

**Notice of a public meeting of
Executive**

To: Councillors Carr (Chair), Aspden (Vice-Chair), Ayre, Gillies, Rawlings, Runciman, Steward and Waller

Date: Thursday, 25 August 2016

Time: 5.30 pm

Venue: The George Hudson Board Room - 1st Floor West Offices (F045)

A G E N D A

Notice to Members – Post Decision Calling In:

Members are reminded that, should they wish to call in any item* on this agenda, notice must be given to Democracy Support Group by **4:00 pm on Tuesday 30 August 2016**.

*With the exception of matters that have been the subject of a previous call in, require Full Council approval or are urgent which are not subject to the call-in provisions. Any called in items will be considered by the Corporate and Scrutiny Management Policy and Scrutiny Committee.

1. Declarations of Interest

At this point, Members are asked to declare:

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

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

- 2. Minutes** (Pages 1 - 36)
To approve and sign the minutes of the Executive meetings held on 30 June and 14 July 2016.

- 3. Public Participation**
At this point in the meeting members of the public who have registered to speak can do so. The deadline for registering is **5.00pm on Wednesday 24 August 2016**. Members of the public can speak on agenda items or matters within the remit of the committee.

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

Filming, Recording or Webcasting Meetings

“Please note this meeting will be filmed and webcast and that includes any registered public speakers, who have given their permission. This broadcast can be viewed at <http://www.york.gov.uk/webcasts>.

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

The Council’s protocol on Webcasting, Filming & Recording of Meetings ensures that these practices are carried out in a manner both respectful to the conduct of the meeting and all those present. It can be viewed at http://www.york.gov.uk/downloads/file/6453/protocol_for_webcasting_filming_and_recording_of_council_meetingspdf

- 4. Forward Plan** (Pages 37 - 42)
To receive details of those items that are listed on the Forward Plan for the next two Executive meetings.

5. Advertising Boards ("A" Boards) and Other Equipment on the Public Highway (Pages 43 - 96)

This report advises the Executive of work undertaken subsequent to its decision of 28 August 2015, for Officers to prepare a Consultation Draft Policy for 'A' Boards. This report presents the findings from consultation and provides a recommended Final Draft Policy, together with estimated financial implications of implementation and enforcement.

6. Local Area Coordination in York (Pages 97 - 126)

This report outlines progress made to identify an approach to Local Area Coordination in York, creating networks of support around people to increase independence and reduce dependence on statutory services. The report outlines the next steps required to implement the first stages of the project.

7. Re-procurement of Alcohol & Drug Treatment and Recovery Services (Pages 127 - 154)

This report seeks Executive approval to approach the market for the tendering of an adult alcohol and illicit drug misuse harm reduction, treatment and recovery service and for the awarding of the contract being delegated to the Director of Public Health.

8. Transport for the North Governance (Pages 155 - 178)

This report seeks Executive approval to authorise Transport for the North to submit a draft governance proposal to Government, subject to a number of further requirements, prior to any final and binding agreement to become a constituent authority of Transport for the North.

9. 2016/17 Finance and Performance Monitor 1 (Pages 179 - 198)

This report presents details of the overall finance and performance position for the period covering 1 April 2016 to 30 June 2016, together with an overview of any emerging issues. As the first report of the financial year it assesses performance against budgets, including progress in delivering the Council's savings programme.

10. Capital Programme - Monitor 1 2016/17 (Pages 199 - 214)

This report sets out the projected outturn position for 2016/17 including any under/over spends and adjustments, along with requests to re-profile budgets to/from current and future years.

11. Urgent Business

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

Democracy Officer:

Name: Jill Pickering

Contact details:

- Telephone – (01904) 552061
- E-mail – jill.pickering@york.gov.uk

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

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

Contact details are set out above.

This information can be provided in your own language.

我們也用您們的語言提供這個信息 (Cantonese)

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

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

Bu bilgiyi kendi dilinizde almanız mümkündür. (Turkish)

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

 **(01904) 551550**

City of York Council

Committee Minutes

Meeting	Executive
Date	30 June 2016
Present	Councillors Carr (Chair), Aspden (Vice-Chair), Ayre, Gillies, Rawlings, Runciman, Steward and Waller
Other Members participating in the meeting	Councillors D'Agorne and Looker
In attendance	Councillor Cuthbertson

Part A - Matters Dealt With Under Delegated Powers

1. Chair's Comments

The Chair expressed his thanks to Steve Stewart the Council's Interim Chief Executive for his contribution to the authority over the last year and welcomed Mary Weastell the Council's new Chief Executive as from 1 August 2016.

2. Declarations of Interest

Members were asked to declare, at this point in the meeting, any personal interests, not included on the Register of Interests, or any prejudicial or disclosable pecuniary interests they may have in respect of business on the agenda. No additional interests were declared.

3. Minutes

Resolved: That the minutes of the last meeting of the Executive held on 19 May 2016 were approved as a correct record and signed by the Chair.

4. Public Participation

It was reported that there had been two registrations to speak at the meeting under the Council's Public Participation Scheme, and that a Member of Council had requested to speak on the following items:

Council Owned Companies: Future operating models and proposals for the City of York Trading Company Board

Cllr Cuthbertson spoke as Chair of the City of York Trading Shareholder Group to express his support for the proposals set out in the report and in particular the new governance arrangement for all Council owned companies which would ensure more openness, transparency and scrutiny. He referred to the need for a short transition period in order to sign off minutes etc.

Implementation of Budget Savings on Council Funded Bus Services

Dave Merrett made representations on behalf of the York and District Trades Council, the York Bus Forum and York South West branch of the Labour Party referring to the submissions circulated at the meeting. He acknowledged local authorities funding difficulties however service reductions would leave residents without a number of bus services and access to employment and other services. He requested the Executive to look at alternative methods of funding the services.

Sarah Dixon spoke as a resident of the Haxby and Wigginton Ward in support of the retention of the No 20 bus route. She highlighted the importance of the service for access to Monks Cross, Clifton Moor, Huntington and Joseph Rowntree Schools and for employment, particular for those without other transport.

Cllr Cuthbertson also spoke of the importance of the No 20 service for residents in his Ward. With future increases in population in the area the route was of particular importance in the Local Transport Plan and the encouragement of residents to travel to school and work using public transport.

5. Forward Plan

Members received and noted details of those items on the Forward Plan for the next two Executive meetings, at the time the agenda was published.

6. City of York Local Plan – Preferred Sites Consultation

Consideration was given to a report which asked the Executive to approve the publication of the ‘Local Plan – Preferred Sites 2016’ document for consultation. It was noted that work had progress on the preparation of a revised Local Plan following the Local Government Elections in May 2015 to deliver housing, focus on brownfield land and to protect the Green Belt and the character of the city. Approval of the new Plan would allow public and other interested parties to comment on the additional work on housing and employment land need and supply.

Copies of the draft minutes and recommendations of the Local Plan Working Group (LPWG) from their meeting held on 27 June were circulated and the Chair, Cllr Ayre confirmed the Plan as robust and meeting the housing and employment needs of the city.

Officers referred to the eight week statutory consultation and the project plan for the progression of the Local Plan over the next two years with the intention to consult on a publication draft plan early in 2017, followed by submission to Government in May 2017.

The Executive Member thanked Officers for their work on the Plan and encouraged all in the city to enter into the consultation.

The Chair welcomed Members comments in respect of housing numbers, the environmental capacity study and the maintenance of open spaces and he reiterated the request for the public’s comments to ensure the production of an evidence based plan.

Consideration was then given to the following options:

Option 1: That the Executive, subject to any recommended changes, approve the ‘Local Plan – Preferred Sites 2016’ Document attached as Annex A, along with supporting evidence and information for public consultation.

Option 2: That the Executive instruct officers to make changes to the ‘Local Plan – Preferred Sites 2016’ document and produce a further report and draft for consideration.

Resolved: That in accordance with Option One, the Executive:

- (i) Approve the document attached as Annex A, to the report, along with supporting evidence and information for public consultation.
- (ii) Delegate to the Director of City and Environmental Services (CES) in consultation with the Executive Leader and Deputy Leader the making of any changes to the draft document attached as Annex A that are necessary as a result of the recommendations of Executive or any minor non substantial amendments that are identified prior to the issue of the consultation document.
- (iii) Delegate to the Director of City and Environmental Services, in consultation with the Executive Leader and Deputy Leader, the approval of a Consultation Strategy and associated documents.
- (iv) Delegate to the Director of City and Environmental Services in consultation with the Executive Leader and Deputy Leader the approval of supporting evidence, information and documentation to be published during public consultation.
- (v) Approve the draft Local Development Scheme attached as Annex F to the report, as the Council's project plan for progressing the Local Plan and other development plan and related documents. ¹.
- (vi) That, in respect of site ST15: Land to the West of Elvington Lane, an expression of interest be made in the context of the Department for Communities and Local Government Prospectus – Locally-led garden villages, towns and cities on the basis of the current site as defined in the Preferred Sites Document (Annex A to the report). ².

- Reasons: (i) So that a National Planning Policy Framework (NPPF) compliant Local Plan can be progressed.
- (ii) So that changes recommended as a result of discussions at the LPWG and the Executive can be made and any presentational errors can be addressed.
- (iii) & (iv) To ensure that the proposed methods of consultation are satisfactory to Members and accord with the Council's adopted Statement of Community Involvement.
- (v) So that an NPPF compliant Local Plan can be progressed and to provide information to interested parties about the next stages of development for the documents listed.
- (vi) To ascertain whether support from the Government would be forthcoming in respect of funding and expertise which would help progress the development of the site.

Action Required

- | | |
|---|--------|
| 1. Proceed with Local Plan public consultation as outlined in the project plan. | MG, RM |
| 2. Proceed with the expression of interest in site ST15. | MG, RM |

7. Organisation Review: Senior Management Arrangements within City of York Council

At this point all Directors and Assistant Directors left the meeting for consideration of this item.

Members considered a report which presented proposals for the restructuring of senior management roles and responsibilities within the City of York Council. The review had been undertaken in response to an Executive request in 2015 to examine the senior management arrangements, including the Chief Executive, Director and Assistant Director posts and for a minimum of £150k saving to be achieved.

Officers confirmed that this was the first phase of the review to support the development of the Council's evolving operating model and they highlighted the process, phasing and time scales of the review. They also confirmed their discussions with the new Chief Executive who had indicated her support for the proposals.

The Executive Member referred to the formalising of the Chief Officer savings and highlighted possible capacity issues and the need to protect front line services.

Following further discussion it was

Resolved: That the Executive:

- (i) Approve structure proposals for the senior management roles and responsibilities as set out at paragraph 21 and Annex A of the report.
- (ii) Delegate consultation and implementation of the new structure to the Chief Executive and Corporate Management team.
- (iii) Approve the use of the Local Government Association job evaluation scheme for senior managers and to use this to develop new job descriptions and person specifications.¹

Reason: To ensure that the organisation structure is aligned with council priorities.

Action Required

1. Implement new senior management proposals. MB

8. Council Owned Companies: Future operating models and proposals for the City of York Trading Company Board

Consideration was given to a report which reviewed the governance of Council owned companies, in light of the recent Public Interest Report recommendations. It was noted that the Council was the sole owner of two companies and the joint owner of five others and details of their governance arrangements together with other bodies which provided a significant service to the Council were considered, these included:

City of York Trading Limited
Make it York Limited
Yorwaste and SJB Recycling
Yorkshire Purchasing Organisation
Veritau
York Science Park Limited
Science City York Ltd

Officers reported on alternative service delivery models, future trading activity and common governance frameworks and governance principles. They also highlighted the recommendations of the City of York Trading Shareholder Group which required Executive approval. In answer to earlier speaker's comments they confirmed that a managed transition for this body would be undertaken via Democratic Services.

Members noted that all existing companies, which were controlled by the Council, had taken appropriate legal advice on the company's governance structures and were fundamentally sound. Members also confirmed that whilst The Shareholder Committee would consist of two Executive Members, it would be a cross party body with the co-option of members from other Groups.

Executive Members expressed support for the proposed common governance framework for the operation of trading companies to provide transparency and accountability and following consideration of the following options:

Option A – The forming of an Executive Committee to fulfil the role of (The Shareholder Committee).

Option B – That no Shareholder Committee of the Executive be created with the Executive taking full responsibility for the roles and functions identified of both The Shareholder Committee and the Executive, it was

Resolved: That Executive agree:

- (i) To establish a single member decision making committee to act as shareholder and oversee the business of all Council trading companies (The Shareholder Committee) composed of a minimum of 2 Executive Members.

- (ii) To the terms of reference and the roles and responsibilities of The Shareholder Committee as set out in the report.
- (iii) That the Chief Executive in consultation with the Leader and Deputy Leader determine and publish within the framework approved by the Executive, initial delegations on a company by company basis to The Shareholder Committee if separate from the Executive and subsequent officer delegations. These delegations to be reviewed from time to time with the Council's broader scheme of delegations.
- (iv) That following approval of the above recommendations, the existing shareholder arrangements cease upon creation of The Shareholder Committee. ¹.
- (v) To note the conflicts of interest that Directors can be subject to as identified in paragraph 9 of the report and that these will continue to be considered in the approach to the selection of Directors.
- (vi) That the practice to provide briefings to newly appointed Directors on their role and, in particular, on managing conflicts of interest is made a formal requirement for all future appointees to attend.
- (vii) To consider and give effect to the recommendations of the existing City of York Trading Shareholder Group in relation to the recruitment proposals for a Managing Director for City of York Trading Ltd and approve the proposed role description and salary, together with the revised structure of the City of York Trading Ltd Board itself. ².

Reason: (i)&(ii) To ensure effective governance of trading company activity.

- (iii) To give effect to the Governance principles agreed by Executive.

- (iv) To remove existing shareholder arrangements.
- (v) To ensure the principles of good governance principles are reflected in the Council appointments process.
- (vi) To ensure that Directors are conversant with their multiple statutory responsibilities.
- (vii) In order to comply with decision making arrangements relating to the business of the shareholder group.

Action Required

- 1. Proceed with the establishment of The Shareholder Committee on terms agreed. AD
- 2. Proceed with the recruitment of the MD for the City of York Trading Co Ltd. IF

9. Implementation of Budget Savings on Council Funded Local Bus Services

Consideration was given to a report which provided details of the outcome of consultation, relevant usage statistics concerning each Council funded bus service and a response to the recommendations of the Economic Development and Transport Policy and Scrutiny Committee. This followed previous agreement to savings required to subsidies provided to bus services by Council in February 2016.

It was noted that service reductions or alterations had previously been identified through the budget setting process, which as far as possible ensured that all areas with current bus service provision would not be left without any service. Consultation had been undertaken on a proposed list of services identified for withdrawal or modification, the results of which had been reported at Annexes B and C. Additional comments received from the York Bus Forum, the York and District Trade Union Council and users of the no 20 bus route were also circulated at the meeting.

Officers confirmed that the options had all been fully explored, however should the Executive decide not to reduce local bus

service expenditure, equivalent savings would have to be found elsewhere in the budget.

Officers presented the following options:

Option A – to withdraw subsidy from the services outlined at Table 2, in the report.

Option B – Retain reduced subsidy for evening services and a scaled back level of service on a proportion of route 20.

Option C – Reverse or modify the February 2016 budgetary decision and identify savings in whole or in part from elsewhere in the Council's budget.

The Deputy Leader confirmed that, following consultation with residents, the Bus Forum and the Policy and Scrutiny Committee he supported Option B, which would retain the majority of route 20 and the evening services. He gave a commitment that the Council would look to sustain these services for the administrations term of office and to endeavour to fund the services going forward, and that discussions would continue with the commercial operators.

Members welcomed the proposals and thanked Officers for their work, highlighting the need for discussions in Ward's to encourage the use of services to ensure their retention.

Following further discussion it was

Resolved: That the Executive approve Option B, to retain a reduced subsidy for evening bus services and a scaled back level of service on a proportion of route 20, as set out in paragraphs 49 to 62 of the report. ¹.

Reason: This option would not achieve the savings target agreed through the Council's budget process, however it would, potentially meet many of the needs identified through the public consultation.

Action Required

1. Implement agreed bus service revisions, following bus operator and stakeholder negotiations.

AB

10. Coppergate Traffic Regulation Order

Consideration was given to a report which set out progress on and sought to gain approval for a revised proposal for the reintroduction of a camera enforced traffic restriction on Coppergate, following detailed investigations and legal advice.

It was noted that following examination by Counsel and, to enable the restrictions to be more effectively signed, a re-drafted Traffic Regulation Order (TRO) was proposed to provide clarity for drivers and to address the issues raised by the Traffic Penalty Tribunal (TPT).

Officers confirmed that the revised 8am – 6pm hours of operation had been proposed in order to align the hours of operation with adjacent streets.

Consideration was given to the following options:

Option 1 – proceed with the already approved decision from last October. This is not the recommended option as there was uncertainty as to the ability to adequately sign the TRO to convey the meaning of the TRO taking into account the previous criticism from the TPT.

Option 2 – approve the advertising of a revised TRO as outlined in the report (i.e. permit holders and rewording of the TRO content). This was the recommended option as it provided a firm foundation on which to take the scheme forward for consultation.

Resolved: That the Executive approve:

- (i) The advertising of a revised Traffic Regulation Order, as set out in Option 2 of the report. The revised TRO will seek to:
 - change the exemption to the Coppergate (Local Bus Priority) TRO from “except taxis and Private Hire vehicles” to “except permit holders”, and to define taxi and private hire vehicle operators as “permit holders”

- change the hours of operation to 8am to 6pm (as approved previously)
- tidy drafting to resolve previous criticisms from the Traffic Penalty Tribunal.

(ii) An extended consultation process as outlined in paragraphs 12 and 13 of the report.¹

- Reason:
- (i) To enable the introduction of the scheme in a manner that is compliant with the traffic signing regulations and accurately conveys the meaning of the TRO.
 - (ii) To facilitate greater participation in the consultation process for this scheme in response to the previous significant interest and provide for wider understanding of the proposal for key stakeholders.

Action Required

1. Advertise the revised TRO and extended consultation.

TC

11. Review and Refresh of the York Private Sector Housing Strategy

The Executive considered a report which set out the outcomes of the Private Sector Strategy for 2008/13 and provided a copy of the draft 2016/21 refreshed strategy and action plan for approval.

The refreshed strategy had taken account of the new evidence base for private sector stock and recent Government consultation on extending Houses in Multiple Occupation licensing and the review of the city wide accreditation scheme. Consideration was also given to the consultation undertaken and the views of the scrutiny steering group from their meeting on 9 May 2016.

Officers highlighted that around 86% of York's 87,507 homes were in the private sector of which 11,444 dwellings had a category 1 hazard most commonly relating to excess cold or a fall hazard and that a third of these were in the private rented sector. Officers also confirmed the existence of local pressure for an HMO licensing scheme, which would require a level of evidence, however monitoring would continue and the results of the government consultation awaited was noted.

Members welcomed the report and referred to continuing discussions around funding from the Leeds City Region for work in this area.

The Executive then considered the following options:

- Option 1 – To approve the refreshed strategy and action plan as set out in appendix one
- Option 2 – Not to approve the refreshed strategy and action plan as set out in appendix one

Resolved: That the Executive approve option One and sign off the Private Sector Housing Strategy and action plan as set in the report. ¹.

Reason: To use the most up to date evidence base to ensure that the strategy focuses on the issues which cause the most impact on the health of the occupant and that private sector rented housing in York continues to be maintained and managed to a high standard.

Action Required

1. Implement revised strategy and action plan. RA

12. 2015/16 Draft Outturn Finance and Performance

Consideration was given to a report which provided a year end analysis of the Council's financial performance over the 2015/16 financial year, detailed at Annex A in the York Monitor.

The Council's net General Fund budget for 2015/16 was reported as £119,760k with a provisional outturn of an under spend of £876k, an improvement of £1.8m since Monitor 3. It was noted that the Council's reserve at the beginning of 2015/16 stood at £6.8m and that this level would be maintained for 2016/17 to take account of increased risks facing the

authority. Proposals for the allocation of the £80k under spend for 2015/16 in the areas of recycling, pupil premium, city ambassadors and delivery of two further jobs fairs, were also reported.

Further information in relation to the financial outturn of each directorate was reported at paragraphs 9 to 46 and at Annex 1, together with details of the achievements and challenges in relation to performance.

Resolved: That the Executive agree to:

- (i) Note the year end under spend of £876k and the allocation of £80k as outlined in paragraph 54 of the report with the balance of £796k transferred to the General Contingency;
- (ii) Note the financial risks outlined in the report and the need to maintain a significant contingency at this time and;
- (iii) The requests from contingency totalling £100k as outlined in the report.

Reason: To ensure significant financial issues can be appropriately dealt with.

13. Capital Programme Outturn 2015/16 and Revisions to the 2016/17 - 2020/21 Programme

[See also Part B minute]

Consideration was given to a report which set out the capital programme outturn position, including any under or overspends, overall funding of the programme and an update on the future years programme.

It was noted that the report showed an outturn of £41.505m compared to an approved budget of £51.538, an overall variation of £10.033m, made up from requests to reprofile budgets and adjustments to schemes detailed in the report.

The variances for individual department were also reported together with the restated capital programme at Table 3.

Officers reported on the capital schemes both completed and underway to deliver the Council's priorities.

Resolved: That the Executive agree to:

- (i) Note the 2015/16 capital outturn position of £41.505m and approve the requests for re-profiling totalling £11.308m from the 2015/16 programme to future years.
- (ii) Note the adjustments to schemes increasing expenditure in 2015/16 by a net £1.275m.
- (iii) Note the adjustments to schemes increasing expenditure in future years totalling £6.340m in 2016/17 and £24.552m in 2017/18.
- (iv) Approve the appropriation of 0.51 acres of land previously occupied by the Heworth Lighthouse children's centre from the General Fund to the Housing Revenue Account in order to facilitate the extension of Glen Lodge Extra Care Facility as part of the Older Persons' Accommodation Programme as set out at paragraphs 42-43. ¹

Reason: To enable the effective management and monitoring of the Council's capital programme

Action Required

1. Appropriate land related to Glen Lodge extension to the Housing Revenue Account

DM

14. Financial Strategy Update 2016/17 to 2020/21

[See also Part B minute]

Members considered a report which presented an update to the Financial Strategy for 2016/17 to 2020/21 and set out the outline process for the 2017/18 to 2021/22 Financial Strategy.

Members were reminded that the Strategy had set the strategic direction towards achieving savings proposals in each

Directorate over the 4 year period, which included the protection of priority areas and safeguarding key statutory services. Members also noted details of the funding sources and the significant areas of investment approved over the last 12 months. It was noted that moving forward the Strategy would build on work to identify the strategic direction and transformational approach to each service area, with final proposals being presented to Budget Council in February 2017.

Resolved: That Executive agree to the outline budget planning process for 2017/18 to 2021/22 as outlined in the report. ¹.

Reason: In order to achieve the proposed savings and efficiencies set out in the Council's Financial Strategy and Efficiency Plan and protect priority areas and key statutory safeguarding services

Action Required

1. Implement budget planning process for 2017/22. DM

15. Treasury Management Annual Report & Review of Prudential Indicators 2015/16

The Executive considered the annual treasury management review of activities and the prudential and treasury indicators for 2015/16, as required by regulations issued under the Local Government Act 2003.

The position for 2015/16 compared to 2014/15 was summarised, with total borrowing at the start of the year at £317.4m and ending at £319.4m, split between the General Fund and Housing Revenue Account. Details of the interest and investment rates applicable over this period were reported at paragraphs 16 to 18 and prudential indicators for 2015/16 at Annex A.

Resolved: That the Executive:

- (i) Note the 2015/16 performance of treasury management activity and

- (ii) Note the compliance with and movements of the prudential indicators as set out in Annex A of the report.

Reason: To ensure the continued performance of the Council's treasury management function can be monitored.

Part B - Matters Referred To Council

16. Capital Programme Outturn 2015/16 and Revisions to the 2016/17 - 2020/21 Programme

[See also Part A minute]

Consideration was given to a report which set out the capital programme outturn position, including any under or overspends, overall funding of the programme and an update on the future years programme.

It was noted that the report showed an outturn of £41.505m compared to an approved budget of £51.538, an overall variation of £10.033m, made up from requests to reprofile budgets and adjustments to schemes detailed in the report.

The variances for individual department were also reported together with the restated capital programme at Table 3.

Officers reported on the capital schemes both completed and underway to deliver the Council's priorities.

Recommended: That Council agree the restated 2016/17 to 2020/21 programme of £221.594m as summarised in Table 3 and detailed in Annex A of the report. ¹.

Reason: To enable the effective management and monitoring of the Council's capital programme.

Action Required

1. Refer to Council.

JP

17. Financial Strategy Update 2016/17 to 2020/21

[See also Part A minute]

Members considered a report which presented an update to the Financial Strategy 2016/17 to 2020/21 and set out the outline process for the 2017/18 to 2021/22 Financial Strategy.

Owing to the uncertainty of the current process by which the Government confirmed funding to Council's, authorities had been offered a 4 year funding settlement if they published an Efficiency Plan prior to 14 October 2016.

Officers confirmed that the Financial Strategy had been used as the general direction for the Plan, however there was still a need for flexibility, as issues arose, however the Plan would improve stability and medium term planning.

Recommended: That Council agree the adoption of the Efficiency Plan 2016/17 to 2019/20 as set out in Annex 1 of the report. ¹.

Reason: In order to achieve the proposed savings and efficiencies set out in the Council's Financial Strategy and Efficiency Plan and protect priority areas and key statutory safeguarding services.

Action Required

1. Refer to Council.

JP

Cllr D Carr, Chair

[The meeting started at 5.30 pm and finished at 7.25 pm].

Meeting	Executive
Date	14 July 2016
Present	Councillors Carr (Chair), Aspden (Vice-Chair), Ayre, Gillies (items 1-6), Rawlings, Runciman, Steward and Waller
Other Members participating in the meeting	Councillors Looker and Craghill
In attendance	Councillors Crisp and Cuthbertson

Part A - Matters dealt with under Delegated Powers

18. Declarations of Interest

Members were asked to declare, at this point in the meeting, any personal interests, not included on the Register of Interests, or any prejudicial or disclosable pecuniary interests they may have in respect of business on the agenda. No interests were formally declared.

19. Exclusion of Press and Public

Resolved: That the press and public be excluded from the meeting during consideration of Annex 2 (ii) to agenda item 8 (The Guildhall – Detailed Designs and Business Case) and Annex 2 to agenda item 9 (Demonstrating Progress on the Older Persons' Accommodation Programme) on the grounds that they contain information relating to the financial or business affairs of any particular person (including the authority holding that information). This information is classed as exempt under paragraph 3 of Schedule 12A to Section 100A of the Local Government Act 1972 (as revised by the Local Government (Access to Information) (Variation) Order 2006.

20. Public Participation

It was reported that there had been eight registrations to speak at the meeting under the Council's Public Participation Scheme, and that one Member of Council had also requested to speak. The registrations were in respect of the following items:

York Central

Mr Chris Barrett expressed concerns regarding the impact of the York Central proposals on St Paul's Terrace and its neighbourhood. He stated that he was particularly concerned at the impact on the community garden and play area which would be destroyed to make way for an access road. He stated that the garden had been created by volunteers and was well used by the community for a variety of activities.

Mr Andy Richardson expressed concern that the proposed access point from Chancery Rise would increase traffic congestion, noise, light and air pollution. He stated that there was already significant traffic and pollution in Holgate and the proposals would make the situation worse. He urged Members not to permit another road to go through the community and commented on the loss of the community garden. Mr Richardson stressed the importance of a full assessment of the environmental impact.

Mr David Barrett spoke on the impact of the proposed Chancery Rise access road on the natural environment (in particular the Holgate Community Garden and Play Park) and the threat to the local heritage. He drew attention to the wildlife that was present in the area. He stated that the area was an area of special character because of its Victorian terrace streetscape and associated amenities and it should be protected from unsympathetic development. Local opinion was unequivocally against the proposed access road because of the adverse impact that it would have on the community. Whilst there was support for the development of a brownfield site, access to the site had to be reconsidered.

Mr Simon Graysmark spoke on issues in respect of crime, safety and anti-social behaviour arising from the proposed access to the site. He stated that advice had not been sought from crime prevention experts on this matter and expressed concern about this. He also urged Members to consider the

impact on the Holgate Community Garden and its importance to the community.

Mr Jef Morris expressed his concern regarding the consultation that had taken place on the proposals. He stated that the information that had been provided to residents had been limited and had not mentioned the adverse impact on neighbourhoods. He stated that the consultation meetings had not been well publicised and he expressed concern regarding the questionnaire and the consultation process.

Mr Paul Kirkman, Director of National Railway Museum, stated that the museum was working in partnership to take the development forward and stressed the importance of the development to the museum and to the city. The heritage of the site would be honoured and the project would be a catalyst to upgrade facilities. Although there were issues to be addressed, in general the development would be a great thing for York. Mr Kirkman urged the Executive to move the development forward.

Councillor Crisp stated that she was speaking on behalf of the three Holgate Ward Councillors and on behalf of many residents of Holgate. She expressed concerns regarding the unaffordability and type of housing that was planned. She stated that expensive high rise apartments would not address the city's housing needs and that there was a need to ensure that the housing was suitable for families, for example terraced housing with gardens. It was important that social and affordable housing was included in the development. Councillor Crisp also drew attention to the environmental impact of the proposed development and the additional congestion and pollution that would arise.

The Guildhall – Detailed Designs and Business Case

Mr David Horton, twice former Lord Mayor and a member of the former civics group that was raising funds for the restoration of the Mansion House, drew Members' attention to paragraph 41 of the report on the Guildhall project which stated that the Mansion House garages were no longer part of the Mansion House listing. He queried when the listing had been removed and expressed concern at the proposal to demolish the garages to open up the Guildhall Yard. Mr Horton expressed concern as to how the civic party would be able to operate effectively without the mayoral car being accessible. He urged Members

to remove the demolition of the garages from the design proposals.

Mr Brian Watson, former Lord Mayor, stated that the Guildhall had the potential to be a world class venue and was a city icon. He stated that he did not see the need for design changes such as the proposed removal of the dais to enable a link corridor to be put in place. Mr Watson also commented that he did not believe that it would be sufficient for the Council to be able to use the building for only 12 civic events a year and he suggested that the agreement should specify the required usage in days rather than in number of events. Mr Watson expressed concern at the removal of the listing of the garages, which he stated would impact detrimentally on the functionality of the Lord Mayor. He commented that there were already many cafes and restaurants in the city and he urged Members to think again before going ahead with the proposals.

The speakers were thanked for their contributions.

The following written representations had also been received and had been circulated to Executive Members:

- Ms Claire McMahon – on the provision of school places in Holgate (agenda item 7 refers)
- Mr Steve Galloway – on the future of the Lowfields site, including a summary of the preliminary results of a public opinion survey in relation to the Lowfields site from local residents (agenda item 9 refers)

21. Forward Plan

Members received and noted details of the items that were on the Forward Plan for the next two Executive meetings, at the time the agenda had been published.

22. Thinking & Acting Differently – A Response to the Peer Review 2016

Members gave consideration to a report which offered a specific response to the findings from the recent Local Government Association Peers report and which presented the People Plan strategic aims for approval. The report also provided an update on all actions contained in the Peer Review Action Plan along with suggestions for ongoing monitoring arrangements by Members.

Members commented that it was pleasing to note that the LGA Peer review had recognised that relationships between Members had improved. The Executive would be working with the new Chief Executive to move the plan forward and consideration would be given as to how best involve all Members in its implementation.

Members noted the arrangements that would be in place to monitor implementation of the action plan, including the proposed role of the Corporate and Scrutiny Management Policy and Scrutiny Committee in this process.

- Resolved:
- (i) That the progress in achieving the Peer Review 2016 Action plan (Annex B of the report) published on 2 June 2016 be noted.
 - (ii) That future monitoring arrangements for the Peer Review Action Plan 2016 be through the Council's quarterly performance reporting process that is already in place.
 - (iii) That, in light of (ii), Corporate and Scrutiny Management Policy and Scrutiny Committee be invited to review any matters they feel appropriate given the committee's portfolio.¹
 - (iv) That the People Plan 2016-20 (Annex C of the report) be approved.

Reason: To provide assurance regarding clear action planning and decision taking around the Peer Review 2016 recommendations, together with progress and monitoring arrangements in place.

Action Required

1. Bring to the attention of Corporate & Scrutiny Management Policy and Scrutiny Committee

JC

23. The City Vision and Council Plan – A Framework for Delivery

Members considered a report which outlined the refresh undertaken of the Council's Performance Framework in order to provide a clear line of sight between the high level vision for the

city and the work carried out by every Council employee. This followed the Finance and Performance Monitor taken by the Executive in June, and in order to reinforce the centrality of the Council Plan in determining priority activities and their resourcing both for services and individual members of staff.

Attention was drawn to paragraph 5 of the report which summarised the key elements of the vision and to the service delivery planning that was taking place to support the delivery of the plan.

Members commented on the need to ensure that the Council could evidence that it was a listening Council and that its consultation with residents was meaningful. Members agreed on the importance of ensuring that feedback was given to residents explaining why particular options had been taken.

- Resolved: (i) That the City Vision 2030 be approved.
- (ii) That City of York Council Performance Framework 2016-19 be approved.

- Reasons: (i) To clearly communicate direction of travel of the Council alongside the Council Plan.
- (ii) To provide a performance framework for assuring action planning and decision making.

24. York Central

Members gave consideration to a report that fed back on the outcome of the informal consultation undertaken for the redevelopment of York Central. The report outlined the proposed approach to the Planning Framework; set out the proposed composition of the York Central Community Forum; provided an update on progress with the project and sought agreement to enter into a Local Growth Fund deal from Leeds City Region Local Enterprise Partnership in order to proceed with site assembly and preparation.

Officers responded to issues that had been raised during the public participation item on the agenda. They stated that no decisions had yet been made regarding access to the site and that further work was still to be carried out before more detailed plans for the site, including alternative access routes, would be

presented. Attention was drawn to the ecological survey that was being undertaken.

Members stated that they were pleased to note that the project was moving forward as this had been a long term aspiration for the city. The development of this brownfield site would be significant for the city and for the wider region.

Referring to housing density and mix on the site, Members acknowledged that this would be influenced by viability and the decisions of the owners of the land.

Members stated the importance of ensuring that conversations with the community were ongoing and they welcomed the establishing of York Central Community Forum. They requested that, because of the specific impacts, officers ensured that its membership included representatives from the wider area and not just the site itself.

Members noted that it was intended that a further report would be presented to the Executive in September 2016.

- Resolved¹:
- (i) That the responses to the informal consultation on “Seeking your views to guide development” be noted.
 - (ii) That the approach to establish a York Central Community Forum as an integral part of the consultation process for the site be noted.
 - (iii) That the progress over the past six months to inform the emerging York Central Planning Policy and deliver the York Central site be noted.
 - (iv) That a loan of £2.55m from Leeds City Region (LCR) Local Growth Fund as an element of the funding proposals for York Central be agreed in principle.
 - (v) That the Director of Customer and Business Support Services, in liaison with the Leader, be delegated to agree the terms for a Funding Agreement with Leeds City Region (LCR) Local Enterprise Partnership (LEP).

- (vi) That a further draw down from the £10m allocation of £0.55m be agreed in order to fund the immediate site preparation works outlined in the report.

- Reasons:
- (i) To ensure issues raised from the consultation are taken account of in developing the Planning Framework SPD.
 - (ii) To ensure the views of the local community are represented as the site progresses.
 - (iii) To ensure that a development scheme for the York Central site can be delivered.
 - (iv) – (vi) To enable timely progress on the York Central project.

Action Required

1. Progress with scheme as agreed

TC

25. The Guildhall - Detailed Designs & Business Case

Members considered a report that presented the latest designs and business case for the development of the Guildhall complex, highlighting the potential for a world class venue for business, alongside retained council use in one of York's most significant historic buildings. Members were recommended to proceed with detailed design and planning/listed building consent applications for the scheme, which proposed to create a business club/serviced office venue with supporting commercial development on the riverside.

