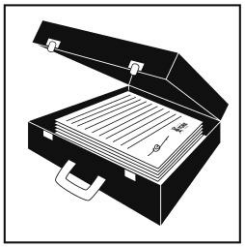


Notice of a public meeting of

Cabinet

To: Councillors Alexander (Chair), Crisp, Cunningham-Cross, Levene, Looker, Merrett, Simpson-Laing (Vice-Chair) and Williams

Date: Tuesday, 16 December 2014

Time: 5.30 pm

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

A G E N D A

Notice to Members - 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 **Thursday 18 December 2014**.

*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 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 - 18)

To approve and sign the minutes of the Cabinet meeting held on 7 October 2014.

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 **Monday 15 December 2014.** 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/download/3130/protocol_for_webcasting_filming_and_recording_of_council_meetings

4. Forward Plan (Pages 19 - 24)

To receive details of those items that are listed on the Forward Plan for the next two Cabinet meetings.

5. Capital Programme - Monitor Two 2014/15 (Pages 25 - 46)

This report sets out the key deliverables of the capital programme and projected outturn position for 2014/15 including any under/ over spends and adjustments, along with requests to re-profile budgets to/from current and future years.

6. Q2 Finance & Performance Monitor 2014/15

a) 2014/15 Finance Monitor 2 (Pages 47 - 54)

This report presents details of the Council's financial position for the period covering 1 April to 30 September 2014.

b) 2014/15 Performance Monitor Quarter 2 (Pages 55 - 72)

This report presents details of the Council's performance covering 1 April to 30 September 2014. This is the second report of the financial year and assesses performance against key themes, including Council Plan Priorities.

7. Treasury Management Mid Year Review and Prudential Indicators 2014/15 (Pages 73 - 88)

This report provides Members with a mid year update on treasury management activities as required through regulations issued under Part 1 of the Local Government Act 2003 and the revised 2011 (Chartered Institute of Public Finance and Accountancy) Code of Practice for Treasury Management (as revised).

8. Mid year Report of the Financial Inclusion Steering Group 2014/15 (Pages 89 - 162)

This report is part of a six monthly review process to inform Cabinet of the progress made in delivering the work of the Financial Inclusion Steering Group together with an update on the performance, and demand for YFAS since April 2014, including comparative data from 2013/14.

9. Discretionary Rate Relief Awards 2015 - 2017 (Pages 163 - 176)

This report provides Cabinet with details of new applications for Discretionary Rate Relief for the period 1 April 2015 to 31 March 2017. The paper sets out the council's available budget and asks Members to approve any new awards based upon available funding.

10. Review of Fees and Charges (Pages 177 - 188)

This report seeks approval to increase the Council's fees and charges in the following areas with effect from the 1st January 2015 - Registrars, Community Centres, Bereavement Services, Waste Services, Parks and Open Spaces, Housing Services and Planning.

11. **'Rewiring Public Services - Further Engagement on Adult Social Care and Place Based Services** (Pages 189 - 220)
This report focuses on updating Cabinet on the proposals for Adult Social Care and the transformation of Place Based Services. Both service areas need significant reform to deliver the outcomes residents want and to operate within the funding that the council has available.

12. **York Guildhall - Creating a Digital Media and Arts Centre** (Pages 221 - 248)
This report sets out progress on the project to establish re-use of the Guildhall complex as a Digital Media Arts Centre in accordance with the Cabinet decision of July 2013. Approval is sought to proceed with the procurement of a design team and an operating partner who will run the Centre and lease space in the building.

13. **Development of a Specialist Activity Base for Adults with a Learning Disability and/or Autism alongside a Community Hub at Burton Stone Community Centre** (Pages 249 - 282)
This report provides an update on the review of day support and development of Burton Stone Community Centre into a Specialist Activity Base and Community Hub, in line with the transformation programme and the strategic direction within CANS for all community centres to be self sufficient by April 2015.

14. **The Replacement of Ordnance Lane Homeless Hostel** (Pages 283 - 298)
This report outlines the options for the replacement of the existing temporary homeless hostel at Ordnance Lane, and recommends the demolition of the existing and the construction of a new modular build hostel and new council housing on the site.

15. **Care Act Policy Framework (Finance)** (Pages 299 - 350)
This report provides Cabinet with a financial policy framework for consideration in respect of the Care Act. The policies requiring approval are deferred payment, direct payment and a revised charging policy.

16. **City of York Local Plan - Housing Numbers** (Pages 351 - 390)
This report updates Members on the Local Plan following the Council Resolution on 9th October 2014 and outlines what actions are being taken to respond to the requirements of the motion.

17. Minerals and Waste Joint Plan: Interim Sites Consultation (Pages 391 - 442)

This report advises Members of the current position with regard to the progress of the Minerals and Waste Joint Plan for North Yorkshire, York and North York Moors and to seek approval in respect of the Additional or Revised Sites consultation for the purposes of public consultation.

18. Tour de Yorkshire (Pages 443 - 516)

This report informs Cabinet of details of the inaugural 'Tour de Yorkshire' - a 2.1 UCI Europe Tour even which has been announced as taking place from the 1st – 3rd May 2015.The report provides an overview of the ambition for the city, proposed delivery objectives, an operational plan and a budget outline.

19. York UNESCO City of Media Arts (Pages 517 - 546)

This report updates Cabinet on the successful UNESCO bid confirmed by the Director-General of UNESCO for York to become a new City of Media Arts.

20. Lord Mayoralty 2015/16 (Pages 547 - 550)

This report asks Cabinet to consider the points system for the annual nomination of the Lord Mayor for the City of York Council and confirm that the Group with the most points under that system should be invited to appoint the Lord Mayor for the coming municipal year, 2015/2016.

21. 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	Cabinet
Date	7 October 2014
Present	Councillors Alexander (Chair), Crisp, Cunningham-Cross, Levene, Looker, Merrett, Simpson-Laing (Vice-Chair in the Chair for Agenda item 9) and Williams
In attendance	Councillors Brooks, Cuthbertson, Healey, Richardson, Runciman, Steward, Warters and Watson

41. 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.

Councillor Alexander declared a personal prejudicial interest in relation to agenda item 9 (Delivering Marketing, Culture, Tourism and Business Development – Stage 3) as a Director of Visit York and he left the room and took no part in the discussion and voting thereon.

Cllr Alexander also declared a personal non prejudicial interest in relation to agenda item 8 (Rewiring of Public Services: Business Case for Children's Services) as his family used the Children's Services facilities.

Cllr Cunningham-Cross also declared a personal non prejudicial interest in relation to agenda item 8 (Rewiring of Public Services: Business Case for Children's Services) as a user of the Clifton Children's Centre.

42. Minutes

Resolved: That the minutes of the last meeting of Cabinet held on 9 September 2014 be approved and signed by the Chair as a correct record

43. Public Participation

It was reported that there had been ten registrations to speak at the meeting under the Council's Public Participation Scheme, one of which had subsequently withdrawn, and that six Members of Council had also requested to speak on items, details of which are set out below:

Matter within the remit of the Committee

Cllr Warters spoke in relation to savings proposals for the Eco Depot, in particular to proposed staffing reductions and the removal of the pest control service which affected staff morale. He requested the Cabinet Member to allow scrutiny of the proposals for the pest control service, prior to a final decision being made.

Delivering Marketing, Culture, Tourism and Business Development – Stage 3

Jane Gibson, spoke as Chair of Visit York, referring to the consultation and planning undertaken, over a two year period, in development of the new approach to delivering marketing, culture, tourism and business development in the city. She referred to the issues faced by silo working which hindered staff ideas and which would now be allowed to flourish in the new company. She expressed her thanks to all Members and Officers for their input into production of the draft Business Plan.

Cllr Steward expressed his support for the proposals outlined in the draft business plan for Newco which would provide a good opportunity for the city. He confirmed that his only concerns related to the financial aspects of the plan.

Cllr Cuthbertson, spoke to confirm that this comments were on behalf of the Liberal Democrat Group rather than his own as a member of the Yorkshire Museums Trust. He confirmed that the Group welcomed the new way of working outlined in the report. There were concerns however at the lack of a detailed business case, outline of specific planned responsibilities and details of projects and outcomes. They asked for work to be undertaken to ensure that existing 'brands' such as Visit York were maintained and enhanced. They also reiterated their concern, as previously reported to Cabinet, regarding the £230,000 of

cuts in the area of Arts and Culture before the transition to NewCo.

The Punch Bowl Public House, Lowther Street, York – Article 4 Direction

Paul Giller spoke as a regular of the Punch Bowl, pointing out that this was a community pub, a place where locals could socialise. He confirmed that being registered as partially blind he felt comfortable in the premises which provided a safe haven for both himself and the local community.

Paul Crossman, spoke as an owner and co-owner of a number of public houses in the city referring to a number of similar changes of use of public houses both locally and nationally. He asked Members to support the request for the Article 4 Direction and confirmed that whilst compensation was an issue this had never been pursued.

Nick Love, spoke as a member of York CAMRA and as a customer of the Punch Bowl, public house, he reiterated his support for the making of an Article 4 Direction as the only method of protecting this community asset. He also reiterated that no compensation claims had been made in relation to other Article 4 Directions around the country and highlighted the exceptional circumstances in this particular case. He urged Members to support the request and asked them to note the 1200 signature petition also in support.

Cllr Watson spoke of the amenity the Punch Bowl provided for the local community. He raised concerns at any changes to the existing frontage, to future delivery and parking issues and asked Members to protect the building and support an Article 4 Direction.

Proposed Expansion of Fulford Secondary School

Cllr Brooks spoke to welcome the proposals for a new sports hall for Fulford School.

Rewiring Public Services: Business Case for Children's Services

Carol Pugh, spoke as a concerned resident and parent, regarding the proposals to relocate the Castlegate based

services to West Offices. She referred to the holistic approach currently provided at Castlegate, a vital service for young people which was not offered anywhere else in the city. She also expressed concern that feedback from Castlegate did not reflect that reported from the user group in the report. Finally she referred to ongoing work by support staff to find holistic options as to how the service could be maintained but expressed concerns at the short timeframe in which to examine possible options.

Helen Aitchison also expressed concerns as to how the Castlegate service would operate at West Offices. She referred to the vulnerable young people who accessed the holistic service provided in a safe environment in Castlegate. As a volunteer counsellor she also expressed concern as to who would fill the gap. She referred to the long waiting times for access to mental health services and suggested that the proposals would further diminish the support available for young adults, also confirming closure of Castlegate to young people of York could not be underestimated

Heather McKenzie, spoke on behalf of Unison, referred to the extensive staff cut's proposed for Children's Services which would have a negative financial and social impact . She highlighted the great importance of the services to both users and staff pointing out that the services had previously been put forward as 'best practice' showing positive outcomes. She also referred to the excellent holistic approach being offered at Castlegate and to the lack of capacity of voluntary organisations to take on this work. Reference was also made to the expertise developed by the staff and to ongoing work examining delivery of the service as a social enterprise.

Dawn Moores, referred to the assistance given to vulnerable people at Castlegate over a number of years, giving examples of the variety of help provided . She referred to the online petition already containing 750 signatures against closure of Castlegate and asked Members to look at alternative proposals for the service.

Cllr Cuthbertson also spoke to express his concerns in relation to the proposed closure of Castlegate. He pointed out that West Offices were not considered to be the correct venue for disadvantaged and vulnerable young people to gain access to the services they required.

Cllr Runciman also spoke to raise her concerns at the transfer of services from Castlegate to West Offices which she felt would not help young people. She referred to the number of people who suffered from mental health problems and to the need to deal with these at an early stage to prevent them escalating and for early intervention to keep young people out of the justice system. She highlighted the accessibility, flexibility and user friendly nature of Castlegate and asked Members to delay a decision and undertake further consultation to examine alternative options for the service.

Cllr Brooks spoke to express her concerns in relation to the closure of Castlegate which would affect the most vulnerable young people in the city. She also asked Members to delay making any decision to examine other ways of carrying out this valuable service. She reiterated that West Offices were not a suitable venue for this service and asked Cabinet to re-examine their proposals.

Domestic Waste Recycling Scrutiny Review Final Report

Sarah Mason spoke in relation to this scrutiny review, as a Bachelor of Science graduate in Environmental Science who had carried out her dissertation in the Council's Waste Strategy department. She referred to the data she had gathered as part of her investigation into incentives to improve recycling levels. She confirmed that it was crucial to identify the barriers to recycling prior to proceeding with further campaign work. She also referred to the need to use the expertise of the Universities in any future work.

In response to Councillor Warters earlier comments relating to a matter within the Committee's remit, Officers confirmed that staff consultation had now commenced in respect of changes at the Eco Depot. Officers highlighted the need to examine all options to meet demands, within budget constraints. With regard to the Pest Control service, this was a non statutory service and reference was made to the pest control market where there were more competitive providers of these services.

44. Forward Plan

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

45. Domestic Waste Recycling Scrutiny Review Final Report

Consideration was given to the final report from the Domestic Waste Recycling Scrutiny Review, a topic submitted by Cllr Healey, whose aim was to identify future improvements to CYC's working methods in order to increase domestic waste recycling. The objectives had included looking at best practise, including incentive schemes and the effectiveness of scheduled initiatives.

As Chair of the Task Group, Cllr Healey presented the final report , outlining the issues which had led to delays in concluding the review, which included changes of Assistant Director and staff sickness together with a lack of information in respect of the effectiveness of individual schemes from other local authorities. He referred to the analysis undertaken from which it had not been possible to identify which individual activities were the most cost effective and pointing out that the authority did not appear to be getting value for money from their waste recycling campaigns.

The Chair questioned details of the criteria of the review and to the lack of outcomes and lost opportunities. He referred to the need to use the Without Walls Board and their partnership working to assist in research in the scrutiny process.

Members also referred to the expertise from the Council's membership of the Association of Public Service Excellence (APSE) who could assist in researching information from other authorities to help measure the impact of recycling campaigns, together with research on other scrutiny topics.

Officers also expressed their support for evidence based policy making, highlighting the expertise available from the local Universities. Scrutiny Chairs and Officers were asked to note the expertise and evidence base available from both APSE and the Universities in future scrutiny work. [1.]

Following further lengthy discussion it was

Resolved: That Cabinet approves the recommendations shown in paragraph 7 of the report namely that:

i. Future area based project work should use whole daily collection rounds where practical to facilitate more efficient data collection, analysis and reporting.

ii. The branding should be developed, and bespoke and consistent campaign communications should be produced.
iii. Future door step surveys should be carried out in-house or by other lower cost methods rather than be an external company.
iv. Where practical, project work should be developed in conjunction with our local higher education establishments to give added value to the process and reduce the costs.
v. Future campaigns should follow the example of this review by strictly measuring costs against benefits.
vi. The level of savings expected to be achieved with project work should be identified, to establish a base against which all future campaigns can be measured.
vii. Sufficient resources and capacity be maintained to enable the continuation of work at a community level and to allow officers time to establish measures that may foster longer term behavioural change and sustained levels of participation.
viii. Future campaigns to include working with parish councils, residents' associations and schools.[2.]

Reason: To conclude the Scrutiny Review in line with CYC Scrutiny procedures and protocols.

Action Required

1. Inform Officers and Scrutiny Chairs of the expertise available in respect of future scrutiny reviews. AD/DS

2. Implement recommendations of the Task Group in respect of future campaign work and development. NF

46. Proposed expansion of Fulford Secondary School

Members considered a report which set out proposals to provide additional accommodation at Fulford Secondary School, in order meet demand from within the school's catchment area.
It was noted that the expansion would add an additional 160 places at the school to meet additional demand, in the short term which would also enable a second expansion to be carried out in the future to enable the school to meet projected demand post 2020.

The additional costs related to an upgrade to services, kitchen and dining facilities refurbishment and upgrade together with the provision of a dedicated sports hall plus an increase of fees associated with the additional works.

The Cabinet Member updated that, whilst Fulford School was the only maintained secondary school in the city without a dedicated sports hall, All Saints' School was also without a dedicated sports hall. She confirmed that finance for the upgrade had already been allocated in the capital programme and that the current report now detailed the costs and funding breakdown.

The Chair outlined the project costs in more detail, confirming the proposed spend profile over a 3 year period and Officers confirmed that risks associated with the scheme were the responsibility of the individual authority, depending on budget.

Resolved: That Cabinet approve £4.561m of Basic need capital investment over the next three financial years to expand Fulford School to accommodate an additional 160 places, in order to meet the expected increase in pupil numbers from within the catchment area of the school. [1.]

Reason: To enable the Council to meet its statutory responsibility to provide sufficient school places.

Action Required
1. Proceed with school expansion scheme. ME

47. River Safety Update

Consideration was given to a report which provided Cabinet with an update on the work being undertaken to address the issues around river safety.

The Cabinet Member referred to the increase in fatalities associated with the rivers Ouse and Foss since 2011 and to the actions and interventions already taken. It had been agreed that further additional action was required which included the commissioning of a report from the Royal Society for the Prevention of Accidents (RoSPA), on the physical issues associated with the rivers. The review had subsequently detailed a number of key actions for the Council, full details of

which were set out in the report and it was noted that is was hoped to have these actions completed by Spring 2015.

The Chair welcomed the report and its recommendations and acknowledging the campaign work also being undertaken by the universities to ensure the safety of their students.

Members then considered the following options:
Option 1 – Approve the release of capital funding from contingency to undertake the physical works arising from the recommendation from the RoSPA report as outlined in Para 7 under the headings, Provision of Rescue Equipment and Public realm design, including edge protection, physical barriers .

Option 2 – Not release funding to undertake all or some of the works outlined in Para 7 under the headings, Provision of Rescue Equipment and Public realm design, including edge protection and physical barriers.

Resolved: That Cabinet agree Option 1 to release funding from capital contingency to undertake the physical works arising from the recommendation from the RoSPA report as outlined in paragraph 7, of the report, under the headings Provision of Rescue Equipment and Public realm design, including edge protection and physical barrier. [1.]

Reason: To ensure that the council's river safety measures are up to date and reduce the potential for harm associated with river incidents.

Action Required
1. Implement the works arising from the RoSPA recommendations. SW

48. Rewiring Public Services: Business Case for Children's Services

Consideration was given to a report submitted, as part of the Rewiring of Public Services programme, which focused on the engagement process and proposals for Children's Services. Business Cases for each of the following services were included in the report:

- Annex 1 - Early Years

- Annex 2 - Services to Young People and
- Annex 3 - Schools Improvement and Skills service.

It was confirmed that the business cases had been designed in response to views obtained through engagement with residents and that whilst a range of services would remain ‘in-house’, others would be contracted to the private sector.

In particular it was noted from feedback regarding the Early Years Service that parents wished to maintain the Children’s Centre buildings and that work was ongoing to maintain the current provision. In relation to services to young people it was proposed to relocate Castlegate based services to West Offices to provide an enhanced service for post 16 young people’s services. Further engagement sessions would be taking place throughout October with staff in order to work together to deliver an improved service for all.

The Cabinet Member referred to the governments austerity programme and to the unprecedented reductions in public expenditure which meant that changes in services were inevitable. He reported on the extensive consultation undertaken with both service users and residents pointing out that residents would be at the heart of the way in which the Council delivered future services. He acknowledged the comments of early speakers and to a survey undertaken which had shown that 70% of Castlegate users had confirmed that they had no problems with accessing services at West Offices. However he acknowledged that adaptations would have to be made to ensure that a good quality service could be provided that would function for both the service and young people.

Members confirmed that if savings had not had to be made these services would have remained however with budget cuts work was required to examine how the services were provided and look at alternative arrangements to ensure that services continued albeit in a different form. They acknowledged that staff had provided an excellent service in a variety of locations across the city and that they wished to retain this expertise.

Officers reiterated that significant additional consultation would be undertaken prior to the implementation of any proposals both with services users and staff.

The Chair also confirmed that extensive consultation would take place to ensure that services were provided that all people could access. He also confirmed that any staff suggestions for the service that came forward would be thoroughly examined.

Following further discussion it was

Resolved: That Cabinet agree to:

(i) Note that extensive engagement has taken place as agreed by Cabinet in July and the priorities that residents have expressed;

(ii) Approve the 3 Children's Services business cases, as outlined in the report and Annexes.

(iii) Agree that a further update on the organisational development plan be brought to Cabinet in November as part of our commitment to report regular progress.

(iv) Examine any alternative proposals from staff to deliver Castlegate services that meet the timescales and savings targets outlined in the report. [1.]

Reasons: (i) The phased approach will allow Children's Centres to become more sustainable, develop community capacity and support the long term vision for Whole Family Support;

(ii) The approach for Phase 2 of the transformation of Services to Young people will allow for the savings target to be achieved;

(iii) Support the closure of Castlegate and the re-provision of services from West Offices will build a sustainable model which has the flexibility to respond to schools needs.

Action Required

1. Await decision of CSMC (Calling-In) meeting. SH

49. Delivering Marketing, Culture, Tourism and Business Development – Stage 3

[Councillor Simpson-Laing was in the Chair for this item]

Rewiring of Public Services programme, which focused on the engagement process and proposals for Children's Services. Business Cases for each of the following services were included in the report:

- Annex 1 - Early Years
- Annex 2 - Services to Young People and
- Annex 3 - Schools Improvement and Skills service.

It was confirmed that the business cases had been designed in response to views obtained through engagement with residents and that whilst a range of services would remain 'in-house', others would be contracted to the private sector.

In particular it was noted from feedback regarding the Early Years Service that parents wished to maintain the Children's Centre buildings and that work was ongoing to maintain the current provision. In relation to services to young people it was proposed to relocate Castlegate based services to West Offices to provide an enhanced service for post 16 young people's services. Further engagement sessions would be taking place throughout October with staff in order to work together to deliver an improved service for all.

The Cabinet Member referred to the governments austerity programme and to the unprecedented reductions in public expenditure which meant that changes in services were inevitable. He reported on the extensive consultation undertaken with both service users and residents pointing out that residents would be at the heart of the way in which the Council delivered future services. He acknowledged the comments of early speakers and to a survey undertaken which had shown that 70% of Castlegate users had confirmed that they had no problems with accessing services at West Offices. However he acknowledged that adaptations would have to be made to ensure that a good quality service could be provided that would function for both the service and young people.

Members confirmed that if savings had not had to be made these services would have remained however with budget cuts work was required to examine how the services were provided

and look at alternative arrangements to ensure that services continued albeit in a different form. They acknowledged that staff had provided an excellent service in a variety of locations across the city and that they wished to retain this expertise.

Officers reiterated that significant additional consultation would be undertaken prior to the implementation of any proposals both with services users and staff.

The Chair also confirmed that extensive consultation would take place to ensure that services were provided that all people could access. He also confirmed that any staff suggestions for the service that came forward would be thoroughly examined.

Resolved: That Cabinet agree to:

(i) Approve the outline of the draft Business Plan (Annex A) attached to the report, as a basis for further negotiation.

(ii) Agree to establish a shadow board and governance body.

(iii) Request the Director of Communities and Neighbourhoods and the Director of Customer and Business Support Services, in consultation with the Cabinet Members for Leisure, Culture and Tourism and Finance and Performance to progress the full governance process to completion. The commissioning process will be led by the Chief Executives office. [1.]

(iv) The final Business Plan being reported to Cabinet in Spring 2015. [2.]

Reason: To progress the new approach to delivering marketing, culture, tourism and business development in the city to help in achieving the ambitions set by the Council Priority to ‘Create Jobs and Grow the Economy’.

Action Required

1. Proceed with negotiations and governance process in conjunction with listed Members and

Officers. CC
2. Add report to Forward Plan. CC

50. The Punch Bowl Public House, Lowther Street, York - Article 4 Direction

Members considered a report which related to a request from the York branch of CAMRA for the Council to make an immediate Article 4 Direction under the Town and Country Planning (General Permitted Development) Order 1995 to remove the permitted development rights for the change of use of the Punch Bowl public house, Lowther Street, York from its existing use as a public house to a shop.

Officers provided the following update to the report, circulated at the meeting:

- Amendment to the reasons given for recommending that an Article 4 Direction was not placed, references at paragraphs 1.2 and 9.1 – Deletion of points 2 and 7
- Replacement of reference to the urban area in point 5 by reference to the local area
- Further to paragraph 2.2, Members received a copy of a petition containing over 1200, collected by patrons of the public house, submitted by CAMRA

The request for an Article 4 Direction had been made as CAMRA understood that the Punch Bowl was the subject of discussions between the owners and a national retailer for a change of use to a supermarket, selling alcohol. CAMRA considered that this course of action would be the most appropriate way to protect the public house.

Cabinet had however been recommended, by Officers, not to use their discretionary power to make an immediate Article 4 Direction restricting the change of use from Class A4 to Class A1. The main reasons being that the case could set a precedent, that exceptional circumstances had not been proven and as the making of an ‘immediate’ Direction would open up the possibility of a compensation claim being made against the Council.

Members were given the option of agreeing an immediate Article 4 Direction or rejecting the request, either of which required reasons to be given.

The Cabinet Member confirmed that the authority were committed to saving community public houses and he provided examples of those protected under The Assets of Community Value (England) Regulations 2012.

Members expressed their sympathy with local residents and patrons of the public house, confirming their wish to assist the community to obtain their desired outcome but using the most appropriate route. However they highlighted the issue of compensation which could be made, without the required evidence base to support it, and asked Officers to examine the most appropriate way in which to support their request.

Following further lengthy discussion it was

Resolved: (i) That, as a matter of urgency, the Director of City and Environmental Services and the Director of Customer and Business Support Services be requested to further investigate options in relation to the request for action to preserve the Punch Bowl public house, Lowther Street, York as a public house;

(ii) That the Cabinet Members for Environmental Services, Planning and Sustainability and Finance and Performance, each be asked to consider the options identified by the Directors under (i) above and, if satisfied that action is justified, to take such action under his delegated powers. [1.]

(iii) To confirm the delegation of powers to the Cabinet Member for Environmental Services, Planning and Sustainability to make an Article 4 direction to remove permitted development rights for the change of use of The Punch Bowl public house, Lowther Street, York from its existing use as a public house (Class A4) to a shop (Class A1) if satisfied that sufficient evidence exists to justify the making of such a Direction. [2.]

(iv) That Officers be requested to bring a report back to a future Cabinet meeting outlining a

long term strategy to assist with similar future requests. [3.]

Reason: In order to allow further work to evidence if exceptional circumstances exist to show that a change of use would harm the amenity or the proper planning of the area, and whether there is a need to remove permitted development rights for the change of use of The Punch Bowl public house, Lowther Street, York from its existing use as a public house (Class A4) to a shop (Class A1) by the making of an Article 4 Direction.

Action Required

1. As a matter of urgency, investigate options in relation to the request and implement any actions necessary as a result, in conjunction with the Cabinet Members.	SCT, IF
2. If sufficient evidence exists, proceed to make an Article 4 Direction in respect of these premises.	SCT, IF
3. Prepare a long term strategy report for future meeting.	SCT

51. Maximising the Opportunities from the Green Deal in York

Cabinet were informed of the progress to date with the procurement of the Leeds City Region (LCR) Green Deal and Energy Company Obligation.

The original procurement had been to establish a long-term partnership with a Provider to generate 'green' investment in the LCR with Leeds City Council (LCC) being set up with the intention of LCC signing the Framework Agreement to allow the LCR authorities to call-off from the Framework. Following the creation of the West Yorkshire Combined Authority (WYCA), earlier this year, an amendment could now be made to allow WYCA to sign the Framework and transfer the risk.

It was noted that this new programme aimed to deliver a minimum of 14,000 green deal measures to 12,000 homes over the first 3 years of the contract across the region. It was pointed out that this approach was currently the only programme available that aimed to ensure that the Council could continue to increase the energy efficiency of private homes at no cost to the authority.

The Cabinet Member referred to the importance of pursuing this opportunity which could provide potential local training and employment, give scope to include less attractive properties in the programme and assist in the reduction of carbon emissions. It was also noted that it was intended to create a shared post in the sub region to maximise delivery across the area.

Consideration was then given to the following options together with the implications arising from the options to maximise delivery of the Green Deal in York:
Option 1- proceed with the LCR Green Deal (GD) scheme and give delegated powers to senior officers to then decide and draw down from the Framework Contract
Option 2 - not to proceed with LCR GD scheme and look at other local options (currently none are as developed)

Resolved: That Cabinet agrees to:

(i) Approve in principle the participation of the Authority in the Leeds City Region Green Deal Project including support for the Framework and commitment to use the Call-Off Contract.

(ii) Delegate authority to the Director of Communities and Neighbourhood, in consultation with the Assistant Director of Governance and ICT, to negotiate and agree the commercial terms of the Call-Off Contract, and delegate authority to the Assistant Director of Governance and ICT, or authorised representative, to enter into and sign the Contract. [1.]

(iii) To delegate authority to the Housing Services Manager to take operational decisions to attend the Home Energy Project Board (HEPB).

(iv) To monitor progress through the HEPB and receive annual progress reports. [2.]

Reason: To enable CYC to draw down on the framework contract and begin installing measures in homes as soon as possible for the benefit of York residents.

Action Required

1. Proceed with negotiations to agree the terms and signing of the Contract in conjunction with those delegated authority.	RA, SB
2. Take operational decisions and monitor progress through HEPB.	TB

Cllr J Alexander, Chair
[The meeting started at 5.30 pm and finished at 8.25 pm].

Cabinet Meeting: 16 December 2014

FORWARD PLAN

Table 1: Items scheduled on the Forward Plan for the Cabinet Meeting on 6 January 2015		
Title & Description	Author	Portfolio Holder
York Equality Scheme Purpose of Report: To inform Members of the priorities within the Single Equality Scheme. Members are asked to approve the Single Equality Scheme.	Sharon Brown	Cabinet Member for Leisure, Culture & Tourism and Cabinet Member for Health & Community Engagement
Delivering Marketing, Culture, Tourism and Business Development – MAKE IT YORK Purpose of Report: Following reports to Cabinet in November 2013, July and October 2014, in which Members agreed the need to develop a new approach to delivering marketing, culture, tourism and business development in the City. Members are asked to approve the final financial elements of the Business Plan.	Sally Burns	Cabinet Member for Finance & Performance and Cabinet Member for Leisure, Culture & Tourism
Theatre Royal - Disposal to York Conservation Trust Purpose of Report: To ensure the future maintenance of the building and support the successful implementation of the Theatre Royal capital improvement scheme Members are asked to consider the disposal of the Theatre Royal building to York Conservation Trust.	Tracey Carter	Cabinet Member for Finance & Performance

Delivery of the Tour de France in York and Yorkshire 2014 Purpose of Report: Is to update Cabinet on the outcomes achieved through the delivery of the Tour de France 'grand depart' in Yorkshire in July 2014, the impact of the Second Day Start in York. Members are asked to note the delivery against objectives and lessons learned.	Sally Burns	Cabinet Member for Leisure, Culture & Tourism and Cabinet Member for Transport
Implementation of budget Savings on Council Funded Local Bus Services Purpose of Report: This report is presented in light of the decision to reduce expenditure on local bus services taken at Full Council in February 2014. Cabinet are now presented with a list of bus services which will be either reduced or withdrawn to make the required saving for the financial year 2015/16. Members are asked to confirm the service reductions and to consider an option for additional savings, should they be required.	Andrew Bradley	Cabinet Member for Transport

Table 2: Items scheduled on the Forward Plan for the Cabinet Meeting on 10 February 2015

Title & Description	Author	Portfolio Holder
New Council House Building Phase Two Purpose of Report: Following on from phase one of new council house building, the report will identify a second phase of sites and funding routes. Members are asked to approve the identified sites for new council house building.	Andy Kerr	Cabinet Member for Homes & Safer Communities
Implementation of the Leeds City Region Better Homes Contract in York Purpose of Report: To advise members of the implementation of the Leeds City Regions Better Homes Contract in York to improve energy efficiency of private sector homes and reduce fuel poverty. Members are asked to note the impact of the contract and the wider implication for services across the city.	Ruth Abbott/Jacquie Warren	Cabinet Member for Environmental Services, Planning & Sustainability, Cabinet Member for Homes & Safer Communities
Proposed Expansion of St Barnabas CE Primary School Purpose of Report: This paper seeks approval for expenditure of £641k Basic Need capital to proceed with the proposed two-classroom extension at St Barnabas CE Primary, a private finance initiative school, and summarises the resulting revenue and contractual implications of the scheme. The works will provide the school with places for 70 additional primary age pupils, and thus enable the school to deal with increased demand for pupil places in the area. Members will be asked to approve capital expenditure of £641,000 to provide 70 additional places at St Barnabas CE primary school.	Jake Wood	Cabinet Member for Education, Children & Young People

"YorProperty" - Review of Voluntary Landlord Accreditation Scheme in York and report back on Private Rented Sector Consultation exercise Purpose of Report: Provide details of the first year of operation of the voluntary private landlord accreditation scheme for York; report back on the outcome of consultation on the current state of the private rented sector in the City and consider options for the future support and improvement of the sector. Members are asked to note the review; note the outcome of the consultation exercise and consider and approve the options for the future improvement of the sector.	Jeremy Smawfield	Cabinet Member for Homes & Safer Communities

Table 3: Items slipped on the Forward Plan

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
York Equality Scheme Purpose of Report: To inform Members of the priorities within the Single Equality Scheme. Members are asked to approve the Single Equality Scheme. Following discussions with the Corporate and Scrutiny Management Committee this item has been moved to the December Cabinet to allow officers to consult with all the Scrutiny Committees.	Sharon Brown	Cabinet Member for Leisure, Culture & Tourism and Cabinet Member for Health & Community Engagement	Nov 14	Jan 15	In order to allow time to consult with the Fairness and Equalities Board.

Implementation of Budget Savings on Council Funded Local Bus Services Purpose of Report: This report is presented in light of the decision to reduce expenditure on local bus services taken at Full Council in February 2014. The Cabinet Member is now presented with a list of bus services which will be either reduced or withdrawn to make the required saving for the financial year 2015/16. Members are asked to confirm the service reductions and to consider an option for additional savings, should they be required. This decision will be taken by the Cabinet Member at a public Decision Session on 11 December 2014.	Andrew Bradley	Cabinet Member for Transport	Dec 14	Jan 15	This decision will now be taken by the full Cabinet on 6 January 2015 rather than the Cabinet Member. Recognising the impact of this decision on bus service users, it is considered that Cabinet are best placed to consider the report and balance the needs of other services and users that would be required to be cut should the recommendation in the report not be approved.

This page is intentionally left blank

Cabinet **16 December 2014**

Report of the Cabinet Member for Finance and Performance

CAPITAL PROGRAMME – MONITOR TWO 2014/15

Report Summary

1. The purpose of this report is to set out the key deliverables of the capital programme and projected outturn position for 2014/15 including any under/ over spends and adjustments, along with requests to re-profile budgets to/from current and future years.

2. The 2014/15 capital programme approved by Council on 27 February 2014 and updated for amendments reported to Cabinet up to and including the September Monitor 1 report is £76.319m, financed by £34.893 of external funding and internal funding of £41.426m.

Consultation

3. The capital programme was developed under the Capital Resource Allocation Model (CRAM) framework and agreed by Council on 27 February 2014. 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

4. A decrease of £3.764m is detailed in this monitor resulting in a revised capital programme of £72.555m. £4.273m of the decrease is attributable to re-profiling to budgets to future years. Offsetting this is a net increase of £509k attributable to an increase in government grants available. The Councils borrowing need across the 5 year programme is not changed as a result of these changes.

5. Table 1 outlines the variances reported against each portfolio area.

Directorate	Department	Current Approved Budget £m	Projected Outturn £m	Variance £m
CSES	Children's Services, Education & Skills	10.202	10.202	0.000
H&WB	Adult Social Services and Public Health	1.013	0.835	(0.178)
CANS	Communities Culture & Public Realm	5.973	5.449	(0.524)
CANS	Housing & Community Safety	17.292	17.392	0.100
CES	Highways & Waste	7.460	7.591	0.131
CES	Transport	9.042	9.149	0.107
CES	Economic Development	0.058	0.058	0.000
CES	Community Stadium	6.026	3.026	(3.000)
CBSS	Asset Management	2.548	2.198	(0.350)
CBSS	West Offices - Admin Accom	0.533	0.533	0.000
CBSS	IT Development Plan	2.284	2.284	0.000
CBSS	Misc(Contingency)	0.383	0.183	(0.300)
CBSS	Economic Infrastructure Fund	13.405	13.665	0.250
	Total	**76.319**	**72.555**	**(3.764)**

Table 1 Capital Programme Forecast Outturn 2014/15

6. To the mid point in October there was £23.9m of capital spend representing 33% of the revised monitor 2 budget.

Key Schemes

7. **Fulford School Expansion** Phase 1 (£1,250k 14/15) of this planned three year scheme was carried out over the summer and comprised

groundwork and infrastructure upgrades in preparation for the expansion of the school.

8. **Carr Junior Expansion** (£610k 14/15) project providing a three classroom extension to the existing building to enable the school to accommodate future demand through the increase in capacity of 80 additional places. The final stages of the project will be completed at October half term.

9. **Universal Infant Free School Meals** (£379k 14/15) approximately £260k has been spent or committed to assist primary schools to expand the provision of meals. A number of schools have been equipped with new Combi-ovens, and in addition a number of hot cupboards have been purchased to expand serving provision.

10. **Huntington Secondary School New** Block (£985k 14/15) scheme provided a seven classroom modular building to replace the existing Biology Block and 2 Temporary Classroom Units, which were at the end of their useful lives.

11. **Basic Need Programme** (£2,376k 14/15) including an additional classroom provided at Skelton Primary School at an estimated cost of £180k (also incorporating some roof repairs and toilet refurbishment funded from maintenance at a cost of £50k), and at Badger Hill Primary School at a cost of £230k. Both these schemes were completed by September.

12. The **Access York project** (£2,430k 14/15 - 70% part funded by the government) has been created in partnership with contractors Balfour Beatty and designers CH2M Hill to develop a new Park&Ride at Poppleton Bar and a larger facility near to the previous Askham Bar Park&Ride. The parking capacity has increased to 1,100 vehicles at Askham Bar and a new 600-vehicle facility at Poppleton Bar has been provided. These sites will help cut congestion levels along routes into the city centre by offering free parking and low price 15-minute journeys into York. Major improvements have also been made to the A59/A1237 roundabout to help alleviate congestion. At Askham Bar, work consisted of remediation and reclamation of a waste site, interaction works on the rail and road networks as well as carrying out the environmental consenting. At the Poppleton Bar site, work consisted of construction of sustainable drainage systems as well as upgrade works of a roundabout and pedestrian underpass.

13. In relation to **housing** the Council has provided a range of major adaptations to residents homes across all tenures (over £1.3m funding). Typically the adaptations installed are stairlifts and ramps to provide access around the home to people with poor mobility and/or the replacement of a bath with level access showering facilities. The programme also funds extensions where the property can not be adapted within the existing foot print of the property, often these are for families with disabled children with complex needs. Through customer feedback almost 100% of our customers advise that the adaptations have improved the quality of their lives and have enabled them to continue to live independently in their home. One customer said "I was amazed how everyone was so helpful and reacted swiftly to my needs and requests. My quality of life has improved immensely and at 96 years old its greatly appreciated, Thank you".

14. The **IT Development Plan** (£2.284m 14/15) programme will see a number of improvements, projects and upgrades completed during the year: an expansion of the Mapinfo mapping and Geographic Analysis System and the introduction of an enhanced Database Management tool have both been completed and a number of other major works are underway including upgrading CYC Laptops to Windows 7, upgrading Encryption Services and investigating Data Loss Protection tools. Larger projects are underway include: a programme of technology refresh which will replace the Council's Desktop Equipment and Servers on a rolling basis to ensure a consistent ICT customer experience regardless of location, replacement of CYC's Customer Relationship Management System to improve services and replacement of the Children's Care System.

15. The **Economic Infrastructure Fund** is delivering a wide range of benefits across a number of priority areas ranging from the Superconnected cities programme to the Financial Inclusion and Policy Action Plan. Annex B contains details of both projected spend and progress to date on a scheme by scheme basis.

Analysis

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

CSES – Children Services, Education and Skills

17. One minor amendment to the Children's services capital programme is required as part of this report. The Huntington Secondary School New Block scheme provided a seven classroom modular building to replace the existing Biology Block and 2 Temporary Classroom Units, which were at the end of their useful lives. The main construction work was completed during the summer, at an expected final cost of £985k. This final cost exceeds the budget, which was agreed at the date of scheme approval by £85k. This is mainly due to the fact that the tenders that were received were above the available budget. It is proposed this amount be funded from the DfE Maintenance scheme contingency.

18. The forecast spend inclusive of the above for 14/15 is £10.202m

Health & Wellbeing – Adult Social Services and Public Health

19. There are 2 re-profiling requests to the Adult Social Services and Public Health capital programme. The first is for £80k of funds to be moved to 15/16 from 14/15 due to feasibility work being undertaken on the change in property in regard to Burton Stone Community Centre.

20. The second is for £298k of funds currently earmarked for the Elderly Peoples Homes (EPH) Infrastructure works to be re-profiled to 15/16 from 14/15. The homes were initially expected to be closed by now and thus this level of repair avoided. In addition a request for use of £200k capital contingency funding is made as the existing EPH's are currently in need of renovation, some aspects of which are threatening their ability to pass Care Quality Commission (CQC) inspection. Accordingly it requested that £200k of funding be used as follows: £180k to refurbish lifts, £5k to upgrade intercoms, £6k for Fire curtains at Morrell House plus other measures to prevent cross infection and improve heating.

21. There will be a financial implication to the Capital programme in future years to the funding set aside to replace the EPHs as this grant had been intended to contribute to the funding of the new builds.

22. As a result of this monitor and the 14/15 forecast spend is £835k.

Communities and Neighbourhood Services – Communities, Culture and Public Realm

23. Four changes are proposed to the Communities, Culture and Public Realm capital programme.

24. It is proposed to include £21k of Section 106 funding in relation to Parks and Open Spaces Development programme of works. The developer's contributions allocated are reflective of expenditure projections in parks, gardens & Rawcliffe bike track.

25. It is requested that £500k of funding in relation to the Museums Trust be re-profiled to 15/16 from 14/15. York Museums Trust now propose to use half the £1m allocation for initiatives within the St Mary's Abbey Precinct, as originally intended, and half to address long-standing storage issues with the service. £500k will be used as a contribution towards the purchase of a suitable industrial unit at Birch Park to be used as a museums store. Acquisition of this store will enable YMT to address the issues raised in last year's scrutiny report into museums storage, and to make revenue savings that will help them to deal with their £500k grant reduction in 2015/16. It will also give them an asset that they can borrow against to assist with future capital projects

26. The third change is the request to re-profile £120k of funding in relation to the Theatre Royal to 15/16 from 14/15 reflecting the requirement for drawdown of the Councils contribution to the renovation.

27. In addition this report reflects the River Safety Cabinet Update Report 7th October and subsequent Full Council approval on the 9th October for the use of £100k of Capital Contingency in 14/15 to support physical improvements to reduce the risks associated with rivers in York.

28. The forecast spend inclusive of the above for 14/15 is £5.449m.

Communities and Neighbourhood Services - Housing & Community Safety

29. A number of amendments are proposed in relation to Housing and Community Safety.

30. There are amendments to 4 individual programme schemes within the Housing Revenue Account that result in a nil movement of the budgeted expenditure position overall, they are comprised as follows:

    - +£411k (required budget increase) in relation to the Modernisation of Local Authority Homes as the tender for the non-traditional properties work came in higher than anticipated, additional expenditure was needed on fire prevention works following fire assessments and additional damp works required.
    - -£200k (underspend) in relation to the Building Insulation programme works as the final tender was lower than originally projected and budgeted for.
    - -£250k (underspend)in relation to the Water Mains Upgrade as only a limited amount of feasibility work is able to be completed in 2014/15. Following this work, a review will be undertaken of what additional works will be required in future years.
    - +£39k Major Repairs Allowance

31. A request is made to re-profile £100k from 14/15 to 15/16 in relation to the Empty Homes scheme as fewer suitable homes have been identified so far this year than were anticipated.

32. A request is made to re-profile £200k of Modernisation of Local Authority homes budget from 15/16 to 14/15 to enable the prioritisation of remedying damp problems over the winter period. Building Services have identified an increasing trend of major damp occurrence to properties in the social housing portfolio, to an extent where additional resources are now required immediately to manage the problem. There are currently more than 100 dwellings where extensive work is required to treat the damp, including installing sump pumps, new damp courses, timber treatment, structural repairs to floors, removal/refitting of kitchen and bathroom fittings, plaster repairs and redecoration etc. In a lot of cases, tenants will require temporarily recanting while work is carried out. Typical costs for these properties fall in the £5-10k range.

33. The forecast spend for 14/15 is £17.392m.

City & Environmental Services – Highways, Waste & Fleet

34. There are two amendments to reflect in the Highways, Waste and Fleet capital programme. The first is an additional £401k of expenditure budget is requested to be added to the Highways

Resurfacing and Reconstruction budget reflecting 2 new Government grants of £90k for Sever Weather and £311k for Potholes.

35. The second relates to the request to reallocate £270k of funding currently from the Special Bridge Maintenance scheme to part fund the Access York works (detail set out in the paragraphs below). The budget is available due to the new bridge engineer being in post 10 months ago following a vacancy of c2 years. Accordingly the majority of time has been spent dealing with Approval in Principals for new structures through the planning process and carrying out inspections. Inspection of the capital schemes has identified that a budget of £157,000 would be required to carry out the works in year.

36. The programme is currently projecting a 14/15 spend of £7.591m

City & Environmental Services - Transport + Economic Development

37. A number of amendments are required to the Transport capital as part of this report.

38. The first is an overall reduction of £681k to the Local Transport Plan (LTP) scheme reflecting a reallocation of £80k to the Access York scheme, an allocation to the Better Bus Area Fund of £295k and a net reduction of S106/other grants of £231k. The reduction in S106 is as a result of an in year review undertaken re availability and allocation of developers contributions.

39. The transfer of £350k to the Access York programme is due to costs associated with unforeseen ground conditions and utilities. The associated funding is to come from: £80k LTP funding and £270k form the Special Bridge Maintenance scheme.

40. The Better Bus Fund Area (BBAF) Works budget has been amended to reflect the reallocation of funds previously contained within the overall LTP budget plus a new additional £68k BBAF funding. These revisions recast the budget to £776k

41. The last amendment is an increase to scheme budget in relation to the Pay on Exit Car Parking Pilot of £75k to be funded from LTP funding. This change will revise the budget to £100k.

42. The Transport service programme is currently projecting a 14/15 spend of £9.149m.

43. The Economic Development capital programme is projected to outturn at £58k.

City & Environmental Services – Community Stadium

44. The Community Stadium Project budget has been updated to reflect the £4m Full Council approval (9th October) for enhanced leisure facilities. The new budget has been profiled in 2015/16.

45. It is requested that £3m be re-profiled to 15/16 to align with the award of contract and subsequent construction timetable of the Stadium and Leisure Facilities.

Customer and Business Support Services - Administrative Accommodation

46. No changes to the projected spend are proposed at this monitor with in year spend budgeted at £0.533m.

Customer and Business Support Services – Asset Management / IT Development Plan / Contingency/ Economic Infrastructure Fund (EIF)

47. Use of £100k contingency is set out in the Communities and Neighbourhood Services – Communities, Culture and Public Realm paragraphs above.

48. A request is made to re-profile £350k of Critical Repairs and Contingency budget in relation the Guildhall re-roofing to move in line the Guildhall proposals projected spend (subject to approval).

49. A single change is made to the EIF programme reflective of the Super Connected Cities Team successful bid for £250k of DCMS funds (external grant) available for the provision of gigabit connectivity to 29 CYC buildings. No further changes are proposed as part of this report to the Asset Management, IT Development Plan and Economic Infrastructure Fund (EIF).

50. Annex B shows a detailed analysis of the Economic Infrastructure Programme by year.

Summary

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

Gross Capital Programme	**2014/15 £m**	**2015/16 £m**	**2016/17 £m**	**2017/18 £m**	**2018/19 £m**	**Total £m**
Current Programme						
Adjustments :						
Children's Services, Education and Skills	10.202	13.658	9.962	5.106	2.250	**41.178**
Adult Social Services and Public Health	0.835	0.903	0.505	0.505	0.505	**3.253**
Communities Culture & Public Realm	5.449	1.220	0.000	0.000	0.000	**6.669**
Highways & Waste	7.591	3.497	2.934	2.839	1.350	**18.211**
Housing & Community Safety	17.392	11.462	10.026	8.753	9.023	**56.656**
Transport	9.149	2.713	2.713	2.713	0.090	**17.378**
Community Stadium	3.026	19.135	0.000	0.000	0.000	**22.161**
Economic Development	0.058	0.000	0.000	0.000	0.000	**0.058**
Asset Management	2.198	0.770	0.200	0.200	0.100	**3.468**
West Offices - Admin Accom	0.533	0.000	0.000	0.000	0.000	**0.533**
IT Development Plan	2.284	1.870	1.920	2.245	2.025	**10.344**
Contingency	0.183	0.000	0.000	0.000	0.000	**0.183**
Economic Infrastructure Fund	13.655	8.611	5.800	0.000	0.000	**28.066**
Revised Programme	**72.555**	**63.839**	**34.060**	**22.361**	**15.343**	**208.158**

Table 2 Revised 5 Year Capital Programme

Funding the 2014/15 – 2018/19 Capital Programme

52. The 2014/15 capital programme of £72.555m is currently being funded from £32.063m external funding and £40.492m of internal funding. The internal funding is comprised of revenue contributions, revenue reserves, prudential borrowing, right to buy housing capital receipts and general capital receipts.

53. Table 3 shows the projected call on Council resources going forward.

	2014/15 £m	**2015/16 £m**	**2016/17 £m**	**2017/18 £m**	**2018/19 £m**	**Total £m**
Gross Capital Programme	**72.555**	**63.839**	**34.060**	**22.361**	**15.343**	**208.158**
Funded by:						
External Funding	32.063	40.699	22.246	14.278	8.359	**117.645**
Council Controlled Resources	40.492	23.140	11.814	8.083	6.984	**90.513**
Total Funding	**72.555**	**63.839**	**34.060**	**22.361**	**15.343**	**208.158**

Table 3 – 2014/15 –2018/19 Capital Programme Financing

54. 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.

55. It should be recognised that capital receipts which form part of the Council Controlled Resources should be considered at risk of not being realised within set time frames and to 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 the 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 Cabinet.

Council Plan

56. 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 due to its varied and numerous schemes as shown in the main body of the report.

Implications

Financial Implications

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

Human Resources Implications

58. There are no HR implications as a result of this report

Equalities Implications

59. There are no equalities implications as a result of this report

Legal Implications

60. There are no legal implications as a result of this report

Crime and Disorder

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

Information Technology

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

Property

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

Risk Management

64. 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.

Recommendations

65. The Cabinet is requested to:

- Approve the use of £200k capital contingency for the works on the Councils existing EPHs to ensure they pass CQC inspection
- Recommend to Full Council the adjustments in the Capital programme of a decrease of £3.764m in 2014/15 as detailed in the report and contained in Annex A.
- Note the 2014/15 revised budget of £72.555m as set out in paragraph 5 and Table 1.
- Note the restated capital programme for 2014/15 – 2018/19 as set out in paragraph 50, Table 2 and detailed in Annex A.

