steps that may be taken by any person who wishes to make representations, and the date by which those steps are to be taken (again, *in practical terms it would be better for this information to appear at the beginning of the printed FP, rather than on each FP entry*)
- a list of the documents to be submitted to the decision maker for consideration, in relation to the matter in respect of which the decision is to be made (*this information would be specific to each individual entry therefore it would need to appear on each one*)

18. In addition, although the Council's Constitution states that details of any consultation taking place should be included (in line with the legislative requirement), in practice this does not happen in York. The Council's working practices therefore need revising to ensure this is done, where relevant.

19. There are over a hundred Council's nationally using the same Committee Management System we have here in York. Each of them produces a FP and many have chosen to adapt the style of their plan to best suit their individual needs. Many of these are much simpler and clearer than the format this council currently has in use – see examples shown at Annex B.

Conclusion

20. It is clear from the work of this review, that the FP is not the only tool for identifying forthcoming issues suitable for pre-decision scrutiny. What is clear is that following the recent restructure of the decision making process and the introduction of the new standing scrutiny committees, the Council now needs a cultural change in the way that scrutiny is supported within the organisation. It is felt that an improved level of support from Directorates, would help to ensure that the scrutiny committees were kept more informed of future work planned and developing policy changes, thus providing a working environment which would facilitate opportunities for carrying out pre-decision scrutiny. An optimum mechanism therefore needs to be identified.
21. The scoping report the Committee considered at their last meeting, outlined one possible alternative method for identifying forthcoming 'Non-Key' decisions suitable for pre-decision scrutiny. This suggestion involved the use of Directorate Business Plans populated with the planned work programming for the year - some of the Directorates already have an internal document which could perhaps be adapted for purpose. Members would need to recognise that these documents were subject to change and not hold officers to account about the slippage or movement of items (as in the case of deferred items on the FP) The adapted Business Plans would need to identify items requiring decisions and generate the population of the Executive Forward Plan.
22. There are a number of negative consequences associated with this suggestion:
- revising the layout of the Directorate Business Plans to ensure they capture all the relevant information and populating those Business Plans would be labour intensive and would cancel out the saving in officer time gained through removing 'Non-Key' decisions from the FP.
 - The Business Plans would have to be made available publicly to retain the same level of transparency and opportunity for public involvement in the decision-making process, which may affect the information it could include i.e. only non confidential information. This would reduce its current use and effectiveness within Directorates.
 - It sets up another procedure which may increase the complexity of the current arrangements
23. Simultaneously to the work on this review, the Monitoring Officer has been considering how scrutiny and the support given to it might be improved. This could include:

- The identification of a CMT member as lead for scrutiny to provide 6-monthly reports to relevant scrutiny committees on possible scrutiny topics suggested by CMT members/Senior Officers arising from future work planned within the Directorates (enabling pre-decision scrutiny)
 - Appropriate engagement between each Scrutiny Chair, relevant Executive Member and the CMT scrutiny lead.
 - Scrutiny leads within each Directorate to work with the relevant Scrutiny Committees, their Chairs and the Scrutiny Officers.
 - Officer agenda planning process for each scrutiny Committee akin to process for Executive
24. The benefits of these changes might be:
- improved buy into the role of scrutiny amongst senior officers across all directorates
 - an improved working relationship between the Executive and Scrutiny
 - improving scrutiny's ability to undertake constructive challenge and enhance their role in policy development
25. If these changes were successful, it is hoped Members would need to be less concerned with using the FP as a tool for identifying pre-decision scrutiny issues. Essentially, this is more about working together effectively across the organisation to identify real opportunities for scrutiny to assist in future policy development.

Consultation on the Information Gathered

26. At the meeting in November 2009, Members recognised it would be beneficial to seek the views of Executive Members, Group Leaders, Directors, Senior Officers, and FP Contacts on the suggested changes to the FP and options for earlier identification of topics for pre-decision scrutiny.
27. To support Members consideration of the issues being addressed by this review, the relevant parties have been consulted on the information contained within paragraphs 6 - 25 above, and feedback from that consultation exercise is shown at Annex C (to follow).

Analysis

27. A brief analysis of the feedback received from the consultees is included in Annex C. As a result of this review Members will be looking to make recommendations on improvements required to the layout and content of the Forward Plan, in order to maximise its effectiveness. Members may choose to invite some of the consultees to attend a future meeting of the Committee to discuss further their consultation responses.

Corporate Strategy

28. This scrutiny review is in line with the Council's aim to improve the Council's organisational effectiveness i.e. 'we shall be a modern council with high standards in all we do, living up to our values and be a great place to work. As members of

the public are entitled to participate in the Council's decision making process, it is important that the Council's Forward Plan is robust and fully informative.

Implications

- 29. **Legal** - The Council's Constitution will need to be updated to reflect any changes approved by the Executive as a result of this review.
- 30. **Human Resources** – If a decision is taken to limit the FP to 'Key' decisions only and use the alternative mechanism outlined within the table at paragraph 9 to identify forthcoming 'Non-Key' decisions, this would result in a significant amount of officer time being saved through the reduction in time spent populating and administering the Forward Plan.
- 31. There are no known Financial, Equalities, Crime & Disorder, ITT, Property or Other implications associated with the recommendations in this report.

Risk Management

- 32. If the changes needed to ensure the Forward Plan is meeting the legislative and constitutional requirements are not made, there is a risk to the Council that the Forward plan will remain organisationally ineffective and moreover, not be operating in accordance with statutory requirements.

Recommendations

- 33. Members are asked to agree:
 - i. who they would like to speak to about the operation of the FP, in light of the consultation responses
 - ii. what further information they would like to receive (if any) regarding the content or format of the FP

Reason: to progress the work of this review

Contact Details

Author:

Melanie Carr
Scrutiny Officer
Scrutiny Services
Tel No.01904 552063

Chief Officer Responsible for the report:

Dawn Steel
Democratic Services Manager

Interim Report Approved **Date** 23 December 2009

Wards Affected:

All

For further information please contact the author of the report

Background Papers: Scoping Report dated 24 November 2009

Annexes:

Annex A – Current Printed Format of York's Forward Plan

Annex B – Examples of Alternative Formats for Printed Forward Plans

Annex C – Consultation Feedback Form Members & Officers (to follow)



FORWARD PLAN

29 October 2009 - 28 February 2010

Produced By:

**Democratic Services
City of York Council
Guildhall
York
YO1 9QN
Tel No. 01904 551088**

EXECUTIVE FORWARD PLAN

What is the Executive Forward Plan?

The Executive Forward Plan is a list of all non-key and key decisions the Authority intends to take during the next four month period. The Plan is updated fortnightly on or around the 14th and 28th of each month and is available to view on-line at www.york.gov.uk

What is a non-key decision?