A presentation was given which showed the planned developments as well as illustrating work that had been identified as needing to be carried out to address structural issues.

Officers gave details of the planned designs and proposed usage and management of the buildings. Members' attention was drawn to the increased costs which had arisen because of structural issues that had been identified and because the proposed design now included more new build.

At the request of Members, details were given of the ways in which the use of renewable energy had been embedded in the design.

Referring to the concerns that had been raised under the public participation item on the agenda regarding the proposed demolition of the garages, officers explained that this work was intended to provide a more open and attractive space within the Guildhall Yard. Historic England had undertaken a re-listing exercise for the Guildhall complex in March 2016 and the garages had ceased to be listed from that date.

Members stated that, whilst they acknowledged that the demolition of the garages would cause some inconvenience to the Lord Mayor and civic party, the opening up of the Guildhall Yard was crucial to the project and would impact on its commercial viability. It was therefore important that consideration was given as to arrangements that could be put in place to mitigate the impact of the loss of the garages.

Members expressed their support for the proposed developing and its innovative design.

Resolved¹: That Executive:

- (i) Note the business case and cost estimates for the scheme indicating a capital budget requirement of £10.19m to be prudentially borrowed, and a potential increase to the net revenue budget of £180k.
- (ii) Agree that the detailed business case be presented to Executive in February, setting out the actual budget requirement for delivery. Executive and Full Council will be asked to take a final decision and make the relevant budget provision, following further work to confirm the budget requirement.
- (iii) Agree to the marketing of the restaurant unit and securing a pre-let agreement for a 25 year commercial lease.

- (iv) Agree the commencement of the procurement of a service contract for the operation of the business club, office venue and cafe.
- (v) Agree the submission of Planning and Listed Building Consent applications.
- (vi) Agree that the RIBA stage 4 detail design (construction information/specification), including for value engineering to potentially reduce project costs, proceed.
- (vii) Agree that the opportunities for securing Local Growth Fund monies with both the regional LEP teams continue to be explored.
- (viii) Agree that the procurement of a construction contractor, through an EU compliant process, commence.
- (ix) Agree the draw down of a further £350k from the capital budget already allocated to the project to fund the planning application and the RIBA stage 4 design work.

Reason: To ensure the future viability and effective re-use of the Guildhall as one of the city's most significant historic buildings, through the creation of a vibrant business and civic venue, with supporting commercial development on the riverside.

Action Required

1. Progress with scheme as agreed.

DW

26. Demonstrating Progress on the Older Persons' Accommodation Programme

[See also Part B minutes]

Members considered a report that provided an update on the Older Persons' Accommodation Programme and which demonstrated the changing supply and demand for older persons' accommodation with care up to 2020. The report also sought consent to:

- Move forward with plans for the re-development of the Lowfield school site, beginning with public engagement regarding use and design.
- Open negotiations to purchase land adjacent to Haxby Hall in order to facilitate the examination of options for its future.
- Consult on the closure of a further Older Persons' Home in the autumn of 2016 and another one in the first half of 2017, in accordance with the Moving Homes Safely Protocol.

Officers stated that good progress had been made and that they were seeking approval to move forward to the next stage of the project. They detailed the proposals, as outlined in the written report.

Referring to the Lowfields site, the Executive Member stated that the plan was affordable and she hoped that it would be acceptable to local residents. Consultation would take place on the plan. The Executive Member stated that she also welcomed the plans for Haxby Hall as this was very much part of the community. Referring to the consultation on the closure of older persons' homes, the Executive Member stated this action was necessary as some of the accommodation was not for purpose.

Councillor Waller commented on the proposals in respect of the Lowfield site, in particular his support for the care home, and elderly housing but residents concerns about the loss of open space and the length of time of building works. He stated that he would like to see options to increase open space on the site. It was also important to ensure that the impact of the building work on the local community was minimised. Councillor Waller stated that he welcomed the discussions that had taken place with the local football team regarding future arrangements. He also commented on possibilities in respect of a community hub on the land behind Acomb Explore.

Members stated that they were pleased to note the progress that had been made and they welcomed the proposals for the next stage of the project. They commented on the need to balance provision of the accommodation across and the city and to ensure that the impact of the proposed work on the community was effectively managed.

Resolved¹: (i) That the progress made towards delivering the

Older Persons' Accommodation Programme agreed by Executive in July 2015 and the changing supply and demand for older persons' accommodation with care up to 2020 be noted.

Lowfield

- (ii) That it be agreed to move forward with the development of the Lowfield School site in order to deliver:
 - i. Approximately 3 acres for the potential development of health and wellbeing facilities, including a care home;
 - ii. Approximately 9 acres for housing, including "starter homes" and homes for the over 60s;
 - iii. Approximately 1 acre as play and open space; and
 - iv. A capital receipt of at least £3.8m from sale of land on the site.
- (iii) That the examination of the opportunity to create football facilities on land off Tadcaster Road be authorised.
- (iv) That a further report be received in Q4 2016 providing feedback on the public engagement and proposals for the future of the Lowfield site

Haxby Hall

- (v) That the Director of Customer and Business Support Services be authorised to commence negotiations for and agree the purchase of land adjacent to Haxby Hall, in order to facilitate the examination of options for the future of Haxby Hall Older Persons' Home as part of the Older Persons' Accommodation Programme.
- (vi) That a further report be received in Q4 2016 on the examination of options for the long term future of Haxby Hall, including seeking a

partner to operate and redevelop as an alternative to consultation on closure.

Consultation on Closure

- (vii) That, this autumn, a six week period of consultation be undertaken with the residents, family, carers and staff of one of the Council's Older Persons' Homes to explore the option to close the home with current residents moving to alternative accommodation and that a further report on the outcome of this consultation be received by the Executive before a final decision to close is made and that this process be repeated in the first half of 2017 in respect of a further Council run Older Persons' Home.

Further reports

- (viii) That the Executive receive regular written updates on the progress of the Older Persons' Accommodation Programme.

- Reasons:
- (i) To ensure that the Executive is kept updated on progress made in delivering the Older Persons' Accommodation Programme.
 - (ii) to (iv) So that the consideration of the redevelopment of Lowfield can progress.
 - (v) to (vi) So that the Executive can decide the best future for Haxby Hall.
 - (vii) So that the Executive may decide which homes may close having been fully informed of the views of and options available to existing residents.
 - (viii) So that the Executive can be assured that the Programme is progressing according to plan and will be delivered.

Action Required

1. Progress with scheme as agreed

RW

27. Prevention and Early Intervention Services - a proposal for a new way of working

Members gave consideration to a report that followed the Executive decisions on 17 March 2016 which outlined the plans to create new Local Area Teams to work across the city to bring together a range of existing services to form a new set of preventative arrangements for families from pregnancy through to adulthood. The report also detailed work underway to establish the new structures, processes and the new ways of working that were required.

Officers detailed the proposals, as outlined in the report, and stated that the arrangements would enable the centres to be used more flexibly. It was noted that Hob Moor, Clifton and Tang Hall would be the designated “children’s centres”.

Officers were questioned about the proposed arrangements in respect of Sycamore House. Members commented that this must not be at the expense of the adult mental health offer. Officers gave details of the engagement that was taking place with young people regarding this issue, including plans to establish a working group to ensure that their voice was heard.

Discussion took place regarding the defining of outcomes, as outlined in Annex A of the report. Members noted there would be a set of measurable indicators within the outcomes framework, some of which would be mandatory and others which would be more locally responsive.

Officers were questioned about the risks involved in the new operating model and the action that was being taken to mitigate the risks.

The Executive Member stated that he had visited many of the children’s centres and Sycamore House and, whilst some individual concerns had been raised, he had been pleased to note that there had been a great deal of understanding and commitment to the process.

- Resolved¹: (i) That the following be agreed regarding children’s centre services:
- a. All nine sites to be re-named and re-launched as a range of children and family

centres that enable more flexible and responsive provision which aligns with local community activity and use.

- b. Three children and family centre resources to be maintained as designated “children’s centres” with the statutory responsibility for ensuring the delivery of integrated early childhood services across the city. These centres will be the main bases for the Local Area Teams.

(ii) That the following be agreed regarding the approach to the city Youth Order:

- a. A revised offer including information and advice services being drawn from the Local Area Teams to deliver city centre services alongside Adult Services and Community and Voluntary Sector partners, as outlined in paragraphs 54 and 61 of the report.
- b. To relocate the city centre offer from 29 Castlegate to Sycamore House to achieve this.
- c. To release 29 Castlegate for disposal as a surplus asset and to bring back a further report setting out the required funding for any works to Sycamore House and any other re-designated sites; this will in principle be funded from the capital receipt from Castlegate.
- d. Begin a process of engagement and commissioning of community partners to deliver the youth counselling offer.

Reason: This will finalise the plans for the Local Area Teams, allow the council to take forward agreed work to remodel early help arrangements and achieve the associated savings targets.

Action Required

1. Progress with project as agreed

NM

Part B - Matters Referred to Council

28. **Children and Young People in Care: York's New Strategy 2016-2020**

Members considered a report which presented the new Children in Care Strategy 2016-20 and sought Council endorsement of the strategy which had been developed on the basis of consultation and input from children and young people in care, council colleagues and multi-agency partners. The report also detailed the new partnership arrangements which would provide strategic leadership across agencies responsible for commissioning and providing services for children in care in York.

Officers drew Members' attention to the "Aspire to More" project that had been carried out by Show Me That I Matter.

Members noted that a young persons' version of the strategy was also to be produced. It was agreed that all Members of Council should receive a copy of the strategy.

Members expressed their support for the Children in Care Strategy and stressed the importance of ensuring that there was a collective commitment to the strategy. The Council's responsibility to Looked After Children was of the highest priority.

Members paid tribute to the work carried out by foster parents and wished to place on record their thanks to them.

- Recommended:
- (i) That Council endorse the Children in Care Strategy 2016-2020 (Annex 1 of the report).
 - (ii) That Council note the introduction of new strategic partnership arrangements and strengthened leadership to ensure the progress and delivery of the strategy be noted.

Reason: To endorse the new children in care strategy.

29. Demonstrating Progress on the Older Persons' Accommodation Programme

[See also Part A minutes]

Members considered a report that provided an update on the Older Persons' Accommodation Programme and which demonstrated the changing supply and demand for older persons' accommodation with care up to 2020. The report also sought consent to:

- Move forward with plans for the re-development of the Lowfield school site, beginning with public engagement regarding use and design.
- Open negotiations to purchase land adjacent to Haxby Hall in order to facilitate the examination of options for its future.
- Consult on the closure of a further Older Persons' Home in the autumn of 2016 and another one in the first half of 2017, in accordance with the Moving Homes Safely Protocol.

Recommended: That, in respect of Haxby Hall, provision of up to £600,000 be made within the Capital Programme to meet the acquisition and legal costs as well as to fund demolition, enabling and related works, drawing upon capital held for the use of the Older Persons' Accommodation Programme.

Reason: To allow the development of options for the future of Haxby Hall as part of the Older Persons' Accommodation Programme.

Cllr Carr, Chair

[The meeting started at 5.30 pm and finished at 8.40 pm].

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Forward Plan: Executive Meeting: 25 August 2016

Table 1: Items scheduled on the Forward Plan for the Executive Meeting on 29 September 2016

Title and Description	Author	Portfolio Holder
<p>Proposals for the Freehold of Stonebow House</p> <p>Purpose of Report: The report will set out options to dispose of the freehold interest or extend the leasehold of Stonebow House. The existing lease with the Council only has 35 years left to run which would preclude the proposed redevelopment. A disposal of the freehold or extension of the leasehold; that reflects the commercial value, will allow the disused building to be brought back in to use, subject to planning.</p> <p>The Executive is asked to consider the options as outlined in the report and to approve the preferred officer recommendation.</p> <p>This report may contain an annex that may be considered in private as it contains Exempt Information as described in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972 (as amended) in that it contains information relating to the financial or business affairs of any particular person (including the authority holding that information).</p>	<p>Andy Kerr</p>	<p>Executive Member for Finance & Performance</p>
<p>Shareholder Committee - appointment and further arrangements</p> <p>Purpose of Report: To ask the Executive to appoint to the Shareholder Committee, the creation of which was agreed in June. It will also set out the detail of delegations in respect of company matters.</p>	<p>Andy Docherty</p>	<p>Executive Member for Finance & Performance</p>

<p>New Council Homes - Newbury Avenue</p> <p>Purpose of Report: To update Executive on the additional consultation undertaken following the decision in June 2015 to ask officers to revisit the development proposals for this site.</p> <p>The report also outlines alternative options and asks Executive to instruct officers as to which scheme they wish officers to pursue.</p>	Steve Waddington	Executive Leader (incorporating Housing & Safer Neighbourhoods)
<p>Taking Forward York's Public Realm</p> <p>Purpose of Report: This report concerns the future development of York's public realm. It:</p> <ul style="list-style-type: none"> - Sets out opportunities and priorities for action. - Proposes a new partnership approach to engage all stakeholders in the city in improving our public realm. - Suggests a framework for future capital investment by the Council. <p>The Executive are asked to approve:</p> <ul style="list-style-type: none"> - Aspirations for future public realm enhancements. - A partnership project board to prepare an investment strategy for the city walls. - Use of the Council's Built Environment capital funding. - A partnership approach to champion York's public realm and to refresh York's bid for World Heritage status. 	Charlie Croft	Executive Member for Transport and Planning

<p>Proposed Long Term Leases</p> <p>Purpose of Report: Executive are asked to consider granting permission for leases of more than 21 years to 3 applicants, Ovington Cricket Club, Hamilton Panthers and The Friends of Fishergate Postern Tower.</p>	<p>Neil Ferris</p>	<p>Executive Member for Finance & Performance</p>
<p>Disposal of Grove House, Penley's Grove Street</p> <p>Purpose of Report: The report will seek an Executive decision to select a preferred bidder for the sale of the former Elderly Person's Home at Grove House</p>	<p>Tracey Carter</p>	<p>Executive Member for Finance & Performance</p>
<p>Actual Cost of Care - Residential & Nursing Care Fee Rates</p> <p>Purpose of Report: To present a report that informs the Executive on fee rates for Residential and Nursing Care from 2016-19. This will be based on an Actual Cost of Care Exercise undertaken in partnership with the Independent Care Group and subsequent negotiations.</p> <p>The Executive are asked to agree to a three year fee settlement for providers and the financial costs of implementing an agreed increase.</p>	<p>Gary Brittain and Richard Hartle</p>	<p>Executive Member for Adult Social Care and Health</p>

Table 2: Items scheduled on the Forward Plan for the Executive Meeting on 13 October 2016

Title and Description	Author	Portfolio Holder
<p>Council Housing – New Operating Model Options Stock Option Appraisal</p> <p>Purpose of Report: As part of the council’s wider review of its overall future operating model, all service areas within the council have been asked to undertake a review of their operating model.</p> <p>This report recommends that we undertake a full housing stock options appraisal and at the same time develop tenant and staff panels and establish a ad-hoc cross party member scrutiny panel to consider the long term sustainability of the service and assess the different organisational governance models to support the final decision making process.</p>	Tom Brittain	Executive Leader (incorporating Housing & Safer Neighbourhoods)
<p>Coppergate Traffic Regulation Order (TRO) Objections</p> <p>Purpose of Report: To bring to Members attention all objections made during the formal Traffic Regulation Order (TRO) consultation period. To provide details of possible implementation strategy subject to approval of the TRO.</p> <p>Members are asked to consider the objections and either approve the proposals as advertised or make amendments to/drop the proposal. Subject to the approval to make the TRO, to also approve the implementation strategy for the enforcement of the TRO.</p>	Tony Clarke	Executive Member for Transport & Planning

Table 3: Items slipped on the Forward Plan

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
<p>Treasury Management and Prudential Indicators Mid Year Review Purpose of Report: To provide Members with an update on the treasury management position.</p> <p>Members are asked to note the issues and approve any adjustments as required to the prudential indicators or strategy.</p>	Debbie Mitchell	Executive Member for Finance & Performance	13 Oct 16	24 Nov 16	To have a more even reporting cycle during the financial year
<p>Q2 Finance and Performance Monitor Purpose of Report: To provide Members with an update on finance and performance information.</p> <p>Members are asked to note the issues.</p>	Debbie Mitchell	Executive Member for Finance & Performance	13 Oct 16	24 Nov 16	To have a more even reporting cycle during the financial year
<p>Q2 Capital Programme Monitor Purpose of Report: To provide Members with an update on the capital programme.</p> <p>Members are asked to note the issues and recommend to full Council any changes as appropriate.</p>	Emma Audrain	Executive Member for Finance & Performance	13 Oct 16	24 Nov 16	To have a more even reporting cycle during the financial year

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
<p>York Arts Education Service Purpose of Report: This report concerns the future of the York Arts Education Service.</p> <p>Executive are asked to agree to a new delivery model for York Arts Education Service subject to presentation of an appropriate business plan.</p>	Charlie Croft	Executive Member for Education, Children and Young People	22 Nov 16 (Decision Session - Executive Member for Education, Children and Young People)	24 Nov 16	As the report will contain corporate implications in respect to support services and pension issues, it has been agreed that this issue should be considered by Executive.



Executive

25 August 2016

Report of the Director of City and Environmental Services

Portfolio of the Executive Member for Transport and Planning

Advertising Boards (“A” Boards) and Other Equipment on the Public Highway**Summary**

1. The purpose of this report is to advise the Executive of work undertaken subsequent to its decision of 28th August last year, which sought:
 - (i) That Officers prepare a Consultation Draft Policy to include a formal licensing arrangement for ‘A’ Boards in accordance with strict criteria, (this being consistent with the earlier Cabinet resolution) and commence a consultation exercise on the Draft Policy over forthcoming months; and
 - (ii) That such consultation to be focused to provide engagement with representatives of the business community, in particular retail groups and the Business Improvement District (BID) and also representatives of those who are blind and partially sighted, those with mobility issues such as charities/groups including the RNIB, Guide Dogs and York specific groups, such as York Blind and Partially Sighted Society (YB&PSS); and
 - (iii) That a further report be brought to the Executive later in the year to present the findings of this consultation and a recommended Final Draft Policy, together with estimated financial implications of implementation and enforcement. At this next stage the Final Draft Policy will have been the subject of a full Equalities Impact Assessment and consultation process, before being recommended to Members for approval.

Recommendations

2. It is recommended that the Executive approves:
3. Option **A**, the implementation of the Draft 'A' Board Policy, relating to the area of city centre, as shown on the appended plan (Appendix A) ; along with,
4. Option **B**, which seeks a 4 month transition period, to allow the policy to become fully communicated and put into practice for 1st January 2017, and
5. Option **D**, trial of Remote 'A' Board (RAB)/Shared 'A' Board (SAB) criteria/approvals, for 12 months.
6. Option **E**, which advises the undertaking of further assessment and consultation with regards to potential policy content for all areas outside of the city centre zone, requiring a further report and recommendations within 12 months, and
7. Option **F** being the undertaking of analysis of the initial city centre policy, with a subsequent report one year post full implementation.

Reason:

To provide adequate control of the many and varied obstructions (particularly for those with impaired mobility for example, blind and/or partially sighted) temporarily located on the public highway. This taking into account of the Council's responsibilities under the Highways Act 1980, the Equality Act 2010 and Town & Country Planning Act 1990.

To mitigate the impact on the visual amenity of the conservation area and setting of the many listed buildings in the city centre.

To contribute further to the removal of street clutter, improve the street scene and public realm.

Background

8. The most recent report is referenced above at 1. This following an earlier Community Safety Overview & Scrutiny Committee 12/01/15, which was considered by Cabinet on 10/02/15.
9. Two options were presented in August last year. The first was – Zero Tolerance, being a ban on the siting of 'A' boards and other materials on the public highway. At that time this was not the recommended option as it was felt that analysis and consultation on a regulated (licensed) approach was worthy of consideration and further reporting.
10. Therefore the work undertaken subsequently (with consultation) was channelled towards the potential for a licensed approach.

11. As the issues cut across planning, highways and equalities considerations/council responsibilities, an initial desk top assessment was produced to set some perspective and engage officers' from across the service areas. This allowed a fuller appreciation of the differing aspects, such as highway obstruction, planning considerations and the council's equality responsibilities.
12. A cross department officer group sought to establish some agreed principles and parameters which would then be communicated through the consultation.
13. The key considerations included:
 - That 'A Boards are in effect an extension to traditional fascia/hanging signs and as such they should be adjacent to the property/business being promoted (so not remote/detached).
 - Placement on the highway creates a safety issue, particularly for people with mobility and visual impairments and with prams/pushchairs.
 - That foot traffic (in the city centre) is substantial, at capacity in many places. And that the city centre street environment is not suited to accommodating additional features.
 - The harmful impact that multiple boards have on the visual amenity of the conservation area and setting of the many listed buildings (over 70% in the shopping streets).
 - The need to reduce street clutter and create a good impression of the city for residents and visitors.
14. Taking that forward, the two primary criteria officers consider to be appropriate in assessing where 'A 'Boards could potentially be managed (and licensed) are:
 - a) the provision of suitable width/space for easy and safe pedestrian movement and
 - b) the impact on visual amenity.

In terms of (a), it was suggested that a clear width of 1.8 metres could be considered as acceptable, as this will allow for the unobstructed movement and passing in opposite directions of most foot traffic, including wheelchair users, blind and partially sighted with canes and guide dogs and people with prams/pushchairs. This width is recognised in national best practice produced by the DfT.
15. It is important to highlight the earlier bullet point at 13 which states that 'A' Boards should be immediately adjacent to the business and that

detachment/separation in streets subject to footstreet hours is not considered to present an opportunity for the 1.8 metre width to be overcome. Using Coney Street as an example, the placements of 'A' Boards say 2 metres away from the face of a building would not be considered reasonable.

16. An audit was then undertaken by officers of most of the streets within the core of the city centre shopping area, with measurements being taken of the pedestrian safe space (immediately adjacent to buildings). In many streets this comprises a traditional footway but in some it is not as defined, e.g. Ousegate/Coney Street. Basing the audit upon an 'A' Board width of circa 700mm (typical A1 size) and seeking a safe space of 1.8 metres, requires an absolute minimum footway/pedestrian width of 2.5 metres. The street audit is attached at Appendix B and demonstrates that the 'width' is a major problem for the vast majority of streets and as such 'A' Boards would not be considered appropriate and licensing thus not recommended.
17. In some streets the safe/clear width is variable, with parts in excess of 2.5 metres but at regular points it is not achievable. In these situations, for the sake of consistency and fairness, it is considered that boards would need to be prohibited along the entire street. An example of this is Coney Street.
18. The assessment also considered the impact upon visual amenity of 'A' board placement on these same streets. Whilst not as many streets 'fail' to the same degree as the width/obstruction criteria, those where the visual aspects could be considered acceptable, would in large fail on the obstruction aspect and as such the results of the exercise overall suggest an overwhelming outcome that 'A' Board licence potential is extremely limited in the city centre.
19. In addition to the above primary considerations, it is suggested that further criteria would be appropriate for any streets which were considered suitable for a licensed approach. This would include:
 - 1 'A' Board per business
 - Located only within property frontage (adjoining/abutting/not detached)
 - Not located on any carriageway/road/street/lane or together part of the public realm, which is available to motor traffic (even during limited hours)
 - Maximum A1 size; Static/rigid only; free standing (removable by hand); align with opening times; licensed during daylight hours; public liability indemnity insurance; not adjacent to any entrance/doorway/emergency

exit/pedestrian crossing/dropped kerbs/taxi ranks/bus stops (Criteria set out in full in Draft Policy Appendix A).

20. On the basis of the above the potential for 'A' Boards, in the city centre would be substantially reduced. As such, officers have considered the potential for a more controlled form of advertising. In some limited circumstances a Remote (RAB) or Shared (SAB) Board could be considered on its merits. The primary intention behind such would be where the sole route to the business is achieved via a narrow lane/passageway/snickleway or similar, i.e. it does not have an obvious frontage to a main thoroughfare. In such circumstances if a single business can demonstrate this, then a RAB may be feasible, subject to satisfying licensing criteria (see 19). An alternate approach (to a free standing/regular board) may be a wall/building mounted board. Such would also require consideration by Planning and potentially an application for advertisement consent under the Town & Country Planning Act (and where applicable listed building consent). A board placed on the highway would be licensable under the Highways Act.
21. A further opportunity which may be feasible and has been considered is a board being termed City Approved (a CAB). These would take the form of an official means of advertising private business, in the city centre but in limited circumstances. It is suggested that the scope of CAB's (including aspects such as design, ownership, procurement, modifications, maintenance, funding etc) will be subject to a separate process to be overseen by CYC, seeking to develop the concept in conjunction with willing partners, such as the Business Improvement District, Make it York, York Retail Forum and York Civic Trust. However the ethos of such would need to be consistent with the need to minimise visual impacts, with size and materials to be carefully considered. There are two examples in the Consultation Document (Appendix C) of city approved schemes.

Consultation

22. All of the above components including additional brief coverage of possible Process (relevant to any licensed boards) and Management/Enforcement aspects were presented in a Consultation Document (Appendix C), issued to a range of stakeholders. As per the earlier Executive resolution this focused upon representatives of both the business/retail sector and also of mobility impaired organisations/charities/groups. This has included Make it York, the Retail Forum, initial representation of the incoming BID. At a national/regional level engagement with the RNIB, Guide Dogs and, Age Concern was sought. Locally York Blind and Partially Sighted Society, York Older

Peoples Assembly and the York Access Group have all participated. In addition, York Civic Trust was engaged, due to their important role in protecting the city's historic environment.

23. It was originally intended to hold a consultation session with these groups in December however due to many commitments, it was agreed that the spring was more feasible. A meeting was held on 18th April, with the Consultation Document providing the basis of the discussion and initial verbal feedback was provided.
24. There was consensus that the officer proposals were to a substantial degree supported. This being by those representing the business community, the mobility/equality groups and the civic trust. Formal feedback was sought in the form of a questionnaire (Appendix D).
25. Whilst there was overall verbal support to the tendered proposals from those representing the business/retail community, the Retail Forum has been unable to subsequently provide written official comments, as they are 'split' over the issue. *"There are some who believe they are an eyesore and others who feel they are an essential tool, to their business"*.
26. The BID was only in its very early days at the time of the consultation and at this point they are unable to provide a confirmed position which is reflective of BID levy payers. It is hoped that council officers will be able to work closely with the BID in both the communication of the policy and importantly to look at what other ideas and measures may be feasible aimed at providing ongoing support to the advertising and marketing of businesses within the BID boundary.
27. Whilst the group of stakeholders were substantially supportive (of the tendered direction), some comments were made consistently including the need to both extend the geography of the initial street coverage and to change some streets which had been initially shown as suitable for 'A' Boards (subject to licence criteria) to also be prohibited.
28. Another clear view was that whilst a 1.8 metre pedestrian width wasn't unreasonable, that it should ideally be increased to 2.0 metres, in recognition to the high footfall levels in the core streets and that this is more accommodating for all users including blind/partially sighted people who are accompanied by a guide.
29. The opinions on FAB's (board placed flat against the building face) were slightly mixed. The option of a City Approved 'CAB' received noticeable support, in principle. However the Executive Director for the BID has expressed some reservations about the benefit to businesses, as in his

opinion they may not necessarily fulfil the same purpose as an 'A' board, which is used to advertise promotions.

30. The additional streets highlighted by the group as appropriate for prohibition, based upon the width, footfall, visual impacts, the range of existing day to day demands and need for consistency were:
 - Duncombe Place
 - Parliament Street
 - Lendal Bridge/Museum Street
 - Ouse Bridge/Low Ousegate
31. Comments were made by the group with regards to the need for a consistency in approach, such that all types and forms of advertising materials should be included within the policy. Some businesses place other things on the public highway such as Mannequins/Menu Lecterns/Planters and Tubs/Shopping Baskets/Tables and Actual Display of Goods.
32. A further comment was made with regards to the promotion of events/tourist/leisure services via 'A' Boards or similar. The numerous tourist 'Tours' are examples of this type of activity.
33. In summary, there is a general consensus in support of the tendered proposals (subsequently confirmed through written feedback), although it was recognised that some business do feel a need to seek to use 'A' Boards, it was acknowledged that the reasons 'why' are unclear, as evidence of their economic value is not forthcoming. Views were expressed of the need to explore what alternatives may exist to support the business community going forward.
34. The RNIB campaigns for a zero tolerance approach from local authorities; however it recommends an approach which whilst aligned to this, would give some flexibility, in having a formal application process. A meeting was held on 28th June with representatives of the organisation, who have indicated an overall acceptance of the direction being tendered by officers. They have asked that further engagement continues with local groups such as YB&PSS, particularly in relation to the monitoring and further reporting in due course. And the ability for the community to be able to report infringements.

Options

35. **Option A - (Recommended)** this being the implementation of the Draft Policy (Appendix A), which proposes the prohibition of 'A' Boards (and all other comparable advertising materials/features placed on the highway)

within the streets shown on the plan. The boundary of the zone is consistent with the Business Improvement District. The policy has been amended to reference a 2m pedestrian width in line with stakeholder comments, as this is considered to represent best practice within an area which has to accommodate high levels of footfall. The streets referred to in 30 above have been included. This presents a consistent position within the core shopping streets and others which again are heavily used, with multiple demands.

36. The policy proposes that a City Approved (CAB) scheme is developed and implemented. At this stage it is envisaged that the council will develop a design code and establish locations within the zone which are considered to meet the criteria. This will require working with the BID, MiY, Retail Forum and the Civic Trust. Consideration will also need to be given to the requirement for advert and potentially listed building consents. Along with the approval of any third parties, such as a land/property owners. There is scope hopefully to provide a co-ordinated application process to streamline the process where different applications are required.
37. Whilst the CAB could be developed to provide an alternative option for signposting businesses where the circumstances are appropriate, it is not intended as a substantial replacement for existing 'A' Boards, nor would they enable promotion of variable special offers.
38. **Option B – (Recommended)** For Option A to be implemented over a 4 month transition period (policy implemented 01/01/2017) to allow full communication with the city centre businesses in particular and for adequate staff resourcing and administrative systems to be put in place. This includes the recommendations for necessary initial resourcing, including the funding highlighted below at paragraph 48 and the ongoing license fee at paragraph 49; and the service and operating fee regime at 50.
39. **Option C – (Not Recommended)** an alternative originally tendered was a board to be placed flat against the building (FAB). Whilst being considered by some stakeholders as a reasonable option (subject to criteria), officers having considered the matter further are very concerned that the placement of multiple boards flat against buildings will generate adverse visual impacts, creating a cluttered streetscape. In addition there is the problem of ensuring they are suitably secure and this could result in them being fixed to buildings. This is an issue in itself with many buildings Listed and as such fixing would require planning consent.

40. **Option D – (Recommended for 12 month trial)** again another option tendered was the Remote (or Shared) RAB/SAB board. As consideration developed, including the stakeholder consultation, coupled with the outcome of the street audits, it is an option which may present issues in terms of viability. It is difficult to envisage many circumstances in which they would be considered appropriate for being licensed but on balance an initial trial is suggested.
41. **Option E (Recommended)** the undertaking of further assessment and consultation with regards to potential policy content for all areas outside of the city centre zone, requiring a further report and recommendations within 12 months
42. **Option F (Recommended)** the undertaking of analysis of the initial city centre policy, with a subsequent report one year post full implementation.
43. **Option G (Not Recommended)** it is reasonable to anticipate that implementing the policy will result in some initial concern and potential criticism from some retailers or bodies representing them. However this must be balanced against the robust and objective assessment and evidence presented, which looks critically at the two fundamental responsibilities placed upon the council (relating to highway obstruction/equalities and visual amenity/street clutter), and demonstrates that a city centre prohibition is reflective and reasoned. The option of not implementing the policy is therefore not recommended. The degree of highway obstruction would undoubtedly increase. Doing so would increase risk on the council in that it could be viewed as not taking due account of its responsibilities and duties. This could give rise to legal action against the council. In addition to the detrimental impact upon the highly regarded public realm, the unique historic townscape and the setting of many listed buildings.
44. **Licensing and Resourcing**

On the basis of the recommended policy being approved, the scope of licence applications for regular 'A' Boards will be limited solely to Micklegate.
45. The potential volume of applications is therefore estimated to be in the region of 20 but possibly greater given the volume and type of businesses present. It is suggested that the day to day resourcing implications of considering and processing applications of this volume (against the policy criteria) is manageable within the Network Management team (Transport Services), post the initial transition period. NM is responsible for all other highway licensing activities.

46. The licensed approach will also necessitate resources to cover 'on street' enforcement. Officers have discussed this with colleagues within CANS (Community Safety Hub), who have Neighbourhood Enforcement Officers, already delivering street based services. For the initial 12 month period it is proposed that these officers cover the enforcement side of licensable 'A' Boards. Officers within the two teams are located adjacent to each other within West Offices, which will enable efficient and collaborative service delivery.
47. However in reference to Option B, it is recommended that some additional temporary resources are procured. This being for the initial period including transition and establishing of new policy and procedures. The scope of work would include items such as the preparation and implementation of a communications and awareness campaign; finalising of policy and license guidance notes; finalising management and enforcement procedures; production of licence templates; initial engagement with businesses in scope for licensed boards; support in development of the CAB.
48. As highlighted in previous reports no budget exists for the introduction of the policy and its operation. Approval is therefore sought from the Executive for an initial £25K funding (Staffing 15; Communications 5; Administration 5) to be allocated from the council's contingency. This will provide for a full time FTE for 7 months (within Network Management), to cover the tasks highlighted, together with the implementation of the necessary communications/awareness work. This funding providing necessary resource to implement the policy to 31/3/17. It is anticipated that additional funding may be sought from 1st April 2017 as part of the 2017/18 budget process. The intended 12 month review report will provide commentary on how the workload unfolds for the teams and financial implications.
49. Over and above the initial introduction costs, it is necessary to ensure that the costs of operating the licensed process does not have an impact upon existing budgets. It is considered appropriate to set a service fee to cover officer time and associated administration (our reasonable costs). As each enquiry and application will require input from officers within NM, in conjunction with dialogue with Planning and possibly Conservation colleagues, a fee of £110.00 is recommended. This being comparable to what other local authorities charge. As with the other aspects further information will be provided in the subsequent review report.
50. Furthermore it is necessary and appropriate to ensure that the costs associated with any enforcement activities, are recovered. In that respect

it is proposed to include charges for the cost of removing an 'A' Board (at £52.00: 1 hour chargeable rate for Neighbourhood Enforcement Officer) and for the storage/collection from CYC premises (£40.00). The legislation to be utilised will be the Highways Act 1980 Section 115 (A-K), which allows an authority to recover its reasonable costs.

51. **Equality Impact Assessment** - the Executive required that the policy be subject to an EIA. The full report is at Appendix E. The proposed policy is considered to have a positive impact on the quality of life indicators for several communities of identity. Including the elderly, carers of older or disabled people, disabled people and those with young children. This is because the policy will significantly reduce the presence of 'A' Boards within the zone, meaning the negative impacts they create in obstructing, hindering, and creating general difficulty for access and mobility, will be mitigated.

Council Plan

52. This item contributes to the following priorities and objectives;
- Everyone who lives in the city can enjoy its unique heritage and range of activities.
 - Visitors, businesses and residents are impressed with the quality of our city.
 - Residents are protected from harm and vulnerable people feel safe.
 - That we always consider the implications of our decisions, including in relation to health, communities and equalities.
 - Use of evidenced based decision making.
 - Engage with communities, listening to their views and taking them into account.

Implications

53.