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

Contact Details

<table>
<tr><td>Authors:</td><td colspan="4">Cabinet Member & Chief Officer Responsible for the report:</td></tr>
<tr><td rowspan="3">Ross Brown
Principal Accountant
Corporate Finance
01904 551207
ross.brown@york.gov.uk

Debbie Mitchell
Corporate Finance Manager
01904 554161</td><td colspan="4">Cabinet Member for Finance and Performance

Ian Floyd
Director of Customer & Business Support Services</td></tr>
<tr><td>Report Approved</td><td>√</td><td>Date</td><td>22/10/14</td></tr>
<tr><td colspan="4"></td></tr>
<tr><td colspan="4">Wards Affected: All</td><td></td></tr>
</table>

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 2014/15 to 2018/19
Annex B – Economic Infrastructure Fund

List of Abbreviations used in the report:

BBAF - Better Bus Fund Area
CAB - Capital Asset Board
CRAM - Capital Resource Allocation Model
CQC - Care Quality Commission
DCMS - Department for Culture, Media & Sport
DfE – Department for Education
EIF – Economic Infrastructure Fund
EPH – Elderly Peoples Homes
HR – Human Resources
ICT – Information and communications technology
LTP -Local Transport Plan
YMT - York Museums Trust

	2014/15 Mon 2 Adj £000	2014/15 Mon 2 Reprofile £000	2014/15 Revised Budget £000	2014/15 Mon 2 Adj £000	2014/15 Mon 2 Reprofile £000	2015/16 Revised Budget £000	2016/17 Revised Budget £000	2017/18 Revised Budget £000	2018/19 Revised Budget £000	Gross Capital Programme To be Funded 14/15 - 18/19 £000
CSES - Children's Services, Education and Skills										
NDS Devolved Capital			456			456	456	456	0	1,824
Targeted Capital Fund 14-19 Diploma			0			0	0	0	0	0
DfE Maintenance	-85		4,146			2,400	2,400	2,400	0	11,346
Basic Need			2,376			4,747	6,656	2,250	2,250	18,279
Huntington Secondary School - New Block	85		985			0	0	0	0	985
Universal Infant Free School Meals			379			0	0	0	0	379
Fulford School Expansion			1,250			5,345	450	0	0	7,045
Carr Junior Expansion			610			0	0	0	0	610
St Barnabas Primary Expansion			0			710	0	0	0	710
TOTAL GROSS EXPENDITURE			10,202	0	0	13,658	9,962	5,106	2,250	41,178
TOTAL EXTERNAL FUNDING	0	0	10,002	0	0	13,658	9,962	5,106	2,250	40,978
TOTAL INTERNAL FUNDING	0	0	200	0	0	0	0	0	0	200
H&WB - Adult Social Services & Public Health										
Joint Equipment Store			112			105	105	105	105	532
Disabled Support Grant			160			170	150	150	150	780
Telecare Equipment			289			250	250	250	250	1,289
Health and Safety Works at Social Services Establishments			17			0	0	0	0	17
Adult Services Community Space		-80	37		80	80	0	0	0	117
EPH Infrastructure Works	200	-298	220		298	298	0	0	0	518
TOTAL GROSS EXPENDITURE	200	-378	835	0	378	903	505	505	505	3,253
TOTAL EXTERNAL FUNDING	0	-378	74	0	378	378	0	0	0	452
TOTAL INTERNAL FUNDING	200	0	761	0	0	525	505	505	505	2,801
CANS - Communities, Culture and Public Realm										
Milfield Lane Comm Sports Centre			380			0	0	0	0	380
York Explore Phase 2			1,581			0	0	0	0	1,581
Barbican Auditorium			17			0	0	0	0	17
City Art Gallery Refurb and Extension			250			0	0	0	0	250
Parks and Open Spaces Development	21		86			0	0	0	0	86
Little Knavesmire Pavilion			500			0	0	0	0	500
York Explore - Infrastructure Improvements			146			0	0	0	0	146
Museums Trust		-500	1,000		500	500	0	0	0	1,500
War Memorial			115			0	0	0	0	115
Smarter York - Better Play Areas			70			225	0	0	0	295
York Art Gallery Gardens			0			350	0	0	0	350
Theatre Royal - Temporary Structure			115			0	0	0	0	115
York Theatre Royal		-120	350		120	120	0	0	0	470
Public Convenience Facilities			663			0	0	0	0	663
River Safety	100	-25	75		25	25	0	0	0	100
Litter Bin Upgrade			101			0	0	0	0	101
TOTAL GROSS EXPENDITURE	121	-645	5,449	0	645	1,220	0	0	0	6,669
TOTAL EXTERNAL FUNDING	21	0	1,767	0	0	75	0	0	0	1,842
TOTAL INTERNAL FUNDING	100	-645	3,682	0	645	1,145	0	0	0	4,827
CES - Highways & Waste										
Highway Resurfacing & Reconstruction (Struct Maint)	401		3,574			2,797	2,334	2,239	750	11,694
Special Bridge Maintenance (Struct maint)	-270		157			200	200	200	200	957
Replacement of Unsound Lighting Columns			270			0	0	0	0	270
Carbon Reduction in Street Lighting			360			200	200	200	200	1,160
City Centre Damaged Bins Replacement			0			0	0	0	0	0
Fleet Vehicles			430			0	0	0	0	430
Highways Improvements			2,300			0	0	0	0	2,300
Watercourse Restoration			100			100	0	0	0	200
Tour de France Highways Improvements			200			0	0	0	0	200
Highways Drainage Works			200			200	200	200	200	1,000
TOTAL GROSS EXPENDITURE	131	0	7,591	0	0	3,497	2,934	2,839	1,350	18,211
TOTAL EXTERNAL FUNDING	401	0	2,258	0	0	2,047	1,584	1,489	0	7,378
TOTAL INTERNAL FUNDING	-270	0	5,333	0	0	1,450	1,350	1,350	1,350	10,833
CANS - Housing & Community Safety										
Modernisation of Local Authority Homes	411	200	3,683		-200	1,598	1,480	1,230	1,268	9,259

	2014/15 Mon 2 Adj £000	2014/15 Mon 2 Reprofile £000	2014/15 Revised Budget £000	2014/15 Mon 2 Adj £000	2014/15 Mon 2 Reprofile £000	2015/16 Revised Budget £000	2016/17 Revised Budget £000	2017/18 Revised Budget £000	2018/19 Revised Budget £000	Gross Capital Programme To be Funded 14/15 - 18/19 £000
Assistance to Older & Disabled People			400			412	424	437	450	2,123
MRA Schemes	39		4,363			4,856	5,527	4,310	6,109	25,165
Local Authority Homes			5,284			1,500	0	0	0	6,784
Water Mains Upgrade	-250		50			1,400	1,000	1,000	500	3,950
Building Insulation Programme	-200		800			221	170	170	171	1,532
Disabled Facilities Grant (Gfund)			934			1,175	1,225	1,225	475	5,034
Air Quality Monitoring (Gfund)			172			0	0	0	0	172
Crematorium (Gfund)			67			0	0	0	0	67
Travellers Site Improvements (Gfund)			664			0	0	0	0	664
Loft Conversions			725			0	0	281	0	1,006
IT Infrastructure			75			50	50	50	50	275
Empty Homes (Gfund)		-100	100		100	200	100	0	0	400
Property Buy Back			75			50	50	50	0	225
TOTAL GROSS EXPENDITURE	0	100	17,392	0	-100	11,462	10,026	8,753	9,023	56,656
TOTAL EXTERNAL FUNDING	39	0	6,417	0	0	5,556	6,277	5,060	6,109	29,419
TOTAL INTERNAL FUNDING	-39	100	10,975	0	-100	5,906	3,749	3,693	2,914	27,237
CES - Transport										
Better Bus Area Fund	363		776			0	0	0	0	776
Local Transport Plan (LTP)	-681		4,926	-250		2,373	2,623	2,623	0	12,545
York City Walls - Repairs & Renewals (City Walls)			340			90	90	90	90	700
Access York	350		2,580	250		250	0	0	0	2,830
Minster Piazza			0			0	0	0	0	0
Leeman Road Flood Defences			317			0	0	0	0	317
Alley Gating			110			0	0	0	0	110
Pay on Exit Car Parking Pilot	75		100			0	0	0	0	100
TOTAL GROSS EXPENDITURE	107	0	9,149	0	0	2,713	2,713	2,713	90	17,378
TOTAL EXTERNAL FUNDING	-163	0	5,860	0	0	2,623	2,623	2,623	0	13,729
TOTAL INTERNAL FUNDING	270	0	3,289	0	0	90	90	90	90	3,649
CES - Community Stadium										
Community Stadium		-3,000	3,026	4,000	3,000	19,135	0	0	0	22,161
TOTAL GROSS EXPENDITURE	0	-3,000	3,026	4,000	3,000	19,135	0	0	0	22,161
TOTAL EXTERNAL FUNDING	0	-3,000	500	0	3,000	14,562	0	0	0	15,062
TOTAL INTERNAL FUNDING	0	0	2,526	4,000	0	4,573	0	0	0	7,099
CES - Economic Development										
Small Business Workshops			58			0	0	0	0	58
TOTAL GROSS EXPENDITURE	0	0	58	0	0	0	0	0	0	58
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	0	58	0	0	0	0	0	0	58
CBSS - Asset Management										
Fire Safety Regulations - Adaptations			108			0	0	0	0	108
Removal of Asbestos			68			0	0	0	0	68
Riverbank Repairs - Scarborough to Clifton Bridge			6			0	0	0	0	6
Riverbank Repairs – Blue Bridge Slipway			0			0	0	0	0	0
Riverbank Repairs – Marygate			525			0	0	0	0	525
Photovoltaic Energy Programme			246			100	0	0	0	346
Parliament Street Toilet Demolition			7			0	0	0	0	7
29 Castlegate Repairs			33			0	0	0	0	33
Decent Home Standards Works			11			0	0	0	0	11
Fishergate Postern			53			0	0	0	0	53
Holgate Park Land – York Central Land and Clearance			397			0	0	0	0	397
Hazel Court - Office of the Future Improvements			15			0	0	0	0	15
Asset Maintenance + Critical H&S Repairs			217			200	200	200	100	917
Community Asset Transfer			175			0	0	0	0	175
River Bank repairs			269			120	0	0	0	389
Stonebow House Freehold			62			0	0	0	0	62
Critical Repairs and Contingency		-350	6		350	350	0	0	0	356
CBSS - IT Development Plan										

	2014/15 Mon 2 Adj £000	2014/15 Mon 2 Reprofile £000	2014/15 Revised Budget £000	2014/15 Mon 2 Adj £000	2014/15 Mon 2 Reprofile £000	2015/16 Revised Budget £000	2016/17 Revised Budget £000	2017/18 Revised Budget £000	2018/19 Revised Budget £000	Gross Capital Programme To be Funded 14/15 - 18/19 £000
IT Equipment			2,284			1,870	1,920	2,245	2,025	10,344
TOTAL GROSS EXPENDITURE	0	0	2,284	0	0	1,870	1,920	2,245	2,025	10,344
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	0	2,284	0	0	1,870	1,920	2,245	2,025	10,344
CBSS - West Offices (Admin Accommodation)										
West Offices - Admin Accomm			533			0	0	0	0	533
TOTAL GROSS EXPENDITURE	0	0	533	0	0	0	0	0	0	533
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	0	0	533	0	0	0	0	0	0	533
Capital Contingency										
Capital Contingency	-300		183			0	0	0	0	183
TOTAL GROSS EXPENDITURE	-300	0	183	0	0	0	0	0	0	183
TOTAL EXTERNAL FUNDING	0	0	0	0	0	0	0	0	0	0
TOTAL INTERNAL FUNDING	-300	0	183	0	0	0	0	0	0	183
Economic Infrastructure Fund										
Access York Phase 1			3,250			0	0	0	0	3,250
Better Bus Fund			1,470			0	0	0	0	1,470
Re-Invigorate York			700			1,811	0	0	0	2,511
EIF central fund	250		8,235			6,800	5,800	0	0	20,835
TOTAL GROSS EXPENDITURE	250	0	13,655	0	0	8,611	5,800	0	0	28,066
TOTAL EXTERNAL FUNDING	250	0	423	0	0	1,800	1,800	0	0	4,023
TOTAL INTERNAL FUNDING	0	0	8,505	0	0	6,811	4,000	0	0	19,316
Gross Expenditure by Department										
CSES - Children's Services, Education and Skills	0	0	10,202	0	0	13,658	9,962	5,106	2,250	41,178
H&WB - Adult Social Services & Public Health	200	-378	835	0	378	903	505	505	505	3,253
CANS - Communities, Culture and Public Realm	121	-645	5,449	0	645	1,220	0	0	0	6,669
CES - Highways & Waste	131	0	7,591	0	0	3,497	2,934	2,839	1,350	18,211
CANS - Housing & Community Safety	0	100	17,392	0	-100	11,462	10,026	8,753	9,023	56,656
CES - Transport	107	0	9,149	0	0	2,713	2,713	2,713	90	17,378
CES - Community Stadium	0	-3,000	3,026	4,000	3,000	19,135	0	0	0	22,161
CES - Economic Development	0	0	58	0	0	0	0	0	0	58
CBSS - Asset Management	0	-350	2,198	0	350	770	200	200	100	3,468
CBSS - IT Development Plan	0	0	2,284	0	0	1,870	1,920	2,245	2,025	10,344
CBSS - West Offices (Admin Accommodation)	0	0	533	0	0	0	0	0	0	533
Capital Contingency	-300	0	183	0	0	0	0	0	0	183
Economic Infrastructure Fund	250	0	13,655	0	0	8,611	5,800	0	0	28,066
Total by Department	509	-4,273	72,555	4,000	4,273	63,839	34,060	22,361	15,343	208,158

This page is intentionally left blank

EIF monitoring Mon 2 14/15

	11/12 £000 Outturn	12/13 £000 Outturn	13/14 £000 Outturn	14/15 £000 Revised Budget	15/16 £000 Revised Budget	16/17 £000 Revised Budget	Total £000	Delivery Status	Scheme Narrative
Get York Moving - Expenditure	**395**	**2,135**	**15,857**	**13,861**	**4,750**	**0**	**36,998**		
- Park & Ride	**395**	**1,875**	**14,364**	**5,480**			**22,114**	Complete	Overall - CYC allocation of funding to the Access York project to increase the capacity of the city's Park & Ride service. Project to deliver 2 new sites at Askham Bar and Poppleton Bar will opening in 2014 along with major infrastructure improvements to the surrounding higwhays and footways.
Funded by:									
Gvt Grant - DfT		1,875	14,364	696			**16,935**		
S106		0		110			**110**		
CYC - Other	395		0	1,424			**1,819**		
CYC - EIF		0	0	3,167			**3,167**		
CYC - EIF			0	83			**83**		
	395	**1,875**	**14,364**	**5,480**	**0**	**0**	**22,114**		
- Better Bus Fund		**260**	**1,216**	**1,858**			**3,334**	In progress	Overall - CYC allocation of funding to support the BBAF bid to improve public transport in the city. The bid includes the following main elements: 1) A bus priority spine to enhance bus reliability through the city centre; 2) A city centre network of bus interchange hubs & 3) A comprehensive ticketing and marketing strategy for the wholesale enhancement of the bus network.
Funded by:									
Gvt Grant - DfT		260	1,216	388			**1,864**		
External Contributions							**0**		
CYC - EIF		0		1,470			**1,470**		
	0	**260**	**1,216**	**1,858**	**0**	**0**	**3,334**		
- LCR Transport Package			**50**	**500**			**550**	In progress	Overall - Council contribution alongside the other participating local authorities to enable the Government to devolve funding to the local areas of West Yorkshire and York. As such, there is a necessary investment by CYC in the Fund of £550K, which contributes to the overall pot of funding, to which there are six total contributing authorities. The other five authorities are the five West Yorkshire authorities of Leeds, Bradford, Wakefield, Calderdale and Kirklees.
Funded by:									
Gvt Grant - DfT							**0**		
External Contributions							**0**		
CYC - EIF			50	500			**550**		
CYC - EIF			0				**0**		
	0	**0**	**50**	**500**	**0**	**0**	**550**		
- Infrastructure Investment Plan			**227**	**523**	**250**		**1,000**	In progress	Overall - Professional and technical resources directly linked to development activity of key sites coming forward (e.g. York Central, British Sugar, Terry's & Nestle and other major sites) that will emerge from the Local Plan process. The resource will provide a timely quality and compliant service to investors and developers, such as; Planning, Transportation, Highways, Conservation/ Archaeology, Economic Development, Housing and support services.
Funded by:									
Gvt Grant - DfT							**0**		
External Contributions							**0**		
CYC - EIF			227	523	250		**1,000**		
CYC - EIF							**0**		
	0	**0**	**227**	**523**	**250**	**0**	**1,000**		
- Infrastructure Investment Plan for Growth			**0**	**5,500**	**4,500**		**10,000**	In progress	Overall - funding for the creation of a new access onto the York Central site. The scale of development will be 26 hectares within a site 35 hectares overall. It is of major importance to the city and taking a phased approach will allow development to proceed. It is proposed that the EIF earmarking of £10m will address the remaining viability issue of creating suitable access into the site.
Funded by:									
							0		
External Contributions							**0**		
CYC - EIF				**500**	**500**		**1,000**		
CYC - EIF				**5,000**	**4,000**		**9,000**		
	0	**0**	**0**	**5,500**	**4,500**	**0**	**10,000**		
Get York Moving - Funding	**395**	**2,135**	**15,857**	**13,861**	**4,750**	**0**	**36,998**		

	11/12 £000 Outturn	12/13 £000 Outturn	13/14 £000 Outturn	14/15 £000 Revised Budget	15/16 £000 Revised Budget	16/17 £000 Revised Budget	Total £000	Delivery Status	Scheme Narrative
Digital York - Expenditure	**0**	**0**	**106**	**4,993**	**0**	**0**	**5,099**		
- Super Connected Cities			**106**	**4,993**			**5,099**	In progress	Overall - to establish a comprehensive digital highway by 2015 that would propel the City into becoming one of the best digitally connected cities in Europe. The Super-Connected Cities Programme i) minimises the extent to which York developed a two speed digital economy by focussing on the opportunities which the market would find challenging without support and ii) puts in place a number of projects that would place York at the top end of digitally connected UK cities. The programme is focussed on 8 projects that complement existing private and public digital investment
Funded by:									
Gvt Grant - Super Connected City DCMS			0	3,000			**3,000**		
External Contributions				1,230			**1,230**		
CYC - EIF			97	457			**554**		
CYC - EIF			9	306			**315**		
	0	**0**	**106**	**4,993**	**0**	**0**	**5,099**		
Digital York- Funding	**0**	**0**	**106**	**4,993**	**0**	**0**	**5,099**		

	11/12 £000 Outturn	12/13 £000 Outturn	13/14 £000 Outturn	14/15 £000 Revised Budget	15/16 £000 Revised Budget	16/17 £000 Revised Budget	Total £000	Delivery Status	Scheme Narrative
Reinvigorate York - Expenditure	**0**	**327**	**735**	**2,551**	**1,811**	**0**	**5,424**		
- Reinvigorate York - All		**292**	**596**	**801**	**1,811**		**3,500**	Paused for Review	Overall - A suite of projects aimed at creating significant improvements to the quality of a series of key public spaces within the city centre and improvements to the way people move around, and interact with, the city centre. Comprised of: Parliament St, Kings Square, Exhibition Sq, Fossgate, Duncombe Place & Mickelgate
Funded by:									
External funding							**0**		
External Contributions							**0**		
CYC - EIF		200					**200**		
CYC - EIF		50	149	101			**300**		
CYC - EIF		42	447	700	1,811	0	**3,000**		
	0	**292**	**596**	**801**	**1,811**	**0**	**3,500**		
- Newgate Market Refurbishment		**0**	**114**	**1,500**			**1,614**	In progress	Overall - investment to reinvigorate the markets as a platform for enterprise and opportunity, creating a destination market with a clear brand and the potential to increase footfall and spend. It will aim to deliver a step change in the city's profile as a visitor and retail destination contributing to a wider drive to enhance the overall attractiveness and competitiveness of the city centre.
Funded by:									
External funding							**0**		
External Contributions							**0**		
CYC - EIF				114			**114**		
CYC - EIF		0	114	1,386			**1,500**		
	0	**0**	**114**	**1,500**	**0**	**0**	**1,614**		
- Xmas Stimulus Package		**34.5**	**0**	**0**	**0**	**0**	**35**	Complete	Overall - A package of measures designed to boost footfall in York City centre. The package will include a boost in investment to the Christmas lights in the city centre, free evening car parking on Thursdays combined with free Park & Ride services, as well as one day's free parking at CYC city centre car parks on Boxing Day. These combined stimuli were promoted to attract a greater footfall to the city centre than otherwise would be recognised.
Funded by:									
External funding							**0**		
External Contributions							**0**		
CYC - EIF		34.5					**35**		

	0	35	0	0	0	0	34.5		
- Arts Barge Project		0	25	75	0	0	100	In progress	Overall - investment of up to £100k capital into the purchase and renovation of a river barge to create a floating arts venue. Specifically support, 1) the Barge Purchase, Refit and Launch, 2) the Consolidation & Extending the core work of the ABP, 3) the development of established revenue streams and creating new income and 4) ensuring the ABP marketing and promotion is fit for purpose.
Funded by:									
External funding							0		
External Contributions							0		
CYC - EIF		0	0	0			0		
CYC - EIF		0	25	75			100		
	0	0	25	75	0	0	100		
- Hungate and Peasholme Public Realm		0		175			175	In progress	Overall - A project for the development of a more pedestrian-friendly and higher quality public realm in the Hungate area, creating a new pedestrian circuit in the city centre. It will link the new improved spaces and streets and also bring footfall to this currently underutilised area of the centre.
Funded by:									
External funding							0		
External Contributions							0		
CYC - EIF		0					0		
CYC - EIF		0		175			175		
	0	0	0	175	0	0	175		
Reinvigorate York - Funding	0	327	735	2,551	1,811	0	5,424		

	11/12 £000 Outturn	12/13 £000 Outturn	13/14 £000 Outturn	14/15 £000 Revised Budget	15/16 £000 Revised Budget	16/17 £000 Revised Budget	Total £000	Delivery Status	Scheme Narrative
Economic Inclusion York - Expenditure	0	0	411	427	0	0	838		
- Financial Inclusion Policy and Action Plan		0	30	270			300	In progress	Overall - The Council's vision is to lead and drive forward a high-level Citywide commitment to reduce financial exclusion in York over forthcoming years. To position CYC at the forefront of financial inclusion activity in the City and to progress the actions identified in the Financial Inclusion Policy. It's overarching aim is to ensure that local people have the knowledge of and access to appropriate services, allowing them to make more informed choices to achieve and maintain financial stability. Funding is targeted through a range of providers able to demonstrate specific schemes and projects to meet FI aims including transforming advice service provision across the city, tackling fuel poverty, extending digital inclusion and financial capability and increase the take up of free school meals.
Funded by:									
External funding							0		
External Contributions (in kind)							0		
CYC - EIF		0	30	270			300		
	0	0	30	270	0	0	300		
- Living Wage			338				338	Complete	Overall - to implement a Living Wage for employees (c570) with council contracts building on the commitment already given to becoming a Living Wage Employer
Funded by:									
External funding							0		
External Contributions (in kind)							0		
CYC - EIF			338				338		
	0	0	338	0	0	0	338		
- Economic Inclusion Programme			43	157			200	In progress	Overall - 3-year programme of activity targeted at 3 themed strategic priorities, based on gap analysis of York's Employment and Skills Assessment of Need. The programme will assemble a series of smaller, targeted interventions and activities which will specifically be aimed at connecting residents to jobs and opportunities.
Funded by:									
External funding							0		
External Contributions (in kind)							0		
CYC - EIF			43	157			200		
	0	0	43	157	0	0	200		
Economic Inclusion York	0	0	411	427	0	0	838		

	11/12 £000 Outturn	12/13 £000 Outturn	13/14 £000 Outturn	14/15 £000 Revised Budget	15/16 £000 Revised Budget	16/17 £000 Revised Budget	Total £000	Delivery Status	Scheme Narrative
Sustainable Economy York	0	145	728	2,089	3,050	50	6,062		
- Targeting Growth in Key Sectors		40	40				80	Complete	Overall - A project designed to identify, initiate and deliver projects in the city's high value sectors as a way of promoting growth in GVA and jobs. will provide funding to the city's lead industry body for these high value sectors – Science City York – funding to provide dedicated resource in engaging with and most importantly, identifying the barriers to growth in these sectors, as well as solutions for retaining and growing the city's existing business base in these sectors, but also to attract new businesses in these sectors.
Funded by:									
External funding							0		
External Contributions (in kind)							0		
CYC - EIF		40	40				80		
	0	40	40	0	0	0	80		
- Digital and Media Arts Hub			79	321	3,000		3,400	In progress	Overall - A project to provide creative professional business space for established creative and digital businesses as well as space for new and up and coming creative digital businesses with the availability of Pods and Pod packages.
Funded by:									
External funding					1,000		1,000		
External Contributions (in kind)					1,000		1,000		
CYC - EIF			79				79		
CYC - EIF				321	1,000		1,321		
		0	79	321	3,000	0	3,400		
- Tour de France - Campaign			500				500	Complete	Overall - CYC contribution for the Tour de France comprised of three elements: 1) The £500k fee for us hosting the second day start; 2) costs associated with delivering the event and 3) ensuring a strong cultural and cycling legacy.
Funded by:									
External funding							0		
External Contributions (in kind)							0		
CYC - EIF		50	0				50		
CYC - EIF			500				500		
		50	500	0	0	0	550		
- Economic Growth Analysis		30	0	0	0	0	30	Complete	Overall - Establish a robust evidence base as to the current performance of the city centre as geographical location for economic and social activity – a "state of the city centre" audit and analysis and specify and analyse the market forces affecting the competitive position of York city centre and how these might be used inform strategies for developing the city centre offer.
Funded by:									
External funding							0		
External Contributions (in kind)							0		
CYC - EIF		30	0	0	0	0	30		
		30	0	0	0	0	30		
- Promoting York		50	46	54	50	50	250	In progress	Overall - A project to provide revenue funding to enable the city's outreach to new markets and the city's effective reception of inward market links. The budget would be used for three purposes: 1) proactively building links to emerging markets where there is a clear economic benefit to the city; 2) providing a positive open door to inward delegations (responsive to opportunities as and when they arise); and 3) more effectively marketing the city's offer to both incoming delegations and to markets abroad.
Funded by:									
External funding							0		
External Contributions (in kind)							0		
CYC - EIF		50	46	54	50	50	250		
		50	46	54	50	50	250		
- MIPIM 2013		25	0	0	0		25	Complete	Overall - investment by the local authority to enable the city to leverage sponsorship and involvement of the private sector additionally, creating an overall impact which is greater than this initial investment.
Funded by:									
External funding							0		

External Contributions (in kind)							**0**		
CYC - EIF		25	0	0	0	0	**25**		
		25	**0**	**0**	**0**	**0**	**25**		
- LCR Revolving Investment Fund			**57**	**1,615**			**1,672**	In progress	Overall - Contribution to the Leeds City Region's to create a Fund of up to £500m that could be invested in projects that support economic growth, with financial returns being reinvested on a revolving basis. Based on the impact of investments made by the Regional Development Agencies, such a Fund might be expected to support regional Gross Value Add growth, over time, of up to £3billion.
Funded by:									
External funding							**0**		
External Contributions (in kind)							**0**		
CYC - EIF			57	1,615			**1,672**		
CYC - EIF					0	0	**0**		
		0	**57**	**1,615**	**0**	**0**	**1,672**		
- Acomb Community Economic Development			**6**	**24**			**30**		Overall - investment from EIF in core infrastructure for the Acomb Front Street which will act as a catalyst for community led economic development in the area. The need for this project is based on the economic conditions of the area, and the challenges facing the high street in the form of vacancy rates on the rise and a structural shift in the local economy toward a rise in charity and betting shops. Without intervention, there is likely to be a domino effect as vacancies lead more local residents to shopping elsewhere whilst the sustainability of maintaining local businesses in conditions of falling footfall becomes an increasing problem.
Funded by:									
External funding							**0**		
External Contributions							**0**		
CYC - EIF		0	6				**6**		
CYC - EIF		0		24			**24**		
	0	**0**	**6**	**24**	**0**	**0**	**30**		
- Biovale Project				**75**			**75**	In progress	Overall Investment to provide support to working with the University in developing the fundamental components of the proposed 'Biovale' cluster – including business plan, master plan for physical premises, and engagement of private sector. This support will be critical in ensuring that the project can effectively draw down and unlock further investment being proposed through both Leeds City Region and York and North Yorkshire Local Enterprise Partnerships in their bids for Local Growth Fund and ESIF monies.
Funded by:									
External funding							**0**		
External Contributions							**0**		
CYC - EIF		0		75			**75**		
CYC - EIF		0					**0**		
	0	**0**	**0**	**75**	**0**	**0**	**75**		
Sustainable Economy York - Funding	**0**	**195**	**728**	**2,089**	**3,050**	**50**	**6,112**		

	11/12 £000 Outturn	12/13 £000 Outturn	13/14 £000 Outturn	14/15 £000 Revised Budget	15/16 £000 Revised Budget	16/17 £000 Revised Budget	Total £000	Delivery Status	Scheme Narrative
Core Costs - Expenditure	**0**	**0**	**86**	**86**	**86**	**172**	**430**		
- Officer delivery team		**0**	**86**	**86**	**86**	**172**	**430**	Continuing	Overall - Contribution to effectively administer the fund, a virtual team in place to support the development of bids and to ensure connectivity/coordination with the work being done in the city to attract private sector investment – thereby maximising the overall value for money to be generated by the Fund.
Funded by:									
CYC - EIF		0	86	86	86	172	**430**		
	0	**0**	**86**	**86**	**86**	**172**	**430**		
Core Cost/Project Team	**0**	**0**	**86**	**86**	**86**	**172**	**430**		

Summaries by Theme Committed							
Gross Cost	**11/12 £000**	**12/13 £000**	**13/14 £000**	**14/15 £000**	**15/16 £000**	**16/17 £000**	**Total £000**
Get York Moving	395	2,135	15,857	13,861	4,750	0	**36,998**
Digital York	0	0	106	4,993	0	0	**5,099**
Reinvigorate York	0	326.5	735	2,551	1,811	0	**5,424**
Economic Inclusion York	0	0	411	427	0	0	**838**
Sustainable Economy York	0	145	728	2,089	3,050	50	**6,062**
Core Costs	0	0	86	86	86	172	**430**
TOTAL	395	2,606.5	17,837	23,921	9,611	50	**54,851**

EIF element summary by project		11/12 £000 Outturn	12/13 £000 Outturn	13/14 £000 Outturn	14/15 £000 Revised Budget	15/16 £000 Revised Budget	16/17 £000 Revised Budget	Total £000
Approved								
- Park & Ride			0	0	3,250	0	0	3,250
- Better Bus Fund			0	0	1,470	0	0	1,470
- Reinvigorate York - All			292	596	801	1,811	0	3,500
- Newgate Market Refurbishment			0	114	1,500	0	0	1,614
- Targeting Growth in Key Sectors			40	40	0	0	0	80
- Tour de France - Campaign			50	500	0	0	0	550
- Economic Growth Analysis			30	0	0	0	0	30
- Officer delivery team			0	86	86	86	172	430
- Financial Inclusion Policy and Action Plan			0	30	270	0	0	300
- Promoting York			50	46	54	50	50	250
- MIPIM 2013			25	0	0	0	0	25
- Xmas Stimulus Package			34.5	0	0	0	0	34.5
- Arts Barge Project			0	25	75	0	0	100
- Living Wage			0	338	0	0	0	338
- LCR Transport Package			0	50	500	0	0	550
- LCR Revolving Investment Fund			0	57	1,615	0	0	1,672
- Economic Inclusion Programme			0	43	157	0	0	200
- Super Connected Cities			0	106	763	0	0	869
- Infrastructure Investment Plan			0	227	523	250	0	1,000
- Acomb Community Economic Development			0	6	24	0	0	30
- Infrastructure Investment Plan for Growth	£0.5m approved, £9.5m stbc		0	0	5,500	4,500	0	10,000
- Hungate and Peasholme Public Realm			0	0	175	0	0	175
- Biovale Project			0	0	75	0	0	75
	Total Approved	**0**	**522**	**2,264**	**16,838**	**6,697**	**222**	**26,542.5**
Subject to Further Cabinet Approval								
- Digital and Media Arts Hub	£0.4m approved, £1.0m stbc		0	79	321	1,000	0	1,400
	Total STBC/for Approval	**0**	**0**	**79**	**321**	**1,000**	**0**	**1,400.0**
	Total All	**0**	**521.5**	**2,343**	**17,159**	**7,697**	**222**	**27,942.5**
	Total Fund Value							**28,500.0**
	Fund Available							**557.5**

This page is intentionally left blank

Cabinet **16 December 2014**

Report of the Cabinet Member for Finance and Performance

2014/15 Finance Monitor 2

Purpose of the Report

1 To present details of the Council's financial position for the period covering 1 April to 30 September 2014.

Summary

2 The mid year forecast indicates that the council faces financial pressures of £1,309k, a significant improvement of £1,015k compared to the £2,324k reported at Monitor 1.

Analysis

3 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.

4 To provide some context to this, the Council:

- has made £16.4m of savings over the period 2007/08 to 2009/10.
- has made a further £74.2m of savings covering the period 2010/11 to 2015/16.
- and has therefore made a total of £90.6m of savings over the 9 years covering 2007/08 to 2015/16.
- has since the 2010 CSR (2011/12-2015/16) experienced government grant reductions of some £37.6m, or 46%.

5 In common with councils across the country, the largest budget pressure is in respect of meeting increased demographic demand for adult social care and the increasing complexity, and therefore cost, of care packages for the ageing population. Published ONS Population Projections show that the 65-69 year old population of the City of York expanded by 18.9%

(1,738 people) between 2011-2013, while the over 90 year old population expanded by 14.3% (337 people) in the same 2 years. The council has allocated, between 2007/08 and 2014/15, £16m of additional funding to meet rising demand.

6 The Council's net budget is £124,186k. Following on from previous years, the challenge of delivering savings continues with £11m to be achieved in order to reach a balanced budget. Mid year forecasts indicate the Council is facing financial pressures of £1,309k and an overview of this forecast, on a directorate by directorate basis, is outlined in Table 1 below.

2013/14 Outturn	**Directorate**	**2014/15 Net Budget**	**Forecast at Monitor 1**	**Latest Forecast**
£'000		£'000	£'000	£'000
+309	Children's Services, Education & Skills	17,363	+707	+581
+443	City & Environmental Services	12,143	+1,098	+989
-61	Communities & Neighbourhoods	10,377	-	-
-318	Customer & Business Support Services	17,737	-35	-35
+1,503	Adult Social Care	50,385	+841	+1,012
-112	Public Health	92	+239	+183
-4	Office of the Chief Executive	3,195	-26	-26
+1,760	**DIRECTORATE BUDGETS**	**111,292**	**+2,824**	**+2,704**
-2,074	Central Budgets	12,894	-500	-1,395
-314	**TOTAL**	**124,186**	**+2,324**	**+1,309**

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 Despite a reduction in the number of Looked After Children and a reduction in expenditure of almost £1m since 2012/13, the underlying budget pressure from previous years results in a net projected overspend within children's social care resources budgets. This includes forecast pressures on Out of City and Independent Foster Agency placements (£388k and £355k respectively), contract placements (£80k), The Glen Respite Care Home (£91k) and Adoption, Residence & Guardianship orders (£142k). It also includes additional staffing costs within Children's

Safeguarding teams and the Integrated Family Service (£221k and £78k respectively).

9 The number of Looked After Children (LAC) is unlikely to reduce in the foreseeable future, and York's unit cost per LAC is already the lowest of all 150 Local Authorities nationally. Therefore, although opportunities to reduce costs further will continue to be explored, any further significant savings in this area are unlikely to be achievable, and options elsewhere within the directorate will need to be considered.

10 Offsetting these overspends a significant saving of £105k is currently projected on children's services legal fees. This is in excess of the budget saving already delivered for 2014/15 but allows no provision for any new complex cases requiring significant expert legal support. Special Educational Needs residential placements are forecast to underspend by £205k.

11 A number of posts being kept vacant within the school improvement and connexions services in advance of delivering savings proposed for the 2015/16 financial year results in a forecast net underspend of £350k.

12 The Children's Services, Education & Skills Directorate Management Team are committed to doing all they can to try and contain expenditure within their budget for 2014/15 and reduce the projected overspend as far as possible by the year end. Dealing with the budget pressures is a standing item at the weekly management meetings, with all options available to further mitigate the current overspend projection being explored.

City & Environmental Services

13 There is a continued shortfall from parking income (£408k) and ongoing monitoring will be required to assess the impact of the current parking initiatives, including the charges for Minster Badges, the free parking introduced in late June and pay-on-exit at Marygate.

14 There is a forecast overspend of £98k due to lower than budgeted income from commercial waste, £100k shortfall in income from garden waste subscription, £100k due to the forecast shortfall in dividend from Yorwaste and £233k pressure at Household Waste and Recycling Centres primarily due to lower than expected income from charges. These overspends are reduced by a forecast saving of £115k on landfill costs based on current tonnage forecasts and £122k additional income from landfill gas at Harewood Whin.

15 Early indications are that there will be a shortfall in income within development management pending publication of the Local Plan. Together with continued income shortfalls within building control and the costs of refunding personal search agencies for fees charged between 2005 and 2010, these variances result in a total forecast overspend of £590k within development service, planning and regeneration. A range of other minor underspends and proposed mitigations make up the total directorate position.

Communities & Neighbourhoods

16 The main budget pressure being experienced relates to Learning Services (£200k) where a restructure will be implemented over the coming months. Other minor pressures are also being experienced; however, a mitigation plan is in place to identify additional savings so that the directorate will outturn within the approved budget.

Customer & Business Support Services

17 A small underspend of £35k is currently forecast and work will continue to try and identify additional savings to help the overall position.

Adult Social Care

18 As part of the department's response to the recent audit of department, a major exercise is currently underway to review this budget on an item-by-item basis in relation to both income and expenditure. At the end of this exercise there will be an unambiguous budget for adults which will clearly identify controllable spend within the department and crucially, will differentiate between individual line items that are under-budgeted due to the way in which the budget is distributed at present, and those that are genuinely overspent. On completion of this exercise the adults team will move on to benchmarking against best practice, both the adults budget and the major expenditure categories within that budget.

19 Within Adult Assessment and Safeguarding staffing costs are currently projected to overspend by £98k due mainly to additional safeguarding staff hours required in the first half of the year to deal with a backlog of cases, and additional management capacity over and above the amount provided for in the budget.

20 There is also a projected overspend in relation to DOLS (Deprivation of Liberty). All councils with adults responsibilities have been impacted by a recent court ruling that is dramatically increasing the number of formal applications that must be processed and this increase could not have been foreseen at the time that the 2014/15 budget was set.

21 The latest estimate is for £438k of additional costs in 2014/15. It is possible that additional government funding may be provided to Local Authorities to assist, although to date no commitment has been made. At Monitor 1, Cabinet agreed to allocate one-off contingency funding to cover the net additional costs in 2014/15.

22 There is a significant projected overspend of £864k within the Elderly Persons Homes budgets. The vast majority of this is due to ongoing overspends and pressures that were identified during 2013/14 including:

- Utilities, cleaning, catering and R&M. This is the largest projected variance for this area and reflects the actual increase in costs to 2013/14 for essential services at the residential homes, which continues into 2014/15. (+£314k)

- Increased staffing ratios. The budgeted staffing ratios do not fully take into account either the impact of the move to the household model of provision in the two dementia care homes, nor the changing client mix within the remaining five homes. Both of these changes have increased the ratio of staff to residents and results in a continuing overspend in 2014/15. (+£180k)

- Temporary staffing costs. The nature of the service provision has meant that the use of temporary staff has increased in recent years (+£214k)

- Undelivered 2013/14 budget saving following changes to the Elderly Persons Homes reprovision project. (+£165k)

- Net additional income. The residential homes receive income from beds commissioned by health partners and from charges to residents who do not have their care fully funded by the council. Based on current patterns, there is a projected surplus for 2014/15. (-£9k)

23 Other minor variations within Small Day Services, Contracted Services, Sheltered Housing with Extra Care, Home Care Nights Service and staffing budgets contribute to a net projected underspend of £41k.

Public Health

24 The former Primary Care Trust budget for genitourinary activity was allocated on a population basis (25% to York and 75% to North Yorkshire County Council). However in practice the actual activity has been closer to 50:50, leading to a significant overspend on this budget in 2013/14 which is projected to continue into 2014/15 (+£658k). In addition there is a one-off backdated payment of £125k outstanding for 2013/14. For

2014/15 a one-off budget virement of £488k has been made from other Public Health budgets to help offset the pressure and work is underway to retender this contract from July 2015 with the aim of delivering a new service within the available budget.

25 A range of minor savings and variations within a number of other contracts contribute to a net projected underspend of £112k across all other Public Health budgets.

Office of the Chief Executive

26 A small underspend of £26k is currently forecast and work will continue to try and identify additional savings to help the overall position.

Housing Revenue Account

27 The Housing Revenue Account is budgeted to make an in year surplus of £600k. A review of the budgets in the area shows that, overall, the account is expected to outturn on budget. There are currently some pressures within housing repairs (approx £400k) however these are offset by a range of savings including lower than forecast rent arrears and staffing vacancies. The working balance of £12.1m at 31/3/14 will therefore increase to £12.7m by 31/3/15 in line with the Housing Revenue Account business plan.

Corporate Budgets

28 These budgets include Treasury Management and other corporately held funds. It is anticipated that a £1,000k underspend will be achieved, predominantly through improved Treasury Management performance as a result of reviewing some assumptions on the cash flow position which will mean more interest being earned than previously anticipated. In addition, the Yorkshire Purchasing Organisation dividend income received was £45k more than budgeted for and pension strain costs to date have been lower than anticipated in the financial year resulting in an in year underspend of £350k.

Loans

29 Further to a recent scrutiny review, Cabinet 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 bank base rate plus 1% and all repayments are up to date.

Consultation & Options

30 This report is for information so no options are presented.

Consultation

31 There has been extensive consultation with Trade Union groups on the ongoing implications of the council's financial situation.

Council Plan

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

Implications

33 The implications are:

- Financial - the financial implications are dealt with in the body of the report.
- Human Resources - the HR implications of change is managed in accordance with established council procedures. As part of this process consultation with trade unions and affected staff will continue to be undertaken and every opportunity will be explored to mitigate compulsory redundancies, such as vacancy controls, flexible working, voluntary redundancy / early retirement and extended redeployment. Where consideration is being given to the transfer of services to another provider TUPE will apply which will protect the terms and conditions of employment of transferring staff. A programme of support for staff who are going through change is planned which will help staff adapt to changes to the way they will need to work or to prepare for a move into a new role.
- 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

34 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.

Recommendations

35 Cabinet is asked to note the current financial position of the Council.

Reason: to ensure expenditure is kept within the approved budget

<table>
<tr><td>Authors:</td><td colspan="4">Cabinet Member &Chief Officer Responsible for the report:</td></tr>
<tr><td rowspan="3">Debbie Mitchell
Corporate Finance Manager
Ext 4161</td><td colspan="4">Cabinet Member for Finance and Performance

Ian Floyd
Director of Customer & Business Support Services</td></tr>
<tr><td>Report Approved</td><td>√</td><td>Date</td><td>13/11/14</td></tr>
<tr><td colspan="4"></td></tr>
<tr><td colspan="4">Wards Affected: All</td><td></td></tr>
<tr><td colspan="5">For further information please contact the authors of the report</td></tr>
</table>

Annexes – None

Glossary of Abbreviations used in the report:
CSR -Comprehensive Spending Review
DOLS - Deprivation of Liberty
HR – Human Resources
LAC - Looked After Children
ONS – Office for National Statistics
R&M -
TUPE - Transfer of Undertakings (Protection of Employment) Regulations 2006

Cabinet **16 December 2014**

Report of the Cabinet Member for Finance and Performance

2014/15 Performance Monitor Quarter 2

Purpose of the Report

1 To present details of the Council's performance covering 1 April to 30 September. This is the second report of the financial year and assesses performance against key themes, including Council Plan Priorities.

Summary and Analysis

2 This is contained in the attached York Monitor report.

Consultation & Options

3 This report is for information so no options are presented.

Corporate Priorities

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

Implications

5 Any implications are dealt with within the report.

Risk Management

6 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.

Recommendations

7 Cabinet is asked to note the council's current performance against its key priorities.

Reason: To update Members on the performance of the Council in relation to the priorities set out in the Council Plan.

<table>
<tr><td>Authors:</td><td colspan="4">Cabinet Member & Chief Officer Responsible for the report:</td></tr>
<tr><td rowspan="3">Business Intelligence Hub</td><td colspan="4">Cabinet Member for Finance and Performance

Ian Cunningham, Group Manager, Business Intelligence Hub</td></tr>
<tr><td>Report Approved</td><td>√</td><td>Date</td><td>1 December 2014</td></tr>
<tr><td colspan="4"></td></tr>
<tr><td colspan="4">Wards Affected: All</td><td></td></tr>
<tr><td colspan="5">For further information please contact the authors of the report</td></tr>
</table>

Annexes
Annex 1 – York Monitor
Priority Board Scorecards (online only)

Annex 1

York Monitor

Quarter 2 Update 2014 – 2015

CITY OF YORK COUNCIL

Welcome to the Quarter 2 update of the York Monitor for 2014 – 2015.

This report presents a range of information illustrating the 'state of the nation' in the City, activities and achievements undertaken by the Council over the last financial year and a short tour of just some of the priorities that the Council has committed to for the coming year. There are some case studies under each of the Council Plan priorities set out below, to illustrate how the work is contributing to real outcomes and benefits for the community.

Create jobs and grow the economy .. 4

Build strong communities 6

Protect vulnerable people 8

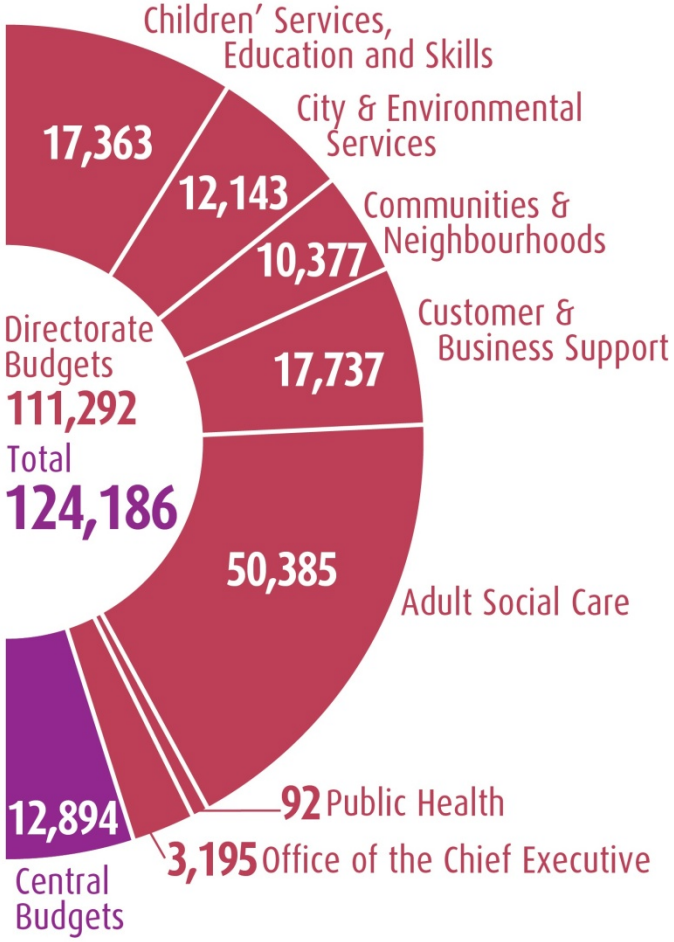
Protect the environment 10

Get York moving 12

Our Organisation 14

Managing the Money

Gross Expenditure Budget (£000s)



Work to achieve a balanced budget for 2014/15 and to develop council's longer term budget for 2015 – 2020

All aspects of the public sector continue to face challenging times following the Government's commitment to reduce the national deficit and as a result, the Council has had to deal with large reductions in funding in recent years, combined with a range of significant financial pressures. Between 2007/08 and 2009/10 the Council made £16.4m of savings and a further £74.2m will have been made by 2015/16, meaning total savings of £90.6m over 9 years.

The largest pressure on budgets is from meeting increased demographic demand for adult social care and the increasing complexity, and therefore cost, of care packages for the ageing population. The Office of National Statistics Population Projections show that the population aged 65-69 in York expanded by 18.9% between 2011-2013, while the over 90 year old population expanded by 14.3%. Between 2007/08 and 2014/15 the Council added £16m of additional funding to meet rising demand.

The Council delivers a wide range of services to approximately 200,000 people across a City that covers 105 square miles. It is a City that is rich in heritage and has a great deal to offer. It has remained resilient and has recovered from the downturn earlier than many other parts of the country.

York's people are passionate and its cultural identity strong. The Council is committed to using its position to support the City and its residents in being the best both it and they can be. Whilst the economy is strong and growing stronger, the Council's own financial climate remains extremely challenging and this shows no signs of an early reprieve.

All Council officers are working hard to deliver services in innovative ways, but the landscape that is local government is a difficult one.
The Council is very pleased to present the achievements it has made in spite of this. The Council wants to continue to work with partners and residents to improve the quality of life in York and continue the journey towards being a truly great modern European city.

The Council's net budget is just under £124.2m. Following on from previous years, the challenge of delivering savings continues with £11m to be achieved in order to reach a balanced budget. Mid year forecasts indicate the Council is facing financial pressures of £1.3m in 2014/15.

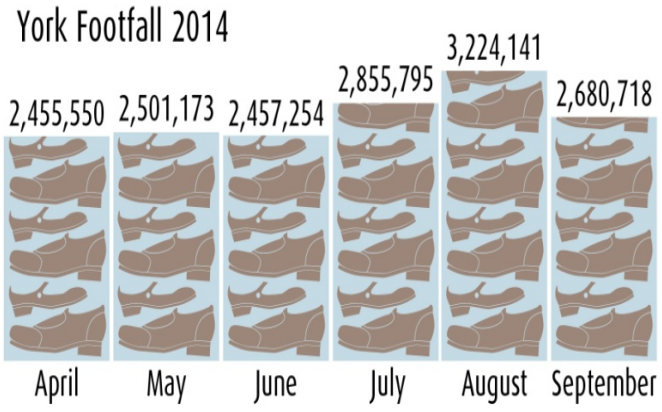
Continue to ensure high levels of income collection and debt management
Further to a recent scrutiny review, Cabinet agreed that quarterly Finance monitoring reports would include a review of any outstanding loans over £100k.

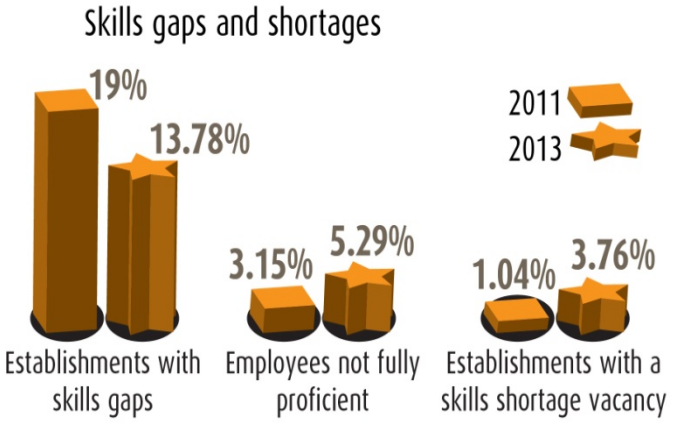
Looking Ahead...

The council's Customer Service and Business Support Directorate is home to the council's Financial team. Their priorities in 2014-15 include:

- Working to achieve a balanced budget for 2014/15 and to develop and agree the council's longer term budget for 2015 – 2020.
- Providing support to the council's Rewiring Public Services programme including support to procurement, finance, legal, customers, ICT, Human Resources and Asset Management functions, whilst providing support to financial reporting across a range of projects under the banner of the Rewiring Programme.
- Complete a strategic review of assets held by the Council.
- Ensure high financial standards and financial innovation.
- Continue to ensure high levels of income collection and debt management
- Implement category management in the commercial procurement hub to achieve efficiencies.
- Respond to Welfare Reform, lead on financial inclusion and support work on poverty.

Create Jobs and Grow the Economy





Create Employment
The number of Job Seekers Allowance claimants has fallen to 1% from 1.2% in Q1 and is below national and regional averages of 2.2% and 2.9% respectively. However, York has a higher proportion of part time workers than both regional and national averages at 33.2%, compared with 26.3% and 25.3% respectively.
The 5th jobs fair held at York Railway Institute in September attracted 1,023 residents looking for jobs and career advice. The event, which was organised through partnerships between the Council, York Learning, Job Centre Plus and Learning City York sought to bring together employers to offer advice and the chance to speak face to face to businesses about real employment opportunities in the city.

Older People in Employment
The Council's Economic Inclusion Fund has been used to commission the Experience Work 50+ programme designed to help older people into work. The pension age for women is increasing to 65 in 2018 and 66 for all in 2020 meaning people will either choose or need to stay in work for longer. 92 people have completed the programme and 36.6% have gained employment, are self employed or gone on to further training.

Supporting Businesses
York has received funding through the Leeds City Region and York, North Yorkshire & East Riding Enterprise Partnerships, including £26m through the Local Growth Fund, £400k through the Business Growth Fund, and potential further resource through the £1bn West Yorkshire + Transport Fund. Within the last quarter two successful bids have been made through the North Yorkshire Local Enterprise Partnership Business Growth Programme: First Steps Day Nursery were awarded £40,000, and Monk Bridge Construction Company were awarded £90,000. Including these there have now been 13 successful bids across both LEPS with £2.3 million total spend, £400k total grant and 71 jobs.

Supporting young People with high support needs into Employment
The Route to Success Training Programme for Young People includes providing support to those with high support needs to gain employment. This programme has been successful with 30 students completing and 15 of those being High Support Needs learners. Performance is expected to increase in the 2014/15 academic year, with 22 High Needs Support students recruited so far.

Focus on Pop Up Cafes

City of York Council and Business Inspired Growth have worked together to deliver two 'pop up' business support and advice events:

- Your Bike Shed on 13th August
- Exhibition Hotel on 18th September

At each event there were a number of local business experts on hand to offer free business advise on topics ranging from social media to tax and accountancy. The sessions were held in an informal style with businesses choosing which topics they would like to discuss and then given timeslots with their relevant experts.

Feedback from businesses has been positive and the Council aim to follow up on business progress to evaluate the success of these events.

More information on pop up cafes can be found at the link below:

http://youtu.be/nUIkB8HoUyw

High Speed Rail Developments

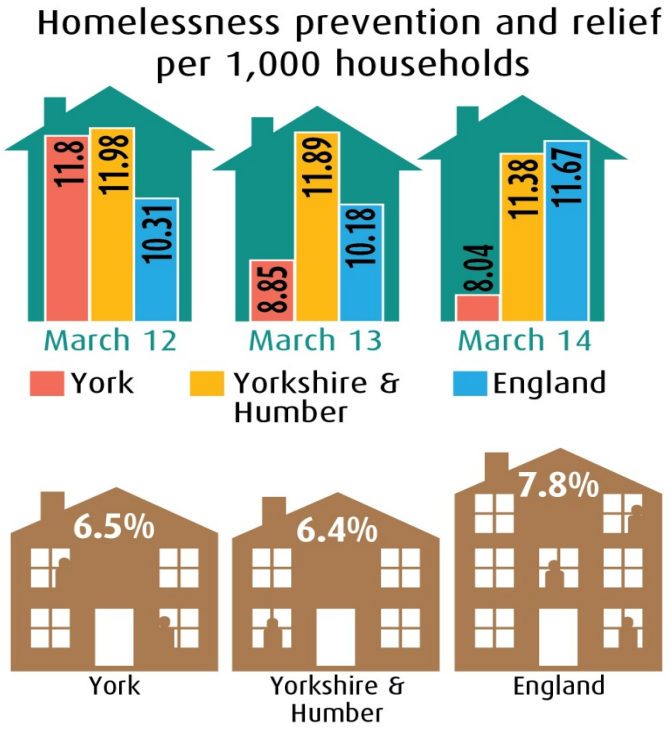
There has been significant national investment announcements and plans around rail in recent months, providing sizeable opportunities for York and its strong rail sector over the next few decades. September saw the announcement that the proposed national high speed rail college is coming to Yorkshire, with Doncaster selected to co-host the training centre with Birmingham. After York missed out on its bid to host the college, the city backed Doncaster's bid to train at least 2,000 apprentices for the planned HS2 project, and will be working with Doncaster closely in 2015 to ensure help shape the curriculum appropriately for York-based employers. High Speed 2 and High Speed 3 proposals continue to develop, with intense lobbying from various cities and regions. York specifically has been championing investment which will benefit the city through the East Coast Mainline Authorities and Connected Cities group at party conferences; as well as directly with government. Finally, Rail North, a body taking forward a collective approach to rail in the North, shortlisted bidders for the running for current Northern and Transpennine franchises. Over the next 5 years more than £1 billion will be spent on the rail network in the north.

Looking Ahead...