For the purposes of the Plan, a non-key decision is defined as a 'decision of normal importance' which:

- the Executive can collectively take as set out in Part 3 of the council's constitution
- which any Executive Member can take individually in line with the Council's Scheme of Delegation

What is a key decision?

A key decision is defined as 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 i.e.:
 - make a saving of more than 10% of the budget for a particular area - or be more than £500,000
 - require spending that is more than 10% of the budget for a particular area - or be more than £500,00
- to be significant in terms of its effects on communities

In addition to elected Councillors, chief officers can also take key decisions in line with the Officers Delegation Scheme as set out in Schedule 3, Part 3 of the Council's Constitution

What information does the Forward Plan contain?

Each issue entered in the Forward Plan lists:

- The history of the issue in relation to the Forward Plan
- What background documents are available
- What consultation will be undertaken prior to a decision being made
- Who you can make representation to, and how
- The name and contact details of the chief officer responsible for the issue and the forthcoming report
- The date of the meeting at which a decision is due to be taken
- The implications and level of risk to the Council should the recommendations within the report be accepted
- The wards which will be affected by any decision taken

If I have a query about an entry on the Forward Plan, who do I contact ?

Wherever possible, full contact details are listed in the individual entries in the Forward Plan. If you are unsure how to make contact or have any general enquiries about the Forward Plan, please ring Democratic Services on Tel No. 01904 551088

EXECUTIVE FORWARD PLAN
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FORWARD PLAN ITEM**Meeting:** Executive Member for City Strategy**Meeting Date:** 03/11/09**Keyword:****Item Type:** Executive Member Decision - of 'Normal' importance**Title of Report:** Wigginton Road : Proposed Improvements for Cyclists**Description:** Purpose of report: Report highlights the strategic importance of Wigginton Road as a cycle route, and examines options for optimising the route alignment to make the route more attractive and cycle friendly.**Wards Affected:** Members are asked to: Consider the scheme proposals put forward and agree to carrying out a public consultation.
Clifton Ward;**Report Writer:** Jon Pickles **Deadline for Report:** 20/10/09**Lead Member:** Councillor Steve Galloway**Lead Director:** Director of City Strategy**Contact Details:** Jon Pickles, Highway Safety Engineer (Transport & Safety)

jonathan.pickles@york.gov.uk

Implications**Level of Risk:** 01-03 Acceptable **Reason Key:****Making Representations:** N/A**Process:** N/A**Consultees:** N/A**Background Documents:** Committee Report for Wigginton Road : Proposed Improvements for Cyclists**Call-In**If this item is called-in either pre or post decision, it will 09/11/09
be considered by Scrutiny Management Committee on:**Internal Clearance Process****Pre-Decision**

By Chief Officers at

on:

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 Member for City Strategy**Meeting Date:** 03/11/09**Keyword:****Item Type:** Executive Member Decision - of 'Normal' importance**Title of Report:** Public Rights of Way - Petition requesting that public rights be restricted along the three snickets leading into The Reeves, Westfield using Gating Orders.**Description:** Purpose of report: The report is in response to the receipt of a petition raised by residents living in the vicinity in which they ask that public use of these snickets is restricted using gates in order to help reduce crime and anti-social behaviour in the area. The time-frame to authorise and complete straightforward Gating Orders is in the region of 12 months, subject to current workload and funding being secured.

Members are asked to: To determine whether or not to formally proceed with Gating Orders based on the legislative requirements.

Wards Affected: Westfield Ward;**Report Writer:** Emily Machin**Deadline for Report:** 20/10/09**Lead Member:** Councillor Steve Galloway**Lead Director:** Director of City Strategy**Contact Details:** Emily Machin

emily.machin@york.gov.uk

Implications**Level of Risk:** 01-03 Acceptable**Reason Key:****Making Representations:** N/A**Process:** N/A**Consultees:** N/A**Background Documents:** Committee Report for Public Rights of Way - Petition requesting that public rights be restricted along the three snickets leading into The Reeves, Westfield using Gating Orders.**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 ProcessPre-Decision

By Chief Officers at

on:

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 Member for City Strategy**Meeting Date:** 03/11/09**Keyword:****Item Type:** Executive Member Decision - of 'Normal' importance**Title of Report:** Public Rights of Way - Petition requesting that public rights be restricted along the length of the snicket leading from Old Moor Lane to Moor Lane, Dringhouses using a Gating Order**Description:** Purpose of report: The report is in response to the receipt of a petition raised by residents living in the vicinity in which they ask that public use of this snicket is restricted using gates in order to help reduce perceived crime and anti-social behaviour in the area. The time-frame to authorise and complete straightforward Gating Orders is in the region of 12 months, subject to current workload and funding being secured.

Members are asked to: To determine whether or not to formally proceed with a Gating Order based on the legislative requirements.

Wards Affected: Dringhouses & Woodthorpe Ward;**Report Writer:** Emily Machin**Deadline for Report:** 20/10/09**Lead Member:** Councillor Steve Galloway**Lead Director:** Director of City Strategy**Contact Details:** Emily Machin

emily.machin@york.gov.uk

Implications**Level of Risk:** 01-03 Acceptable**Reason Key:****Making Representations:** N/A**Process:** N/A**Consultees:** N/A**Background Documents:** Committee Report for Public Rights of Way - Petition requesting that public rights be restricted along the length of the snicket leading from Old Moor Lane to Moor Lane, Dringhouses using a Gating Order**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 ProcessPre-Decision

By Chief Officers at

on:

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:	17/11/09
Keyword:	Education;
Item Type:	Executive Decision - of 'Normal' Importance
Title of Report:	Quality and Access for all young children - Early Years Capital Grant
Description:	Purpose of report: Allocation of government funding for projects to improve quality and access relating to the delivery of Nursery Education Grant for 3 and 4 year olds. Three-year capital funding, available for minor and major works in voluntary, private, independent sectors and with childminders. The impact on children's care and learning will be monitored and the effects will start to become clear within six months of the award being granted.
Wards Affected:	Members are asked to: To approve recommendations of the Places Sub-group, Capital Panel, a sub group of the Early Years and Extended Schools Partnership, the bids OVER £50,000 to receive funding. Bids UNDER £50,000 will be considered at the Decision Session- Executive Member on the 13th October 2009. All Wards;
Report Writer:	Rosemary Flanagan
Deadline for Report:	05/11/09
Lead Member:	Councillor Carol Runciman
Lead Director:	Director of Learning, Culture & Children's Services
Contact Details:	Rosemary Flanagan rosemary.flanagan@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 Quality and Access for all young children - Early Years Capital Grant
Call-In	
If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 23/11/09	
<u>Internal Clearance Process</u>	
<u>Pre-Decision</u>	
By Chief Officers at	CMT on: 21/10/09

Call-In**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:

Post-Decision

By Strategic Policy Panel (if Required) on:

FORWARD PLAN ITEM**Meeting:** Executive**Meeting Date:** 17/11/09**Keyword:****Item Type:** Executive Decision - of 'Normal' Importance**Title of Report:** Lord Mayoralty 2010/2011**Description:** Purpose of report: To consider which of the political groups should be invited to appoint the Lord Mayor for the municipal year 2010/2011.