Legal	The recommended draft policy addresses the council's duties with respect to its Highway, Planning responsibilities.
Financial	Refer to 48 -50. The council contingency stood at £1,340k following the 2015/16 outturn report. If the request of

	£25k allocation from contingency is approved this will reduce the balance available for future use to £1,315k.
Human Resources	Refer to 44 - 50.
Crime and Disorder	There are no crime and disorder implications
Sustainability	There are no sustainability implications
Equalities	<p>In considering this matter the Council must have regard to the public sector equality duty. In summary, those subject to the equality duty must, in the exercise of their functions, have due regard to the need to:</p> <ul style="list-style-type: none"> a. Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act. b. Advance equality of opportunity between people who share a protected characteristic and those who do not. c. Foster good relations between people who share a protected characteristic and those who do not. <p>The Act explains that having due regard for advancing equality involves:</p> <ul style="list-style-type: none"> a. Removing or minimising disadvantages suffered by people due to their protected characteristics. b. Taking steps to meet the needs

	<p>of people from protected groups where these are different from the needs of other people.</p> <p>c. Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low</p> <p>The recommendations in this report have been subject to a community impact assessment which is annexed and demonstrates a positive impact from the proposals.</p>
Property	There are no property implications

Risk Management

53. In compliance with the Council’s risk management strategy there are no risks associated with the recommendations in this report.

Contact

Details:

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Neil Ferris, Director of City & Environmental Services

Report Approved **Date** 28/07/2016

Wards Affected:

All

For further information please contact the author of the report

- Annex A Draft Policy
- Annex B Street Audit
- Annex C Consultation Document
- Annex D Stakeholder Feedback Form
- Annex E Community Impact Assessment

Glossary of abbreviations used in the report:

BID – Business Improvement District

CAB – City Approved Board

CANS – Community and Neighbourhoods

DfT – Department for Transport

EIA – Equality Impact Assessment

FAB's - board placed flat against the building face

FTE – Full Time Equivalent

MiY – Make it York

NM – Network Management

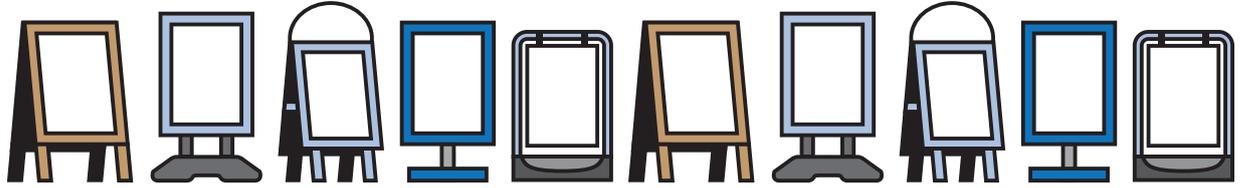
RAB - Remote 'A' Board

RNIB – The Royal National Institute of Blind People

SAB - Shared 'A' Board

YB&PSS – York Blind & Partially Sighted Society

'A' Boards Policy



Draft August 2016

Contents

Introduction - Purpose.....3

Background3

The policy4

City Approved Board (CAB)5

Remote - Shared 'A' Board (RAB/SAB)6

Licensed 'A' Boards Criteria.....7

Licensed Application Process8

Management and Enforcement of Policy9

How else can you advertise your business?10

'A' Boards Prohibition Zone11

.....

Introduction - Purpose

 This policy establishes City of York Council's position with regards to the placement on the public highway of 'A' Boards or other comparable objects.

The policy relates to the core of the city centre with a boundary consistent with the Business Improvement District.



Background

 The intention of an 'A' Board is that it is linked to/part of/adjacent to the property/business it is promoting. In essence it's an extension to the traditional fascia or hanging sign.

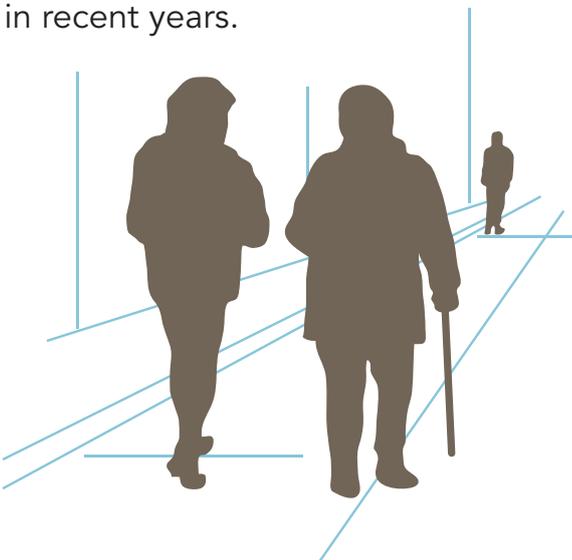
However, the placement of 'A' Boards on the public highway creates many issues, in particular the potential to present an obstruction and safety hazard to users. This is a substantial problem for those with mobility impairment, such as the blind and partially sighted, wheelchair users and people with prams/pushchairs.

The volume of pedestrian/foot traffic in the city centre in particular is significant, at capacity in some places and at certain times.

In many locations the street environment is simply not suited to accommodating additional, non essential features. Whilst the footstreets provide extensive space for pedestrians overall, the demands remain challenging, including the need for certain motor vehicles to have access (refuse collection/essential maintenance).



There is an ongoing commitment to reduce street clutter overall in the city, with many items of council approved street furniture (signage/poles) having being removed in recent years.



There is a need to create good impressions of the city for both residents and visitors, to protect the historic environment and respect the many listed buildings, interesting and vibrant public streets and spaces. Together these make York an attractive place to live in and visit.

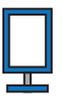
The policy

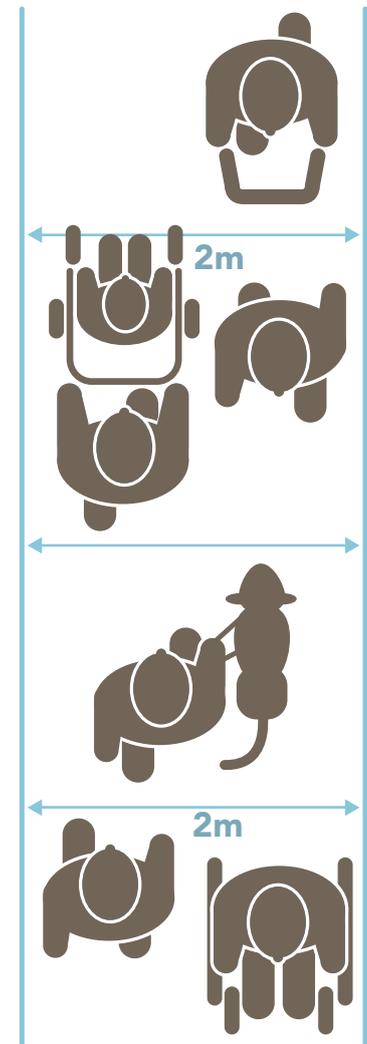
There is a necessity to ensure that the primary purpose of the public highway is achieved and upheld (to pass and repass without let or hindrance). The council has duties under both Highway and Equality legislation and wants to respond proactively to them.

We must ensure that the highway provides safe access and movement for all and manage the risks/hazards associated with obstruction.

We also seek to provide consistency, fairness and support businesses.

The policy covers the streets as shown on the 'A' Boards Prohibition Zone and bans the placement of 'A' Boards (and other advertising objects) on the public highway. All businesses/ organisations within the zone will not be permitted to use 'A' Boards. The only location exception being Micklegate, as the clear width required for pedestrian movement (with an 'A' Board in place), is likely to be achieved. Any business wishing to place an 'A' Board in Micklegate will have to make an application to the council.

 The policy is also appropriate because of the impact that multiple 'A' Boards have on the visual amenity of the conservation area and the many listed buildings (accounting for 70 per cent of the buildings within the shopping streets.



City Approved Board (CAB)

 Within the zone it is intended to develop and establish the concept of a wall/building mounted board, approved by City of York Council in partnership with the Business Improvement District (BID). These will take the form of an official means of signposting/advertising private businesses - with limited locations and strict criteria.

At this stage the circumstances envisaged as appropriate for the mounting of a CAB are defined as being;

“Where the sole/primary route/access to a business is via a narrow lane, passageway, snickleway or similar. That is where it does not have an obvious frontage/shop window directly on a main pedestrian thoroughfare (or other means to ‘signpost’ its location).”



The policy envisages that the number of CABs will be highly controlled.

Dubrovnik

This UNESCO World Heritage city uses a uniform banner; wall mounted at the entrance to the many narrow lanes, advertising the business, shops, restaurants



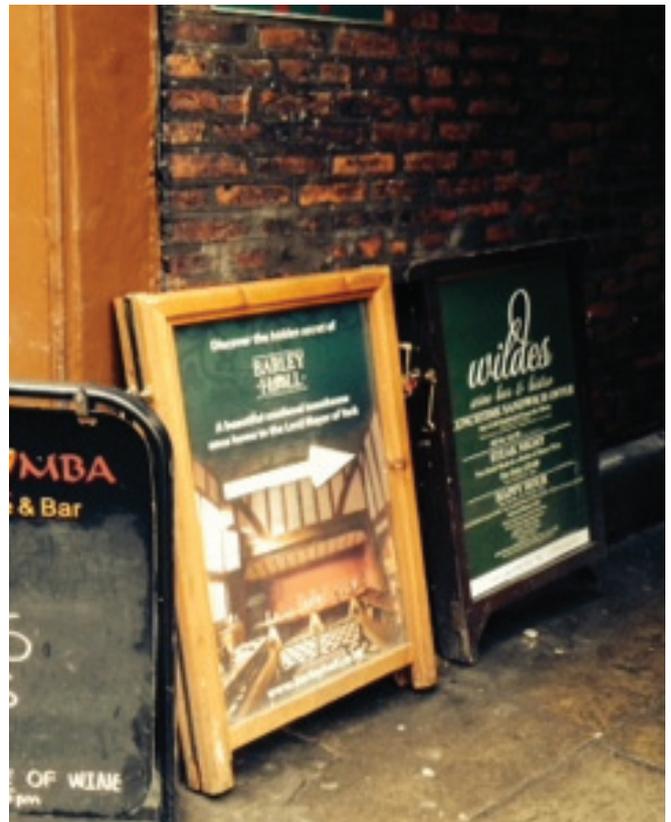
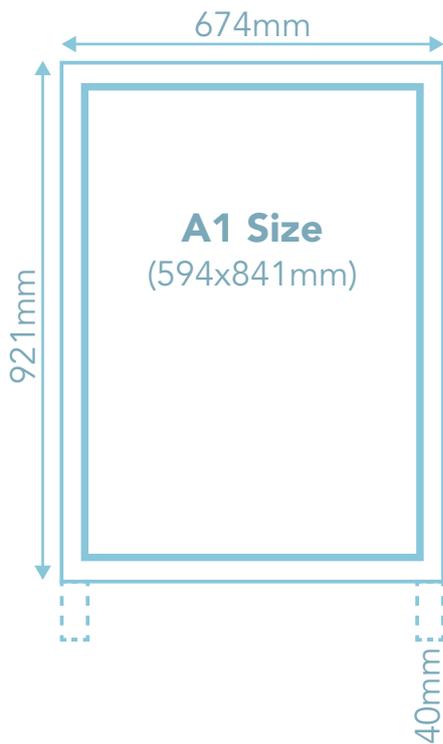
Remote - Shared 'A' Board (RAB/SAB)

 For an initial 12 months (post full implementation of the policy) the council will consider/trial what in effect will be a private version of the 'CAB'. The criteria will be the same as for CAB's, i.e. only in the circumstances defined on page 5.



 A business (or group of) could propose a private board to be located on a building. In many circumstances this is likely to require a planning application, which will consider the implications.

Alternatively a proposal for a RAB/SAB to be placed on the public highway would require a license application and the criteria on page 7 would be applicable.



Licensed 'A' Boards Criteria

This will only be applicable to Micklegate and any RAB or SAB category 'A' Boards to be placed on the public highway.

1 'A' Board per business

'A' Board positioned only within property frontage – adjoining/abutting



'A' Boards will not be licensed for any carriageway/road/street/lane or any other area of public realm, which is available to motor traffic (even for limited periods)

'A' Board size permissible - A1 MAXIMUM, width 594mm; height 841mm



'A' Boards to be static/rigid only - Not permitted: rotating/swinging/illuminated/powered

'A' Boards to be free standing and immediately removable by hand

'A' Boards only licensed to align with business opening times

'A' Boards only licensed during hours of daylight - They cannot be self illuminated



'A' Board licensee must have public liability insurance to indemnify City of York Council against any claims

'A' Board not to be positioned immediately adjacent to any doorway/entrance or emergency exit; any pedestrian crossing, including dropped kerbs facilitating access for wheel chair users and prams/pushchairs; taxi ranks, bus stops

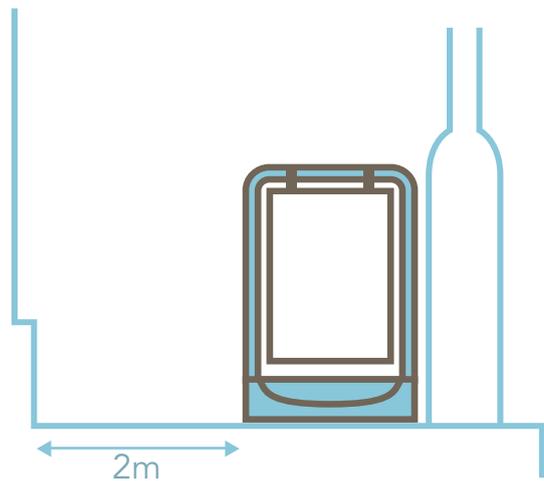
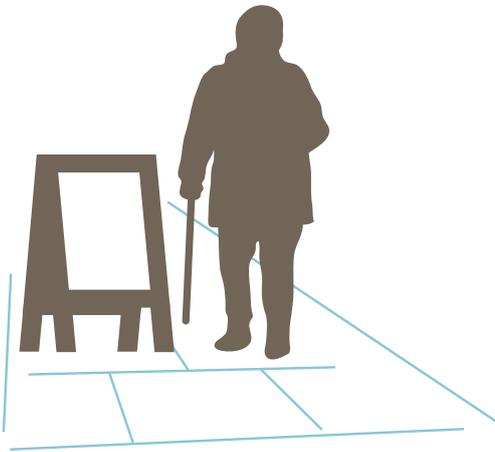
Licensed Application Process

- Application form – online/paper
- Provision of information including accurate plan and photo
- Scope for pre discussion/advice
- Application considered in scope – licensing fee paid - approval by officer
- Application not in scope – further information required – approval by officer
- Application not in scope – refused
- Appeal Process – submission of attenuating circumstances/further information;
Review by transport team – approve or dismiss
- License to be displayed within business (window/door), which will include photo of approved location
- Licence to be renewed annually with fee



Management and Enforcement of Policy

- A breach of licence conditions observed/recorded (photo) by an officer OR reported with evidence
- Initial warning in person or by phone and confirmed in writing by officer
- A second breach within 12 months will result in the council requiring the removal of the 'A' Board ; or the council taking action to remove themselves. With recovery of reasonable costs. 



How else can you advertise your business?

 There are a wide variety of notices, signs, awnings and advertisements that have deemed consent. This means that you do not need specific planning permission to erect them.

To benefit from deemed consent rights there are certain conditions you must follow.

These are broadly:

- Signs may only advertise the goods or services available at your premises
- If your business is a shop, signs should only be put on external walls which have shop windows on them 
- A sign must not:
 - have any letters, figures or symbols over 0.75 metres in height, or 0.3 metres in a conservation area
 - have its highest part at more than 4.6 metres above ground level, or 3.6 metres in a conservation area
 - have its highest part above the level of the bottom of the first floor window in the wall where the advertisement is
 - project more than one metre from the wall or exceed two thirds of the width of the pavement below it.

 If your advertisement or sign falls outside deemed consent rights, you may apply to the council for advertisement consent which will be assessed against our planning policies.

If your shop is a listed building or in a conservation area you should contact the planning department to find out if you need specific consent.



If you would like this information in an accessible format (for example in large print, in Braille, on CD or by email) please call 01904 551550

This information can be provided in your own language.

Informacje te mogą być przekazywane w języku ojczystym.
Polish

Bu bilgi kendi dilinizde almanız mümkündür.
Turkish

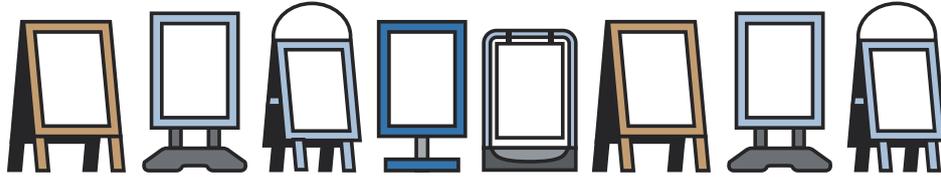
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Chinese (Simplified)

此資訊可以提供您自己的語言。
Chinese (Traditional)

 01904 551550

The Licensing of 'A' Boards

Street Survey Results



Street	Ref.	A (m)	B (m)	Highway obstruction (1.8M + 0.7M = 2.5M)"	Planning/visual amenity impact	A-board licence potential	Notes
Bar Lane	1	1.75	1.40			X	
Micklegate Bar	2	3.40	3.10			Sta	Consider approach view of bar
Micklegate	3	3.60	2.60			Sta	High va generous scale
Micklegate	4	3.00	2.50			Sta	High va generous scale
Micklegate	5	3.60	2.90			Sta	High va generous scale
Micklegate	6	2.10	1.85			Sta	High va through view
Museum Street	7	1.20	2.70			X	High footfall/inner ring road
Museum Street	8	4.30	3.50			Sta	High footfall/bus stops/irr
Museum Street	9	2.10	2.60			Sta	High footfall/bus stops/irr
Duncombe Place	10	2.20	3.70			Sta	Minster views to consider
Duncombe Place	11	2.40	3.90			Sta	Minster views to consider
High Petergate	12	1.65	2.70			X	
High Petergate	13	1.85	1.65			X	
Gillygate	14	1.45	2.20			X	Inner ring road
Gillygate	15	2.10	2.50			X	Irr
Gillygate	16	1.70	2.50			X	Irr
Gillygate	17	2.50	2.45			X	Irr
St Leonard's Place	18	2.10	1.90			X	Irr
St Leonard's Place	19	2.20	2.50			X	Irr
St Leonard's Place	20		2.10			X	Irr
Blake Street	21	2.50	2.80			X	
Blake Street	22	1.90	1.70			X	
Blake Street	23	1.70	2.50			X	
Davygate	24	2.40	3.00			?	High footfall
Davygate	25	1.60	1.40			?	High footfall

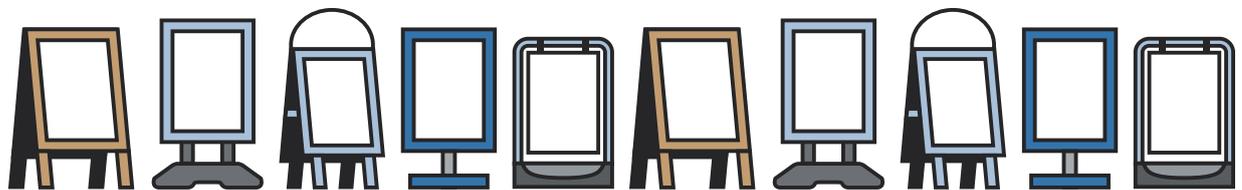
Street	Ref.	A (m)	B (m)	Highway obstruction (1.8M + 0.7M = 2.5M)"	Planning/visual amenity impact	A-board licence potential	Notes
St Sampson's Sq (Browns)	26	1.70				X	Events in public space
St Sampson's Sq (Three Cranes)	27	1.80				X	Events in public space
Feasegate	28	2.00	1.10			X	
Feasegate	29	2.40	1.60			X	
Market Street	30	1.75	1.20			X	
Market Street	31	2.10	1.30			X	
Market Street	32	2.10	1.00			X	
Wellington Row	33	1.45				X	
Rougier Street	34	2.40	2.90			Sta	High footfall and traffic flow
Rougier Street	35	3.30	2.40			Sta	High footfall/bus stops/flows
Rougier Street	36	2.00	2.40			Sta	High footfall/flows
Tanner Row	37	1.00	1.00			X	
Micklegate (Lower)	38	3.25	2.60			?	High footfall and bus stops
North Street	39	2.10	3.00			?	
Bridge Street	40	3.70	2.55			?	High footfall/flows
Bridge Street	41	2.40	3.80			?	High footfall/bus stops/flows
Kings Staith	-	-	-	Couldn't access - floods			Va green due to open scale
Nessgate Corner	42	2.50	2.15			X	High footfall/high traffic flows
King Street	43	1.30	1.00			X	
Cumberland Street	44	1.35	1.45			X	
Lower Friargate	45	1.50	1.35			X	
Clifford Street	46	2.00	2.00			X	
Clifford Street	47	2.20	2.30			X	
Clifford Street	48	1.80	2.15			X	
Tower Street	49	1.65	2.60			?	
Castlegate	50	1.30	1.10			X	
Castlegate	51	1.15	0.95			X	
Coppergate	52	1.50	2.20			X	High footfall/traffic flows
Coppergate	53	2.80	2.10			X	High footfall/traffic flows
Coppergate	54	5.00+	1.95			X	High footfall/traffic flows

Street	Ref.	A (m)	B (m)	Highway obstruction (1.8M + 0.7M = 2.5M)"	Planning/visual amenity impact	A-board licence potential	Notes
Piccadilly	55	2.35	1.80			X	High footfall/parking/servicing
Piccadilly	56	2.55	2.40			X	Highfootfall/bus stops
Piccadilly	57	2.10	2.70			X	
Piccadilly	58	1.90	2.45			X	
Piccadilly	59	1.95	2.10			X	
Walmgate	60	2.10	2.15			X	
Walmgate	61	3.00	1.75			X	
Walmgate	62	2.35	2.45			X	
Walmgate	63	1.65	2.10			X	
Walmgate	64	1.70	1.90			X	
Merchantgate	65	2.45	3.65			X	Bus stops
Fossgate	66	1.80	1.60			X	
Fossgate	67	1.70	1.40			X	
Pavement	68	2.30	2.75			X	High footfall/traffic/servicing
Pavement	69	2.10	3.00			X	High footfall/bus stops
Shambles	70	1.65	1.20			X	
King's Square (Duke Of York)	71	1.85	-			X	
King's Square (Choc Story)	72	3.65	-			X	
King's Square (Ladbroke's)	73	1.70	-			X	
St Andrewgate	74	1.30	-			X	Cycle racks one side
Colliergate	75	1.30	1.40			X	
St Saviourgate	76	1.25	2.35			X	
Goodramgate	77	1.45	1.55			X	
Goodramgate	78	1.95	1.45			X	
Goodramgate	79	2.10	1.45			X	
Goodramgate	80	1.85	2.15			X	
Lord Mayor's Walk	81	1.70	1.70			X	Irr
Lord Mayor's Walk	82	2.10	2.80			X	Irr
Deangate	83	1.80	1.50			X	
College Street	84	1.50	5.0+			X	
Minster Yard	85	1.00	1.90			X	
High Petergate	86	1.40	1.30			X	
High Petergate	87	2.00	1.40			X	
High Petergate	88	0.90	1.80			X	
Minster Gates	89	5.00+	-			X	

Street	Ref.	A (m)	B (m)	Highway obstruction (1.8M + 0.7M = 2.5M)"	Planning/visual amenity impact	A-board licence potential	Notes
Church Street	90	1.50	1.60			X	
Church Street	91	1.30	1.65			X	
Silver Street	92	1.30	1.30			X	
Patrick Pool	93	0.75	-			X	Footway one side
Swinegate	94	1.55	1.70			X	
Grape Lane	95	1.10	1.80			X	
Back Swinegate	96	1.20	1.15			X	
Back Swinegate	97	1.50	1.30			X	
Stonegate	98	1.30	1.00			X	
Stonegate	99	1.50	1.60			X	
Stonegate	100	1.45	1.25			X	
Lendal	101	1.80	1.50			X	
St Helen's Square (Harkers)	102	3.00	-			X	
St Helen's Square (Edinburgh Wm)	103	4.70	-			X	
Coney Street	104	2.10	1.70			?	Very high footfall
Coney Street	105	2.80	2.00			?	Vey high footfall
Coney Street	106	1.20	1.30			?	Very high footfall
New Street	107	1.20	1.50			?	
High Ousegate	108	2.20	2.30			X	
High Ousegate	109	1.80	2.40			X	
Parliament Street	110	4.00	4.00			Sta	High use of public space
Parliament Street	111	4.00	3.55			Sta	High use of public space
Parliament Street	112	4.00	5.0+			Sta	High use of public space



The Licensing of 'A' Boards Consultation Document



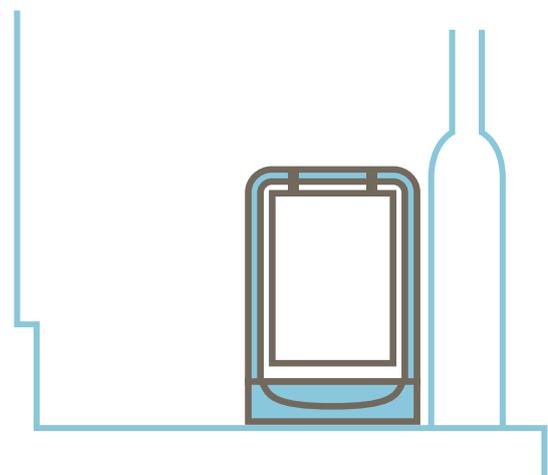
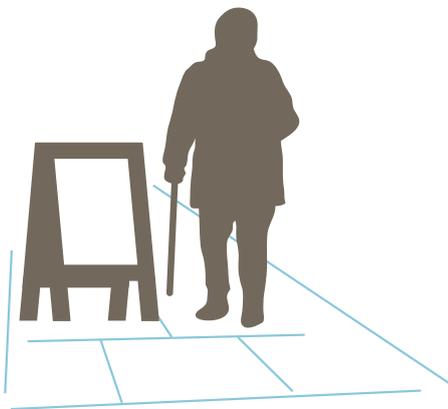
Contents

Introduction - Purpose.....	3
Some perspective.....	3
The Proposal.....	4
Guidelines/Criteria for Assessment of Applications for S115E Permission	5
Provision of suitable width/space for pedestrian movement	5
Planning, Conservation and Visual Amenity.	6
Survey/Review of impacts.....	7
License Criteria.....	7
The Recommended Process.....	10
Management and Enforcement of Policy	10
Boundary – Zonal - Phased approach	11

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This document presents the council's draft proposal for formally permitting 'A' Boards.

We will present and discuss the contents at the consultation session on 18 April and will be pleased to get your feedback.



Introduction - Purpose



To produce and gather feedback on a procedure and policy to limit 'A' Boards within the highway to those granted formal permission from the Highway Authority under S115E of the Highway Act 1980 in certain limited circumstances.

The Executive resolved on 27 August 2015, that officers to produce a draft policy and procedure to formally permit 'A' Boards under S115E of the Highway Act 1980, to undertake consultation with key stakeholders focusing upon the business community and those with mobility impairment, to assess the resource implications of setting up a formal licensing process, and to report back to the Executive following a full Equalities Impact Assessment so that the Executive can consider whether to adopt the policy and implement the process.



Some perspective



The intention of an 'A' Board is that it is linked to/part of/adjacent to the property/business it is promoting. In essence it's an extension to the traditional fascia or hanging sign.

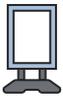
However the placement of such on the public highway creates many issues, in particular the potential to present an obstruction and safety hazard to users. This is a substantial problem for those with mobility impairment, such as the blind and partially sighted, wheelchair users and people with prams/pushchairs.



The volume of pedestrian/foot traffic in the city centre in particular is significant....at capacity in some places and at certain times.



In many locations the street environment is simply not suited to accommodating additional, non essential features. Whilst the Footstreets provide extensive space for pedestrians overall the demands remain challenging, including the need for certain motor vehicles to have access and utilise the carriageway/road.



There is an ongoing commitment to reduce street clutter overall in the city, with many items of council approved street furniture (signage/poles) having being removed in recent years.



There is a need to create good impressions of the city for both residents and visitors, to protect the historic environment and respect the many listed buildings, interesting and vibrant public streets and spaces streets.

The Proposal



To identify streets that are **not** considered to be appropriate and set out the reasons why.

To establish that in streets where 'A' Boards may be acceptable, they must be immediately adjacent to the property/business they seek to promote, i.e. placed on the abutting footway in the significant majority of situations.



The procedure is not intended to cover the locating of 'A' Boards off the public highway/within private curtilage, for which Planning Consent may be required.

To establish a series of principles/criteria used to assess whether an 'A' Boards can be permitted under S115E of the 1980 Act..



In all this there is a necessity to ensure that the primary purpose of the public highway is achieved and upheld (to pass and repass without let or hindrance). The Council has duties under both Highway and Equality legislation and wants to respond proactively to them.

Essentially it's about ensuring that the highway provides for safe access and movement for all and seeking to manage the risks/hazards associated with obstruction.



It is also seeking to provide consistency, fairness and support businesses. A regulated approach/policy means that businesses can continue to use 'A' Boards to promote themselves, **but only in appropriate circumstances.**

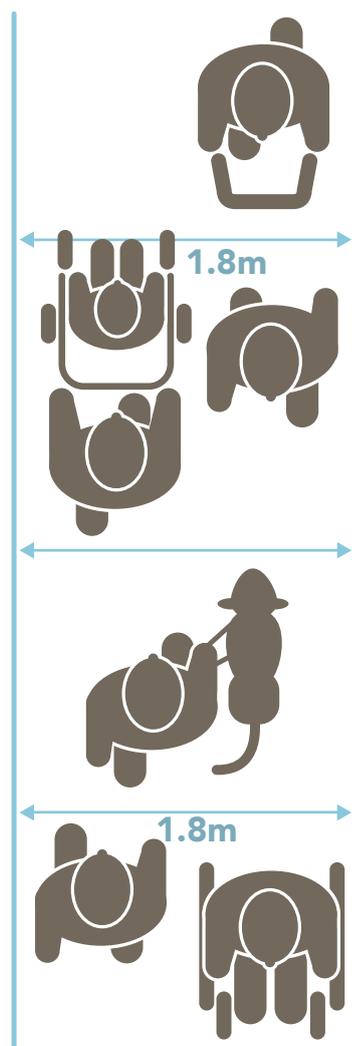
Guidelines/Criteria for Assessment of Applications for S115E Permission

Provision of suitable width/space for pedestrian movement

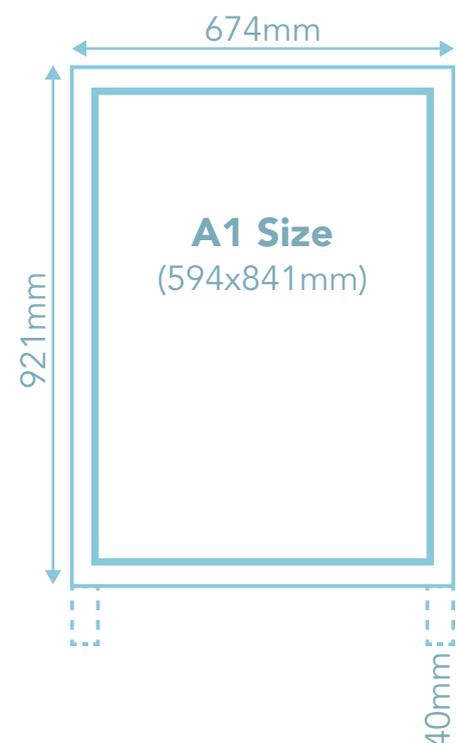
 In the city centre (within Inner Ring Road/City Walls*), given the physical and environmental constraints and volume of pedestrians, a clear, safe and exclusive zone/space of an absolute minimum of **1.8m** is required.

Such a width will allow a wheelchair user/pushchair/blind person with cane or guide dog/visually impaired person and guide – all to pass by another pedestrian, using the same space. 

On this basis, a significant number of businesses on streets within the zone would not receive a licence for an 'A' Board.



This is based upon an A1 size 'A' board, being 600-700mm the maximum permissible width.

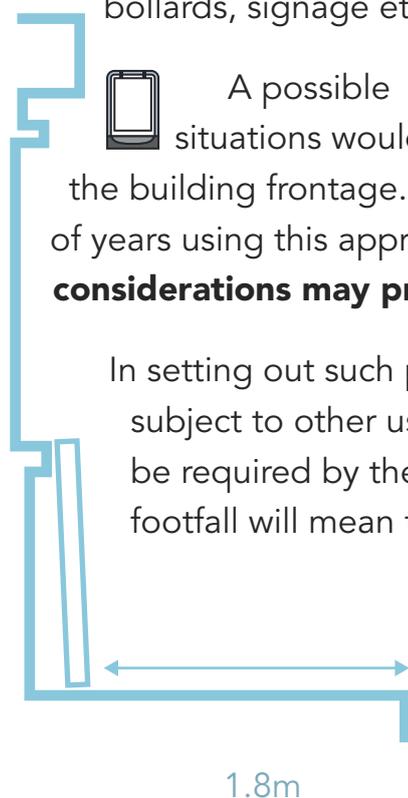


An exception to this may arise if a very narrow 'A' Board was sought, which was still able to achieve the minimum pedestrian space of 1.8 metres, excluding any restriction already in place through street furniture, such as lighting columns, bollards, signage etc.



 A possible alternative which has the potential to be accepted in certain situations would be for the 'A' Board to be positioned at all times flush with the building frontage. Some businesses in the City have operated for a number of years using this approach. **However Planning/Conservation/Visual Amenity considerations may prohibit this in many streets** (see below).

In setting out such parameters it needs to be noted that within some streets subject to other uses such as Markets/Events/Festivals/Seasonal, 'A' Boards may be required by the licence to be temporarily removed, as the increase in footfall will mean that they could create an unacceptable obstruction.



Planning, Conservation and Visual Amenity.

 In presenting a proposal for Licensing the other key consideration the authority has to make relates to the visual impacts that 'A' Boards generate.

The special characteristics of our city centre retail area are its small scale spaces and streets, intimate scale and character, rich variety of buildings and craftsmanship, good quality shop-fronts. Over 70% of the buildings within the shopping streets are listed, and it is a conservation area valued predominantly for the historic layering of buildings and the townscape value of its street network. Because of the harmful impact that multiple 'A' Boards would have on the visual amenity of the conservation area and the setting of listed buildings the placement of any form of 'A' Board on the public highway will be prohibited in certain streets.



Survey/Review of impacts



A joint survey has been undertaken by council officers looking at both the pedestrian width and planning considerations. This has focused upon the city centre because this is the area where most 'A' Boards are found and the impacts are greatest.

This consultation therefore presents a list of streets/locations which have been evaluated with recommendations as to the suitability for 'A' Boards. In addition to the list of streets it is considered necessary for strict criteria to be imposed upon any 'A' Board which may be licensed, these are as follows:

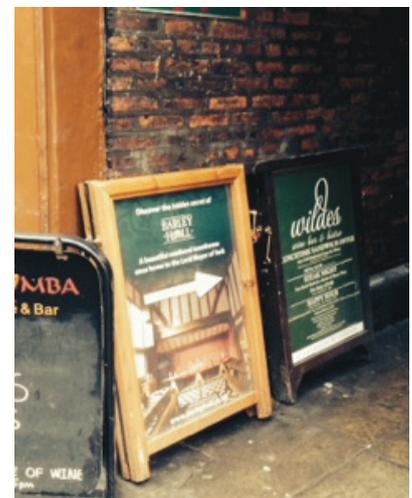


License Criteria

1 'A' Board per business



- This reduces clutter
- Is consistent/fair
- Minimising the overall impact on accessibility for all



'A' Board positioned only within property frontage – adjoining/abutting

- Remote 'A' Boards (RAB) will not usually be licensed**



** In a limited number of locations to be considered on merit a RAB or SAB (Shared 'A' Board), may be licensable which is remote from the business(es) being advertised. The criteria and specification for either will be strict to ensure alignment with the overarching policy. It will however seek to recognise very special circumstances which make the positioning of other regular 'A' Boards unachievable.

The primary intention of a RAB or SAB will be where the sole route to the business is achieved via a narrow lane/passageway/snickleway or similar, i.e. it does not have an obvious shop frontage on a main thoroughfare.