To create jobs and grow the economy the Council will:

- Set up marketing & business development agency for the city to work with the private sector to bring economic growth.
- Deliver key projects including York Central, York BioHub, and Skills capital through Askham Bryan. These are funded through the Local Growth Fund for the Leeds City Region and York, North Yorkshire and East Riding Local Enterprise Partnerships.
- Host access to finance/business support events:
  - Manufacturing Match – 07/10/14
  - Growth Accelerator – 16/10/14
- Deliver Living Wage Week Events in November for large and small businesses to discus becoming accredited and paying the Living Wage.
- Hold a conference for city businesses in November, with a range of activities providing advice and support to business. Speakers include: Sir Stuart Rose (Chief executive of Ocado), Martin Van de Weyer (Business Editor, Spectator) and other local entrepreneurs. This will be linked to activity around Global Entrepreneurship week.

Build Strong Communities



Deliver a community stadium including a county standard athletics facility
Greenwich Leisure Ltd (the UK's largest leisure centre operator) is leading the consortium named as the preferred bidder to deliver the 8,000 all-seater York Community Stadium & Leisure Complex and run the council's existing leisure centres at Yearsley Pool and Energise.

Support community groups to take greater ownership of the management and operation of parks and green spaces
Between July and September, the Smarter York team worked on 29 community schemes including the community running of Rowntree Park summer fair, the construction of phase 2 of the Rawcliffe Country Park bike track and awarding the contract for the refurbishment of the Cornlands Play Area with Cornlands and Lowfields Residents Association.

Increasing Affordable Housing
Affordable Home construction has fallen from 151 in 2011/12 to 50 in 2013/14. Negotiations between the Council, York Housing Assoc., land owners and Homes & Community Agency has resulted in Jubilee Court, a £2 million, 18 home affordable housing development in Elvington.

Focus on Tackling Loneliness and Social Isolation

The Joseph Rowntree Foundation has undertaken research in York on how to reduce loneliness and social isolation. Research found that the main causes of loneliness were due to ageing, family issues, not knowing neighbours, a lack of community facilities and chances to get involved with the community.
A free resource pack providing ideas on how to tackle loneliness is now available at the link below:
http://www.jrf.org.uk/publications/loneliness-resource-packrk.gov.uk

York's Lidgett Grove Methodist Church established a successful Community Café offering company and activities. The Café was initially started as a pilot project but following it's support and usage work is now underway to develop the facility into a Community Hub.

Consult on the draft local plan that sets out how York's housing needs will be met up to 2030

In line with the government's 2012 National Planning Policy Framework, a draft Local Plan was agreed by Cabinet on 25 September. Public Consultation is on hold while further work is carried out to comply with a motion submitted at Full Council in October. Currently, proposals include:

• 20 employment sites for future development, for example York Central

• Approximate £300m investment in transport infrastructure to deliver York's growth ambition

Council Homes and Housing Services

The Council's Housing and Building Services team have achieved the Government Standard for Customer Service Excellence following an independent review. The 2013/14 Tenant and Leaseholder Report showed 86.9% overall satisfaction rate with services. Council tenant arrears increased to 2.3% of annual due rents in Q2. However, as the past 3 years figures range from 1.3 – 1.6% this should improve over the remainder of the year.

Raise standards in the private rented sector

99 landlords have registered nearly 400 homes with the council's private landlord accreditation scheme 'YorProperty'. 49 landlord members have taken up the scheme's core management and property standards training and only one of seven property inspections has needed further action to meet the standards set.

Community Safety

A Summer Safety campaign was launched in July centred around the 'Plan Safe, Drink Safe, Home Safe' campaign developed by the University of York St. John Students' Union. Measures included bus, mobile screen and poster advertising campaigns and distribution of beer mats to riverside venues.

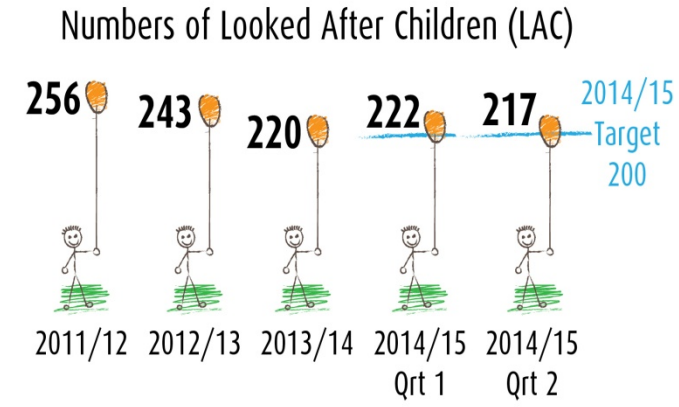
Violent crime in the Cumulative Impact Zone, an area covering a large part of the city centre, is forecast to reduce by 6.8%. However, Violent crime associated with alcohol outside the city centre continues to slowly rise.

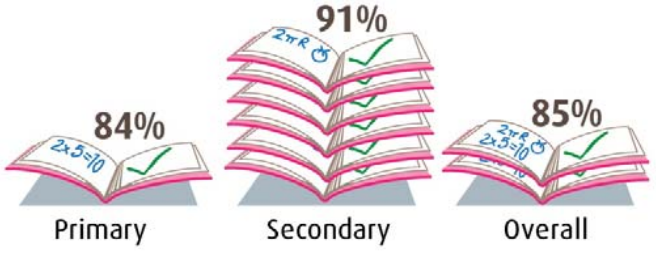
Reported Domestic Violence in York is currently on course to reduce by 1%. The Domestic Abuse Early Intervention Project has been receiving referrals from the Police since February. The Early Intervention Worker has been vetted and now has direct access to Police systems.

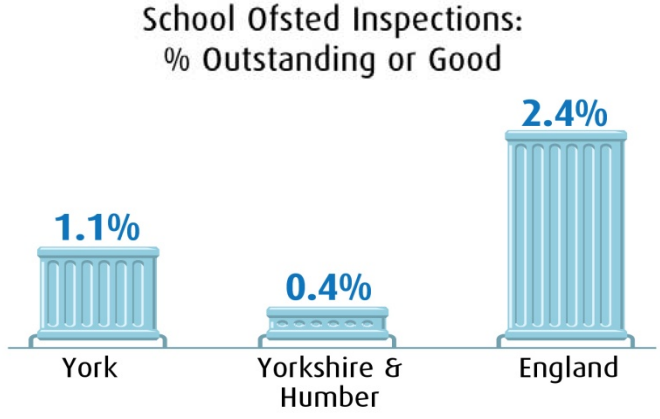
Looking Ahead... To build strong communities the Council will:

- Deliver a community stadium including a county standard athletics facility
- Support community groups to take greater ownership of the management and operation of parks and green spaces
- Through the 'Rewiring' programme the Council will develop community hubs where we can work in partnership with local communities at a neighbourhood level
- Raise standards in the private rented sector and continue to tackle homelessness through a sustained focus on early intervention and prevention
- Deliver the Community Learning Strategy and expand opportunities available to residents to promote health and wellbeing, including the development of a pilot programme focusing on living with dementia

Protect Vulnerable People







Focus the School Improvement and Skills Service on improving the outcomes of the most vulnerable

Early A Level results for York school sixth forms show that 41% of students achieved three or more A* - B grades, maintaining high standards of previous years and significantly higher than the 2013 national figure of 28%. 96% of students achieved three or more A* - E grades, an increase of two percentage points from 2013, with provisional results indicating this is also likely to be above national levels.

Raising educational attainment

In York in 2013 there were 3,930 pupils eligible for free school meals, approximately 300 in each year group. There is a considerable attainment gap between pupils who are in receipt of free school meals and other pupils. To close the attainment gap the York 300 research project has been launched to identify these children and strategies that are working elsewhere in the country so they can be adapted for York. The Joseph Rowntree Foundation will undertake an evaluation of the project, and the project will be reviewed after twelve months to determine whether interventions have made a difference to the children's lives.

Safeguarding Adults

Consistent representation from thirteen partner organisations has been established at the quarterly Safeguarding Adults Board, inc. NHS, North YorksPolice, York Council, Health Watch York and the independent and voluntary sectors. A Board sub-group is undertaking a detailed work programme to ensure the Board is fully compliant with regulatory requirements for when it becomes a statutory body in April 2015.

Despite showing some improvement in the last quarter, delays in transfer from hospital attributed to adult social care continue to increase and were at 14.7 per 100,000 in Q1 2013/14, above regional and national averages of 2.5 and 3.1 per 100,000 respectively. Delivery of the Rewiring Adult Social Care programme will provide the long-term solutions needed in this area.

Care Act

The Council is underway with implementing developments against new regulations within the Care Act. The Act will become law and Phase One requirements will be implemented for 1st April 2015. Further information on the Care Act can be found at http://www.gov.uk

Focus on No Wrong Door Conference 2014

Child Sexual Exploitation will be one of the themes at this year's No Wrong Door Conference, held in York on 4th November.

The key speaker will be Nazir Afsal, Chief Crown Prosecutor for the North West of England and the national lead on violence against women and girls, child sexual abuse, honour based violence and forced marriage.

Other speakers include Donna Molloy, Head of Implementation at the Early Intervention Foundation, who will talk about the importance of Early Help, and Emma Smale, Head of Policy and Research, Action for Children, who will speak on Neglect. Additional key themes include 'the voice of the child' and 'emotional wellbeing'.

The conference is organised by York's Children's Trust Unit , which brings together partners working with young people across the city. It will look at how professionals can work together to ensure the best outcomes for children, share good practice in both early preventative services and building resilience for young people, as well as sharing the lessons and how to bring those lessons into everyday practice.

Improving outcomes for the Gypsy and Traveller Community

Literacy Classes for Gypsy and Traveller women are now in their third year. Attendance rates and achievements have been high and many of the original group have completed second and third year courses, gained accreditation and a number of women have gained employment. The group have published a book of their own stories and delivered workshop conferences to let others know how developing literacy skills has had a positive impact.

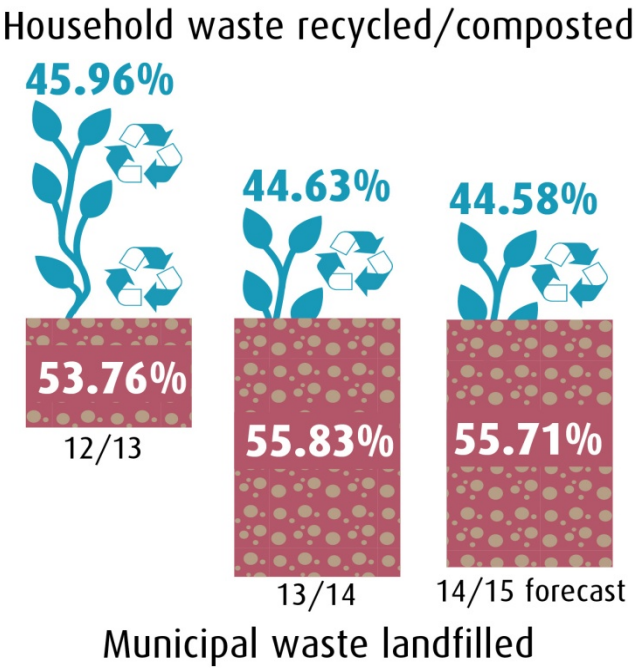
Troubled Families

The Troubled Families Programme, known locally as the Family Focus Programme, is tasked with turning around the lives of 315 York families where children are not in school, adults are not in work and there is anti-social behaviour and/or youth crime. The programme had turned around 235 (75%) of the families by the end July 2014. Next year, Phase 2 of the programme will see an extension to include more families, expanding the focus to include families where children need help, are at risk of social exclusion, young people are not in education, training or employment, there is domestic violence and where there are a range of health problems.

Looking Ahead... To protect vulnerable people the Council will:

- Continue to reduce the number of looked after children
- Launch the Learning & Development framework for social care practitioners to strengthen services for children requiring support and protection.
- Focus the School Improvement and Skills Service on improving the outcomes of the most vulnerable.
- Continue to mitigate the impact on vulnerable people of welfare reforms and lead on Financial Inclusion and support the work of the Financial Inclusion Steering Group.
- Tackle homelessness through a sustained focus on early intervention and prevention
- Improve quality of life outcomes for Gypsies and Travellers by increasing engagement, improving facilities and expanding site provision
- Deliver the Better Care Agenda through partnership working between Adult Social Care and Housing and achieve financial efficiencies by implementing the outcomes of the Sheltered Housing with Extra Care review.

Protect the Environment



Gain approval for a new Waste Strategy to obtain greater efficiency and cost savings
Municipal waste sent to landfill and household recycling are both forecast to be stable in 2014/15 and stay in line with levels seen last year. Household waste recycled or composted, at 44.6%, is above the national average of 43.5% (2013/14). However, total municipal waste sent to landfill is higher than the national average. The cost of landfill tax for commercial and household waste is forecast to increase to just under £4.2 million (from £3.8 million in 2013/14).

Plans to go ahead with a multi-million pound waste disposal facility to deal with household waste for York and North Yorkshire were approved at two separate meetings of North Yorkshire County Council's Executive and City of York Council's Cabinet in September. The proposed facility, at Allerton Park, will dispose of non-recycled household and a small amount of commercial and industrial waste. It will do this either mechanically, biologically or in an Energy for Waste plant to reduce the region's carbon footprint, avoid increasing landfill penalties and produce enough electricity to power a town the size of Harrogate. A full meeting of the county council will confirm the decision on in November.

Focus on Electric Vehicle Charging Network

The Office for Low Emission Vehicles strategy 'Driving the Future Today' states that by 2040 almost every new car and van in the UK fleet will be an ultra low emission vehicle.

York is making progress towards a strategic Electric Vehicle charging network and ten fast charge 'pay as you go' public charging points are now available in public car parks and at Park & Ride sites, with an additional 12 privately owned sites at hotels, supermarkets and other developments around the city. The locations of all charging points are on the i-Travel website and the map is currently being updated with new locations, as funding has been secured to bring rapid more charging facilities to York during 2014.

http://www.itravelyork.info/driving/electric-vehicles/electric-vehicle-recharging-network

Meet York's health-based air quality objectives and promote the links between public health and air quality
Figures from 2012 show York's CO2 population per head increased to 5.6 tonnes per person from 5.3 tonnes in 2011.

The third Air Quality Plan is close to completion for distribution and consultation. Central to the proposed framework is the concept of a 'Clean Air Zone' where bus emissions will be regulated, based on the frequency of which they enter the inner ring road. The most frequent and polluting services will be required to meet higher emission standards than less frequent services.
If a Clean Air Zone is introduced, over 80% of bus movements in York will be made by ultra low emission buses by 2018.
Other proposed measures include reducing vehicle idling, developing a strategic electric vehicle (EV) recharging network, a compressed natural gas refuelling station, a freight improvement plan and further reductions in emissions from taxis and the Council vehicle fleet.

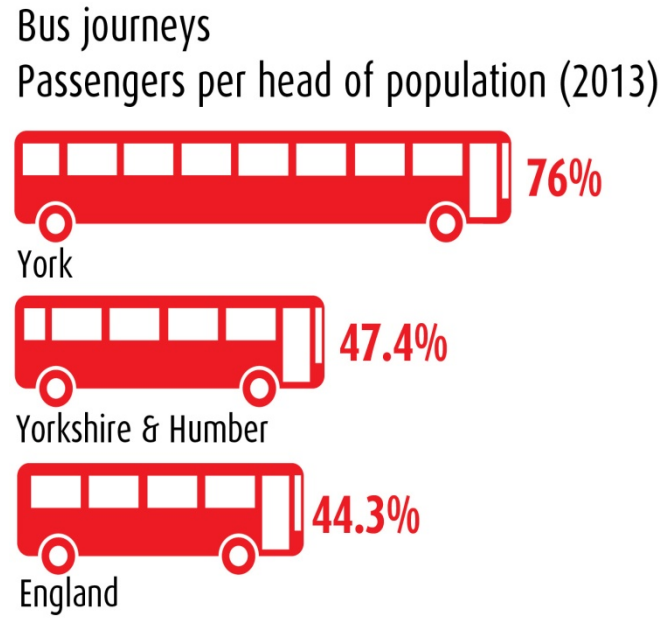
Implement and promote Green Deal, along with Leeds City Region partners
The Leeds City Region Green Deal, now under the West Yorkshire combined Authority, is making progress with a preferred bidder now in place. The reason for seeking supplier bids was to establish a long term Provider partnership that would generate green investment in the Leeds City Region, comprising energy saving technologies in residential properties (focussed on the private sector), jobs and skills, and reduction in fuel poverty and carbon emissions. The programme's scope is also wide enough for social housing and non domestic opportunities to also be explored.

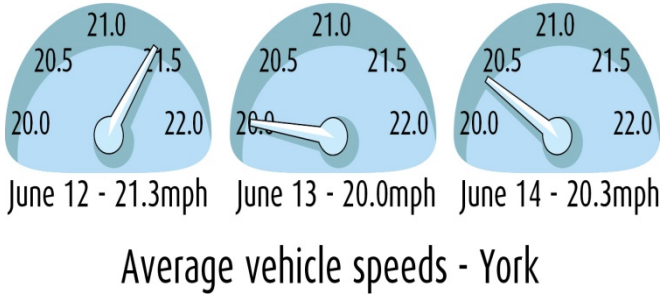
The Leeds City Region programme will help ensure the Council can continue to increase the energy efficiency of private homes and support the new Green Deal Provider to deliver 2,475 green deal measures to around 1,980 properties in the City, although this less than originally anticipated due to recent Government funding changes. A final tender is required from the bidder and this will be subject to scrutiny through the combined authority.

Looking Ahead... To protect the environment the Council will:

- Gain approval for a new Waste Strategy to obtain greater efficiency and cost savings
- Develop and implement a communication programme to increase public understanding of the Waste Strategy to encourage more recycling and reduce landfill
- Meet York's health-based air quality objectives and promote the links between public health and air quality
- Implement and promote Green Deal, along with Leeds City Region partners, to reduce fuel poverty, improve home energy efficiency and reduce carbon emissions
- Increase use of recyclable materials and investment in resilient new materials to reduce future maintenance cost
- Invest in LED based street lighting

Get York Moving





Complete the Access York Project
Two new Park and Ride sites (Askham Bar and Poppleton Bar) opened on 8 June 2014 with parking capacity increased by 30% to 5,500 spaces. Associated Highway improvement works at the A59/A1237 junction were completed in August 2014. All A roads into the city are now covered by a Park & Ride option for travellers. Additional funding for further expansion is being sourced via the West Yorkshire plus Transport Fund.

Deliver Better Bus Area Funded schemes such as Exhibition Square
City Centre bus interchange facilities have been upgraded through Better Bus Area Funding at Piccadilly, Stonebow and the Station. The upgrade of the facilities at Exhibition Square, which handles around 750,000 passenger journeys a year, commenced in September with completion expected in November. Further improvements in Rougier Street have been delayed by the slower than anticipated progress of the redevelopment of Roman House St but should be in place in 2015.

Complete 20mph speed limit programme for residential areas across the city
The South Bank pilot project has been completed and its success continues to be monitored. City wide roll out is now underway and the completion of the West of York means a third of the City is now covered.
City wide progress is slower than expected as the programme has been addressing local concerns, but schemes in North and East York are due to be completed in 2014/15.

Transport Network
The condition of the Road and Pathway network has been relatively stable over the past 3 years, 16% of roads and 4% of paths were rated as poor condition in 2013/14 a rise and fall of 1% point respectively from 2012/13. Principal roads are in better condition than smaller ones, although even unclassified routes where maintenance should be considered, at 10%, is better than national and regional averages of 17%.

Focus on Cycling

The 'Cycle Yorkshire – Ride the Routes' mobile phone app has been selected as a finalist in the 'Digital Community Pioneer of the year' category of the Digital Entrepreneur Awards 2014.

York's iTravel programme led the development of the app on behalf of the Road Safety Partnership across Yorkshire & Humber. The free app, which was launched in March this year has already been downloaded over 4,000 times and is backed by Welcome to Yorkshire.

The app includes information for riders who want to follow in the tracks of both Yorkshire stages of 'Le Tour'. It incorporates flyover scenic maps of the routes, as well as videos of York based semi-pro cyclist Jamie Sharp, tackling some of the most challenging sections.

The app can be downloaded for Apple and Android devices at the link below or by searching the Google or Apple stores for 'Cycle Yorkshire':
http://bit.ly/cycleyorkshire

Traffic

People issued Penalty Charge Notices (PCNs) in relation to the trial traffic regulation of Lendal Bridge can now apply for refunds online through the Council's website until the end of the year. The Council's website will be updated monthly with the number of PCNs repaid and the council will publish the total cost of the Lendal Bridge settlement process after Wednesday 31st December.

Improving Movement in the City Centre

Following the success of the experimental Foot streets hours identified through the Foot streets Review, the revised Foot streets hours have now become permanent (10:30 to 17:00). The possible expansion of foot streets to additional areas continues to be investigated.

Develop York's Cycling and Pedestrian Network

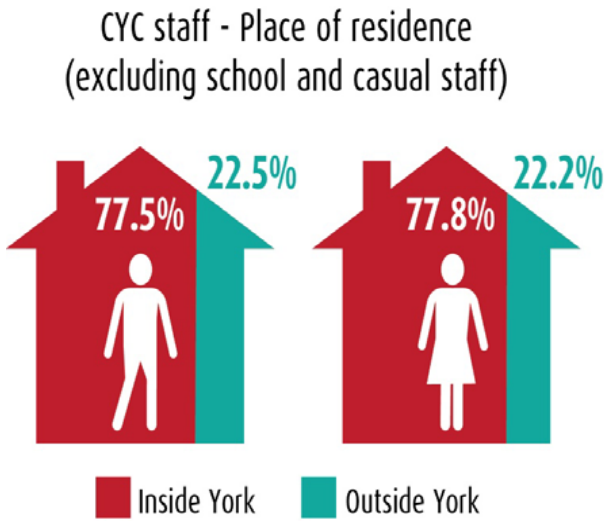
The critical element of the Haxby Road to Clifton Moor Cycle route, the bridge over the Scarborough railway line, will be constructed in autumn 2014 with the full route completed early in 2015.
Phase 1 of the Knapton to Rufforth Cycle Route will be completed in 2014/15 with Phase 2 and 3 (a link to Rufforth then Knapton) to be developed in future years.

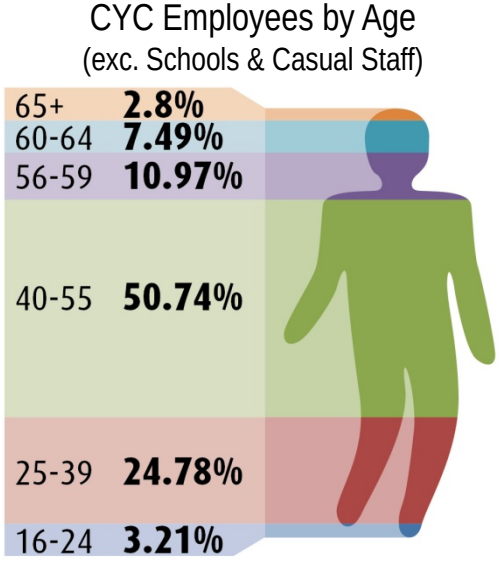
Looking Ahead...

To get York moving in 2014/15 the Council will:

- Complete the Access York Project which increases the capacity of the service by 30% (2 New Park & Ride sites and the upgrade of the A59/A1237 roundabout).
- Develop York's Cycling and Pedestrian Network, inc. the Haxby Road to Clifton Moor Cycle Route
- Complete 20mph speed limit programme for residential areas across the city
- Deliver Better Bus Area Funded schemes such as Exhibition Square, Capacity enhancements to Clarence Street/Lord Mayors Walk junction, Museum Street bus shelter, and new shelter in Rougier Street
- Work with the West Yorkshire plus Transport Fund to deliver infrastructure improvements in the city including the completion of the first stages of the Outer Ring Road upgrade study, commencement of detailed design of the A1237 roundabout improvements and review of the station frontage to reduce the conflict between users and improve the interface between modes

Our Organisation





Improve the whole customer service experience

In Quarter 2 West Offices reception dealt with 2,082 customers a month, up from 1,691 a month in Quarter 1.

The Council has installed a customer satisfaction kiosk known as 'cmetrix' in the customer centre at West Offices, to coincide with National Customer Service Week.

To help customers with hearing impairments the Hearing Loop facilities have been made more visible, after a number of visitors were unaware of their availability.

To help visitors with visual impairments, investigations have started into implementing a British Sign Language interpretation tool. A visual impairment accessibility audit will be carried out in autumn to ensure all necessary design adjustments are in place, such as painting the edges of desk dividers a contrasting colour to the floor.

City of York Trading Company

The company is now providing the council's full casual workforce and expanding its services to schools and other organisations. The company has recently reported a year on year increase in turnover and profit, and will be returning its first dividend to the council as shareholder for activity in 2013/14.

Roll out a new offer to young people on apprenticeships, work experience placements and internships

The Council continues to promote and support fully funded apprenticeships and a review of the current apprenticeship scheme will take place.

The Council currently work with the University of York offering a winter and summer internship programme. The summer programme is a student internship programme offering 4 to 12 week placements for current students. The winter programme is a graduate programme offering 8 week placements.

The Equalities Peer Challenge

A key ambition in the Council Plan is to achieve excellence against the Equalities Framework for Local Government and the Council are currently at the Achieving level . Local Government Association Peer Challenge Assessors will be reviewing how equalities are embedded within both the organisation and its work with partners during January 2015.

Focus on Working Toward a Fairer York

York's Equality Plan, a Fairer York, is currently in development. This plan is a partnership document in recognition that no one agency can tackle inequalities alone. This new plan will replace the council's existing scheme.

The plan will tackle disadvantage and discrimination and foster good relations in relation to :

- Economic Wellbeing
- Learning and Educational Wellbeing
- Health and Wellbeing
- Community Wellbeing

The Plan focuses on everyone who has a characteristic protected under the Equality Act 2010 which covers:
Age, Disability, Gender, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion and Belief, Sex and Sexual Orientation and the plan also focuses on Carers and those on low incomes.

Improve feedback from staff and create a wellbeing offer

A corporate learning and development prospectus has been launched with a range of courses and other learning and development opportunities. The Supporting Staff through Change Programme has been implemented.

The Council has been shortlisted for a Living Wage Champion Award, which recognises employers that have made contributions to communities and industries by implementing the Living Wage.

York CVS

As part of the process of transforming public services, City of York Council has been working with the voluntary, community and faith sector and social enterprises in York, to find out what they currently do and what they might want to do more of. Officers have attended Voluntary Sector Forums of organisations working with children, young people and families, older people and people with long-term conditions and people concerned with the environment.

Looking Ahead... The Council aims to:

- Improve the whole customer service experience
- Develop new ways of working to engage local economies and local communities in co-design and co-production of services
- Continue to stream Council meetings on the internet and on YouTube
- Deliver an organisational change programme to enable people to work in a different way to support the Rewiring programme
- Improve feedback from staff around work demands and create a wellbeing offer to better support staff through change
- Roll out a new offer to young people on apprenticeships, work experience placements and internships

This page is intentionally left blank

Cabinet **16 December 2014**

Report of the Cabinet Member for Finance and Performance

Treasury Management Mid Year Review and Prudential Indicators 2014/15

Summary

1. This Council is required through regulations issued under Part 1 of the Local Government Act 2003 and the revised 2011 (Chartered Institute of Public Finance and Accountancy) Code of Practice for Treasury Management (as revised) to provide members with a mid year update on treasury management activities.

2. This report therefore ensures the Council is undertaking and reporting its treasury activities in accordance with the Code. It also provides updates on the Treasury Management activities for the period 1 April 2014 to October 2014 (where possible) and reviews:

    - An economic update for the 2014/15 financial year to October 2014;
    - A review of the Treasury Management Strategy Statement and Annual Investment Strategy;
    - The Council's capital expenditure (prudential indicators);
    - A review of the Council's investment portfolio for 2014/15;
    - A review of the Council's borrowing strategy for 2014/15;
    - A review of any debt rescheduling undertaken during 2014/15;
    - A review of compliance with Treasury and Prudential Limits for 2014/15.

Background

3. The Council's Treasury Management function is responsible for the effective management of the Council's investments, cash flows, its banking, money market and capital transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.

Economic Background and Analysis

4. The Council's treasury management activities have operated within the following economic background:

a) After strong UK GDP quarterly growth of 0.7%, 0.8% and 0.7% in quarters 2, 3 and 4 respectively in 2013, (2013 annual rate 2.7%), and 0.7% in Q1 and 0.9% in Q2 2014 (annual rate 3.2% in Q2), it appeared very likely that strong growth would continue through 2014 and into 2015 as forward surveys for the services and construction sectors, were very encouraging and business investment looked to be strongly recovering. The manufacturing sector has also been encouraging though the latest figures indicate a weakening in the future trend rate of growth. However, for this recovery to become more balanced and sustainable in the longer term, the recovery needs to move away from dependence on consumer expenditure and the housing market to exporting, and particularly of manufactured goods, both of which need to substantially improve on their recent lacklustre performance.

b) This overall strong growth had resulted in unemployment falling much faster through the initial threshold of 7%, set by the Monetary Policy Committee (MPC) last August, before it said it would consider any increases in Bank Rate. The MPC has, therefore, subsequently broadened its forward guidance by adopting five qualitative principles and looking at a much wider range of about eighteen indicators in order to form a view on how much slack there is in the economy and how quickly slack is being used up. The MPC is particularly concerned that the current squeeze on the disposable incomes of consumers should be reversed by wage inflation rising back above the level of inflation in order to ensure that the recovery will be sustainable. There also needs to be a major improvement in labour productivity, which has languished at dismal levels since 2008, to support increases in pay rates. Most economic forecasters were expecting growth to peak in 2014 and then to ease off a little, though still remaining strong, in 2015 and 2016.

c) Unemployment is therefore expected to keep on its downward trend and this is likely to eventually feed through into a return to significant increases in pay rates at some point during the next three years. However, just how much those future increases in pay rates will counteract the depressive effect of increases in Bank Rate on consumer confidence, the rate of

growth in consumer expenditure and the buoyancy of the housing market, are areas that will need to be kept under regular review.

d) However following the International Monetary Funds (IMF) slashing of its growth forecast for the Eurozone, October marked a period of significant instability in the financial markets. Investor confidence was rocked by an announcement from the IMF that growth may never again reach its pre-crisis peak and this was confounded by poor German manufacturing data. This was then compounded as Greek government bond yields soared on the back of political instability and uncertainty regarding their intentions towards their EU and IMF bailout packages. The concerns regarding the state of the Eurozone proved contagious though as worries about Chinese economic growth and poor US retail sales knocked confidence in the global economic outlook. Although there was a great deal of volatility in the markets during this short period, there was a significant rebound shortly afterwards. Importantly, the UK came off relatively unscathed by the events and arguably strong news regarding UK unemployment and real wages slipped under the radar

5. Capita Asset Services– the Council's treasury management advisers – undertook a review of its interest rate forecasts in mid August, after the Bank of England's Inflation Report. By the beginning of September, a further rise in geopolitical concerns, principally over Ukraine but also over the Middle East, had caused a further flight into safe havens like gilts and depressed PWLB rates further. However, there is much volatility in rates as news ebbs and flows in negative or positive ways. This latest forecast includes a first increase in Bank Rate in quarter 1 of 2015. Table 1 is Capita's Asset Services Interest Rate forecast for both the bank rate and long term Public Works Loans Board borrowing rates (PWLB – the Debt Management Office subsidiary lending to Local Authorities at preferential rates note all figures are percentages):

	Sep 14	**Dec 14**	**Mar 15**	**Jun 15**	**Sep 15**	**Dec 15**	**Mar 16**	**Jun 16**	**Sep 16**	**Dec 16**	**Mar 17**	**Jun 17**
Bank Rate	0.5	0.5	0.5	0.75	0.75	1.00	1.00	1.25	1.25	1.50	1.5	1.75
5 Yr PWLB	2.5	2.5	2.7	2.7	2.8	2.9	3.0	3.1	3.2	3.3	3.4	3.5
10 Yr PWLB	3.0	3.2	3.4	3.5	3.6	3.7	3.8	3.9	4.0	4.1	4.1	4.1

25 Yr PWLB	3.7	3.9	4.0	4.1	4.3	4.4	4.5	4.6	4.7	4.7	4.8	4.8
50 Yr PWLB	3.7	3.9	4.	4.1	4.3	4.4	4.5	4.6	4.7	4.7	4.8	4.8

Table 1: Capita Asset Services – Treasury Management Advisers – Interest Rate Forecast (%)

Annual Investment Strategy

6. Treasury Management Strategy Statement (TMSS) for 2014/15 was approved by Council on 27 February 2014. There are no policy changes to the TMSS; the details in this report do not amend the TMSS. The Council's Annual Investment Strategy, which is incorporated in the Strategy, outlines the Council's investment priorities as follows:
    - security of capital
    - liquidity
    - yield

    The Council continues to aim to achieve the optimum return (yield) on investments commensurate with the proper levels of security and liquidity and the Councils risk appetite.

7. Investments are only placed with high credit rating financial institutions using the creditworthiness matrices described in the Treasury Management Strategy, which includes sovereign credit ratings from the rating agencies, individual institution credit ratings from the respective credit ratings agencies and the credit default swap (CDS) overlay information provided by Capita were appropriate.

8. During the period under review, the continued risk averse approach in light of continued credit caution (the continued Eurozone sovereign debt crisis) made it appropriate to keep investments short term with a maximum duration of 1 year for financial institutions. This limit applies to all entities in which the Council places funds.

9. Investments held during the first six months of 2014/15 were in accordance with Capita's creditworthiness matrices and changes to Fitch and Moody's credit ratings. All investments were made in accordance with the Council's approved credit criteria limits contained in the Annual Investment Strategy.

Investment Portfolio

10. Investment rates available in the market have continued at historical low levels. The average level of cash balances available for investment purposes in the 6 months of 2014/15 was £73.160m (£63.661m for the same 6 month period in 13/14). The level of cash balances available is largely dependent on the timing of the Council's cash flow as a result of precept payments, receipt of grants, receipt of developers contributions, borrowing for capital purposes, payments to its suppliers of goods and services and spend progress on the Capital Programme. These funds are therefore available on a temporary basis dependant on cash flow movement.

11. The average level of cash balances has increased compared to a year ago due to the receipt of developers contributions in advance of the associated profiled spend. This is balanced off to an extent by the use of cash balances instead of taking long term debt to finance the Councils capital programme. This strategy remains a prudent one as investment rates continue to be lower than borrowing rates when viewed on a short term projection but consideration is being given to securing long term funding currently as long term rates are at attractive levels.

12. Investment return (calculated as the amount of interest earned against the average cash balance for the period) during the first six months of 2014/15 is shown in table 3:

	2013/14 (full year)	**2014/15 (part year to date)**
CYC Rate of return	0.48%	0.52%
Benchmarks		
Bank of England Base Rate	0.50%	0.50%
7 Day LIBID	0.35%	0.35%
30 Day LIBID	0.39%	0.44%

Table 3: CYCs investment rate of return performance vs. benchmarks

13. The average rate of return is broadly comparable to 2013/14 reflective of the continued uncertainty regarding the rate of growth

in both the Eurozone and UK and the continue uncertainty over the Eurozone sovereign debt positions.

14. Figure 1 shows the interest rates available on the market between 7 days and 1 year and also the rate of return that the Council has achieved for the first six months of 2014/15. It shows that favourable / competitive interest rates have been obtained for investments whilst ensuring the required liquidity and security of funds for the Council.

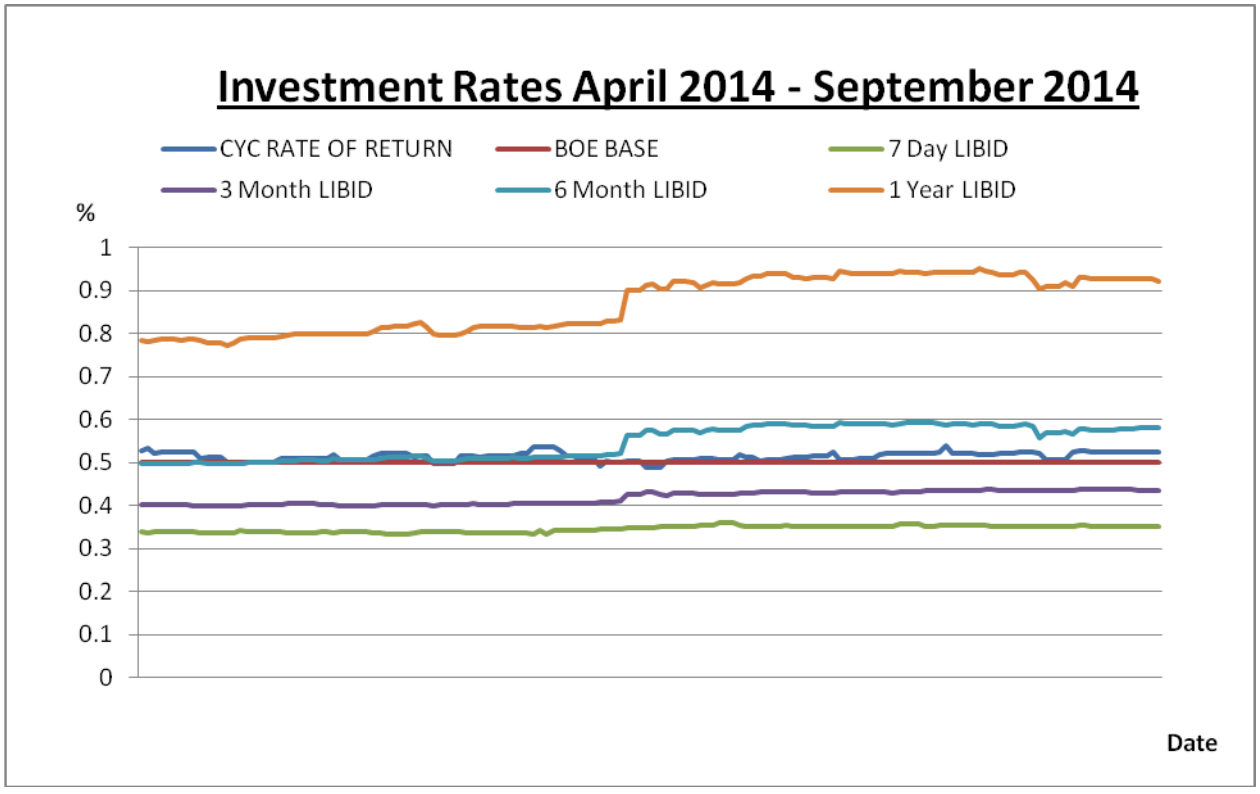


Figure 1 CYC Investments vs Money Market Rates

15. Figure 2 shows the investments portfolio by type split deposits in short term call accounts, fixed term investments and money market funds (MMFs). All of the MMFs are have an AAA credit rating, the call accounts are all A or AA- rated and the fixed terms investments are A rated.

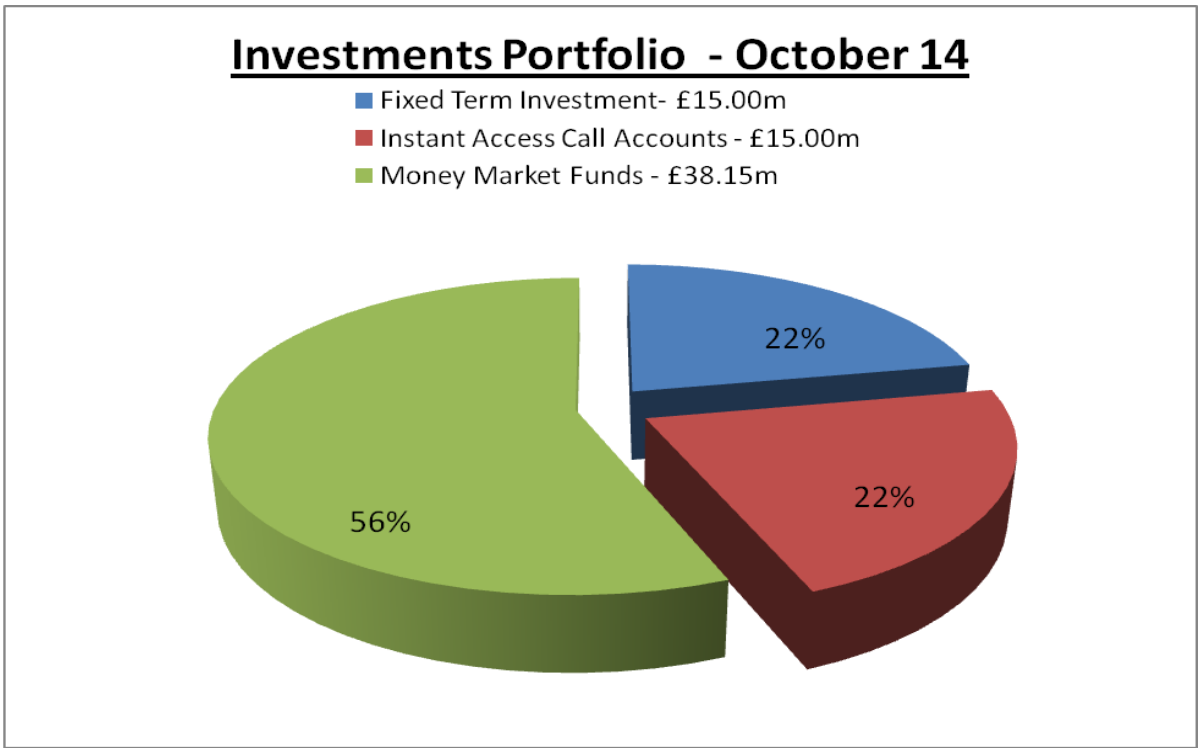


Figure 2 Investment Portfolio by type at October 2014

Borrowing Portfolio

16. The Council undertakes long term borrowing in accordance with the investment requirements of the capital programme and all borrowing is therefore secured for the purpose of its asset base.

17. The level of borrowing taken by the Council is determined by the Capital Finance Requirement (the Councils underlying need to borrow for capital expenditure purposes). Borrowing needs to be affordable, sustainable and prudent and the treasury management budget supports the borrowing finance costs in the longer term.

18. Under regulation, the Council can borrow in advance of need in line with its future borrowing requirements in accordance with the Capital Financing Requirement. Markets are therefore constantly monitored and analysed to ensure that advantage is taken of favourable rates and the increased borrowing requirement is not as dependant on interest rates in any one year.

19. On the reverse side, the Council's level of borrowing can also be below the Capital Financing Requirement. This would mean that instead of increasing the Council's level of borrowing, surplus funds held for investment purposes would be utilised instead, decreasing the level of surplus funds being available for investment. In the current interest rate environment where

investment rates on holding investments are significantly below borrowing rates consideration is given to the value of taking borrowing or whether it is better for the council to keep investment balances lower.

20. Although the treasury management function has not taken any new borrowing during 2014/15 it continues to closely monitor the borrowing environment for opportunities that arise and receive daily updates from Capita services in respect of borrowing timings and amounts. Long term borrowing rates (that is interest rates payable on debt over 10 years) are at comparably low values offering good opportunities to secure long term funding for the Council. Consideration is currently being given to the suitable periods for new borrowing and it is expected that new loans will be taken before the end of the calendar year should rates continue to hold at current levels.

21. The Councils long-term borrowing started the year at a level of £258.615m. A single Public Works Loans Board (PWLB) loan to the value of £4.5m became due for repayment in this financial year. No new borrowing has been taken in the 1st 7 months of 2014/15. The HRA amounts to 55% of the borrowing portfolio at £139.944m and the GF is 45% with borrowing at £114.171m, a current total of £254.115m. Table 4 shows the Councils opening borrowing position, movements and current position for debt split by fund:

	General Fund	**Housing Rev Acc**	**Total**	**Interest Rate**
	£m	**£m**	**£m**	**%**
Opening Debt April 14	**118.671**	**139.944**	**258.615**	**3.76**
Repaid	(4.500)	0.000	(4.500)	3.910
New	0.000	0.000	0.000	0.00
Closing Debt Sept 14	**114.171**	**139.944**	**254.115**	**3.75**

Table 4 – CYCs current debt position October 14

22. Figure 3 illustrates the 2014/15 maturity profile of the Council's debt portfolio to Mid October 2014 split by general fund and HRA. The maturity profile shows that there is no large

concentration of loan maturity in any one year, thereby spreading the interest rate risk dependency.

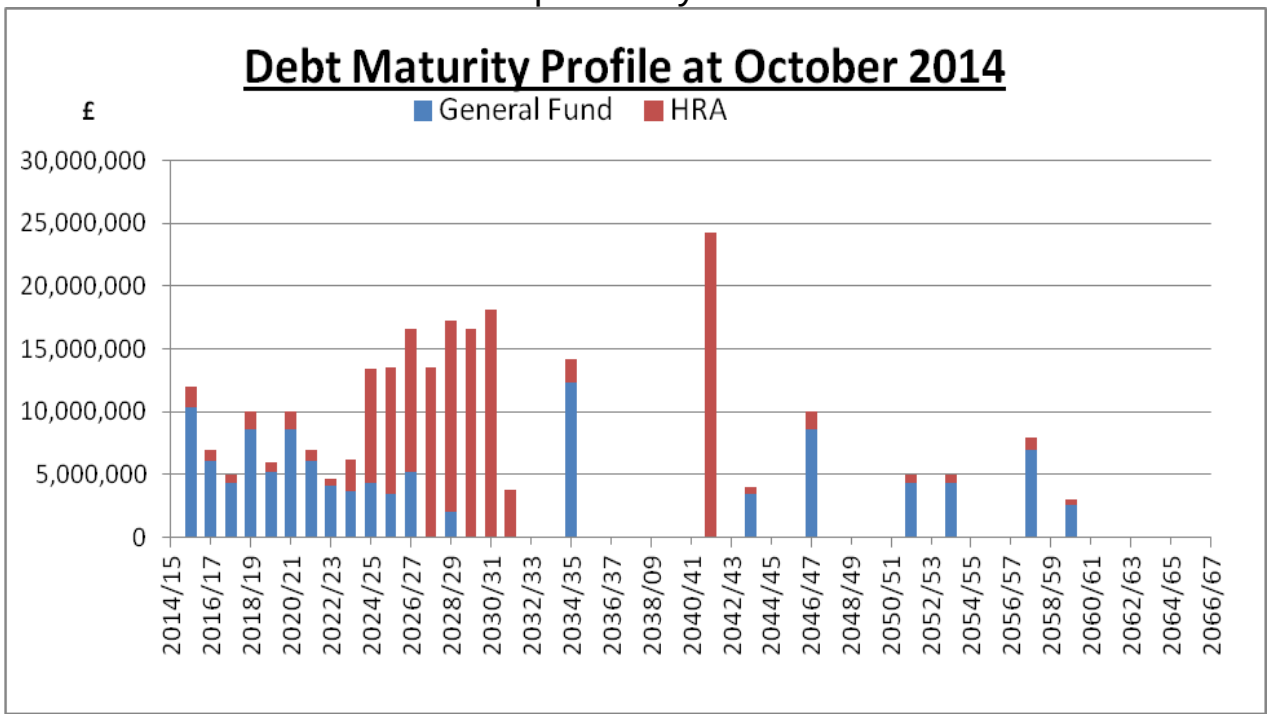


Figure 3 – Debt Maturity Profile 14/15

23. As ever there is volatility in the borrowing markets (PWLB in the main) reflective of the needs of investors and such continued fluctuations over the coming months may present opportunities for borrowing at advantageous levels as set out above.

24. Table 4 shows there has been significantly fluctuations to the end of September 14. This is highlighted in the longer dates that all have spreads of over 0.5%, however as a point of reference, for the same period last year the spread in similar periods was 1.0%. Table 4 shows the variations in PWLB borrowing rates over the course of the year to date:

	PWLB borrowing rates by duration of loan				
	1 Year	**5 Year**	**10 Year**	**25 Year**	**50 Year**
Yr High	1.48%	2.86%	3.66%	4.29%	4.26%
Yr Low	1.20%	2.48%	3.16%	3.75%	3.73%
Yr Avg	1.34%	2.65%	3.53%	4.10%	4.17%
Spread	0.28%	0.38%	0.50%	0.54%	0.53%

Table 4 – PWLB Borrowing Rates (%) – to 30 September 14

Compliance with Prudential Indicators

25. The Prudential Indicators for 2014/15, included in the Treasury Management Strategy Statement are based on the requirements of the Council's capital programme and approved at Budget Council on 27 February 2014.

26. It is a statutory duty for the Council to determine and keep under review the "Affordable Borrowing Limits" included in the Prudential Indicators. The monitoring of the Prudential Indicators is attached at Annex A. During the financial year 2014/15 to date the Council has operated within the treasury limits and Prudential Indicators set out.

Consultation and Options

27. The report shows the six month position of the treasury management portfolio in 2014/15. The treasury management budget was set in light of the council's expenditure plans and the wider economic market conditions, based on advice from Capita - the Council's Treasury Management advisors. It is a statutory requirement to provide the information detailed in the report.

Analysis

28. The report is a statutory requirement and as such there are no specific options to analyse.

Council Plan

29. The Council Plan has five priorities which all require a budget to achieve. The treasury management function aims to achieve the optimum return on investments commensurate with the proper levels of security, and endeavours to minimise the interest payable by the Council on its debt structure. It thereby contributes to all Council Plan priorities.

Financial

30. The financial implications are in the body of the report.

Human Resources Implications

31. There are no HR implications as a result of this report.

Equalities

32. There are no equalities implications as a result of this report.

Legal Implications

33. Treasury Management activities have to conform to the Local Government Act 2003, the Local Authorities (Capital; Finance and Accounting) (England) Regulations 2003 (SI 2003/3146), which specifies that the Council is required to have regard to the CIPFA Prudential Code and the CIPFA Treasury Management Code of Practice and also the *Local Authorities (Capital Finance and Accounting) (England) (Amendment) Regulations 2008* (SI 2008/414), which clarifies the requirements of the Minimum Revenue Provision guidance.

Crime and Disorder Implications

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

Information Technology Implications

35. There are no IT implications as a result of this report.

Property Implications

36. There are no property implications as a result of this report.

Risk Management

37. The Treasury Management function is a high-risk area because of the level of large money transactions that take place. As a result of this there are procedures set out for day to day treasury management operations that aim to reduce the risk associated with high volume high value transactions. These are detailed in the Treasury Management Strategy Statement at the start of each financial year.

Recommendations

38. Members are required, in accordance with the Local Government Act 2003 (revised), to:
    - Note the Treasury Management activities to date in 2014/15
    - Note the Prudential Indicators set out at Annex A and note the compliance with all indicators.

Reason – to ensure the continued performance of the Council's Treasury Management function.

Contact Details

<table>
<tr><td>Authors:</td><td colspan="4">Cabinet Member & Chief Officer Responsible for the report:</td></tr>
<tr><td rowspan="2">Ross Brown
Principal Accountant
Corporate Finance
01904 551207
ross.brown@york.gov.uk

Debbie Mitchell
Corporate Finance Manager
01904 554161</td><td colspan="4">Cabinet Member for Finance & Performance

Ian Floyd
Director of Customer & Business Support Services</td></tr>
<tr><td>Report Approved</td><td>√</td><td>Date</td><td>22/10/14</td></tr>
<tr><td colspan="4">Wards Affected: All</td><td></td></tr>
<tr><td colspan="5">For further information please contact the author of the report</td></tr>
</table>

Specialist Implications**:**
Legal – Not Applicable
Property – Not Applicable
Information Technology – Not Applicable

Annexes

Annex A – Prudential Indicators 2014/15

Annex A

Prudential Indicators 2014/15 Mid Year Review

	Prudential Indicator		**2013/14** actual	**2014/15** projection	**2015/16** projection	**2016/17** projection	**2017/18** projection	**2018/19** projection
1	**Capital Expenditure** To allow the authority to plan for capital financing as a result of the capital programme and enable the monitoring of capital budgets.	GF HRA Total	£35.5m £9.1m £44.6m	£57.1m £15.3m £72.4m	£53.5m £10.3m £63.8m	£25.4m £8.7m £34.1m	£14.9m £7.5m £22.3m	£6.8m £8.5m £15.3m
2	**Ratio of financing costs to net revenue stream** An estimate of the cost of borrowing in relation to the net cost of Council services to be met from government grant and council taxpayers. In the case of the HRA the net revenue stream is the income from rents.	GF HRA Total	10.41% 13.92% 11.13%	10.63% 13.40% 11.31%	12.64% 13.57% 12.84%	13.08% 13.54% 13.18%	13.11% 13.51% 13.20%	13.00% 13.48% 13.10%
3a	**Incremental impact of capital investment decisions – Council Tax** Shows the actual impact of capital investment decisions on council tax. The impact on council tax is a fundamental indicator of affordability for the Council to consider when setting forward plans. The figure relates to how much of the increase in council tax is used in financing the capital programme and any related revenue implications that flow from it.	Increase in band D Council Tax per annum	£13.26	£13.97	£28.59	£18.22	£8.76	£5.28
3b	**Incremental impact of capital investment decisions – Housing Rents** Shows the actual impact of capital investment decisions on HRA rent. For CYC, the HRA planned capital spend is based on the government's approved borrowing limit so there is no impact on HRA rents.		£0.00	£0.00	£0.00	£0.00	£0.00	£0.00

Annex A

	Prudential Indicator		2013/14 actual	2014/15 projection	2015/16 projection	2016/17 projection	2017/18 projection	2018/19 projection
4	**CFR as at Mid Year Review** Indicates the Council's underlying need to borrow money for capital purposes. The majority of the capital programme is funded through government support, government grant or the use of capital receipts. The use of borrowing increases the CFR.	GF HRA Total	£170.9m £140.3m £311.2m	£192.6m £140.3m £332.9m	£201.7m £140.3m £342.0m	£201.6m £140.3m £341.9m	£197.7m £140.3m £338.0m	£193.6m £140.3m £333.9m
5	**External Debt** To ensure that borrowing levels are prudent over the medium term the Council's external borrowing, net of investments, must only be for a capital purpose and so not exceed the CFR.	Gross Debt Invest Net Debt	£264.0m £44.2m £219.8m	£274.4m £68.0m £206.4m	£284.3m £25.0m £259.3m	£294.1m £25.0m £269.1m	£294.0m £25.0m £269.0m	£293.8m £20.0m £273.8m
6a	**Authorised Limit for External Debt** The authorised limit is a level set above the operational boundary in acceptance that the operational boundary may well be breached because of cash flows. It represents an absolute maximum level of debt that could be sustained for only a short period of time. The council sets an operational boundary for its total external debt, gross of investments, separately identifying borrowing from other long-term liabilities for 3 financial years.	Borrowing Other long term liabilities Total	£321.3m £30.0m £351.3m	£321.3m £30.0m £351.3m	£352.0m £30.0m £382.0m	£351.9m £30.0m £381.9m	£348.1m £30.0m £378.1m	£343.9m £30.0m £373.9m

Annex A

	Prudential Indicator		**2013/14** actual	**2014/15** projection	**2015/16** projection	**2016/17** projection	**2017/18** projection	**2018/19** projection
6b	**Operational Boundary for external debt** The operational boundary is a measure of the most likely, prudent, level of debt. It takes account of risk management and analysis to arrive at the maximum level of debt projected as part of this prudent assessment. It is a means by which the authority manages its external debt to ensure that it remains within the self-imposed authority limit. It is a direct link between the Council's plans for capital expenditure; our estimates of the capital financing requirement; and estimated operational cash flow for the year.	Borrowing Other long term liabilities Total	£311.3m £10.0m £321.3m	£311.3m £10.0m £321.3m	£342.0m £10.0m £352.0m	£341.9m £10m £351.9m	£338.1m £10.0m £348.1m	£333.9m £10.0m £343.9m
7	**Adoption of the CIPFA Code of Practice for Treasury Management in Public Services**		✓					
8a	**Upper limit for fixed interest rate exposure** The Council sets limits to its exposures to the effects of changes in interest rates for 3 years. The Council should not be overly exposed to fluctuations in interest rates which can have an adverse impact on the revenue budget if it is overly exposed to variable rate investments or debts.		116%	126%	110%	109%	109%	107%
8b	**Upper limit for variable rate exposure** The Council sets limits to its exposures to the effects of changes in interest rates for 3 years. The Council should not be overly exposed to fluctuations in interest rates which can have an		-16%	-26%	-10%	-9%	-9%	-7%

Annex A

	Prudential Indicator		**2013/14** actual	**2014/15** projection	**2015/16** projection	**2016/17** projection	**2017/18** projection	**2018/19** projection
	adverse impact on the revenue budget if it is overly exposed to variable rate investments or debts.							
9	**Upper limit for total principal sums invested for over 364 days** The Council sets an upper limit for each forward financial year period for the level of investments that mature in over 364 days. These limits reduce the liquidity and interest rate risk associated with investing for more than one year. The limits are set as a percentage of the average balances of the investment portfolio.		£0	£0	£0	£0	£0	£0
10	**Maturity structure of new fixed rate borrowing** To minimise the impact of debt maturity on the cash flow of the Council. Over exposure to debt maturity in any one year could mean that the Council has insufficient liquidity to meet its repayment liabilities, and as a result could be exposed to risk of interest rate fluctuations in the future where loans are maturing. The Council therefore sets limits whereby long-term loans mature in different periods thus spreading the risk.	Maturity profile of debt against approved limits	**Maturity Profile**	**Debt (£)**	**Debt (£)**	**Approved Minimum Limit**	**Approved Maximum Limit**	
			Less than 1 yr	£10.0m	4%	0%	30%	
			1 to 2 yrs	£7.0m	3%	0%	30%	
			2 to 5 yrs	£20.0m	8%	0%	40%	
			5 to 10 yrs	£30.9m	12%	0%	40%	
			10 yrs and above	£186.2m	73%	30%	90%	
			Total	£254.1m	100%	-	-	

Cabinet **16 December 2014**

Report of Cabinet Member for Finance & Performance

Mid-year Report of the Financial Inclusion Steering Group 2013/14

Summary

1. This report is part of a six monthly review process to inform Cabinet of the progress made in delivering the work of the Financial Inclusion Steering Group (FISG). There is a focus on the York Financial Assistance Scheme (YFAS) providing an update and proposals in relation to a review of the scheme to be implemented in 2015/16.