Members are asked to: Invite the political group with the largest cumulative total of points on Lord Mayors Day to nominate the Lord Mayor for the municipal year 2010/2011

Wards Affected: All Wards;**Report Writer:** Anne Platt**Deadline for Report:** 05/11/09**Lead Member:** Leader**Lead Director:** Chief Executive**Contact Details:** Anne Platt

anne.platt@york.gov.uk

Implications**Level of Risk:** 01-03 Acceptable**Reason Key:****Making Representations:** N/A**Process:** N/A**Consultees:** N/A**Background Documents:** Committee Report for Lord Mayoralty 2010/2011**Call-In**

If this item is called-in either pre or post decision, it will be considered by Scrutiny Management Committee on: 23/11/09

Internal Clearance Process**Pre-Decision**

By Chief Officers at QCG (No meeting - Circulation Deadline only) on: 15/10/09

By Political Group Leaders on:

By Strategic Policy Panel (if required) on:

Post-Decision

By Strategic Policy Panel (if Required) on:

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THE FOUR MONTH FORWARD PLAN

1 November 2009 to 28 February 2010

Date of Publication: 15 October 2009

Contact Officer: Judith Shore
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The Forward Plan is published monthly

**PLYMOUTH CITY COUNCIL
FORWARD PLAN OF KEY DECISIONS**

Section 14 of the Access to Information Procedure Rules requires the Cabinet to prepare a Forward Plan to cover a period of four months. The Forward Plan should contain **key decisions** that the Cabinet believe are to be taken within this period. It describes who is the decision maker, the period in which the decision will be taken, those whom the decision taker proposes to consult, the steps any individual may take who wishes to make representations to the decision maker and a list of background papers considered by the decision taker in respect of the key decision.

A **key decision** is –

- (a) Any decision in relation to an Executive function which results in the Council 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;
- or
- (b) Any decision that is likely to have a significant impact on two or more wards within the Council.

The threshold for significant expenditure / savings is £2 million for the award of contracts and £500,000 for all other matters.

The Cabinet cannot consider key decisions if they have not been included within the Forward Plan unless they fall within the two exceptions set out at paragraph 15 & 16 of the Access to Information Procedure Rules, namely:

PARAGRAPH 15. GENERAL EXCEPTION

If a matter which is likely to be a key decision has not been included in the forward plan, then subject to Rule 16 (special urgency), the decision may still be taken if:

- (a) the decision must be taken by such a date that it is impracticable to defer the decision until it has been included in the next forward plan and until the start of the first month to which the next forward plan relates;
- (b) the monitoring officer has informed the Chair of a relevant Scrutiny Panel, or if there is no such person, each member of that panel in writing, by notice, of the matter to which the decision is to be made;
- (c) the Monitoring Officer has made copies of that notice available to the public at the offices of the Council; and
- (d) at least 5 working days have elapsed since the Monitoring Officer complied with (a) and (b).

Where such a decision is taken by a committee, it must be taken in public.

PARAGRAPH 16. SPECIAL URGENCY

If by virtue of the date by which a decision must be taken Rule 15 (general exception) cannot be followed, then the decision can only be taken if the decision taker (if an individual) or the Chair of the body making the decision, obtains the agreement of the Chair of the Overview and Scrutiny Management Board that the taking of the decision cannot be reasonably deferred. If there is no Chair of the Overview and Scrutiny Management Board, in his/her absence the Vice Chair will suffice, or in both their absences, any other Member of the Board.

The Forward Plan does not need to refer to exempt information and confidential information cannot be included.

What is the Budget and Policy Framework?

This is a reference to the Council's policy framework and is made up of a series of Statutory Plans and Strategies listed as below:

Corporate Plan	All Our Futures
Children and Young People's Plan	Capital Strategy and Asset Management Plan
Licensing Authority Policy Statement – Gambling Act 2005	Housing Strategy
Local Development Framework (Documents)	Investment in Children (comprising Strategy for Change and Building Schools for the Future)
Local Transport Plan	Plymouth Economic Strategy
Sustainable Community Strategy	Waste Management Strategy
Youth Justice Plan	

What does the Forward Plan tell me?

The Plan gives information about:

- what key decisions are coming forward in the next four months
- when those key decisions are likely to be made
- who will make those decisions
- what consultation will be undertaken
- who you can make representations to, and how
- what documents can you ask for, and when
- who you can contact for further information

Under the Council's Constitution most key decisions are taken at public meetings of either the City Council or the Cabinet and these bodies are presently scheduled to meet on the following dates:

	November	December	January	February
City Council Council House (2 pm)	30 November	-	-	1 February
Cabinet Council House (2.pm)	10 November	15 December	19 January	9 February

Each entry in the Plan indicates the names of all the relevant people to contact about that particular item. In addition, the last page of the Forward Plan gives a complete list of all Members of the City Council, the Leader/Executive Members and the Chief Executive/ Executive Directors.

Wherever possible, full contact details are listed in the individual entries in the Forward Plan. If you are unsure how to make contact, please ring the City Council and staff will be able to assist you: Telephone 01752 668000

The agenda papers for City Council and Cabinet meetings are usually available five working days before the meeting and can be accessed on the Council's website: www.plymouth.gov.uk/modgov.

On occasions, the papers you request may contain exempt or confidential information. If this is the case, it will be explained why it will not be possible to make copies available.

Copies of the Plan are available for inspection at reasonable hours, free of charge, at the Plymouth City Council offices. The Plan is updated monthly on:

2009
12 November
10 December
2010
14 January
11 February
11 March
8 April

Copies are also available on the City Council's website:
www.plymouth.gov.uk/modgov.

If you have any questions or comments about the Plan, we would positively welcome them and would ask that you send them direct to the contact officer named at the start of the Plan. Please also let us know if you have any difficulty in accessing a copy of the Plan or any of the documents referred to therein.