In such circumstances if a single business is served by such then a RAB may be feasible, subject to the previously described criteria.



An alternative to a free standing RAB could be an advertising board which is building/wall mounted. A privately proposed board may require planning permission.



A further option which may be available would be a mounted 'A' Board approved/supported by the Council and Business Improvement District. Such boards would be termed CAB (City Approved). These will take the form of an official means of advertising private businesses in limited and special circumstances. The design of CAB's will be subject to a separate process to be promoted and managed by CYC/BID. The ethos of such would be wholly consistent with the need to minimise visual impacts, with design, size and materials to be carefully considered.

For information at this point, here are two examples of official city approved signage:



Edinburgh

Rose Street: promoted/supported by the BID, see link for more details
(www.essentialedinburgh.co.uk/projects/facilitation/rose-street-project/rose-street-project-gallery/)

Dubrovnik

This UNESCO World Heritage city uses a uniform banner; wall mounted at the entrance to the many narrow lanes, advertising the business, shops, restaurants





The funding of a CAB approach needs to be properly considered. **At this point it is being presented for consultation and your feedback is sought.** However in order to be viable it is likely that businesses using such would need to contribute to the initial cost and then ongoing maintenance.

- **'A' Boards will not be licensed for any carriageway/road/street/lane** or any other area of public realm, which are available to motor traffic (even for limited periods) 
- This is to ensure that the criteria is easily understood, reduces the potential for 'A' Boards to expand beyond the original intentions of **being adjacent to the business**, minimises the visual impacts and negates the issues of vehicles being obstructed and coming into conflict with them.

'A' Board size permissible - A1 MAXIMUM, Width 594mm; Height 841mm

'A' Boards to be static/rigid only - Not permitted: Rotating/Swinging/Illuminated/Powered

'A' Boards to be free standing and immediately removable by hand

'A' Boards only licensed to align with business opening times 

'A' Boards only licensed during hours of daylight - They cannot be self illuminated

'A' Board licensee must have public liability insurance to indemnify CYC against any claims

'A' Board not to be positioned immediately adjacent to any doorway/entrance or emergency exit; any pedestrian crossing, including dropped kerbs facilitating access for wheel chair users and prams/pushchairs; taxi ranks, bus stops and other locations?



The Recommended Process

- Application Form – online/paper 
- Provision of information including accurate plan and photo
- Scope for pre discussion/advice
- Application considered in scope – Licensing Fee paid - Approval by Officer
- Application not in scope – further information required – Approval by Officer
- Application not in scope – Refused
- Appeal Process – submission of attenuating circumstances/further information; Review by Transport Management team – Approve or Dismiss
- License to be displayed within business (window/door), which will include photo of approved location
- Licence to be renewed annually with fee

Management and Enforcement of Policy

- A breach of licence conditions observed/recorded (photo) by an Officer OR  reported with evidence
- Initial verbal warning in person, phone or email issued by Officer
- A 2nd breach within a 12 month period will generate the issuing a formal/final written warning
- A 3rd breach within 12 months will result in the Council requiring the removal of the 'A' Board ; or the Council taking action to remove themselves.



Boundary – Zonal - Phased approach

Whilst we are seeking to put in place a city wide policy, the most important area, where issues are most sensitive and critical, is the city centre due to pedestrian activity, numbers of current 'A' Boards and thus implications.

It is therefore recommended that the initial programme of 'A' Board licensing is concentrated upon the city centre; with the intention to progress to areas beyond that following an initial 12 month period. It is anticipated that the criteria may need to be adapted to account for differing circumstances which will apply outside the centre, such as the siting of 'A' Boards on verges and on higher speed roads.



* Exceptional circumstances and use of City 'A' Board (CAB or RAB/SAB) may be considered.



If you would like this information in an accessible format (for example in large print, in Braille, on CD or by email) please call 01904 551550

This information can be provided in your own language.

Informacje te mogą być przekazywane w języku ojczystym.
Polish

Bu bilgi kendi dilinizde almanız mümkündür.
Turkish

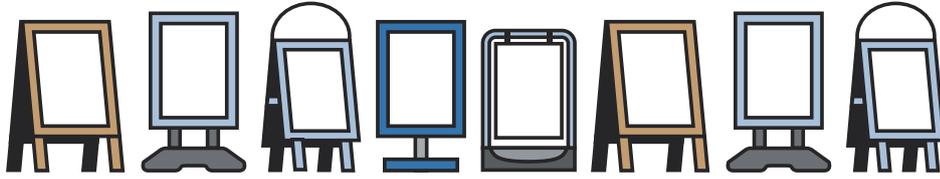
此信息可以在您自己的语言。
Chinese (Simplified)

此資訊可以提供您自己的語言。
Chinese (Traditional)

 01904 551550

The Licensing of 'A' Boards

Feedback form



1. Overall, do you consider that the consultation documents and actual session presented the relevant information and issues?

Yes No Comments

2. Do you agree that the use of 'A' Boards has become an issue in the city centre that needs to be addressed and managed using available controls?

Yes No Comments

3. Do you support a licensed approach?

Yes No Comments

4. Safety/Highway Obstruction: do you agree with the proposal to seek a minimum 1.8 metres clear pedestrian zone adjacent to buildings?

Yes No Comments

5. What are your views on the potential for boards flat against building (FAB) in certain situations, subject to planning/visual amenity considerations?

Comments

6. Planning & Visual Amenity: do you support the objective to protect the visual amenity of the city centre and conservation areas in particular?

Yes No Comments

7. Street Surveys: do you agree with the rankings proposed for the city centre, with a



considerable number of streets prohibited with a limited number in scope of being considered through a licensed process?

Yes No Comments

8. Do you support the principle of (in special circumstances) having a City 'A' Board (CAB)?

Yes No Comments

9. Do you support the suggested criteria which any application would have to comply with; are they any you disagree with?

Yes No Comments

10. Do you support the licensing process outlined?

Yes No Comments

11. Do you support the management/enforcement proposal?

Yes No Comments

12. Do you agree with the initial proposal to concentrate the policy on the city centre, allowing for review and consideration of the wider authority area?

Yes No Comments

[Empty text box for additional comments]

SECTION 1: CIA SUMMARY
Community Impact Assessment: Summary
1. Name of service, policy, function or criteria being assessed:

'A' Board policy (covering 'A' Boards and other advertising materials/apparatus).

2. What are the main objectives or aims of the service/policy/function/criteria?

To provide a clear, consistent and reasoned policy approach to 'A Boards in the city centre (see map), to control and manage the impacts they generate.

3. Name and Job Title of person completing assessment:

Richard Bogg, Highway Development and Traffic Manager

4. Have any impacts been Identified? (Yes/No)

Yes

Community of Identity affected:

Age; Carers of Older or Disabled people; Disability

Summary of impact:

'A' Boards can present an obstruction of the public highway and as such hinder the safe movement of the most vulnerable. It is important that the city centre is feely available for all users and the policy gives particular weight to the needs of pedestrians and it will significantly reduce accessibility issues for our communities of interest.

A new policy is being introduced to regulate and manage ('A' board usage).

Groups/organisations will be informed of the new policy through an awareness campaign

5. Date CIA completed: 13/06/16
6. Signed off by:
7. I am satisfied that this service/policy/function has been successfully impact assessed.

Name:		
Position:		
Date:		
8. Decision-making body: The Executive	Date: 25/08/16	Decision Details:
<p>Send the completed signed off document to ciasubmission@york.gov.uk It will be published on the intranet, as well as on the council website.</p> <p>Actions arising from the Assessments will be logged on Verto and progress updates will be required</p>		

Community Impact Assessment (CIA)

Community Impact Assessment Title:
'A' Boards Policy

What evidence is available **to suggest that the proposed service, policy, function or criteria could have a negative (N), positive (P) or no (None) effect** on quality of life outcomes? (Refer to guidance for further details)

Can negative impacts be justified? **For example: improving community cohesion; complying with other legislation or enforcement duties; taking positive action to address imbalances or under-representation; needing to target a particular community or group e.g. older people.** NB. Lack of financial resources alone is NOT justification!

Community of Identity: Age

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Stakeholder Consultation has taken place, with representatives of York Older Peoples Assembly and York Access Group.		Access to services; Individual, family and social life	P	
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

<p>Negative: Presently 'A' Boards are tolerated in the city; this creates many issues for access when walking within the core shopping areas, with boards presenting an obstruction and hazard; these problems can be exacerbated for frail/elderly people who may require aids/support or indeed those with children in buggies/pushchairs.</p>	<p>No, impacts are of a scale considered largely to be unreasonable.</p>	<p>Positive: the proposed policy will substantially reduce the presence of regular boards within the city centre streets; and will prescribe a clear set of criteria for those which could be subject to a licence. Groups/organisations will be informed of the new policy through an awareness campaign</p>	<p>Richard Bogg</p>	<p>Date when policy is implemented; anticipated August 2016; with 6 month implementation period.</p>
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Community of Identity: Carers of Older or Disabled People

Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)	
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
<p>Stakeholder Consultation has taken place, with representatives of YOPA, YAG and York Blind & partially Sighted Society.</p>	<p>Access to services; Individual, family and social life</p>	<p>P</p>		
<p>Negative: Presently 'A' Boards are tolerated</p>	<p>No, impacts are</p>	<p>Positive: the proposed policy will substantially reduce the presence of</p>	<p>Richard Bogg</p>	<p>As above</p>

<p>in the city; this creates many issues for access when walking within the core shopping areas, this being potentially more difficult for carers of disabled adults and children, who for example may have additional equipment, mobility aids or are simply in a larger group, which generates increased challenges with access and movement within busy street environments.</p>	<p>of a scale which is unreasonable.</p>	<p>regular boards within the streets; and will prescribe a clear set of criteria for those which could be subject to a licence. Groups/organisations will be informed of the new policy through an awareness campaign.</p>		
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Community of Identity: Disability

Evidence	Quality of Life Indicators		Customer Impact (N/P/None)	Staff Impact (N/P/None)
<p>Stakeholder Consultation has taken place, with representatives of YOPA, YAG and York Blind & Partially Sighted Society.</p>	<p>Access to services; Individual, family and social life</p>		<p>P</p>	
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
<p>Negative: Presently 'A' Boards are tolerated in the city; this creates many issues for</p>	<p>No, impacts are</p>	<p>Positive: the proposed policy will substantially reduce the presence of</p>	<p>Richard Bogg</p>	<p>As above</p>

<p>disabled people access when moving within the core shopping areas, with boards presenting a particular hazard for example to those with impaired sight/vision, who have to navigate increasing numbers of temporary advertising materials, which are sited randomly, often close the building line, which is the regular space/routes used by people with such disabilities, as it should provide a greater level of safety, comfort and thus increase confidence .</p>	<p>of a scale which is unreasonable.</p>	<p>regular boards within the streets; And will prescribe a clear set of criteria for those which could be subject to a licence. Groups/organisations will be informed of the new policy through an awareness campaign.</p>		
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Community of Identity: Gender				
Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Gender Reassignment

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Marriage & Civil Partnership

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Pregnancy / Maternity

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Whilst Consultation has not been undertaken with this CoI, the issue of obstruction is considered to present a genuine issue for people with prams/pushchairs, as the ease to manoeuvre within the streets is negatively impacted by 'A' Boards.		Access to services; Individual, family and social life	P	
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date
Negative: Presently 'A' Boards are tolerated in the city; this creates many issues for access when walking within the core shopping areas, with boards presenting an obstruction and hazard; this will increase when having to manoeuvre prams, buggies, push chairs or walking with small children/toddlers.	No, impacts are of a scale which is unreasonable	Positive: the proposed policy will substantially reduce the presence of regular boards within the streets.	Richard Bogg	As above

Community of Identity: Race

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Religion / Spirituality / Belief

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Sexual Orientation

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
			None	
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date



Executive

25 August 2016

Report of the Director of Adult Social Care
Portfolio of the Executive Member for Adult Social Care & Health

Local Area Coordination in York**Summary**

1. This paper outlines the progress made to identify an approach to Local Area Coordination in York. It outlines the next steps required to implement the first stages of the project.
2. Local Area Coordination is an internationally recognised approach to create networks of support around people to increase independence and reduce dependence on statutory services. It has been successfully used in Western Australia for over 25 years, and is being used in a growing number of areas in England. Where it is developed with communities and with strong leadership, it shows predictable and positive results.
3. The Local Government Association has provided initial funding for the development of this approach in York.
4. The overall outcomes of the project are to:
 - Change the way that people think about the support around them and create a new accessible, single, local point of contact to help them identify it.
 - Simplify the routes to support, providing independent connections to the most appropriate support, rather than drawing people towards particular services.
 - Reduce the dependency on service-based support
 - Identify areas of high quality or duplication across service types to inform future commissioning, helping the realignment of resource away from intensive support towards preventative community-based activities.

5. In pursuing these aims, the model will link with other area-based projects, including the Local Area Teams model for Children's Services, which is being implemented to develop networks of support around children and families in need of Early Help. Collectively, these and other approaches will form a broad area-based model for service delivery and coordination across the city.

Recommendations

6. Executive are asked to:
 - Note the progress made in identifying an approach which helps to address significant demand challenges faced in the city and approve the progression to the next stage of development, including the recruitment of Local Area Coordinators.

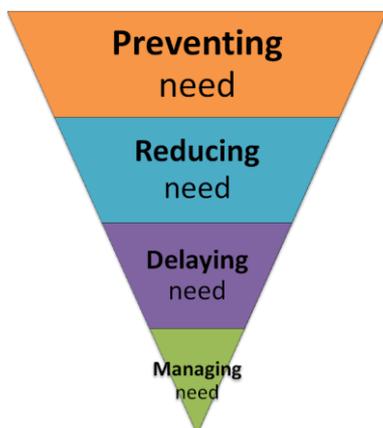
Reason: To ensure residents are best supported in respect of the future context of Adult Social Care.

Background

Why is this being considered?

7. Across the health and social care system in York there are significant pressures related to decreasing funding alongside increasing demand and rising expectations. This is driven by an aging population, increased life expectancy of people with significant disabilities and an associated increasing complexity of needs. Whilst these are extremely positive trends, the result is a growing demand which cannot be met in the future purely through service-based solutions.
8. The Care Act 2014 introduced a duty to consider the wider wellbeing of residents and in particular to Prevent, Reduce and Delay the need for care support. Alongside the NHS 5 Year Forward View, there is recognition of the need to support local areas and services to increase preventative work and support resilient communities.

9. On this basis, Adult Social Care has adopted the following as its high level objectives:



10. **Preventing need** – we will coordinate, with partners and communities, a range of information and advice to prevent people needing our support. People will be well informed of the available facilities and resources around them which can support them to improve their health and wellbeing in the broadest sense, focussing on activities which help people to remain resilient and independent.
11. **Reducing need** – through working in communities, including Local Area Coordination, we will identify those people who are most likely to need support in the future and work with them to develop their personal resilience. This will prevent situations escalating which could make people dependent on services. Local Area Co-ordinators and other colleagues will work with the individual and the people around them to create a network which provides efficient routes to the best outcomes along with an environment which allows access and support when needed. This may include advice and information, adaptations to their house, or assistive technology.
12. **Delaying need** – For those people who have experienced a challenge in maintaining independence, we will work with partners to provide effective interventions, such as Reablement, rehabilitation and recovery, to help people regain their independence and delay reliance on services. Flexible interventions, using the individual's network of support, will make best use of resources to provide the best outcomes.
13. **Managing need** – For those people who have an ongoing care need, once we have identified the support available to them through their community, family and friends, we will work with them to address the remaining issues which prevent them achieving the outcomes they

would like. Services will be personal, with individuals directing the support they require and the Council ensuring value for money and the maintaining of independence.

14. In late 2015, a paper was published highlighting the impact of Local Area Coordination in other cities across the UK and wider who have seen benefits related to these challenges (see Background Papers). Since it addressed many of the identified challenges and aligned with the existing ambitions across the health and social care system, a bid was put into the Local Government Association Care and Health Improvement Programme Efficiency Programme with support of partners from York Teaching Hospital Foundation Trust, Vale of York Clinical Commissioning Group, Priory Medical Group and the CVS. This bid was successful, providing funding of £20k to engage some external support to develop the proposal.

What is Local Area Coordination?

15. Local Area Coordination is a long-term, integrated, evidence-based approach to supporting people with disabilities, mental health needs, older people and their families or carers. Over 25 years, an evidence base of positive outcomes and reduced dependence on service-based solutions has developed. This is discussed in the Analysis section, below.
16. Rather than waiting for people to fall into crisis, then assessing deficits, testing eligibility and fitting people into expensive services, it works on the principle of earlier support in bringing about behavioural change, helping people to be resilient and self-supporting as far as possible. It works alongside people to:
 - Build and pursue their personal vision for a good life,
 - Stay strong, safe and connected as contributing citizens,
 - Find practical, non-service solutions to problems wherever possible, and
 - Build more welcoming, inclusive and supportive communities
17. Therefore it is about:
 - Preventing or reducing demand for costly services wherever possible
 - Building community capacity and resilience
 - Supporting service reform and integration, having high quality services as a valued back up to local solutions.

18. The following provides a real example of what this means to people. Further examples are given in Annex A.

Maggie's story

Roger (Local Area Coordinator) was introduced to Maggie by the local MH team following the loss of her husband some months before. Maggie had lost self-confidence and connections leaving her feeling isolated and overwhelmed, as a result this led to a couple of hospital admissions.

A focus on strengths, rather than need

Roger met with Maggie at home and talked to her about her gifts, skills, talents and interests and went on to support her to access & connect with activities taking place in her local community.

Finding and nurturing community assets/resources

Some months earlier Roger had met a group of ladies who all shared a common experience of having cared for loved ones dependent on drugs and alcohol. Together they talked & shared their ideas agreeing to work together to help expand the reach of the group. *Roger introduced Maggie to the group.*

Making the most of life, rather than focusing on services and end of life

These early connections proved to be incredibly important some months later when, following some tests, Maggie was diagnosed as having lung cancer. The prognosis wasn't good and the focus of services moved to end of life planning. During this time Roger supported Maggie to navigate the service system, whilst maintaining and building the links with her community and her new found friends.

Reducing need for services and support

The last few months have proved difficult for Maggie, but through the support of Roger and her community connections, she has felt strong enough to decline the offer of supported accommodation and has reduced some elements of her care package. This happened when she left the funded citywide luncheon club in favour of spending time with her neighbours and friends in her local community.

Moving from recipient of services to contributor to community

The links made have also provided Maggie with an opportunity to contribute something back to her community. At a recent lunch she met Jim another person being supported by Roger who had experienced a number of falls as a result of his MS. Jim talked about the need to contact primary care for a cushion to ease the pain of a bruised Coccyx, (something that Roger had been trying to sort out over the course of that day). When she got home give her gift as a seamstress Maggie very quickly sewed a ring cushion and asked Roger to pass this on.

As we speak Maggie is currently making plans with her friends to go on a day trip, whilst this will not change her diagnosis what we do know is that through the support of the Local Area Coordinator, Maggie feels in control and, as a result, the community is a better place.

Who will be supported by it?

19. Local Area Coordination will support people in their local community who may be:
- unknown to or ineligible for services, to build their own, their family's and community's resilience and reduce the need for services whenever possible (**capacity building**)
 - at risk of crisis or dependency on services to build resilience in their local communities through the development of networks and local solutions, therefore eliminating or reducing the need for formal services (**prevention and demand reduction**)
 - already dependent on services to build personal connections, community contribution, reducing reliance on formal services (**demand reduction**).

Who delivers it?

20. Local Area Coordinators are employed by the council whilst delivering support alongside local people in the community, in partnership with statutory, community and voluntary services and local communities. Whilst they may appear to be roles which could sit within the voluntary sector, they need to be council roles initially to allow consistency in the initial development in order to achieve predictable results in implementation. Local Area Coordinators need also to be independent from specific services to ensure their neutrality in helping people identify the most appropriate support.

21. A Local Area Coordinator combines a range of roles that have often been kept separate and it delivers these alongside local people in their local community. The Local Area Coordinator is based locally and acts as a single, accessible, point of contact for people in their local community, irrespective of their age or service label.
22. Local Area Coordinators will be recruited in partnership with local communities and be located in accessible local community settings as well as being highly mobile within those communities. Local Area Coordinators will require a range of skills to support, facilitate and build capacity around individuals. This may be derived from a variety of backgrounds, so whilst it is a skilled role, there will not be a requirement for specific qualifications.

How does it work?

23. Local people can connect with their Local Area Coordinator directly or via friends/family, neighbours, community organisations, social prescribers and statutory partners.
24. The Local Area Coordinator will take time to get to know individuals, families, carers and communities over time – a positive, trusting relationship is central. They are also a resource to anyone in the community for 'light touch' information, advice or connections to local resources. They will support between 50-65 individuals and their families or carers who may benefit from longer-term support in a local area to:
 - Find practical, non-service solutions to issues and problems wherever possible.
 - Build and maintain valued, mutually supportive relationships.
 - Understand and nurture their gifts, skills, experiences and needs.
 - Access accurate, relevant and timely information.
 - Build a positive vision and plan for the future.
 - Be part of, and actively contribute to, community life.
 - Help people be heard - encouraging self-advocacy, advocating alongside people, or advocating for people if there are no other options.
 - Access, navigate, coordinate and control services and support if these are required.
25. It will be driven by a senior leadership group, representing statutory, community and voluntary sector partners and people with a lived

experience of services, disability, mental health needs, older people and/or their families. This project will be led Adult Social Care.

26. Importantly, and in contrast to many existing approaches, Local Area Co-ordinators are not linked to a particular service. They are there only to secure the best support for an individual, no matter where or how this is achieved. By starting and maintaining a focus on the individual and working outwards, this approach differs from other services attempting to link people into existing services. This creates a different relationship with the individual and their family, often generating a greater degree of trust.

Why do we need it?

27. The health and social care system in York is under pressure. Overall levels of funding are relatively low, with significant savings forecast to be needed to reconcile reduced funding and increasing demand. It is clear that there needs to be a reduction in the number of people who are dependent on service-based support and an increase in more resilient and self-supporting communities. Work currently underway to define the future size and shape of the council is based fundamentally on creating a virtuous circle of sustainability. Through a greater focus on engaging citizens, earlier intervention and developing resilience, more cost effective solutions can be found, reducing the need for higher cost interventions later down the line, and the ability to divert greater resource towards earlier intervention.
28. Across the spectrum of health and social care commissioners and providers, York has seen a range of innovative approaches over the last few years. Projects initiated through the Better Care Fund have identified new approaches, including Care Hubs and social prescribing, which are being taken forward by the Priory Medical Group. Pilot projects have shown benefits already. However, it is fair to say that across the city, the range of new approaches creates variation and inconsistency.
29. The proposal for Local Area Co-ordinators provides the “glue” to join these initiatives into an easily accessed suite of support. It will provide intelligence to assist in the future commissioning of preventative support which has demonstrable benefits, as well as directing the resources to support the development of community capacity. In this sense, the model completely aligns and supports York’s local vision for care and health, preventing, reducing and delaying the need for social care.

30. Success will see Local Area Coordination and strength-based approaches as the new “norm” in the way we support people in our local communities. It will shift the focus from crisis, assessment, eligibility and funds/services to prevention, building social capital, local solutions and community resilience as the primary source of support.

What are the key outcomes?

31. For Individuals, Families, Communities:

- Reduced dependence on public services
- People supported to find non service solutions
- Increased supportive personal relationships
- Better knowledge of and connections with existing community resources
- Improved health and wellbeing, and self management of health
- Contribution
- Leadership
- Choice and control
- Greater confidence in the future
- More supportive and better resourced communities

32. For the system:

- Change of focus from crisis to prevention, local solution and building social capital
- Cultural change – a focus on strengths, capacity building
- Increased choice/range of support and services
- Strong partnerships and joint working between Local Area Coordinators and services, Local Area Coordinators and communities, Local Area Coordinators and organisations/ 3rd sector, between services
- Build connections with and add value to existing initiatives – e.g. supporting Social Prescribing, time banking, community capacity building and micro enterprise.

Relationship to other area based working

33. Over the past year, work has been on going to reshape the council’s approach to area-based working. Agreement has been made to consider the city in three areas, with services as far as possible

same principles, working directly with people to connect them to available support and increase their resilience, with great success. These roles have previously been funded through the Better Care Fund. These roles would be directly linked into the Local Area Coordination approach, with the potential for them to become Local Area Coordinator roles in the future, building on the substantial impact they have had to date in the areas they have worked.

37. The Local Area Team model being developed in Children's Services with partners shares several themes around developing networks of support and increasing community capacity. Local Area Coordinators would be able to link in with the work of Local Area Teams, as a support resource for those who could benefit from this approach. Local Area Coordination is likely to focus on those with potential and emerging need, dovetailing well with the Local Area Teams to provide intelligence of local need for a more coordinated response across traditional service boundaries.
38. Within Housing Services, the Older Persons Housing Specialist responds to a wide range of needs through direct response, signposting and referrals, providing high quality, tailored advice and information, along with the ability to coordinate multi service responses to customer need. Older people have been assisted to make proactive and timely choice about how and where they choose to live and have been empowered to take control of their own housing journey. Clearly, this links closely with the aims of Local Area Coordination, and whilst the focus is on housing, it provides an evidence base for potential benefits of a similar approach. This is discussed in more detail in the Analysis section below.
39. Work is also underway to develop a Quick Fix service to address risks around falls, reducing the number of process steps before (often relatively low-cost) solutions are installed. Through Building Research Establishment research, the areas of risk across the city have been mapped and this intelligence is proposed to be used to target the work of a handyman initially in the Clifton area, which has a high risk due to housing type and condition. This intelligence would also feed into the work of Local Area Coordinators, as contacts were made with residents who might face other challenges which could be addressed through creating supportive relationships around them.
40. The Yor-Wellbeing Service in Public Health, looking at wider determinants of wellbeing, similarly shares some of the thinking with Local Area Coordination. Working across service areas, it seeks to

address multiple behaviours which relate to determinants of health, finding solutions with people in their local area.

41. Within partner organisations, there are also roles which will directly interface. The social prescribing pilot, Ways to Wellbeing, shares similar aims, although focussing more directly on organised support rather than informal relationships. The connections between these initiatives will be developed through the implementation.
42. The local intelligence developed through Local Area Coordination, as well as other area based approaches, will provide greater insight into the needs of communities. By feeding this intelligence into Ward Committees and Ward Teams, it is anticipated the elected members and community leaders will be supported to identify the most appropriate local interventions to improve the health and wellbeing of residents, for example, using Health and Wellbeing Communities funding.

Consultation

43. In developing the bid to the LGA, discussions were held with York Teaching Hospital Foundation Trust, Vale of York Clinical Commissioning Group, Priory Medical Group and the CVS, who all supported the bid. Since then, updates have been given on initial progress and these partners will now be invited to be part of the project governance arrangements.
44. Following the successful bid, a session was held with senior managers and officers from across the council and with partner organisations invited. This allowed more detail on the Local Area Coordination approach to be shared and people to consider how it might fit in with existing services.
45. Whilst this has provided some consultation with services, clearly it is the people using the services or in need of support who need to be most directly involved in developing this work.
46. Local people will lead and support the recruitment of their Local Area Coordinators, in partnership with services. It will be overseen by a multi organisational senior leadership group that includes people with lived experience of disability, mental health needs, ageing or being a family carer.

47. Once operational, Local Area Coordinators will work alongside local people to maintain inclusion, contribution and co-production - maintaining feedback, shared learning and shared action.

Options

Option 1- Implement in 3 areas initially

48. The proposal is to initially recruit three Local Area Coordinators in 2016/17, who will be located in three specific, different geographical areas (each with a population of 10-12,000, so probably a ward area). This would provide a test of the approach, allow lessons to be learned on its implementation and provide an evidence base upon which to build a business case for further investment to cover a wider proportion of the city (assuming a demonstrable positive impact).
49. Recruitment would take place from September, with training and detailed development following on. It is anticipated that the Local Area Coordinators would be operational by the New Year.
50. Support for the implementation would be provided through the Local Area Coordination Network, to capitalise on the lessons learned from elsewhere, providing guidance on a tried-and-tested methodology.
51. The selection of areas will be a critical next step and will need to involve cross-service and partner input as well as seeking out the views of and agreement from Ward Councillors. Local Area Coordination is known to work effectively in a range of different and diverse settings across a multitude of issues in both areas of deprivation and affluence. Resident insight will be a key factor in helping to determine the selection of the first areas.
52. Successful implementation requires a high degree of fidelity to both the key design features of Local Area Coordination (that drive consistent positive outcomes) and also to the quality framework that ensures integrity of implementation.
53. In order to achieve its maximum impact, it also requires being more than just a “project” sitting on the edge of the social care and health system – as we get alongside and closer to people with disabilities, mental health needs, older people and their families and local communities, the rest of the system needs to adapt and change to better respond to these emerging aspirations and needs.

54. The figures quoted below are indicative, since the salary costs won't be known until the roles have been job evaluated. They also assume the management of the new function will be undertaken by an existing manager at no additional cost.

	16/17 (6 months)	17/18 (full year)
Salaries 3 x G8 (Indicative) from 1 st October	£54,000	£108,000
ICT Equipment	£3,000	£1,000
Travel costs	£1,500	£1,500
Discretionary budget	£2,250	£6,000
Training and related costs	£3,750	£3,750
Total	£64,500	£120,250

55. Funding has been identified within the Care Act Implementation Grant, with the potential to use Early Intervention funding (allocated across Children's and Adults) within Executive's 16/17 budget.
56. Beyond 17/18, the ongoing funding would be considered within service budgets, reflecting the changing balance between preventative work and managing people's current care needs.
57. Further routes for funding are still being identified, including discussions with partners as to whether there could be opportunities to jointly fund. For this reason, the figures above are seen as a maximum initial commitment to the local authority which may be reduced.
58. It is also anticipated that the local intelligence of need developed through this approach (and those within other services) will provide insight into how Health and Wellbeing Communities funding could be used within local areas, by Ward Committees, to achieve maximum benefit. This could, for example, provide initial support to allow the establishment of groups for which there has been an identified need.

Option 2 – Local Area Coordination is not implemented

59. Executive may not wish to pursue this approach. No benefit from this approach would then be seen, and challenges would remain in terms dependency on services which would have to be addressed in other ways – for example, through additional investment or alternative approaches to reduce demand.
60. The funding from the LGA would need to be returned so the council would not benefit from the LGA's resource or support.

Analysis

Evidence from elsewhere

61. Over the past 28 years, there have been many evaluations that show, where it is designed properly with local people and there is strong, connected leadership, there are very consistent positive outcomes.
62. These include:
- Recent independent Social Return on Investment (SROI) evaluations in both Derby City and Thurrock Councils have shown £4 return for every £1 invested.
 - Derby City diverted costs/savings of £800k in first 10 months in 2 locations whilst operating at 40% capacity (formative stage).
 - Thurrock Council found reductions in referrals/visits to GP, A&E, adult care, mental health and safeguarding services; avoided housing evictions.
 - Reduced isolation, through increasing unpaid/informal relationships, employment/volunteering/education opportunities.
 - Reduced dependence on day services.
 - Better health outcomes and improved self management of health.
 - People supported to find local, low cost/no cost solutions.
 - Preventing more expensive out of home/area/placements.
 - Costs 35% lower compared to non Local Area Coordination areas.

Likely impact in York

63. If the approach is implemented correctly, designed with residents and partners, there is every reason to expect the same outcomes as seen elsewhere. This would mean around a 4:1 social return on investment. If implemented in the same way, this could approximate to an annual benefit, initially of around £480k. It is impossible to say where cashable savings would fall at this point, but it would be a significant step towards a more sustainable system of support in line with our strategy to Prevent, Reduce and Delay the need for care. It is likely to support savings required in homecare and residential services, and also provide benefits to primary care.
64. York is fortunate to have a thriving voluntary sector and highly skilled residents. The opportunity to better connect people with support, empower people to help others and reduce the demand on service-based approaches is significant.
65. The evidence from the Older Persons Housing Specialist work, which shares similar approaches and impacts on similar areas, provides a good indication of diverted costs from facilitating earlier discharge from hospital, preventing residential care and unplanned admissions, and reducing home care needs. This suggests average savings/cost avoidance as follows:

Early discharge from hospital	£1,100
Prevent residential care	£493 per week
Prevent unplanned admission	£2837
Prevent home care	£370 per week

66. Based on the needs of the individual, and the alternatives identified, the savings can reach tens of thousands of pounds for each person. The Local Area Coordination proposal would initially give capacity for up to 150 people to be directly working with a Local Area Coordinator. The financial benefits of reduced demand on services (alongside the wider social and personal benefits) could, therefore, be significant.

Monitoring the impact

67. The impact will be closely monitored in this first phase to provide an enhanced evidence base to support future investment decisions.
68. Discussions have been held with the LGA's project advisor to look at how we will measure the impact. Ultimately, we would expect to see:
- A reduction in the contacts with social care from the areas supported by Local Area Coordination.
 - An increase in the proportion of contacts which would be referred to non-service support.
 - An increase in the capacity of communities to provide support.
69. Early discussions have also been held with the University of York, in terms of the potential for students from the Department of Social Policy and Social Work to support a review of the programme logic, the evidence from elsewhere and propose some measures which could be built into the project. This would help to provide an evaluation framework which would allow the impact to be assessed.
70. The support of the Local Area Coordination Network will also allow us to access the methodologies of previous analyses of Local Area Coordination.
71. Through the information feed into Ward Teams and Ward Committees, elected members and community leaders will have access to softer intelligence about what is happening within an area, and this will allow an oversight of the direct impacts of Local Area Coordination for people in a locality.

Council Plan

72. This initiative supports the following objectives within the council plan:
- A city where:
 - i. Everyone is supported to achieve their full potential
 - ii. Everyone who lives in the city can enjoy its unique heritage and range of activities.
 - iii. All York's residents live and thrive in a city which allows them to contribute fully to their communities and neighbourhoods
 - iv. All children and adults are listened to, and their opinions considered

- v. Everyone has access to opportunities regardless of their background
- vi. Support services are available to those who need them
- vii. Residents are encouraged and supported to live healthily

Implications

73.

- **Financial** – The financial implications are outlined in the body of the report. Whilst the direct cashable savings cannot be identified as this point, the proposed model supports earlier intervention which is known to reduce the overall costs otherwise incurred through escalating need. An initial implementation would provide the evidence to support (if positive) further rollout.
- **Human Resources (HR)** – The direct impact would be through the recruitment of 3 new posts. The Local Area Coordination approach requires the community to be involved in this process, so the alignment of this with our recruitment procedures will be reviewed and an approach agreed.
- **Equalities** – Members are well aware of the requirements of the public sector equalities duty to:
 - Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equalities Act 2010.
 - Advance equality of opportunity between people who share a protected characteristic and those who do not.
 - Foster good relations between people who share a protected characteristic and those who do not.

This initiative is designed to increase the resilience of people and communities. It will focus on those who might be experiencing inequality, for a range of reasons, so it is anticipated that it would have a positive impact. The detailed design work will be carried out with communities, seeking to be as inclusive as possible.
- **Legal** – No direct implications
- **Crime and Disorder** – No direct implications
- **Information Technology (IT)** – Local Area Coordinators will require some mobile technology to operate, although it is not expected that they will have requirements beyond other community based roles in the city. They will be considered alongside mobile working across the Adult Social Care workforce.
- **Property** - No direct implications

Risk Management

74. A detailed risk register will be developed through the project to identify and mitigate risk. By following a model which is tried and tested elsewhere, the risk on delivery is smaller than developing a bespoke approach, with lessons learned elsewhere feeding into this project via the Local Area Coordination Network. The All About Projects framework will be followed to ensure appropriate project governance.