2. This report also provides an update on the performance, and demand for YFAS since April 2014, including comparative data from 2013/14.

Background

The work of the Financial Inclusion Strategy Group (FISG)

3. FISG was convened following approval of the Financial Inclusion Policy and Action Plan by Cabinet on 6 November 2012. Cabinet also approved draw down of £300k from the Economic Infrastructure Fund to deliver the Action Plan.

4. FISG first met on 15 January 2013 and membership includes council directorate representatives, Citizen Advice Bureau and South Yorkshire Credit Union. The group's purpose is to:

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

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

   - residents have the knowledge to manage their finances effectively;
   - advice services are better coordinated across the city;
   - residents, advice givers and those 'sign-posting' better understand the welfare benefits system; and,
   - opportunities to reduce general living expenses are followed up.

6. Building on the progress and achievements made in 2013/14 the key successes in 14/15 are:

   - The council actively supported the successful food collection for Carecent and the York Foodbank as part of the 'Yorkshire Harvest' during September 2014 by securing donation points and providing transport logistics for the collections.
   - The 'Rental Exchange' scheme will be introduced for CYC tenants in the latter part of 14/15. Developed by the Big Issue and Experian it helps build up the credit scores of social housing tenants using their rent payment histories. Around 66% of CYC tenants will see an increase in their credit score as a result of incorporating their rental data to the credit bureau database. Other York based social housing providers have expressed an interest in the scheme for their tenants.
   - The cashless payment systems for three secondary schools aimed at increasing the take up of free school meals is operational from September 2014 - £60k was provided for this.
   - The transformation of city wide advice provision though 'Advice York', delivered by York CAB, is well under way with the Year 1 formal progress report to the Big Lottery being approved.
   - A grant of £10,000, funded through council budget savings from the industrial action in July 2014, has been agreed for the Food Bank to provide them with much needed transport.

- South Yorkshire Credit Union intends to open premises in York offering a range of affordable financial services and discounted white goods.

- A communication plan is in place to encourage school involvement in anti-poverty work generally and financial literacy specifically. The Illegal Money Lending Team have produced quality marked lesson plans for primary and secondary schools and several schools have agreed to use them from September 14;

- Following a formal bidding process four further grants totalling £149,770 were awarded in recent months to schemes/projects that help deliver the aims of FISG. Details of all grants made to date are*:*

Provider	**Project Title**	**Description**	**Duration**	**Period**	Grant
York CAB	ASTF/ Big Lottery	To overhaul the provision of Advice services in the city. The grant brought in £260k funding from the Advice Services Transformation/Big Lottery Fund. '*Advice York*' established.	2 years	1/8/13 - 31/7/15	£80,000
Schools	Cashless payment systems	To promote take up of free school meals in three secondary schools.	one off payment	Sept 2014+	£60,000
Yorkshire Energy Partnership	'Save Money by Saving Energy'	Contribution to fuel poverty campaign work - 'Big Switch' and behavioural change initiatives	1 year	13/14 & 14/15	£10,000
CYC	Living Wage	Publicity material	one off payment	2013/14	£230
Yorkshire Energy Partnership	'Save Money by Saving Energy'	Continue 'Big Switch' fuel poverty work until the introduction of the regionally procured Leeds City Region Contract for 15/16.	6 months	1/10/14 - 31/3/15	£18,236
Peasholme Charity	'My Money My Life'	Provide financial capability support for vulnerable and excluded people	1 year	1/9/14 - 31/8/15	£27,018
York CAB	GP surgeries outreach advice service	Placement of a benefits and debt advisor in two GP surgeries in wards with high deprivation.	2 years	1/10/14 - 30/9/16	£67,003

Provider	Project Title	Description	Duration	Period	Grant
York Housing Association	Digital Inclusion at home and in the community	To provide hands on training to tenants (YHA & CYC) with internet usage - online discounts / job searches, benefit applications & accessing banking.	15 months	1/10/14 - 21/12/15	£37,513

7. Cabinet is also asked to note the successes of benefit take up activities by two separate areas of the council. The council has two dedicated Welfare Benefit Advisers whose primary role is to help customers with a wide range of benefit advice matters including checking entitlement and supporting claims. They saw 1,023 customers in 13/14 – a mix of direct contact from residents and referrals, and on site work at York District Hospital's Cancer Care Centre.

8. In addition , a team which carries out Financial Assessments for Adult Social Care charges for customers also identify where individuals may be entitled to benefit they are not currently claiming. The amount of additional benefit gains that both teams identified in 2013/14 are set out below.

	2013/14
Welfare Benefit Advisers	£2,274,767
Adult Social Care customers	£1,671,653
Total	£3,946,420

Background to York's Financial Assistance Scheme (YFAS)

9. YFAS has provided local welfare support via pre-loaded cash payment cards since April 2013.

   The scheme has been reviewed every 6 months with previous recommendations accepted that:

   - The full administration of the Scheme remains within the council's Customer Service with a strengthening of advice, referrals and researching of other sources of funding

   - The scheme should continue to be funded at current levels (inclusive of grant).

Performance of YFAS from April to August 2014.

10. YFAS was established from April 2013, following the transfer of funding from the Department for Works and Pensions (DWP) previously spent on Social Fund Crisis Loans and Community Care Grants. Available funding is summarised below with an additional administration grant of £61,039 (2014/15). The council agreed to add £100,000 to the scheme for the 2013/14 and a further £100,000 for 2014/15.

Funding	2013/14	2014/15
Awards (DWP)	£315,141	£315,141
CYC addition	£100,000	£200,000
Total	£415,141	£515,141

11. The DWP have confirmed that funding will cease from 2015/16 but on 16 September 2014, following the commencement of judicial review proceedings the Government agreed to revisit its commitment to cease local welfare funding. The Government are committed to making a final decision in December 2014 to allow councils to plan for provision for 2015/16.

12. YFAS was approved by Cabinet in December 2012 to provide 'Emergency' and 'Community' assistance based on eligibility criteria and individual circumstances. Residents must be in receipt of a means tested DWP benefit, Housing Benefit (HB) or Local Council Tax Support (LCTS) to apply. The inclusion of HB and LCTS means that the council can help those on low pay who were excluded under the DWP Social Fund.

13. Emergency grants are intended to meet expenses that have arisen from an emergency or disaster and are the only option to avoid risk or harm. Community grants are intended to help vulnerable people to live independently in the community.

14. Applications can be made on-line, by phone, by post or in person. Payment is made by a pre-paid cash card which can be used at cash machines or in shops, using a 4 digit code provided directly to the customer by the card company. Data on the usage of the cards shows that the majority are used to withdraw cash.

15 Extra help with rent (through Discretionary Housing Payments – DHPs) and Council Tax is also available. These are included under the YFAS umbrella to increase awareness and take-up and to ensure that residents can access the right support. DHPs are funded from a separate DWP grant of £231,900 in 2014/15.

16 YFAS is administered by the CYC Benefits Team in Customer Services. Staff assess Housing Benefit/Local Council Tax Scheme claims, in addition to YFAS applications. Where appropriate, customers are referred on to other organisations which may be able to offer further tailored and intensive help (for example debt problems are referred to the Citizen's Advice Bureau).

Applications and Awards –1 April to 31 August 2014

17. Spend against the original DWP allocation for 2014/15 up to 31 August 2014 is summarised in the table below:

Funding	DWP grant (excl. CYC addition)
Budget	£315,141
Spend	£191,500*
% spent	61%

*£166541 Emergency/Community plus £24959 awarded to help with council tax.

18. The £144,000 underspend from 2013/14 has been rolled forward and added to the funds available for 2014/15.

19. See details of payments and food vouchers issued at Annex A, from which the following points are highlighted:

- April to August 2014 saw 1587 applications with total payments of **£166,541.**
- Applications have **increased by 29%** in the first five months of 2014/15 to 72 per week, from an average of 56 in 2013/14.
- Based on actual expenditure to 31st August 2014, expenditure on YFAS for 2014/15 is estimated to be **£450,000**.
- **58%** of applications are from single residents, **26%** from lone parents and **9%** from families compared with 69%, 18% and 8% respectively for 2013/14.
- **592** or 37% of applications did not qualify for the payments/vouchers. This is consistent with 38% in 2013/14.

- **619** Emergency Grants have been paid with an average paid of **£96.24**, up from £76.61 average in 2013/14.

- **248** Community Grants have been paid – the average paid at **£431.30** is consistent with the average of £432.36 in 2013/14.

- **19%** of spend to August 2014 has been on daily living expenses with an average payment of **£65.20** compared to 27% with an average payment of £55.51 in 2013/14.

- **64%** of applications for daily living expenses are from single residents compared to 69% in 2013/14.

- Requests for daily living expenses has increased by **28%**

- The numbers of cookers, fridges and washers or 'white goods' awarded has **increased by nearly 100%** from an average of 11 appliances per week in 2013/14 to 21per week in the first 19 weeks of 2014/15.

- Demand for white goods has increased most noticeably for single people and lone parents.

- 'Delay in benefit payment' as a reason for applying has dropped to 29% from 37% in 2013/14.

- Having 'no food' as a reason for applying has dropped to 4% from 9% in 2013/14.

- Although a there is a small drop in applications due to debt, applications from residents who feel 'under exceptional pressure' **has doubled** from 15% in 2013/14 to **30%** in the first 19 weeks of 2014/15 .

20. Where a customer's DWP claim is delayed and they are not entitled to a DWP 'benefit advance' or where a resident has no money to buy food or pay for utilities, a small grant for daily living expenses is made from YFAS. As an example, for 2014/15 daily living expenses are £3.10 per day for single people aged 25 and over. Food bank vouchers can also be issued, provided by the Trussell Trust. This incurs no direct cost to the council.

- Data supplied from the Foodbank indicates that:

    - single residents are the biggest users of the food banks in York;

- similarities can be seen between YFAS and the food banks on the levels of / reasons for demand in different Wards.

- benefit delays and changes account for **48%** of vouchers redeemed by the Trussell Trust in York.

21. The average number of Community awards in 2013/14 was 24 and in 2014/15 is now **50 per month**.

22. Case studies from 2014/15 are included in Annex B. These show the significant contribution that Community awards make to solving an immediate problem and improving the prospects of vulnerable residents.

23. The average number of Emergency awards in 2013/14 was 94 and in 2014/15 is **124 per month**.

24. Data on the reasons why people apply shows that more residents applying to YFAS in 2014/15 are feeling under 'exceptional pressure'. Research conducted by the University of Leeds, published in August 2014 on Foodbank usage, indicated that susceptibility to crisis is due to the inadequacy of low income, particularly for young people.

Future Proposals for YFAS

25. In addition to the increasing levels of demand the following issues have been identified as drivers for change to be made to the scheme:

- The scheme is meeting immediate need, but without changes to the way that it operates the council cannot ensure that current budgets will meet the increasing demand evident in 2014/15 nor that underlying causes of claimant difficulties are being addressed. If government funding ceases as planned in 2015/16, the available funding is considered to be insufficient to resource demand and the staffing resource to administer the scheme.

- A recent Internal Audit report found that the provision of cash payments meant that there was a risk that applicants may spend the money on ineligible items and services.

- The Local Government Association published 'How councils are meeting local crisis and community care need', in September 2014. This reports that all of the ten local authorities in the study had:

'moved away from cash payments towards 'in kind' support, using payment cards or vouchers to meet crisis needs and directly purchasing essential items for those with community care requirements. This has reduced the potential for people to abuse the system, with Councils reporting that people have withdrawn applications when they were informed that there were no cash payments available.'

26. The following options for change have been supported by the FISG and discussed with York Citizen's Advice Bureau, and with other agencies that are part the York Benefits Forum. If these principals are approved it is the intention is to involve partner organisations in the development of the fine detail of how the scheme will operate from 2015/16.

Proposals for consideration:

27. Below is a list of measures that could be applied to YFAS to bring about the changes that are needed based on the continued delivery of the service by CYC Customer Services. Outsourcing to another provider or managed service has been discounted given the uncertainty over future funding levels:

<u>Reduce access to the scheme</u>

- Limit the number of awards from YFAS to two in a rolling twelve month period for emergency assistance (the second must be via an agency) and one award for Community assistance via an agency unless there are exceptional circumstances.

- Revise the criteria of the Community fund scheme to include only the most vulnerable residents. People who could be perceived to be vulnerable could include, for example:
  - Carers;
  - Vulnerable older people;
  - Families or vulnerable people who are experiencing greater than the normal range of pressures experienced by most people or there has been a significant unfortunate event that makes their situation extraordinary;
  - People moving out of institutional or residential care into the community;
  - Young people leaving care

- Ex- offenders leaving prison or detention centres;
- People with learning or physical disabilities;
- People with mental health problems;
- People who have a drug or alcohol dependency;
- Homeless people, rough sleepers or those at risk of homelessness; or
- People fleeing domestic violence

Seek to address the underlying issues:

- Use trusted referrers, (advice agencies such as CAB), both external and internal to CYC, who would assist in the Community Fund application process, evidencing need and verifying income and identity. This would link in with work already started with agencies who can provide support to Universal Credit customers, on digital inclusion, financial inclusion, work readiness and advice and information.

- Work with South Yorkshire Credit Union (SYCU) to provide low interest loans to applicants refused an award from YFAS.

Reduce cash payments:

- Provide goods or services not cash payment cards for Community Fund items following appropriate procurement exercises.

- Limit the range of items currently available under the Community Fund to basic necessities ('white goods', beds & bedding) and provide other items using discretion and exceptionally on the basis of need, for example provide a vacuum cleaner if required because the applicant is asthmatic.

- From the Emergency Fund provide food or vouchers for food (this could be supermarket vouchers depending on procurement), and for fuel top ups.

- Emergency cash payment cards to be provided in very exceptional circumstances, for example to obtain cheaper travel deals or where agencies recommend cash fulfilment.

- YFAS will no longer issue food bank vouchers, residents will be referred to partners for this purpose and to assist with other elements of advice and/or support.

Other proposals for consideration:

- Add a low income level threshold to determine eligibility to apply, for example up to the Tax threshold of £10,000 or the Government's low income (for 2014/15 this is £16,010). This will ensure that low paid working not receiving DWP benefits or HB/LCTS can still apply to the scheme.

- Allow trusted referrers to recommend items on the basis of need whilst the council retains the decision on the amount awarded.

- Retain the non-conditional provision for disasters and support for those under a DWP sanction which is under appeal.

- The council to continue to provide support to customers who have having financial difficulty in paying their council tax. This support is provided through the umbrella YFAS scheme and under the powers given to Local Authorities in Section 13a of the Local Government Finance Act. It is recommended good practice for councils to have an approved scheme for section 13a and York's scheme is attached at Annex C for approval.

Comparison with other Local Authority schemes

28. The performance and content of other schemes in the region is summarised in Annex D. There is little consistency between schemes therefore not possible to compare, for example, payment levels on a like for like basis.

Consultation

29. The possible options to revise the current scheme has been discussed with York's Citizens Advice Bureau and with members of York's Benefit forum The option to provide cash payments exceptionally and by discretion was included as a response to partner feedback.

Options

30. The following options are available for consideration:

- No change to the scheme but consider the investment required to continue the current arrangements;
- Adopt the changes outlined in the report and again consider the financial commitment to be made to the scheme in future years;
- Cease the scheme. Whilst all claim expenditure will stop, there will be the additional redundancies of two staff members and associated costs to fund.

Analysis

31. There is no further analysis other than the existing information in the report.

Council Plan

32. YFAS helps to deliver two priorities in the Council Plan to 'Protect vulnerable people' and to 'Build strong communities'. Financial assistance is targeted at those most in need and assists in allowing residents to continue to live in our communities.

33. It supports the objectives of the Without Walls Poverty Programme Strategy to:

- Establish an overarching view of citywide anti-poverty priorities and to ensure that actions to meet priorities are agreed at a strategic level first and then made operational;
- Embed York's vision for a poverty-free city into all future CYC and partner priorities and, through a targeted programme of interventions, start the city's progress towards its achievement.
- It supports the Child Poverty Strategy principles.

Implications

34.

a) Financial

- The base funding from DWP for YFAS, including a grant for administration is £376,180 for 2014/15.

- The DWP grant has been supplemented with additional funds provided by the council as part of the budget setting process for 2013/15. Additional funding of £100,000 was approved for 2013/14 and a further £200,000 for 2014/15.

- The DWP grant may cease in 2015/16. As such Members will need to consider within the budget report in February 2015 the issues relating to the scheme, and the withdrawal of funding.

- A report was brought to Cabinet in October 2013 on technical changes to Council Tax. That report noted that the further changes that were being recommended for introduction 1 April 2014 would yield an estimated £300,000 per annum but that this would need to be monitored as the precise impact could not be determined accurately at that stage. It was also noted that other factors also impacted on council tax, and that there were issues in particular relating to benefits expenditure that would need to be considered. Cabinet approved the following as part of that report:

  "Approve that any additional income from the technical changes to council tax be reserved in the first place to cover potential increases in benefits expenditure, with further consideration at time of budget setting."

- Since then the position regarding council tax discount scheme has become clearer regarding costs and these are currently considered to be able to be met from existing provision. It is likely that there will be a significant surplus on the council tax collection fund at the end of this financial year as a prudent view was taken of the impact of technical changes, and other risks associated with collection. Any surplus on the fund can only be used in the following year's budget. It is likely that this additional council tax income will be such that it could be used by Members to continue funding of the YFAS scheme at current levels, despite the loss of Government funding.

- Final decisions on the implications of the loss of government funding, and the council's contribution to the scheme, will be made as part of the Budget report in February. Members are at this stage asked to give commitment to maintaining the YFAS funding at its current levels (inclusive of grant) and considering in principle (subject to the full budget approval), the use of

additional council tax, primarily from technical changes, being directed towards the YFAS scheme.

b) Human Resources (HR)

The DWP grant provided funds the equivalent of two full-time posts needed to administer the scheme.

c) Equalities

The Community Impact Assessment for YFAS is published on the council's website and updated at Annex E, but the key points for ongoing monitoring and action are:

- Analysis of application data will ensure that CYC directs funds to those most in need.
- Using this analysis, look at alternative ways of supporting residents, which may be, for example, seeking partnerships with more groups who can help address those needs.
- To use the financial Inclusion strategy to provide city wide support to financially vulnerable customers.
- To use economic inclusion initiatives to try to ensure the right skills are developed to engage all residents in current and future employment opportunities.
- Staff will receive applications from potentially stressed, desperate and upset customers. Staff are trained to deal with these issues.

d) Legal
None

e) Crime and Disorder
None

f) Information Technology (IT)
None if no change to current service provision

g) Property
None

h) Other
None

Risk Management

35. The key risks are:

- managing the costs of the service (both service delivery and administration) within a limited budget for 2015/16.

- the potential of less funding from April 2015 will reduce the council's ability to achieve it's objectives as stated in the Council Plan to:

  - protect vulnerable people & build strong communities.
  - support the objectives of the Without Walls Poverty Programme.
  - address poverty and financial inclusion issues.

- managing the budget to ensure that customers get the same service irrespective of when they apply in the financial year;

- minimising opportunities for fraud and abuse, whilst ensuring that customers who need help can access scheme easily and quickly;

- any failure to provide an appropriate service will have a negative impact on the wellbeing of vulnerable people and the reputation of the council.

Recommendations

36. Members are asked to:

a) Note the performance of YFAS for the first 5 months of 2014/15 as compared to 2013/14.

b) Agree to the changes to the scheme proposed in this report with the final detail to be approved by the Director of CBSS in conjunction with the Cabinet Member for Finance & Performance before implementation by 1st April 2015.

c) Commit to maintaining the YFAS funding at its current levels (inclusive of grant) and considering in principle (subject to the full budget approval), the use of additional council tax from technical

changes introduced 1 April 2014 being directed towards the YFAS scheme from April 2015.

d) Approve the attached Council Tax Reduction Scheme (s13) at Annex C.

Reason: To ensure Cabinet can properly plan for future financial pressures relating to the York Financial Assistance Scheme and to support vulnerable residents at a time of financial crisis.

Contact Details

Author:

Di Bull/ John Madden
Strategic Welfare reform
Customer Services
Tel No.01904
552260 / 551132

Pauline Stuchfield
AD Customers &
Employees
Tel No.01904 551100

Cabinet Member & Chief Officer Responsible for the report:

Cabinet Member for Finance & Performance

Ian Floyd
Director of Customer, Business and Support Services

Report Approved √ **Date** *4th December 2014*

Specialist Implications Officer(s) *List information for all*
Financial: Ian Floyd
Director of Customer & Business Support Services

All √

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

Background Papers:

Report of Cabinet Member for Corporate Services 4th Dec 2012
Transfer of responsibility of Social Fund to Local Authorities and establishment of the York Financial Assistance Scheme.

Report of Cabinet Member for Finance, Performance & Customer Services 7th January 2014 - Review of the York Financial Assistance

Scheme

Report of Cabinet Member for Finance & Performance 29th May 2014 - Amendment to the qualifying criteria of the York Financial Assistance Scheme (YFAS).

Report of Cabinet Member for Finance & Performance 1st July 2014 - Annual Report of the Financial Inclusion Steering Group 2013/14

Local Government Association **– Delivering local welfare - September 2014**

North Yorkshire Local Assistance Fund First Year report 2013/14

The institutionalisation of emergency food provision: a danger to the social safety net? School of Sociology and Social Policy University of Leeds.

Report of Cabinet member for Finance, Performance and Customer Services 7th January 2014 - Review of the York Financial Assistance scheme

Annexes

Annex A YFAS statistics for period April to August 2014.
Annex B Case studies
Annex C Council Tax Discretionary Reduction Scheme
Annex D Other Local Authority Arrangements
Annex E Community Impact Assessment
Annex F Abbreviations

This page is intentionally left blank

Annex A– York's Financial Assistance Scheme statistics April to August 2014

Table 1 Total applications by the circumstances of applicant with values between 1st April and 31st August 2014

Applications & status	Couple	£	Family	£	Lone P	£	Pensioner	£	Single	£	Total nos.	Total value £
INELIGIBLE									10		10	0
NEW									22		22	0
PAID	39	5153	93	18935	254	64794	28	7683	472	65495	886	162060
PENDING	0	N/A	0	N/A	4	N/A	2	N/A	6	N/A	12	0
REFUSED	27	N/A	49	N/A	139	N/A	11	N/A	366	N/A	592	0
RESOLVING	3	156	6	719	15	2102	0	N/A	36	1505	60	4481
WITHDRAWN	1	N/A	1	N/A	0	N/A	1	N/A	2	N/A	5	0
Grand Total	**70**	**5309**	**149**	**19654**	**412**	**66896**	**42**	**7683**	**914**	**67000**	**1587**	**166541**

(Resolving is awaiting a payment run)

Total food vouchers issued **129 (189 in 2013/14)**

Table 2 Circumstances as % circumstances

	Aug 2014 %	2013/14 %
Single	58	68.5
Lone Parent	26	18
Families	9	8
Couples	3	2.5
Pensioners	4	3

Table 3 Refusal % for of all applications

	Aug 2014 %	2013/14 %
Overall	37	38
Single	40	38
Lone parent	34	34
Families	33	35
Couples	39	34
Pensioners	26	32

Table 4 Spend across funds to 31st August 2014

Month	Community fund		Emergency fund		£ totals	No. totals
	£	No.	£	No.		
April	24176	46	9249	111	33424.98	157
May	27837	70	12965	122	40802.2	192
June	18541	45	8712	119	27253.04	164
July	21441	46	11273	120	32714.44	166
August	14968	41	17378	147	32347.03	188
Total	**106963**	**248**	**59578**	**619**	**166541**	**867**

Table 5 Estimate of expenditure for 2014/2015 using actual expenditure to 31st August 2014 including Discretionary Local Council Tax Support*

Type of help	**At 31/08/2014**	No. weeks	**2014/15**	No. weeks
	£		£	
Emergency fund	59578	22	140821	52
Community fund	106963	22	252822	52
Sub total	166541		393643	
Discretionary LCTS* 464 awards	24959	22	58994	52
Totals	**191500**		**452637**	

Table 6 Items paid with values at 10th August 2014 with comparison to 2013/14 and estimated spend for 2014/15

The next section uses data up to 10th August 2014 (19 weeks)

Please note the 2013/14 report data shows items by category such as 'white goods' rather than each item, such as fridge, cooker & washer. The 2014/15 report shows all items requested. This is due to a change in the way reports can be run and it was not possible to re-run 2013/14 to show all items individually with values. **A summary comparison on high demand items is shown at the next page.**

Items	Community Grant No.	Emergency Grant No.	Community Grant £	Emergency Grant £	Total no. to Aug 2014 19 wks	Total no. 2013/14 52 wks	Total Value Aug 14 £	Total Value 2013/14 £
BED	99	30	8912.52	2737.82	**129**		**11650.3**	
BEDDING	66		2,658.54		**66**	118	**2658.54**	4227
CLOTHING		32		1693.23	**32**	76	**1693.23**	4020
COOKER	100	35	17181.67	6116.77	**135**		**23298.4**	
COOKPANS	38		698.95		**38**		**698.95**	
CROCKCUTLY	47		1,039.61		**47**		**1039.61**	
CURTAINS	55		2743.96		**55**	92	**2743.96**	3783
DAILYEXPENSES		406		26470.7	**406**	1048	**26470.7**	58174
DRAWERS	64		2470.87		**64**		**2470.87**	
FLOORCOVER	74		16663.68		**74**	82	**16663.7**	11467
FOODVOUCHERS	Recorded	separately						
FRIDGE	105	28	14868.84	3815.88	**133**		**18684.7**	
IRON	10		175		**10**		**175**	
KETTLE	16		215		**16**		**215**	
MICROWAVE	3		120		**3**		**120**	
REPAIR		7		699.22	**7**	5	**699.22**	461
SOFACHAIR	52		4718.91		**52**		**4718.91**	
TABLECHAIR	22		1475.99		**22**		**1475.99**	
TOWELS	28		375.99		**28**		**375.99**	
TRAVELCOST	18	16	1637.51	989.43	**34**	58	**2626.94**	3147
WARDROBE	54		4821.93		**54**		**4821.93**	
WASHER	96	31	17587.7	5817.8	**127**		**23405.5**	
Total Aug 10th 2014	**947**	**639**	**94668.52**	**48394.9**	**1532**	1479	**143063**	85279

Items	Community Grant No.	Emergency Grant No.	Community Grant £	Emergency Grant £
WHITE GOODS	**Summary comparison**			
FURNITURE				
DAILY LIVING EXP				

Total no. to Aug 2014 **19 wks**	Total no. 2013/14 52 wks	**Total Value Aug 14 £**	Total Value 2013/14 £
395	566	**65389**	80241
321	594	**25138**	43089
406	1048	**26471**	58174

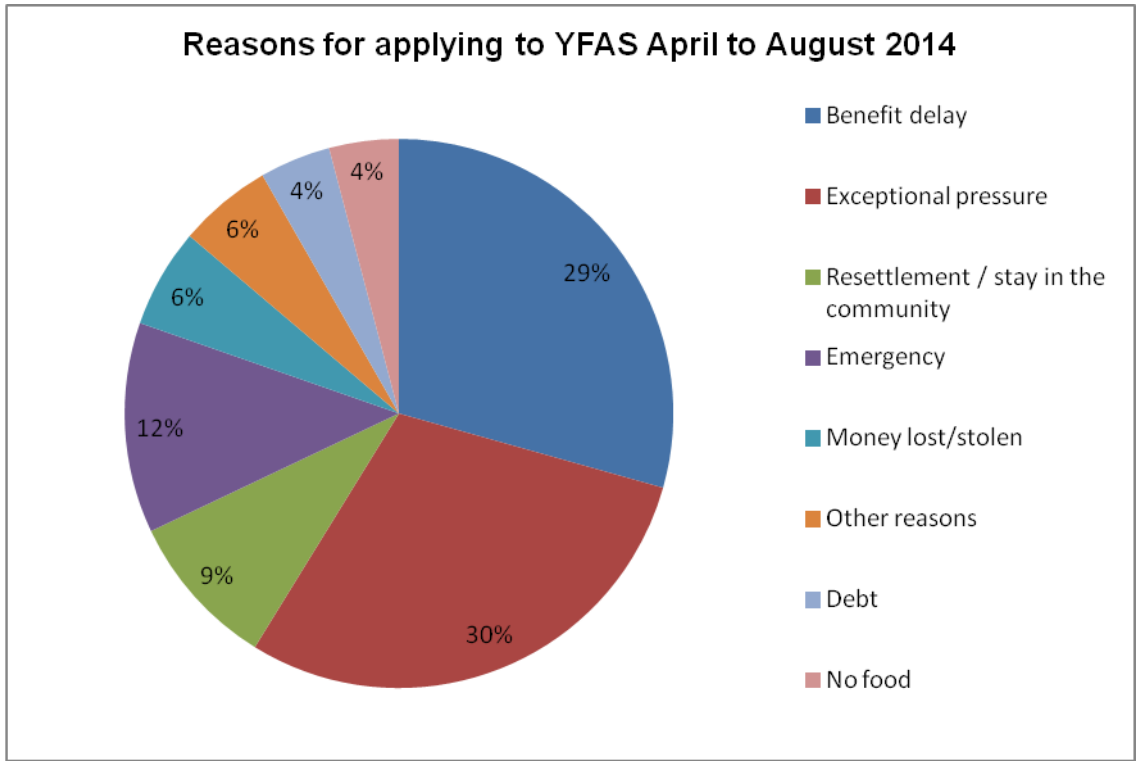


Table 7 YFAS applications by Ward April to August 2014

Comparison of applications by Ward between 2013/14 & April to August 2014 with estimate for 2014/15						
2013/2014			17-Aug-14			
Ward	**Application Nos.**		**Ward**	**Application Nos.**	**Est. 14/15**	**Est % incr.14/15**
Westfield	347		**Westfield**	198	490	41
Guildhall	307		**Micklegate**	189	468	79
Clifton	285		**Clifton**	160	396	39
Heworth Without	262		**Heworth Without**	149	369	41
Micklegate	261		**Guildhall**	144	357	16
Holgate	244		Holgate	127	314	29
Hull Road	161		Hull Road	82	203	26
Fishergate	135		Fishergate	63	156	16
Skelton, Rawcliffe & Clifton Without	72		Skelton, Rawcliffe & Clifton Without	51	126	75
Huntington and New Earswick	71		Dringhouses and Woodthorpe	49	121	81
Dringhouses and Woodthorpe	67		Huntington and New Earswick	45	111	56
Acomb	46		Acomb	37	92	100
Haxby and Wigginton	23		Haxby and Wigginton	13	32	39
Rural West York	19		Fulford	10	25	67
Osbaldwick	16		Strensall	9	22	25
Strensall	16		Osbaldwick	8	20	25
Fulford	15		Wheldrake	8	20	150
Heworth Without	9		Rural West York	5	12	-37
Wheldrake	8		Heslington	4	10	150
Bishopthorpe	6		Derwent	2	5	0
Derwent	5		Bishopthorpe	1	2	-67
Heslington	4		Heworth Without	0		

This page is intentionally left blank

Annex B Case study 1 YFAS

A single 44 year old male was admitted to hospital under the Mental Health Act suffering from a severe depression.

Following 2 years of treatment the detention and section was brought to an end. He remained an informal patient in a secure ward with the intention to move him to accommodation of his own.

Supported by xxxxx , the focus was to find a suitable move on property and a co-ordinated support package to assist a move back into the community

The customer signed up for an unfurnished self contained privately rented property whilst continuing to receive ongoing support from his psychiatric team, assertive outreach team, as well as tenancy support through Foundation.

He receives Employment and Support Allowance of £108.15 per week and had budgeted well to save up for sign up fees and rent in advance but could not afford to buy the basic essentials to furnish his new home.

With the help of his Support Worker he made an application to the Community fund and received £1285 to furnish his flat.

His Support Worker advises that he has thrived since moving to his flat.

The grant really ‘lifted his spirits’ and ‘he still goes on about it’. The level grant allowed him to buy new goods. He wouldn’t have been able to feel secure and have pride in his home without it. The alternative was to ‘be released from hospital with nothing.’

He was instantly settled and every agency involved in reviewing his progress is very happy with how he’s doing. He has been looking into going to university and is now attending an Art College in Leeds and getting into photography.

As a result of the praise that this customer gave to YFAS, a social worker from another part of Yorkshire rang the Support Worker to ask about the York scheme.

The Support Worker advised that the he found the application process easy and the processing of the grant ‘really good.

This page is intentionally left blank

Annex B Case Study 2 YFAS

A 25 year old female lone parent with 3 children aged 6, 3 and 1 years old was fleeing severe domestic violence into a new home.

She had 1 day to pack and get as many of her and the children's possessions out of the house. The customer had to leave things behind as she was only able to make two trips with a van during this timeframe.

Her 2 eldest children have been sharing her bed since they moved as she had to leave her son's bed and mattress and daughter's mattress was also left (but she did have single bed frame). She also had to leave daughter's wardrobe. Her youngest was in a small crib at the time but is now climbing out of that and needs something bigger. On Income Support she could not afford to pay out a lump sum to cover this. She obviously had to leave all of her carpets in her old house and has not managed to carpet anywhere in new house due to having no money. Also she asked to be considered for pots/pans and bedding which were left back at old house and also clothing for the children. She was getting maximum deductions out of her Income Support already and has been declined for a budgeting loan.

An award of £1265 was made.

This page is intentionally left blank

Annex B Case study 3 YFAS

A 59 year old single female X was living in with her partner in his own property. He was going to change his will to include her when she moved in with him but sadly he died at the property before this happened. X suffers from mental health problems and did not feel able to contest the will. The house and contents were left to relatives.

She was already in receipt of Employment and Support allowance of £123.70 per week and her mental health took a turn for the worse following his death. Assessed by Bootham Park Hospital Psychiatrist and the Mental health Crisis team and supported by XX, her support worker has said ‘With no understanding of what to do, she was more and more ignoring the fact that she would be losing her accommodation.’

X was assessed by the Council as priority need and awarded Gold Band. Successful in getting a property all she could see was ‘an empty place and no idea of how she was going to be able to live there with nothing.’

The award of £1,341.99 had a ‘very positive effect in enabling her to see that there was a future ahead for her where she could make a new home. X’s ‘mental health, although still low due to the recent loss, has been improved with the aid of the grant to enable her to make a home. She is now looking with support’ *from XX* ‘to go back into doing some voluntary work, using the skills she has. There is no doubt in the mind of’ the support worker ‘that had X’s ‘application for a grant not been successful her mental health and probably physical health would have declined and she would not be in anywhere near moving positively forward with her life.’ X ‘has said a number of times that without the help and advice she received at Housing Options, and the grant that she is very grateful to have received, she would not have coped.’

This page is intentionally left blank

Annex B Case study 4 YFAS

An 18 year old female lone parent with a 6 month old child moved from an overcrowded family home, where she shared a room with her sister and her baby, into an unfurnished council flat.

She had stayed on at school but the birth meant that her education stopped and she had to leave school before she completed her examinations.

A grant of £1230 from YFAS meant that she was able to create a new home for herself and her baby. She returned to college and as she was under 21years of age has childcare funded by Care to learn.

The maximum childcare that is paid is £160 per week. Even with this contribution this customer has to add £8 per week from her limited income towards her child care.

Her support worker advised that the move to the new home, living independently and subsequently resuming her education has done wonders for her confidence.

This page is intentionally left blank

Annex B Case study 5 YFAS

An 18 year old female with mild learning difficulties was bereaved as she lost her whole family, mother, father and sibling.

Following a lengthy period of living an unsettled way of life and a period of homelessness she began her resettlement programme supported by XXX.

She had received intensive support, including support and work around money management, cooking skills, support in attending college and support sessions aimed at improving employability. There has been a vast improvement in her independent living skills.

Her support worker advises that she is doing well with the plan to go back to college and work with animals. She will be supported to do mini courses building up to full time studying.

Lacking any form of family support, the grant of £1105.99 made all the difference to her as it enabled her to create a home. She got to buy items for her home and it is the making of a ‘home’ that makes the difference in sustaining her tenancy.

This page is intentionally left blank

Annex C

Council Tax

Discretionary Reduction

Scheme

including

Guidance for Decision Makers

PART 1

Who can apply for a discretionary reduction?

The discretionary reduction scheme is available to anyone with a liability to pay Council Tax to City of York Council.

This can include:

- A resident freeholder
- A resident leaseholder
- A resident statutory or secure tenant
- A resident licensee
- A resident
- The owner (where the dwelling has no residents)

When will a discretionary reduction be applied?

Any remaining Council Tax liability after all other applicable reductions have been applied may attract a discretionary reduction**.** Applicable reductions include:

- Council Tax support
- Council Tax statutory exemptions
- Council Tax discounts
- Council Tax reductions for disabilities

Which charges may not attract a discretionary reduction?

A discretionary reduction may not be awarded for costs added to a Council Tax account in addition to the annual liability i.e.

- Court costs
- Recovery costs applied to an account (for example the cost for a summons and costs charged by Enforcement Agents)
- Penalty charges levied on an account as a consequence of a tax payer either failing to disclose information or making a false statement

Authority for scheme

The Director or Customer & Business Support Services (CFO) has delegated authority to make discretionary reductions of up to 100% of the council tax charge.

PART 2

Classes of person or property who may be awarded a discretionary reduction

Where the Council sees fit it may make reductions available under a specific scheme to entire classes of cases with common criteria where the Council considers there to be, in general, a financial need.

For example, where a number of tax payers have been impacted by a specific natural disaster such as flooding, the Council may set up a class to award a discount to all properties affected.

Application process under Part 2

The Council will endeavour to award these reductions on a pro-active basis, without the need for an application, once satisfied that any specified criteria for a reduction has been met. This does not prevent individual tax payers from applying to the Council for such a reduction.

An individual applying for a reduction under part 2 must -

- Be the person(s) liable for payment of the council tax (or their nominee)
- Complete and submit an application form (available at www.york.gov.uk)
- Provide the Council with such information as it may require to make an informed decision. Typical information required will be a household income and expenditure statement, utility bills and the like. The Council may ask for additional information and/or evidence if it is deemed necessary
- Inform the Council of any changes of circumstance relevant to their application or any subsequent reduction awarded
- Continue to make payments to their council tax account until they receive a decision on their discretionary reduction application.

Amount and period of class reduction

Reductions under this part of the scheme will be awarded from the date that the tax payer met the qualifying criteria. For example, the date their property was flooded.

The amount of reduction is at the discretion of the Council with the maximum award being 100% of the tax payer's liability. The period of award is also at the discretion of the Council but will usually only be until the effects of a specific natural disaster have ended.

Decision Making

All applications received from tax payers impacted by specific natural disasters should be referred through to the Corporate Income Manager in the Council Tax

Billing and Collection Department who will usually determine and award discretionary reductions.

All applications received from tax payers not impacted by specific natural disasters should be referred through to the Housing Benefits Service.

Decision notification

When a decision has been made, the applicant will be notified in writing of the outcome of their application. The decision will include a full statement outlining the reasons for the decision, and what factors have been taken into account when making the decision.

Reconsideration of the discretionary reduction decision

In the first instance, if applicants disagree with a decision they may request that their application is reconsidered. Any request for reconsideration must be made within one calendar month of the original decision letter being issued. All applications for reconsideration must be made in writing or via email and must outline the reasons the applicant is disputing the decision.

The reconsideration application will then be considered by the Head of Financial Procedures (the senior officer) who has unfettered discretion to affirm or rescind the original decision or part thereof. This reconsidered decision by this more senior officer will be final. The applicant will be notified in writing of the outcome of the reconsideration and the reasons for the decision.

Appeal against the Council's decision to the Valuation Tribunal

If, after receiving the reconsideration decision from the Council, an applicant still disputes the decision, they can appeal to a Valuation Tribunal.

The Valuation Tribunal for England is an independent body which adjudicates on disputes between taxpayers and the Council.

Appeals must be made directly to the Valuation Tribunal.

Decision Recording

A record will be kept of all decisions made, along with a separate record of those signed off by the Director of Customer & Business Support Service (CFO) .

PART 3

Individuals who may be awarded a discretionary reduction

Applications for a discretionary reduction will be accepted from the person(s) liable for council tax where they either do not meet the criteria in Part 2 for a class specific reduction or have not been affected by a specific natural disaster or who still have an outstanding liability after receiving a class specific reduction.

Application process under part 3

An individual applying for a reduction under Part 3 must:

- Be the person(s)liable for payment of the council tax (or their nominee)
- Complete and submit an application form (available at www.york.gov.uk)
- Provide the Council with such information as it may require to make an informed decision. Typical information required will be a household income and expenditure statement, utility bills and the like. The Council may ask for additional information and/or evidence if it is deemed necessary
- Inform the Council of any changes of circumstance relevant to their application or any subsequent reduction awarded
- Continue to make payments to their council tax account until they receive a decision on their discretionary reduction application.

Qualifying criteria

The discretionary reduction scheme is available to those identified at Part 1 with a liability to pay Council Tax to City of York Council.

When making a decision on applications to the scheme under part 3, the Council will consider the applicant's circumstances which will include –

- Whether the inability to meet the council tax liability could be alleviated in another manner, such as the award of a statutory discount, class reduction under part 2 of this scheme, alternative payment arrangements or by pursuing other avenues of financial assistance
- The personal circumstances of the applicant, their partner and other members of the household
- The income and expenditure of the applicant, their partner and household members.
- All financial circumstances of the household, for instance, any savings or capital which could be used to finance the council tax liability
- Whether the applicant's expenditure includes avoidable expenses which, in some circumstances, may be considered luxuries or lifestyle choices, or that could be reduced to enable the applicant to pay their Council Tax
- For tax payers with a joint liability, the circumstances and financial standing of other liable parties and their households.

This list is not exhaustive and all other relevant factors and circumstances will be considered during the decision making process. That is, all decisions will be assessed on the particular merits of the application.

The general starting point for considering an award will be an income and expenditure calculation but this may not always be appropriate. In order to ensure that decisions are reasonable and proportionate, it may be more appropriate to consider the applicants personal circumstances first and consider why they have requested a discretionary reduction.

Decision Making

All applications received from tax payers not impacted by specific natural disasters should be referred through to the Housing Benefit Team.

They will assess all claims on their own merits, in an open and consistent manner. The general starting point will be an income and expenditure calculation, although all other circumstances will be considered.

A report will be written detailing all the information that has been considered in the decision making process.

Decision notification

When a decision has been made, the applicant will be notified in writing of the outcome of their application. The decision will include a full statement outlining the reasons for the decision and what factors have been taken into account when making the decision.

Reconsideration of the discretionary reduction decision

In the first instance, if applicants disagree with a decision they may request that their application is reconsidered. Any request for reconsideration must be made within one calendar month of the original decision letter being issued. All applications for reconsideration must be made in writing or via email and must outline the reasons the applicant is disputing the decision.

The reconsideration application will then be considered by the Head of Financial Procedures (the senior officer) who has unfettered discretion to affirm or rescind the original decision or part thereof. This decision by this more senior officer will be final. The applicant will be notified in writing of the outcome of the reconsideration and the reasons for the decision.

Appeal against the Council's decision to the Valuation Tribunal

If, after receiving the reconsideration decision from the Council, an applicant still disputes a decision, they can appeal to a Valuation Tribunal.

The Valuation Tribunal for England is an independent body which adjudicates on disputes between taxpayers and the Council.

Appeals must be made directly to the Valuation Tribunal.

Decision Recording

A record will be kept of all decisions made, along with a separate record of those signed off by the Director of Customer and Business Support Services.

PART 4

Amount and period of reduction applied for under Part 3

The amount of reduction awarded is at the discretion of the Council with the maximum award being 100% of the tax payer's net liability after exemptions, discounts, reductions and support have been applied.

It may be appropriate to award a reduction for a short period of time if an applicant is suffering a short term, temporary financial issue or it may be that the whole annual net liability is awarded to allow the applicant time to improve their circumstances.

All the applicants' personal circumstances, not just financial, will be taken into account when considering the period of the reduction and the amount awarded. The decision maker will also consider the consequences of not making an award.

Start date of reduction applied for under Part 3

Awards under the discretionary reduction scheme will usually start from the date the Council receives the application form but, but after taking all circumstances into account, the award may be backdated to an earlier date if considered appropriate. For instance, if an applicant could not make a claim immediately due to physical or mental ill health or due to other circumstances beyond their control.

The decision maker will consider the applicants circumstances objectively and award the reduction from an earlier date than the application was received if appropriate.

Referrals to the Citizens Advice Bureau (CAB)

When an application has been considered and a decision made, it may be appropriate to signpost the applicant or refer them directly to the CAB. Especially if the decision maker considers that they may benefit from budgeting advice.

Subsequent further applications under Part 3

Applicants may make further applications for a discretionary reduction under this scheme once their award has expired or if their circumstances change and their previous application was refused.

A reduction under this discretionary scheme does not necessarily mean that a further award will be made at a later date. There is no limit to the number of applications that can be made.

The Council may be less likely to make a second or further award if the applicant is unable to demonstrate that they have attempted to improve their circumstances. But in any event, all factors as outlined in the application will be taken into account.

PART 5

Overpaid discretionary reductions

Where a reduction has been given and this is later found to be too high, this will generally be recovered from the applicant's Council Tax account, thus increasing the amount of Council tax that is due and payable.

The reduction given may have been too high because of:

- Administrative error by the Council.
- As a result of false, inaccurate, incomplete or misleading information provided to the Council by the applicant or by another person on the applicant's behalf or at their request.

Annex D – What other Local authorities are doing

	26 wks	24 wks	26 wks	28 wks	22 wks
	NE Lincs	East Riding	N Lincs	Hull	York
Applications made	708	1,172	384	4538	1587
Number Awarded	366	665	256	3513	867
Budget	£696,000	£557,071	£453,000	£1,481,500	£315,141
Budget Allocated	£103,000	£156,501	£169,000	£498,433	£166,541
Percentage Spent	15%	28%	37%	34%	53%

North East Lincolnshire provides:

Crisis awards, up to 2 per year for disaster and require the customer to attend an interview on the second application. Awards paid via Pay point cash payment.

Care awards to help people stay in the community using BACS transfer into accounts or Pay point cash payments for amounts less than £200.

Decisions are made after looking at individual circumstances taking into account income, savings, special circumstances such as disability or illness, and ability to re-arrange current finances.

East Riding provides:

Local welfare assistance

Emergency loans are provided for crisis and disaster. No eligibility criteria other than being without resources to meet their needs. Customers can apply for 2 loans and must enter a formal repayment plan.

Support grants to help vulnerable residents live independently in the community. Eligibility via qualifying benefits e.g. Income Support.

Payment of grants is through BACS, Pay point or provision of goods.

North Lincolnshire provides:

Community Support grants. The scheme is similar to North East Lincolnshire scheme Crisis awards and Care awards.

Hull provides:

Community Crisis loans. No eligibility criteria other than being without resources to meet their needs. Customers can apply for 2 loans and must enter a formal repayment plan.

Community Support grants to help vulnerable residents live independently in the community. Eligibility via qualifying benefits e.g. Income Support.

Payment is via BACs transfer or to a trusted referrer through a 'supervised spending arrangement.'

NYLAF is North Yorkshire County Council's Local Assistance Fund.

The County Council has commissioned the scheme for geographically dispersed District Councils. This scheme provides goods in kind supplying 'vital household goods and basic necessities'. There are no cash payments. Items include essential items of household furniture and basic necessities'. There are no cash payments. Items include essential items of household furniture and equipment, beds and bedding, food vouchers, utility top-up vouchers, utility reconnection charges and essential home repairs.

A customer can apply for two awards of emergency food or utility vouchers per year. Other items under the fund are restricted to three per year but only one can be white goods. Applications are through authorised agencies and the NYLAF claim is seen as part of the support package. Applications are made on-line and Charis Grants handle the fulfilment of the award using criteria set by NYCC. Eligibility is determined by the receipt of means-tested benefits or income below the government's low income threshold. Awards for exceptional pressure are restricted to families caring for children.

At a recent stakeholders review session feedback about the scheme was positive. Changes made last year were for example, to replace food parcels with vouchers, include additional items such as cots, gas cookers and table top hobs. The utility credit was introduced in November 2013 and utility top-ups and food have comprised the majority of awards made by NYLAF in 2014/15. Pressures on the fund led to a reduction in white goods allowance to one items per year. In 2013/14 white goods comprised 35% of NYLAF awards compared to 38% of awards through YFAS. Rent deposits were removed from the scheme following review with District partners. Although low volume at around 40 awards per annum they were high value at around £800 each. York operates a bond scheme through Housing Options. April to August 2014 saw 1,731 applications with spend of 34% of the government grant.

Other Local Authorities

Like York, Warwickshire, Brighton & Hove and Leicester initially refused to make awards where people were subject to a benefit sanction but changed their policies due to the considerable hardship this was causing. Manchester initially restricted Community awards for single people with no medical needs. For example, they provided a microwave rather than a cooker, and didn't provide a fridge on the basis that applicants could go to the shops every day to get milk and perishables. However this changed over the course of the first year additionally providing freezers so people could buy in bulk and cut costs.

Leeds City Council operates their Local Welfare Support Scheme as a cashless system available to priority vulnerable groups. Eligibility is linked to low household income and help with basic household goods is limited to cookers, fridges, washing machine, beds and bedding, clothing if affected by disability, removal costs linked to homelessness prevention, travel costs linked to domestic violence or the welfare of children and curtains in cases of a move due to domestic violence and in certain mental health cases. Emergency help includes provision for major upheaval or disaster, food, essential goods linked to children.

This page is intentionally left blank

Community Impact Assessment: Summary

1. Name of service, policy, function or criteria being assessed:

Review of York's Financial Assistance Scheme (YFAS)

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

YFAS provides non-repayable cash grants to residents (using prepaid cards). This CIA looks at proposed changes to the provision of this welfare support scheme which fulfils the needs of vulnerable local people who need financial assistance, in times of 'crisis', exceptional hardship or to help them return or remain in their communities. This service has been subject to a 6 monthly review performance with reports to cabinet. The intention of the review is to ensure that the service is reaching the most vulnerable residents and helping them to address their underlying reasons for needing financial assistance such as financial inclusion or preparing them for work.

3. Name and Job Title of person completing assessment:

Di Bull – Strategic welfare benefits & partnership manager

4. Have any impacts been Identified? (Yes/No) Yes	**Community of Identity affected:** **All**	**Summary of impact:** **The following changes are proposed:** **Reduce the number of times that residents can apply to the scheme.** **Introduce a low income band which removes need to be in receipt of a state benefit to be eligible to apply to the scheme** **Revise the scheme criteria to include only the most vulnerable adults.** **Limit the availability of cash and provide more limited services or goods instead of cash where possible.** **Seek to address applicants underlying issues by channelling the majority of referrals through advice and support agencies.** **The cessation of £376,180 of government funding from April 2015 is likely to reduce**

		resources available for this service. **Work with South Yorkshire Credit Union SYCU to provide loans to residents not eligible for a grant from the scheme**

5. Date CIA completed:

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:	**Date:**	**Decision Details:**

Send the completed signed off document to equalities@york.gov.uk. It will be published on the intranet, as well as on the council website.