Ian Gallin
Assistant Chief Executive



THE FOUR MONTH FORWARD PLAN

1 November 2009 to 28 February 2010

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*RESIDENTIAL CARE: UPDATE ON MODERNISATION OF OLDER PEOPLE'S SERVICES (2005 - 2015) (FP 37 09/10)	23
TENDER OF THE COMMUNITY EQUIPMENT SERVICES CONTRACT (FP 32 09/10)	24
*CITY CENTRE BID (FP 35 09/10)	25

PLYMOUTH CITYBUS SHAREHOLDING LIMITED (FP 27 09/10)

Nature of the decision:

Recommendation from Cabinet to full Council in relation to the sale of any or all of the Council's shareholding in Plymouth CityBus Limited.

(Note: this item is a voluntary addition to the Forward Plan. The decision is not a Key Decision)

Who will make the decision? Cabinet (on the recommendation of the Director for Corporate Support, in consultation with the Project Board members)

Timing of the decision? 10 November 2009

Who will be consulted and how?

The matter will be considered by the Growth and Prosperity Overview and Scrutiny Panel.

Information to be considered by the decision makers:

Report, including recommendation, from the Director for Corporate Support

Is this a part of the Budget and Policy Framework? Yes

Documents to be considered when the decision is taken

Report, including recommendation, from the Director for Corporate Support

Representations: In writing by 20 October 2009 to -

1. Director for Corporate Support;
2. Councillor Mrs Pengelly (Leader)

Contact details available from Plymouth City Council Tel: 01752 668000

Further information – Availability of Documents:

For further information contact: John Cremins, Project Manager

E mail: john.cremins@plymouth.gov.uk Tel: (01752) 305606

GROWTH AGENDA: GOVERNANCE ARRANGEMENTS (FP 24 09/10)

Nature of the decision:

To seek approval for new governance arrangements to manage and progress the growth agenda.

Who will make the decision? Cabinet (on the recommendation of Councillor Fry)

Timing of the decision? Between 20 October 2009 and 15 December 2009

Who will be consulted and how?

Persons to be consulted with:

Local Authorities in the Sub Region
 Government Office South West
 Home and Communities Agency
 Wealthy Theme Group
 Regional Development Agency
 City Development Company

Process to be used:

Direct discussions
 Meetings
 Presentations

Information to be considered by the decision makers:

List of current groups and meetings
 Sub National Review of Economic Development and Regeneration (CLG)

Is this a part of the Budget and Policy Framework? Yes

Documents to be considered when the decision is taken

As above for decision makers

Representations: In writing by 5 October 2009 to -

1. Assistant Director of Development and Regeneration (Planning)
2. Councillor Fry (Cabinet Member)

Contact details available from Plymouth City Council Tel: 01752 668000

Further information – Availability of Documents:

For further information contact: Paul Barnard, Assistant Director for Development (Planning)

E mail: paul.barnard@plymouth.gov.uk Tel: (01752) 304860

LOCAL DEVELOPMENT FRAMEWORK: SUBMISSION OF DERRIFORD AND SEATON AREA ACTION PLAN (FP 29 09/10)

Nature of the decision:

To seek approval for the submission of the Derriford and Seaton Area Action Plan to the Secretary of State, including publication of the pre-submission version of the Area Action Plan for the purposes of consultation

Who will make the decision? City Council (Cabinet Member: Councillor Fry)

Timing of the decision? Between 15 December 2009 and 26 April 2010

Who will be consulted and how?

Persons to be consulted with:

Key stakeholders, local communities and members consulted as part of Issues & Preferred Options process, which was approved by the Cabinet on 20 January 2009.

Process to be used:

Issues and Preferred Options consultation process involved exhibitions, meetings, briefings, use of newsletter and other publicity material.

Information to be considered by the decision makers:

1. Local Development Scheme
2. Local Development Framework Core Strategy
3. Consultation responses on Area Action Plan Issues and Preferred Options report
4. Local Development Framework evidence base reports

Is this a part of the Budget and Policy Framework? Yes

Documents to be considered when the decision is taken

as above for decision makers

Representations: In writing by 30 November 2009 to -

1. Assistant Director of Development (Planning)
2. Councillor Fry (Cabinet Member)

Contact details available from Plymouth City Council Tel: 01752 668000

Further information – Availability of Documents:

For further information contact: Jonathan Bell, Head of Development Planning
E mail: jonathan.bell@plymouth.gov.uk Tel: (01752) 304353

LOCAL DEVELOPMENT FRAMEWORK: ANNUAL REVIEW OF PLANNING OBLIGATIONS AND AFFORDABLE HOUSING SUPPLEMENTARY PLANNING DOCUMENT (FP 38 09/10)

Nature of the decision:

To approve for consultation an Annual Review of the Planning Obligations and Affordable Housing Supplementary Planning Document, including updating the level of tariff in line with the latest information, updating the market recovery measures and improving the user - friendliness and clarity of the document

Who will make the decision? Cabinet (on the recommendation of Councillor Fry)

Timing of the decision? Between 15 December 2009 and 9 February 2010

Who will be consulted and how?

Persons to be consulted with:

Plymouth Regeneration Forum and Local Agents Forum, Members of the Planning Committee, infrastructure providers and other users of the document

Process to be used:

Workshops, surveys and discussions

Information to be considered by the decision makers:

1. Local Development Scheme
2. Local Development Framework Core Strategy
3. Planning Obligations and Affordable Housing Supplementary Planning Document: adopted 2008
4. Local Development Framework evidence base reports

Is this a part of the Budget and Policy Framework? Yes

Documents to be considered when the decision is taken

as above for decision makers

Representations: In writing by 30 November 2009 to -

1. Assistant Director for Development (Planning)
2. Councillor Fry (Cabinet Member)

Contact details available from Plymouth City Council Tel: 01752 668000

Further information – Availability of Documents:

For further information contact: Jonathan Bell, Head of Development Planning
E mail: jonathan.bell@plymouth.gov.uk Tel: (01752) 304353

COUNCIL TAX BASE 2010/11 (FP 34 09/10)**Nature of the decision:**

To give approval to the Council Tax Base, which will be used as the basis for setting the Council Tax level for 2010/11.

Who will make the decision? City Council (Cabinet Member: Councillor Bowyer)

Timing of the decision? 1 February 2010

Who will be consulted and how?

The Council Tax base is calculated as part of a statutory process, based on data relating to the council tax property base. Consultation is not applicable.

Information to be considered by the decision makers:

1. The regulations governing the calculation of the tax-base. (Local Authorities (Calculation of Tax-Base) Regulations 1992.
2. The tax-base report.
3. The level of estimated collection rate and the option to vary the discounts given on 2nd homes and empty properties.
4. Recommendation of Cabinet on 15 December 2009

Is this a part of the Budget and Policy Framework? Yes

Documents to be considered when the decision is taken

As above for information to be considered by decision makers.