Contact Details

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Chief Officer Responsible for the report:

Martin Farran
Director of Adult Social Care

**Report
Approved**

Date 11/08/16

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

Background Papers:

Broad, R. 2015 "People, Places, Possibilities - Progress on Local Area Coordination in England and Wales" - Centre for Welfare Reform

<http://www.centreforwelfarereform.org/uploads/attachment/463/people-places-possibilities.pdf>

Annexes:

Annex A – Examples

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Annex A – Local Area Coordination case studies from elsewhere

These stories represent just part of a journey alongside local people, their families and their communities as they build their positive vision for a good life in the future and think about the range of ways of getting there. There is a common thread through all Local Area Coordination stories and supports around:

- Listening, learning and supporting people to pursue their personal vision of how they would like life to be
- Nurturing opportunities for contribution and citizenship
- Understanding and building valued informal, supportive, personal relationships
- Focusing on gifts, skills and local solutions, rather than services and funding
- Helping people build resilience and stay strong
- Finding sustainable, local, non-service solutions to problems wherever possible.
- Building real partnerships with people, communities, local organisations and services

Relationships and connections continue to grow and we see the increasing passion of local communities to support each other and welcome people previously isolated, excluded or labelled.

1. Taking Time

Simran met Steve at the local library. Steve had been given a negative label by services because, on occasions, he would appear to be acting in an aggressive manner, shouting and swearing. Over a number of months Simran slowly introduced herself to Steve, and eventually he came and sought her out. It very soon became apparent that Steve had not eaten for a number of days and Simran ended up sharing their lunch with him. This event then led to a developing dialogue between Simran and Steve, very much led by Steve and at his own pace.

The picture of Steve's life began to emerge. It would appear that Steve has some level of learning difficulties and also struggles to maintain his mental health; this might well be as a result of his dependence on drugs. Steve lives in social housing and has been refusing the housing provider access to the property, he appeared to be significantly underweight, and there was concern about his health.

As a result of this developing relationship:

- Steve has started to attend GP appointments.
- Simran has started to support Steve to get his finances in order.
- Steve has been able to access the support of a local food-bank in times of crisis.
- Steve has started to think about his future, he feels as though he has let his family down, and is starting to think about the steps to employment. This began with him addressing his appearance.
- Simran is starting to help Steve think about his home, and has negotiated a visit to the property with the housing provider. For the time being, this relationship is now being brokered through Simran.

2. Respecting people's own expertise

Maggie is a 50 year old single parent with two children, living in rented accommodation. In a two year period Maggie lost her job, marriage and home. This had a significant impact on Maggie's mental and physical health, after a period of inpatient treatment she became isolated and house bound. Rajeev met Maggie on a number of occasions and spent time talking about what life was like for her, how she wanted it to be and ways she could get there.

As a result, Maggie has now found a new home and has started to take control of her support and services. She has developed the confidence to take control of the support planning process, has changed her care provider and reports feeling more in control of her life. She has also started to re-engage in community activities.

Maggie really benefited from the long term approach taken by the Local Area Coordinator. This contrasted starkly with the notion of a professional being parachuted in to 'fix' issues for her. Given her history, the Local Area Coordinator's approach would appear to have prevented Maggie from requiring admission into Mental Health crisis accommodation, and the care packages associated with individuals following discharge from such accommodation.

"I had support with meals, because I'm Asian, they made Asian food... but I don't like Asian food, because of everything that was going on I didn't feel able to say anything. "

3. Knowing the community well

Getting to know, and becoming very visible in, your local community is an important part of Local Area Coordination. Whilst on one walkabout within the community, the Local Area Coordinator discovered a local family-run bakery. Very quickly it was obvious that the owner had strong links with many of the individuals and families in the area – a ‘connector!’ The baker talked about Paul, a young man who appeared to be really struggling over the past few months.

Paul has a learning disability and is not known to services. Over recent months, as a result of changes to the benefit system Paul had been unable to navigate his way through the form filling process, this left him without money for a number months; he had been approaching the bakery which he had known since childhood for food.

Thanks to the connection with the baker, the Local Area Coordinator was able to support Paul to access the food bank, sort out his benefits, volunteer in his local community, help with developing a CV and interview skills to seek employment (which he achieved!). Now he no longer needs benefits. They still meet for a coffee every month and Paul recently got engaged. He also brought along a box of tinned food for the food-bank that had helped him out at the very beginning of his journey.

4. Resourceful communities

Paul Phillips is Local Area Coordinator in Kendal, Cumbria. Here he talks about a recent partnership with local citizens to build an inclusive garden share scheme for the whole community:

“Our communities are full with people who have gifts, skills, resources, interests and experiences they would like to share, things they would love to learn and things they would love to have help with. In our local communities, we bumped into people with both a love of gardening, and who were willing to share with their neighbours who were struggling to sustain and maintain their gardens. A potential partnership of mutual benefit. Rather than waiting for services, we began building relationships and opportunities in our own local community. Relationships instead of dependence.

After just a few months, the scheme has 12 garden owners on board and we have been introduced to 9 gardeners, pairing 8 of them and looking at matching the rest over the next few weeks. The garden owners are from all walks of life including some with mental health or

physical health concerns and some who are elderly who have no family or friends that can support them. It's early days, but this feels really exciting. This is built on shared interests and the gifts of local residents - it's about people helping people, not service labels or dependence. “

Part of the Garden Share Project has now been taken over by a Residents Association, and will be run by the community directly - building local ownership. This demonstrates how the work of the LAC can create sustainable long-term solutions, independent of their own control

5. A human approach

Sarah was introduced to Local Area Coordination by her mental health worker. She had recently moved into the area, having successfully applied to the local housing provider for a tenancy. Services had labelled Sarah as being “a difficult person to work with, who would often make unreasonable requests and presented as very demanding.” This reputation was so significant that workers had contacted the Local Area Coordinator to warn them not to get too involved.

When they first met, they spent time talking about how life was now and how she would like it to be. Sarah felt that it was the first time that people had taken the time to get to know her as a person as opposed to a set of problems.

As well as thinking about issues that needed to be resolved, the Local Area Coordinator asked Sarah to think about her gifts and skills rather than just focussing in the things she needed support with. Together they talked about Sarah's gifts, interests and passions, as well as some of the issues that needed to be dealt with. They negotiated who would take responsibility for managing those actions, all the time with the focus on Sarah taking as much control as possible. It was very clear from the outset that, whilst the Local Area Coordinator would do as much as they could to support Sarah, they would not take ownership of her issues.

They also began to talk to Sarah about opportunities within the community where she could share her gifts, skills and experience. Sarah is starting to view herself as someone with something to contribute, rather than someone who can only engage with others if she tells them how ill she is.

Whilst Sarah still finds life challenging she now reports feeling as though she has a growing network around her, she is beginning to build relationships with others in her community and is also spending less time on the phone to professionals.

6. Coordinating services

Jon was first introduced to Ben through a Family Mosaic field worker. Although he had been a very active person all his life, he was now unable to leave his first floor flat due to an injury he suffered at work. He felt depressed and isolated. He had health issues relating to diabetes (resulting in A&E admissions), but couldn't get to the local clinic every week. He also had issues regarding benefits being stopped and had to use his savings to employ someone to get his weekly shopping.

Ben took time to listen, learn and build a positive relationship with Jon. This was important as he had previously felt let down by other services. He wanted to feel in more control of his life, sort out his finances and be able to access and be part of his community again. Ben supported Jon to:

- Link with an NHS community nail cutting programme designed for people who are house bound. This avoided any further admissions to hospital.
- Fill out a form, step by step, that would attempt to reclaim the DLA monies owed to him. This has now been achieved and his debts have been paid off.
- Contact the local church and introduce a volunteer who lived nearby who was able to help collect his shopping.
- Arrange a single point of access through the DWP instead of having to telephone via the call centre every time that he wanted an update. This helped Jon to feel more confident and in control – doing more for himself.
- Move to a new ground floor flat and can now access the community at his leisure. They are now planning for the future and meeting people with shared passions.

As a single point of contact who had taken time to listen and build a trusting relationship, Ben supported Jon to solve his own problems, build new relationships and control supports and services he needed, as well as avoiding admission to A&E services.

7. Supporting people to be heard

Brian was introduced to Kate by an advocacy agency. Following a recent bereavement, he had become homeless, did not have access to his belongings and felt lonely and isolated. Together, they explored what was important to him now and how he would like his life to be in the future. He was very interested in having things to do, being with other people, having a job and getting better support from mental health services.

Together, they began to put the pieces together, with Kate supporting Brian to:

- Collect his belongings, including his suit for job interviews. Brian has now applied for 2 jobs and continues to search for employment.
- Connect with housing advice services and accessed health services via his GP.
- Move to a self contained flat within the borough.
- Through links with another Local Area Coordinator, Brian was introduced to an individual in a different locality who wanted to learn how to use a computer. An introduction was arranged, supported by both Local Area Coordinators.

8. Feeling safe

The local MP wrote to the Strategic Director to ask for Local Area Coordination support to help Debbie, who lived alone in her own home and was being targeted by local teenagers who were constantly kicking her garden fence panels down. In the past, Debbie had received support from the local mental health team and she was also the main carer for her elderly mother, who lived nearby. She was feeling very lonely and isolated.

Rajeev went round to visit Debbie and began the conversation about her current situation and some of the things she wanted to do or needed help with. Rajeev supported Debbie to:

- Explore information about local activities both for herself and her mother.
- Meet with a group of men from a local church who were very happy to go round one Saturday and help her get on top of her garden and fit the fence panels. They chopped and sold the wood,

with Debbie donating it to a local charity – contributing to the community that had supported her.

- Approach the local Anti-Social Behaviour team and negotiated for them to pay for the replacement of the damaged fence panels.
- Approach a local allotment association to see if anyone on their waiting list would be willing to take on her garden and use it to grow things in.

Whilst working on Debbie's garden, the volunteers from the local church struck up a really nice relationship with Debbie, and as a result they invited her to attend their church art group and local people now keeping an eye on the fence. Debbie now feels much more secure in her home, which in turn has had a positive impact on her own health and her ability to support her mother.

9. People helping people

Soon after starting as a Local Area Coordinator in Derby, Simran was asked to help local people to establish a coffee morning in one of the local libraries. Over the period of a couple of months the group became self-sustaining and also built a reputation within the local community.

The group are viewed as a great resource in the local community, supporting new people in the area to find out what's going on, navigate services, connect with people, access information and share ideas, gifts and experiences.

This recently included supporting a young mum, new to the area, to overcome a problem in securing a school placement close to home and helping her and her husband be connected with employment opportunities.

10. Feeling in control

Pam was introduced to Jon by the local housing department as she was quite isolated. She had a history of depression and found it difficult to look after her home. When they first met, Jon and Pam started to explore a few things that she was passionate about that would be a part of her vision for a better life. Jon walked alongside Pam supporting her to:

- Connect with Family Mosaic to explore working alongside her to plan a budget and keep in control of her finances.
- Contact DWP and organisations to sort out pension issues.

- Remember to take her medication in the mornings. She now locates her medicine in a very visible place and has now been remembering to take her medication.
- Meet new people with shared interests. She has a passion for knitting and is now part of a local knit and natter group at a local café run by local people. She is knitting her daughter a scarf (which looks great) whilst meeting and talking with others within the community. She is also hoping to invite her new friends to her home.
- Plan for the future – now thinking about helping other local people and sharing her gifts.

11. Supportive communities

Through spending time getting to know people in the local community, the Local Area Coordination team in Derby built a relationship with a group of men who attended a local church. They were looking for an opportunity to share their skills, work together as a group and make a positive contribution to their community – to give someone a hand up.

The team talked to the men about some of the themes emerging from the Local Area Coordination work, particularly the number of people being supported who were struggling to get on top of their gardens. Since this initial meeting the group has supported the team with one Saturday a month, where they will come and blitz a garden talking all the waste away with them at the end of the day. This has had a massive impact on the lives of the people they have supported.

Over the months this group has grown in size with members of the Local Area Coordination team joining in. The aim is now to involve more people from different faith groups. For every garden the group helps out with the Local Area Coordination team are expected to help the person develop a plan to keep on top of the garden once it has been cleared.

12. Contribution

George was introduced to Francis (the Local Area Coordinator in Thurrock) by the Older People Mental Health Team Care Coordinator. He is a 69 year old man, with a history of depression. He has previously attempted suicide, requiring admission to hospital. There is limited family support and although physically healthy, George spent most of his time in his flat, which made him feel lonely, isolated and depressed.

Francis took time to get to know George, to find out what was important to him and explore what a good life looked like to him. His main priorities were to get out of the flat, meet people and make some friends, help other people and feel safe, secure and more confident.

Francis supported Mr George to:

- Explore family support from Ngage (a local voluntary family support organisation). He is now a volunteer driver three days a week with the Royal Volunteering Service and is starting volunteer driving for meals on wheels.
- Start a course in 'Computers for Absolute Beginners' at the local Adult College, to improve his computer skills and enable access to social networks. He now uses Facebook and uses the local library to further enhance his computer training and to regularly meet people.
- George has now been connected to two other people supported by Local Area Coordination and provides them with practical support.

Before the Francis had been introduced to George all he did was sit in doors 24 hours a day. Francis has provided opportunities for George to get out of the house a lot more, involving helping others. Francis challenges and pushes George and always calls to see how we are.

"If it hadn't been for Francis I wouldn't be here now."

<http://www.centreforwelfarereform.org/uploads/attachment/463/people-places-possibilities.pdf>

13. Improving services through improved communication and community involvement

The Local Area Coordinator visited local community groups; a common concern from elderly groups was regarding the limited service for blood testing. (1hr per week at one GP surgery 20 tickets issued on a first come first serve basis). Many residents who were elderly or with disabilities had difficulties accessing this service, usually the individuals regularly required blood tests. Another impact to local residents was the sudden cuts to local bus service no longer including a route to the Hospital where residents had an alternative service.

The Local Area Coordinator wrote several stories based on these facts, attended a CCG meeting and met with the Pathology Operational

Manager to discuss these concerns, who agreed to meet local residents at a forum meeting where he agreed to provide an improved service. He is setting out proposals for the New Year to extend the blood testing service from 1hr to a whole day and the first come first served will be changed to a booking system accessed via on line and or via telephone for those individuals without computer access.

The Local Area Coordinator has discussed two other alternatives sites where this service could be provided– a local Children Services building and an additional GP surgery interested in providing this service. Finding solutions within the community will help to keep visits to the acute Hospital to a minimum which is a primary aim for the Pathology Dept. This has also promoted discussions amongst Forum members and local community groups to look within the community for solutions.

14. Establishing trust

A Local Area Coordinator has been supporting a 60-year-old male. He has been receiving intensive support for a number of years by both Health and Social Care services, and has displayed behaviours that are very challenging to both organisations.

For several years he has been due to have a double amputation to his legs but at the last minute he always found an excuse not to go through with the operation, leaving him in the same position and requiring support from both services.

The Local Area Coordinator has been supporting him and working with him to have the confidence to have the operation. The Local Area Coordinator also visited him in hospital, where the resident stated that “If it wasn’t for your support throughout this, I wouldn’t have gone through with the operation.”

The operation took place three weeks ago and he is making a good recovery. The long term plan is for intense rehabilitation after which time the Local Area Coordinator will support him to connect with his community.

<http://lacnetwork.org/wp-content/uploads/2016/02/LAC-catalyst-report.pdf>



Executive**25 August 2016**

Report of the Director of Public Health

Portfolio of the Executive Member for Adult Social Care and Health

Re-procurement of Alcohol & Drug Treatment and Recovery Services**Summary**

1. The purpose of this report is to seek authorisation to approach the market for the tendering of an adult alcohol and illicit drug misuse harm reduction, treatment and recovery service and to receive approval that the decision making to award the contract be delegated to the Director of Public Health. In line with City of York Council and European Union (EU) procurement legislation the Council is obliged to procure these services through a competitive process.
2. These services play a key role in promoting recovery and reducing the harm caused by drug and alcohol misuse which are a significant cause of health inequalities in York.
3. The proposal is to award a new contract for 3 years with an option to extend by 2 years plus consideration of a further 2 years extension, subject to performance, up to a maximum of 7 years. Extensions will be based on performance related quality measures and delivery of key outcomes. This is considered to be the option which will lead to the Council obtaining best value for money and will provide a stable and supportive environment for service users.
4. As a consequence of Department of Health cuts to local authority Public Health Grant Allocations and projected further budget reductions the proposal is to make a budget reduction of £550,000 over the first 5 years of the contract.
5. The proposal is to develop a model for young people's substance misuse services alongside the current work being undertaken to reshape early intervention and prevention services for families with

children and young people from 0 to 19 years (25 years for those children and young people with disabilities).

Recommendations

6. Members are asked to:
 - a. Authorise officers within City of York Council to approach the market to inform the commissioning and procurement of an alcohol and illicit drug misuse service for adults from July 2017.
 - b. Authorise the Director of Public Health to accept the highest scoring tender, in accordance with evaluation criteria and award a contract.
 - c. Support the direction of travel for young people's substance misuse services and the integration of substance misuse for children and young people into the wider offer for children, young people and families being developed as part of the new delivery model for early intervention and prevention in York.

Reason: To enable substance misuse treatment and recovery services to be available to York residents that are value for money and responsive to local need.

Background

7. City of York Council became responsible for commissioning substance misuse treatment services when responsibilities for public health functions were transferred to the Council in April 2013.
8. Substance misuse treatment services are funded by the Department of Health local authority ring-fenced Public Health Grant Allocation. The Department of Health sets out a number of conditions for use of the public health grant and in 2015/16 attached a new condition which states that 'a local authority must, in using the grant, have regard to the need to improve the take up of, and outcomes from its drug and alcohol misuse treatment services'. Local authorities are required to submit performance monitoring reports on drug and alcohol misuse treatment outcomes as part of the Public Health Outcomes Framework.
9. York has a lower prevalence of drug and alcohol misuse than many other parts of the country but substance misuse remains a cause of considerable harm to the health and wellbeing of York residents and an important cause of health inequalities.

10. It is estimated that there are 840 opiate users living in York. The estimated rate of opiate users per thousand of adult population is lower in York (6.25) compared with regional (9.30) and national (7.32) rates. There are an estimated 42,202 adults in York who drink alcohol at increasing risk or higher risk levels. There were 72 young people aged under 18 in treatment in York (2015/16). There is a declining trend in substance misuse in young people locally and nationally.
11. The impacts of substance misuse are felt across the population and the evidence base shows that investment in drug and alcohol services results in a strong and substantial return on investment. For example, the National Audit Office estimates that for every £1 invested in substance misuse treatment £2.50 is saved in terms of wider costs to society and for every £100 invested in drug treatment a crime is prevented making treatment an effective intervention in crime reduction as well as community safety and health improvement.
12. York invests in a range of open access and specialist services that enable people to access treatment and work towards recovery. Our priorities for the drug and alcohol treatment system are to improve recovery outcomes and ensure the treatment pathway meets the changing needs of the population of drug and alcohol users. Our intention is to deliver efficiencies through the remodelling of the drug treatment pathway as part of a co-production approach. The procurement approach recommended in this report will help deliver this.
13. This proposal falls within key decisions due to the annual value of the contracts and as such will be presented to Executive for decision.

Substance misuse services for young people

14. A separate report outlining the plan for young people is to be formulated in collaboration with the Children's Services, Education and Skills directorate lead for reshaping early intervention services; this will be discussed at the appropriate level based on council procurement rules.
15. Under the current commissioning arrangements, young people's substance misuse services are part of adult treatment services. The scope of need and the response that is required from our

approaches to risky behaviours brings a different perspective to working in this field. The current medical model approach supports a very small number of young people, on very rare occasions, but a wider approach to early intervention and building resilience to make safe choices around behaviour is considered a more favourable approach to reducing the long term likelihood of problematic behaviours.

16. The future model for young people's substance misuse is being reviewed alongside the current work being undertaken to reshape early intervention services for families with children aged from 0 to 19 years old (25 years for those with disabilities). Doing so enables a more flexible and holistic review of the whole family approach to the impact of substance misuse and to consider how building resilience in families across a wider range of emerging issues is paramount to understanding how we tailor substance misuse services to best effect.
17. The proposal is that £150k investment from the Public Health Grant Allocation be ring-fenced for delivering young people's substance misuse services and that this investment will continue to be allocated towards developing the new model.

Proposed Procurement Strategy

18. The proposal is to use an innovative model of procurement to achieve sustainable cost savings and develop a new service model with a specialist partner over the course of the contract term.
19. Traditionally the methodology for re-commissioning would be for the commissioning team to design a specification independent of the potential bidders, this would then be procured and the provider would deliver the service from that specification brief for the term of the contract.
20. The proposal for this procurement is to seek to appoint a specialist strategic partner who in the first instance would continue to deliver the existing service within national governance guidelines.
21. During phase one of the contract implementation the appointed partner would, with the public health team, co-produce a bespoke specification for York. This would be based on the needs of the residents taking into account the necessary cost savings. The

provider would then evaluate and run the new delivery model over the course of the contract term.

22. This approach provides an opportunity to draw on the expertise within the Council of community development and also allow for better alignment of substance misuse treatment and recovery services to the emerging Local Area Team organisation of services to local communities.
23. This approach also helps to support the delivery of cost savings over the life of the contract. By building on available community resources such as mutual aid, it brings an element to the treatment system which supports the customer at nil cost to the authority.
24. At the end of the contract term this bespoke model would form the basis of the next competitive tender in due course.
25. The abstinent recovery framework is a nationally emerging landscape with virtually no template to work from for an off-the-peg model of delivery. Some areas have achieved great change, such as were seen in the Gorbals in Glasgow with this approach. York faces the very real issue that being a small authority the funding does not cover the types and range of interventions that were available to Glasgow's commissioners, so an innovative and bespoke option must be found.
26. Both legal and procurement teams in CYC have advised throughout the development of this proposal to ensure the process is undertaken within the appropriate legal frameworks.

Risk Management

27. There are risks inherent in reducing the level of investment into substance misuse services in York and the level of savings required. These risks will be mitigated through the procurement strategy and the redesign of the treatment pathway.
28. Work has been undertaken with a range of partners, including expertise from academics to inform the direction of travel and we are confident of our vision for improvement and delivering better outcomes for less through this new model.
29. The Office of the Police and Crime Commissioner (OPCC) has committed to financially supporting an appropriate delivery of substance misuse treatment to clients presenting through the criminal justice system. This level of investment was £76,000 in

2016/17. This funding is in addition to the investment from the Public Health Grant and is reviewed annually.

30. The new provider will be expected to use every opportunity at their disposal to bring additional investment and capacity into substance misuse services using alternative sources of funding. A track record of securing investment will be one of the criteria in the tendering process.

Vision

31. Our vision for Recovery.

Building strong recovery capital – building community capacity will be a much stronger feature within the new arrangements than is currently the case. With the strategic partner we will:

- a. Work with local communities to build their capacity to develop resilience and reduce dependency on commissioned services support.
- b. Work with partners to address gaps in available early help interventions. Closely linking with the developing integrated wellness service offer to ensure early help is available for those with addiction.
- c. Work alongside the voluntary and community sector to ensure a truly multi-agency response to addressing the needs of customers and their to build resilience
- d. Improve the volunteering offer. We will look to make better use of the potential offered through volunteers at a local level. This is seen to be a critical feature of sustaining the impact of recovery in communities, securing community networks and working closely with established mutual aid networks. Reducing pressure on the voluntary sector offer.

The commissioned programme incorporates an obligation to “pay back” which enables people to positively contribute to society after spending much of their lives being perceived as a “problem” this is essential not only for the individuals recovery but for assisting the long term abstinence of others.

- e. Provide support and training to local partners in order to ensure they have the skills and knowledge required to effectively support people they are working with.

Consultation

32. Work has been undertaken with a range of partners, using expertise from the academic world to inform the direction of travel, listening to our criminal justice partners and clinical experts we have drawn together a vision for improvement.
33. In addition to building on pre-existing consultation further engagement has been undertaken in a range of ways to look at the proposed model.
 - a. A time limited alcohol and Illicit drugs commissioning steering group has been formulated. This includes key partners and provides a forum for ongoing consultation leading up to procurement.
 - b. Service recipients and their families have been given opportunities to formally engage with the Public Health commissioning group.
 - c. Previous service recipients have been consulted in a series of forum events across the year.
 - d. Clinical practitioners have been engaged through the Vale of York Clinical Commissioning Group.
 - e. Partners and co-commissioners such as the Office of the Police and Crime Commissioner and Clinical Commissioning Group have been formally engaged in a series of meetings to explore opportunities and thoughts on the format for re-commissioning.
 - f. Industry experts were consulted formally to assess the potential model for re-commissioning.
 - g. Academic specialists were consulted and key academic research was searched to inform thinking.
 - h. Academic evaluation took place to inform the evaluation of the current models and to highlight areas of improvement.
34. Future consultation work is planned and a specific role has been identified to consult directly with service recipients in an appropriate framework to give the patients group a voice in the procurement process and during the development of a new model of care.

35. The proposals have also been discussed at Health and Adult Social Care Policy and Scrutiny Committee on 19 July 2016. In response to public participation, the Committee asked Officers to review the savings proposals for the new contract. The original proposal was to make the bulk of the savings in years 1 and 2 of the new contract. In discussion, the Committee agreed to recommend that the savings be spread more evenly over the length of the contract to minimise the impact of budget cuts through the transition to the new service and reduce the risk to existing customers through the change. We have responded to this recommendation and the revised budget is now set out in the finance section of the report in paragraphs 39 to 42.

Options

36. There are 2 options for Members to consider:
- Option 1: Do not approve the re-procurement
- Option 2: Approach the market to re-procure substance misuse services through competitive tender

Analysis

37. Option 1: Do not approve the re-procurement
- This option would mean that people are unable to access the support they need to recover from substance misuse via Public Health funded services. This would have consequences on long-term conditions, death rates, levels of crime and disorder and anti-social behaviour, adult social care and wider costs to society. Therefore this option is not recommended.
- Option 2: Approach the market to re-procure substance misuse services through competitive tender
- This is the recommended option.
- Reason: To enable substance misuse treatment services to be provided to York residents that are value for money and responsive to local need.*

Council Plan

38. The proposal directly relates to the Council Plan 2015-19 priorities:
- **‘A focus on frontline services’** - to ensure all residents, particularly the least advantaged, can access reliable services and community facilities.

Specialist Implications

Financial

39. A benchmarking exercise has been carried out which shows that on average local authorities in the region spend around 30% of their Public Health grant allocation (excluding 0-5 services) on substance misuse. City of York Council's substance misuse budget for 2016 is £2,385k which comes to 35.97% of the equivalent Public Health Grant (£6,631k). This is considerably higher than the regional average.
40. The prevalence of substance misuse in York does not justify this higher level of spend. Therefore it is proposed to set aside a budget for substance misuse services which is equal to 30% of the Public Health Grant (excluding 0-5 service allocations). This reduction will be phased in over a 5 year period, generating total savings over the period of £550k.
41. It should be noted that as the current contracts do not end until 30 June 2017 the budget reductions will not apply until July 2017. It is also expected that there will be further reductions in the Public Health grant over the next few years. Taking this into account the proposed budget for substance misuse services over the next 5 years is shown below:

	2017/18	2018/19	2019/20	2020/21	2021/22
	£000	£000	£000	£000	£000
Expected reduction in Grant*	2.5%	2.6%	2.6%	0.0%	0.0%
Projected grant excluding 0-5 services	6,465	6,297	6,133	6,133	6,133
Proposed Substance Misuse Budget	2,310	2,210	1,998	1,860	1,835
Budget Savings	75	100	213	137	25

*figures taken from LGA Briefing Paper Feb 2016

42. The table above shows the budget for the whole substance misuse service. It has been agreed that £150k p.a. of this budget will be ring fenced for investment in young people's services, and in addition some budget will need to be retained to fund Council costs such as staffing, rental of community venues for delivery of

service provision and IT. The annual budget available to fund the new contract (which will run from 1 July 2017) is shown below:

	01/07/17 to 30/06/18	01/07/18 to 30/06/19	01/07/19 to 30/06/20	01/07/20 to 30/06/21	01/07/21 to 30/06/22
	£000	£000	£000	£000	£000
Substance Misuse Budget	2,285	2,185	1,935	1,835	1,835
Young People's Budget	150	150	150	150	150
CYC Expenditure	180	180	180	180	180
Substance Misuse Contract	1,955	1,855	1,605	1,505	1,505

Human Resources (HR)

43. The implications for employers will be determined by the results of the re-tendering exercise and could involve significant TUPE (Transfer of Undertakings (Protection of Employment) Regulations 2006") impact for those providers delivering services.

Equalities

44. The Council must, in the exercise of its functions have due regard to the need to eliminate discrimination, harassment and victimisation, and to advance equality of opportunity, and foster good relations, between those who share a relevant protected characteristic and those who do not share it. The Council has a duty to have due regard to the need to remove or minimise disadvantages, take steps to meet needs, in particular steps to take account of disabled persons disabilities, and encourage people to participate in public life. The Council must have due regard to the need to tackle prejudice and promote understanding.
45. People who require access to substance misuse treatment services are considered to have protected characteristics under this definition.
46. A Community Impact Assessment has been completed. This shows that there is a potential negative impact of the reduction in the budget available for substance misuse services but this is

mitigated by the approach being used for the re-procurement and proposals for development of a new service delivery model. Overall the new service is assessed as having a positive impact on equalities.

Legal

47. Section 12 of the Health and Social Care Act 2012 imposes a duty on local authorities to take such steps as it considers appropriate for improving the health of the people in its area and addressing behaviour that is detrimental to health. The provision of the services discussed within this report should therefore fall within this section.
48. The procurement of these services will be undertaken in accordance with the Public Contract EU Regulations as well as in compliance with the Contract Procedure Rules of the Council.

Crime and Disorder

49. There is both crime and anti-social behaviour associated with substance misuse. Effective and accessible treatment opportunities, together with partnership working across police and community safety teams, will contribute to improved community safety.

Information Technology (IT)

50. There are no IT implications.

Property

51. The delivery model for substance misuse treatment services is dependant on appropriate access to services relies on appropriate placement of services within key community venues in the city. The current venues used for this purpose have existing lease agreements in place with the Council and are funded out of the substance misuse public health budget allocation. Currently there are no plans to change these arrangements.

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Chief Officer Responsible for the report:
Sharon Stoltz
Director of Public Health

Marion Gibbon
Assistant Director (Consultant)
in Public Health

**Report
Approved**

Date 04/08/16

Specialist Implications Officer(s)

Finance – Richard Hartle, Finance Manager Adults, Children and Education, 01904 554225

Legal – Glen McCusker, Deputy Head of Legal Services, 01904 551048

Equalities – Will Boardman, Strategy and Policy Group Manager (People and Neighbourhoods), 01904 553412

Property – Philip Callow, Head of Asset and Property Management, 01904 553360

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

All

For further information please contact the author of the report

Background Papers

None

Annex

Annex 1 - Community Impact Assessment

SECTION 1: CIA SUMMARY
Community Impact Assessment: Summary
1. Name of service, policy, function or criteria being assessed:

Re-procurement of alcohol and illicit drug treatment and recovery service.

2. What are the main objectives or aims of the service/policy/function/criteria?

The main objectives of the service are to reduce the harm to health and wellbeing from alcohol and illicit drug misuse and contribute to the reduction of health inequalities in York.

3. Name and Job Title of person completing assessment:

Leigh Bell
Public Health Specialist Practitioner Advanced

4. Have any impacts been Identified? (Yes/No)

Yes

Community of Identity affected:

Age
Gender
Gender reassignment
Pregnancy/maternity
Sexual orientation

Summary of impact:

The service will have a positive impact on the health and wellbeing of residents by reducing the harms from alcohol and illicit drug misuse.

The new service will employ an asset based approach using a model of social capital as part of the treatment and recovery model. This recognises the importance of the social aspects of life as a tool to sustained recovery.

The service will support the work around community safety in York. Achieving treatment outcomes will have a positive impact on alcohol and drug related crime.

5. Date CIA completed: 11/08/16
6. Signed off by:
7. I am satisfied that this service/policy/function has been successfully impact assessed.

Name: Sharon Stoltz

Position: Director of Public Health

Date: 11/08/16

8. Decision-making body:	Date:	Decision Details:
<p>Send the completed signed off document to ciasubmission@york.gov.uk It will be published on the intranet, as well as on the council website.</p> <p>Actions arising from the Assessments will be logged on Verto and progress updates will be required</p>		

Community Impact Assessment (CIA)

Community Impact Assessment Title: Re-procurement of Alcohol and Illicit Drug Treatment and Recovery Service.

What evidence is available to suggest that the proposed service, policy, function or criteria could have a negative (N), positive (P) or no (None) effect on quality of life outcomes? (Refer to guidance for further details)

Can negative impacts be justified? **For example: improving community cohesion; complying with other legislation or enforcement duties; taking positive action to address imbalances or under-representation; needing to target a particular community or group e.g. older people.** NB. Lack of financial resources alone is NOT justification!