Actions arising from the Assessments will be logged on Verto and progress updates will be required

SECTION 2: CIA FORM

Community Impact Assessment (CIA)

Community Impact Assessment Title:	Review of York's Financial Assistance Scheme (YFAS)

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)
Data contained in the report of the Report of Cabinet member For Finance & Performance – Mid-year report of the Financial Inclusion Steering Group 2013/14, and other analysis. This includes comparisons to the schemes and performance of other local authorities.	Standard of living Access to services and employment	**There is a mix of positive and negative impacts**	**None**

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

Reduce the number of times that residents can apply to the scheme. **(Currently applicants can claim up to 3 times for an emergency payment and potentially every 28 days for Community awards as long as they are requesting different items)**	**These are proportionate means to achieve legitimate aims**	**Residents of all ages will be affected**	**Pauline Stuchfield** **N**	
Introduce a low income band which removes need to be in receipt of a state benefit to be eligible to apply to the scheme		**The most vulnerable adults of any age on a low income or low pay can apply to the scheme**	**P**	
Revise the scheme criteria to include only the most vulnerable adults.		**The very young and the elderly are more likely to be vulnerable so they are less likely to be affected by this.**	**Both**	
Limit the availability of cash and provide more limited services or goods instead of cash where possible.		**Applicants of all ages will be affected. Comparison to other local authority schemes showed that delivery of goods direct to the home, and installation of eg cookers was popular with residents. Bulk purchase of goods could save money which could extend the budget of the scheme.**	**Both**	

Seek to address applicants underlying issues by channelling the majority of referrals through advice and support agencies.		**Applicants of all ages will be affected but access to advice and support and for example help with preparing for work, should ensure better long term outcomes for residents and reduce the need to make multiple applications**	**P**	
The cessation of government funding from April 2015 is likely to reduce resources available for this service.		**All ages will be affected but targeting financial help, and advice and support, on the most vulnerable gets the best value out of limited budgets**	**N**	
Work with South Yorkshire Credit Union SYCU to provide loans to residents not eligible for a grant from the scheme		**All applicants refused a grant will be referred to SYCU who provide lower interest rates than for e.g. pay day loans.**	**P**	

Community of Identity: Carers of Older or Disabled People			
Evidence	**Quality of Life Indicators**	**Customer Impact** (N/P/None)	**Staff Impact** (N/P/None)

Data contained in the report of the Report of Cabinet member for Finance & Performance – Mid-year report of the Financial Inclusion Steering Group 2013/14, and other analysis This includes comparisons to the schemes and performance of other local authorities.		Standard of living Access to services and employment	**There is a mix of positive and negative impacts.**	
Details of Impact	***Can negative impacts be justified?***	**Reason/Action**	**Lead Officer**	**Completion Date**
Reduce the number of times that residents can apply to the scheme. **(Currently applicants can claim up to 3 times for an emergency payment and potentially every 28 days for Community awards as long as they are requesting different items)**	**These are proportionate means to achieve a legitimate aims**	**Carers will be affected**	**Pauline Stuchfield** **N**	
Introduce a low income band which removes need to be in receipt of a state benefit to be eligible to apply to the scheme		**The most vulnerable adults on a low income or low pay can apply to the scheme.**	**P**	
Revise the scheme criteria to include only the most vulnerable adults.		**Carers will be designated as amongst the most vulnerable** **Comparison to other local authority schemes showed that delivery of goods direct to the home, and installation of eg cookers was**	**P**	
Limit the availability of cash and provide				

more limited services or goods instead of cash where possible.		popular with residents. Bulk purchase of goods could save money which could extend the budget of the scheme. Cash will be available when agencies recommend cash fulfilment.	P Both	
Seek to address applicants underlying issues by channelling the majority of referrals through advice and support agencies.		Access to advice and support through agencies should ensure better long term outcomes for residents and reduce the need to make multiple applications.	P	
The cessation of £376,180 of government funding from April 2015 is likely to reduce resources available for this service.		Carers are amongst the vulnerable groups with more access to limited funds under the scheme	Both	
Work with South Yorkshire Credit Union SYCU to provide loans to residents not eligible for a grant from the scheme		All applicants refused a grant will be referred to SYCU who provide lower interest rates than for e.g. pay day loans.	P	

Community of Identity: Disability				
Evidence		**Quality of Life Indicators**	**Customer Impact** (N/P/None)	**Staff Impact** (N/P/None)
Data contained in the report of the Report of Cabinet member for Finance & Performance – Mid-year report of the Financial Inclusion Steering Group 2013/14, This includes comparisons to the schemes and performance of other local authorities.		Standard of living Access to services and employment	**There is a mix of positive and negative impacts.**	
Details of Impact	***Can negative impacts be justified?***	**Reason/Action**	**Lead Officer**	**Completion Date**
Reduce the number of times that residents can apply to the scheme. **(Currently applicants can claim up to 3 times for an emergency payment and potentially every 28 days for Community awards as long as they are requesting different items)** **Introduce a low income band which removes need to be in receipt of a state benefit to be eligible to apply to the scheme**	**These are proportionate means to achieve legitimate aims**	**All disabled residents will be affected by this** **Disabled residents on a low income can apply to the scheme.** **Some disabled residents may fail government criteria to receive**	**Pauline Stuchfield** **N** **P**	

		disability benefits e.g. recovering from a heart operation.		
Revise the scheme criteria to include only the most vulnerable adults.		Disabled residents are most vulnerable in the criteria for the scheme	P	
Limit the availability of cash and provide more limited services or goods instead of cash where possible.		Comparison to other local authority schemes showed that delivery of goods direct to the home, and installation of eg cookers was popular with residents.	Both	
		Bulk purchase of goods could save money which could extend the budget of the scheme.		
		Cash will be available when agencies recommend cash fulfilment.		
Seek to address applicants underlying issues by channelling the majority of referrals through advice and support agencies.		Access to advice and support, including help with preparing for work (where appropriate), through agencies should ensure better long term outcomes for residents and reduce the need to make multiple applications.	P	
The cessation of £376,180 of government funding from April 2015 is likely to reduce		Disabled residents are amongst the	Both	

resources available for this service. **Work with South Yorkshire Credit Union SYCU to provide loans to residents not eligible for a grant from the scheme**		**most vulnerable groups with access to limited funds under the scheme** **All applicants refused a grant will be referred to SYCU who provide lower interest rates than for e.g. pay day loans.**	**P**	

Community of Identity: Gender

Evidence		Quality of Life Indicators	Customer Impact (N/P/None)	Staff Impact (N/P/None)
Data contained in the report of the Report of Cabinet member for Finance & Performance – Mid-year report of the Financial Inclusion Steering Group 2013/14, This includes comparisons to the schemes and performance of other local authorities.		Standard of living Access to services and employment	**There is a mix of positive and negative impacts.**	
Details of Impact	***Can negative impacts be justified?***	**Reason/Action**	**Lead Officer**	**Completion Date**
Reduce the number of times that residents can apply to the scheme. **(Currently applicants can claim up to 3 times for an emergency payment and potentially**	**These are proportionate means to achieve**	**All genders are affected by this but data indicates that single males will be affected more. More than twice as many single males apply to the**	**N**	

every 28 days for Community awards as long as they are requesting different items)	legitimate aims	scheme than single females.		
Introduce a low income band which removes need to be in receipt of a state benefit to be eligible to apply to the scheme		The most vulnerable adults of all genders on a low income or low pay can apply to the scheme	P	
Revise the scheme criteria to include only the most vulnerable adults.		Families including single parent families will be included in the most vulnerable adults under the scheme. Over 90% of current single parent applicants are female	P	
Limit the availability of cash and provide more limited services or goods instead of cash where possible.		Comparison to other local authority schemes showed that delivery of goods direct to the home, and installation of eg cookers was popular with residents. Bulk purchase of goods could save money which could extend the budget of the scheme. Cash will be available when agencies recommend cash fulfilment.	Both	
Seek to address applicants underlying issues		Access to advice and support through agencies, including for		

by channelling the majority of referrals through advice and support agencies.		**example help with preparing for work, should ensure better long term outcomes for residents and reduce the need to make multiple applications.**	**P**	
The cessation of £376,180 of government funding from April 2015 is likely to reduce resources available for this service.		**Vulnerable residents of all genders can apply to the scheme**	**Both**	
Work with South Yorkshire Credit Union SYCU to provide loans to residents not eligible for a grant from the scheme		**All applicants refused a grant will be referred to SYCU who provide lower interest rates than for e.g. pay day loans.**	**P**	

Community of Identity: Gender Reassignment			
Evidence	**Quality of Life Indicators**	**Customer Impact** (N/P/None)	**Staff Impact** (N/P/None)
Data contained in the report of the Report of Cabinet member for Finance & Performance – Mid-year report of the Financial Inclusion Steering Group 2013/14,	Standard of living Access to services and employment	**There is a mix of positive and negative**	

This includes comparisons to the schemes and performance of other local authorities.			**impacts.**	
Details of Impact	***Can negative impacts be justified?***	**Reason/Action**	**Lead Officer**	**Completion Date**
Reduce the number of times that residents can apply to the scheme. **(Currently applicants can claim up to 3 times for an emergency payment and potentially every 28 days for Community awards as long as they are requesting different items)** **Introduce a low income band which removes need to be in receipt of a state benefit to be eligible to apply to the scheme** **Revise the scheme criteria to include only the most vulnerable adults.**	**These are proportionate means to achieve legitimate aims**	**All genders are affected by this.** **Low income and low paid vulnerable gender reassigned residents can apply** **Applications will be assessed on an individual basis. Gender re-assignment could be assessed as vulnerable depending on their circumstances**	**Pauline Stuchfield** **N** **P** **P**	

Limit the availability of cash and provide more limited services or goods instead of cash where possible.		**Comparison to other local authority schemes showed that delivery of goods direct to the home, and installation of eg cookers was popular with residents.** **Bulk purchase of goods could save money which could extend the budget of the scheme.** **Cash will be available when agencies recommend cash fulfilment.**	**Both**	
Seek to address applicants underlying issues by channelling the majority of referrals through advice and support agencies.		**Access to advice and support through agencies, including for example help with preparing for work, should ensure better long term outcomes for residents and reduce the need to make multiple applications.**	**P**	
The cessation of £376,180 of government funding from April 2015 is likely to reduce resources available for this service. **Work with South Yorkshire Credit Union**		**Vulnerable residents of all genders can apply to the scheme** **All applicants refused a grant will be**	**Both**	

SYCU to provide loans to residents not eligible for a grant from the scheme		**referred to SYCU who provide lower interest rates than for e.g. pay day loans.**	**P**	

Community of Identity: Marriage & Civil Partnership				
Evidence		**Quality of Life Indicators**	**Customer Impact** (N/P/None)	**Staff Impact** (N/P/None)
Data contained in the report of the Report of Cabinet member for Finance & Performance – Mid-year report of the Financial Inclusion Steering Group 2013/14, This includes comparisons to the schemes and performance of other local authorities.		Standard of living Access to services and employment	**There is a mix of positive and negative impacts.**	
Details of Impact	***Can negative impacts be justified?***	**Reason/Action**	**Lead Officer**	**Completion Date**
Reduce the number of times that residents can apply to the scheme. **(Currently applicants can claim up to 3 times for an emergency payment and potentially every 28 days for Community awards as long as they are requesting different items)** **Introduce a low income band which**	**These are proportionate means to achieve legitimate aims**	**All residents regardless of marriage or partnership status are affected** **The most vulnerable residents on low**	**N**	

removes need to be in receipt of a state benefit to be eligible to apply to the scheme		**income or low pay whether married, and in a civil partnership can apply**	**P**	
Revise the scheme criteria to include only the most vulnerable adults.		**All applications will be assessed on an individual basis but couples are not automatically classed as vulnerable.**	**B**	
Limit the availability of cash and provide more limited services or goods instead of cash where possible.		**Comparison to other local authority schemes showed that delivery of goods direct to the home, and installation of eg cookers was popular with residents.**	**B**	
		Bulk purchase of goods could save money which could extend the budget of the scheme.		
		Cash will be available when agencies recommend cash fulfilment.		
Seek to address applicants underlying issues by channelling the majority of referrals through advice and support agencies.		**Access to advice and support through agencies, including for example help with preparing for work, should ensure better long term outcomes for residents and reduce the need to make multiple applications.**	**P**	
The cessation of £376,180 of government		**The most vulnerable residents can apply**		

funding from April 2015 is likely to reduce resources available for this service. **Work with South Yorkshire Credit Union SYCU to provide loans to residents not eligible for a grant from the scheme**		**to the scheme.** **All applicants refused a grant will be referred to SYCU who provide lower interest rates than for e.g. pay day loans.**	**B** **P**	

Community of Identity: Pregnancy / Maternity				
Evidence		**Quality of Life Indicators**	**Customer Impact** (N/P/None)	**Staff Impact** (N/P/None)
Data contained in the report of the Report of Cabinet member for Finance & Performance – Mid-year report of the Financial Inclusion Steering Group 2013/14, This includes comparisons to the schemes and performance of other local authorities.		Standard of living Access to services and employment	**There is a mix of positive and negative impacts.**	
Details of Impact	***Can negative impacts be justified?***	**Reason/Action**	**Lead Officer**	**Completion Date**
Reduce the number of times that residents		**All residents are affected**	**Pauline Stuchfield** **N**	

can apply to the scheme. **(Currently applicants can claim up to 3 times for an emergency payment and potentially every 28 days for Community awards as long as they are requesting different items)** **Introduce a low income band which removes need to be in receipt of a state benefit to be eligible to apply to the scheme** **Revise the scheme criteria to include only the most vulnerable adults.** **Limit the availability of cash and provide more limited services or goods instead of cash where possible.**	**These are proportionate means to achieve legitimate aims**	**The most vulnerable adults on a low income or low pay can apply to the scheme** **All applications will be assessed on an individual basis. Pregnancy or maternity could be assessed as vulnerable depending on circumstances** **Comparison to other local authority schemes showed that delivery of goods direct to the home, and installation of eg cookers was popular with residents.** **Bulk purchase of goods could save money which could extend the budget of the scheme.** **Cash will be available when agencies recommend cash fulfilment.**	**P** **B** **B** **B**	

Seek to address applicants underlying issues by channelling the majority of referrals through advice and support agencies.		**Access to advice and support through agencies, including for example help with preparing for work (where appropriate), should ensure better long term outcomes for residents and reduce the need to make multiple applications.**	**P**	
The cessation of £376,180 of government funding from April 2015 is likely to reduce resources available for this service.		**The most vulnerable residents can apply to the scheme**	**N**	
Work with South Yorkshire Credit Union SYCU to provide loans to residents not eligible for a grant from the scheme		**All applicants refused a grant will be referred to SYCU who provide lower interest rates than for e.g. pay day loans.**	**P**	

Community of Identity: Race			
Evidence	**Quality of Life Indicators**	**Customer Impact** (N/P/None)	**Staff Impact** (N/P/None)
Data contained in the report of the Report of Cabinet member for Finance & Performance – Mid-year report of the Financial Inclusion Steering Group 2013/14, This includes comparisons to the schemes and	Standard of living Access to services and employment	**There is a mix of positive and negative impacts.**	

performance of other local authorities.				
Details of Impact	***Can negative impacts be justified?***	**Reason/Action**	**Lead Officer**	**Completion Date**
Reduce the number of times that residents can apply to the scheme. **(Currently applicants can claim up to 3 times for an emergency payment and potentially every 28 days for Community awards as long as they are requesting different items)**	**These are proportionate means to achieve legitimate aims**	**All residents are affected**	**Pauline Stuchfield** **N**	
Introduce a low income band which removes need to be in receipt of a state benefit to be eligible to apply to the scheme		**The most vulnerable adults on a low income or low pay can apply to the scheme**	**B**	
Revise the scheme criteria to include only the most vulnerable adults.		**The most vulnerable adults can apply to the scheme**	**B**	
Limit the availability of cash and provide more limited services or goods instead of		**Comparison to other local authority**	**B**	

cash where possible.		**schemes showed that delivery of goods direct to the home, and installation of eg cookers was popular with residents.** **Bulk purchase of goods could save money which could extend the budget of the scheme.** **Cash will be available when agencies recommend cash fulfilment.**		
Seek to address applicants underlying issues by channelling the majority of referrals through advice and support agencies.		**Access to advice and support through agencies, including for example help with preparing for work (where appropriate), should ensure better long term outcomes for residents and reduce the need to make multiple applications.**	**P**	
The cessation of £376,180 of government funding from April 2015 is likely to reduce resources available for this service.		**The most vulnerable residents can apply to the scheme**	**N**	
Work with South Yorkshire Credit Union SYCU to provide loans to residents not eligible for a grant from the scheme		**All applicants refused a grant will be referred to SYCU who provide lower interest rates than for e.g. pay day loans.**	**P**	

Community of Identity: Religion / Spirituality / Belief				
Evidence		**Quality of Life Indicators**	**Customer Impact** (N/P/None)	**Staff Impact** (N/P/None)
Data contained in the report of the Report of Cabinet member for Finance & Performance – Mid-year report of the Financial Inclusion Steering Group 2013/14, This includes comparisons to the schemes and performance of other local authorities.		Standard of living Access to services and employment	**There is a mix of positive and negative impacts.**	
Details of Impact	***Can negative impacts be justified?***	**Reason/Action**	**Lead Officer**	**Completion Date**
Reduce the number of times that residents can apply to the scheme. **(Currently applicants can claim up to 3 times for an emergency payment and potentially every 28 days for Community awards as long as they are requesting different items)** **Introduce a low income band which**	**These are proportionate means to achieve legitimate aims**	**All residents will be affected** **The most vulnerable adults on a low**	**Pauline Stuchfield** **N** **P**	

removes need to be in receipt of a state benefit to be eligible to apply to the scheme		**income or low pay can apply to the scheme**		
Revise the scheme criteria to include only the most vulnerable adults.		**The most vulnerable adults can apply to the scheme**	**B**	
Limit the availability of cash and provide more limited services or goods instead of cash where possible.		**Comparison to other local authority schemes showed that delivery of goods direct to the home, and installation of eg cookers was popular with residents.** **Bulk purchase of goods could save money which could extend the budget of the scheme.** **Cash will be available when agencies recommend cash fulfilment.**	**B**	
Seek to address applicants underlying issues by channelling the majority of referrals through advice and support agencies.		**Access to advice and support through agencies, including for example help with preparing for work (where appropriate), should ensure better long term outcomes for residents and reduce the need to make multiple applications.**	**P**	
The cessation of £376,180 of government		**The most vulnerable residents can apply**	**N**	

funding from April 2015 is likely to reduce resources available for this service. **Work with South Yorkshire Credit Union SYCU to provide loans to residents not eligible for a grant from the scheme**		**to the scheme** **All applicants refused a grant will be referred to SYCU who provide lower interest rates than for e.g. pay day loans.**	**P**	

Community of Identity: Sexual Orientation				
Evidence		**Quality of Life Indicators**	**Customer Impact** (N/P/None)	**Staff Impact** (N/P/None)
Data contained in the report of the Report of Cabinet member for Finance & Performance – Mid-year report of the Financial Inclusion Steering Group 2013/14, This includes comparisons to the schemes and performance of other local authorities.		Standard of living Access to services and employment	**There is a mix of positive and negative impacts.**	
Details of Impact	***Can negative impacts be justified?***	**Reason/Action**	**Lead Officer**	**Completion Date**
Reduce the number of times that residents		**All residents will be affected**	**Pauline Stuchfield** **N**	

can apply to the scheme. **(Currently applicants can claim up to 3 times for an emergency payment and potentially every 28 days for Community awards as long as they are requesting different items)**	**These are proportionate means to achieve legitimate aims**			
Introduce a low income band which removes need to be in receipt of a state benefit to be eligible to apply to the scheme		**The most vulnerable adults on a low income or low pay can apply to the scheme**	**P**	
Revise the scheme criteria to include only the most vulnerable adults.		**The most vulnerable adults can apply to the scheme**	**B**	
Limit the availability of cash and provide more limited services or goods instead of cash where possible.		**Comparison to other local authority schemes showed that delivery of goods direct to the home, and installation of eg cookers was popular with residents.** **Bulk purchase of goods could save money which could extend the budget of the scheme.** **Cash will be available when agencies recommend cash fulfilment.**	**B**	

Seek to address applicants underlying issues by channelling the majority of referrals through advice and support agencies.		**Access to advice and support through agencies, including for example help with preparing for work (where appropriate), should ensure better long term outcomes for residents and reduce the need to make multiple applications.**	**P**	
The cessation of £376,180 of government funding from April 2015 is likely to reduce resources available for this service.		**The most vulnerable residents can apply to the scheme**	**B**	
Work with South Yorkshire Credit Union SYCU to provide loans to residents not eligible for a grant from the scheme		**All applicants refused a grant will be referred to SYCU who provide lower interest rates than for e.g. pay day loans.**	**P**	

Annex F

Mid-year Report of the Financial Inclusion Steering Group 2013/14

List of Abbreviations

CAB	Citizen's Advice Bureau
CYC	City of York Council
DHPs	Discretionary Housing Payments
DWP	Department for Works and Pensions
ESA	Employment & Support Allowance
FISG	Financial Inclusion Steering Group
GP	General Practitioner (doctor)
HMRC	Her Majesty's Revenues & Customs
HB	Housing Benefits
JSA	Job Seeker's Allowance
LCTS	Local Council Tax Support
SYCU	South Yorkshire Credit Union
YFAS	York's Financial Assistance Scheme
YHA	York Housing Association

This page is intentionally left blank

Cabinet **16 December 2014**

Report of the Cabinet Member for Finance and Performance

Discretionary Rate Relief Awards 2015 - 2017

Summary

1. The purpose of this paper is to provide Cabinet with details of new applications for Discretionary Rate Relief (DRR) for the period 1 April 2015 to 31 March 2017. The paper sets out the council's available budget and asks Cabinet to approve any new awards based upon the funding available.

Background

2. Cabinet approved a new process for awarding DRR at its meeting held on 12th February 2013. With effect from April 2014 all new awards are a Cabinet decision taking into account any budget available and consideration of applications against council priorities.

3. Guidance in the 1988 Local Government Finance Act provides that although authorities may adopt rules for the consideration of discretionary cases, they should not adopt a blanket policy either to give or not to give relief. Instead, each case should be considered on its own merits. The areas where DRR can be awarded are:

   - Charities
   - Non-profit making organisations
   - Community Amateur Sports Clubs (CASCs)
   - Rural discretionary relief
   - Rural top up.

4. The council's transformation programme is ensuring that services are designed around the needs of the people and place first.

Some of these services may not be delivered directly by the council in future but by a combination of the council with partner organisations, other authorities, volunteers and community groups or directly by social enterprises or the commercial sector. The top up discretionary rate relief provides additional financial support to those charities, community sports clubs and non-for profit organisations that form a key part of supporting this aspiration.

5. All applications for DRR are currently via written submissions through a formal application process managed by the relevant council department. The applications are considered on an individual basis against council priorities and on their merits. The application is for a top up to the 80% mandatory award in respect of charities, CASCs and non-for profit organisations. This paper provides details of all applications for the 1 April 2015 – 31March 2017 years against the council's DRR budget.

Discretionary Rate Relief costs

6. There were no new awards of discretionary rate relief approved at Cabinet in January 2014 for the 1 April 2014 to 31 March 2016 years. All existing discretionary top up reliefs (excluding rural) awarded from 1 April 2013 expire on 31 March 2015. Annex A of this paper sets out details of the organisations recommended for awards by the relevant directorates after consideration of the individual applications for the period 1 April 2015 – 31 March 2017. Table 1 below shows the cost to the council of proposed awards including existing rural relief.

Table 1.

Category	**Total Cost of DRR**	**CYC Share**
Not-for Profit	£9,853	£4,927
Charities	£62,416	£31,208
CASCs	£20,875	£10,438
Rural Discretionary	£41,418	£20,709
Rural Top Up	£5,624	£2,812
Total Cost	**£140,186**	**£70,094**

7. The available council budget for DRR in 2015/16 is £83K. The value of awards set out at Table 1 above is within the council's current budget for DRR and assumes a 2% uplift in the multiplier for 2015/16. There is residual balance within the budget however this allows for further uplift in the multiplier (2016/17) and provides Cabinet with the opportunity to consider any new awards from April 2016.

New Applications

8. Table 2 below sets out the number and value of new applications for DRR in each of the categories. Applications that have not met the qualifying criteria through the application process are not included in the numbers.

Table 2.

Category	**No**	**Total Cost of DRR**	**CYC Share**
Not-for Profit	4	£9,853	£4,927
Charities	53	£62,416	£31,208
CASC's	22	£20,875	£10,438
Rural Discretionary	0	£0	£0
Rural Top Up	0	£0	£0
Total Cost		**£93,144**	**£46,573**

9. There have been 79 new applications for discretionary top up relief for the April 2015 – March 2017 period. The high volume arises as the awards made in April 2013 for the Community Sports Clubs, Charities and Not for Profit organisations across the city come to an end and they are reapplying.

10. The applicant organisations have been through a thorough application process with each organisation looked at on an individual basis against the set qualifying criteria:

- The organisation is a charity or CASC;
- And/or the organisation is non-for profit;
- Equalities e.g. that the organisation have a formally adopted equality and diversity policy;
- Membership is open to everyone;

- The percentage of users and or members who are York residents;
- Whether the organisation has membership fees;
- Whether discounts are provided for York residents;
- Whether the organisation is affiliated to any local or national organisation;
- How the organisation contributes to the community;
- The organisation's financial position.

11. In terms of equalities the organisations applying need to provide their CIA's and equality and diversity policies. The information provided is reviewed by the council's Head of Communities and Equalities to ensure their aims are aligned to the council's own policies before they can qualify for top up rate relief as part of the overall application process.

12. Annex A sets out the organisations and clubs that are recommended to receive top up discretionary relief for the two years from April 2015. Annex B shows those existing organisations who did not reapply and those who have been declined including the reason why.

Options

13. There are two options associated with this report:

Option 1 – Approve the new applications for discretionary rate relief set out at Annex A;

Option 2 – Decline the new application of discretionary rate relief set out at Annex A.

Analysis

14. There is a year on year increasing demand on the DRR budget from current recipients of rural rate relief and the biannual application from charities, sports clubs and a small number of not for profit organisations as the business rates multiplier continues to rise by RPI (Capped in 2014 to 2%). There is sufficient budget to meet the current demand for April 15 to March 17 applications with a residual amount for any applications received next year (April 16). To ensure all qualifying organisations receive some

discretionary top up support and residual budget is retained for future awards and to meet inflationary pressures the level awarded is less than the 20% maximum allowance.

Council Plan 2011 - 15

15. The power to provide discretionary rate relief contained within the Local Government Finance Act 1988 & 2012 impacts on several of the council's priorities that create the Council Plan 2011 - 15 specifically:

a) Protecting vulnerable people
b) Building strong communities
c) Creating jobs and growing the economy

Implications

16. (a) **Financial** – The changes in the Local Government Finance Act 2012 mean that any new discretionary awards are now met on a 50/50 basis with Central Government.

(b) **Human Resources (HR)** - There are no implications

(c) **Equalities** – There are no direct implications

(d) **Legal** - There are no implications

(e) **Crime and Disorder** - There are no implications

(f) **Information Technology (IT)** - There are no implications

(g) **Property** - There are no implications

Risk Management

17. The key risk associated with discretionary reliefs is a financial one. The risk is not high and is in the control of the authority through the implementation of proper policies and procedures.

Recommendations

18. Cabinet are asked to consider and approve the new applications for discretionary rate relief set out at Annex A;

    Reason: To provide a transparent process for awarding discretionary rate relief as approved by Cabinet in February 2013.

Contact details:

<table>
<tr><td>Author:</td><td colspan="4">Cabinet Member and Chief Officer responsible for the report:</td></tr>
<tr><td rowspan="2">David Walker
Head of Financial Procedures
Phone No. 01904 552261</td><td colspan="4">Cabinet Member for Finance and Performance

Ian Floyd
Director of Customer & Business Support Services
Telephone: 01904 551100</td></tr>
<tr><td>Report Approved</td><td>√</td><td>Date</td><td>28/10/2014</td></tr>
<tr><td colspan="5">Specialist Implications Officer(s) None</td></tr>
<tr><td colspan="4">Wards Affected: All</td><td>√</td></tr>
<tr><td colspan="5">For further information please contact the authors of the report</td></tr>
</table>

Background Papers

Discretionary & Mandatory Business Rate Relief and Discounts - February 2013

http://modgov.york.gov.uk/mgChooseDocPack.aspx?ID=6881

Annexes

Annex A – New applications for discretionary rate relief 2015 - 2017
Annex B – Applications that have been declined for discretionary rate relief 2015 - 2017

Glossary

DRR	Discretionary Rate Relief
CASC	Community Amateur Sports Club
CIA	Community Impact Assessment
Multiplier	The multiplier is the percentage or pence on the pound of the Rateable Value that the customer must in business rates
RPI	Retail Price Index

This page is intentionally left blank

Annex A

2015-16 DRR Decision Costings

Community Sports Clubs (CASC)

Primary Liable party name	Full Property Address	Current Relief Type	Decision to Award DRR 2015-16	15-16 Award %	15-16 DRR Award Value	15-16 CYC Contribution
Heworth Tennis Club	Heworth Tennis Club, East Parade, York, YO31 7TA	MAN	Y	13.45	117.94	58.97
York & District Indoor Bowls Club	302, Thanet Road, York, YO24 2PG	MAN	Y	13.45	3,405.20	1,702.60
Dringhouses Bowling & Rec. Club	Bowling Club, Off Tadcaster Road, Knavesmire, York, YO23 1EJ	MAN	Y	13.45	73.09	36.54
York Railway Institute	York Railway Inst. Gymnasium, Queen Street, York, YO24 1AD	MAN	Y	13.45	3,189.26	1,594.63
York Railway Institute	Railway Institute Sports Club, Hamilton Drive, York, YO24 4NX	MAN	Y	13.45	1,777.35	888.68
York Railway Institute	York Railway Institute Bowling Club, Ashton Lane, York, YO24 4HX	MAN	Y	13.45	498.32	249.16
Acomb Sports Club	Acomb Sports Club, The Green, Acomb, York, YO26 5LL	MAN	Y	13.45	564.77	282.38
York Railway Inst. Club	York Railway Institute Club, 22, Queen Street, York, YO24 1AD	MAN	Y	13.45	1,179.36	589.68
York City Rowing Club	York City Rowing Club, West Esplanade, York, YO1 6FZ	MAN	Y	13.45	358.79	179.40
Heworth Amateur R L C	Heworth A.R.L. Club, Elmpark Way, Heworth Without, York, YO31 1DX	MAN	Y	13.45	913.59	456.80
York Squash Rackets Club	Squash Courts, Shipton Road, Clifton, York, YO30 5RE	MAN	Y	13.45	664.43	332.22
New Earswick Tennis Club	Tennis Courts Off, Lime Tree Avenue, New Earswick, York, YO32 4BD	MAN	Y	13.45	179.40	89.70
Osbaldwick Sports Club	Osbaldwick Playing Field, The Leyes, Osbaldwick, York, YO10 3PR	MAN	Y	13.45	797.32	398.66
York Railway Institute	British Transport Yacht Club, Acaster Lane, Acaster Malbis, York, YO23 2XB	MAN	Y	13.45	86.38	43.19
Bishopthorpe Bowling Club	Bowling Green, Acaster Lane, Bishopthorpe, York, YO23 2SA	MAN	Y	13.45	41.86	20.93
York Railway Institute	Pikehills Golf Club, Tadcaster Road, Copmanthorpe, York, YO23 3UW	MAN	Y	13.45	3,039.77	1,519.88
Yorkshire Ouse Sailing Club	The Clubhouse, Main Street, Naburn, York, YO19 4PN	MAN	Y	13.45	126.24	63.12
Fulford Sports Club	Fulford Sports Club Pavilion, School Lane, Fulford, York, YO10 4LS	MAN	Y	13.45	202.65	101.33
Hamilton Panthers A.F.C.	Hamilton Panthers Changing Rooms, Knavesmire Road, York, YO23 1EJ	MAN	Y	13.45	225.91	112.95
New Earswick & District Bowls Club	New Earswick & Dist Bowls Club, Huntington Road, Huntington, York, YO32 9PX	MAN	Y	13.45	2,873.66	1,436.83
York City Rowing Club	Archbishop Holgate , Boathouse , Sycamore Terrace, York, YO30 7DN	MAN	Y	13.45	418.59	209.30
York Croquet Club	Scarcroft Bowls Club, Scarcroft Road, York, YO23 1NB.	MAN	Y	13.45	141.19	70.60
					£20,875.06	£10,437.53

Charity Top Ups

Primary Liable party name	Full Property Address	Current Relief Type	Decision to Award DRR 2015-16	15-16 Award %	15-16 DRR Award Value	15-16 CYC Contribution
Yorkshire Museum Of Farming Ltd	Yorkshire Museum Of Farming, Murton Lane, Murton, York, YO19 5UQ	MAN	Y	13.45	1,777.35	888.68
York Sea Cadet Corps	Cadet Headquarters, 21/22, Skeldergate, York, YO1 6DH	MAN	Y	13.45	558.12	279.06
York Early Music Foundation	Music Foundation, St Margaret's Church, Walmgate, York, YO1 9TL	MAN	Y	13.45	2,491.61	1,245.81
York Citizens Theatre Trust Ltd	Theatre Royal, St Leonards Place, York, YO1 7HD	MAN	Y	8.40	2,054.05	1,027.03
York Citizens Theatre Trust Ltd	1st Flr & Bst Oak Room At De Grey Rooms, St Leonards Place, York, YO1 7HB	MAN	Y	8.40	1,524.98	762.49
York Citizens Theatre Trust Ltd	Bst & Gnd Flr, De Grey House , St Leonards Place, York, YO1 7HB	MAN	Y	8.40	736.55	368.28
York Citizens Theatre Trust Ltd	3rd Flr, De Grey House, St Leonards Place, York, YO1 2HA	MAN	Y	8.40	161.83	80.92
York Citizens Theatre Trust Ltd	1st Flr Office , De Grey House , St Leonards Place, York, YO1 2HA	MAN	Y	8.40	715.81	357.90
Wigginton Recreation Hall Committee	Village Hall, The Village, Wigginton, York, YO32 2PU	MAN	Y	13.45	571.41	285.70
Wigginton Bowling Club	Bowling Club, Mill Lane, Wigginton, York, YO32 2PY	MAN	Y	13.45	215.94	107.97
Wheldrake Recreation Assoc.	Wheldrake Sports & Social Club, Broad Highway, Wheldrake, York, YO19 6BG	MAN	Y	13.45	631.21	315.60
Upstage Centre	Upstage Centre Youth Theatre, 41, Monkgate, York, YO31 7PB	MAN	Y	13.45	2,508.22	1,254.11
The City Of York Hockey Club	York Hockey Club & Heworth, Elmpark Way, Heworth Without, York, YO31 1DX	MAN	Y	13.45	1,013.26	506.63
Tang Hall Community Centre Mgt.Ctte	Tang Hall Community Centre, Fifth Avenue, York, YO31 0UG	MAN	Y	13.45	564.77	282.38
Strensall & Towthorpe Village Hall	Village Hall, Northfields, Strensall, York, YO32 5UP	MAN	Y	13.45	664.43	332.22
Strensall & Towthorpe Sport Assoc	Sports Ground & Premises, Durlston Drive, Strensall, York, YO32 5AT	MAN	Y	13.45	558.12	279.06
Rufforth Playing Fields Association	Sports Field, Rufforth Airfield, Rufforth, York, YO23 3QA	MAN	Y	13.45	498.32	249.16
Rufforth Institute & Social Club	Village Institute , York Road, Rufforth, York, YO23 3QH	MAN	Y	13.45	124.58	62.29
Riding Lights	Friargate Theatre, Lower Friargate, York, YO1 9SL	MAN	Y	13.45	3,222.49	1,611.24
Rawcliffe Recreation Association	Rawcliffe Recreation Assoc, St Marks Grove, Shipton Road, York, YO30 5TS	MAN	Y	13.45	531.54	265.77
Poppleton Road Community Centre Memorial Hall	Community Centre, Oak Street, York, YO26 4SG	MAN	Y	13.45	328.89	164.45
Poppleton Community Trust Football Ground	Poppleton Community Sports Pavillion , Millfield Lane, Nether Poppleton, York, YO26 6NY	MAN	Y	13.45	747.48	373.74
Poppleton Community Trust	Sports Ground, Main Street, Upper Poppleton, York, YO26 6JT	MAN	Y	13.45	398.66	199.33
Poppleton Community Trust	Poppleton Community Centre, Main Street, Upper Poppleton, York, YO26 6JR	MAN	Y	13.45	1,594.63	797.32
Orchard Park Recreation & Comm.Assoc	Orchard Park Community Centre, Badger Paddock, Huntington Road, York, YO31 9EH	MAN	Y	13.45	458.46	229.23
Lord Mayors Own Scouts	Scout Hall R/O, Bootham Terrace, York, YO30 7DH	MAN	Y	13.45	93.02	46.51
Heslington Scout Group	Heslington Scout Group, School Lane, Heslington, York, YO10 5EE	MAN	Y	13.45	62.46	31.23
Foxwood Community Centre	Foxwood Community Centre, Cranfield Place, York, YO24 3HY	MAN	Y	13.45	398.66	199.33
Dunnington & Grimston Play F'Ld Ass	Dunnington Sports & Soc Centre, Common Lane, Dunnington, York, YO19 5ND	MAN	Y	13.45	2,989.94	1,494.97
Copmanthorpe Youth Club	Copmanthorpe Youth Club, 7, School Lane, Copmanthorpe, York, YO23 3SQ	MAN	Y	13.45	249.16	124.58
Copmanthorpe & Dist. Recr'Tn Centre	Copmanthorpe Recreation Centre, Barons Crescent, Copmanthorpe, York, YO23 3YR	MAN	Y	13.45	1,312.25	656.12
Bell Farm Social Hall Management Co	Social Hall, Roche Avenue, York, YO31 9BB	MAN	Y	13.45	308.96	154.48
2nd Haxby & Wigg.Scout Group	Ethel Ward Playing Field, York Road, Haxby, York, YO32 3HG	MAN	Y	13.45	418.59	209.30
1st Huntington Scout Group	Huntington Scout Grp, R/O St Andrews, Huntington Road, Huntington, York, YO31 9BP	MAN	Y	13.45	644.50	322.25
1st Heworth Scout Group	Scout Headquarters, Bad Bargain Lane, York, YO31 0LW	MAN	Y	13.45	152.82	76.41

York Muslim Association	Muslim School, 76, Fourth Avenue, York, YO31 0UB	MAN	Y	13.45	524.90	262.45
St Clements Hall Preservation Trust	Clements Hall, Nunthorpe Road, Clementhorpe, York, YO23 1BW	MAN	Y	13.45	1,395.30	697.65
North Yorkshire South Girl Guides	79, Main Street, Wheldrake, York, YO19 6AA	MAN	Y	13.45	259.13	129.56
Heslington Village Hall Committee	Village Hall, Main Street, Heslington, York, YO10 5EB	MAN	Y	13.45	107.97	53.98
Door 84	Youth Centre, 84, Lowther Street, York, YO31 7LX	MAN	Y	13.45	551.48	275.74
CVS	15 - 17 Priory Street	MAN	Y	20.00	15,709.20	7,854.60
York & Dist. Citizens Advice Bureau	Citizens Advice Bureau, West Offices , Station Rise, York, YO1 6GA	MAN	Y	20.00	2,223.00	1,111.50
United Response	3/5, Tanner Row, York, YO1 6JB	MAN	Y	8.50	787.31	393.66
Age Concern	215, Burton Stone Lane, York, YO30 6EB	MAN	Y	8.50	461.89	230.95
Age Concern	70, Walmgate, York, YO1 9TL	MAN	Y	8.50	566.87	283.43
Age Concern	19, Bishopthorpe Road, York, YO23 1NA	MAN	Y	8.50	545.87	272.94
The Wilf Ward Family Trust	69, Green Lane, York, YO24 3DJ	MAN	Y	8.50	289.73	144.87
Age Concern	77, Fourth Avenue, York, YO31 0UA	MAN	Y	8.50	394.71	197.35
Community Furniture Store (York) Ltd	Unit 29, The Raylor Centre, James Street, York, YO10 3DW	MAN	Y	8.50	1,007.76	503.88
United Response	35-41, North Street, York, YO1 6JD	MAN	Y	8.50	682.34	341.17
St Leonards Hospice	St Leonards Hospice, Tadcaster Road, York, YO24 1GL	MAN	Y	4.37	3,000.70	1,500.35
Age Concern	70 Walmgate,York,North Yorkshire,YO1 9TL	MAN	Y	8.50	1,144.23	572.11
York Blind & Partially Sighted Society	Gnd Flr & Pt 1st Flr, Rougier House, Rougier Street, York, YO1 6HZ	MAN	Y	8.50	1,480.15	740.07
					£62,415.59	£31,207.8

Not for Profit

Primary Liable party name	Full Property Address	Current Relief Type	Decision to Award DRR 2015-16	15-16 Award %	15-16 DRR Award Value	15-16 CYC Contribution
Holtby Village Hall Management Ctte Mrs J Green	Village Hall, Holtby, York, YO19 5UD	DIS	Y	67.23	381.93	190.97
My Community Social Enterprise Ltd	The Melbourne Centre, Tx020/13100, Escrick Street, York, YO10 4AW	DIS	Y	67.23	3,055.47	1,527.73
Millers Yard Cic	Unit 4, Millers Yard, Gillygate, York, YO31 7EB	DIS	Y	67.23	3,985.39	1,992.70
Chapelfields Community Association	Sanderson Court Community House, Nd528/13100, Bramham Road, York, North Yorl		Y	67.23	2,430.36	1,215.18
					£9,853.16	£4,926.58

ALL AREAS	15-16 DRR Award Value	15-16 CYC Contribution
TOTAL DRR for 2015-16 Bas	£93,143.82	£46,571.91

This page is intentionally left blank

Annex B

Organisations Not Awarded Discretionary Rate Relief April 2015 - March 2017

Primary Liable party name	Full Property Address	Decision to Award DRR 2015-16	Why
York Cricket & Rugby Union Club	Sports Pavilion, Shipton Road, Clifton, York, YO30 5RE	N	No Equalities Policy
Strensall Bowls Club Mr Tom Hart	Bowling Green, Northfields, Strensall, York, YO32 5UP	N	Not Charity or CASC
1st Clifton Sea Scouts	1st Clifton Sea Scouts, Green Lane, Clifton, York, YO30 5QX	N	Reserves >£10,000
Joseph Rowntree Housing Trust	Swimming Pool R/O Folk Hall, Hawthorn Terrace, New Earswick, York, YO32 4AQ	N	No Community Impact Assessment
Huntington Community Centre F.A.O. Mrs Gill Chivers	Huntington Community Centre, 26, Strensall Road, Huntington, York, YO32 9RG	N	No equalities policy
Askham Bryan Club House	The Village Hall, 91, Main Street, Askham Bryan, York, YO23 3QU	N	Reserves >£10,000
Elvington Scout Group	Scout Hall, Wheldrake Lane, Elvington, York, YO41 4AY	N	No Community Impact Assessment
Naburn Village Hall Trust	Village Hall, Vicarage Lane, Naburn, York, YO19 4RS	N	Reserves >£10,000
Heslington Sportsfield Man Ctee	Heslington Sportsfield, Outgang Lane, Heslington, York, YO10 5EW	N	No accounts included
1st Copmanthorpe Scout Group	Scout Hq Recreation Centre, Barons Crescent, Copmanthorpe, York, YO23 3TZ	N	Reserves >£10,000
Hopgrove Playing Fields Association	Hopgrove Playing Field Assoc, Malton Road, York, YO32 9TG	N	No formal equalities policy
Friends Of St Nicholas Fields	York Environment Centre, Rawdon Avenue, York, YO10 3ST	N	No Community Impact Assessment
Dunnington Reading Room (Village Hall)	Village Hall, Church Street, Dunnington, York, YO19 5PW	N	No Community Impact Assessment
Haxby Christian Cafe Ltd	30, The Village, Haxby, York, YO32 3HT	N	Claimed Retail relief therefore cannot claim DRR
The York Bridge Club	York Bridge Club, 152/154 , Holgate Road, York, YO24 4DQ	N	Reserves >£10,000
Lower Derwent Sports & Social Club	Elvington United Sports Club, York Road, Elvington, York, YO41 4AU	N	No Community Impact Assessment
2nd St Thomas' Scout Group Hq	Scout Hut, Haxby Road, York, YO31 8JN	N	Criterion 3 not evidenced (Equalities)
New Earswick Community Association	Folk Hall, Hawthorn Terrace, New Earswick, York, YO32 4AQ	N	Disbanded
Osbaldwick & Murton Scouts	Osbaldwick & Murton Scout Group, R/O The Village Hall, Osbaldwick Village, Osbaldwick, York, YO10 3NP	N	Criterion 3 not evidenced (Equalities)
Stockton On Forest Village Hall Committee	Village Hall, Sandy Lane, Stockton On Forest, York, YO32 9UU	N	Reserves > 10xrates payable
Yorkshire Air Museum	Yorkshire Air Museum, Elvington Airfield, Elvington, York, YO41 4AU	N	Information too limited to be assessed
Heworth Without Community Centre	Heworth Without Community Centre, Applecroft Road, Stockton Lane, York, YO31 0HF	N	Reserves >£10,000
Haxby & Wigginton Youth & Community Centre	Haxby & Wigginton Youth &, Community Centre, Oaken Grove, Haxby, York, YO32 3QZ	N	Reserves >£10,000
York Scarcroft Bowls Club	Scarcroft Bowls Club, Scarcroft Road, York, YO23 1NB	N	York Croquet Club now liable for rates
Acorn A R L Club	Sports Ground/Acorn A R L Club, Thanet Road, York, YO24 2NW	N	Not Charity or CASC
New Earswick Sports Club The Treasurer	Sports Ground & Premises, White Rose Avenue, New Earswick, York, YO32 4AD	N	Not Charity or CASC
Dringhouses Sports & Social Club	Dringhouses Sports & Soc. Club, St Helens Road, York, YO24 1HP	N	Not Charity or CASC
York CVS	Ryedale Office, Tower Court, Oakdale Road, Clifton, York, YO30 4XL	N	Criteria not met

This page is intentionally left blank

Cabinet **16 December 2014**

Report of the Cabinet Member for Finance and Performance

Review of Fees and Charges

Purpose of report

1. The purpose of this report is to seek approval to increase a range of the council's fees and charges with effect from the 1st January 2015.

Background

2. Across the council a wide range of services operate fees and charges for services provided, some of which attract VAT at the current rate of 20%. Where necessary the charges in the attached annexes have been rounded to prevent problems with small change.

Options and Analysis

3. Option 1 (recommended option) – Agree the fees and charges as set out in the annexes to the report.

4. This report focuses on those fees that were last reviewed 12 months ago in January 2014 and proposes an increase of approximately 5%, in line with the previous years increase, subject to minor variations due to roundings.

5. The table below summarises each service areas total fees and charges recommended for increase from 1st January 2015.

Service Area	£000
Registrars	497
Community Centres	44
Bereavement Services	1,766
Waste Services	259
Parks & Open Spaces	93
Housing Services	45
Planning	308
Total fee income recommended for increase from 1st Jan 2015	**3,012**

6. Additional income of £146k will be generated in 2015/16 from the increase in fees and charges proposed within this report. This is mainly from Bereavement Services (£88k) and Registrars (£25k).

7. The table below summarises the areas which will be examined further as part of the 2015/17 budget strategy and any proposals will be included in the overall financial strategy if appropriate. Some fees below are set by statutory or regulatory bodies and are therefore only permitted to increase from the 1st April. The remaining service areas are currently reviewing their charging policy, to ensure that any increase will avoid an adverse impact either on service users or the volume of activity in these areas.

Service Area	£000
Environmental Health & Trading Standards	114
Regulatory Services	675
Pest Control	83
Waste Services (includes Commercial Waste)	1,780
Housing	411
Parking	7,153
City Centre & Markets	721
Planning	1,364
Public Health	20
Adult Social Care	3,247
Total fee income under consideration for increase from 1st April 2015	**15,568**

8. In addition to the income above, certain fees, such as planning fees, are set nationally and are increased at the appropriate time in line with national policy and specific details of these will not be included in the budget strategy report.

9. Option 2 – Agree a different increase to that proposed.

Consultation

10. No specific consultation has been carried out for this report. However, the level of all fees and charges is informed by the extensive consultation carried out as part of the development of the budget.

Council Plan

11. This report demonstrates effective management of the councils resources

Implications

12. The implications are:

- Financial - the fees and charges increases outlined in the annex to this report will generate additional income of £37k in the remainder of the current financial year with a full year effect of £146k in 2015/16. This assumes there will be the same level of activity across all services.
- Human Resources - there are no specific human resource implications to this report.
- Equalities – all council services complete Equalities Impact Assessments to ensure that the charges levied on users are fair and take into account any equalities issues.
- Legal - the Council has a general power to charge fees to cover the costs of providing discretionary services which are not provided for a commercial purpose. Various specific charging powers also exist in relation to individual statutory functions.
- 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

13. There is a risk that the increase in charge could result in users deciding not to use a service. Individual service areas will continue to monitor activity to ensure any loss of income is identified and mitigated by other savings.

Recommendations

14. Members are asked to approve option 1 and increase the relevant fees and charges as set out in the attached annexes.

Reason: To enable the council to effectively manage its budget.