Representations: In writing by 30 November 2009 to -

1. Assistant Director for Finance, Assets and Efficiencies
2. Councillor Bowyer (Cabinet Member)

Contact details available from Plymouth City Council Tel: 01752 668000

Further information – Availability of Documents:

For further information contact: Gary Edwards, Accounts Processing Manager
E mail: gary.edwards@plymouth.gov.uk Tel: (01752) 304404

REVIEW OF STATEMENT OF PRINCIPLES FOR THE GAMBLING ACT 2005 (FP 25 09/10)

Nature of the decision:

3 year review of the Statement of Principles for the Gambling Act 2005.

Who will make the decision? City Council (Cabinet Member: Councillor Brookshaw)

Timing of the decision? 30 November 2009

Who will be consulted and how?

Persons to be consulted with:

- Citizen's Advice Bureau
- Crime and Disorder Reduction Partnership
- Devon and Cornwall Constabulary
- Plymouth City Council Social Services / Education Department
- Devon & Somerset Fire and Rescue Service
- Environmental Health
- Gamblers Anonymous
- Gambling Commission
- Gamcare
- Local businesses and their representatives
- Local faith groups
- Local residents and their representatives
- Mencap
- NSPCC
- Primary Care Trust
- Representatives of existing licence-holders
- Voluntary & Community organisations working with children & young people
- Overview and Scrutiny Management Board / Customer and Communities Overview and Scrutiny Panel
- Cabinet (15 September and 10 November 2009 to make recommendations)

Process to be used:

- Information on the changes provided in writing to the listed stakeholders
- Press release
- Web site

Information to be considered by the decision makers:

Cabinet Report (10 November 2009) containing:

Background to the legal framework

The new Statement of Principles, which will identify the changes

Summary of the consultation responses (Public and Overview and Scrutiny Management Board)

Is this a part of the Budget and Policy Framework? Yes

Documents to be considered when the decision is taken

Written report and associated background documents.

Representations: In writing by 26 October 2009 to -

1. Director for Development and Regeneration
2. Councillor Brookshaw (Cabinet Member)

Contact details available from Plymouth City Council Tel: 01752 668000

Further information – Availability of Documents:

For further information contact: Andy Netherton, Principal Environment Health Officer

E mail: andy.netherton@plymouth.gov.uk Tel: (01752) 304742

Forward Plan

Nigel Harvey
 Legal & Democratic Services
 Directorate of Finance and Resources
 Room 200, Lambeth Town Hall,
 Brixton Hill, London, SW2 1RW
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 Tel. 020 7926 3136 Fax: 020 7926 2361



From: 1 NOVEMBER 2009
 Published: 19th October 2009

Introduction:

- This document sets out Key Decisions that will be taken by the Council over the coming one – four months. Not all Key Decisions can be listed with four months notice because in some cases the need for a decision is not known at the time of writing. Decisions are listed as soon as possible.
- A Key Decision is one which is likely to result in significant expenditure or savings in excess of £500,000 or have significant effect on those living or working in an area comprising two or more Wards.
- The Forward Plan is generally published on the first day of each month (or next working day). Confidential information is not included.

Relevant Documents: The full addresses of main Council buildings where relevant documents may be obtained:

Adults' & Community Services:

Phoenix House, 10 Wandsworth Road, London SW8 2LL
 Blue Star House, 234-244 Stockwell Road SW9 9SP
 International House, Canterbury Crescent, SW9 7QE
 Olive Morris House, 18 Brixton Hill, London, SW2 1RL
 Lambeth Town Hall, Brixton Hill, SW2 1RW
 Hambrook House, Porden Road SW2 1RP
 Blue Star House, 234-244 Stockwell Road SW9 9SP
 2 Herne Hill Road, SE24 0AU

Children & Young People's Service: Finance & Resources:

Brixton and Clapham Area Office
 Stockwell & Vassall Area Office
 North Lambeth Area Office
 Norwood and Streatham Area Office
 Lambeth Town Hall, Brixton Hill, SW2 1RW
 Phoenix House, 10 Wandsworth Road, London SW8 2LL

Housing, Regeneration and Environment

Olive Morris House, 18 Brixton Hill, SW2 1RL
 283-291 Wandsworth Road, SW8 2ND
 91 Kennington Lane, SE11 4HQ
 139 Albert Carr Gardens, SW16 3HB

Office of the Chief Executive

How to make representations or obtain relevant documents:

- The Council's departments are: Adults' & Community Services, Children & Young People's Service, Finance & Resources, Housing Regeneration & Environment and Office of the Chief Executive; further details are available at www.lambeth.gov.uk.
- Contact the lead officer (before the decision date) who will include the responses received in the report to be considered by the decision-maker.
- Reports for Cabinet are published five clear (working) days before the meeting concerned. After publication, you can send your views to the report author or the Secretary to Cabinet. These views will be reported to Cabinet members/at the meeting.
- Write to the relevant Cabinet Member: Councillors Steve Reed (Leader of the Council), Jackie Meldrum (Deputy Leader of the Council), Paul McGlone (Children and Young People), Mark Bennett (Community Safety), Rachel Heywood (Culture and Communities), John Kazantzis (Employment and Enterprise), Sally Prentice (Environment), Jim Dickson (Finance and Resources), Lorna Campbell (Health and Wellbeing) and Lib Peck (Housing and Regeneration).

Key Decision (Including Brief Summary & Expected Outcome) (including ward/area) {1}	Decision-maker, Edition of Forward Plan when first appeared {2}	Date decision to be taken {3}	External Consultation: Who How Closing date {4}	Relevant documents {5}	Lead Officer (to whom representations should be made, and holder of documents) {6}
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Reports to be considered by Cabinet

Adults and Community Services

First Class - The Lambeth Third Sector Investment Plan 2010-2015 All Wards;	Cabinet September 2009	26 Oct 2009	Lambeth Voluntary Action Council as part of Compact process.	None	John Kerridge, Assistant Director Active Communities jkerridge@lambeth.gov.uk Phoenix House, Wandsworth Road Tel: 020 7926 2744
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Adults and Community Services - Culture and Community Safety