Community of Identity: Age

Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
The service will work directly with adults but there will be effective linkages into children and young people's services to ensure appropriate support to children and young people living in households where their parents/carers may be accessing alcohol and drug treatment and recovery services. There will also be pathways in place for the transition of young people into adult treatment where this is clinically indicated.	<p>Health – The service will contribute to the health and wellbeing of residents. Often these are the most vulnerable residents who can be socially excluded and who are not in touch with other support services or health initiatives</p> <p>Standard of living – The service will offer a range of holistic interventions and partnership working which will assist the</p>	P	None

	<p>client group for instance to retain housing and budget effectively and through recovery be supported into future employment or training.</p> <p>Individual, family and social life – The model being employed for the new service looks toward social capital as part of a recovery model, recognising the importance of the social aspects of life as a tool to recovery.</p> <p>Participation, influence and voice – the service will help customers to have appropriate access to participate in their community, influence their treatment options and have a voice in how they receive healthcare.</p> <p>Physical security – the service will help to facilitate access to appropriate support services for customers. Achieving successful treatment outcomes will have a positive impact on alcohol and drug related crime in the City.</p>		
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Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Carers of Older or Disabled People

Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)	
There are an increasing number of older people with a history of long-term Opiate use. Improving treatment outcomes will have an impact on the wellbeing of their carers.	Improved quality of life for the carers of older people with a history of long-term Opiate use.	None	None	
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Disability

Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
The service will be accessible to customers with disabilities.	<p>Health – The service will contribute to the health and wellbeing of residents. Often these are the most vulnerable residents who can be socially excluded and who are not in touch with other support services or health initiatives</p> <p>Standard of living – The service will offer a range of holistic interventions and partnership working which will assist the client group for instance to retain housing and budget effectively.</p> <p>Individual, family and social life – The model being employed for the new service looks toward social capital as part of a recovery model, recognising the importance of the social aspects of life as a tool to recovery.</p> <p>Participation, influence and voice – the service will help customers to have appropriate access to participate in their</p>	None	None

		community, influence their treatment options and have a voice in how they receive healthcare. Physical security – the service will help to facilitate access to appropriate support services for customers. Achieving successful treatment outcomes will have a positive impact on alcohol and drug related crime in the City.		
Details of Impact	Can negative impacts be justified?	Reason/Action	Lead Officer	Completion Date

Community of Identity: Gender			
Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
The service will be offered on basis of need and not gender	Health – Health and wellbeing is significantly improved with this type of	P	None

	<p>service. There is an opportunity to provide holistic interventions such as contraception to prevent unwanted pregnancies and untreated sexually transmitted disease. In addition the prescribing of substitute medications is not available any other way this service prevents the need to access street drugs to manage addiction and assists people to become abstinent which has many health benefits including prevention of early mortality.</p> <p>Standard of living – Women are particularly assisted by this service, assisting with their ability to live abuse free, assistance to access health care and advice around benefits and housing.</p> <p>Individual, family and social life – The service has a role in supporting interventions to keep children with birth families.</p>		
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Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Gender Reassignment

Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
<p>Often those seeking/undergoing or have undergone gender reassignment have experienced in particular alcohol problems.</p>	<p>Physical security – transgender individuals who do not access this type of service may be forced to live in dangerous situations becoming a target for abuse.</p> <p>Health –Often health issues are flagged as part of the interventions and the service takes a holistic view of the care of the individual. In addition the prescribing of substitute medications is not available any other way this service prevents the need to access street drugs to manage addiction and assists people to become abstinent which has many health benefits including prevention of early mortality.</p>	<p>P</p>	<p>None</p>

		<p>Standard of living – Transgender individuals report that the service has assisted them to come to terms with their gender and not rely on drug or alcohol use to live day to day. This service assists with their ability to live abuse free, gives assistance to access health care and advice around benefits and housing without fear of prejudice. Reductions will have a negative effect</p> <p>Individual, family and social life – The service often assists to keep children with birth families. As part of the intervention family issues are addressed. The model works on a social capital build to work towards sustainable recovery.</p>		
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Marriage & Civil Partnership

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
N/A			None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Pregnancy / Maternity

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
The impact of the service provision on pregnant women is very important. This is often a life changing time where pregnancy is a catalyst for change.		<p>Physical security –Without addressing drug use whilst pregnant the unborn child is exposed to potentially damaging substances. With high potential for foetal alcohol syndrome or withdrawal from opiates at birth.</p> <p>The child at birth is less likely to experience a chaotic environment where the mother has engaged with drug</p>	P	None

	<p>treatment.</p> <p>Health – Women’s health is significantly improved with this type of service. Mother’s health is generally better catered for when they are engaging with treatment services, the key worker can advocate for the mother and ensure specialist advice on detoxification and medication regimes is available.</p> <p>An intervention such as post birth contraception is often not accessed any other way which potentially leads to unwanted pregnancies and untreated sexually transmitted disease. In addition the prescribing of substitute medications is not available any other way this service prevents the need to access street drugs to manage addiction and assists people to become abstinent which has many health benefits including prevention of early mortality and prevention of harm to the unborn child.</p> <p>Standard of living – Women are particularly assisted by this service, assisting with their ability to live abuse</p>		
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		free, assistance to access health care and advice around benefits and housing this has a benefit to the unborn child and increasing the likelihood of increased security in early years. Individual, family and social life – The service often assists to keep children with birth families.		
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Race			
Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
N/A		None	None

Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Religion / Spirituality / Belief				
Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
N/A			None	None
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date

Community of Identity: Sexual Orientation

Evidence	Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
<p>Often people from the LGBTQ community experience issues with drugs and/or alcohol as a result of difficulties with their sexual orientation or as a factor of the traditional culture of “bar life”</p>	<p>Physical security – Often people accessing mainstream service provision from the LGBTQ community are exposed to increased prejudice due to their sexual orientation. If this service was not available they are less likely to seek treatment than a heterosexual. Often without this service there is an increased engagement with the sex industry and an increase in the risk that individuals are exposed to.</p> <p>Health – Health is significantly improved with this type of service. Individuals health is often not accessed any other way which potentially leads to unwanted pregnancies and untreated sexually transmitted disease. In addition the prescribing of substitute medications is not available any other way this service prevents the need to access street drugs to manage addiction and assists people to become abstinent which has many</p>	<p>P</p>	<p>None</p>

		<p>health benefits including prevention of early mortality.</p> <p>Standard of living – LGBTQ community are particularly assisted by this service, assisting with their ability to live abuse free, assistance to access health care and advice around benefits and housing as part of the treatment intervention</p> <p>Individual, family and social life – The service often assists to keep children with birth families. This is particularly important to the LGBTQ community as often this is an increased or perceived barrier when seeking contact or custody. Social capital is also a factor when considering abstinence for this community particularly when the traditional support systems in the LGBTQ community are focused around alcohol.</p>		
Details of Impact	<i>Can negative impacts be justified?</i>	Reason/Action	Lead Officer	Completion Date



Executive

25 August 2016

**Report to the Director of City and Environmental Services and
Portfolio of the Executive Member for Transport and Planning**

Transport for the North Governance

Purpose of Report

1. The purpose of the report is to seek Executive approval to authorise Transport for the North (TfN) to submit a draft governance proposal to Government.

Recommendations

2. It is recommended that:
 - i) The Executive agree to the submission to Government of the draft proposal for TfN to become a Sub-National Transport Body.
 - ii) The Executive inform Transport for the North of its requirements for full and final agreements and further clarification, as set out in paragraph 21 below, prior to any final and binding agreement to become a constituent authority of Transport for the North.
 - iii) The Director of City and Environmental Services be instructed to engage with Transport for the North to seek the agreements and clarification as set out in ii) above.

Reason: To enable the authority to have influence over the key industry stakeholders and the development and implementation of transport services across the North of England.

Background

3. Transport for the North (TfN) was created in 2014 to allow the North to identify how best to drive economic growth through strategic investment in transport and allows the North to speak with one voice on key infrastructure decisions which benefit the region as a whole.
4. The Northern Transport Strategy prepared by TfN identifies the key objectives to improving transport in the areas of:
 - railways
 - roads
 - smart ticketing
 - freight
 - local and international connectivityacross the whole of the North.
5. Members will be aware that TfN is currently in the process of seeking to become a statutory body building on the current non-statutory partnership arrangements. TfN are seeking to become the first Sub-National Transport Body (STB) as set out in the Cities and Local Government Devolution Act 2016. See Annex 1.
6. The Cities and Devolution Act 2016 amended Part 5 of the Local Transport Act 2008, and provides for the power to establish Sub-National Transport Bodies (STBs). The Secretary of State may make regulations establishing a STB only if it is considered that -
 - (a) its establishment would facilitate the development and implementation of transport strategies for the area, and
 - (b) the objective of economic growth in the area would be furthered by the development and implementation of such strategiesAnd only if –
 - (a) the constituent authorities have together made a proposal to the Secretary of State for there to be a STB for the area, and
 - (b) those authorities consent to the making of the regulations.
7. The process for TfN to become a STB includes a requirement to submit a draft proposal to the Department of Transport (DfT) for discussion and for the DfT to prepare a draft Order (Statutory Instrument) that would ultimately create TfN as a Sub-National Transport Body. As set out in paragraph 4 above this process requires the consent of ALL prospective constituent authorities to submit the draft Proposal to Government. Constituent authorities

will then have a further opportunity to review the draft Order and ratify their consent and to being a member of TfN.

8. At the current time TfN are seeking the Authority's agreement in principle to become a constituent authority of TfN and approval to submit the draft proposal to Government. Whilst at this stage any decision by the Council does not irrevocably commit us to becoming a constituent authority, the final agreement to become a constituent authority of TfN is binding and there is no mechanism in the Cities and Local Government Devolution Act 2016 which would allow any constituent authority to leave the STB at a later date.

Draft Proposal

9. The Draft Proposal to Government is attached at Annex 1 for your information together with a copy of the detailed briefing produced by TfN at Annex 2.
10. Officers have directly engaged with TfN on the draft proposal and the associated governance proposals. Additionally, the Leader and Executive Member for Transport and Planning have attended a briefing session with TfN on the proposals. Notwithstanding this, there remains a number of significant concerns about the governance arrangements as set out in the draft proposal. Brief details of these are set out below.
11. **Voting** – The Council has expressed concerns on a number of occasions about the proposals to adopt a simple population based system of weighted voting for the member of TfN. In essence this suggestion was that each member of TfN would have voting rights in direct proportion to the population of the constituent authority they represent. TfN have also suggested that for important decisions a 'super majority' of votes will be required.
12. Such a system could potentially be problematic and could lead to dominance by a small number of populous urban authorities. For example the four Combined Authorities (Greater Manchester, West Yorkshire, Liverpool and Sheffield) in the south Trans Pennine (M62) corridor could out vote all the other TfN constituent authorities together. This could lead to an inappropriate concentration of investment in this corridor.
13. Voting arrangements were discussed at a meeting of the TfN Partnership Board on 9 June 2016 and the Board agreed that:

- TfN should continue to operate on the principle of ‘decision by consensus’ where appropriate:
- Specific arrangements should be in place where unanimity cannot be reached;
- Arrangements based on weighted population metrics were acceptable provided that officers worked up the appropriate checks and balances to ensure a balanced approach that embraced all of the North’s authorities;
- Certain issues such as the transport strategy and budget would require enhanced/super majority arrangements; and Decisions on statutory contributions would require unanimous agreement.

A Governance/Legal Officers Group was to be convened and tasked with considering the population banding and enhanced/supermajority arrangements.

14. **Voting** – The Governance/Legal Officers Group met on 29 June. The Group considered a range of population banding options and the advantages/disadvantages of the various ranges. The Group concurred that Voting rights should be awarded on a basis of one vote for every 200,000 of the population or part thereof. (Table 1 below shows the population and suggested weighted vote for each prospective constituent authority). Further, it was agreed that the proposal would include wording to allow for a review of the ONS population data for each area at a determined time.

Authority	Population	Suggested Weighted Vote
Greater Manchester CA	2,732,854	14
West Yorkshire CA	2,264,329	12
North East CA	1,952,473	10
Liverpool CR CA	1,517,463	8
Sheffield CR CA	1,365,847	7
Lancashire CC	1,184,735	6
Tees Valley CA	666,237	4
North Yorkshire CC	601,536	4
Cumbria CC	497,874	3
Cheshire East	374,179	2
East Riding of Yorkshire	337,115	2
Cheshire W. and Chester	332,210	2
Hull City	257,710	2
Warrington	206,428	2
City of York	204,439	2
North Lincolnshire	169,247	1

NE Lincolnshire	159,804	1
Blackburn with Darwen	146,743	1
Blackpool	140,501	1

Table 1 – TfN Weighted Voting

15. Officers consider that this is a suitable population based voting metric providing a suitable level of difference between the smaller authorities limiting the number of potential revisions to the weighted vote as a result of population change.
16. The Group then considered the options for enhanced (super) majority metrics in light of consensus on population banding of 200,000 or part thereof and concurred that a majority of 75% of the weighted vote, together with a simple majority of the 19 voting member areas, should be required to pass decisions.
17. Officers' initial view of this super-majority proposal is that it represents good safety net in that it prevents the potential dominance of a small number of populous urban authorities whilst not allowing a small number of smaller authorities to block important decisions.
18. However, it is recommended that the Council require that, regardless of the adopted voting metric and the full and final details of the suggested 'super-majority' that once the proposals set out above have been considered by each constituent authority, this should be further reviewed and agreed prior to any final approval by the Council to become a constituent authority.
19. **Funding via a Statutory Contribution** – At its meeting on 9th June the Partnership Board also agreed to include a proposal for seeking 'statutory contributions' from the constituent authorities in the draft proposal. Currently TfN are funded from direct Government grants, however this funding is only allocated until the end of the current parliament in 2020. To establish TfN as a longer term sustainable body long term funding mechanisms are required. Whilst the details of this proposal for statutory contributions may be difficult to agree it is considered by officers that it should be included at this early stage rather than after authorities have committed to joining TfN.
20. The Council needs to take a view if it is opposed in principle to the funding of the costs of TfN through statutory contributions from constituent authorities. Prior to any final approval to become a constituent authority, it is suggested that the Council require TfN to

provide further clarification and agreement of both the apportionment arrangements and likely amount of statutory contributions in the future. TfN have initially proposed that each individual decision to make a statutory contribution would require the agreement of all constituent authorities. Should a unanimous decision not be reached, authorities who wished to do so could still agree to a voluntary contribution.

The Way Forward

21. At this stage it is recommended that the Council agree to the submission of the draft proposal to Government. However, as set out above it is also recommended that prior to any final agreement to become a constituent authority of TfN the following requirements should be met:

1. Full and final agreement of the voting arrangements for Members of TfN including the mechanisms and terms of reference for the suggested 'super majority'
2. Full and final agreement of the mechanism and quantum of the proposal for raising statutory contributions from constituent authorities of TfN.
3. Further clarification of the financial and other liabilities on both TfN and its individual constituent authorities of the proposed powers that TfN propose to take on.
4. Further clarification of the other matters of concern.

Consultation

22. Discussions have taken place with the relevant officers and other authorities.

Council Plan

23. The potential benefits for the priorities in the Council Plan are:-

- A Prosperous City for All.

Financial Implications

24. As set out in paragraph 7 above there are a significant number of financial implications associated with becoming a member of TfN that are not yet fully understood. However, at this stage the

recommendations of the report do not bind the Council to becoming a Member of TfN and the Council will be seeking further clarification of the financial implications prior to making a binding decision to join TfN.

Human Resources implications

25. There are no Human Resources implications.

Equalities Implications

26. Consideration has been given to the potential for any adverse equalities impacts arising from the recommendations of this report. It is the view of officers that the recommendations included in this report do not have an adverse impact on any of the protected characteristics identified in the Equalities Act 2010. However further consideration will be given to the equalities implications of any final decision to become a constituent member of TfN.

Legal Implications

27. At this stage in the development of the TfN proposal the legal issues associated with the proposal are referred to in the body of this report. The requirements set out in paragraph 21 will need to be addressed via a legally binding operating agreement and a suite of protocols between TfN and each constituent authority.

Crime and Disorder

28. There are no crime and disorder implications to this report.

Information Technology (ICT)

29. There are no information technology implications to this report.

Property

30. There are no property implications to this report.

Risk Management

31. There is an acceptable level of risk associated with the recommended options outlined above.

Contact Details

Authors:

Neil Ferris
Director of City and
Environmental services

**Chief Officer Responsible for the
report:**

**Report
Approved**



Date 15 August 2016

Specialist Implications Officer(s)

There are no specialist implications.

Wards Affected:

All



For further information please contact the author of the report.

Background Papers:

None

Glossary of Abbreviations

TfN – Transport for the North

STB - Sub-National Transport Body

DfT – Department of Transport

Annexes

Annex 1 – Draft Proposal to Government

Annex 2 – Detailed briefing produced by TfN.

TRANSPORT FOR THE NORTH (TfN)

PROPOSAL TO ESTABLISH A SUB-NATIONAL TRANSPORT BODY (STB)

This proposal is made by the constituent authorities set out below pursuant to section 102F of the LTA 2008 for the establishment of a sub-national transport body (STB) covering the area of the constituent authorities. In making the proposal the constituent authorities have consulted the appropriate authorities and other persons set out in Schedule A to this proposal.

The proposal provides as follows:

1. **Constituent Authorities**

The constituent authorities making these proposals are the local transport authorities situated wholly or partly in the North East, North West and Yorkshire and the Humber regions of England, namely:-

Greater Manchester Combined Authority
 Liverpool City Region Combined Authority
 North East Combined Authority
 Sheffield City Region Combined Authority
 Tees Valley Combined Authority
 West Yorkshire Combined Authority
 Cumbria County Council
 Lancashire County Council
 North Yorkshire County Council
 Blackburn with Darwen Unitary Authority
 Blackpool Unitary Authority
 Cheshire East Unitary Authority
 Cheshire West and Chester Unitary Authority
 Warrington Unitary Authority
 City of York Unitary Authority
 East Riding of Yorkshire Unitary Authority
 Hull Unitary Authority
 North Lincolnshire Unitary Authority
 North East Lincolnshire Unitary Authority

2. **Area of the STB**

The area of the STB will be the area of the constituent authorities

3. **Name of the STB**

The name of the STB will be **Transport for the North (TfN)**

4. **Membership**

- 4.1 Each constituent authority will appoint one of their councillors/members or their elected mayor as a member of TfN. It is expected that the person appointed will be that authority's elected mayor, chair, leader or cabinet member for transport.

- 4.2 Each constituent authority will appoint another of their councillors / members or their elected mayor as a substitute member to act as a member of the TfN in the absence of the person appointed under paragraph 4.1.
- 4.3 There will be a presumption that decisions are normally taken by consensus. But in the absence of consensus, and subject to paragraphs 4.4 and 13.1, decisions will be taken on the basis of a system of weighted voting to reflect differences in the populations of the constituent authorities. The weighted voting entitlement of the constituent authorities will be determined on the basis of one vote for each 200,000 or part thereof of the resident population of its area as estimated annually by the Office of National Statistics (Resident Population).
- 4.4 Certain decisions will require both a super-majority consisting of 75% of the weighted vote and a simple majority of the members appointed by the constituent authorities to be carried. Such decisions will be :
- The approval and revision of TfN's transport strategy
 - The approval of TfN's annual budget
 - Any changes to TfN's constitution

. [DN: consideration should be given to the minimum number of times that TfN is required to meet each year]

5. Co-opted Members

- 5.1 The regulation should provide for the appointment of persons who are not elected members of the constituent authorities to be co-opted members of TfN
- 5.2 *Persons to be appointed as co-opted members will include:*
- (a) the person appointed by TfN as "independent chair of the Partnership Board" for the purposes of paragraph 6.3 below and
 - (b) one elected member appointed by each of the local transport authorities which are members of Rail North Ltd, but not constituent authorities of TfN, namely:-

Derbyshire County Council
Lincolnshire County Council
Nottinghamshire County Council
Nottingham City Council
Staffordshire County Council
Stoke-on-Trent City Council

[DN: Consideration should be given as to whether any representatives of the LEPs should be included as co-opted members]

- 5.3 Co-opted members will be non-voting members of TfN, except to the extent that the voting members of TfN resolve that such members should have voting rights.

6. Partnership with Business

- 6.1 A business *body* will be established consisting of representatives of Local Enterprise Partnerships in the areas covered by TfN.
- 6.2 The functions of this body will be to advise TfN on its policies and priorities, to conduct its own reviews on matters relating to transport and the economic well-being of the North and to make representations to TfN

- 6.3 TfN and *the business body will* establish a Partnership Board which will hold regular partnership meetings to be chaired by the person appointed by TfN as the “independent chair”.

7. Executive Arrangements

- 7.1 TfN will not operate formal statutory executive arrangements
- 7.2 TfN is a “local authority” for the purpose of section 101 of the Local Government Act 1972 and may delegate the discharge of its functions to a committee, sub-committee or officer, or to another local authority. As such, TfN may establish a committee(s) to discharge any functions as are delegated to it.
- 7.3 The functions of agreeing a budget and the transport strategy of TfN will **not** be delegated functions and will only be determined by a meeting of the full TfN.

8. Executive Body

TfN will not establish an executive officer body, but will delegate the discharge of agreed functions to its officers in accordance with a scheme of delegation or on an ad hoc basis.

9. Functions

The functions of TfN will include:

- General functions provided for in section 102H of the Local Transport Act 2008, including the preparation of a transport strategy.
- Local transport functions to be exercised by TfN concurrently with local transport authorities and PTEs
- Other public authority functions (including functions of the Secretary of State) to be exercised by TfN instead of by, or jointly with, the public authority
- The functional power of competence in **section 102M of the Local Transport Act 2008**

10. General Functions

The general functions of TfN should be:

- 10.1 to prepare a transport strategy for its area in accordance with **section 102 I of the Local Transport Act 2008**
- 10.2 to provide advice to the Secretary of State (SoS) about the exercise of transport functions in its area (whether exercisable by the SoS or others)
- 10.3 to co-ordinate the carrying out of transport functions that are exercisable by its different constituent authorities
- 10.4 to make proposals to the SoS for the transfer of transport functions to TfN
- 10.5 to make other proposals to the SoS about the role and functions of TfN

11. Exercise of local transport functions

- 11.1 It is **not** proposed that any transport functions exercisable by a local authority (or PTE) should be exercisable by TfN instead of by the local authority (or PTE), but it is proposed that various transport functions should be exercisable by TfN concurrently with the local authority or PTE as set out below.
- 11.2 TfN should have the same power of an ITA or CA under **sections 99 and 102 of the Local Transport Act 2008** to promote the economic, social and environment well-being of its area.
- 11.3 TfN should have the general powers of a PTE under **section 10 of the Transport Act 1968** (with the omission of the words “with the approval of the Authority” where they appear), including the power to carry passengers by railway between places in Great Britain.
- 11.4 TfN should have the same powers of a local transport authority under **sections 135-138 of the Transport Act 2000** in relation to making joint and through ticket schemes.
- 11.5 TfN should have the same powers of a local authority under **section 239 of the Local Government Act 1972** to promote and oppose local or personal Bills in Parliament (which bring in rights to apply for orders under the Transport and Works Act 1992).
- 11.6 TfN should have the same powers and rights of a PTE under **section 13 of the Railways Act 2005** including rights to be consulted in relation to franchise agreements for services to, form or within its area, and to enter into agreements with the SoS or franchisees in relation to such services.
- 11.7 TfN Should have the same power of a local authority under **section 56(2) of the Transport Act 1968** to give capital grants to persons for purpose of the provision of facilities for public passenger transport.
- 11.8 TfN should have the power of county councils and unitary districts under **section 24 of the Highways Act 1980** to construct highways (subject to the consent of the highway authority) and their powers under **Part XII of the Highways Act 1980** to acquire land etc.
- 11.9 There will be an operating agreement between TfN and the constituent authorities providing, inter alia, for the drawing up of agreed protocols in relation to the exercise of concurrent functions. Such protocols would be kept under regular review.

12. Other Public Authority Functions

- 12.1 TfN should have the function of the SoS under **section 3 and Schedule 2 of the Infrastructure Act 2015** to set and vary the Road Investment Strategy (RIS) insofar as the RIS relates to TfN’s area. This function would be exercised jointly with the SoS.
- 12.2 TfN should have the function of the SoS under **Schedule 4A, paragraph 1D, of the Railways Act 1993**. In relation to the High Level Output Specification (HLOS) insofar as it relates to railway activity in TfN’s area. This function should be exercised jointly with the SoS.

12.3 *Devolution of Rail Franchising*

Under section 23 and 26 to 30 of the Railways Act 1993, the SoS is responsible for the rail franchising. RNL jointly manage with the SoS the Northern and Transpennine franchises and have various rights under a contractual agreement. At the end of the recently let franchises in 2023/25, it is envisaged that the function would be devolved to TfN. The preferred legal route is that there should be an exemption order under section 24 enabling TfN to let concessions in the same way as TfL and Merseyside PTE do with exempted services in their area. *[An alternative route would be to devolve the franchising functions of the SoS under the Railways Act 1993 to TfN as in Scotland and Wales]*

12.4 **Section 6(5) of the Highways Act 1980** enables the SoS or Highways England to enter into agreements with a county council or metropolitan district council for the construction or improvement of trunk roads. It is proposed that this section be modified to include TfN as an authority having power to enter into such agreements.

12.5 **Section 8 of the Highways Act 1980** enables local highways authorities or Highways England to enter into agreements with other such authorities in relation to the construction, improvement or maintenance of a highway for which any party to the agreement is the highway authority. It is proposed that this section be modified to enable TfN to be a party to such agreements as if they were a highway authority.

13. Financial

13.1 The Regulations should provide for the constituent authorities to make statutory contributions as determined by TfN towards the costs of TfN, provided only that a decision to require such contributions and the overall amount of such contributions is unanimously agreed by all TfN members appointed by the constituent authorities. The apportionment of such contributions should be determined on the basis of Resident Population, unless unanimously agreed to the contrary.

13.2 TfN should be able to accept voluntary contributions to its costs from constituent authorities.

13.3 An order should be made by the Treasury specifying TfN (or STBs generally) as a body to which **section 33 of the Value Added Tax Act 1994** applies. This would enable TfN to claim refunds of VAT paid by it in certain cases.

14. Scrutiny

14.1 It is proposed that TfN arrange for the appointment of a scrutiny committee including at least one member of each constituent authority nominated by the constituent authority.

14.2 The scrutiny committee appointed by TfN may not include a member, substitute member or co-opted member of TfN, but may include co-opted persons representative of non-constituent authorities and non-councillor representatives of passengers, road users, employers and employees.

14.3 *[The arrangements should ensure that the membership of the scrutiny committee reasonably reflects the political balance of elected members on the constituent authorities (or, in the case of combined authorities, their constituent councils) taken together.]*

14.4 The arrangements should ensure that the scrutiny committee has power:-

- (a) to review and scrutinise decisions made, or other action taken, by TfN
- (b) to make reports or recommendations with respect to the discharge of the functions of TfN
- (c) to make reports or recommendations on transport matters that affect the area of TfN or inhabitants of the area
- (d) to require members or officers of TfN to attend meetings of the committee to answer questions.
- (e) to invite other persons to attend meetings of the committee

15. Rail North Ltd (RNL)

15.1 It is proposed that TfN should become the sole owner of RNL, provided that any changes to RNL's constitutional arrangements ensure:

- That the rights and interests of those RNL member authorities which are not constituent authorities of TfN are protected
- That RNL member authorities which are TfN constituent authorities are able to retain rights similar to their existing rights through TfN's constitutional arrangements

15.2 Such protection would include:

- Existing geographical sub-groups continuing to nominate directors of RNL
- RNL authorities which are not TfN constituent authorities becoming co-opted members of TfN with a right to vote on "Rail North matters"

16. Miscellaneous

It may be necessary that certain additional local authority enactments are applied to TfN as if TfN were a local authority, including staffing arrangements, pensions etc. In this respect, it is also proposed that TfN should be a "local authority" for the purposes of **section 1 of the Local Authorities (Goods and Services) Act 1970**, to enable constituent authorities to provide services to TfN.

Subject: Transport for the North Sub-national Transport Body Proposal – Covering Report

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Purpose:

This report summarises:

1. The strategic vision and economic goals upon which Transport for the North (TfN) has evolved;
2. The Sub-national Transport Body (STB) powers that are envisaged as necessary to achieve the above; and
3. The key elements of the Constitutional Arrangements upon which the Sub-national Transport Body would be founded, namely;
 - Voting arrangements
 - Integration of Rail North
 - Local accountability and operating model
 - Funding

The report reflects TfN Partnership Board’s consideration of the above issues at its meeting on 9th June 2016. It is anticipated that the report is now used by officers from each of the 19 Local Transport Authorities within the proposed STB area to secure consent to submit the proposal to the DfT. Appended to the report are a) the STB proposal b) diagrammatic representation of STB Order – Constitutional Arrangements – Member Agreements c) note on concurrent powers.

1. Strategic Vision for the North

1.1 Investment in connecting the North into a single economic unit is essential to creating a transformed integrated Northern economy greater than the sum of its parts. This requires investment in the North's transport networks to better connect the major urban centres and economic assets of the North to market opportunities, including talented staff, suppliers, collaborators and customers, at home and abroad.

1.2 It is recognised that the North has recently achieved better transport outcomes when acting as a cohesive unit and could continue to achieve better long term investment, through presentation to government of a unified approach. The aim now is to put in place appropriate governance to enable the economy of the North to grow through provision of better strategic transport connectivity. TfN's work will continue to be about adding value at a northern level and influencing national decision-making, not about duplicating local work.

1.3 The prize for the North is a better performing, more unified economy that could add more than £37 billion in real terms to the North's existing output of £289 billion per year if the vision of the North as a super-productive network of modern city regions is achieved. To do so will require long term planning and investment periods, robust and stable governance, supported by funding commitment from HM Treasury and City Regions.

1.4 Previous reports¹ have highlighted how TfN's exists to further these economic ambitions and provide a coherent and integrated approach to strategic transport planning that supports local area economic growth. With the support of local authorities and businesses from across the North of England, TfN has developed as a strong and inclusive partnership, committed to drive forward the economy of the North through transformational investment in our transport infrastructure. In response to this commitment from the North, the Government has undertaken to establish Transport for the North on a statutory basis, with new powers drawn down from central government to support this role. The primary legislation to implement this commitment was set out in the Cities and Local Government Devolution Act 2016, with new proposals to create "sub-national transport bodies" of which Transport for the North would be the first.

2. Proposals for Powers and Functions of the STB

2.1 The Cities and Local Government Devolution Act 2016, enables the Secretary of State for Transport to establish statutory sub-national transport bodies following receipt of a proposal from authorities in that area, provided that two conditions are met:

1. The sub national transport body would **facilitate development and implementation of transport strategies** for the area; and
2. **Economic growth would be furthered by development and implementation of such strategies.**

¹ <http://www.transportforthenorth.com/background.html>

2.2 The Act does not create the powers for an STB to operate; rather it enables the functions of the STB to be derived from a limited number of sources including:

- General functions provided for in section 102H of the Local Transport Act 2008, including the preparation of a transport strategy and powers to advise, co-ordinate and make proposals.
- Other public authority functions (i.e. including functions of the Secretary of State) to be exercisable either instead of by, or jointly (but not concurrently) with the public authority.
- Local transport functions (i.e. functions of CAs, LTAs or PTEs) exercisable instead of by, or concurrent with, the CA, LTA or PTE.

2.3 In summary, it is currently envisaged TfN would seek the following powers to:

- Facilitate the development and implementation of the Northern Transport Strategy where this will further economic growth for The North;
- Coordinate and deliver a new north-wide system of smart and integrated ticketing; and
- Initially, jointly with central government to commission delivery agencies, Network Rail and Highways England, to ensure their investment programmes are driven by the North's economic and connectivity priorities and overtime assume sole responsibility for this client role.

2.4 The drawdown of powers described in 2.5 – 2.10 below is considered essential to achieving economic growth in the North as envisaged in section 1 above and is reflective of Government's challenge to the North to be ambitious in its plans. The approach set out in the proposal will establish TfN on a permissive statutory framework that will allow it to build capability and capacity overtime, where this has the explicit agreement and consensus its members.

Powers drawn down from central government

2.5 An effective TfN, in its final form, will have the responsibility to set the strategic pan-northern transport objectives for Highways England and Network Rail, in addition to fully devolved responsibility for specifying franchised rail services, in effect to transfer the client role from DfT to the North. This model follows similar principles of devolution in Scotland and Wales where transport investment priorities are determined locally and according to economic priorities.

2.6 The above will require powers that are currently exercised by central government to be exercised by TfN instead and include:

- Setting the objectives and priorities for the Rail Investment Programme;
- Determining the franchise rail service specification; and
- Setting and varying the objectives and priorities for the Road Investment Programme.

2.7 The journey to fully devolved status will by necessity transition through an interim 'co-decision' making role with government to fully devolved responsibilities as the capacity and capability of TfN matures. This is similar in the way that Rail North and government's relationship has evolved.

Powers exercised concurrently with LTAs and PTEs

2.8 To facilitate the development and implementation of its Transport Strategy, TfN will likely require the ability to exercise 7 powers of the CAs, LTAs or PTEs. These are included in Appendix C. These powers could only be exercised concurrently **and with the explicit agreement of the Local Transport Authority in question**. The use of concurrent powers by TfN will not reduce the powers available to local areas but will enable TfN to be a real vehicle for transport devolution rather than an advisory body to government.

2.9 TfN will continue to work with LTA officers over the summer to develop the TfN operating model including key principles and heads of terms for the working arrangements, operating agreements and protocols that would need to be put in place. These will be available for consideration when government issues the draft STB regulations after which TfN member areas will be asked to formally consent to the regulations and membership of the STB. Diagrammatic representation of the relationship between the TfN STB Order, constitutional arrangements, and members' agreements is shown in Appendix B.

2.10 The development and implementation of the STB's strategy will also fully involve the northern Local Transport Authorities and be agreed by the elected members of its 19 constituent authority areas. This together with the arrangements described above will ensure that where the exercise of concurrent powers is required, consensus and workable solutions will be achieved.

3. Proposals for Constitutional Arrangements of the STB

3.1 The constitutional arrangements upon which TfN will be established include the following key principles:

- Voting arrangements;
- Integration of Rail North;
- Local accountability and operating model; and
- Funding.

3.2 The STB proposal aims to replicate as far as possible the arrangements already established for TfN's non-statutory role, which has gained support from authorities and business leaders from across the North. These arrangements were considered by TfN's Partnership Board on the 9th June and further refinement will continue as government draft the regulations and member authorities will again have an opportunity to formally consent to the arrangements within the regulations in the autumn.

Key Principles – Voting Arrangements

3.3 TfN will continue to endeavour to reach consensus on all its decisions. Nevertheless, as a statutory body, it will need to specify arrangements whereby it reaches decisions, where unanimity is not possible.

3.4 A number of options for voting structures have been considered by officers and discussed by TfN's Partnership Board on the 9th June. As northern transport authorities differ so much in size, it is proposed to introduce a weighted system of voting based on population bands. The Partnership Board has tasked officers with working up appropriate checks and balances to ensure voting arrangements are balanced and embracing of all of the North's authorities and any bias between urban and rural authorities is avoided.

3.5 It is proposed that most of TfN's general business issues will be determined on a simple majority of votes in line with the arrangements described above. However, certain decisions such as agreeing the TfN transport strategy and budget will require an enhanced majority vote, for example two-thirds or three-quarters of the weighted vote.

3.6 The ability to seek statutory contributions will be an item requiring unanimous agreement from TfN's member authorities.

3.7 Rail North currently operates on a model of voting weighted by the share of each authority in the overall rail patronage of those services. It is proposed that, for Rail North matters, this voting mechanism is retained. Further consultation will take place with the directors of Rail North, to ensure the final proposal for statutory functions and governance secures their support.

Key Principles – Integration of Rail North

3.8 There is a strong case for Rail North to be included within the new statutory arrangements for TfN. This will allow Rail North to benefit from new statutory powers, to strengthen its role and, over time, support a further shift of responsibility from central government to the North, allowing rail services to be managed more directly from the North, on behalf of the North.

3.9 Of the authorities that currently constitute Rail North, it is proposed that of these, 19 will have full membership of TfN given their geographical and statutory responsibilities for all modes of transport within the TfN area. Of the current Rail North membership, it is proposed that the 6 Midland authorities will have co-opted member status given the inclusion of TPE/RN rail services within their boundaries, and would retain the same governance and working arrangements over these services as the current Rail North membership agreements allow.

3.10 With regards powers, it is envisaged that the Secretary of State's current responsibility to award franchise contracts will be devolved to TfN.

Key Principles – Local Accountabilities

3.10 TfN is seeking to establish its powers through devolution from central government, not through any loss of powers, responsibilities or funding from local level. TfN will work on the basis of 'subsidiarity', with local responsibilities exercised at local level, and cross-northern collaboration focused where it adds value and becomes greater than the sum of its parts.

3.11 TfN will continue to work with local transport authority officers during the legislation drafting period to clearly define the roles and boundaries between TfN and LTAs. However, there are already some key principles established through the emergence of TfN:

- The STB transport strategy will focus on enabling economic growth across the North.
- TfN allows the North's transport authorities to adopt a coherent and integrated approach to strategic transport infrastructure planning across the North that enables local areas to grow their economies; and
- TfN exists to present a coherent and clear position to Government and to national delivery agencies in respect of setting the strategic transport objectives for the area upon which subsequent interventions can be developed, appraised and implemented.

Key Principles - Funding and Finance

3.13 TfN does not expect any future funding allocations towards STBs to detract from those funds made available for LTAs.

3.14 The STB proposal includes an ability to draw down statutory contributions from the STB's constituent authority members. This would be subject to unanimous agreement of the members.

4. Next Stages to Submission of Proposal to DfT & Timeline beyond July

4.1 The timeline for submission of the proposal and subsequent regulation drafting and parliamentary stages is summarised below:

	Activity	When
Stage 1	Engagement on principles of draft Proposal	Apr-June 2016
	TfN Partnership Board endorse principles of draft Proposal	9 th June 2016
Stage 2	LTA consents to submit TfN STB Proposal	Summer 2016
	Submission of Proposal to DfT	Summer 2016
	Development of TfN operating model, constitutional arrangements, members' agreements and protocols	Summer 2016
	Secretary of State issues draft regulations and consults TfN	Late Summer 2016
Stage 3	TfN constituent members' final approvals for membership and draft regulations	Autumn 2016
	Statutory Instrument Drafting & Parliamentary Stages	Late Autumn '16 - Spring 2017
	Order signed creating Transport for the North Sub-National Transport Body	2017

4.2 It is intended to submit the STB proposal to government during the summer parliamentary recess. The Chair of TfN, on behalf of its Partnership Board, now invites each of the 19 transport authorities within the proposed STB area to consent to submit the appended proposal to the Secretary of State.

4.3 Subsequent to the Secretary of State's review of the proposal and decision to proceed, it is anticipated DfT lawyers will then draft the regulations over the summer. The Subsequent to the Secretary of State will then consult on the draft regulations and we expect a further update to be brought to the TfN Partnership Board and Association of Rail North Partner Authorities in September.

4.4 Constituent Authorities will then have a further final opportunity in the autumn to review the regulations and ratify their consent to the same and to being a member of TfN. Once all of the necessary consents are in place DfT will institute parliamentary proceedings to establish TfN as a statutory body.