<table>
<tr><td>Author:</td><td colspan="4">Cabinet Member & Chief Officer Responsible for the report:</td></tr>
<tr><td rowspan="2">Sarah Kirby
Principal Accountant
Tel (01904) 551635</td><td colspan="4">Cabinet Member for Finance and Performance

Ian Floyd, Director of Customer and Business Support Services</td></tr>
<tr><td>Report Approved</td><td>✓</td><td>Date</td><td>17/11/14</td></tr>
<tr><td colspan="3">Wards Affected: All</td><td colspan="2"></td></tr>
</table>

For further information please contact the author of the report

Background Papers – None

Annexes
Proposed Fees and Charges - Registrars, Community Centres, Bereavement Services, Waste Services, Parks and Open Spaces, Housing Services and Planning

REGISTRAR OF BIRTHS, DEATHS AND MARRIAGES	1st Jan 2014	1st Jan 2015	
	Charge (inc VAT if applicable)	Proposed Charge (inc VAT if applicable)	Increase
	£	£	£
Standard certificate within 1 hour at the Registry Office	20.00	21.00	1.00
Standard certificate - same day, or posted 1st class on same day	17.00	18.00	1.00
Standard certificate provided from phone / electronic information	17.00	18.00	1.00
Standard certificate requiring same / next day postal delivery	30.00	30.00	-
Certification of a venue for marriage ceremonies (valid for three years)	3,000.00	3,250.00	250.00
Non-refundable booking fee for all weddings	50.00	50.00	-
Marriage and Civil Partnership Ceremonies			
Attendance of Registration Staff at Approved premises			
Large marriage room at Register Office Mon-Thurs	220.00	240.00	20.00
Large marriage room at Register Office Fri-Sat	300.00	320.00	20.00
Small room at Register Office Mon - Thurs	120.00	140.00	20.00
Small room st Register Office Fri - Sat	170.00	190.00	20.00
Approved Premises (venues) Mon-Thurs	475.00	500.00	25.00
Approved Premises (venues) Fri - Sat	550.00	575.00	25.00
Approved Premises (venues) Sun / Bank Holidays	600.00	625.00	25.00
Nationality Checking Service			
- Adult	70.00	80.00	10.00
- Child	30.00	40.00	10.00
Citizenship Ceremonies	120.00	140.00	20.00
Funerals	150.00	175.00	25.00
Baby Naming Ceremonies			
At Register Office	200.00	225.00	25.00
Approved Premises (venues)	220.00	250.00	30.00
Renewal of Vows			
At Register Office	200.00	225.00	25.00
Approved Premises (venues)	220.00	250.00	30.00
Sale of Goods and Miscellaneous Charges :-			
- Scrolls	5.00	5.00	-
- Baby Folders	2.00	2.00	-
- Books of Verse	5.00	5.00	-
- Business Card Advertising	125.00	125.00	-

BURTON STONE COMMUNITY CENTRE	1st Jan 2014	1st Jan 2015	
	Charge (inc VAT if applicable)	Proposed Charge (inc VAT if applicable)	Increase
	£	£	£
Room Hire			
Main Hall Local	8.00	10.00	2.00
Main Hall Voluntary & Non Profit	13.50	14.50	1.00
Main Hall Profit	21.50	23.00	1.50
Birthday Party	12.50	13.50	1.00
Meeting Rooms			
Local	5.50	6.00	0.50
Voluntary & Non Profit	7.00	7.50	0.50
Profit	9.00	10.00	1.00
Gym Hire			
Local	7.80	10.00	2.20
Voluntary & Non Profit	13.50	14.50	1.00
Profit	21.50	23.00	1.50
Badminton (per person per hour)			
York Card Standard	3.40	3.60	0.20
York Card Concession	2.70	2.85	0.15
Non York Standard	4.00	4.20	0.20
Non York Concession	3.40	3.60	0.20

BEREAVEMENT SERVICES	1st Jan 2014	1st Jan 2015	
	Charge (Inc VAT if applicable)	Proposed Charge (Inc VAT if applicable)	Increase
	£	£	£
CREMATORIUM			
CREMATIONS (VAT EXEMPT)			
Adult (including medical referee fee)	777.00	815.00	38.00
Still Born	0.00	0.00	0.00
Up to Six Months	0.00	0.00	0.00
Six Months to Sixteen Years	0.00	0.00	0.00
INTERMENT (VAT EXEMPT)			
Interment of Ashes	40.00	45.00	5.00
SCATTERING OF ASHES (VAT EXEMPT)			
Ashes received from external sources	69.00	75.00	6.00
Ashes forward to other places	0.00	0.00	0.00
Additional Service Time	90.00	95.00	5.00
EXHUMATIONS			
Exhumation fee	170.00	178.00	8.00
BEARING SERVICE	17.00	20.00	3.00
RECORDINGS			
CD recording	39.00	41.00	2.00
DVD recording	50.00	53.00	3.00
Webcast	50.00	53.00	3.00
MEMORIALS AND PLAQUES			
PLAQUES			
60 letter inscription 10 years	360.00	370.00	10.00
60 letter inscription 20 years	485.00	510.00	25.00
Display for a further 5 years	118.00	120.00	2.00
MEMORIALS			
Memorial Plaque with Rose tree 10 yrs	410.00	425.00	15.00
Memorial Plaque with rose tree 20 yr	535.00	560.00	25.00
Memorial seat with plaque (10 yrs)	1,150.00	1,200.00	50.00
Memorial seat plaque renewal (5yrs)	200.00	205.00	5.00
Granite Seat (10 yrs) - new fee	1,220.00	1,280.00	60.00
Granite vase Block 10years	580.00	610.00	30.00
Granite vase Block 20years	1,000.00	1,000.00	0.00
Vase Block Plaque	160.00	165.00	5.00
Bronze rose memorial plaque on stake (10 yr)	500.00	520.00	20.00
Bronze rose memorial plaque on stake (20 yr)	645.00	660.00	15.00
Circular bench memorial plaque (10 yrs)	425.00	440.00	15.00
Circular bench memorial plaque (20 yrs)	575.00	610.00	35.00
Babies garden memorial plaque (10yrs)	335.00	340.00	5.00
Granite mushroom memorial plaque (10 yrs)	360.00	370.00	10.00
Granite mushroom memorial plaque (20 yrs)	500.00	525.00	25.00
Memorial Disc	400.00	425.00	25.00
Granite Shaped Planter	480.00	500.00	20.00
Summer House Memorial Plaque	380.00	395.00	15.00
URNS			
Cardboard Box	12.00	13.00	1.00
Polytainer	15.00	16.00	1.00
Baby Urn	32.00	34.00	2.00
Urn	40.00	45.00	5.00
Casket	61.00	65.00	4.00

BEREAVEMENT SERVICES	1st Jan 2014	1st Jan 2015	
	Charge (Inc VAT if applicable)	Proposed Charge (Inc VAT if applicable)	Increase
	£	£	£
NICHES			
Niche 10 years	715.00	750.00	35.00
Niche 20 years	1,200.00	1,260.00	60.00
Sanctum 2000 (Average Charge)	990.00	1,030.00	40.00
Second Plaque on Sanctum 2000	380.00	390.00	10.00
Inscription (second Plaque/Renewals)	325.00	335.00	10.00
Additional inscription p/letter over 80 letters	4.00	4.00	0.00
BOOK OF REMEMBRANCE			
2 line entry	78.00	80.00	2.00
5 line entry	120.00	125.00	5.00
5 line entry with floral emblem	168.00	175.00	7.00
5 line entry with badge, bird, crest & shield	194.00	200.00	6.00
8 line entry	147.00	155.00	8.00
8 line entry with floral emblem	200.00	210.00	10.00
8 line entry with badge, bird, crest & shield	230.00	240.00	10.00
8 line entry with coat of arms	270.00	280.00	10.00
FOLDED BOOK OF REMEMBRANCE CARDS			
5 line entry with floral emblem	130.00	135.00	5.00
5 line entry with badge, bird, crest & shield	165.00	170.00	5.00
8 line entry with floral emblem	162.00	188.00	26.00
8 line entry with badge, bird, crest & shield	200.00	205.00	5.00
8 line entry with coat of arms	240.00	250.00	10.00
Regimental Badge Etc	included above	included above	
MEMORIAL CARDS			
2 line card	53.00	55.00	2.00
5 line card	69.00	72.00	3.00
8 line card	79.00	82.00	3.00
Regimental Badge			
DRINGHOUSES CEMETERY			
INTERMENT			
(VAT EXEMPT)			
Adult (4ft 6" grave)	745.00	770.00	25.00
Child up to 12 years	250.00	250.00	0.00
Interment of Ashes	200.00	210.00	10.00
Exhumation (negotiated at cost)		at cost	
Exhumation of Cremated Remains	170.00	170.00	0.00
MEMORIALS			
Headstones	120.00	150.00	30.00
Add Inscription	65.00	68.00	3.00
Marking out grave	21.00	21.00	0.00
Removal of grave memorial by stonemason prior to interment	86.00	90.00	4.00
Cremation plot with exclusive Right of Burial for period of 50 yrs.	395.00	410.00	15.00

WASTE SERVICES	2014/15	1st Jan 2015	
	Charge (inc VAT if applicable)	Proposed Charge (inc VAT if applicable)	Increase
	£	£	£
Bulky Household Collections			
10 items	36.75	40.00	3.25
White Goods - Fridges/Freezers only (domestic collections)	21.00	25.00	4.00
Bonded Asbestos Collections for quantities up to 200 kg, including assessment visit (incs VAT)	88.00	93.00	5.00
Bonded Asbestos Collections greater than 200 kg, price quoted on application (excluding VAT)	n/a	n/a	
Trade Waste Charges			
Waste to be charged per tonne or part thereof :-			
Residual Waste to Landfill per tonne	138.00	146.00	8.00
Minimum Charge	69.00	75.00	6.00
Recycling or Waste for Composting per tonne	69.00	75.00	6.00
Minimum Charge	34.50	38.00	3.50
Minimum percentage of waste be recycable to qualify for charge for recycling or waste for composting rate = 85%			

PARKS AND OPEN SPACES	1st Jan 2014	1st Jan 2015	
	Charge (inc VAT if applicable)	Proposed Charge (inc VAT if applicable)	Increase
	£	£	£
PITCHES COURTS & BOWLS			
Tennis (per court per hour, not per person)			
Adult	7.40	7.50	0.10
Concession	4.20	4.50	0.30
Pitches			
Per season			
per pitch per team	105.00	110.00	5.00
ALLOTMENTS (from Jan. 2014)			
Plot Size A (0-75 Sq Yards)			
Full Rent	20.00	22.00	2.00
Concession	12.00	13.25	1.25
Plot Size B (75-150 Sq Yards)			
Full Rent	40.00	44.00	4.00
Concession	24.00	26.50	2.50
Plot Size C (150-300 Sq Yards)			
Full Rent	80.00	88.00	8.00
Concession	48.00	53.00	5.00
Plot Size D (300-450 Sq Yards)			
Full Rent	104.00	110.00	6.00
Concession	62.40	66.00	3.60

PLANNING	1st Jan 2014	1st Jan 2015	
	Charge (exc VAT) £	Proposed Charge (exc VAT) £	Increase £
Land Charges			
Basic search - over the counter	95.00	100.00	5.00
Basic search - electronic	95.00	100.00	5.00
Business search	173.00	180.00	7.00
Optional enquiries	44.00	46.00	2.00
Additional enquiries	22.00	23.00	1.00
Development Management			
Copies of S106 Agreements	50.00	50.00	-
Other			
Tree Preservation Orders	40.00	42.00	2.00
Historic Environment Record (HER) search			
HER commercial - basic search	72.50	105.00	32.50
HER commercial - enhanced search	107.50	210.00	102.50
HER commercial - rapid response within 2 working days	40.00	105.00	65.00

HOUSING SERVICES	2014/15	1st Jan 2015	
	Charge	Proposed Charge	Increase
Houses in Multiple Occupation Licences	£	£	£
New Licence Applications			
Band A	730	770	40
Band B	880	920	40
Band C	1,000	1,050	50
Band D	1,070	1,120	50
Fit & proper person check	30	30	-
Licence Renewals			
Band A	370	390	20
Band B	440	460	20
Band C	490	510	20
Band D	540	570	30
Letters of Advice	50	50	-
Immigration Inspection	100	100	-
Mobile Homes Licensing (Mobile Homes Act 2013)			
New Licence Application	660	660	-
Transfer of Licence (no variations)	180	180	-
Variation to Licence	450	450	-
Annual Inspection - 50 units or more	450	450	-
Annual Inspection - 49 units or fewer	338	338	-
Landlord Accreditation Scheme			
Membership Fee*	50	50	-
Plus Administration Fee based on No of Properties			
1-5 properties	35	35	-
6-10 properties	75	75	-
11-30 properties	105	105	-
31-100 properties	210	210	-
100+	310	310	-
Additional Fee Per Fifty Properties over 100	100	100	-
1 x 3 hour Landlord Training course per person	n/a	75	
2 x 3 hour Landlord Training course per person	n/a	100	

*For an individual landlord whose portfolio includes a current House in Multiple Occupation, the £50 membership fee will be waived for the first year of membership

Cabinet 16 December 2014

Report of the Cabinet Member for Finance and Performance

'Rewiring Public Services – Further Engagement on Adult Social Care and Place Based Services

1. **Background**

1.1. Cabinet established the Rewiring Public Services programme in February and has received progress reports in July and October. These are attached as background papers.

1.2. Good progress is being made across the Programme. For Children's Services, Cabinet agreed two of the three proposals made in October and these projects are moving towards implementation. The Business Consolidation & Efficiency strand is in the delivery phase and is expected to achieve savings in line with the forecast previously reported of £750k (34% reduction in the cost of the service).

1.3. We are working with staff, partners and service users to revisit the Castlegate proposals.

1.4. Work to give residents greater choice and ease of access to council services is progressing quickly. We are close to appointing a preferred supplier to design and deliver our CRM/My Account system and have been working with residents and partners to design a new website. These systems will enable the council to provide a wide range of online services through a fit for purpose website.

1.5. As a result of what has been learnt through the programme's engagement activity, we have produced new guidance for all staff on how they should approach engagement. Revised training sessions and lunchtime events have been available since the beginning of the year for all staff and partners, aimed at skilling people to work with communities.

1.6. With regards to supporting staff and developing the skills we need to transform our services, work has been continuing in a

number of areas. The focus has been on skills development with a particular emphasis on commercial skills for those involved in traded services. In addition, we have developed a programme of events over the next 12 months, beginning in January, to involve senior managers in designing transformation and to build collective leadership.

1.7. The Rewiring Communications marketing plan is driving three different campaign ideas. The initiatives will help to raise awareness and participation and create interest in transformation of council services.

1.8. This particular report focuses on updating Cabinet on the proposals for Adult Social Care and the transformation of Place Based Services. Both service areas need significant reform to deliver the outcomes residents want and to operate within the funding that the council has available.

2. Our engagement with York's community

2.1. Since July, officers have engaged with residents, partners and businesses to learn what was important to them. This has been an extension of work that we have done for some years. But in particular we have worked to determine the types of outcomes and services that they anticipate requiring in the future. We have also discussed the reductions in council funding to determine what residents' priorities are.

Messages from our residents about Adult Social Care

2.2. Looking specifically at the feedback around Adult Social Care, some consistent themes have emerged;

- Residents tell us that they want to live active and healthy lifestyles and don't relish the thought of accessing adult social care services. Therefore they want to see much more being done to prevent the need for services in older age particularly around the promotion of healthy diet and reduced consumption of alcohol.

- Residents tell us that if they need services in older age, they want these delivering in their own homes or in a community setting. Residents felt very strongly about the need for more choice and dignity in the way that end of life care was provided and consistently said that these services should be provided in the home.

- Signposting, advice and guidance needs to be more effective. Specifically residents said that the agencies involved in health and adult social care services needed to join up more and provide greater awareness of local support and facilities to allow residents to access support. Residents recognised that the council should be supporting the provision of more community support.

- Provision of quality services for disabled people. Alongside this, residents and service users in particular expressed how important it was that transition services were provided for young people as they become adults.

- There needed to be more consistency across the delivery of services. Residents said that services needed to be of the right standard and quality and that individuals should have more say in how their money is spent.

Messages from our residents about Place Based Services

2.3. In relation to Place Based Services, residents have already told us that waste and recycling are important to them. Residents recognise that they have a part to play in keeping the City clean and tidy and a role in the City's sustainability through recycling. In addition, the following themes emerged from discussions with residents, communities, businesses and our partners.

- Some areas of the City have a very strong community capacity and willingness to be involved whilst others are not as strong;

- Communications need to be improved such as:
  - access to information;
  - more accessible channels to feedback and communicate with other community groups, the council and partners;
  - discussion with residents about changes to traditional services such as grass cutting and green waste; and
  - support and training for people in the community to work with us.
- Greater support for volunteer organisations to sustain a strong core of volunteers and develop the service offering;

- Communities want better access to the Council's (and its partners') assets and resources. They want the Council to support and enable community groups to develop rather than act as a gatekeeper. They also want influential community members such as 'Community Wardens' to be encouraged to network and share knowledge.

2.4. Overall the community engagement activity has given valuable insight into what is important to residents and communities and this has influenced the way in which the work programme is being taken forward. It is important to stress that our engagement is not a one-off campaign; rather it is our new approach to ensure the Council puts residents at the heart of everything we do.

3. How we intend to take this work forward

3.1. The feedback we have received from residents, staff, elected members and partners prompts a significant rethink about the way that the Council and its partners deliver services, particularly in Adult Social Care. Given the significant transformation that these service areas need to deliver the outcomes residents want (within the funding that the Council has available); there are many choices about how this is done. Officers have numerous ideas and proposals based on the feedback we have received and we want to discuss these in more detail with residents before they are presented to Cabinet. There are challenging and difficult choices to make and these need to be discussed in more detail.

4. **Adult Social Care**.

4.1. The direction of travel for Adult Social Care is one that inevitably sees the Council working with the CCG, Acute Trust, Voluntary Sector and community groups to deliver strong city wide health and wellbeing outcomes for residents. This journey has already commenced and the council has been working hard with the CCG on the Better Care Fund in particular. The immediate priority for the Council will be to move towards a model where it jointly commissions outcomes for its service users. This will mean bringing together CCG and CYC budgets to jointly prioritise and commission in line with York's needs. The council will concentrate on its future role as a joint commissioner of services and for provision of safeguarding

services. With a wider range of provider services in the city there will be a reduction in the amount of direct service delivery that the council undertakes.

4.2. For those in receipt of financial support, we wish to see residents have increasing control over how their personal budgets are spent and the council will shift its emphasis to ensuring that there is a choice of quality services for residents to access.

4.3. Residents are clear that they want to see joined up information sharing and service provision across health and adult social care services. They don't want to navigate through all the different organisations involved. We recognise the need to join up services and the most effective way of doing this, is to begin to integrate functions under the governance of the Health & Wellbeing Board. Work is already on-going to consider how Reablement and Hospital Discharge processes and services can be improved through more collaboration.

4.4. Given our objectives for Adult Social Care, we have created six projects. We intend, with Cabinet's approval to work with residents and partners with a view to confirming the scope of these projects and specifically their deliverables and savings over the next few weeks. Each of them has a range of choices and options and we will consult to refine them down to those that residents and partners consider the most effective. We then propose to ask Cabinet to approve a detailed programme of transformation for our Health and Wellbeing Services.

4.5. Broadly, the programme will consist of six initial projects:

Project

New Operating Model for Adult Social Care

Carers Service

Joint Commissioning with the CCG

Elderly People's Homes (EPH)

Key Workers

Mental Health Services and Voluntary Sector

Capacity

4.6. We currently estimate that costs can be reduced across adult social care by £1.3m. These savings relate to improved commissioning and realignment of staffing. These estimates will be refined through the budget process. They will also be informed by consultation with partners and service users.

4.7. Annex 1 sets out in more detail our proposals for the transformation of Adult Social Care.

5. Place Based Services

5.1. In July, Place Based Services were set a target of £931k in 2015/16 and £750k in 2016/17. The transformation programme is challenged to reduce the cost of Place Based Services by around £2m pa. The current cost of these services is £18m. It is thought that this can be achieved in the medium term (1 – 2 years) and will mean creating new structures and organisational models to deliver services. We will consider all possible partnerships to deliver the outcomes that the city wants.

5.2. Annex 2 provides summary details of the proposed transformation of Place Based Services.

5.3. The conclusions reached are that services could be redesigned to create a more environmentally sustainable approach services and reduce cost. It is also clear that residents are keen to their bit to keep the city clean and to recycle but they want the council to make it easier for them to do so.

5.4. We will bring forward medium to long term ambitions around Renewable energy, energy usage and management of carbon and other emissions. We want to explore models that will increase our overall reuse of material. This includes “freecycling” platforms (to enable exchange of unwanted items) and other reuse schemes. We also aim to extend the recyclable material collected at the kerbside and make the collection of recyclable material as cost effective and efficient as possible. Residents tell us how important it is for them to live in an environmentally sustainable city but they also need the council to work in a way that allows them to help achieve this.

5.5. The Place Based Services annex considers a range of options to meet operational costs through a blend of council budgets and fees/charges. During the next phases of consultation we will talk to residents about the impact of those models.

5.6. These are complex services and we do not wish to deal with them on an individual basis. We will consult with residents on the totality of Place Based Services that could be made available and the range and options for provision and where appropriate pricing.

6. **Implications**

6.1. It should be noted that all of the Transformation projects will have significant implications in terms of Financial, Procurement, Legal, ICT, and HR support.

6.2. The programme is dependant upon a significant input from these areas of expertise. The issues, and options, within the programme potentially involve major new procurement activity, major systems change, fundamental changes in delivery method, and major staff changes.

6.3. Ensuring the capacity and skills needed to support the Rewiring programme (alongside major other savings not within the transformation programme and many other major projects), will present a significant challenge.

Financial – Individual projects will develop further detail throughout the engagement period and the resulting revised options and business cases will have financial implications. These proposals will be considered by Cabinet in March 2015 alongside the 2015/16 budget. Individual proposals also may create procurement events e.g. implementation of digital channel;

Human Resources (HR) – The report acknowledges that during the implementation of proposals, there will be an impact on council resources. The report also identifies that an Organisational Development Programme will be created;

Equalities – The actions in this report further the Council's commitment to equalities;

Legal – A number of the proposals within this report will lead to different delivery arrangements for some existing council services. Legal expertise and advice will be sought accordingly;

Crime and Disorder – None;

Information Technology (IT) – The Re-wiring Public Services will depend on ICT services to support a new phase of on-line services.

Property – It is likely that changes will be made to the Council's asset base as a result of the rewiring programme. Property colleagues will be consulted as appropriate.

Other – None**.**

7. **Recommendations**

Cabinet are asked to agree:

- the proposed scope of the Adult Social Care reform Annex 1;
- the proposed scope of Place Based Services transformation Annex 2;
- to a period of engagement with residents, service users, partners and other key stakeholders about specific Adult Social Care and Place Based Services outcomes

Reason: In order to deliver the outcomes requested by residents and provide the required reforms in Adult Social Care and Place Based Services and operate within available budgets.

Contact Details

<table>
<tr><td>Author:</td><td colspan="4">Cabinet Members and Chief Officer responsible for the report:</td></tr>
<tr><td rowspan="2">Stewart Halliday
Assistant Director
Transformation & Change
Tel No.01904 553402</td><td colspan="4">Cabinet Member for Finance and Performance

Chief Officer’s name
Kersten England
Chief Executive
City of York Council</td></tr>
<tr><td>Report Approved</td><td>√</td><td>Date</td><td>8 December 2014</td></tr>
<tr><td colspan="5">Specialist Implications Officer(s)</td></tr>
<tr><td colspan="4">Wards Affected: All</td><td>√</td></tr>
<tr><td colspan="5">For further information please contact the authors of the report</td></tr>
</table>

For further information please contact the author of the report

Background Papers:

July 2013 Annual Performance Report
Peer Review Letter
Response to Peer Review
LGA Summary Document of Rewiring Public Services
Better Care Fund Application

Annexes

Annex 1 – Adult Social Care Transformation

Annex 2 – Place Based Services Transformation

Glossary of Abbreviations used in the report:

CMT – Corporate Management Team

EPH's – Elderly Peoples Homes

SME's – Small and Medium Enterprises

CCG – Clinical Commissioning Group

CRAM - Capital Resource Allocation Model

ICT – Information and Communications Technology

HR – Human Resources

HWRC – Household Waste Recycling Centre

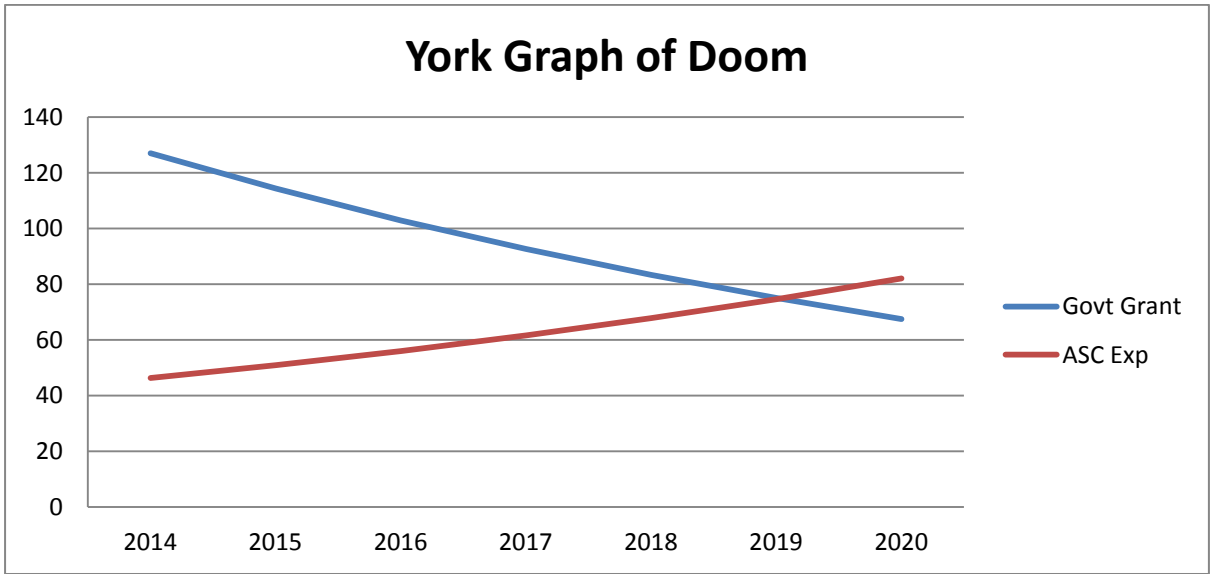
GP – General Practitioner

Annex 1. Adult Social Care Transformation

Why the future of adult services needs to be different from today

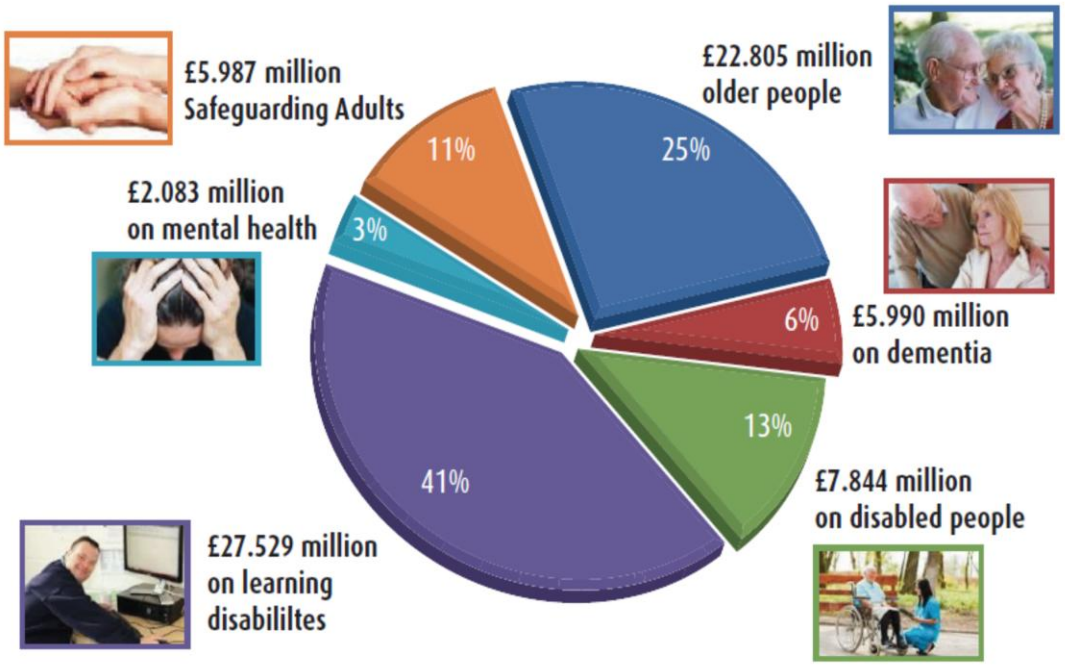
1. Across local government, the most significant service pressures are being faced by Adult Social Care. York is no different. The social care system is under pressure from escalating costs that provide no evidence of increased satisfaction for residents and service users. The current system is unclear for many and in the case of self funders has been slow to recognise the support that many of them need. Adult Social Care Services have not, nationally, demonstrated strong value for money and more needs to be done to ensure that the right outcomes are being purchased or provided for residents. It is widely recognised that the national system is unsustainable due to demographic change and more people living longer with disease and disability.

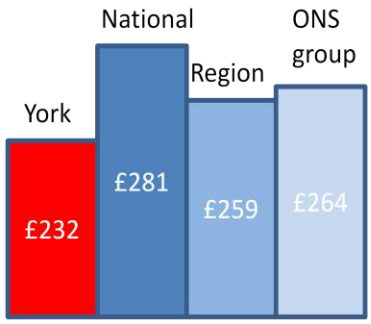
2. The context of Adult Social Care services in York



In line with other councils, York has its version of the Barnet ‘graph of doom’. By 2019 the amount of money required for adult social care will outstrip the funding received from the Government.

In 2013/14 City of York Council spent £72.238 million on adult care, support and services from a total gross service expenditure of £347.609m.

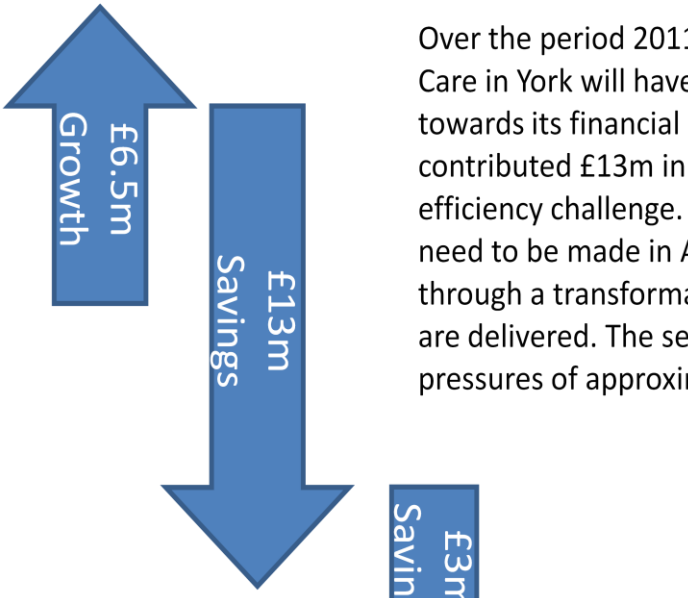




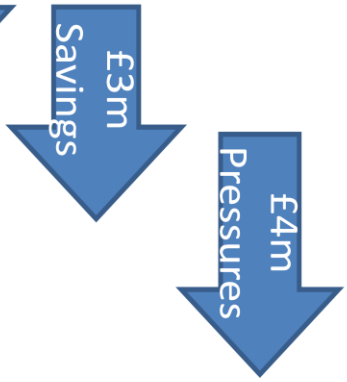
York is a relative low spender on Adult Social Care overall. Total spend per head is lower than the national and ONS cluster benchmarks.

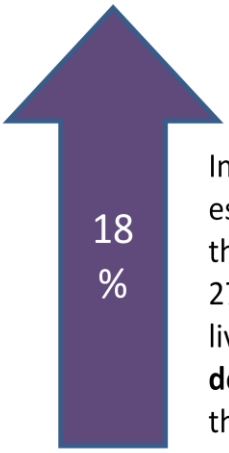
£46.3m

In total, approximately £46.3m is spent in York on services which are "commissioned" under some form of contractual arrangement from the voluntary, independent or private sector. This includes expenditure commissioned by Care Management to provide Residential care, Home Care and on Community Support in Learning Disabilities. It also includes specific commissioned services managed by the ASC Contracts team

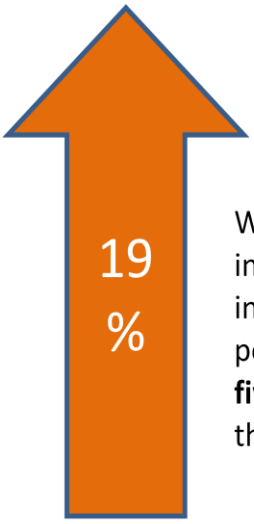


Over the period 2011/12 to 2014/15 Adult Social Care in York will have received £6.5m in growth towards its financial pressures but will also have contributed £13m in savings towards the council's efficiency challenge. Additional savings of £3m need to be made in Adult Social Care by 2017/18 through a transformation in the way that services are delivered. The service also faces funding pressures of approximately £4m.





In York it is estimated that there are around 2725 people living with **dementia** and this is expected to rise to 3209 by 2020.



We expect to see an increase of 19 percent in the number of people **over eighty five** living in York over the next 10 years

28%

It is estimated that 28% of adults in York between the ages of 18 and 65 are living with poor **mental health**, similar to the English average. We have higher rates of hospital admissions for mental health conditions than the English average.

York's vision for the future of Health & Wellbeing Services

3. City of York Council wants people to live independent and fulfilling lives, based on choices that are important to them. We want care and support services to be more effective and focused on individuals so that they can be independent and get involved in their local communities. We want to see more integration with health services and a renewed focus on early intervention.

4. If we are to achieve good outcomes for residents and operate within the funding we have, there is a need to fundamentally shift the way in which services are delivered. The council is committed to developing a sustainable care system with our partners and communities that;
   - puts people in control of their own care and support;
   - makes sure that the most vulnerable people are supported; and
   - delivers value for money for local residents.

5. *It is important to recognise that reform must cover all aspects of the health and social care system. It requires a complete overhaul of the entire system*.

6. To try and achieve this, we need to create a very different set of expectations and radically change the way we do things. We need to minimise what we spend on administrative costs and find more innovative ways of helping our residents to support themselves with fewer formal council services. A key part of this is shifting the balance of care away from costly residential homes and towards more personalised services in community settings. This paper sets out how we propose to work towards this model in the coming years. We recognise that this is a very challenging task and we want to continue working with all groups locally to harness good ideas and maintain good quality services for people who access care and support.

Policy Reform

7. The financial challenges described earlier are accompanied by large scale reform of the Health and Social Care sector. The Care Act represents the most significant reform of care and support in more than 60 years, putting people and their carers in control of their care and support. Central to the Act is the concept of wellbeing. First and foremost councils will now have a duty to consider the physical, mental and emotional wellbeing of the individual needing care. They

will also have a new duty to provide preventative services to maintain people's health. Councils will have to offer information and advice to help everyone understand what support they'll need to help them better plan for the future. Further, every council will have to offer a deferred payment scheme, meaning no one should be forced to sell their home during their lifetime in order to pay for their residential care. People pay for their care costs now, and will continue to do so in the future subject to a cap, but the Care Act seeks to give people more choice and control over how they'll pay for it.

Emerging Consensus

8. Whilst there are slightly different political and policy making perspectives, there is an emerging consensus about the key features of a future health and social care system. In broad terms these are:

   - integrated Health and Social Care;
   - centred around the individual and focused on outcomes;
   - pooling budgets and commission;
   - focus on Prevention, co-production and personalisation;
   - properly funded baseline; and
   - localism not centralism.

Health & Social Care Integration

9. In order to meet the requirements of the Care Act and to achieve our vision of a health and social care system with residents at the heart of it, we wish to move as quickly as we can towards an integrated health and social care model in York. To support this approach, Government has created a joint health and social care budget called the Better Care Fund. The £3.8bn budget – a joint NHS and local government initiative will help support health and social care services to work more closely together at a local level. City of York council has over £5m invested in this programme subject to the progress we make in integrating our services.

10. In York we have been working hard to make sure that Adult Social Care services are tailored to individuals' needs and put people back in control of their own support. Health and social care teams in the

city are working on a more joined-up approach to local health and social care services by:

- developing local care hubs of health and social care staff who will rapidly assess and diagnose issues and needs to help people remain at home or return there at the earliest opportunity;
- creating Shared Care Records, so people only have to provide their details and case history once;
- creating a Single Point of Contact for customers– a single health or social care-lead who will take responsibility for the individual as they move between services.

11. However, we recognise that there is much to do.

12. Our key aspirations for integrated care in York are to deliver:

- More care in people's homes and in their local neighbourhoods;
- Person-centred care, organised in partnership with the resident and their carers;
- Better experience of care for people and their carers;
- Emphasis on pro-active and preventative work;
- Improved range of support and care at home, with less reliance on care homes and hospital based care;
- Less duplication and 'hand-offs' and a more efficient system overall;
- Improvements to key outcomes for people's health and wellbeing;
- Stronger, more resilient communities.

What will it look like?

13. We will know we have achieved our ambition for integrated health and care in York when we need to rely less on hospital-based care and care homes, because more care will be delivered in resident's homes and in their local neighbourhoods. Feedback from residents tells us that this is what they want. Also, they will be admitted to hospital quickly when they need to be, with access to the first class facilities and services. Hospitals will be able to discharge people quicker, because effective and pro-active services at home and in the community will help people get back on their feet and stay healthy and independent for longer.

The changes we want to achieve

14. We want to create a sustainable system that supports the most vulnerable and delivers value for money. To achieve this we need a significant cultural shift across the whole system. This means a different set of relationships between the NHS, the Council and the community, moving to a model where local residents are seen as people who can contribute and exercise control over their own lives, improving their own health and well-being.

15. We want to tackle health inequalities and develop a more effective approach to preventing poor health and supporting people to better manage their own conditions. We need better integrated early interventions so that people get the right help when they need it and we need to ensure that people who have more complex conditions receive an integrated and personalised service.

16. We recognise the vital role that carers play both in delivering care and in helping prevent further deterioration, so that people do not need more intensive packages of support over time. This means we need to ensure that carers can access the right support to maintain their own health and well-being and to continue in their caring role.

17. We recognise we need to invest in the development of social capital across the city, with a particular focus on enabling people to take control and giving them the tools to manage their conditions effectively. To help build community networks and a more personalised approach we will organise health and care services on a neighbourhood model around groups of primary care practices. This means that doctors, nurses, social workers, therapists, housing support workers and home carers will be able to build a strong set of relationships and work in a more integrated way, with common objectives to improve health outcomes for their local population and to offer a good experience that promotes better quality of life for local residents.

18. The role of the voluntary sector will be vital in driving forward the approach for building strong community engagement and the experience of the sector will be invaluable as we look to provide more preventative measures in place to support residents to stay healthy.

19. We will mobilise our communities and recognise their assets, strengths and abilities, not just their needs. We will build on the

assets in our community to support active self management by people, and support between peers, carers and families to take control of their own health and well being to address issues such as smoking, loneliness, exercise and eating.

20. Integrated care and support is about partnerships beyond the NHS and social care – involving individuals, communities, voluntary and private sectors and the Council's wider services, particularly employment, skills and housing.

What does it mean for how we will commission services?

21. The Council and Vale of York CCG are committed to using our joint resources to achieve our shared objectives. The way that services are currently commissioned and organised does not always achieve these aims. We will move towards the creation of a joint commissioning function to enable us to buy health and social care outcomes. This will mean realigning finances to commission more pro-active support that offers continuity of care and is joined up around people's needs. Our plans, if successful, will mean less reliance on care in hospital or care homes, and more care in people's home or delivered in community based settings. We will work with partners in CCG and the acute sector to enable this shift of resources to happen.

Key aspects of change

22. Some of the key aspects of change we intend to achieve in York are:
    - more care for older people and people with long term conditions will be delivered through locality based community multi-disciplinary teams with a lead professional responsible for co-ordinating the care of individuals. This will ensure an integrated and personalised approach to case management by all services working with each person – Social Care, GPs, Community Health, Housing, Mental Health workers and hospital services;
    - there will be less care needed in acute settings. A&E attendance and avoidable emergency admissions will reduce as community teams provide more targeted support to those at risk;
    - when people do need acute care they will stay in hospital for shorter periods, returning home safely with the help of enhanced discharge support;

- re-ablement and intermediate care will increasingly provide effective short term interventions that rehabilitate people, restoring health and independence;
- the balance of social care will shift away from care homes towards support in people's own homes and supported housing schemes including Extra Care;
- home care services will be funded with a view to radically improving quality and outcomes, with home carers linked in with other health and care professionals through the multi-disciplinary team approach;
- there will be a greater role for technology through the use of telecare to help people live safely at home;
- a more integrated and coherent approach to preventative services including the voluntary sector tackling issues such as social isolation;
- services will be responsive and accessible 7 days a week, including social care and admission avoidance community services as well as primary care;
- a new focus on developing dementia related services;
- a neighbourhood health champions model.

23. Achieving genuinely integrated care will have far reaching implications for the health and social care workforce and for the way that staff are trained and work together. Our workforce will need to be well-informed, appropriately skilled and clear about its common purpose in delivering person-centred care. We are committed to investing in the workforce so that they are appropriately skilled and trained for new ways of delivering care, and have a shared approach to coordinating care around people's needs. Staff will need to work increasingly flexibly in integrated teams, with more staff working in the community and in people's homes. We will ensure that we have the right range of staff to respond flexibly to people's needs and that all staff across our system feel valued for their contribution to keeping York's residents as healthy and independent as possible.

Getting Ourselves in Shape

24. We plan to make a series of changes over the next 12 months to ensure that we are moving our services towards a position where

they can be effectively integrated with others and provide better outcomes for residents. In line with the approach taken to date with the transformation programme, we intend to spend the time from December 2014 to March 2015 engaging with residents and staff on how we can make these changes in a way that is sustainable. We will bring proposals back to cabinet in March 2015.

Project 1 – New Operating Model for Adult Social Care

25. We will explore the development of a new operating model that would mean that all new customers (and some existing customers) will be channelled through a range of "preventive" services before they are assessed for longer term care and support. These services are designed to offer an immediate response to the person seeking help in a way that looks at options in which they can be assisted without necessarily assuming that they will need longer term help, if this first intervention can resolve their problems. The success of "preventive services" would then be demonstrated by fewer people needing long term help but people still getting their needs met in a timely and appropriate manner.

26. To do this we need to work with residents and staff to change the way in which advice and information is provided. We need to explore how we can develop a much more effective web portal and ensure that residents can access health and social care information in a way that is convenient to them. We will review our existing Advice and Information service and talk to residents about how it can be improved. We will talk to our partners such as the CCG and Hospital and also to internal partners such as Young Peoples Services, to establish how we could integrate our access points to enable residents to get better and joined up information and advice. In doing this, we will need to align our workforce more efficiently to the way in which residents want us to work. We know that residents do not like being handed from one team to another and we will consider how these customer 'pathways' can be serviced by specific individuals or teams. As part of a review of the operating model we will consider how we use 'assistive technology'. If we are to offer more preventative services then assistive technology and adaptations to homes need to be considered as part of the core service for residents.

Outcome Sought from Engagement

- Design for how advice and information should be provided

- Working Group to support website design
- Proposal on the use of assistive technology
- Proposal to realign the adult social care staffing around customer 'pathways'
- Proposal on how to integrate health and social care access points in York

Project 2 – Carers Service

27. Carers are incredibly important and without them it would not be possible to care for all those who require support in our city. However, we need to explore how we can develop a carers 'offer'. By that we mean a single access point in the city; both physical and virtual, where carers can get support to access services for those that they are caring for but also get information and advice on services or community groups that can help them. We recognise how important it is to recognise and support carers. We will work with the Carers Centre, Carers Groups and service users to redesign the way that we work with carers.

Outcome Sought from Engagement

- A comprehensive set of requirements for carers in the city
- Proposal to develop a single hub (physical and virtual) for carers

Project 3 – Joint Commissioning with the CCG.

28. We will work with partners to establish a joint commissioning function across health and adult care under the governance of the Health and Well Being Board. We will work to define what our commission priorities are using the joint strategic needs assessment, completed for the Health & Well Being Strategy.

Outcome Sought from Engagement

- Establishment of a joint commissioning function

Project 4 – Elderly People's Homes (EPH)

29. A key aspect of the transformation of Adult Social Care will be the re-provision of care homes. A project has already commenced to

deliver this. The project will focus on meeting York's increased need for dementia care.

Project 5 – Key Workers

30. We recognise that there is a shortage of care workers already in York and the pressure for resources will continue to grow. In a city with virtually full employment, we need to develop a strategy for how we will create capacity to support residents. As part of this work we will need to work with partners to understand the staffing requirements across the whole health and social care network and determine how resource needs are addressed. As part of this, we will need to consider what can be learnt from other cities such as London in creating a sufficient supply of key workers.

    Outcome Sought from Engagement

    - Proposal for recruitment and retention of key workers in York and what the council could contribute/enable.
    - Proposal for how CYC's Workforce strategy could be amended to support the recruitment of key workers

Project 6 – Mental Health Services and Voluntary Sector Capacity

31. We are acutely aware of the crucial role that the voluntary sector can play in delivering services and supporting residents. We are keen to find practical ways that we can help the voluntary sector to do more. In particular we are keen to explore how we could increase the capacity of mental health charities to provide more services. Many of them tell us that funded work is available but they are constrained by a lack of suitable accomodation. We want to work with Mind and others in the sector to explore how we could use council assets in a way that might help increase the provision of key services and further strengthen the relationship between the council and voluntary services.

    Outcome Sought from Engagement

    - Business Case for increasing mental health service provision through the use of council assets.

Annex 2. Place Based Services

Introduction

1. This document outlines the detailed business case for the Street Based Services work stream within the Place Based Services Project.

2. This builds on the Cabinet Rewiring reports in February, July and October that set the scope and targets, proposed the programme of work and updated on engagement and evidence building activity. This report updates Cabinet on proposals to re-evaluate a series of operational services in the short to medium term. This includes waste and recycling, public realm, highways and street lighting and related services such as fleet, workshop and depot management. However, other projects are referenced in the report.

Process

3. This report follows a process of resident and community engagement, supplier engagement and peer review, to place residents at the centre of the work and understand current best practice. The proposals made are a direct result of this engagement and look to achieve the best possible outcomes whilst achieving value for money.

Objectives

4. The principle objectives of this project are to:

    - shift the balance to communities and put residents in the driving seat in terms of service delivery and design;
    - produce a sound evidence base for the transformation work; and
    - look at innovative approaches where appropriate, whilst working in the context of maintaining where possible service levels and managing a reducing budget.

5. The Council has a history of self delivery of these services and there is an expectation from residents and members that the services will be responsive, flexible and deliver the outcomes of two council Priorities. These are protecting the built and natural environment and providing safe neighbourhoods where communities can thrive.

Priorities

6. The efficient and effective management of waste is one of the City of York Council's (the Council) top strategic priorities under the Protect the Environment priority.

7. The objective in the next 18 months is to develop the waste management service to ensure that it is customer centric, achieves required outcomes around waste prevention, reuse, recycling and disposal and is financially sustainable.

8. This will be achieved through a programme of work that focuses on reducing landfill, increasing reuse and recycling, ensuring that the service is efficient and maximising opportunities around commercial waste.

Engagement

9. Through the summer a comprehensive programme of engagement was initiated to start to shift the balance from council control of services to a more community/resident led approach. This would mean communities and other groups having more involvement in the redesign of services, decision making and where appropriate delivery of services. The programme was run under the "Transforming Places Together" banner.

10. The "Transforming Places Together" process started with the engagement of groups based on geographical location and their special interest. The geographical groups were well established forums, such as ward committees, parish councils and residents' associations. The special interest groups consisted of environment groups (voluntary, community and other) operating in York. This included "Friends of" groups, Edible York, York Wildlife Trust, St Nicks and others. As a result of these meetings, key relationships have now been forged.

11. Information gathered from two wider Rewiring engagement events were also fed into this process and themes identified to use as the basis for moving work forward. These are:
    - That front line services such as waste and recycling are seen as important;
    - We need to understand our role in building a sustainable city with particular focus on recycling and carbon reduction;

- There is an appetite to get involved in initiatives such as composting and sustainable food production;
- We need improved and innovative communications for communities;
- There is a need to support the development of voluntary/community groups;
- There needs to be better access to assets; and
- People want influential community warden type roles.

12. There is a strong sense within the groups that practical projects would be a good way forward in terms of engendering the culture that is mutually desired. These projects would be short term and have short term goals in order to test the practicalities of the themes and would then, if successful, be scaled up and rolled out at a wider level. It is also clear that to achieve maximum benefit, the council needs to support these groups over a period of time. In the short term this support could include funding, potential training and help to bring outcomes together at a City/regional level to ensure that good practice is shared.

Community led projects

13. The suggested projects are as follows:

    - **Community safety project in Rural West.** This project would focus on tackling issues with crime, cold calling and community communication within the Rural West area. This would include a review of the process from the point of identification of an issue, the reporting, prevention and intervention in the short and long term. Ideas being tested include:
        - simple ways of reporting such as creating messages through digital TV and social media devices; and
        - enabling local communities to direct prevention methods such as the placement of number place recognition cameras.

    - **Community safety project in The Groves.** This project will focus on managing alcoholism and intimidation in the Groves area.

    - **One planet living app.** The purpose of this project is to bring together the City's sustainability approach and link to the One Planet Living framework. Community groups are working with

the Council to build an app that provides value to residents that includes practical recycling information, alerts for refuse collection days and links into existing services.

- **Sustainable garden waste.** Providing community composting sites and allowing community group users such as Edible York to benefit from the produce. This is linked to a transformation in the offer of garden waste services to residents.

- **Empowered community capacity.** This project will look at the creation of more empowered community capacity when dealing with the built and natural environment.

14. The key to the success of these projects is that they are community led and community groups are involved in the development of the project briefs and will lead the delivering the tasks within the project.

Current service performance/peer review

15. Dovetailing with the community work has been an initial assessment of the current delivery of service, with a continuing review of how these services are delivered elsewhere in the United Kingdom and in European cities.

16. A key element to the future and sustainability of services in York is strengthening work with communities, particularly on service design and operational matters. In the community engagement work the relationship is in development and there are activities, in grounds maintenance for example, where due to the nature of vegetation there is a necessity to focus large amounts of resource for a short period of time. Some of these activities would be very suitable to be handed over to community groups.

17. It is also important that the Council focuses on delivering statutory work, priority jobs and where it is not possible to work with communities (for example, residual waste collection). In order to ensure that the best levels of service are maintained, the areas focused on by community groups and the council teams, would be supplemented by offering services at a cost where those services are discretionary.

18. There is a requirement to focus on front line delivery and to ensure that management and supervision is developed across services and streamlined. This includes implementing technology where required

to ensure that as much resource as possible is focused on front line delivery. Around 80% of expenditure in these services areas is labour and as budgets decrease it is important to manage the reduction in available resource. The Council is responsible for a large number of assets such as vehicles, buildings and tools and these need to be used safely to get full value from them.

Supplier engagement

19. In order to ensure that the services the Council delivers are best value it has been necessary to engage with potential suppliers to review how they operate similar services and how they get the maximum benefit from the resource available to them.

20. This has taken the form of informal discussion with local and national deliverers and this will be extended in the New Year to ensure a robust evidence base is held. The Council will invite a number of leading suppliers to discuss the transformation of services and how we can improve outcomes in York.

Interventions summary

21. In terms of service transformation, a series of interventions have been identified that would start to move the services towards delivering customer based and financial outcomes. These are:

Waste and recycling

- Garden waste subscription charges;
- Optimise kerbside recycling services;
- Reduce residual waste collection frequency;
- Optimise bring site provision;
- Review bulky waste collection charges;
- Review assisted collection service;
- Review clinical waste collection;
- Develop commercial waste collection service;
- HWRC permits and charges; and
- Interim residual waste contract (Apr 15 to Mar 18).

Review of cleansing

- Optimise cleansing through effective zoning, scheduling and response times; and
- Optimise litter bin provision and servicing to reduce number of rounds.

Review of grounds maintenance

- Opportunities for community involvement – over 6,400 hours* per annum at top 30 sites, including:
  - Bowling greens – 1,500 hours;
  - Tennis courts – 150 hours;
  - Bedding plants – 888 hours; and
  - Roses – 882 hours.
- Replacement of bedding plants with ornamental grass at 18 sites could potentially save 1,519 hours of labour; and
- Community compost schemes.

Cross cutting

- Reduce management & supervision

Highway maintenance and street lighting

22. The Council has a statutory duty to keep the highway safe for all highway users going about their daily business. The service is currently consulting on a reduction in workforce and a significant restructure in the way the service is operated. In addition to Highways maintenance the service is also consulting on the removal of the pest control function and restructuring of the stone masons capability in order to bring current costs in line with previously agreed Saving. Capital investment in street lighting should see a significant reduction in electricity consumption and carbon footprint if approved through the CRAM process. Reductions in the revenue budgets for 15/16 are being made to meet priority based budgeting targets and changes in working practices for gully cleansing and the interaction between Highways Maintenance and Capital programmes are being developed in order to ensure the Highways function can contribute fully to savings targets through transformation of delivery rather than service, as little room exist for service transformation in this area.

23. The highway asset has been generally deteriorating but a slower rate than many other authorities over a number of years, and is therefore in a relatively good condition compared to other authorities in our family group and one off pot hole funding from central Government is also mitigating this position. The Highways service are seeking to maintain the good quality of York roads relative to other Authorities through innovation in delivery however budgetary saving will increasingly impact on the ability to retain the current position.

Financial targets

24. The total spend in the areas in scope (Waste and recycling, Highway maintenance and street lighting and public realm) is in the region of £16m with income coming back to the council of around £3m. The table below (Table 1) illustrates the financial targets for this transformation programme.

Table 1: High level financial targets					
Description	**2015/16 £M**	**2016/17 £M**	**2017/18 £M**	**Total £M**	**Notes**
Legacy service pressure in waste approx. £400k included	0.931	0.750	0.750	2.431	
Public realm transformational work	-0.250	-0.250	-0.250	-0.750	
Waste services transformational work	-1.800	0.000	0.000	-1.800	Minimum implemented Nov 15
Net total	**-1.119**	**0.500**	**0.500**	**-0.119**	
Potential with different delivery model. Across all depot based services assumed saving (5% in additional to figures above post March 2017)	0.000	0.000	-0.350	-0.350	
Net total	**-1.119**	**0.500**	**0.150**	**-0.469**	

Intervention detail

25. In order to meet these challenges the table below (Table 2) illustrates the interventions required. Where there is no value identified next to a

Table 2: Financial impact of potential interventions (£M)					
Intervention	**Description**	**2015 /16**	**2016 /17**	**2017 /18**	**Total**
WR01	Garden waste collection charge - Introduction of charge for all garden waste collections - This option brings significant financial benefit. - Suggested fee £35 per container per year (figures based on take up of 35,000 residents) - Option to possibly not delivering the service at all (budget saving approximately £1.3m)	-1.092	-0.437		-1.529

WR02	Co-mingled recycling collections - Revert from customer separating recyclable material to comingled collection - Dependency on Harewood Whin site MRF being reconfigured to handle comingled material. Not cost affective if using currently available facilities (Scarborough)		-0.142		-0.142
WR03	Reduce frequency of residual waste collections - This would be reducing collection frequency to 3 weekly or 4 weekly - Other authorities who have implemented this combine this with a food waste collection - The nearest food waste disposal facility is Driffield. The cost of transporting the food waste outweighs the benefit of dropping to a less frequent collection. Consequently there is no case, that falls within the affordability criteria, for the implementation of a food waste collection - General rounds efficiency can be achieved without reduction in frequency of collection. Dependent on other decisions.	TBC	TBC	TBC	
WR04	Optimise bring site provision - Remove provision of plastic bottle banks and educate to place in recycling box (significant difference in cost between kerbside collection and collection at bring bank)	-0.020			-0.020
WR05	Review bulky waste collection charges	TBC	TBC	TBC	
WR06	Review assisted collection service - Ensure that all residents qualify for this scheme	TBC	TBC	TBC	
WR07	Introduce clinical waste collection charges - Will go to paying for service, but residents using this service are amongst the most vulnerable - Review the material in clinical waste collections and look to educate to divert to residual what can go in residual collection and work with other agencies (NHS) to collect this material.			-0.010	

WR08	Develop commercial waste services - This is dependent on the direction of travel of YorWaste and the authority's strategy once this is clear. - Development of this business has proved difficult in the past.	TBC	TBC	TBC	
WR09	HWRC permits and charges - Look to enforcing charges for non residents - Look to extend, where possible material charged for.			-0.170	
WR10	Interim residual waste contract (Apr 15 to Mar 18) - Look at options in advance of Allerton park.	TBC	TBC	TBC	
	Savings identified	-1.112	-0.579	-0.180	-1.871
	Target savings	-1.081	-0.500	-0.500	-2.081
	Affordability Gap	**0.031**	**0.079**	**-0.320**	**-0.210**
Intervention	**Public realm**				
SC01	Review zoning, scheduled cleansing and response times - Working to statutory requirements and priority areas where possible - This will mean a reduction in the general standard	-0.068	-0.068	-0.063	-0.198
SC02	Optimise litter bin provision and servicing	-0.030			-0.030
GM01	Reduce volume of work through design and greater community involvement - This will include the introduction of more durable flora in certain areas to reduce maintenance requirements - This will mean a reduction in the general standards	-0.063	-0.063	-0.063	-0.189
GM02	Increased community involvement in management of allotment sites	-0.015	-0.015		-0.030
PR01	Reduce management & supervision - Management and supervision reduced to match resource levels. - These changes will be considered across all operational services	-0.040	-0.040		-0.080
PR02	Annual efficiency savings on unallocated consumables and other costs	-0.010	-0.010	-0.010	-0.030

	Savings identified	-0.226	-0.196	-0.136	-0.557
	Target savings	-0.250	-0.250	-0.250	-0.750
	Affordability Gap	**-0.025**	**-0.055**	**-0.114**	**-0.193**
	Place Based Service summary total				
	Waste and recycling	-1.112	-0.579	-0.180	-1.871
	Public realm	-0.226	-0.196	-0.136	-0.557
	Savings identified	-1.338	-0.775	-0.316	-2.428
	Target savings	-1.331	-0.750	-0.750	-2.831
	Affordability Gap	**0.007**	**0.025**	**-0.434**	**-0.403**

Next steps

26. The next steps are:
    - Recognition/acknowledgement of the available proposals in terms of the interventions; and
    - Engage further with communities, partners and suppliers on potential interventions, work on the detail and plan the implementation.