Portuguese Community Centre To seek a variation to a Council recommendation, which earmarked £0.5m from July 2009 Financial Review towards the development of a Portuguese Community Centre in Lambeth. All Wards;	Cabinet October, 2009	26 Oct 2009	Regular meetings with Lambeth Portuguese Community Steering Group and Capital Community Foundation.	None.	John Kerridge, Assistant Director Active Communities jkerridge@lambeth.gov.uk Phoenix House, Wandsworth Road Tel: 020 7926 2744
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Key Decision (Including Brief Summary & Expected Outcome) (including ward/area) {1}	Decision-maker, Edition of Forward Plan when first appeared {2}	Date decision to be taken {3}	External Consultation: Who How Closing date {4}	Relevant documents {5}	Lead Officer (to whom representations should be made, and holder of documents) {6}
<p>Dangerous Dogs To update on progress on the Dangerous Dogs Action Plan, consider recommendations from the Dogs Commission and adopt an Animal Welfare Charter.</p> <p>All Wards;</p>	Cabinet October, 2009	14 Dec 2009		None.	Christopher D'Souza, Community Safety Manager cdsouza@lambeth.gov.uk 205 Stockwell Street, LONDON, SW9 9SL Tel: 020 7926 2232
Children and Young People's Service					
<p>Creation of Primary School at Woodfield Centre Cabinet agreed in February 2009 to use the Woodfield Centre in Streatham to provide primary school provision. An update as to the proposed management and configuration of the school site will be given.</p> <p>St Leonard's;</p>	Cabinet September 2009	14 Dec 2009		Supporting documentation to be made available to the public on request	Tom Walker, BSF Planning Manager Twalker@lambeth.gov.uk International House Tel: 020 7926 0095

Key Decision (Including Brief Summary & Expected Outcome) (including ward/area) {1}	Decision-maker, Edition of Forward Plan when first appeared {2}	Date decision to be taken {3}	External Consultation: Who How Closing date {4}	Relevant documents {5}	Lead Officer (to whom representations should be made, and holder of documents) {6}
<p>Youth Strategy 2009-13 The strategy will refresh and build on the previous Strategy 2006-9 to reflect new priorities for the Council and partners.</p> <p>All Wards;</p>	<p>Cabinet September 2009</p>	<p>26 Oct 2009</p>	<p>1 Community Engagement & Involvement Programme: consulted with over 200 young people within youth clubs/ Youth Conference; 2 Public Consultation: open between 31.07.09 and 31.08.09; 3 Drop-In Sessions: two sessions held on 13.08 and 18.08.</p>	<p>The final signed-off Strategy and year one Action Plan. A young people's version to be developed.</p>	<p>John Readman, Divisional Director for Community Learning jreadman@lambeth.gov.uk International House Tel: 020 7926 9703</p>
<p>4th New School Sponsorship, Land Acquisition and Update The Report updates Cabinet on progress on consultation, the appointment of a sponsor for the 4th New School and the acquisition on land.</p> <p>Tulse Hill;</p>	<p>Cabinet October, 2009</p>	<p>16 Nov 2009</p>	<p>DCSF</p>	<p>Report on sponsorship</p>	<p>Stuart Dixon, Project Manager sdixon@lambeth.gov.uk International House Tel: 020 7926 3208</p>

Key Decision (Including Brief Summary & Expected Outcome) (including ward/area) {1}	Decision-maker, Edition of Forward Plan when first appeared {2}	Date decision to be taken {3}	External Consultation: Who How Closing date {4}	Relevant documents {5}	Lead Officer (to whom representations should be made, and holder of documents) {6}
<p>Connexions Service Future options for the service</p> <p>All Wards;</p>	<p>Cabinet October, 2009</p>	<p>16 Nov 2009</p>		<p>None</p>	<p>John Readman, Divisional Director for Community Learning jreadman@lambeth.gov.uk International House Tel: 020 7926 9703</p>
<p>Expansion of Primary School Places To update Cabinet on the first phase of the primary school expansion strategy and confirm priorities in the light of the latest funding situation.</p> <p>All Wards;</p>	<p>Cabinet October, 2009</p>	<p>14 Dec 2009</p>		<p>None.</p>	<p>Tom Walker, BSF Planning Manager Twalker@lambeth.gov.uk International House Tel: 020 7926 0095</p>
<p>Studio School Cabinet approval to progress the Studio School project if DCSF confirm their approval in principal and commit to funding the project.</p> <p>Prince's;</p>	<p>Cabinet October, 2009</p>	<p>14 Dec 2009</p>		<p>None</p>	<p>John Wotherspoon, AD Education Improvement and Advice, BSF jwotherspoon@lambeth.gov.uk International House, Canterbury Crescent, Brixton, SW9 7QE Tel: 020 7926 1769</p>

Key Decision (Including Brief Summary & Expected Outcome) (including ward/area) {1}	Decision-maker, Edition of Forward Plan when first appeared {2}	Date decision to be taken {3}	External Consultation: Who How Closing date {4}	Relevant documents {5}	Lead Officer (to whom representations should be made, and holder of documents) {6}
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Reports to be approved by Officers under delegated powers

Adults and Community Services

Commissioning of the current contract for ICES (Integrated Community Equipment Service) All Wards;	Executive Director of Adults and Community Services June 2008	2 Nov 2009	Stakeholders PCT	None.	Alexandra McTeare, Assistant Director of Commissioning Disabilities and Older People Amctcare@lambeth.gov.uk 3rd Floor, Phoenix House Tel: 020 7926 4737
Development and provision of Extra Care Housing services All Wards;	Executive Director of Adults and Community Services April 2009	2 Nov 2009	Stakeholders, service users, Lambeth PCT	None.	David Worrall, Planning & Strategy Manager, Supporting People dworrall@lambeth.gov.uk Tel: 020 7926 9978

Key Decision (Including Brief Summary & Expected Outcome) (including ward/area) {1}	Decision-maker, Edition of Forward Plan when first appeared {2}	Date decision to be taken {3}	External Consultation: Who How Closing date {4}	Relevant documents {5}	Lead Officer (to whom representations should be made, and holder of documents) {6}
Waiver Extension: Mental Health Hostels in Lambeth Ferndale; Prince's;	Executive Director of Adults and Community Services October 2009	2 Nov 2009		None.	Paul Davis, Commissioning Manager Supporting People pdavis2@lambeth.gov.uk Phoenix House, 10 Wandsworth Road, London, SW8 2LL Tel: 020 7926 7538 020 7926 7526
Waiver Extension: Offenders Hostels in Lambeth Streatham Wells; Oval;	Divisional Director Strategy & Commissioning October 2009	2 Nov 2009		None.	Paul Davis, Commissioning Manager Supporting People pdavis2@lambeth.gov.uk Phoenix House, 10 Wandsworth Road, London, SW8 2LL Tel: 020 7926 7538 020 7926 7526
Waiver Extension: Supporting People Adults with Learning Disabilities Housing related floating support provision for 43 individuals having their own tenancy. All Wards;	Divisional Director Strategy & Commissioning October, 2009	2 Nov 2009		None.	Wayne Cooper, Strategy & Commissioning Manager wcooper2@lambeth.gov.uk Phoenix House, 10 Wandsworth Road, LONDON, SW8 2LL Tel: 020 7926 7524

**LANCASTER
CITY COUNCIL**

Promoting City, Coast & Countryside

Key Decisions Forward Plan

Monthly Update

**31 October 2009
28 February 2010**



PUBLISHED 8 OCTOBER 2009

In order to ensure openness and accountability, this Forward Plan of key decisions has been prepared to set out clearly the **key decisions** that the Cabinet and Council Officers will be taking over the next four months.