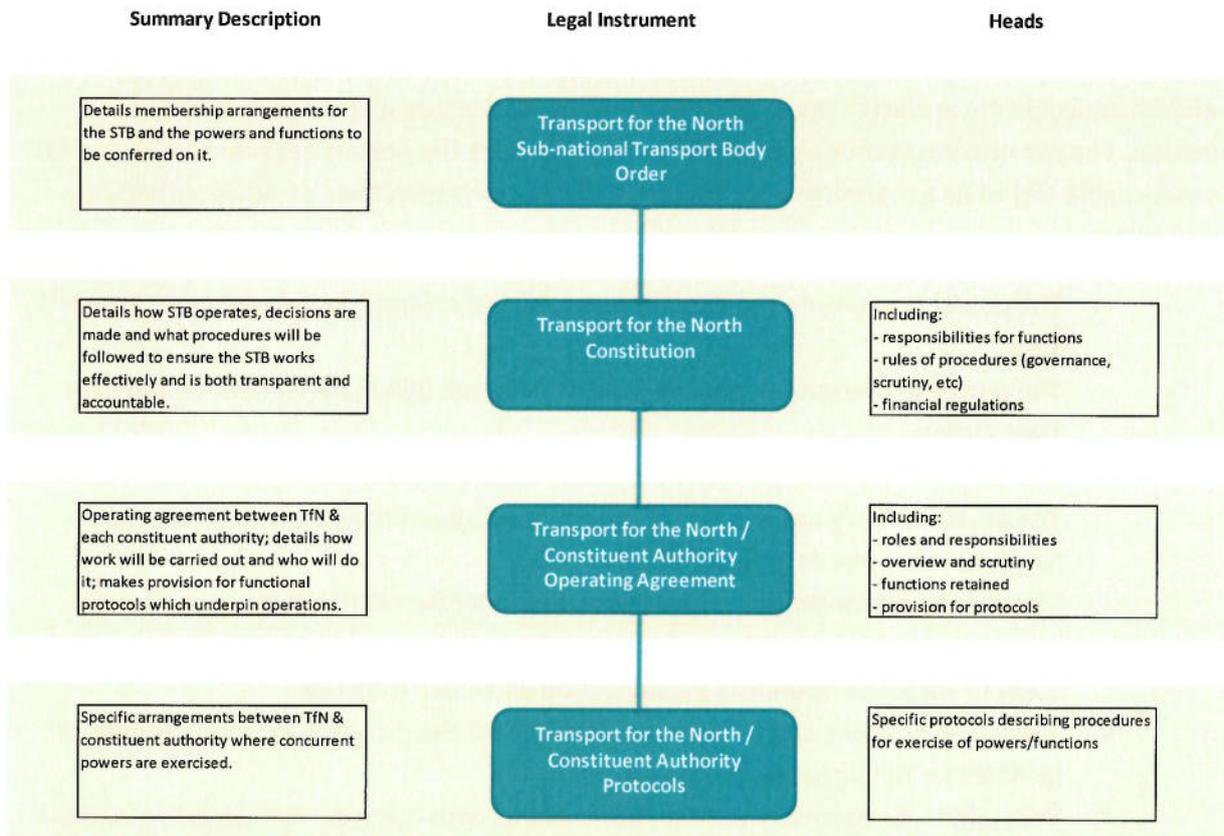
4.5 The timetable for laying an Order before Parliament will be dependent on clearing a number of policy and legislative processes and discussions will continue with DfT to mitigate potential delays to securing an Order in spring 2017.

Appendix A – Transport for the North Sub-national Transport Body Proposal v7

Attached as separate note.

Note: Appendix A is now v9 and is included in Annex 1 of the CTC Executive report.

Appendix B - Diagrammatic representation of STB Order – Constitution – Operating Agreements



Appendix C – Summary of STB / LTA / PTE Concurrent Powers

To facilitate the development and implementation of its Transport Strategy, TfN will likely require the ability to exercise 7 powers of the CAs, LTAs or PTEs. These powers could only be exercised concurrently **and with the explicit agreement of the Local Transport Authority in question**. The use of concurrent powers by TfN will not reduce the powers available to local areas but will enable TfN to be a real vehicle for transport devolution rather than an advisory body to government. :

- The power to promote the economic, social and environmental well-being in TfN's area.
- The power to promote or oppose local or personal Bills in parliament or apply for TWA Orders.
- The power to make a pan-northern smart ticketing scheme.
- The power to carry passengers by railway throughout the North and from the North to other places in Great Britain.
- The right to be consulted on invitations to tender for rail franchise agreements affecting the North and the power to enter into agreements with the Secretary of State or franchise operators in connection with such franchises
- The power to make capital grants to persons for the provision or improvement of facilities for public passenger transport.
- The right to be party to voluntary agreements with the SoS, Highways England or local highway authorities in relation to the construction or improvement of highways.
- The power to acquire land.



Executive**25 August 2016****Report of the Director of Customer & Business Support Services****Portfolio of the Executive Member for Finance and Performance****2016/17 Finance and Performance Monitor 1****Purpose of the Report**

- 1 To present details of the overall finance and performance position for the period covering 1 April 2016 to 30 June 2016, together with an overview of any emerging issues. This is the first report of the financial year and assesses performance against budgets, including progress in delivering the Council's savings programme.

Recommendations

- 2 Executive is asked to:
 - a) Note the current finance and performance information
Reason: to ensure expenditure is kept within the approved budget
 - b) Agree to continue to look at options for the presentation of performance
Reason: To ensure performance reporting and framework is in line with models of good practice across local authorities

Summary

- 3 The financial pressures facing the council are projected at £1,197k. This is an improvement from previous years where the monitor 1 forecast was £1,904k at this time last year, £2.294k in 2015/16 and £3,722k in 2013/14. In each of those years the Council actually delivered a small underspend by the year end, demonstrating a successful track record of managing expenditure within budget over a number of years.
- 4 Whilst this report highlights a number of known pressures which will need to be carefully managed, it is expected that, as a result of ongoing monitoring and identification of mitigation, overall the Council will outturn within the approved budget. Further updates on how this will be achieved will be provided in future reports.

Financial Analysis

- 5 All aspects of the public sector are continuing to face challenging times in the light of the Government's commitment to reduce the national deficit as first outlined in the Comprehensive Spending Review (CSR) published in October 2010. As a result, in recent years the Council has had to deal with very large reductions in funding, combined with a range of significant pressures.
- 6 The Council's net budget is £117.9m. Following on from previous years, the challenge of delivering savings continues with £6.5m to be achieved in order to reach a balanced budget. Early forecasts indicate the Council is facing financial pressures of £1,197k and an overview of this forecast, on a directorate by directorate basis, is outlined in Table 1 below.

2015/16 outturn		2016/17 Forecast Variation
£'000		£'000
+791	Children's Services, Education & Skills	-58
+401	City & Environmental Services	+964
-299	Communities & Neighbourhoods	-50
-155	Customer & Business Support Services	Nil
-101	Adult Social Care	+284
+24	Public Health	+57
+283	Office of the Chief Executive	n/a
-1,820	Central budgets	Nil
-876	Total	+1,197

Table 1: Finance overview

- 7 The following sections provide more details of the main variations and any mitigating actions that are proposed.

Children's Services, Education & Skills

- 8 Following the allocation of £1,930k growth funding in the 2016/17 budget to deal with a number of historic pressures within Children Looked After budgets, there are no significant pressures to report within Children's Specialist Services. There is a small net projected overspend of £95k

made up of a number of minor variations, most notably in respect of special guardianship orders and The Glen respite care home.

- 9 A significant number of posts are being kept vacant across the directorate in advance of services being reviewed as part of the directorate's transformation programme, resulting in a forecast net underspend of £195k.
- 10 There is a projected £40k pressure in respect of the costs of supporting the increased number of academy conversions being experienced, particularly for legal and other advice in respect of PFI schools.

City & Environmental Services

- 11 There is a forecast shortfall from parking income of £100k, out of a total budgeted income of £6.9m. Parking income is currently at 3% below forecast, with the main shortfall being at St George's Field where the Environment Agency is using an area of the car park as part of works undertaken on the Foss barrier. Compensation for loss of income is still to be agreed.
- 12 In waste collection the main variations, totalling £300k, are additional staffing and transport costs. These are cost pressures that remain from 2015/16 and require action through round reviews/vehicles to bring the costs back within budget. A review is currently being undertaken. There are shortfalls in income at HWRCs from trade waste/customer charges (£170k) and from green waste subscriptions (£57k). There are forecast underspends on waste PPP procurement costs (£100k), savings from the Teckal changes (£80k) and increased income from sale of recyclates (£100k) and the sale of landfill gas (£60k).
- 13 There is a shortfall of £100k unachieved Automatic Number Plate Recognition (ANPR) income and increased costs of £100k for the risk and reward payment for Poppleton Bar Park & Ride. A delivery plan still needs to be agreed for a saving of £112k on fleet.
- 14 Early indications are that there will be a £300k shortfall in planning fee income due to a lower number of large planning fees. It is expected that as progress is made on the local plan then income from developers will increase. A major application can achieve significant fees, however the actual fee paid is dependent on the number of dwellings and scale of site. The additional costs of administration (£23k) are offset by the income from supporting Selby District Council planning department (£23k). It is expected that there will be shortfall of £49k in Environmental Management income and officers are looking at other ways of mitigating this shortfall. A

range of other minor underspends and proposed mitigations make up the total directorate position.

- 15 A range of actions are being undertaken within the directorate to try to bring expenditure within the approved budget and reduce the projected overspend as far as possible by the year end. Actions being progressed or considered include:
- The street based services review is ongoing which will help address the waste collection overspend and formulate a delivery plan to address the overspend on fleet. The outcomes of the reviews are due in the Autumn and it will be considered then if any proposals can be implemented in 2016/17 to help reduce the forecast overspend.
 - Considering whether any of the existing 2016/17 efficiency savings proposals can be stretched to deliver additional short term and on-going savings.
 - Considering whether any of the savings being developed for 2017-20 can be delivered earlier to generate a savings benefit in 2016/17.

Communities & Neighbourhoods

- 16 There is a forecast underspend of £50k within Housing & Community Safety due to additional income from managing Housing Association properties (£29k) and underspends on staffing and other overheads (£53k). These underspends are offset by additional legal costs of £32k.

Customer & Business Support Services

- 17 A range of budget variations is currently forecast however, mitigation plans are in place to ensure the directorate outturns within the approved budget. Work will continue to try and identify additional savings to help the overall position.

Adult Social Care

- 18 Overspends are currently forecast on staffing budgets (£79k) due to additional senior practitioner hours within the occupational therapy service.
- 19 Delays in initiating the saving to reclaim unspent direct payments and having more customers than budgeted for results in a forecast pressure of £176k.

- 20 Projected overspends of £77k within community support budgets £31k in learning disability transport budgets, mainly due to increases in customer numbers, are being partly offset by an underspend of £56k as a result of holding posts vacant in the customer access and assessment team.
- 21 A net projected overspend of £460k is forecast within external residential and nursing care placement budgets as a result of increased residential placements (+£487k) and delays in transferring some learning disability customers to supported living schemes (+£160k), partly offset by fewer than expected nursing placements (-£187k). In addition, the on-going negotiations with external providers to establish a 'fair price for care' from 1 April 2016 are expected to result in fee increases in excess of the inflationary growth allocated in the 2016/17 budget process.
- 22 Older People Homes' budgets are projecting a net overspend of £422k. This is mainly in respect of under recovery of income (£190k) and staffing (£212k). Income has been affected by a higher than budgeted number of vacant beds. Also due to a requirement to keep some permanent posts vacant in order to facilitate staff moves resulting from the reprovision programme.
- 23 There is a net projected underspend of £191k in supported living budgets due mainly to a number of places being kept vacant in advance of the anticipated transfers of learning disability customers from external placements.
- 24 Staffing budgets are projected to overspend by a net £56k due mainly to the temporary need for additional group managers for the first half of the year.
- 25 The directorate's budget for 2016/17 included a requirement to deliver savings totalling £3m from the on-going work being undertaken on service transformation. To date savings of £1,942k have been identified and implemented, leaving a shortfall of £1,058k. Plans are in place to deliver almost all of the shortfall from 2017/18, so this is a short term pressure.
- 26 The council's former £1m care act grant was transferred to mainstream funding from 2016/17. Commitments and expenditure totalling c£600k are now expected to be made against the budget, leaving an uncommitted balance of £400k available to contribute towards other directorate pressures.
- 27 A range of mitigation options are being explored within the service to try and contain expenditure within the approved budget and reduce the projected overspend as far as possible by the year end. Dealing with the

budget pressures is a standing item at Directorate Management Team meetings with all options available to further mitigate the current overspend projection being explored. Areas being considered include the following:

- Bring the existing Older People Homes' budget back into line by the end of the year by making full use of vacant beds to reduce requirements for external long-term and respite placements.
- Review direct payment values in light of the new Resource Allocation System and consider reductions where unspent balances have already been reclaimed.
- Review the level of the care packages provided following reablement.
- Review our fairer charging rates to customers.
- Ensure top up contributions are being made where appropriate.
- Continue the restrictions on all discretionary spend and hold recruitment to vacant posts wherever possible and safe to do so.
- Consider whether any of the existing 2016/17 efficiency savings proposals can be stretched to deliver additional short term and on-going savings.
- Consider whether any of the savings being developed for 2017-20 can be delivered earlier to generate a savings benefit in 2016/17.
- Review any potential to charge costs against capital schemes.

Public Health

28 Within Public Health there is a forecast overspend of £57k. The main overspend comes from the transfer of the Healthy Child Programme from York Hospital (£68k). There are further small overspends forecast in Substance Misuse (£17k) and Sexual Health (15k), although these are offset by an anticipated saving of £64k from holding staff vacancies pending a major restructure of Public Health.

Housing Revenue Account

29 The Housing Revenue Account is budgeted to make an in year surplus of £2.9m. A review of the budgets in the area shows that, overall, a small overspend of £237k is forecast.

30 Repairs and maintenance is forecast to overspend by £500k. There has been an initial increase in the productivity of the workforce following the introduction of mobile working and improvements in management controls. The service anticipates being able to use this increased capacity to pick up some of the work currently allocated to subcontractors. This

reduction in subcontractor expenditure has yet to come through, the service remains confident that reductions will be made but that the full year saving will not be achieved in this financial year. A range of smaller underspends make up the overall variation.

- 31 The working balance position at 31 March 2016 is £18.4m. This is higher than forecast in the latest business plan (£16.6m) due to the underspend achieved in 2015/16.
- 32 The projected outturn position outlined in paragraph 27 means the working balance will increase to £21.1m at 31 March 2017. This compares to the balance forecast within the latest business plan of £20.2m.
- 33 Detailed information and regulations are still awaited regarding forthcoming changes to Housing Revenue Account (HRA) legislation including the sale of high value properties. While the full extent of the impact of these changes is not yet known, the HRA will be required to make significant efficiencies in order to mitigate the reduction in income without reducing the HRA balance below prudent and sustainable levels.

Corporate Budgets

- 34 These budgets include Treasury Management and other corporately held funds. At this early stage in the year there is no variation to report on these budgets. However, they will continue to be closely monitored to identify any potential underspends.

Contingency

- 35 As outlined in the 2015/16 Outturn report presented to Executive on 30th June there is currently a balance of £1,340k unallocated on the general contingency. Members are asked to note that this may be required to deal with some of pressures outlined in this report. Any decisions regarding the allocation of this sum will be brought to a future meeting.

Loans

- 36 Further to a scrutiny review, it was agreed that these quarterly monitoring reports would include a review of any outstanding loans over £100k. The only loan in this category is that of £1m that was made to Yorwaste, a company part owned by the Council, in June 2012. Interest is charged at 4% plus base rate meaning currently interest of 4.5% is being charged. All repayments are up to date.

Performance - Overview

	2015/16 Total	2016/17 Q1
Service Delivery		
KPIs with a stable or improving Direction of Travel	84.0%	87.9%
KPIs with a negative Direction of Travel	16.0%	12.1%
KPIs where York is ranked in the top 25% of authorities	42.8%	42.8%
KPIs where York is ranked in the bottom 25% of authorities	16.6%	16.7%
Employees (Excluding Schools)		
Staff FTE	2,104	2,117
Average sickness days lost per FTE (Rolling 12 Months)	10.1	10.1
Voluntary Turnover (Rolling 12 Months)	7.0%	7.4%
Customers		
External Calls answered within 20 seconds	88.2%	89.0%
Overall Customer Centre Satisfaction	91.5%	92.3%
Satisfaction with Face to Face services	92.3%	92.9%
Satisfaction with Call Centre services	91.3%	92.1%

Performance – Service Delivery**Children’s Services, Education & Skills**

- 37 The number of children in care remained in line with previous trends at 187. This is within the safe and expected range, which has been stable for a significant amount of time. Placement stability is in line with the end of 2015/16. This will continue to be monitored as a key area.
- 38 The number of children subject to a Child Protection Plan at the end of June was 122, returning to similar levels seen in 2014/15. This area continues to be monitored by the extended management team.
- 39 This year saw significant changes in the way Primary school children are assessed. Early indications of results show a level of turbulence across England, which should also be expected in York. The full suite of performance indicators will be changed to mirror national reporting. More information will be available in the coming months.
- 40 16-18 year olds who are not in education, employment or training (NEET) figures remain stable at the end of June 2016. The Department for

Education (DfE) have announced that this indicator will soon change and only 16-17 year olds will be monitored.

- 41 During Q1 a consultation was launched on developing Children's Centre services into a new way of working with families, with results reported to Executive in July. The council is planning to make Children's Centre services a key part of new Local Area Teams, created to support families in the crucial early years of a child's life through into adulthood (up to 19 years old or 25, for disabled young people). This will be done by locating services in local communities - providing access to community health services, parenting and family support, early education and childcare, as well as links to training and employment opportunities for families with children aged under five. The proposals recognise that the council needs to be able to help those in most need at the earliest possible stage, so that every child in York has the best possible start in life, that issues in later life are prevented and so that the need for more intensive and high-cost interventions are reduced.
- 42 In addition children and young people are continuing to play a critical role in developing the facilities we use to engage with them, such as the development of a room in West Offices where conversations with young people can now take place confidentially in a 'young people friendly environment'. Messages from young people have also played an important part in deciding the future design of a city centre offer for this age group.
- 43 CYC and partners currently have over 70 young people directly engaged in voice groups, forums or projects across the city and their reach to other children and young people demonstrates participation from many more young York residents. Diversity of voice is strong with excellent representation from refugee and migrant communities, LGBT groups and disability groups.
- 44 The first under 18 ward team has been established and members are influencing ward priorities and their local provision, for example Canon Lee School will be the first to pilot a new Bike Library after securing Ward funding to buy 20 bikes.
- 45 The eighth York Jobs Fair was held at York Railway Institute on 14th April. The Jobs Fair is aimed at those looking for employment, considering a change of job or career and those who would like to develop new skills and gain new qualifications. The event was organised through partnerships between the council, York Learning and Job Centre Plus and was sponsored by local employer, Hiscox. 70 organisations were represented which included a range of different employers who represented the wide variety of jobs and careers available in York. Those

present included Network Rail, Primark, National Railway Museum, Royal York Hotel, Hiscox, North Yorkshire Police, NHS York Teaching Hospital and some organisations attended the Jobs Fair for the first time, such as Hampton by Hilton and Yorkshire Ambulance Service. All employers had current and future vacancies within their organisations. Around 370 jobs were available amongst the organisations attending, with an additional 860 positions predicted to arise over the next 12 to 18 months.

- 46 91.2% of pupils in the city attend a school rated by Ofsted as either good or outstanding, which remains consistent with previous years.
- 47 The 2015/16 Children in Need census has been returned to the Department for Education in Q1. This annual statutory return monitors a range of information on specialist services for young people who are 'in need'. The latest return showed there were around 140 fewer referrals to Children's Social Care compared to 2014/15, which was attributed to a review and development of the Referral and Assessment service.
- 48 Youth reoffending in York continues to be above national levels. The Youth Offending Team are working with the Office of the Police Crime Commissioner to understand and reduce reoffending in York. In order to reduce reoffending, CYC and partner agencies need to ensure interventions begin as quickly as possible after sentence and prior to a formal outcome where possible.
- 49 Following the identification and engagement of 227 Troubled Families in 2015-16, City of York Council was asked to identify and engage a further 259 Troubled Families over the 2016-17 year. During 2016-17 Q1, 39 families were identified and engaged; the local expectation for 2016-17 Q2 of a further 60-70 families will be deliverable. The demographic context of all identified families is fairly stable in each quarter: 20% come from the most deprived areas, almost half of the families are located in the West of the City, 50% live in CYC or Housing Association properties and the most frequent reasons for identification are receipt of out of work benefits, involvement with Early Help and Children's Social Care services and poor school attendance and behaviour. The successful outcomes for families is monitored on a monthly basis but remains low whilst we wait for families to sustain significant changes in behaviour. Restructure and changes to delivery models in Q3 and Q4 present challenges and risks to engagement and outcomes; significant work has taken place to include knowledge of the Troubled Families Programme in restructure planning.

City & Environmental Services

- 50 The council is consulting between 18th July and 12th September on the Local Plan Preferred Sites document and the supporting evidence which draws upon previous work undertaken for the Local Plan. It sets out the revised housing and employment demand as well as the supply of sites identified to meet this need. A wide number of consultation events are taking place and all residents and businesses are being encouraged to participate.
- 51 A paper was presented to June Executive that outlined the next steps for York Central which included working with both local enterprise partnerships on potential further growth deal funding to unlock York Central. KPMG and Savills have been appointed to be the commercial partners for the site and ensure effective delivery and private sector buy in. James Wharton MP, Parliamentary Under-Secretary of State for the Department for Communities and Local Government with responsibility for the Northern Powerhouse, joined City of York Council leaders and partners to sign a Memorandum of Understanding for the York Central Enterprise Zone.
- 52 We are now working with partners to deliver on the eight priorities outlined in the Economic Strategy which was agreed by Executive in May and launched on the 19th July.
- 53 2015/16 was a challenging year for waste services, especially given the Boxing Day floods. The amount of landfill waste increased by 3.6% to 48,428 tonnes (from 46,740 in 2014/15). However, the residual waste per household saw a good improvement and levels fell to 565kg per household (from 598kg in 2014/15) while recycling within the city increased by 0.5% to 43.0%.
- 54 In Q1 there was an increase in missed bin collections to 56.4 per 100,000 (35.1 for the same period last year) however 79.6% of these were rectified in target time compared to 58.1% in the same period last year.
- 55 City of York Council's iTravel York invited residents and visitors to come and discover the very latest electric plug-in and hybrid vehicles at a 'Green Wheels' event. Cars of all shapes and sizes from supercars to family hatchbacks from many leading brands and dealers were available to view with help on hand for people who were thinking about switching to an electric or hybrid vehicle with information about savings, recharging and running costs.
- 56 One Planet York was officially launched on 15 June 2016 at the Ron Cooke Hub, University of York, as part of York Festival of Ideas. The

sold-out event featured a keynote speaker from Bristol's Green Capital Partnership – the largest of its type in the world and the UK's first European Green Capital. Over 20 local businesses showcased their leadership towards a more sustainable future as part of the associated One Planet York 'Expo' and York's new Mayor and civic party arrived at the event by self propelled bike bus. A free One Planet York app for smart phones and tablets was also launched which enables residents to easily check their next waste and recycling collection date. Users can also scan household products with a barcode to see if they are currently able to be recycled.

- 57 British Cycling and Sky, in partnership with City of York Council, have scheduled a series of Sky Ride Local rides in York for 2016. The rides are guided by British Cycling Ride Leaders along scenic local routes and pitched at three different levels. Rides will cater for complete beginners with easy going rides to people who like to test their skills with more challenging rides.
- 58 York is one of ten European cities to be shortlisted for the Interrail European Destination of the Year Award 2016 along with nine other competitors, including Valencia and Budapest. According to Eurail Group G.I.E. (the organisation dedicated to the management of Interrail and Eurail Passes) York is a very popular destination among all nationalities of Interrailers arriving to the UK last year.

Communities & Neighbourhoods

- 59 The average void period for Council houses was 2.9 weeks in Q1. This compares to 3.5 weeks at the same point last year. From April tenancies have been recorded as starting on any day of the week (previously it was just on Mondays). This means that recorded void periods will be more accurate and truly reflect the exact number of days a property is empty. There were 172 void Council house properties during the first quarter of the year. This is slightly down from same period last year when there was 188 empty properties.
- 60 The rent arrears at the end of Q1 for current tenants (D1) were £608,706. This figure should be viewed in the context of rents moving from a 48 week charging pattern in 2015/16 (4 rent free weeks per year) to a 52 week rent pattern for 2016/17. This, together with a 1% rent decrease, means that any rent arrears should be less than a comparable deficit last year. For former tenants (D1) the rent arrears at the end of Q1 were £301,738. This is a 1% increase from the last quarter in 2015/16 when the rent arrears were £298,726.

- 61 The number of households being accepted as homeless in Q1 has increased by 12 to 28 from the previous quarter. The number of households with children being accepted has also increased by 3 to 12. The number of families in temporary accommodation has decreased to 27 (from 30) which is within the target figure. However, the number of children in temporary accommodation has seen a slight increase from the previous quarter to 48 (from 46).
- 62 Year end data for 2015/16 showed there was an 11% increase in total crime compared to the previous year and levels had reverted back to those of 2012/13. During Q1 there were a reported 2,880 crimes for the York region, this is slightly lower than the same period during 2015/16 when 2,986 crimes were reported. Q1 figures for Violent Crime, Criminal Damage and Shoplifting are in line with those reported during Q1 of 2015/16.
- 63 During Q1 there were 379 alcohol related ASB incidents, a significant reduction on the 534 reported during the same period in 2015/16. Since the ASB Hub started collecting data in February 2015, there have been 1,833 new cases recorded. Between April 2016 and June 2016, 244 new cases of anti-social behaviour were recorded – 31% are “nuisance”, 9% “personal”, 22% “environmental” and 38% categorised as “other”.
- 64 Year end data for 2015/16 reported a 4% increase in the number of incidents of Domestic Violence, with a total of 2,858 incidents (2,745 in 14/15). During Q1 there were 746 incidents of Domestic Violence reported which was in line with the same period during 2015/16 when 751 incidents were reported. There has not been a domestic violence murder recorded in York since 2008/09.
- 65 The Housing Service is currently considering how it can best deliver its responsibilities as a landlord in a changing environment. Work has started to bring forward ideas from staff that can improve front line services in the context of budget pressures looking in particular at generic local area team based working, earlier interventions and the better use of IT.

Adult Social Care

- 66 Avoiding permanent placements in residential and nursing care homes is a good measure of delaying dependency. Research suggests that, where possible, people prefer to stay in their own home rather than move into residential care. At the end of Q1, the rate for Younger Adults (aged 18-64) who were assessed as requiring future residential care was 1.52 per 100,000. This is half the rate of the same period last year. If the trend is maintained this will equate to an end year position of 9.89, achieving the required target of 10. For older people the rates of those assessed as

needing to go into residential care in Q1 have improved and are significantly lower than the same position last year. At this early stage we are predicting that performance will exceed the target of 238 new placements or less (a rate of 620 per 100k or less) by end of year.

- 67 A review has been undertaken on the Actual Cost of Care, providing a proposed policy and level of resourcing between the council and independent sector residential and nursing care providers. This will determine the amount which the council pays for this provision whilst ensuring a sustainable care market in the city. A report will be sent to Executive in the Autumn.
- 68 Delayed transfers of care from hospital measures the impact of hospital services (acute, mental health and non-acute) and community-based care in facilitating timely and appropriate transfer from all hospitals for all adults. It is an important marker of the effective joint working of local partners, and is a measure of the effectiveness of the interface between health and social care services. Minimising delayed transfers of care and enabling people to live independently at home is one of the desired outcomes of social care. The number of people delayed is improving for all responsible organisations; however there has been an initial increase in Q1 compared with 2015/16. It should be noted that overall, while a small increase in people, the number of delayed days per person is significantly lower.
- 69 There is a strong link between employment and enhanced quality of life, reducing the risk of social exclusion and evidenced benefits for health and wellbeing. The Q1 position for the proportion of adults with learning disabilities in paid employment is lower than the expected target and lower than the same position last year. This is rated as a deteriorating position. This indicator has been reviewed within the directorates performance clinic and at this stage it is thought that some aspects of lower performance against the target may reflect good work that the service has done to move people with learning disabilities out of statutory services so they no longer count on the indicator. A detailed analysis of the customer group and changes will be created by the service manager in charge as part of the monthly performance improvement framework.
- 70 Evidence shows that the nature of accommodation for people with a learning disability has a strong impact on their safety and overall quality of life and the risk of social exclusion. The current outturn, while short of the year end target represents an improved position from end of year 2015/16.

- 71 The proportion of adults in contact with secondary mental health services in paid employment is a measure intended to improve employment outcomes for adults with mental health problem and accommodation status and is linked to reducing risk of social exclusion and discrimination. Supporting someone to become and remain employed is a key part of the recovery process. The performance is short of the year end target, but represents an improvement from last year.
- 72 The proportion of adults in contact with secondary mental health services who live in their own home or with family is a measure intended to improve outcomes for adults with mental health problems by demonstrating the proportion in stable and appropriate accommodation. This is closely linked to improving their safety and reducing their risk of social exclusion. There is no comparable position in the last year as data was unavailable at this time; however the outturns are significantly lower than the targets and lower than the 2015/16 year end outturns. This is a deteriorating position. The issue has been raised with our provider and ongoing monitoring of the data within monthly performance clinics as well as actively engaging with the provider is designed to drive out any recording and practice issues.
- 73 York Independent Living Network (YILN) - a local disabled people-led organisation - has received funding from the City of York Council to set up a steering group with representation from community organisations and local authorities to take the Safe Place Scheme forward in York. The nationally recognised Safe Place Scheme gives people a short term 'Safe Place' to go if they are feeling threatened when out and about in their local area. It enables public spaces (such as shops, cafés and libraries) to be designated as safe and supportive places where disabled people can go if they are having difficulty, feel lost or frightened. The steering group will develop resources for the scheme, recruit venues to become Safe Places and make recommendations to the council and the police to help maintain the Safe Place Scheme. The steering group aims to launch the York Safe Place Scheme by the end of the year.

Public Health

- 74 The latest Active People survey for 2015-16 shows that York has a significantly higher participation in 30 minutes moderate intensity sport per week (47% v 37% nationally). This is the 9th highest rate in England out of 326 upper and lower tier local authorities. York also has a significantly higher % of physically active people (62% v 57%) and a lower % of physically inactive people (22% v 28%) compared with the England average. Whilst the overall figures are positive we know that participation in activity is not consistent and there are some sectors of the population

with significantly higher rates of inactivity. In York these are women and girls, older people, those with a long term limiting disability and those on very low incomes.

- 75 The rates for smoking at the time of delivery have increased recently in the Vale of York Clinical Commissioning Group area and are now significantly higher than the national average (13.5% v 10.7%). Local data obtained from York NHS trust suggests the rate in the City of York Council is slightly lower (12.7%) however there is significant variation across different children's centre reach areas (7% to 28%). This data can be used to target smoking cessation services more effectively.
- 76 Whilst performance on the suite of health visitor metrics remains below the national average, there has been a significant improvement in two of the indicators: % of births receiving a face to face visit within 14 days increased from 23% in Q1 to 74% in Q4 and % of children receiving a 12 month review by the time they turned 15 months increased from 22% in Q1 to 70% in Q4. Performance on other indicators remains low e.g. only 12% of children received a 2-2½ year review.
- 77 Data for the period April 2013 to March 2016 shows that York invited a higher proportion of the eligible population for a health check but had a lower take up rate compared with the England average. The existing arrangements for delivering health checks through GP practices ceased on 31/3/2016 and a new model for 2016/17 is being developed as part of the Integrated Wellness Service. In the interim period, activity will still be reported for York using local data from the NHS England pilot programme which is delivering health checks in the workplace to YTHFT staff.
- 78 The Chlamydia diagnostic rate in York is significantly lower for 20-24 year olds (for both males and females) and the successful completion rate from alcohol treatment has increased from 24% to 40% over the last three years since the integration of drug and alcohol services within Lifeline and the introduction of the Oaktrees rehabilitation programme.

Customer & Business Support Services

- 79 The collection rate for Council Tax at the end of Q1 was 29.7% compared against a target of 30.4%. In 2015/16 the collection rate was 29.8% in Q1 with the annual collection rate of 97.5% comparing well to the national rate of 97.1%. The collection rate for Business Rates at the end of Q1 was 29.47% compared against a target of 30.7%. In 2015/16 it was 32.27% in Q1 with the annual collection rate of 98.4% comparing well to the national rate of 98.2%.

- 80 At the end of Q1, the average time it took to process a new Housing Benefit claim or a change in circumstance of an existing claimant was 6 days, which is the same as at the end of quarter 1 in 2015/16.
- 81 Figures from the Office for National Statistics showed there were 545 Job Seeker Allowance claimants in York in June which represents a fall of 30 from last month and 245 from June 2015. The claimant count for York represents 0.4 per cent of the working population, which is lower than both the regional and national figures which stand at 1.8% and 1.4% respectively. The youth unemployment figure of 0.2% falls below both regional and national figures, which stand at 1.9% and 1.3% respectively.
- 82 Data released by the Department of Work and Pensions is published 6 months in arrears - the latest data relates to November 2015. The total number of working age Benefit Claimants continues to fall (a reduction of 7.3% to 9,120 from 9,840 in November 2014). This represents 6.7% of the working age population which is lower than the regional and national figures which are 13.3% and 11.8% respectively. The reduction is predominantly due to a decrease in the number of Out of Work Benefit Claimants (an 8.1% reduction to 7,000 from 7,620 in November 2014), as there has been a slight increase in the ESA and Incapacity Benefit Claimants (a 0.9% increase to 5,430 from 5,150 in November 2014).
- 83 The York Open Data website offers residents and businesses free access to a wealth of information about their city, to help to build new solutions to all kinds of challenges such as those around sustainability, transport, energy and community engagement. The site has around 674 datasets which cover a diverse range of topics from Council and City performance, to community assets or information on individual business sectors in York.
- 84 A planning amendment to York's new Community Stadium was approved at the June planning committee and the Secretary of State notified "No call in" on the 21 June 2016. Work is now able to start on finalising all contracts with commercial, community partners and sports clubs. Once all contractual matters are finalised the development phase can commence and work can begin on the stadium.

Performance – Employees

- 85 In Q1 six employees were made redundant, 4 on a voluntary basis and 2 compulsory. In 2015/16 a total of 61 employees were made redundant, 46 voluntary and 15 compulsory.
- 86 The 12 month rolling average of sickness days per FTE (excluding schools) has remained the same at 10.1 days however the 12 month

rolling average for sick days resulting from stress has reduced to 2.2 days per FTE (excluding schools) from 2.3 days in Q4 2015/16.

- 87 Overall the 12 month rolling average of the percentage of employees voluntarily leaving the organisation increased to 7.4% (from 7% in Q4 2015/16) of all leavers (exc. Schools) in Q1.
- 88 The number of people employed by the Council (excluding schools) has increased in Q1, at the end of June the headcount was 2,669 (2,117 Full Time Equivalentents) up from 2,635 in March 2016 (2,104 FTEs).
- 89 Additional salary and overtime expenditure have both decreased between Q4 2015/16 and Q1 but spend on casual employees has increased from £1.36m in Q4 2015/16 to £1.43m in Q1.