The future

27. The work described is part of the journey of transformation. It is likely that whatever the short term model is, the medium to longer term model will involve further partnerships with other organisations. This could be community and voluntary groups or private sector. This would not be a significant leap as a sizable amount of work is already commissioned to other providers where work of a specialist nature is required, or where the council does not have the in-house capacity or capability. In the New Year we will develop options to determine what future models may be appropriate for the City.

28. In the medium to longer term, the Carbon and Energy programme, which is part of the wider Place Based Services project, will explore schemes around Renewable energy. These will contribute to becoming a greener city and improve energy usage and the management of carbon other emissions.

Cabinet **16 December 2014**

Report of the Cabinet Member for Finance and Performance

York Guildhall - creating a Digital Media Arts Centre

Summary

1. This report sets out progress on the project to establish a viable re-use of the Guildhall complex as a Digital Media Arts Centre (DMAC) in accordance with the cabinet decision of July 2013. Approval is sought to proceed with the procurement of a design team and an operating partner who will run the DMAC and lease space in the building.

2. The report also seeks the release of further, previously allocated funds from the Economic Infrastructure Fund (EIF) to fund the design of the building to the planning stage, and provide legal, financial and procurement resource through this next phase of the project.

3. The proposed DMAC and associated riverside development would see the creation of a world class venue and exhibition space for the creative business sector, with flexible workspace providing the potential to safeguard and create up to 200 jobs adding very significant GVA of over £8m to the city economy (based on Centre for Cities 2012 York GVA figures). Securing the future of one of the city's most iconic buildings will require supporting commercial development and the proposals set out in this report identify with the aspiration for a high end restaurant, a creative cafe/bar and additional office space opening onto new public space on the river side and linking through the Guildhall yard to City Screen. This commercial space will generate income within the development, to provide support for the initial capital outlay.

Background

4. The aspiration to create a Digital and Media Arts Centre DMAC for the City of York has long been an ambition of the city's creative industries, and the council, in supporting this growing business sector. The project responds directly to a market failure in the provision of flexible, city centre office space / work space for this sector. This shortage was specifically identified in the 2011 DTZ report commissioned by Science City York (SCY). The report

explored the spatial requirements of business in our key growth sectors, including creative and digital business, finding that there were particular gaps in the provision of high quality office premises, and especially in the provision of city centre office space offering grow-on space for SMEs.

5. More recently, in Dec 2013, SCY undertook a survey of businesses in the creative sector and 65% of respondents reported that they were seeking premises for expansion over the next 24 months, with a strong preference for a city centre location. The GVA Grimley report of July 2014 in support of the Local Plan allocations, confirms the lack of high quality office accommodation in the City centre to facilitate business growth. The GVA report also highlights the potential risk of existing and new businesses locating in other regional centres, specifically Leeds, where there is a greater supply of high quality office accommodation.

The Guildhall Complex

6. In December 2011 Cabinet made the decision to vacate the Guildhall complex and transfer all council functions to West Offices, with the exception of Full Council meetings which still take place in the council chamber, generally once every two months. In March 2013 staff and members vacated the complex and moved to West offices where they are now based.

7. The Guildhall complex comprises the following zones set out at Annex 1 :

   Zone 1 - Medieval Guildhall (inc Committee room 1)

   Zone 2 – South Range (ancillary accommodation)

   Zone 3 – Victorian Council Offices (inc Council chamber)

   Zone 4 – north annex (former PO / staff offices)

   Zone 5 – hutments (former storage space now demolished)

   Zone 6 – Boat Yard

   Zone 7 – Mansion House

8. In 2011/12 working in partnership with English Heritage, CYC commissioned architects Purcell, to undertake an assessment of heritage significance, a views analysis and an informed options appraisal for the Guildhall complex. The options appraisal identified the significant potential for re-use of the complex.

9. In the autumn of 2012, CYC ran a Royal Institute of British Architects (RIBA) Open Ideas Design Competition to further explore the opportunity for re-purposing the Guildhall and Riverside for the C21st, taking full advantage of

the world class heritage and unique riverside setting. The winning proposal highlighted the opportunity for the creation of a new public space directly on the river front, surrounded on three sides by leisure/office space; in combination with refurbishment of the original medieval Guildhall, and Victorian council offices and meeting rooms. The proposal also suggested opening up several points of access to the Guildhall and the riverside public realm making links along the water front in both directions, including under Lendal Bridge to Dame Judi Dench Walk / Museum Gardens and through the Guildhall yard with City Screen.

A Digital Media Arts Centre

10. In July 2012, Cabinet agreed an allocation of £1.4m from the Economic Infrastructure Fund (EIF) to progress the creation of the DMAC. At that time the proposed site was the Bonding Warehouse, however, due diligence revealed that this was not economically feasible and the Guildhall complex was subsequently identified as the preferred site.

11. York has a thriving creative business sector. Recent statistics indicate that there are approx 400 businesses employing over 8000 people in this growing sector (DTZ 2011). The sector is dominated by micro or small businesses; many of which are young and innovative with a significant number boasting national and international clients, and yet the sector is largely invisible in the city.

12. The Science City York (SCY) survey (Dec 2013) identified a strong demand amongst these businesses for office space in the city to facilitate their growth and expansion. This sector contains a broad spectrum of companies, from high tech visual arts, television and gaming companies through to sole trader graphic designers and artists. Their businesses are dynamic and need to quickly respond to market conditions to expand and equally to contract. Their property needs are therefore not well served by the traditional property model dominated by long leases and capital investment.

13. York does not have the ex-industrial hinterlands that in other cities are increasingly the domain of developing media arts businesses. The prevailing leasehold / ownership pattern is currently acting as a barrier to sector growth and there is some evidence of York companies relocating to London or to other regional centres. York needs to address the lack of supply of suitable workspaces that enable companies to occupy prestigious, modern, flexible workspaces using a financial model that enables them to share costs, flex their requirements and commitments, and work in an environment where they can easily network and collaborate with other complementary businesses to increase their competitiveness.

14. This lack of physical space for business progression is shadowed by a hollowing out of the population of York. There is demographic evidence to

suggest that we have an increasingly young or older population as young adults and graduates leave the city to progress their career or seek more affordable start up homes. In order to stem this flow we need to create vibrant economic communities and opportunities to support growth.

15. Incubator units for business start ups already exist at both York University (The Catalyst and the Springboard at the Ron Cook Hub) and St Johns University (the Phoenix Centre). What is not widely available are more prestigious, stylish, yet affordable, grow on spaces that retain growing businesses in the city. Both universities and sector representatives have clearly articulated the need for a sectoral growth strategy to bridge this gap and see the Guildhall as an essential part of the solution.

16. By working with representatives from the sector and with both Universities, the following vision has been developed for the Guildhall DMAC :

    "York's Guildhall and Riverside will provide a world class venue, supporting and nurturing the expansion of York's vibrant creative businesses; combining events and exhibition space with state of the art collaboration and co-working facilities in the heart of a historic and creative city, securing a sustainable future for one of the city's most iconic buildings.

    To deliver this vision the significance of the Guildhall complex will be enhanced and better revealed, adopting innovative approaches to establish the Guildhall itself as the home base for a C21st guild of digital creatives collaborating across the creative, digital and arts sector spectrum.

    By retaining the use of the council chamber and enhancing public access, the importance of direct links between the city's governance, commerce, and culture are not just acknowledged, but remain intrinsically bound together, for the future benefit of the city in this world class historic location."

17. The designation of York as a City of Media Arts by UNESCO further reinforces the case for establishing a DMAC in the Guildhall, where there is the opportunity for the City's future to take inspiration from this iconic complex, which is itself a product of the city's creativity throughout history.

18. The Guildhall DMAC proposals would :

    - Create a highly visible innovation hub, at the heart of the city that generates business to business activity, creative collaborations and new intellectual property

    - Establish a world-class, destination venue delivering an events programme driven by the creative force of the sector, contributing to the cultural tourism offer of the City

- Provide flexible managed office accommodation with support facilities, for small to medium sized enterprises (SMEs) within the creative, digital and technology sectors, encouraging and supporting the growth and development of these sectors within York, also offering flexible drop down space and a business club to provide resources and collaboration space for smaller companies.

- Enable the city to provide a ladder of progression where growing businesses in the creative and media industries can access property solutions to facilitate the transition from start-up enterprise, to high growth business without jeopardising their long term growth by tying up capital or revenue in long term leases/property purchases. The financial model needs to allow companies to increase and decrease their space requirements / costs in response to fast evolving business needs and the commission and project driven nature of their work.

- Secure the future of the Guildhall complex through a combination of sensitive refurbishment and repair to the historic fabric coupled with some strategic new build interventions to ensure the future sustainability of the complex.

- Improve access to an attractive riverside public realm demonstrating the future potential of the wider area.

The Mansion House

19. The Civic and Democratic Services Team are currently in the final stages of a second round Heritage Lottery Fund (HLF) application to secure a £1.2m grant from the HLF; to restore the 18th century Georgian kitchen, upgrade the modern kitchen to provide catering facilities, install a conservation heating system, rewire the building, update the fire alarm system, improve physical access and display the Gold and Silver collection. This work is being overseen by the Guildhall and Mansion House Project Board to ensure synergies are achieved, but it is not included in the operating proposals outlined in this report.

20. In addition to preserving the building and conserving the collections that are housed within it, this project will also facilitate increased use of the Mansion House as a visitor attraction, and as an educational resource with significantly increased levels of revenue generation.

Guildhall Project Progress

21. In July 2013 Cabinet agreed to release £400k of the EIF funding allocation to undertake feasibility work and develop plans / a business case for the Guildhall DMAC. The cost breakdown for this is attached as Annex 2.

22. The project manager was appointed in December 2013 and a project working group was established to support the project. Robust project governance arrangements have been put in place through the establishment of the project board which includes; representatives from the creative sector and from York St John University and Science City York.

23. Significant progress has been made in the delivery of the project objectives:

- Extensive research of similar facilities across the UK, particularly the Roundfoundry in Leeds and the Toffee Factory in Newcastle. Other national exemplars include; The Mail box and Custard Factory in Birmingham, Kings Cross Hub, and Soho House business club in London. We have also explored some small scale flexible office provision in York which is thriving and experiencing high levels of demand. None of these deliver exactly the model for the Guildhall with its combination of flexible office, commercial and performance/exhibition space in a listed building, but they have all shaped the vision and the business case set out in this report.

- A detailed feasibility study has been completed highlighting the potential of the complex

- An outline business case has been developed using the feasibility proposals as a basis

- Planning approval was secured for the demolition of the Hutments which was completed in July 2014

- The Archaeological Evaluation of the hutments site was undertaken through August and into September, with significant opportunity for public involvement and the findings will be promoted at further public events

- An application was made to the Leeds City Region Local Enterprise Partnership (LEP) for Local Growth Fund of £2.5m – and the project is now included in the LEP's Strategic Economic Plan (SEP), although a funding allocation was not secured in round 1 because of concerns about deliverability of spend in 2015/6. The project is being put forward into round 2 for the 2016/17 year when deliverability issues should be more certain.

- An application was made to the Heritage Lottery Fund HLF for Heritage Enterprise funding of £3.7m in April, based on the development of Option 4 as set out later in the report, unfortunately this bid was unsuccessful because we did not have a commercial delivery partner on board and the balance of new build to refurbishment was judged too high.

- Pre-application discussions with the Planning Service and involving English Heritage as a statutory consultee have begun

- Informal consultation with heritage bodies in the city has garnered general support for the project. Peter Brown, Director of York Civic Trust has offered his support to the project, saying;

  'The proposal for the Guildhall identifies deserving new uses for this whole complex, whilst safeguarding the long-term future of the important historic buildings. The scheme as outlined delivers an excellent combination of respect for the City's heritage and a new contribution to the commercial vibrancy of the city centre'

Options

24. The following options have now been developed to present to Cabinet. There are of course variants upon each scheme which can be considered during the next phase of detailed design and development, but they give a broad overview of the scale of development possible. A summary financial analysis of all the options is included as Annex 3.

25. Because of the historic importance of the Guildhall and the nature of the site (Grade I & II listed), the council has already identified a desire to retain ownership and control of the complex for the long term. The options presented respect this desire and that a proportion of the current civic and community uses of the Guildhall will continue.

26. There always remains the option for a more conventional commercial usage for the site, a sale or long lease, which could result in either a capital receipt or a revenue income, but these have not been explored in detail as they would not deliver a DMAC or the ongoing ownership of the Guildhall which have been assumed as core requirements of the project.

27. **Option 1 – Do nothing – renew Guildhall only - capital cost £350k**

    This option would see the existing arrangements for managing the Guildhall continue where the main hall and former committee rooms are available for hire through the Mansion House and Guildhall team. Repairs and maintenance would continue on a reactive only basis, with costs incurred as they arise; with the exception of the Guildhall roof which would be renewed as per the current capital programme.

    Analysis – this option will not achieve the objectives agreed by cabinet in July 13 in terms of securing an economically viable future for the complex. The complex will necessarily continue to deteriorate and the long term future of the buildings would be placed at risk.

28. **Option 2 – Major repairs and maintenance only – capital cost £2.47m**

Undertake urgent major repairs and maintenance to the whole complex, including reroofing the Guildhall, further structural, roof and fabric repairs, replacing the heating system and some electrical circuits as required, fire and access improvements and comprehensive redecoration. The space would remain in its current layout at approx 2000 sq m net usable space.

Analysis – this option would see the minimum necessary investment to secure the complex for the short term (5 years). The fabric would be made sound but the use would not necessarily be improved beyond existing patterns where a number of existing constraints in terms of access and facilities would remain. The longer term future would remain uncertain.

29. **Option 3 – Comprehensive refurbishment and conservation with new build elements - capital cost £9.23m**

The works involve undertaking all major repairs as in option 2, but also a comprehensive replacement and upgrading of services; including under-floor heating to Guildhall and elements of reconfiguration to improve access and space utilisation. In addition it would involve; a new build to the south range, an additional storey to the north annex and a new build riverside pavilion to provide overall net floor space of around 2600 sq m. The energy strategy for the complex would be underpinned by renewable energy using a river sourced heat pump and photovoltaic panels. It would create a refurbished Mansion House yard and a new external riverside space on the site of the former hutments, which would provide attractive breakout space for the DMAC and external cafe/bar space. The DMAC business model will offer flexible desk space and business club membership, giving businesses the flexibility and scalability of solution missing from the traditional office market.

Analysis– this option offers the potential to deliver a comprehensive refurbishment of the existing buildings combined with strategic interventions to make the complex more useable and legible. Limited new build elements will provide some additional and commercially valuable floor space to facilitate the DMAC and open up the garden space to the north with a cafe and additional office space. Existing fabric is retained and refurbished to highest achievable standards, with the addition of contemporary new build elements adopting the constructive conservation approach which has been so successful at West Offices. The business model delivers a flexible ‘plug and play’ product on easy terms to suit the target sector.

30. **Option 4 –New build and conservation – capital cost £12.49m**

    This option proposes significant new build elements on both the south range and the demolition of the north annex and replacement with a new build office wing, in combination with refurbishment of the Guildhall and council offices. This would create a larger net floor space of approx. 2800 sq m and would also incorporate the green energy solutions and improved external spaces as per Option 3.

    Analysis – this option would deliver more new build floor space, but at significant additional capital cost. It is unlikely that this option could be funded through a return on investment model.

Future Phase

31. In addition to Options 3 and 4 there is the potential for a second stage of development to deliver an additional block of new build and riverside public realm on land that is currently in the ownership of Yorkboat and CYC. This is an attractive prospect as it opens up the river frontage and creates access through under Lendal Bridge to Dame Judy Dench Walk. However, it is not immediately deliverable as there would need to be a negotiated deal involving the relocation of boat maintenance facilities and some moorings. This option and all related enabling works are being developed, but are not at a stage where they can be incorporated into a defined scheme at this point in time.

Recommended Option

32. The option to do nothing (Option 1) whilst affordable would result in the further deterioration of a historically significant building and is therefore not judged to be viable. The minimum necessary repairs and maintenance approach (Option 2) undertaking £2.47m of urgently necessary repairs and service renewals would not deliver a realistic DMAC and would have limited length of life with little benefit from its occupation.

33. Option 4 would deliver a world leading iconic space but with a capital cost of £12.49m. This option is not likely to be affordable without significant financial support from the public purse. It is considered that the most appropriate business model for the Guildhall, based on collaborative works space / co-working environments and virtual office services allows the benefits to be delivered from a smaller building footprint and where additional space can potentially be brought to the market in adjacent buildings in the city centre.

34. Having considered the options it is therefore proposed that we commence with further development of Option 3 to undertake a significant

refurbishment of the complex, accompanied by essential new build elements to create a DMAC and supporting commercial development. The conservation standard refurbishment of the historically significant parts of the buildings is facilitated through the commercial model, including the addition to the south range to create a premium restaurant. Floor plans of this option are attached as Annex 4.

Business Case

35. The business case identifies that the Guildhall complex does offer the potential for a viable development if undertaken in association with other commercial uses, taking advantage of the riverside location. Making prudent assumptions about future yields from leases it is expected that the DMAC and commercial leases will cover the future management and repair / maintenance costs of the complex in full for the future. These prudent assumptions do not, however, cover the entire capital refurbishment and construction costs.

36. External commercial validation of the proposed model has been sought which indicates that :-

    "The location overlooking the river, the historic spaces and (for work space) idiosyncratic spaces (from the lower ground areas) to the Guildhall and Council Chamber, have the potential to create a world class location for creative sole traders, freelancers and micro businesses. It is exactly this type of facility that is required to significantly increase the credibility of York as a location for talented young enterprises and a place which will encourage graduates to stay, creating opportunities for self-employment as well as employment."

Funding

37. The proposed Option 3 has a capital cost of £9.23m. This would be funded using the remaining EIF funding of £1m and the £350k of capital programme already committed to the Guildhall roof repairs. This would be supplemented by borrowing, repaid with the revenue income streams from both the DMAC and the commercial leisure leases. These would generate the equivalent of £4.65m capital. Potential grant income is being pursued from the Leeds City Region Regional Growth Fund for both renewable energy (£450k) and for economic growth (£1m). This would leave a gap of £1.77m as summarised in the table below.

38.

Option 3 - comprehensive refurb	
	costs
Capital Build and refurbishment	**£6,273**
Design fees - to stage D	£376
Design fees - to completion	£565
legal / financial and procurement advice	£450
contingency and risk	£1,019
inflation	£549
Total capital costs	**£9,232**
current approved capital programme	350
remaining EIF funds	1000
borrowing funded by projected income	4657
potential grants	1450
Balance to fund	**£1,775**

39. The commercial income from the restaurant and a cafe/bar is essential to the business case, and without it the comprehensive refurbishment of the Guildhall and the establishment of a DMAC will not be deliverable.

40. The two grant funding applications made to date have not been successful, and this has resulted in a review of the original aspirations for the scheme to understand whether they can be value engineered to deliver broadly the same outcomes for a reduced capital budget. This has been achieved through Option 3.

41. There still remains a financial gap to close. The assumptions that we have made in developing this business case are prudent, and small variations in operating costs, build costs and income from commercial leases will reduce the overall development and operating costs. It is expected that through refinement of the operating environment and the value engineering of the design that this gap could be narrowed even further. However it would not be prudent at this stage to assert that the scheme can be entirely self-funding until this work has progressed into the next phase.

42. In order to proceed with the delivery of a DMAC scheme to rejuvenate the Guildhall the council may need to increase the level of capital funding to cover the underlying repairs and maintenance deficit, whilst investment in redevelopment and new build elements of the scheme will secure a financial return and repayment of borrowing. We will continue to pursue grant funding from LCR. Capital funding will be sought once a detailed scheme is designed in late 2015.

Next Phase – Procurement and Design

43. The objective of the procurement approach is to continue the momentum of the project to meet the known demand of the sector and to exploit known funding opportunities by presenting a viable and deliverable project in a reliable timescale. It will ensure delivery as early as possible whilst maximising the creative input to the design work from a future operator and the potential occupants.

44. The procurement process will involve :

- The early appointment of a multi disciplinary consultant team to undertake the necessary concept design work, subsequently undertaking comprehensive consultation and developing the detailed proposals necessary to make planning and listed building consent applications.

- The procurement of an operating partner who will work with the Council to assist in finalising the design and operational business plan, and then subsequently operate the DMAC, taking responsibility for events management, Facilities Management (FM), and letting of office space in the Guildhall complex. The operating partner will have the skills, expertise and proven track record to establish and operate a successful and entrepreneurial DMAC delivering significant economic benefit to the city whilst securing the future of the Guildhall complex in council ownership.

- This will be followed by a subsequent procurement for the construction and refurbishment work. The capital cost of this phase is not yet known in detail. A further cabinet decision will be sought when a detailed scheme is designed and costs are understood, likely to be in autumn 2015.

Financing the next stage

45. In order to proceed with the procurement phase of the project and the initial stages of more detailed design work we will incur a further £500k of costs to undertake the design phase of the project through to the planning and listed building consent applications stage, and cover the ongoing finance, procurement and legal advice necessary on such a complex scheme. This is set out in detail in Annex 2. It is proposed that Cabinet agree a further drawdown of £500k from the EIF to meet these costs. These costs represent the early delivery of the scheme to RIBA design stage D and are included in the overall project costs of £9.232m as set out in the table at para 38.

Timeline for project

46. The high level timetable for the project is set out below. Given the complexity of the scheme and the listed building status this is likely to change as the project progresses.

Procurement of Design team by	May 2015
Procurement of Operating Partner	autumn 2015
Final scheme designs by	Dec 2015
Statutory consents	early 2016
Procurement of construction partner	spring 2016
Commencement of construction	autumn 2016
Completion of construction	early 2018

47. The project timetable has been assessed to allow, where possible, for elements project delivery to be co-ordinated with the delivery of the Mansion House project. This would require some works to be let with the Mansion House construction contract.

Interim use and urgent works

48. During the last year the Guildhall has not lain empty. A varied programme of events in the Guildhall itself generated income of £40,000 (2013/14) and the complex has hosted a range of Theatre productions. Full Council Meetings are held in the Council Chamber every 2 months and Adult Education are currently delivering their autumn programme from the Guildhall Annex whilst the Central library undergoes development work.

49. Officers are now exploring a more structured approach to use of the building over the period before the re-development contract is let. This must be self funding, and will ensure that the building does not suffer further deterioration from lack of occupation. The intention is that the space is made available (through appropriate short term property lease arrangements) as a combination of serviced office and curated digital media arts space, working with partners and the local creative network. Increased usage and profile will also serve to build some creative momentum and provide a focus for creative and digital innovation following the City's designation by UNESCO as a City of Media Arts.

50. To ensure that any interim use is not compromised by outstanding repairs and maintenance issues it is proposed to undertake a strategic review of the 2013 Guildhall Building Condition Inspection Report and to implement specific works to facilitate the urgently necessary safe access / working arrangements to allow for; interim roof repairs, regular gutter cleaning and routine inspection / maintenance of the complex, but only as necessary to maintain the safety, security and integrity of the complex over this period.

There will be no abortive works and funds, not to exceed £90,000, would be drawn from the previously approved capital programme for repairs to the Guildhall roof.

Consultation

51. The RIBA Open Ideas Design Competition allowed the shortlisted ideas for the Future of the Guildhall and Riverside to be exhibited in public. The feedback provided very significant support for the idea of opening up access to the riverside and creating a new public space.

52. In progressing the feasibility work and considering potential future uses the team have engaged with a number of organisations who may have an interest in the future of the site, including; York Boat who lease the boatyard and who own the boatyard buildings. Contact has also been made with adjoining land owners and a range of other commercial organisations. Further engagement will be undertaken with these organisations during the next phase to develop a comprehensive design.

53. There has been significant and ongoing consultation with creative business in the digital media arts sector who are represented on the project board and have helped shape the vision and the feasibility study. There is real excitement, energy and commitment for the project from those companies who may be tenants or users in the future.

54. The project team have also presented initial thinking to the ex Lord Mayors group. York Civic Trust and York Conservation Trust are supportive of the proposed approach / concept. During the archaeology there has been public engagement in both the logging of the hutments and the actual dig.

55. In progressing the project through the further stages, wider engagement with both stakeholder and the public will be an essential part of delivering the project. The Guildhall necessarily offers the perfect venue to facilitate this.

Corporate Priorities

56. The proposal for a Digital Media Arts Centre will contribute to the following Council Plan objectives:

Creating Jobs and growing the Economy – the establishment of a DMAC will create expansion capability and increased GVA for local businesses in one of York's priority growth industries. Additional space for other economically beneficial uses will also be created and the increased use of the Guildhall itself will provide a boost to the economy.

Protecting the environment – the refurbishment and re-use of the Guildhall will secure the future of one of the most historically significant buildings in the city and increase access to a heritage asset. Improved use of and access to the riverfront will significantly improve the amenity of this important part of city centre – the proposed river water source heat pump will deliver a significant carbon reduction for the complex

Implications

57.

Finance – The Economic Infrastructure Fund totals £28.5m and covers the period from 2012/13 through to 2016/17. It is funded from a combination of prudential borrowing and government grant. In July 2012 Cabinet approved in principle £1.4m from the EIF for the establishment of a Digital Media Arts Centre. In addition a sum of £350k has been committed as part of the capital programme for the repair of the main Guildhall roof. A further call off of £500k is requested from the committed EIF funding. The future high level financing of the scheme is set out in the body of the report and is subject to a further detailed report when a detailed scheme is designed and costed and an operating partner has been engaged. The recommendation to draw down up to £90k for urgent works to the building will utilise some of the £350k already committed to the Guildhall repairs in the capital programme. All of this £350k is assumed to contribute to the overall project budget as set out in paras 37-38.

Legal - The procurement process to select a commercial partner to operate the complex will need to establish clear performance requirements and a compatible property agreement to ensure that the Digital Media Arts Centre benefits from private sector expertise. The process must necessarily satisfy state aid requirements.

Property –It is expected that the core of the historic Guildhall will remain in Council ownership but that a commercial partner will be awarded either a license to operate and/or a lease to run the DMAC. Long leases (25 years) may be necessary for the commercial leisure components of the site. These details will be instrumental in delivering a commercially viable project and will form an important component of the detailed business case.

Human Resources – The Guildhall is currently managed by the Civic and Mansion House team. It will be important to clarify the role of these staff in relation to the Guildhall, particularly as and when the Mansion House redevelopment moves forward.

Community Impact Assessment - a draft impact assessment concludes that there would be no adverse impacts associated with this project. The project board will necessarily ensure that the assessment is reviewed at every project work stage.

Risk Management

58. Failure to progress plans for the repair and maintenance of the Guildhall leave the structure and fabric of a historic and iconic city centre building at risk. The project itself faces risks around achievement of grant funding, financial viability, planning permission / listed building consent being agreed for changes to a historic building, capacity of the sector to support the business model. A full risk register is maintained by the project and will be regularly reviewed as the project progresses.

Recommendations

59. Cabinet are asked to :-

I. Note the progress made with the project

II. Agree to progress on the basis of Option 3 as outlined above

III. Agree the procurement of a design team for the Digital Media Arts Centre

IV. Agree to the procurement of an operating partner to take forward and develop plans for a DMAC in the Guildhall complex

V. Agree to release a further £500k from the EIF to fund the detail design of the scheme and gain statutory approvals, and fund specialist finance, procurement and legal support where needed

VI. Agree to undertake a public consultation to feed into the future design and business case development.

VII. Agree the proposals as set out at paras 48-50 for interim use / urgent works with a draw down of up to £90k from the Capital Scheme already committed for the Guildhall roof.

Reason: To ensure the refurbishment and reuse of the Guildhall whilst securing the future use of a historically significant building, supporting the growing creative digital media sector and increasing GVA for local businesses and boosting the economy.

Contact Details

Author:

Tracey Carter
Assistant Director of Finance, Property and Procurement
Tel 553419

David Warburton
Guildhall Project Manager
Tel 551312

Cabinet Member and Chief Officer Responsible for the report:

Cabinet Member for Finance and Performance

Ian Floyd

Director of Customer and Business Support

Report Approved ☐ √Date: *4 December 2014*

Specialist Implications Officers
Ross Brown – Principal Accountant
Emma Kerr– Commercial Lawyer, Rachel Dolby – Deputy Head of Legal
Andy Wilcock - Procurement

Ward Affected: - Guildhall ☐

For further information please contact the author of the report

Background Papers: Online only

Purcell Miller Tritton reports 2012
RIBA competition winning entry 2012
DTZ property report 2011
SCY property demand report 2013
Guildhall DMAC Feasibility report 2014

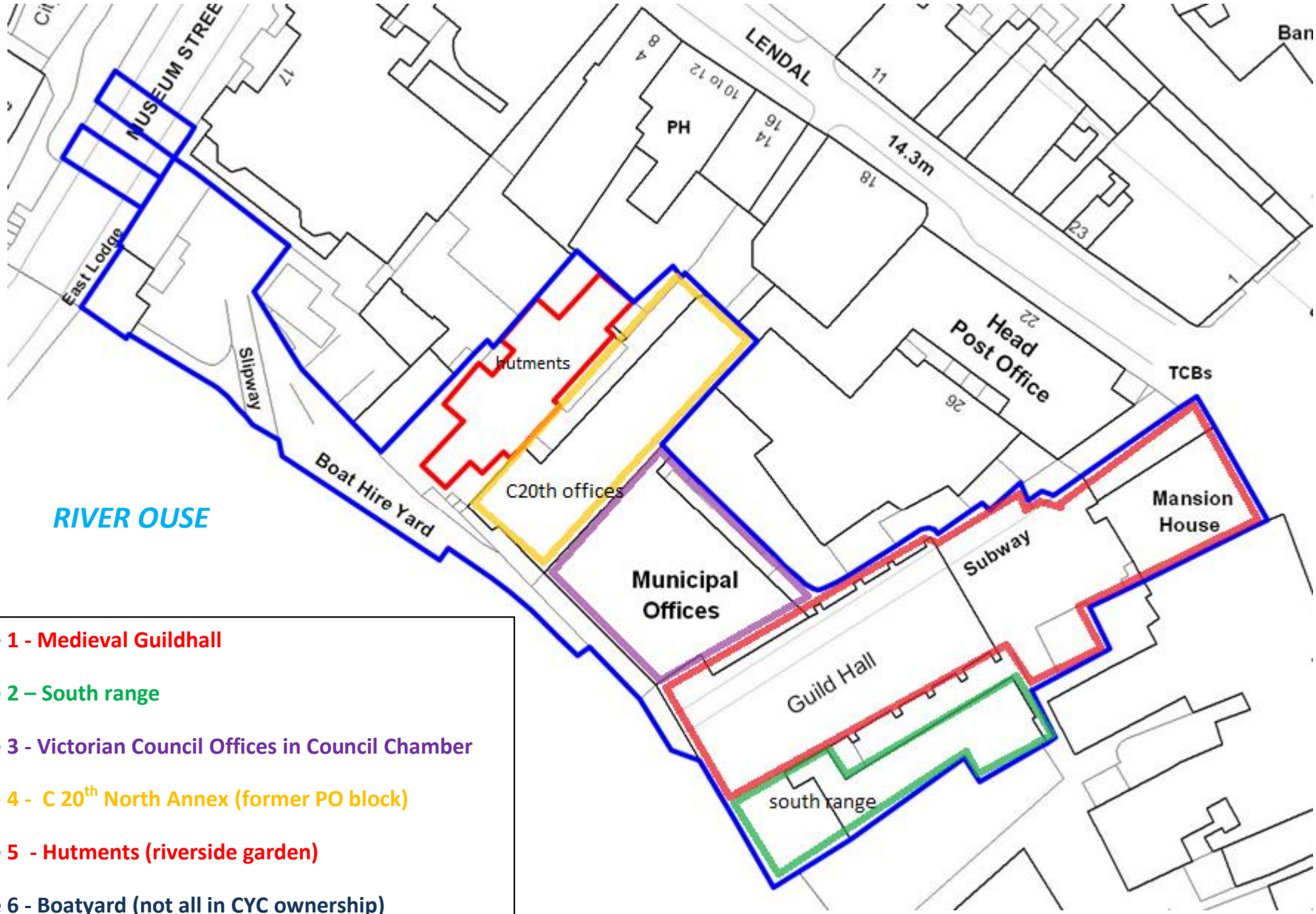
Annexes:

Annex 1 – Site Plan showing land ownership / zones
Annex 2 – Cost breakdown of development phase
Annex 3 – Options appraisal financial summary
Annex 4 – Floor plans of proposed scheme

Glossary of Abbreviations:

DMAC - Digital Media Arts Centre
EIF – Economic Infrastructure Fund
FM – Facilities Management
GVA – Gross Value Added
HLF - Heritage Lottery Fund
LCR – Leeds City Region
LEP – Local Enterprise Partnership
RIBA – Royal Institute of British Architects
SEP - Strategic Economic Plan
SMEs - small to medium sized enterprises
SYC – Science City York

Annex1



Zone 1 - Medieval Guildhall

Zone 2 – South range

Zone 3 - Victorian Council Offices in Council Chamber

Zone 4 - C 20th North Annex (former PO block)

Zone 5 - Hutments (riverside garden)

Zone 6 - Boatyard (not all in CYC ownership)

Zone 7 - Mansion House

This page is intentionally left blank

Guildhall development fund - approved /committed costs and additional requirement

Activity	Costs						
	per cab rpt	13/14	14/15	15/16	16/17	17/18	Total
Approved and Committed to date							
staff costs / project manager	**150,000**						
staff costs inc project manager (secondment)		22,255	68,000	68,000	68,000	47,500	*226,255*
development surveys	**100,000**						
Feasibility study inc viability appraisal		52,750	5,450				*58,200*
revised options feasibility			4,345				*4,345*
Demolitions & Archaeology	**100,000**						
Demolitions & Archaeology			98,000				*98,000*
contingency	**50,000**						
urgent maint / repairs		6720	7,500				*7,500*
Works to facilitate Interim use			5,000				*5,000*
Totals	**400,000**	**81,725**	**188,295**	68,000	68,000	47,500	**399,300**
Additional Requirement							
legal financial and procurement			50,000	50,000			***100,000***
Stage C Design				94,100			***94,100***
Stage D Design				188,200			***188,200***
PM consultancy				44,700			***44,700***
Works to facilitate Interim use				10,000			*10,000*
additional archaeology				30,000			*30,000*
additional contingency				30,000			*30,000*
apprentice (shared with procurement)			1500	1500			*3,000*
Total additional requirement							**500,000**

This page is intentionally left blank

Annex 3

Guildhall complex financial options summary

		Do nothing option 1		essential repairs and maint option 2		comprehensive refurb option 3		conservation and new build option 4	
Complex area	**zone**	**floor areas**	**costs**	**floor areas**	**costs**	**floor areas**	**costs**	**floor areas**	**costs**
		m2	£'000	m2	£'000	m2	£'000	m2	£'000
Guildhall - Main Hall + Comm Rm 1	**1**	450	£275	450		490		490	
South Range (inc Akinson block rooms)	**2**	270		270		480		480	
Council Offices - inc Council Chamber	**3**	570		570		570		570	
North Annex (former PO)	**4**	720		720		1050		1250	
Riverside garden space (hutments site)	**5**					inc		inc	
Mansion House Yard	**1**								
Boat yard	**6**								
Floor area		**2010**		**2010**		**2590**		**2790**	
Capital costs			**£275**		**£2,076**		**£6,273**		**£8,377**
design fees			£42		£311		£941		£1,257
legal / financial and procurement advice					£104		£450		£550
contigency and risk			£28		£208		£1,019		£1,466
inflation			£6		£125		£549		£838
Total capital costs			**£350**		**£2,823**		**£9,232**		**£12,487**
current approved capital programme			350		350		350		350
remaining EIF funds							1000		1000
borrowing funded by projected income			0		0		4657		5607
potential grants			0		0		1450		1450
Balance to fund			**£0**		**£2,473**		**£1,775**		**£4,080**

This page is intentionally left blank

+14.328
+12.625
+12.529
+11.971
+11.655
+11.530
+10.110
+9.830
+9.980 FFL
+9.820 FFL
+9.304
+11.594
+11.394 FFL
+10.272
+11.381
+6.837
+8.574
+8.506

Common Hall Lane

Internal outline of Guildhall over

G/B/13 Storage 12.0m2
Waterprrpofed Plant Room
Waterprroofed Plant Room
G/B/5 54.3m2
G/B/1 37.2m2
G/B/20 Break-out 61.2m2
G/B/15 Storage 20.9m2
G/B/6 Cycle Store 35.2m2
G/B/8 Cycle Store 34.2m2
G/B/10 4no wcs

stair
Undercroft
Undercroft
Undercroft

0 10m 20m

Rev	Date	Notes
A	30.09.2014	Break-out Space Added

1. This drawing remains the copyright of the architect.
2. Do not scale from this drawing. All dimensions to be checked on site prior to commencement of works. Contractor to report back any discrepancies with site dimensions.

Architect
ROBERT LOADER RIBA ARB
52 Pymers Mead
London SE21 8NH

Contact
t: 0794 880 1144
e: studio@gardenrow.net

Project
YORK DIGITAL MEDIA and ARTS CENTRE & GUILDHALL
.

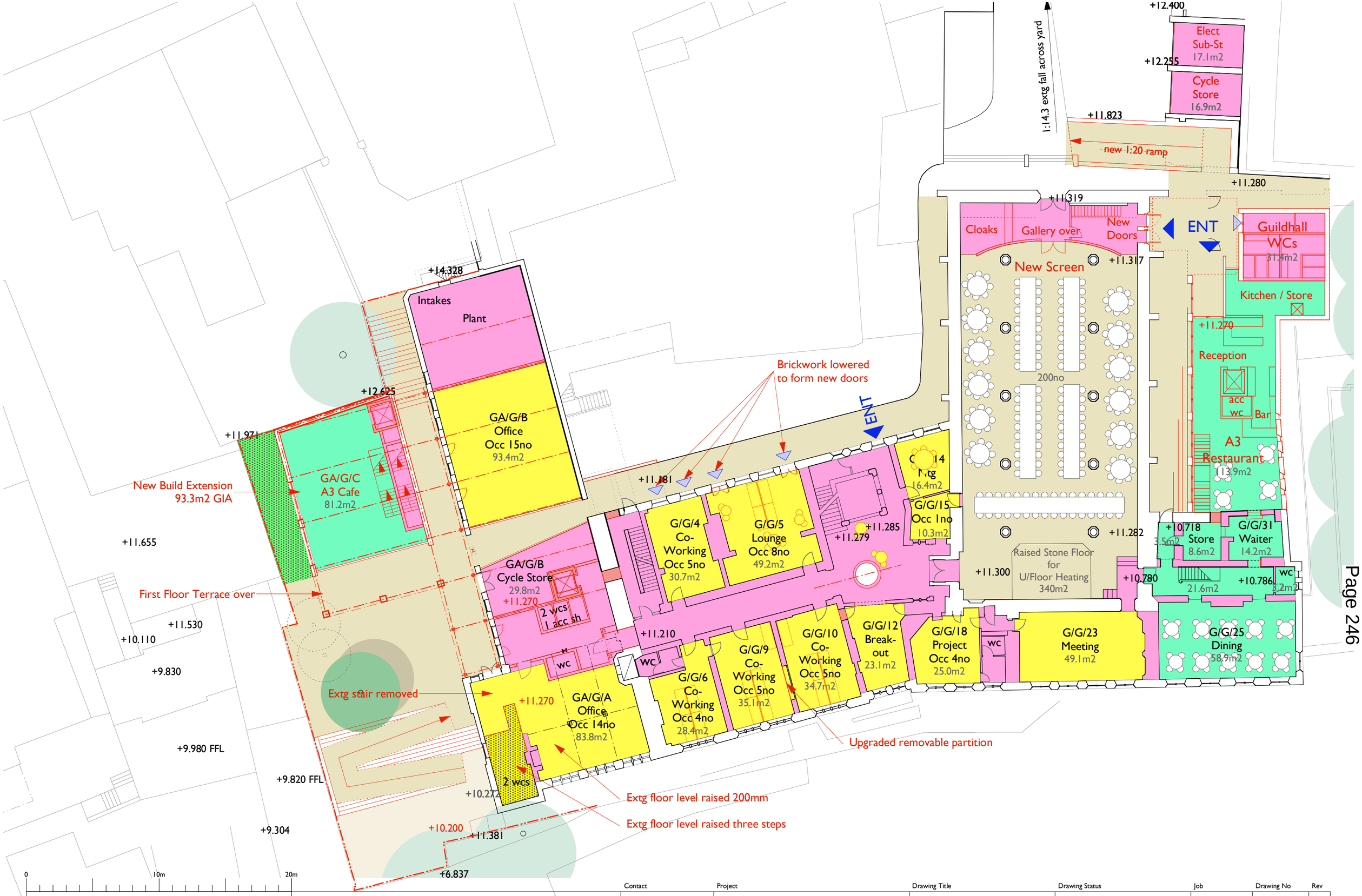
Drawing Title
OPTION 5 Basement
AS PROPOSED

Drawing Status
FOR INFORMATION
Scale: 1:250 @ A3

Job
DMACG

Drawing No
PR 093

Rev
A

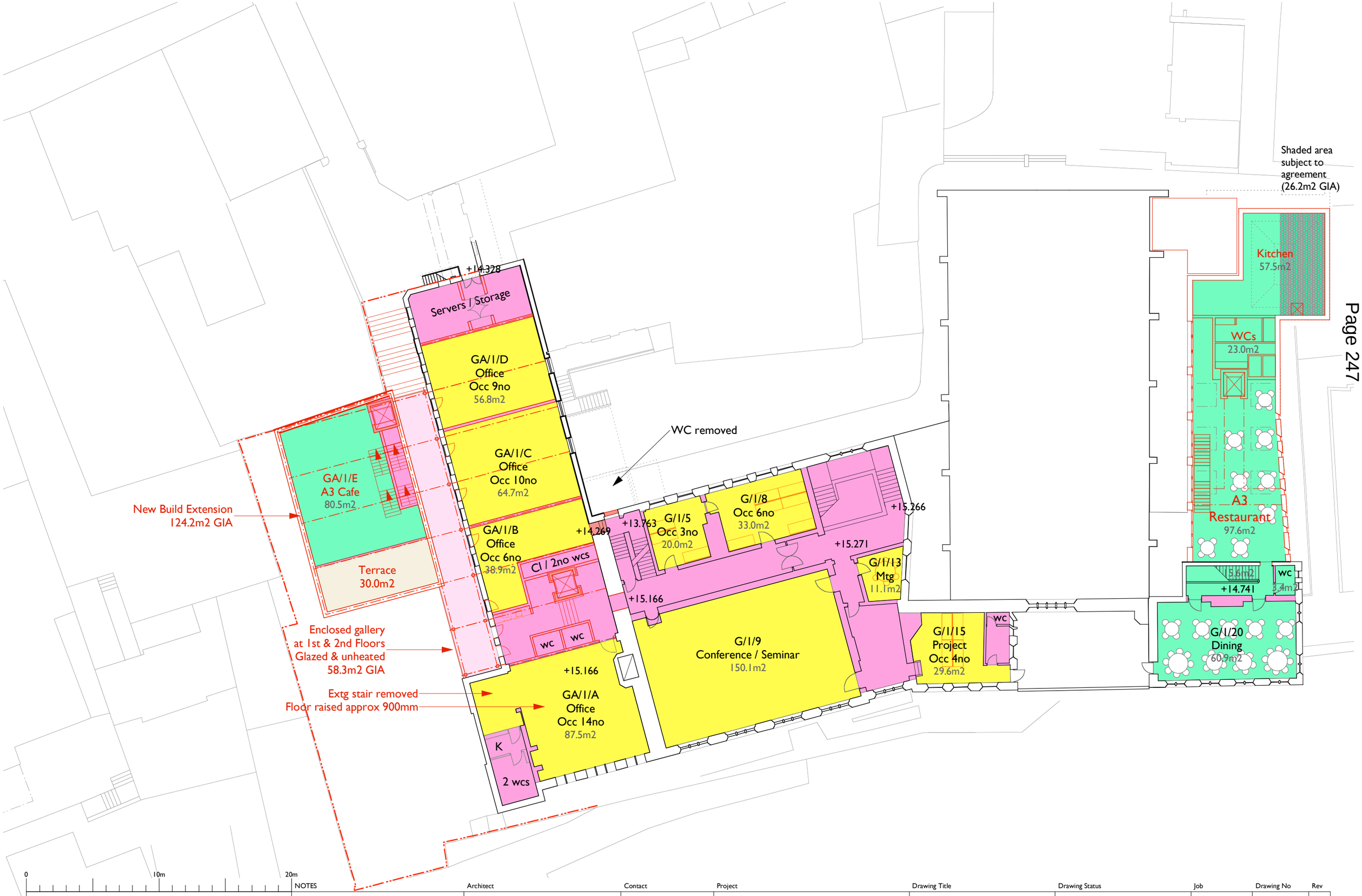


Rev	Date	Notes
A	26.09.2014	2nd Fl of PH 1B removed. Escape stair relocated.
B	26.09.2014	2nd Fl of PH 1B reinstated. Stair added to cafe.
C	30.09.2014	Minor Area Revisions.

1. This drawing remains the copyright of the architect.
2. Do not scale from this drawing. All dimensions to be checked on site prior to commencement of works. Contractor to report back any discrepancies with site dimensions.

ROBERT LOADER RIBA ARB
52 Pymers Mead
London SE21 8NH
t: 0794 880 1144
e: studio@gardenrow.net

Contact	Project	Drawing Title	Drawing Status	Job	Drawing No	Rev
	YORK DIGITAL MEDIA and ARTS CENTRE & GUILDHALL .	**OPTION 5 Lower Ground** AS PROPOSED	**FOR INFORMATION** Scale: 1:250 @ A3	**DMACG**	**PR 103**	**C**



Rev	Date	Notes
A	26.09.2014	2nd Fl of PH 1B removed. Escape stair relocated.
B	26.09.2014	2nd Fl of PH 1B reinstated. 1st floor converted to Cafe with stair.
C	30.09.2014	Minor Area Revisions.

NOTES

1. This drawing remains the copyright of the architect.
2. Do not scale from this drawing. All dimensions to be checked on site prior to commencement of works. Contractor to report back any discrepancies with site dimensions.

Architect
ROBERT LOADER RIBA ARB
52 Pymers Mead
London SE21 8NH

Contact
t: 0794 880 1144
e: studio@gardenrow.net

Project
YORK DIGITAL MEDIA and ARTS CENTRE & GUILDHALL
.

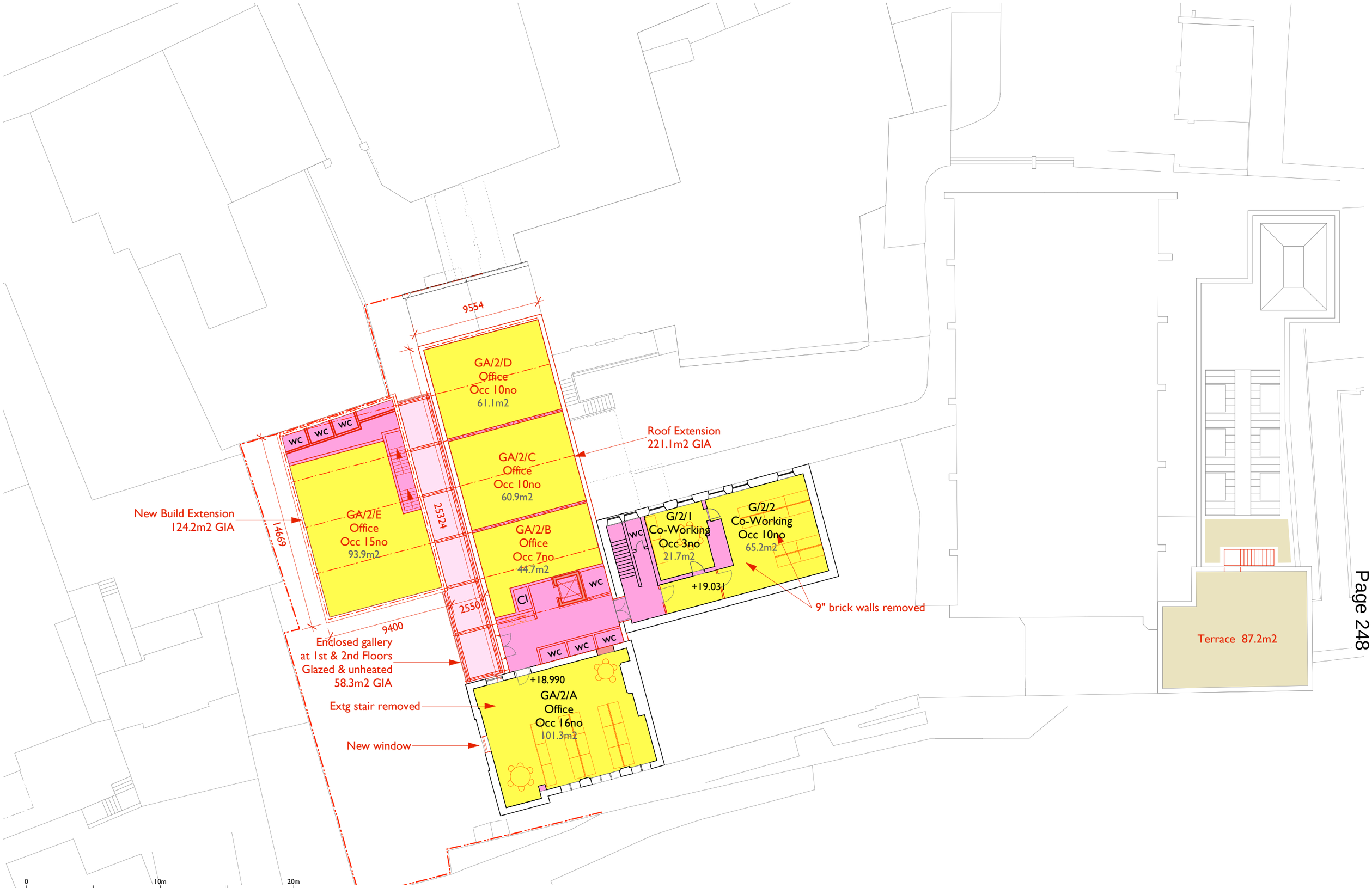
Drawing Title
OPTION 5
Upper Ground/ First Fl
AS PROPOSED

Drawing Status
FOR INFORMATION
Scale: 1:250 @ A3

Job
DMACG

Drawing No
PR 113

Rev
C



Rev	Date	Notes
A	26.09.2014	2nd Fl of PH 1B removed. Escape stair relocated.
B	26.09.2014	2nd Fl of PH 1B reinstated.
C	30.09.2014	Minor Area Revisions.

NOTES

1. This drawing remains the copyright of the architect.
2. Do not scale from this drawing. All dimensions to be checked on site prior to commencement of works. Contractor to report back any discrepancies with site dimensions.

Architect

ROBERT LOADER RIBA ARB

52 Pymers Mead
London SE21 8NH

Contact

t: 0794 880 1144
e: studio@gardenrow.net

Project

YORK DIGITAL MEDIA and ARTS CENTRE & GUILDHALL

.

Drawing Title

OPTION 5
Second Floor
AS PROPOSED

Drawing Status

FOR INFORMATION

Scale: 1:250 @ A3

Job

DMACG

Drawing No

PR 123

Revision

C

Cabinet 16 December 2014

Report of the Cabinet Member for Health and Community Engagement

Development of a Specialist Activity Base for Adults with a Learning Disability and/or Autism alongside a Community Hub at Burton Stone Community Centre

Summary

1. Burton Stone Community Centre (BSCC) is located in Clifton. Current responsibility for the building lies with Community and Neighbourhoods (CANS). The strategic direction within CANS is for all community centres to be self sufficient by April 2015.

2. This decision was taken at a public meeting of Cabinet on the 12th February 2013 within agenda item 9 - the Financial Strategy 2013-18 that there was a target for reducing council support to Community Centres by £180,000 from 2013-15.

3. There are currently over 60 adults with a learning disability and/or autism who use BSCC as part of their day activities programme. Health & Wellbeing (H&WB) have been undertaking a review of day support over the last 18 months and the development of BSCC into a Specialist Activity Base and Community Hub supports the overall direction and delivery of day activities across the City.

4. As part of the Council's transformation programme, Community Hubs are being developed across the city as part of the Customer and Resident Engagement Project with the aim of empowering and connecting York's communities. Consultation with potential stakeholders concluded that no organisation had come forward to undertake the facility management of Burton Stone Community Centre for it to continue as a Community Centre. Therefore the proposal indicated within this report is the only viable option to retain Burton Stone Community Centre as a Community Asset. If this recommendation is not taken forward Burton Stone Community Centre will close and alternative solutions will have to be sought for

adults with a learning disability who currently access this building as part of their weekly activities as well as community users.

5. The vision is to create a vibrant community asset by enhancing the facility and ensuring current community use is developed alongside the activities which focus on delivering services for adults with a learning disability and/or autism. With a clear strategy to achieve integrated opportunities and community connections.

6. As stated in a report regarding re-wiring public services received by Cabinet on 1st July 2014, "*Re-wiring Public Services … means developing a better understanding of the needs and aspirations of local communities and businesses ...it means focusing our resources on these needs and commissioning outcomes more efficiently …and it means empowering residents and assisting those in need of help to enjoy a better quality of life*" The vision within this report seeks to take this ethos forward and build it into the core of the new delivery model at BSCC.

7. The main barrier in realising this vision is the lack of capital investment in Burton Stone Community Centre combined with no on-going investment plan. Soft market testing has identified this as a significant risk to implementing the vision stated above.

8. This report has two options:

   i. No capital investment - Burton Stone Community Centre closes.

   ii. Adaptations to Burton Stone Community Centre to create a Specialist Activity Base providing the building with a 5 year life span.

9. The capital investment requested will be in addition to the £80,000 capital previously secured for the development of a learning disability / autism base which remains available for this project.

Background

10. Full Council approved budget savings for BSCC on 12th February 2013 which stated operational losses were estimated at £85,000. It was agreed there would be a £180,000 reduction in council support for community centres from 2013-2015. There is no future investment plan for BSCC. This offered an opportunity for H&WB to develop services in line with strategic objectives.

11. H&WB wish to develop and enhance the current offer at BSCC for adults with a learning disability and / or autism. This will benefit those who already access BSCC as part of their day activity experiences, as well as extending the opportunity for other adults with a learning disability and/or autism to access activities taking place at the Centre.