The Plan will be updated on a monthly basis and seeks to include all issues that are defined as “key decisions” in accordance with the Council’s Constitution and identifies which body will make the decision.

The Plan tries to anticipate the issues that will be the subject of a key decision within a given timescale. For each item, this Plan includes:

- a description of the item for decision
- who will take the decision
- the date or period within which it will be taken
- groups identified for consultation and how this will be undertaken
- the process and timescale for persons wishing to make representations
- a list of documents that will be used in consideration of the matter

Key Decision - Definition

The definition of a key decision is set out in Part 2, Article 13 “Decision Making” of the Council’s Constitution which states:

- A decision should be a Key Decision on financial grounds if it relates to any of the following:

expenditure or savings proposal not included within approved capital or revenue budgets (including new schemes, external funding bids, increased spending on or transfers/virements between budgeted schemes):

- estimated at over £50,000 in total (gross), or
 - where there are unbudgeted net revenue costs or other potential liabilities arising in current or future years.
- i. Any other initiative that relates to or would result in potential savings of over £50,000 in any year, which are not provided for in the approved budget.
 - ii. The allocation of revenue or capital grants (receivable or payable) or any general budget allocations where their specific use or method of allocation has not previously been approved by Cabinet. This also covers any proposals to delegate such arrangements.
 - iv. The award of contracts over £50,000.
 - v. Proposals that involve taking on the role of Accountable Body for a particular initiative.
 - vi. The carry forward of under- or overspends, irrespective of amount.

vii. Increasing future years' spend by Council, irrespective of amount.

1 line with any flexibility authorised

With the exception of the following which shall not be a Key Decision:

- Transactions carried out as part of the efficient administration of the Council's finances in line with council policy and the s151 Officer's functions, e.g. treasury management.
 - Subsequent allocation of grants (receivable or payable) within a framework and criteria previously agreed by Cabinet.
 - Setting of fees and charges levels, including concessions, within the approved Budget and Policy Framework.
 - Incurring expenditure essential to meet any immediate needs created by an emergency threatening life and limb or related to major structural damage threatening the fabric of a building [see Financial Procedures section A 1.11 (f)].
- A decision should be a Key Decision on community impact grounds if it would have a significant and lasting impact on one or more of the following:
- (a) reputation of the Council
 - (b) the environment
 - (c) the local economy
 - (d) community safety
 - (e) human rights, equal opportunities or racial equality
- The Monitoring Officer would be responsible for the interpretation of the words **significant and lasting** in the community impact test.

The Plan does not, therefore, include:

- exempt or confidential information as defined in the Council's Constitution Part 4 Section 2, 10.03 and 10.04;
- any reference to decisions made by the Council's regulatory and other committees, i.e.
 - Licensing
 - Planning and Highways
 - Appeals
 - Standards
 - Audit
 - Personnel
 - Appraisal
- any decisions made by Cabinet or delegated to Officers which are not defined as **key decisions**.

Contacts

If you have any queries relating to the publication of this Plan please contact Gill Noall, Head of Democratic Services, on 01524 582060.

LANCASTER DISTRICT COUNCIL

FORWARD PLAN – SUMMARY OF KEY DECISIONS

Cabinet Member(s) with Special Responsibility	Decision	Date Decision Due
	Gas Servicing Partnership	Before 31 October 2009
	Tender Acceptance - Emergency Call Centre Procurement (Council Housing Services)	Before 31 October 2009
Councillor June Ashworth	Lancaster District Arts Strategy	10 November 2009
Councillor Eileen Blamire	CCTV	10 November 2009
Councillor Malcolm Thomas	Capital Investment Strategy	10 November 2009
Councillor Malcolm Thomas	Medium Term Resources Report (Previously Medium Term Financial Strategy Update)	10 November 2009
Councillor Malcolm Thomas	Corporate and Municipal Repairs	10 November 2009
Councillor Jon Barry	Options for public toilet provision in the District from 2010/11	10 November 2009
Councillor Jon Barry	Climate Change Strategy 2008-13	10 November 2009
Councillor June Ashworth	Pilot - Alternative Parks Management Model	10 November 2009
Leader of the Council	Appraisal of the Winter Gardens Business Plan	10 November 2009
Councillor David Kerr, Councillor Eileen Blamire	Allocation of Affordable Housing S106 Contributions	10 November 2009
Councillor Roger Mace	Benefits - Additional Administration Subsidy	10 November 2009
Councillor Stuart Langhorn	Marketing and Communications Review	This decision will be considered at a future meeting of Cabinet.
Councillor Jon Barry	To Seek Approval of a Draft Carnforth Air Quality Action Plan	10 November 2009
Councillor Evelyn Archer, Councillor David Kerr	Chatsworth Gardens, Morecambe - Funding Agreement	8 December 2009
Councillor Malcolm Thomas	Land at Aalborg Square, Lancaster	8 December 2009
Councillor Malcolm Thomas	Auction Mart Car Park, Thurnham Street, Lancaster	8 December 2009
Councillor Malcolm Thomas	Review of Parking Fees and Charges 2010/11	19 January 2010
Councillor Jon Barry	Natural England Review of National Park boundaries	19 January 2010
Councillor Evelyn Archer, Councillor David Kerr	Chatsworth Gardens, Morecambe - Site Assembly	19 January 2009

LANCASTER CITY COUNCIL

Before 31 October
2009

Key Decision Taken by Cabinet or delegated Officer

ITEM FOR DECISION:	Gas Servicing Partnership	
WARD:	All Wards;	
SERVICE:	Council Housing Services	
DECISION MAKER:	Officer Delegated Decisions	
RESPONSIBLE CABINET MEMBER:		
KEY DECISION CRITERIA:	Financial Threshold	
SUMMARY DESCRIPTION OF RELEVANT ISSUES:	Procurement of a partner for the Council Housing 5 year Gas Servicing Partnership. The process will follow and will comply with the Council's Contract Procedure Rules and E.U. Public Procurement Rules.	
DATE OF CABINET MEETING/DATE FOR OFFICER DECISION	Before 31 October 2009	
LIST OF BACKGROUND PAPERS FOR CONSIDERATION:	None	
GROUPS IDENTIFIED FOR CONSULTATION:	Not applicable	
PROCESS FOR MAKING REPRESENTATIONS TO DECISION MAKER:	Consultation is not appropriate as this is a private contract.	
DATE FOR REPRESENTATIONS TO BE RECEIVED:	Not applicable	