Performance – Customers

- 90 York Customer Centre is the main point of contact for resident enquiries and in total 68,030 calls were received during Q1 with 95.8% answered (65,182), 76.5% in less than 20 seconds. During peak periods customers may experience increased waiting times and, although calls are typically not held in a queue for more than 42 seconds, customers can make use of the call back facility, although some choose to abandon the call. This impacts overall performance and satisfaction and call data is monitored on a daily basis to ensure a positive customer experience is maintained.
- 91 In Q1 the number of residents visiting the Customer Centre fell to 16,297 (17,055 in Q4 2015/16) and the average wait time decreased to 7.82 minutes (7.97 minutes in Q4), with 74% of customers served within the waiting time target of 10 minutes (71% in Q4).
- 92 Overall Customer Centre satisfaction increased to 92.3% in Q1 (from 91.8% in Q4 2015/16), with both Call Centre and face to face services increasing to over 92%. The latest Customer Service Excellence assessment noted that there are high levels of customer satisfaction with front facing services, particularly with the customer centre which has shown significant improvement over past few years.
- 93 The Executive decided to retain a reduced subsidy for evening bus services and a scaled back level of service on a proportion of route 20. Although this option will not achieve the savings target agreed through the Council's budget process, it will, potentially meet many of the needs identified through the public consultation.
- 94 Members of the recently refreshed Talkabout Panel were asked to take part in a resident satisfaction survey between May and June 2016, with 65% of the 752 members providing a response. Results were positive

about living in York. A high number of panellists are satisfied with both their local area (92%) and York (92%) as a place to live. Many agreed that it is important to feel citizens belong to their local area (89%) however less agreed that they actually felt they did belong (75%). A high number agree York is a good place for children and young people to grow up (80%) with slightly less agreeing that York is a place where people from different backgrounds get on well together (70%). Only 12% of the respondents disagreed that York was a safe city to live in with 77% agreeing it is safe, relatively free from crime and violence.

Annexes

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

Consultation & Options

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

Council Plan

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

Implications

- 98 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 specific equality implications to this report, however equalities issues are accounted for at all stages of the financial planning and reporting process.
 - Legal - there are no legal implications to this report.
 - Crime and Disorder - there are no specific 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

- 99 The risk management processes embedded across the Council continue to contribute to managing the risk issues associated with major projects and key areas of service delivery.

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Wards Affected: All			
For further information please contact the authors of the report			

Glossary of Abbreviations used in the report:

ANPR- Automatic Number Plate Recognition

FTE – Full Time Equivalent

GP – General Practitioner

HRA – Housing Revenue Account

HWRC – Household Waste Recycling Centre

KPI – Key Performance Indicator

LGBT - lesbian, gay, bisexual, and transgender

NEET - not in education, employment or training

PFI – Private Finance Initiative

PPP - Public –Private Partnership

YILN - York Independent Living Network

YTHFT - York Teaching Hospital NHS Foundation Trust



Executive

25 August 2016

**Report of the Director of Customer and Business Support Services
Portfolio of the Executive Member for Finance and Performance**

CAPITAL PROGRAMME – MONITOR 1 2016/17

Summary

- 1 The purpose of this report is to set out the projected outturn position for 2016/17 including any under/over spends and adjustments, along with requests to re-profile budgets to/from current and future years.
- 2 The 2016/17 capital programme approved by Council on 25 February 2016, updated for amendments reported to Executive and Council in the July Outturn Report resulted in an approved capital budget of £98.035m.

Recommendations

- 3 Executive is asked to:
 - Recommend to Full Council the adjustments resulting in an increase in the 2016/17 of £2.111m as detailed in the report and contained in Annex A.
 - Note the 2016/17 revised budget of £100.146m as set out in paragraph 6 and Table 1.
 - Note the restated capital programme for 2016/17 – 2020/21 as set out in paragraph 17, Table 2 and detailed in Annex A.

Reason: to enable the effective management and monitoring of the Council's capital programme.

Consultation

- 4 The capital programme was developed under the Capital Resource Allocation Model (CRAM) framework and agreed by Council on 25

February 2016. Whilst the capital programme as a whole is not consulted on, the individual scheme proposals and associated capital receipt sales do follow a consultation process with local Councillors and residents in the locality of the individual schemes.

Summary of Key Issues

- 5 An increase of £2.111m is detailed in this monitor resulting in a revised capital programme of £100.146m. There is an increase of £2.216m in 2016/17 attributable to an increase in government grants available, use of S106 funds and use of capital receipts. This is offset by a £0.105m decrease in 2016/17 due to re-profiling of budgets to future years.
- 6 Table 1 outlines the variances reported against each portfolio area.

Department	Current Approved Budget £m	Projected Outturn £m	Variance £m	Paragraph Ref
Children's Services, Education & Skills	11.853	11.853	0.000	
Adult Social Services	1.472	2.996	1.524	8-9
Communities Culture & Public Realm	2.235	2.386	0.151	10-15
Housing & Community Safety	26.232	26.232	0.000	
Highways & Waste	8.568	8.815	0.247	14
Transport	19.366	19.635	0.269	15-17
Community Stadium	19.000	19.000	0.000	
Asset Management	5.095	5.095	0.000	
West Offices - Admin Accom	0.498	0.498	0.000	
IT Development Plan	3.043	3.043	0.000	
Misc(Contingency)	0.673	0.593	(0.080)	20
Total	98.035	100.146	2.111	

Table 1 Capital Programme Forecast Outturn 2016/17

Analysis

- 7 A summary of the key exceptions and implications on the capital programme are highlighted below.

Adult Social Services & Public Health

- 8 The Older Persons Accommodation Review scheme has been updated to reflect approvals by Executive in reports on 19th May and 14th July in relation to increases in the scheme budget of £981k to reflect enabling works at Burnholme and £600k to meet acquisition and legal costs and fund demolition costs at Haxby Hall.
- 9 A number of other minor adjustments have been made to the Adult Social Care programme resulting in a net reduction to the programme of £57k in 16/17.

Communities, Culture and Public Realm

- 10 A number of amendments have been made as part of this report resulting in a net increase to the capital programme of £151k in 16/17.
- 11 A budget of £80k has been allocated to the York Explore scheme from Capital contingency in order to fund a proposed capital grant to York Explore to contribute to the purchase of a mobile library vehicle in Haxby following the closure of Haxby library on 16th July on the grounds of public safety following a structural survey.
- 12 Options are being investigated for a new library building in the area, however this is likely to take upwards of 2 years to deliver therefore an interim service is needed for Haxby. The most cost effective way to deliver this will be through the acquisition of an additional mobile vehicle allowing it to be based in the area to cover the current library opening hours.
- 13 This proposed option also has the benefit of addressing the problem that York Explore's existing mobile library which is now life-expired in that once a new library is built for Haxby, the new mobile vehicle will be retained and the original mobile vehicle disposed of.

- 14 The budget previously held under the Millfield Lane Community Sports Centre scheme of £180k has been removed as it is no longer required now the Manor School has become an Academy.
- 15 The Parks and Open spaces scheme has been updated to reflect proposed in year activity, resulting in an increase of £200k all funded from S106 contributions and external income.

Highways & Waste

- 16 The Highways Resurfacing and reconstruction scheme has increased by £247k as a result of the receipt of additional capital grants for Potholes and an incentive payment from the Local Highways Maintenance Fund, allowing the existing programme of works to be increased.

Transport

- 17 There have been a number of amendments to this area as part of this report resulting in a net increase to the capital programme in 16/17 of £269k.
- 18 Additional Better Bus area 2 grant has been identified and will be added to the existing programme of works, increasing the budget for this scheme by £136k.
- 19 The Local Transport Scheme budget has reduced by £217k to allow reallocation of LTP funding to the Access York scheme to cover the retention payment and payment of land compensation claims. An additional £133k of S106 funding has also been added to the Access York scheme in relation to four specific schemes including Campleshon Road crossing and bus stops, New Lane Puffin Crossing and York College cycle route.

Capital Contingency

- 20 As detailed in paragraphs 11-13 an £80k contribution from Capital contingency has been allocated to fund the proposed capital grant to York Explore to contribute to the purchase of a mobile library vehicle for the Haxby area following the closure of Haxby Library on the grounds of public safety.

Summary

21 As a result of the changes highlighted above the revised 5 year capital programme is summarised in Table 2.

Gross Capital Programme	2016/17	2017/18	2018/19	2019/20	2020/21	Total
	£m	£m	£m	£m	£m	£m
Children's Services, Education & Skills	11.853	19.367	5.987	3.837	5.081	46.125
Adult Social Services and Public Health	2.996	1.042	0.915	0.565	0.565	6.083
Communities Culture & Public Realm	2.386	0.030	0	0	0	2.416
Highways & Waste	8.815	3.168	2.977	2.977	2.977	20.914
Housing & Community Safety	26.232	9.535	9.547	9.401	9.862	64.577
Transport	19.635	4.381	1.710	1.660	1.660	29.046
Community Stadium	19.000	17.895	0	0	0	36.895
Asset Management	5.095	0.300	0.300	0.300	0.300	6.295
West Offices - Admin Accom	0.498	0	0	0	0	0.498
IT Development Plan	3.043	2.245	2.025	1.970	1.085	10.368
Contingency	0.593	0	0	0	0	0.593
Revised Programme	100.146	57.963	23.461	20.710	21.530	223.810

Table 2 Revised 5 Year Capital Programme

Funding the 2016/17 – 2020/21 Capital Programme

22 The revised 2016/17 capital programme of £100.146m is funded from £44.664m of external funding and £55.482m of internal funding. Table 3 shows the projected call on resources going forward.

	2016/17	2017/18	2018/19	2019/20	2020/21	Total
	£m	£m	£m	£m	£m	£m
Gross Capital Programme	100.146	57.963	23.461	20.710	21.530	223.810
Funded by:						
External Funding	44.664	42.845	15.544	13.554	15.563	132.170
Council Controlled Resources	55.482	15.118	7.917	7.156	5.563	91.640
Total Funding	100.146	57.963	23.461	20.710	21.530	223.810

Table 3 – 2016/17 –2020/21 Capital Programme Financing

- 23 The Council controlled figure is comprised of a number of resources that the Council has ultimate control over how it chooses to apply them, these include Right to Buy receipts, Revenue Contributions, Supported (government awarded) Borrowing, Prudential (Council funded) Borrowing, Reserves and Capital Receipts.
- 24 Capital receipts should be considered at risk of not being realised within set time frames and to the estimated values until the receipt is received. The capital programme is predicated on a small number of large capital receipts which, if not achieved, would cause significant funding pressures for the programme. The Director of Customer and Business Support closely monitors the overall funding position to ensure that over the full duration of the capital programme it remains balanced. Any issues with regard to financing will be reported as part of the standard reporting cycle to the Executive.

Council Plan

- 25 The capital programme is decided through a formal process, using a Capital Resource Allocation Model (CRAM). CRAM is a tool used for allocating the Council's capital resources to schemes that contribute toward the achievement of the Council Plan. The Capital Asset Board (CAB) meet monthly to ensure the capital programme targets the Councils Plan. The capital programme addresses all priorities of the Council Plan as shown in the main body of the report.

Implications

Financial Implications

- 26 The financial implications are considered in the main body of the report.

Human Resources Implications

- 27 There are no HR implications as a result of this report

Equalities Implications

- 28 There are no equalities implications as a result of this report

Legal Implications

29 There are no legal implications as a result of this report

Crime and Disorder

30 There are no crime and disorder implications as a result of this report

Information Technology

31 The information technology implications are contained in the main body of the report.

Property

32 The property implications of this paper are included in the main body of the report.

Risk Management

33 The capital programme is regularly monitored as part of the corporate monitoring process. In addition to this the Capital Asset Board (CAB) meets regularly to plan monitor and review major capital schemes to ensure that all capital risks to the Council are minimised.

Contact Details

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	Report Approved	√	Date 17-08-16
Debbie Mitchell Corporate Finance Manager 01904 554161			
Wards Affected: All			

For further information please contact the author of the report

Specialist Implications:

Legal – Not Applicable

Property – Not Applicable

Information Technology – Not Applicable

Annexes

Annex A – Capital Programme 2016/17 to 2020/21

	2016/17 ANEX A Mon 1	2016/17 Mon 1	2016/17 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2017/18 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2018/19 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2019/20 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2020/21 Revised Mon 1	Gross Capital Programme To be Funded 16/17- 20/21 £000
	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	
CSES - Children's Services, Education and Skills																
NDS Devolved Capital			409			389			370			351			431	1,950
- External Funding			409			389			370			351			431	1,950
- Internal Funding			0			0			0			0			0	0
UTE Maintenance			3,381			1,525			1,373			1,236			2,400	9,915
- External Funding			3,381			1,525			1,373			1,236			2,400	9,915
Basic Need			4,851			17,278			4,244			2,250			2,250	30,873
- External Funding			4,851			17,278			4,244			2,250			2,250	30,873
- Internal Funding			0			0			0			0			0	0
Huntington Secondary School - New Block			66			0			0			0			0	66
- External Funding			66			0			0			0			0	66
- Internal Funding			0			0			0			0			0	0
Universal Infant Free School Meals			84			0			0			0			0	84
- External Funding			84			0			0			0			0	84
- Internal Funding			0			0			0			0			0	0
Fulford School Expansion			1,941			0			0			0			0	1,941
- External Funding			1,941			0			0			0			0	1,941
- Internal Funding			0			0			0			0			0	0
Carr Junior Expansion			39			0			0			0			0	39
- External Funding			39			0			0			0			0	39
- Internal Funding			0			0			0			0			0	0
St Barnabas Primary Expansion			52			0			0			0			0	52
- External Funding			52			0			0			0			0	52
- Internal Funding			0			0			0			0			0	0
Schools Electrical Supply Upgrade			315			0			0			0			0	315
- External Funding			100			0			0			0			0	100
Corporate Capital Receipt			115			0			0			0			0	115
- Internal Funding			215			0			0			0			0	215
Family Drug & Alcohol Assess/Recovery Facility			100			0			0			0			0	100
- External Funding			0			0			0			0			0	0
- Internal Funding			100			0			0			0			0	100
Knavesmire Classroom Expansion			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
- Internal Funding			0			0			0			0			0	0
Enhanced Resource Provision - SEN			350			175			0			0			0	525
- External Funding			0			0			0			0			0	0
- Internal Funding			350			175			0			0			0	525
Investment in Community Based Premises			165			0			0			0			0	165
- External Funding			0			0			0			0			0	0
- Internal Funding			165			0			0			0			0	165
Children & Young Peoples services & Building based provision review			100			0			0			0			0	100
- External Funding			0			0			0			0			0	0
- Internal Funding			100			0			0			0			0	100
TOTAL GROSS EXPENDITURE	0	0	11,853	0	0	19,367	0	0	5,987	0	0	3,837	0	0	5,081	46,125
TOTAL EXTERNAL FUNDING	0	0	10,923	0	0	19,192	0	0	5,987	0	0	3,837	0	0	5,081	45,020
TOTAL INTERNAL FUNDING	0	0	930	0	0	175	0	0	0	0	0	0	0	0	0	1,105
H&WB - Adult Social Services & Public Health																
Joint Equipment Store			105			105			105			105			105	525
- External Funding			0			0			0			0			0	0
- Internal Funding			105			105			105			105			105	525
Disabled Support Grant			180			190			200			210			210	990
- External Funding			0			0			0			0			0	0
- Internal Funding			180			190			200			210			210	990
Telecare Equipment			-62		62	312			250			250			250	1,386
- External Funding			0			0			0			0			0	0
- Internal Funding			-62		62	312			250			250			250	1,386
Health and Safety Works at Social Services																
Establishments			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
- Internal Funding			0			0			0			0			0	0
Adult Services Community Space			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
- Internal Funding			0			0			0			0			0	0
OPH Infrastructure works			-13		13	13			0			0			0	92
- External Funding			0			0			0			0			0	0
- Internal Funding			-13		13	13			0			0			0	92
Changing Lives Grant + Autism Grants		5	5			0			0			0			0	5
- External Funding		5	5			0			0			0			0	5
- Internal Funding			0			0			0			0			0	0
Older Person's Accommodation Review	1,581		2,214			422			360			0			0	2,996

	2016/17 ANNEX A Mon 1	2016/17 Mon 1	2016/17 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2017/18 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2018/19 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2019/20 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2020/21 Revised Mon 1	Gross Capital Programme To be Funded 16/17- 20/21 £000
	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	
- External Funding	441		1,074			360			0			0			0	1,434
-Internal Funding	1,140		1,140			62		360				0			0	1,562
Burton Stone Community Centre	13		89			0		0				0			0	89
- External Funding			44			0		0				0			0	44
-Internal Funding	13		45			0		0				0			0	45
TOTAL GROSS EXPENDITURE	1,599	-75	2,996	0	75	1,042	0	0	915	0	0	565	0	0	565	6,083
TOTAL EXTERNAL FUNDING	446	0	1,123	0	0	360	0	0	0	0	0	0	0	0	0	1,483
TOTAL INTERNAL FUNDING	1,153	-75	1,873	0	75	682	0	0	915	0	0	565	0	0	565	4,600
CANS - Communities, Culture and Public Realm																
Milfield Lane Comm Sports Centre	-180		0			0		0				0			0	0
- External Funding	-10		0			0		0				0			0	0
-Internal Funding	-170		0			0		0				0			0	0
York Explore Phase 2			13			0		0				0			0	13
- External Funding			0			0		0				0			0	0
-Internal Funding			13			0		0				0			0	13
Barbican Auditorium			0			0		0				0			0	0
- External Funding			0			0		0				0			0	0
-Internal Funding			0			0		0				0			0	0
City Art Gallery Refurb and Extension			0			0		0				0			0	0
- External Funding			0			0		0				0			0	0
-Internal Funding			0			0		0				0			0	0
Parks and Open Spaces Development	200		200			0		0				0			0	200
- External Funding	200		200			0		0				0			0	200
-Internal Funding			0			0		0				0			0	0
Little Knavesmire Pavilion	10		555			0		0				0			0	555
- External Funding	10		555			0		0				0			0	555
-Internal Funding			0			0		0				0			0	0
York Explore - Haxby Library	80		80			0		0				0			0	80
- External Funding			0			0		0				0			0	0
Revenue Contribution Corporate			0			0		0				0			0	0
Revenue Contribution Corporate (PB)			0			0		0				0			0	0
Departmental Prudential Borrowing			0			0		0				0			0	0
Corporate Prudential Borrowing	80		80			0		0				0			0	80
-Internal Funding	80		80			0		0				0			0	80
Museums Trust			0			0		0				0			0	0
- External Funding			0			0		0				0			0	0
-Internal Funding			0			0		0				0			0	0
War Memorial	50		67			0		0				0			0	67
- External Funding	50		50			0		0				0			0	50
-Internal Funding			17			0		0				0			0	17
Smarter York - Better Play Areas		-30	265		30	30		0				0			0	295
- External Funding			95			0		0				0			0	95
-Internal Funding		-30	170		30	30		0				0			0	200
York Art Gallery Gardens			0			0		0				0			0	0
- External Funding			0			0		0				0			0	0
-Internal Funding			0			0		0				0			0	0
Theatre Royal - Temporary Structure			0			0		0				0			0	0
- External Funding			0			0		0				0			0	0
-Internal Funding			0			0		0				0			0	0
York Theatre Royal			770			0		0				0			0	770
- External Funding			0			0		0				0			0	0
-Internal Funding			770			0		0				0			0	770
Public Convenience Facilities			11			0		0				0			0	11
- External Funding			0			0		0				0			0	0
-Internal Funding			11			0		0				0			0	11
River Safety	21		30			0		0				0			0	30
- External Funding	21		21			0		0				0			0	21
-Internal Funding			9			0		0				0			0	9
Litter Bin Upgrade (solar powered)			54			0		0				0			0	54
- External Funding			0			0		0				0			0	0
-Internal Funding			54			0		0				0			0	54
Knavesmire Culverts			275			0		0				0			0	275
- External Funding			0			0		0				0			0	0
-Internal Funding			275			0		0				0			0	275
Newgate Market Area works - WCs storage			0			0		0				0			0	0
- External Funding			0			0		0				0			0	0
-Internal Funding			0			0		0				0			0	0
TOTAL GROSS EXPENDITURE	181	-30	2,386	0	30	30	0	0	0	0	0	0	0	0	0	2,416

	2016/17 ANNEX A Mon 1	2016/17 Mon 1	2016/17 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2017/18 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2018/19 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2019/20 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2020/21 Revised Mon 1	Gross Capital Programme To be Funded
	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	16/17- 20/21 £000
TOTAL EXTERNAL FUNDING	271	0	921	0	0	0	0	0	0	0	0	0	0	0	0	921
TOTAL INTERNAL FUNDING	-90	-30	1,465	0	30	30	0	0	0	0	0	0	0	0	0	1,495
CES - Highways & Waste																
Highway Resurfacing & Reconstruction (Struct Maint) *	247		3,748			2,768			2,577			2,577			2,577	14,247
- External Funding	247		2,328			2,018			1,827			1,827			1,827	9,827
- Internal Funding			1,420			750			750			750			750	4,420
Special Bridge Maintenance (Struct maint)			539			200			200			200			200	1,339
- External Funding			0			0			0			0			0	0
- Internal Funding			539			200			200			200			200	1,339
Replacement of Unsound Lighting Columns			330			0			0			0			0	330
- External Funding			0			0			0			0			0	0
- Internal Funding			330			0			0			0			0	330
LED Lighting Replacement Programme			440			0			0			0			0	440
- External Funding			0			0			0			0			0	0
- Internal Funding			440			0			0			0			0	440
City Centre Damaged Bins Replacement			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
- Internal Funding			0			0			0			0			0	0
Fleet Vehicles			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
- Internal Funding			0			0			0			0			0	0
Highways Improvements			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
- Internal Funding			0			0			0			0			0	0
Watercourse Restoration			80			0			0			0			0	80
- External Funding			0			0			0			0			0	0
- Internal Funding			80			0			0			0			0	80
Tour de France Highways Improvements			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
- Internal Funding			0			0			0			0			0	0
Highways Drainage Works			200			200			200			200			200	1,000
Contributions			0			0			0			0			0	0
Revenue Contribution Corporate			0			0			0			0			0	0
Departmental Prudential Borrowing			200			0			0			0			0	200
- Internal Funding			200			200			200			200			200	1,000
Highways, Road Adoption and Drainage Fund			250			0			0			0			0	250
- External Funding			0			0			0			0			0	0
- Internal Funding			250			0			0			0			0	250
Wheeled Bins in Back Lane and Terraced Areas			106			0			0			0			0	106
- External Funding			0			0			0			0			0	0
- Internal Funding			106			0			0			0			0	106
Built Environment Fund			2,122			0			0			0			0	2,122
- External Funding			90			0			0			0			0	90
- Internal Funding			2,032			0			0			0			0	2,032
Harewood Whin Transfer Station			1,000			0			0			0			0	1,000
- Government Grant			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
- Internal Funding			1,000			0			0			0			0	1,000
TOTAL GROSS EXPENDITURE	247	0	8,815			3,168			2,977			2,977			2,977	20,914
TOTAL EXTERNAL FUNDING	247	0	2,418			2,018			1,827			1,827			1,827	9,917
TOTAL INTERNAL FUNDING	0	0	6,397			1,150			1,150			1,150			1,150	10,997
CANS - Housing & Community Safety			0			0			0			0			0	0
Modernisation of Local Authority Homes			2,565			1,805			1,694			1,252			1,290	8,606
- External Funding			2,000			0			0			0			0	2,000
- Internal Funding			565			1,805			1,694			1,252			1,290	6,606
Assistance to Older & Disabled People			400			412			424			437			450	2,123
- External Funding			0			0			0			0			0	0
- Internal Funding			400			412			424			437			450	2,123
MHA Schemes			5,146			5,204			5,360			5,520			5,685	26,915
- External Funding			5,146			5,204			5,360			5,520			5,685	26,915
- Internal Funding			0			0			0			0			0	0
Local Authority Homes - Phase 1			10,525			0			0			0			0	10,525
- External Funding			0			0			0			0			0	0
- Internal Funding			10,525			0			0			0			0	10,525
Water Mains Upgrade			731			479			444			457			262	2,373
- External Funding			0			0			0			0			0	0

	2016/17 ANEX A Mon 1	2016/17 Mon 1	2016/17 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2017/18 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2018/19 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2019/20 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2020/21 Revised Mon 1	Gross Capital Programme To be Funded 16/17- 20/21 £000
	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	
-Internal Funding			731			479			444			457			262	2,373
Building Insulation Programme			69			0			0			160			0	229
- External Funding			0			0			0			0			0	0
-Internal Funding			69			0			0			160			0	229
Disabled Facilities Grant (Grunda)			1,478			1,225			1,275			1,275			1,875	7,128
- External Funding			1,003			750			800			800			1,400	4,753
-Internal Funding			475			475			475			475			475	2,375
Air Quality Monitoring (Grunda)			117			0			0			0			0	117
- External Funding			117			0			0			0			0	117
-Internal Funding			0			0			0			0			0	0
Crematorium (Gfund)			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
-Internal Funding			0			0			0			0			0	0
Travellers Site Improvements (Gfund)			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
-Internal Funding			0			0			0			0			0	0
Loft Conversions			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
-Internal Funding			0			0			0			0			0	0
II Infrastructure			950			410			350			300			300	2,310
- External Funding			0			0			0			0			0	0
-Internal Funding			950			410			350			300			300	2,310
Empty Homes (Grunda)			100			0			0			0			0	100
- External Funding			0			0			0			0			0	0
-Internal Funding			100			0			0			0			0	100
Property Buy Back			0			0			0			0			0	0
Contributions			0			0			0			0			0	0
-Internal Funding			0			0			0			0			0	0
Extension to Glen Lodge			4,151			0			0			0			0	4,151
- External Funding			836			0			0			0			0	836
-Internal Funding			3,315			0			0			0			0	3,315
TOTAL GROSS EXPENDITURE	0	0	26,232	0	0	9,535	0	0	9,547	0	0	9,401	0	0	9,862	64,577
TOTAL EXTERNAL FUNDING	0	0	9,102	0	0	5,954	0	0	6,160	0	0	6,320	0	0	7,085	34,621
TOTAL INTERNAL FUNDING	0	0	17,130	0	0	3,581	0	0	3,387	0	0	3,081	0	0	2,777	29,956
CES - Transport																
Better Bus Area Fund	136		920			0			0			0			0	920
- External Funding	136		920			0			0			0			0	920
-Internal Funding			0			0			0			0			0	0
Local Transport Plan (LTP)	-217		4,537			1,870			1,570			1,570			1,570	11,117
- External Funding	-217		3,424			1,870			1,570			1,570			1,570	10,004
-Internal Funding			1,113			0			0			0			0	1,113
York City Walls - Repairs & Renewals (City Walls)			350			90			90			90			90	710
- External Funding			0			0			0			0			0	0
-Internal Funding			350			90			90			90			90	710
Access York	350		447			0			0			0			0	447
- External Funding	350		447			0			0			0			0	447
-Internal Funding			0			0			0			0			0	0
Leeman Road Flood Defences			317			0			0			0			0	317
- External Funding			0			0			0			0			0	0
-Internal Funding			317			0			0			0			0	317
Alley Gating			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
-Internal Funding			0			0			0			0			0	0
Pay on Exit Car Parking Pilot			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
-Internal Funding			0			0			0			0			0	0
Highways Improvements			822			0			0			0			0	822
- External Funding			0			0			0			0			0	0
-Internal Funding			822			0			0			0			0	822
Scarborough Bridge			639			2,371			0			0			0	3,010
- External Funding			0			2,037			0			0			0	2,037
-Internal Funding			639			334			0			0			0	973
LCR Revolving Investment Fund			1,615			0			0			0			0	1,615
- External Funding			0			0			0			0			0	0
-Internal Funding			1,615			0			0			0			0	1,615
Infrastructure Investment Plan for Growth			9,000			0			0			0			0	9,000
- External Funding			0			0			0			0			0	0
-Internal Funding			9,000			0			0			0			0	9,000
Hungate and Peasholme Public Realm			175			0			0			0			0	175
- External Funding			0			0			0			0			0	0
-Internal Funding			175			0			0			0			0	175
Better Business Fund			713			0			0			0			0	713

	2016/17 ANNEX A Mon 1	2016/17 Mon 1	2016/17 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2017/18 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2018/19 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2019/20 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2020/21 Revised Mon 1	Gross Capital Programme To be Funded 16/17- 20/21 £000
	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	
- External Funding			0			0			0			0			0	0
-Internal Funding			713			0			0			0			0	713
City Fibre Network			50			50			50			0			0	150
- External Funding			0			0			0			0			0	0
-Internal Funding			50			50			50			0			0	150
Low Carbon and Solar Panels Investment			50			0			0			0			0	50
- External Funding			0			0			0			0			0	0
Corporate Prudential Borrowing			50			0			0			0			0	50
-Internal Funding			50			0			0			0			0	50
CES - Community Stadium																
Community Stadium			19,000			17,895			0			0			0	36,895
- External Funding			14,425			11,414			0			0			0	25,839
-Internal Funding			4,575			6,481			0			0			0	11,056
TOTAL GROSS EXPENDITURE	0	0	19,000	0	0	17,895	0	0	0	0	0	0	0	0	0	36,895
TOTAL EXTERNAL FUNDING	0	0	14,425	0	0	11,414	0	0	0	0	0	0	0	0	0	25,839
TOTAL INTERNAL FUNDING	0	0	4,575	0	0	6,481	0	0	0	0	0	0	0	0	0	11,056
CBSS - Economic Development																0
Small Business Workshops			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
-Internal Funding			0			0			0			0			0	0
TOTAL GROSS EXPENDITURE	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
CBSS - Asset Management																
Fire Safety Regulations - Adaptations			102			0			0			0			0	102
- External Funding			0			0			0			0			0	0
-Internal Funding			102			0			0			0			0	102
Removal of Asbestos			48			0			0			0			0	48
- External Funding			0			0			0			0			0	0
-Internal Funding			48			0			0			0			0	48
Riverbank Repairs - Scarborough to Clifton Bridge			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
-Internal Funding			0			0			0			0			0	0
Riverbank Repairs – Blue Bridge Slipway			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
-Internal Funding			0			0			0			0			0	0
Riverbank Repairs – Marygate			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
-Internal Funding			0			0			0			0			0	0
Photovoltaic Energy Programme			346			0			0			0			0	346
- External Funding			0			0			0			0			0	0
-Internal Funding			346			0			0			0			0	346
Parliament Street Toilet Demolition			0			0			0			0			0	0
- External Funding			0			0			0			0			0	0
-Internal Funding			0			0			0			0			0	0
29 Castlegate Repairs			33			0			0			0			0	33
- External Funding			0			0			0			0			0	0
-Internal Funding			33			0			0			0			0	33
Decent Home Standards Works			9			0			0			0			0	9
- External Funding			0			0			0			0			0	0
-Internal Funding			9			0			0			0			0	9
Fishergate Postern			18			0			0			0			0	18
- External Funding			0			0			0			0			0	0
-Internal Funding			18			0			0			0			0	18
Holgate Park Land – York Central Land and Clearance			397			0			0			0			0	397
- External Funding			0			0			0			0			0	0
-Internal Funding			397			0			0			0			0	397
Hazel Court - Office of the Future Improvements			1			0			0			0			0	1
- External Funding			0			0			0			0			0	0
-Internal Funding			1			0			0			0			0	1
Asset Maintenance + Critical H&S Repairs			307			200			200			200			200	1,107
- External Funding			0			0			0			0			0	0
-Internal Funding			307			200			200			200			200	1,107
Community Asset Transfer			175			0			0			0			0	175
- External Funding			0			0			0			0			0	0

	2016/17 ANNEX A Mon 1	2016/17 Mon 1	2016/17 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2017/18 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2018/19 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2019/20 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2020/21 Revised Mon 1	Gross Capital Programme To be Funded 16/17- 20/21 £000
	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	
-Internal Funding			175			0			0			0			0	175
River Bank repairs			302			0			0			0			0	302
- External Funding			0			0			0			0			0	0
-Internal Funding			302			0			0			0			0	302
Stonebow House Freehold			62			0			0			0			0	62
- External Funding			0			0			0			0			0	0
-Internal Funding			62			0			0			0			0	62
Critical Repairs and Contingency			274			0			0			0			0	274
- External Funding			0			0			0			0			0	0
Mansion House Restoration			1,695			0			0			0			0	1,695
- External Funding			961			0			0			0			0	961
-Internal Funding			734			0			0			0			0	734
Project Support Fund			200			100			100			100			100	600
- External Funding			0			0			0			0			0	0
Small Business Workshops			47			0			0			0			0	47
- External Funding			0			0			0			0			0	0
-Internal Funding			47			0			0			0			0	47
Guildhall			899			0			0			0			0	899
- External Funding			0			0			0			0			0	0
Piccadilly Regeneration			180			0			0			0			0	180
- External Funding			0			0			0			0			0	0
Corporate Prudential Borrowing			180			0			0			0			0	180
-Internal Funding			180			0			0			0			0	180
TOTAL GROSS EXPENDITURE	0	0	5,095	0	0	300	6,295									
TOTAL EXTERNAL FUNDING	0	0	961	0	0	0	961									
TOTAL INTERNAL FUNDING	0	0	4,134	0	0	300	5,334									
CBSS - IT																
IT Development plan			2,923			2,245			2,025			1,970			1,085	10,248
- External Funding			0			0			0			0			0	0
-Internal Funding			2,923			2,245			2,025			1,970			1,085	10,248
IT Superconnected Cities			120			0			0			0			0	120
- External Funding			0			0			0			0			0	0
-Internal Funding			120			0			0			0			0	120
TOTAL GROSS EXPENDITURE	0	0	3,043	0	0	2,245	0	0	2,025	0	0	1,970	0	0	1,085	10,368
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	0	3,043	0	0	2,245	0	0	2,025	0	0	1,970	0	0	1,085	10,368
CBSS - West Offices (Admin Accommodation)																
West Offices - Admin Accom			498			0			0			0			0	498
- External Funding			0			0			0			0			0	0
-Internal Funding			498			0			0			0			0	498
TOTAL GROSS EXPENDITURE	0	0	498	0	0	0	498									
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	0	498	0	0	0	498									
Capital Contingency																
Capital Contingency	-80		593			0			0			0			0	593
- External Funding			0			0			0			0			0	0
-Internal Funding			593			0			0			0			0	593
TOTAL GROSS EXPENDITURE	-80	0	593	0	0	0	593									
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	-80	0	593	0	0	0	593									
Gross Expenditure by Department																
CSES - Children's Services, Education and Skills	0	0	11,853	0	0	19,367	0	0	5,987	0	0	3,837	0	0	5,081	46,125
H&WB - Adult Social Services & Public Health	1,599	-75	2,996	0	75	1,042	0	0	915	0	0	565	0	0	565	6,083
CANS - Communities, Culture and Public Realm	181	-30	2,386	0	30	30	0	0	0	0	0	0	0	0	0	2,416
CES - Highways & Waste	247	0	8,815	0	0	3,168	0	0	2,977	0	0	2,977	0	0	2,977	20,914
CANS - Housing & Community Safety	0	0	26,232	0	0	9,535	0	0	9,547	0	0	9,401	0	0	9,862	64,577
CES - Transport	269	0	19,635	0	0	4,381	0	0	1,710	0	0	1,660	0	0	1,660	29,046
CES - Community Stadium	0	0	19,000	0	0	17,895	0	0	0	0	0	0	0	0	0	36,895
CBSS - Economic Development	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
CBSS - Asset Management	0	0	5,095	0	0	300	0	0	300	0	0	300	0	0	300	6,295
CBSS - IT	0	0	3,043	0	0	2,245	0	0	2,025	0	0	1,970	0	0	1,085	10,368

	2016/17 ANNEX A Mon 1	2016/17 Mon 1	2016/17 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2017/18 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2018/19 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2019/20 Revised Mon 1	2016/17 Mon 1	2016/17 Mon 1	2020/21 Revised Mon 1	Gross Capital Programme To be Funded
	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	Adj £000	Reprofile £000	Budget £000	16/17- 20/21 £000
CBSS - West Offices (Admin Accommodation)	0	0	498	0	0	0	0	0	0	0	0	0	0	0	0	498
Capital Contingency	-80	0	593	0	0	0	0	0	0	0	0	0	0	0	0	593
Corporate Schemes						0			0							0
Total by Department	2,216	-105	100,146	0	105	57,963	0	0	23,461	0	0	20,710	0	0	21,530	223,810

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