LANCASTER CITY COUNCIL

Before 31 October
2009

Key Decision Taken by Cabinet or delegated Officer

ITEM FOR DECISION:	Tender Acceptance - Emergency Call Centre Procurement (Council Housing Services)	
WARD:	All Wards;	
SERVICE:	Council Housing Services	
DECISION MAKER:	Officer Delegated Decisions	
RESPONSIBLE CABINET MEMBER:		
KEY DECISION CRITERIA:	Financial Threshold	
SUMMARY DESCRIPTION OF RELEVANT ISSUES:	<p>Lancaster City Council is seeking to purchase a system comprising of application/operation software, hardware, and associated project management, implementation and training services, for an Emergency Call Centre providing monitoring and response for community alarm/telecare services and other out of office hours emergency calls via a mini competition using the NHS PASA Telecare national framework agreement.</p> <p>The process will follow and will comply with the Council's Contract Procedure Rules and E.U. Public Procurement Rules.</p>	
DATE OF CABINET MEETING/DATE FOR OFFICER DECISION	Before 31 October 2009	
LIST OF BACKGROUND PAPERS FOR CONSIDERATION:	Cabinet Meeting 20 January 2009 Minute No 122 refers and AMWG meeting dated 18 February 2009	
GROUPS IDENTIFIED FOR CONSULTATION:	Not applicable	
PROCESS FOR MAKING REPRESENTATIONS TO DECISION MAKER:	Consultation is not appropriate as this is a private contract.	
DATE FOR REPRESENTATIONS TO BE RECEIVED:	Not applicable	

LANCASTER CITY COUNCIL

10 November 2009

Key Decision Taken by Cabinet or delegated Officer

ITEM FOR DECISION:	Lancaster District Arts Strategy	
WARD:	All Wards;	
SERVICE:	Cultural Services	
DECISION MAKER:	Cabinet	
RESPONSIBLE CABINET MEMBER:	Councillor June Ashworth	
KEY DECISION CRITERIA:	Financial and Community Impact	
SUMMARY DESCRIPTION OF RELEVANT ISSUES:	To receive and consider for approval the Lancaster District Arts Strategy	
DATE OF CABINET MEETING/DATE FOR OFFICER DECISION	10 November 2009	
LIST OF BACKGROUND PAPERS FOR CONSIDERATION:	None	
GROUPS IDENTIFIED FOR CONSULTATION:	Not applicable.	
PROCESS FOR MAKING REPRESENTATIONS TO DECISION MAKER:	Extensive consultation has been going on via the production of the draft arts strategy, and is reflected in the draft being presented to Cabinet for comment and approval.	
DATE FOR REPRESENTATIONS TO BE RECEIVED:	Not applicable	
REASON DECISION HAS BEEN DELAYED:	The Lancaster District Arts Strategy is to be presented to the LDLSP for their endorsement, prior to consideration by Cabinet.	

LANCASTER CITY COUNCIL

10 November 2009

Key Decision Taken by Cabinet or delegated Officer

ITEM FOR DECISION:	CCTV	
WARD:	All Wards;	
SERVICE:	Property Services	
DECISION MAKER:	Cabinet	
RESPONSIBLE CABINET MEMBER:	Councillor Eileen Blamire	
KEY DECISION CRITERIA:	Financial and Community Impact	
SUMMARY DESCRIPTION OF RELEVANT ISSUES:	To consider future funding arrangements for the operation of the CCTV system	
DATE OF CABINET MEETING/DATE FOR OFFICER DECISION	10 November 2009	
LIST OF BACKGROUND PAPERS FOR CONSIDERATION:	None	
GROUPS IDENTIFIED FOR CONSULTATION:	The police will be consulted as a major stakeholder in the operation of the system and all authorities who have a statutory community safety responsibility.	
PROCESS FOR MAKING REPRESENTATIONS TO DECISION MAKER:	Consultation is limited as the report relates to funding arrangements only	
DATE FOR REPRESENTATIONS TO BE RECEIVED:	3 November 2009	

LANCASTER CITY COUNCIL

10 November 2009

Key Decision Taken by Cabinet or delegated Officer

ITEM FOR DECISION:	Capital Investment Strategy
WARD:	All Wards;
SERVICE:	Financial Services
DECISION MAKER:	Cabinet
RESPONSIBLE CABINET MEMBER:	Councillor Malcolm Thomas
KEY DECISION CRITERIA:	Financial and Community Impact
SUMMARY DESCRIPTION OF RELEVANT ISSUES:	As part of the half yearly monitoring and update arrangements for the Capital Investment Strategy, issues that require key decisions to be taken may well arise.
DATE OF CABINET MEETING/DATE FOR OFFICER DECISION	10 November 2009
LIST OF BACKGROUND PAPERS FOR CONSIDERATION:	Not applicable at present
GROUPS IDENTIFIED FOR CONSULTATION:	Not applicable at present
PROCESS FOR MAKING REPRESENTATIONS TO DECISION MAKER:	None directly - though individual issues may relate to items that have been the subject of consultation previously.
DATE FOR REPRESENTATIONS TO BE RECEIVED:	Not applicable at present
REASON DECISION HAS BEEN DELAYED:	Further information is awaited to complete the reports.

Effective Organisation Overview & Scrutiny Committee Work Plan 2009-10

Meeting Date	Work Programme
30 June 2009	<ol style="list-style-type: none"> 1. Report on Overview & Scrutiny Committees - Terms of Reference 2. Information Report on Improvement Plan 2009/10 3. 2008/09 Year End Outturn Report 4. Corporate Strategy – Key Performance Indicators & 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
30 September 2009	<ol style="list-style-type: none"> 1. First Quarter Monitoring Report 2. Feasibility Report for possible review of ‘The Executive Forward Plan’ 3. Update Report presenting correct performance indicators relevant to this Committee and feedback on referrals previously made to SMC 4. Two Feasibility Reports - subject to expected topic registration forms being submitted (on HR and Project Management)
24 November 2009	<ol style="list-style-type: none"> 1. Second Quarter Monitoring Report 2. Presentation on Risk Management 3. Scoping Report for Review on Effective Use of the Executive Forward Plan
12 January 2010	<ol style="list-style-type: none"> 1. Attendance of the Executive Leader & the Executive Member for Corporate Services 2. Budget Strategy Report 3. Report presenting the Council’s Annual Audit Letter from the Audit Commission 4. Interim Report for Scrutiny Review of ‘The Effective Use of the Executive Forward Plan’
23 February 2010	<ol style="list-style-type: none"> 1. Third Quarter Monitoring Report 2. Annual Reports from relevant Local Strategic Partners

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