12. As well as being a place for adults with a learning disability and/or autism, we envisage the Specialist Activity Base to be a local resource for the community providing support, education and training as well as promoting inclusiveness and encouraging social responsibility. It will also include a 'safe place' for those with complex Autism. The space will incorporate a sensory room, changing place and storage area in order to facilitate more bespoke activities as well as individuals integrating with other education and leisure activities more widely as part of their daily lives.

13. Health and Wellbeing's vision is to enhance BSCC into a totally inclusive, integrated community space which includes bespoke activities for people with a learning disability. One of the key drivers for Health and Wellbeing is for the proposal to give current and future adults with a learning disability a choice over their provision as well as delivering a high quality service in line with feedback from customers and family carers.

14. It is envisaged that all these bespoke facilities will be used by wider members of the community when not being used to provide this service. This will give the larger community valuable access to a sensory room which is known to benefit many different people with a variety of disabilities, disorders and conditions including dementia, autism, brain injury, chronic pain, and for those in palliative care.

15. This only demonstrates a few of the opportunities that this space would afford to the whole building and partnership working is key to the vision and success of this project.

16. The development of the specialist activity base has been largely highlighted by parents, families, adults with a learning disability and/or autism, Social Workers, operational colleagues and current Providers of services, as being an important option in the delivery of day activities for adults with a learning disability and autism. The development of the base will also assist in meeting future demands

alongside our agenda for continual improvement of the activities offered to adults with a learning disability and/or autism.

17. Another aspect to be considered is the proposed move to personal transport budgets in 2015. H&WB will be undertaking consultation on proposals during October and November including the move to personal budgets and increasing the use of travel training to increase independence for people in accessing their daily activities.

18. In York, one of our five priorities is 'Building Strong Communities' with the emphasis on helping communities to become more independent and involving them more in making decisions about the services they need. To help facilitate this, the Council wants to create an infrastructure that will encourage every community to come together through a network of hubs.

19. If any current users of BSCC have difficulty in using the building as they would currently do and cannot be appropriately accommodated at alternative times Officers from CANS have agreed to work with them to formalise alternative plans.

20. BSCC has had minimal capital investment over the years and a building condition survey has been carried out to understand the challenges and risks of developing this aging facility.

21. Because of the lack of investment in BSCC the risk for an incoming provider to take on the liability of the building would be prohibitive. Discussions with Property colleagues have indicated that the Council would retain all liability for the building with only day to day and planned maintenance being passed on via an appropriate lease.

Consultation

22. After establishing that BSCC was not sustainable in its current form a consultation with all key stakeholders was undertaken.

23. Health and Wellbeing identified BSCC as an important facility to extend the current activities already being offered to adults with a learning disability and/or autism.

24. Consultation with adults with a learning disability and/or autism and their families with regards to the Specialist Activity Base has been received positively. Both adults with a learning disability and/or

autism and their families have supported and contributed to the development of the new specification for the service to be provided.

25. Consultation with Providers who currently offer support to adults with a learning disability and/or autism to access the current activities available from BSCC, provided a positive contribution to setting the future vision.

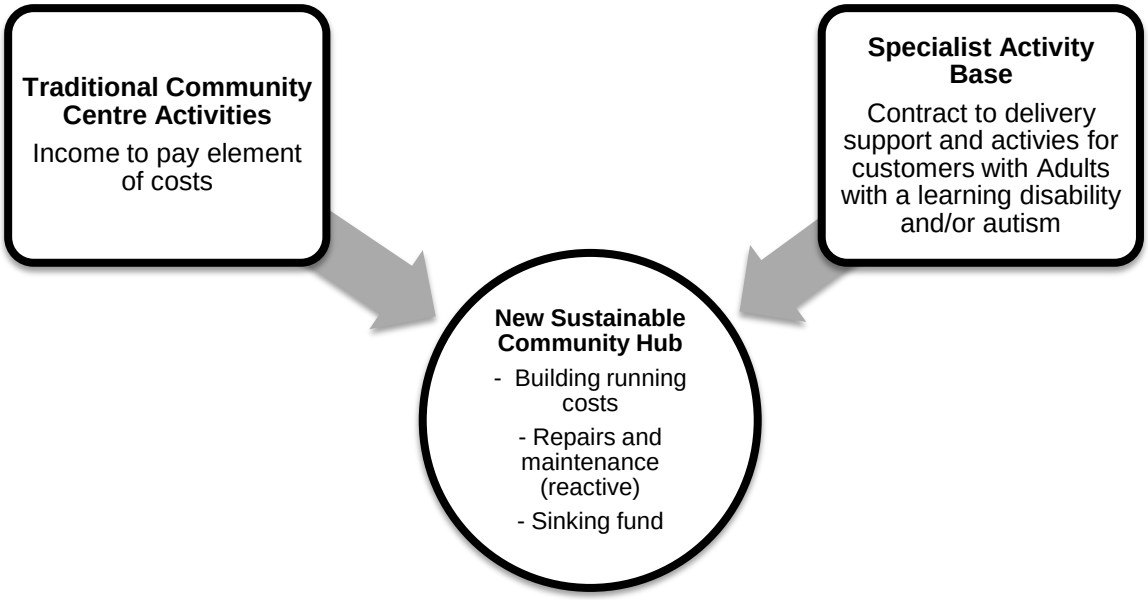
26. A public engagement event was held on 22 September which was attended by over 80 residents and users who welcomed the opportunity to secure the future of the centre. Residents were asked about what other services and activities they would like to see in their local community hub. Feedback included; strong feeling about not losing any of the current programmed sessions, new health and fitness activities, education classes, development of a community cafe and more information about what goes on in Clifton.

27. York Coronary Support Group and York Renal Exercise group who use the centre during the day, were extremely concerned about their future recognising the risk of being displaced by the H&WB Specialist Activity Base. Commitments have been made to ensure these sessions either continue at the centre if possible or if not the Council would ensure a smooth transition to an alternative suitable venue.

Options

28. As stated above the vision is to create a vibrant community asset by enhancing the facility and ensuring current community use is developed alongside the activities which focus on delivering services for adults with a learning disability and/or autism.

29. In appraising how to take this vision forward the key element has been to establish the symbiotic financial relationship between the Specialist Activity Base and the Building, including its community use as demonstrated in the diagram below.



30. In order for the stated vision to become viable capital investment in the building is required. Members are asked to consider the following options:

    i. No capital investment - Burton Stone Community Centre closes.

    ii. Adaptations to Burton Stone Community Centre to create a Specialist Activity Base providing the building with a 5 year life span.

31. Option (ii) includes H&WB procuring specialist provider(s) to deliver the Specialist Activity Base and facility management function for the building.

Analysis

32. A desktop financial analysis of the options was undertaken in order to ascertain the best option available and are detailed in annex one of this report. Any risks are noted in the risk section of this report.

33. It is expected that there would be a three (3) year contract with an option to extend for a further two (2) years for the Specialist Activity Base.

34. With regards to H&WB current revenue spend there would be an ongoing commitment to provide alternative day activities for part of an individual's week.

35. As part of the modelling for this service, growth has been built in for adults with a learning disability and/or autism who will be returning to York as part of the Winterbourne Concordat project as well as young adults coming through Transitions. This project will therefore mitigate against future revenue spend.

36. Income from BSCC is currently about £40,000 (although it is to be noted approximately £15,000 of this is from current room hire for adults with a learning disability and/or autism activities which take place at BSCC and would be part of the new Specialist Activity Base) and it is envisaged that a new provider would actively promote the centre and maximise space and usage. This is expected to offset elements of revenue spend indicated in annex one.

37. An increased initial capital expenditure would increase the ability of an incoming provider to maximise usage of the centre and increase footfall into the building thereby mitigating all of the ongoing revenue expenditure for the Council in relation to the community activities.

38. Creating a Specialist Activity Base which is within a community setting gives increased employment opportunities for adults with a learning disability and/or autism who can gain work experience in, for example, customer services, catering, gardening etc.

39. Feedback from Consultation with current users of the building and the local community was positive in how the centre could be developed and better used and it was certainly seen as detrimental if it were to close.

40. In all the options that have been appraised CANS will realise the budget savings required although this may not be a full year for 2015/16.

41. If there were no capital investment in BSCC the building would not be sustainable going forward, there is remedial work that needs to be done and with no capital investment the building would not be safe in the medium term. In addition, there is no budget for any capital work that the building may require going forward.

42. Currently there are 61 adults with a learning disability who use the building as part of their day time activities. Of these 10 have Direct Payments and 7 use City of York Council Support. There are 44 adults who access BSCC with one to one support. If BSCC were to

close this would impact on current budgets as although these individuals already have one to one support as part of their package they will need to access alternative day activities as part of their weekly programme. Current alternative day provision does not allow the flexibility of BSCC and would mean that a person would have to attend for the day (6 hours session). An average cost of alternative provision is approximately £42 per day.

43. The table below assumes that some adults with a learning disability will not need to find alternative day activity provision.

84 sessions per week	**per week**	**per annum**
50% additional activities costs at £42 per session	£1,764	£91,728
75% additional activities costs at £42 per session	£2,646	£137,592

44. Therefore, there is the potential impact on current budget expenditure to increase this by up to 75% which would mean an additional expenditure of £137,592. If this is offset from current expenditure on day activities currently taking place at BSCC of approximately £73,500 (which would cease if BSCC were to close) this leaves an increased expenditure of approximately £64,092.

45. Another impact if the BSCC as a project is not taken forward would be on future budget mitigation. Built into the new model for the Specialist Activity Base are additional places for future growth through transitions and for adults with a learning disability coming back into York through the Winterbourne Concordat. If these places are not available then this will be additional spend of one to one hours plus some day activity provision for 9 adults 3 days a week. This is a future budget impact of approximately £175,000 which had been modelled into the cost of the Specialist Activity Base.

46. If alternative day activities were sourced this would have an impact on Social Worker time as activities and individual's days would need to be discussed with the individual and their family, negotiated

and agreed with alternative providers and then the adults would need to be transitioned into their new service. This would also have a potential impact on the transport review.

47. A high proportion of the adults with learning disabilities who currently access BSCC have a high degree of physical disability as well as a learning disability. This means that as part of their day they need to have access to a changing place as well as a warm, dry environment and somewhere to eat their lunch. Currently there are 5 changing spaces within the City (West Offices, Silver Street, Walmgate, Central Explore Library and Acomb Explore Library), with another 3 located within Bell Farm Community Centre, BSCC and the Melbourne Centre.

48. Because of the often complex physical disabilities of the adults with a learning disabilities who currently access BSCC it is also crucial to their physical health that they have an opportunity to get out of their wheelchairs during their day. Therefore it is necessary that they have access to large pieces of equipment such as walkers and tilting tables as well as space to put down mats so they can exercise as part of their programme. Storage of these large pieces of equipment is necessary as well as space where they can be used.

49. There will also be 10 adults with a learning disability who currently use Direct Payments who will need to find alternative activities to take part in.

50. Discussions have taken place with Property Services with regards to other locations that may be available alongside a discussion with Children's Services about sharing the use of Children's Centres. At this stage there are no other options that have been identified for the customer group and services that are envisaged.

51. Therefore, if BSCC closes this would mean that whilst CYC would have no ongoing liability for the building there would be a negative impact in terms of loss of a community asset, relocation of current services for adults with a learning disability and/or autism which would displace approximately 60 adults with a learning disability and/or autism who currently use BSCC as a base for their current activities during the week. There would need to be further consultation for alternative solutions which would mean there would be significant time delays for any alternative solutions to be sourced

and further consulted on. It would also impact on future options for young adults with a learning disability and/or autism leaving education as well as adults returning to York as part of the Winterbourne Concordat.

52. The advantages of investing capital in the building are outlined in table (2) below:

Options	Advantages
<u>Option (ii)</u> Adaptations to Burton Stone Community Centre to create a Specialist Activity Base, providing the building with a 5 Year Life Span	✓ BSCC building will be put into a medium state of repair giving a 5 year building life span. ✓ BSCC will be refurbished and fit for purpose for 5 years. ✓ Can maximise integration of the community and the SAB. ✓ Can add value to SAB customers by offering work experience. ✓ Progression of SAB customers through work experience. ✓ SAB linking to other initiatives and other potential funding sources, for example education. ✓ Interim stability of SAB service whilst transformation of Adult Social Care is undertaken. ✓ Expectation that BSCC would be actively promoted thereby potential income would be increased. ✓ Full control of BSCC to use space more flexibly as appropriate. ✓ Potential to develop a community cafe and other community resources. ✓ Current users of BSCC will continue to be able to access the building.

Table (2)

Council Plan

53. The Council plan provides an overarching vision for CYC covering a four year period from 2011-2015 with five key priorities.

54. This proposal encompasses 2 of those 5 priorities; protecting vulnerable people and build strong communities.

55. By developing BSCC and enhancing the bespoke activities that will be available within it helps to achieve the key outcome within the Council plan which states “There will be a focus on independence and greater choice and control over the lives of vulnerable adults”

56. One of our five priorities is ‘Building Strong Communities’ with the emphasis on helping communities to become more independent and involving them more in making decisions about the services they need. To help facilitate this, the Council wants to create an infrastructure that will encourage every community to come together through a network of hubs like the one being proposed here.

57. This proposal also relates to **City of York Council Equality Scheme - A Fairer York;** the Council’s vision for an equal, inclusive and welcoming Council and city, as well as how we will go about making sure that everyone enjoys the excellent quality of life our city offers. The Council will seek a provider who can meet the duties under the Equality Act 20010 and respond to the scheme objectives and key principles of this policy

58. One of the key priorities of **City of York Council Sport & Active Leisure** service is the development of the role that sport & physical activity has in improving the health of the city’s residents, particularly those with the greatest health inequalities. We expect that community facilities will play an integral part in this work.

59. As a Local Authority we are under considerable financial pressure to reduce expenditure, but maintain services. It is a key requirement of this proposal to reduce the Council’s overall revenue budget for delivering services to adults with a learning disability and/or autism.

Implications

- **Financial**

60. Financial implications have been appraised and are detailed in annex one of this report. To summarise option ii) requires a capital investment of c £175k that will need to be financed by prudential borrowing. The revenue costs of the borrowing are c£40k per annum and the cost will be met from the existing service budget. It is projected that as a result of the capital investment revenue income equivalent to c£580k will be achievable that will result in a

net revenue saving position taking into account the costs of servicing the borrowing.

- **Human Resources (HR)**

61. There are currently two employees (1.14 FTE) employed by CYC at BSCC. Consultation has been ongoing since September 2014 to explain the Councils intention to secure a future for the centre. Both members of staff work in the role of 'Community Centre Facilitator' and it is expected that CYC with TUPE transfer these employees to the successful provider, subject to legal advice.

62. The project board will ensure that the two staff affected and trade union representatives continue to be kept informed about any TUPE arrangements including consultation around time scales. Discussions will take place with the North Yorkshire Pension provider regarding the transfer of accrued Pension rights for CYC staff.

- **Equalities**

63. The actions in this report further the Council's commitment to equalities and a Community Impact Assessment has been undertaken.

- **Legal**

64. Legal input will be required in terms of the contractual arrangements for the Specialist Activities Base and the Facility Management of BSCC.

- **Crime and Disorder**

65. No implications.

- **Information Technology (IT)**

66. There are no Information Technology (IT) implications.

- **Property**

67. Options include City of York Council bringing BSCC up to a satisfactory state of repair.

68. It is proposed within this report that City of York Council would lease the premises to the provider and retain the repairing liability

for the building. The lease would be for a term of 3 years with the option to extend for 5 years at a peppercorn rental.

- **Insurances**

69. City of York Council would retain responsibility for insuring the premises.

- **Other**

70. There are no other implications.

Risk Management

71. There are a number of risks associated with this project detailed below:

72. If building works are agreed there will be potential disruptions to services / classes that are currently being undertaken at BSCC.

73. If this project is taken forward and BSCC remains open there may be a change in timetable for some of the current community use. Consultation has been undertaken with regards to this potential risk.

74. Dependant on the option taken forward there may be an ongoing risk with regards to future capital expenditure if all repair work is not undertaken.

Recommendations

75. Cabinet are asked to recommend to Full Council that the scheme be included within the Council's capital budget for consideration at the February 2015 budget meeting.

76. Cabinet are requested to approve the continued revenue budget for the proposed procurement of a new operator for Burton Stone Community Centre to operate the Specialist Activity Base and the Facility Management function for the next 5 years [paragraph 30 - option (ii)]

    Reason: This scheme will enable savings from the Community Hub project as well as from Health and Wellbeing's revenue spend.

Contact Details

Author:	**Cabinet Member and Chief Officer Responsible for the report:**
Katie Brown Commissioning Manager Health & Wellbeing Tel No.554068	Cabinet Member for Health & Community Engagement

Report Approved	✓	**Date**	11th November 2014

Chief Officer's name
Guy Van Dichele
Director of Health & Wellbeing
City of York Council

Report Approved	✓	**Date**	11th November 2014

Specialist Implications Officer(s)

Financial

Steve Tait Accountant H&WB Tel No. 554065	Ross Brown Principal Accountant Corporate Finance Tel No. 551207

Property Services

Ian Grant Building Surveyor Property Services Tel No. 553333	Tim Bradley – Lease Asset Manager Property Services Tel No. 553355

Community And Neighbourhoods
Andrew Laslett
Strategic Services Manager
CANS
Tel No. 553370

Wards Affected: *Clifton Ward* **All** ☐

For further information please contact the author of the report

Background Papers:

Executive Summary, City of York Council Condition Survey for Burton Stone Community Centre, September – October 2012

15 Oct 12 - Burton Stone Community Cer

City of York Council Condition Survey for Burton Stone Community Centre, September – October 2012

20130114 - BSCC Schedule.pdf

Burton Stone Community Centre, Mechanical & Electrical Condition Survey 2014, Property Services, City of York Council

Burton Stone CC M&E Survey Septemb

Burton Stone Community Centre, Floor Plans

Oct 12 - Burton Stone - Existing Floor

Cabinet Public Meeting, Tuesday, 12 February 2013

Public_reports_pack_12022013_1...

Annexes

Annex One – Financial Analysis

Annex Two - Community Impact Assessment

Glossary of Abbreviations:

ALD/A - Adults with Learning Disabilities and Autism
BSCS – Burton Stone Community Centre
CANS - Community and Neighbourhoods
H&WB - Health & Wellbeing
SAB - Specialist Activity Base
TUPE - Transfer of Undertakings (Protection of Employment)

Annex One

Burton Stone Community Centre - Specialist Activity Base and Community Hub - Capital Bid

	Option (i) No capital investment - BSCC closes	Option (ii) Adaptations to Burton Stone Community Centre to create a Specialist Activity Base, providing the building with a 5 Year Life Span
Service output – what will be delivered		
Output	Closure of BSCC Ongoing commitment of current day activity provision for Adults with Learning Disabilities and Autism (ALD/A) to be relocated new venue for current day activity provision at Burton Stone Community Centre would need to be sourced	BSCC would remain open. Provides enhanced facilities for all of the community. Meets essential criteria of SAB specification Additional changing space Sensory room Storage area Development of accessible kitchen and potential to develop a community cafe Building sustainable for 5 years
Service Life	N/A	5 years
Usable Asset Life	0 years	5 years

Capital Requirements		
Capital Expenditure	**£'000**	**£'000**
Total Capital Expenditure	**0**	**254**

Capital Funding	**£'000**	**£'000**
Current approved capital funding	0	80
Required Funding from Prudential Borrowing	0	174
Total Capital Funding	**0**	**254**

Revenue Implications		
Annual Revenue Expenditure (Cost of running the Centre)	**£'000**	**£'000**
Management & Support Staff	0	325
Activities for customers with Learning Difficulties/Autism	0	55
Caretaking	HR Policy implementation	27
Building running costs	0	35
Repairs and maintenance	0	10
Cost of servicing borrowing	0	40
Total Revenue Running Costs	**0**	**492**
Income	**£'000**	**£'000**
Lettings (room hire)	0	25
Budgeted cost of customers care packages which would be replaced by services at the Specialist Activity Base		559
Total Revenue Income	**0**	**584**
Annual Revenue costs/(savings)	**0**	**(92)**

Notes

- The revenue saving to close the BSCC building has been included in CANS 2015/16
- There will be a small revenue cost to make safe the building if it is to close.
- There will be redundancy costs for 2 x staff if closed
- Revenue budget pressure from April until October to keep building open prior to Adults taking over BSCC.
- New venue will need to be sourced for current provision undertaken at BSCC for adults with a learning disability and/or autism if the building closes

This page is intentionally left blank

Annex Two

Community Impact Assessment for the Development of a Specialist Activity Base for Adults with a learning disability and/or Autism alongside a Community Hub at Burton Stone Community Centre

SECTION 1: CIA SUMMARY

Community Impact Assessment: Summary
1. Name of service, policy, function or criteria being assessed: Development of a Specialist Activity Base for adults with a learning disability and/or autism alongside a Community Hub at Burton Stone Community Centre.

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

<u>The model</u>

The main objective is to create a vibrant community asset by enhancing the facility and ensuring current community use is developed alongside the activities which focus on delivering services for adults with a learning disability and/or autism. There is a clear strategy to achieve integrated opportunities and community connections.

<u>The Service</u>

Burton Stone Community Centre will be a fully integrated community hub, with the Specialist Activity Base enhancing the Centre.

Health and Wellbeing wish to develop and enhance the current offer at Burton Stone Community Centre for adults with a learning disability and/or autism. This will benefit those who already access Burton Stone Community Centre as part of their day activity experiences, as well extending the opportunity for other adults with a learning disability and/or autism to access activities taking place at the Centre.

As well as being a place for adults with a learning disability and/or autism, we envisage the Specialist Activity Base to be a local resource for the community providing support, education and training as well as promoting inclusiveness and encouraging social responsibility. It will also include a 'safe place' for those with complex Autism. The space will incorporate a sensory room, changing place and storage area in order to facilitate more bespoke activities as well as individuals integrating with other education and leisure activities more widely as part of their daily lives.

In York, one of our five priorities is 'Building Strong Communities' with the emphasis on helping communities to become more independent and involving them more in making decisions about the services they need. To help facilitate this, the Council wants to create an infrastructure that will encourage every community to come together through a network of hubs of which Burton Stone Community Centre will be one.

3. Name and Job Title of person completing assessment: Katie Brown, Commissioning Manager, Health &Wellbeing		
4. Have any impacts been Identified? (Yes/No) Yes	**Community of Identity affected:** All	**Summary of impact:** This model meets the recommendations of the engagement process and ensures that BSCC is available for the Specialist Activity Base and for use by the local community. This model will increase community use and as BSCC will have an increased focus on advertising local community use of the building may be further increased. A comprehensive communication and information plan will be put in place to ensure new and existing customers of the Specialist Activities Base and the wider community using the Community Hub understand the availability of services, room hire and opportunities available within BSCC.
5. Date CIA completed:		
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:	**Date:**	**Decision Details:**
Send the completed signed off document to equalities@york.gov.uk. It will be published on the intranet, as well as on the council website. **Actions arising from the Assessments will be logged on Verto and progress updates will be required**		

SECTION 2: CIA FORM

Community Impact Assessment (CIA)

Community Impact Assessment Title:	Development of a Specialist Activity Base for adults with a learning disability and/or autism alongside a Community Hub at Burton Stone Community Centre.

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 Council has consulted with current users, the community and adults with a learning disability and their families on these proposed changes. These changes have been widely seen as positive. The consultation process has enabled us to find out what is important to the people that use the centre and what could be done to help improve the centre as this project is moved forward.	• Access to services and employment • Health • Education • Individual, family and social life • Participation, influence and voice • Identity, expression and self respect	**Positive**	**None**

Currently BSCC is largely used by groups coming into the area to use facility. In 2011 Clifton Ward's population was 13,548 or 6.8% of York's total population. 36.7% were under the age of 25, and 12.5% were over 65 (Census 2011).The new Community Hub will focus on improving community integration and cohesion and work on improving engagement and use of the Hub by the immediate community surrounding the Hub. As BSCC is currently under used there will be a focus on encouraging more use of the building by all age groups.				
Details of Impact	***Can negative impacts be justified?***	**Reason/Action**	**Lead Officer**	**Completion Date**
Staff: There is not expected to be any positive or negative impact. Customers:- there may be a change to some of the current session times, but where possible timetables will remain the same.		Customers: This model meets the recommendations of the engagement and consultation process and ensures that BSCC remains open and available for local community use. This new model will build community		

		capacity and empower the community to be involved in BSCC's development. Through these changes to BSCC there will be increased information about what is happening at the Centre which will promote positive relationships between all the different user groups. There will be ongoing consultation across all user groups. Burton Stone Community Centre is for the use of the whole community regardless of age. The proposal for BSCC would have no impact on either the users of the Specialist Activity Base or the Community Hub on the basis of age. There may be a perception by current community users that there is an impact as to when areas of the building can be used as priority will be given to the Specialist Activity Base however the new		

		provider will work with all users of the new Community Hub to try and accommodate groups where possible and offer alternative times / rooms. As use of the Community Hub increases access may be improved with clear, honest, timely and relevant communications to customers. There will be a planned and sustained approach to communication and marketing to support the delivery of services at BSCC.		

Community of Identity: Carers of Older or Disabled People			
Evidence	**Quality of Life Indicators**	**Customer Impact** (N/P/None)	**Staff Impact** (N/P/None)
The development of a Specialist Activity Base for adults with a learning disability and/or autism alongside a Community Hub at Burton Stone Community Centre is to ensure that BSCC remains open for both the specialist activities taking place as well as for the wider community. The Council has consulted on these proposed changes and these have been widely been seen as positive. The	• Access to services and employment • Health • Education • Individual, family and social life • Participation, influence and voice • Identity, expression and self respect	**Positive**	**None**

consultation process has enabled us to find out what is important to the people that use the centre and what maybe could be done to help improve the centre as this project is moved forward. Currently BSCC is used by groups coming into the area to use facility. The 2011 Census identified that 8% of the population of Clifton Ward do some unpaid care. (Census 2011) The new Community Hub will focus on improving community integration and cohesion and work on improving engagement and use of the Hub by the immediate community surrounding the Hub. As BSCC is currently under used there will be a focus on encouraging more use of the building by all groups.				
Details of Impact	***Can negative impacts be justified?***	**Reason/Action**	**Lead Officer**	**Completion Date**
Staff: There is not expected to be any positive or negative impact. Customers:- there may be a change to some		Customers: This model meets the recommendations of the engagement and consultation process and ensures that BSCC remains open and available for		

of the current session times, but where possible timetables will remain the same.		local community use. This new model will build community capacity and empower the community to be involved in BSCC's development. Through these changes to BSCC there will be increased information about what is happening at the Centre which will promote positive relationships between all the different user groups. There will be ongoing consultation across all user groups. The proposal for BSCC would have no impact on either the users of the Specialist Activity Base or the Community Hub on the basis of being a carer of older or disabled people. As use of the Community Hub increases access may be improved with clear, honest, timely and relevant		

		communications to customers. There will be a planned and sustained approach to communication and marketing to support the delivery of services at BSCC.		

Community of Identity: Disability			
Evidence	**Quality of Life Indicators**	**Customer Impact** (N/P/None)	**Staff Impact** (N/P/None)
The development of a Specialist Activity Base for adults with a learning disability and/or autism alongside a Community Hub at Burton Stone Community Centre is to ensure that BSCC remains open for both the specialist activities taking place as well as for the wider community. The Council has consulted with adults with learning disabilities and/or autism and their families about how they would like to see the Specialist Activity Base developed. BSCC is currently used by adults with learning disabilities for activities and these activities will be developed to incorporate activities identified through the consultation process. The Council has consulted on these proposed changes and these have been widely been seen as positive. The		**Positive**	**None**

consultation process has enabled us to find out what is important to the people that use the centre and what maybe could be done to help improve the centre as this project is moved forward. Currently BSCC is used by groups coming into the area to use facility. The new Community Hub will focus on improving community integration and cohesion and work on improving engagement and use of the Hub by the immediate community surrounding the Hub. As BSCC is currently under used there will be a focus on encouraging more use of the building by all disability groups.				
Details of Impact	***Can negative impacts be justified?***	**Reason/Action**	**Lead Officer**	**Completion Date**
		Customers: This model meets the recommendations of the engagement and consultation process and ensures that BSCC remains open and available for local community use as well as the Specialist Activities Base.		

		This new model will build on the current resources for adults with learning disabilities at BSCC which will have a positive effect on all using the Specialist Activity Base. Through these changes to BSCC there will be increased information about what is happening at the Centre which will promote positive relationships between all the different user groups. There will be ongoing consultation across all user groups. Burton Stone Community Centre is for the use of the whole community. The proposal for BSCC would have no impact on either the users of the Specialist Activity Base or the Community Hub on the basis of being disabled.		

Community of Identity: Gender				
Evidence		**Quality of Life Indicators**	**Customer Impact** (N/P/None)	**Staff Impact** (N/P/None)
There is not expected to be any positive or negative impact upon customers or staff.			**None**	**None**
Details of Impact	***Can negative impacts be justified?***	**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)
There is not expected to be any positive or negative impact upon customers or staff.			**None**	**None**
Details of Impact	***Can negative impacts be justified?***	**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)
There is not expected to be any positive or negative impact upon customers or staff.			**None**	**None**
Details of Impact	***Can negative impacts be justified?***	**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)
There is not expected to be any positive or negative impact upon customers or staff.			**None**	**None**
Details of Impact	***Can negative impacts be justified?***	**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)
There is not expected to be any positive or negative impact upon customers or staff.			**None**	**None**
Details of Impact	***Can negative impacts be justified?***	**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)
There is not expected to be any positive or negative impact upon customers or staff.			**None**	**None**
Details of Impact	***Can negative impacts be***	**Reason/Action**	**Lead Officer**	**Completion Date**

	justified?			

Community of Identity: Sexual Orientation				
Evidence		**Quality of Life Indicators**	**Customer Impact** (N/P/None)	**Staff Impact** (N/P/None)
There is not expected to be any positive or negative impact upon customers or staff.			**None**	**None**
Details of Impact	***Can negative impacts be justified?***	**Reason/Action**	**Lead Officer**	**Completion Date**

Cabinet 16 December 2014

Report of the Cabinet Member for Homes & Safer Communities

The Replacement of Ordnance Lane Homeless Hostel

Summary

1. The following report outlines the options for the replacement of the existing temporary homeless hostel at Ordnance Lane, with a recommendation to demolish the existing and construct a new modular build hostel and new council housing on the same site.

Background

2. Since 2007/8 the council has prioritised improvements to its homeless services including a new Housing Options service, increasing resources towards homelessness prevention, and new accommodation based services. As part of this programme of improvement the delivery of new homeless hostels has been a strategic priority. In 2008 a 39 bed direct access Arclight Hostel opened, followed in 2009 by the 22 unit Peasholme resettlement centre, both delivering an integrated package of accommodation, training and support for homeless adults. In 2012, following a successful pilot, a foyer scheme offering integrated services for young homeless people opened. This was a key tenet of the council's 2011-2015 Housing Strategy and 2008-2013 Homelessness Strategy, which identified the provision of a young persons direct access resettlement centre as the missing link in the city's homelessness service. The first tier self-contained accommodation is the primary stage for young people going through resettlement with support, incorporating all statutory and non-statutory services that work with young people.

3. The final stage in the homeless accommodation improvement strategy is the re-provision of the Ordnance Lane homeless hostel. The site currently houses 32 units of temporary accommodation, spread across four separate buildings. The hostels are of poor quality, difficult to manage, and have an immediate need for urgent and significant reinvestment. The challenges of managing and controlling the various access points in to the buildings are presenting an increasing security risk to both staff and customers. The accommodation also presents

significant restrictions to people with disabilities or mobility problems. There are steps to all buildings, there are no options for the inclusion of lifts, and doorways cannot be widened to allow wheelchair access.

Requirements

4. There are a number of key requirements of any re-provision, as outlined below:

    - 39 unit hostel (see Para 5)
    - Units should be a mixture of one and two bedroom (two beds would need a living room) with basic cooking facilities and preferably en-suite facilities. Some shared bathrooms can be tolerated.
    - Office facilities to accommodate up to ten staff, and common rooms for training and meeting purposes
    - The site or building needs to be located on the east side of the city, preferably within walking distance of the town centre for ease of access to other services
    - For security reasons will need to be able to have one access point to control traffic in and out of the building
    - Training kitchen
    - Disabled access with units on ground floor
    - Some outdoor space for children's play
    - Car parking for residents

5. The current aim is to also consider incorporating replacement units for Crombie House, a separate 7 unit temporary homeless hostel in Acomb. Including this within a new centralised scheme would improve the ease of management and reduce the costs associated with dispersed hostels. It would also release the Crombie House site for new council house building. Any proposals for Crombie House would be brought to Cabinet in a separate report concerning new council house building.

6. The most pressing requirement is the timescale. Ordnance Lane requires significant investment even in the short term to allow it to continue to function to even the most basic of standards. The need for alternative accommodation was urgent in 2008, and this urgency has increased. The pressure, therefore, is to deliver a new scheme as soon as possible to reduce the wasted short term investment on the existing building and to protect the safety of vulnerable customers and staff from living in unsuitable and difficult to manage accommodation.

Consultation

7. Solutions for the re-provision of Ordnance Lane have been pursued since 2008. Various options have been previously considered, included two unsuccessful funding bids to central government to develop new homeless accommodation options on the existing site (Places of Change, 2008 and Homelessness Change Programme 2011). The key barrier to redevelopment on the same site is that there is no viable alternative provision to use during the build process.

8. In 2013 the possibility of a short term move to an empty Elderly Person's Home (EPH) was considered (allowing a new hostel to be built at Ordnance Lane), unfortunately due to the mechanical and engineering works required to add the necessary capacity to the existing heating and electricity systems, with an estimated total scheme cost of £500k, the cost of the temporary refurbishment was prohibitively expensive. In addition to the significant cost of building the new hostel at Ordnance Lane this would not be financially viable, or an appropriate use of £500k for a very short term solution.

9. Consideration was also given to purchasing Holgate Villas, a former office building which was being marketed for a range of alternative uses, including residential. The building was considerably bigger than the total floor area needed to re-provide Ordnance Lane, and the limitations of the existing building meant that this option was deemed to be unviable.

10. In February 2014 officers undertook a further review of potential alternative sites against the following criteria:

    - Site size – is it large enough to accommodate the necessary accommodation?
    - Location / Proximity to city centre – it is in easy access of the city centre and associated services to ensure that travel costs for clients is minimised?
    - Value for Money, i.e. cost of acquisition – is it affordable and overall does it represent value for money?
    - Timescale for the site to become available
    - Any constraints relating to the site which would mean it is unsuitable for the proposed use and scale

11. Having considered this range of options, including Housing Revenue Account (HRA) and General Fund land, and the potential to purchase sites on the open market, three options were considered:

    - Purchase of site on the open market;

- Former or existing Elderly Persons Homes (EPH) that would become available as a result of the EPH review;
- Ordnance Lane – with a modular build to reduce the period between demolition of the existing and completion of the new hostel.

12. The purchase of sites on the open market was considered. Of the sites / buildings that were been offered for sale two were considered, the purchase of either Holgate Villa's or James House. Analysis of these options showed that both were too large for the current need, conversion would be difficult and the costs would be significant and when combined with the purchase price both options would not provide value for money.

13. Of the EPH's three were deemed to be of sufficient size and in an appropriate location – Grove House, Willow House and Oliver House. In terms of Grove and Willow House the major constraint is that they are still occupied and do not have a timetable for their release for alternative use. Given the pressing need to provide a new hostel the lack of certainty over the timescales meant these were not deemed to be an achievable solution. Oliver House is currently available, however as part of a wider review considering all the councils land / asset holdings, the potential commercial values of sites along with their potential long term uses, it is felt that the use of the Oliver House site for the re-provision of Ordnance Lane was not the most appropriate use for this asset. Oliver House site is currently out to market.

14. This left the existing Ordnance Lane site as the most appropriate solution. When considering this and the proposal to use modular off site construction, it is felt that this provided the best timely and value for money solution for the re-provision of the current facility.

Options

15. **Option one** – demolition of the existing Ordnance Lane hostel to be replaced with a new modular build hostel, with the remainder of the site to be used for new council housing. This could include a proportion of market sale should any new housing development exceed 20 dwellings.

16. **Option two** – continue to search for alternative sites on which to build a replacement hostel, with the Ordnance Lane site to be allocated for an alternative use.

Analysis

17. **Option one** – demolition of the existing Ordnance Lane hostel to be replaced with a new modular build hostel, with the remainder of the site to be used for new council housing.

18. The proposal to rebuild a new hostel on the site of the existing accommodation has followed a significant review of a wide range of alternative options. The advantage of an alternative site is that the new hostel could be constructed prior to the demolition of the old accommodation. However, extensive searches of private market sites and wider council assets have failed to identify any suitable options. Those considered have either been too expensive to acquire or unsuitable for the intended purpose.

19. Redeveloping the same site will mean the demolition of the existing hostel will result in a period of time in which there will be a loss of temporary homeless units. Previously short term solutions were explored to move the service in to alternative premises whilst the new hostel was being constructed. However, despite identifying a suitable short term option within council ownership (Oliver House) the costs associated with upgrading the building to the minimum standards required (in terms of services and health and safety legislation) proved to be prohibitively expensive and not value for money.

20. Having exhausted the options for a temporary move through the construction period of a new hostel the council have investigated off-site modular construction. This would allow the hostel to be factory produced, with the on site assembly time being minimised – reducing the time between demolition and completion of the new hostel. Indications from market analysis suggest this time frame could be as low as 16 weeks. During that period the intention would be to temporarily use dispersed general needs stock in lieu of the demolished units. This could be further mitigated by keeping Crombie House, and the 8 units at the front of the Ordnance Lane site open until the new hostel was complete (15 units in total). This would require the homeless service to use and manage 24 general need dwellings for up to a 4 month period. Whilst not ideal it is the view of the homeless service that this would be achievable in the short term, although it may require some additional resources given the dispersed nature of the stock. This would require a detailed transition plan which would be agreed and implemented prior to the beginning of any demolition and construction.

21. It is estimated that only half of the site would be required to provide a new 39 unit hostel. Consequently this provides an opportunity to develop the remainder of the site. The council have identified a £20m

Investment Fund within the Housing Revenue Account to build new council houses. The provision of new affordable housing is one of the council's key priorities, and building new council homes adds to the council's asset base and provides high quality, energy efficient housing.

22. Once the hostel design has determined the size of the remainder of the site to be made available for housing, it will be possible to establish how many homes could be achieved on the site. This would form part of the council's commitment to creating mixed sustainable communities. Any sale receipts could be used to cross fund the hostel.

23. **Option two** - continue to search for alternative sites on which to build a replacement hostel, with the Ordnance Lane site to be allocated for an alternative use.

24. This option would limit the disruption to the homeless service as the replacement hostel could be constructed prior to the demolition of the existing building. The Ordnance Lane site could then be used for an alternative use, such as new council housing or sold for market housing with the receipt funding the new hostel.

25. However, the search for an alternative site has been ongoing for a number of years and despite comprehensive searches of a wide range of options no appropriate or viable alternative has been identified. Purchasing a site on the open market would require a significant capital receipt which would considerably increase the scheme costs and impact on value for money.

Procurement of a modular construction method

26. Off-site modular construction has been identified as the most appropriate build option. This is due to the ability to minimise the on site construction period which would ensure the time between demolishing the existing accommodation and completing the new hostel is as short as possible.

27. To follow a modular construction approach a contractor would need to be appointed to fully design and construct the replacement hostel from inception. Modular construction necessitates that the building design is considered through the parameters of the construction process. Although modular and off-site construction is becoming increasingly flexible in design, it is still important that the plans are conceived to work with the method of construction. Consequently the hostel could not be designed by a separate architect with a modular contractor appointed to then build the scheme. Some factory built models have to be built to a pre-designed footprint and can not be varied without significant costs

and time delays. Given the nature of the different accommodation and communal rooms required as part of this project it is crucial that whichever modular method is pursed has flexibility of design without significantly adding to costs.

28. Although the value is under the works OJEU threshold we would look to issue an Expression of Interest via the OJEU portal to test the market and identify potential suppliers. This will ensure that we access a wider / more mature modular / offsite construction market without adding significant extra time to the delivery timetable. A brief outline scope will be drafted for publication with the EOI and will include set parameters on modular construction, flexibility, minimal site construction and quality.

29. On receipt of EOI's an open process would be carried out via YorTender for a design and build modular solution, although not bound by OJEU timescales we recommend a tender period of 6/8 weeks due to the nature of this scheme.

30. Consideration may be given to packaging both the housing and the hostel as one contract through a modular build. There may be cost savings associated with using one supplier due to savings on site preliminaries and shared services. However the benefits, costs and risks of linking both and using a modular build for the housing would need to be benchmarked against a traditional build, and it may prove beneficial to keep the hostel as a separate contract. Should the two elements be combined the contract sum would exceed OJEU works value limit of £4.5m and would require a full OJEU compliant tender. This could result in a 5 to 6 months tender process, and the potential delay this would cause to the hostel would have to form part of the decision. Should the use of the remainder of the site be approved for new council housing it will be included in phase 2 of the council's new build programme, with a report to be brought to Cabinet in the New Year. This report will propose whether the housing element of Ordnance Lane should be linked to the modular build contract following detailed analysis of the potential value for money.

Finance/funding the project

31. Given the proposed procurement route it is challenging to provide worked estimates relating to the cost of building a new hostel at this stage. As modular construction dictates a comprehensive design and build approach it is not possible to carry out a detailed design feasibility study and cost estimate. However, having used market intelligence to apply an inclusive cost per metre price for total scheme costs, and estimating the required total floor area of the development, it is

envisaged that the costs for demolition and re-provision of the new hostel would be in the region of £2.96m to £3.56m.

Table 1 – Breakdown of assumed costs*

	Minimum assumed	**Maximum assumed**
Demolition	£200,000	£200,000
Site preparation and services**	£150,000	£150,000
Inclusive design and build cost	£2,305,680	£2,837,760
Contingency	£269,718	£323,884
Fees @ 1.8%	£41,502	£51,079
Total	**£2.96m**	**£3.56m**

* Please note – at this stage these are based on high level assumptions
** Site preparation includes new drainage, utility provision, new road etc

32. The HRA Business Plan has identified a £20m Investment Fund. Of this investment fund £6m has been approved for phase one of the new council house build programme (May 2013 Cabinet), of which £5.15m is currently committed. If the costs were at the maximum anticipated, the use of £3.56m for the new homeless hostel would take the total to £9.1m, with £10.9m remaining uncommitted.

Table 2 – HRA Investment Fund spending commitment

Scheme	**Committed**	**Proposed schemes**	**Spend**
Council house build phase one	£6m	5 sites with planning - £3.3m Former Pack of Cards - £1.02m Pottery Lane - £830k	£5.15m
Ordnance Lane Hostel	£3.56m		£3.56m
Total	**£9.56m**		**£8.71m**
Remaining HRA Investment Fund	£10.44m		£11.29m

33. The intention would be to identify further funding streams to finance the new hostel which would reduce the demand on the HRA Investment Fund. These streams may include Homes and Communities Agency grant funding, Right to Buy receipts, potential sales income, and commuted sums. Based on the current rents for the accommodation type proposed the gross annual rental income of a fully let hostel would be in the region of £150k per annum.

34. Should the remainder of the site be approved for new council housing it will form part of a second phase of new homes which would be brought to Cabinet at a later date with an identified funding route.

Council Priorities

35. Approval to progress with the construction of a new hostel and council housing has a positive impact on four of the five council priorities:

- Create jobs and grow the economy – As set out in the February 2013 Get York Building Report, investment in the construction industry has a direct positive impact on economic activity, with every £1 spent generating a total of £2.84 in extra economic growth. In procuring a contractor additional priority could be given to contractors that are committed to offering and providing apprenticeships.

- Build strong communities – The proposed new hostel would have training rooms and kitchen to allow engagement work to be carried out with residents to support them in sustaining future tenancies and successfully integrating in to their new communities.

  New council housing will provide high quality accommodation for those unable to access housing on the open market. Access to high quality housing in places where people want to live at a price they can afford is a key tenet of the Housing Strategy (2011-15), and is crucial to happiness and well-being.

- Protect vulnerable people – People requiring temporary homeless accommodation are some of the most vulnerable people in the city. Hostels accommodate people who are accepted as homeless and are identified as having a priority need whilst they can be found suitable long term accommodation. Currently the temporary accommodation is of a poor quality which potentially impacts on the health and wellbeing of this vulnerable client group, and is unsuitable for people with disabilities.

  Any new council homes would be built to Lifetime Homes standards which are designed to adapt with people's changing care needs, enabling them to remain in their own home and independent for as long as possible.

- Protect the environment – The new homeless hostel would be a significant improvement on the very poor quality existing buildings. These old buildings suffer from poor insulation and energy efficiency which results in high bills and CO2 emissions.

  The new homes will be built to a minimum of Code for Sustainable Homes Level 4, which exceeds the council's mandatory requirement to meet code 3 and will reduce carbon emissions on the completed homes and throughout the build process.

Implications

36. The following implications have been identified:

(a) **Financial** - The indicative costs of the site clearance and subsequent modular build project a cost of c £2.96m - £3.95m. The HRA investment balance contains sufficient capacity to fund this expenditure in full although it is anticipated the call on funds will be below this level. Alternative funding sources will be considered and applied first before the HRA investment fund is called on.

(b) **Human Resources (HR)** – There are no HR implications.

(c) **Equalities** – A new homeless hostel would significantly improve the quality of accommodation for the some of the most vulnerable people in society. The new hostel would improve security for tenants and staff, and high quality accommodation would benefit the health well-being of the client group. The services provided at the hostel would also improve the ability of the residents to successfully sustain future tenancies and ability to integrate in to their new communities.

The current accommodation is not Disability Discrimination Act (DDA) compliant, and due to the restrictive nature of the old buildings they can not be brought up to standard. The new hostel would ensure people with a disability could also be supported at Ordnance Lane.

(d) **Legal** – Section 193 Housing Act 1996 places a duty upon the Authority to provide accommodation to homeless applicants who have a full housing need. Section 206 of the Act also requires the accommodation to be suitable.

(e) **Crime and Disorder** – The existing hostel accommodation is difficult to manage and maintain security due to the numerous access points in to the various buildings which suffer from poor natural surveillance. A new purposely designed hostel would improve the ability to successfully manage the service and reduce the risk of crime and disorder.

(f) **Information Technology (IT)** – There are no IT implications.

(g) **Property** – These are all included in the report.

(h) **Other** There are no further implications.

Risk Management

37. The delivery of any new development carries a number of risks. The council will need to procure a contractor, resolve any issues affecting the site, achieve planning permission and manage the building of the new homes. These all pose challenges to project delivery and the consequent impact on the reputation of the council.

38. Whilst off-site modular construction has been around for many years it has only recently moved into main stream construction and as a consequence there are few completed examples to consider. However, the technical specifications will be assessed in detail and it should be noted that this is a construction method that is being heavily endorsed by central government and the Homes and Communities Agency.

39. A further risk is, will the demand for temporary homeless accommodation reduce? It is the view of the Homeless Service that this is unlikely to be the case in the foreseeable future. The proposed facility is for 39 units, and there are currently in the region of 80 households in temporary accommodation. However consideration has been given to future-proofing and should demand reduce the new hostel could be converted to general needs stock.

40. If a solution to replace the existing scheme is not identified it will continue to cost a considerable amount of money to maintain the most basic of acceptable standards. Equally the management of the site presents a considerable challenge due to the poor design and multiple access points of the buildings. The condition of the accommodation is not to a standard expected of the council and could presents risks to the Health and Wellbeing of the residents.

Recommendations

41. Members are asked to approve:

    (a) The demolition of the existing Ordnance Lane hostel to be replaced with a new modular build hostel, with the remainder of the site to be used for new council housing.

        Reason: To replace existing poor quality temporary homeless accommodation that is no longer fit for purpose with a high quality new build hostel, and much needed new council housing.

    (b) The commencement of the proposed procurement for the replacement of Ordnance Lane Hostel.

Reason: To allow a new modular build hostel to be built that will minimise the disruption to the provision of temporary homeless services.

(c) A recommendation to full Council for the use of £3.56m from the HRA Investment Fund to demolish the existing accommodation and rebuild the new hostel. Any material changes will be reported to full Council through the capital monitoring process.

Reason: To release funding from the HRA Investment Fund to finance the required new hostel accommodation.

Contact Details

<table>
<tr><td>Author:</td><td colspan="4">Cabinet Member &Chief Officer Responsible for the report:</td></tr>
<tr><td rowspan="2">Andy Kerr
Housing Strategy Manager
Housing
01904 554 153</td><td colspan="4">Cabinet Member for Homes & Safer Communities

Steve Waddington
AD – Housing & Community Safety</td></tr>
<tr><td>Report Approved</td><td>√</td><td>Date</td><td>8th December 2014</td></tr>
<tr><td colspan="5">Specialist Implications Officer(s) List information for all

Financial
Ross Brown
Principal Accountant
01904 551 207

Legal
Glen McCusker
Head of Legal Services
01904 551 048

Property
Philip Callow
Head of Asset & Property
01904 553 360</td></tr>
<tr><td colspan="3">Wards Affected: List wards or tick box to indicate all

Fishergate</td><td>All</td><td>tick</td></tr>
<tr><td colspan="5">For further information please contact the author of the report</td></tr>
</table>

Background Papers:

None

Annexes

Annex A – Title plan of the Ordnance Lane site

Glossary of Abbreviations used in the report:

DDA – Disability Discrimination Act
EOI – Expression of Interest
EPH – Elderly Persons Homes HRA – Housing Revenue Account
OJEU - Official Journal of the European Union

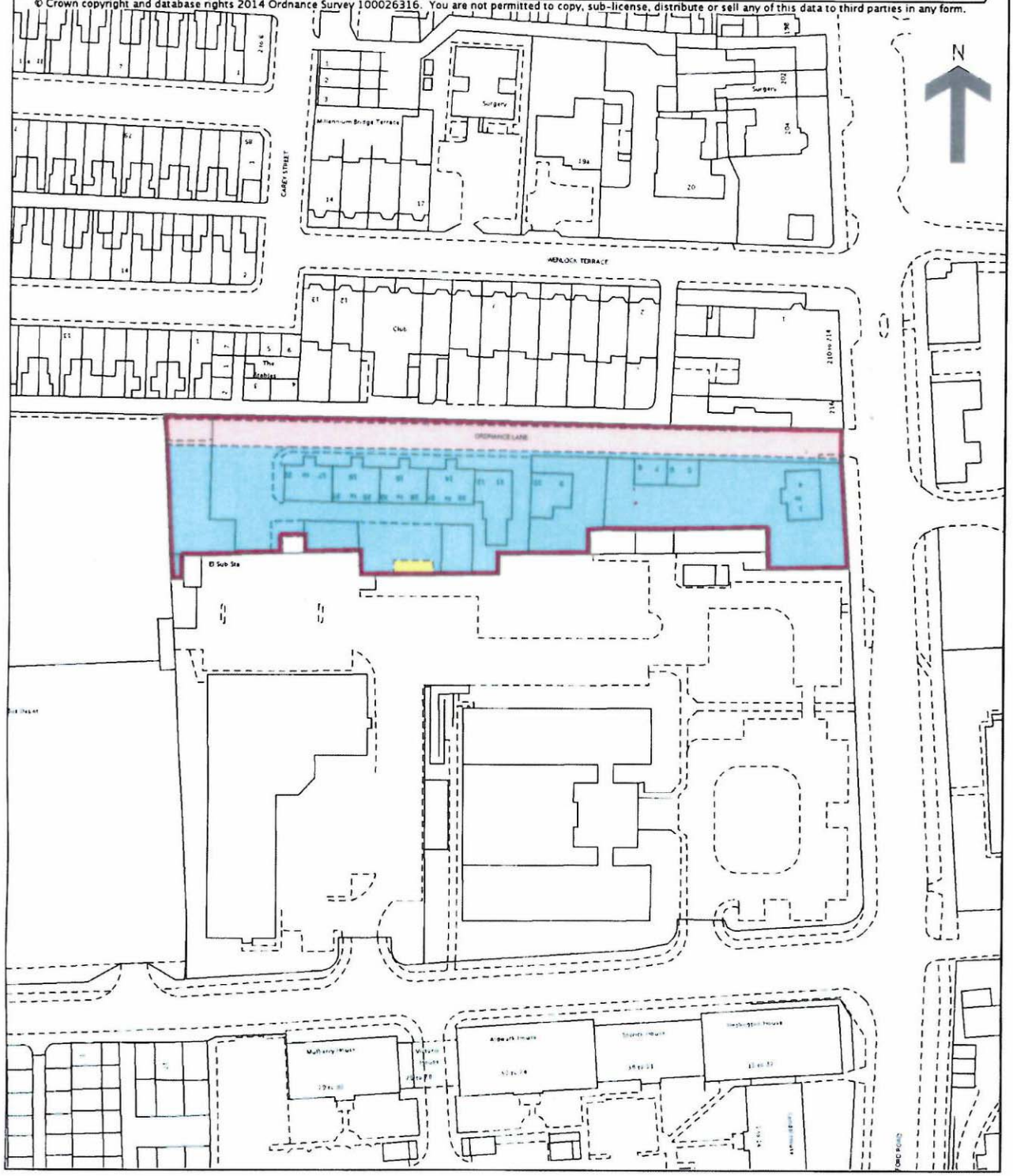
This page is intentionally left blank

Annex A

Land Registry
Official copy of title plan

Title number **NYK388180**
Ordnance Survey map reference **SE6050SE**
Scale **1:1250**
Administrative area **York**

© Crown copyright and database rights 2014 Ordnance Survey 100026316. You are not permitted to copy, sub-license, distribute or sell any of this data to third parties in any form.



This page is intentionally left blank

Cabinet 16 December 2014

Report of the Cabinet Members for Health & Community Engagement and Finance & Performance

Care Act Policy Framework (Finance)

Summary

1. The purpose of this paper is to provide Cabinet with a financial policy framework for consideration in respect of the Care Act. The policies requiring approval are deferred payment (Annex A), direct payment (Annex B) and a revised charging policy (Annex C).

Background

2. The Care Act will come into force on the 1st April 2015 and will be the largest change in Adult Social Care experienced by the Local Authorities in England. The Care Act 2014 is intended to make a difference to some of the most vulnerable people in society. It places care and support law into a single statute for the first time using the principle of individual wellbeing as the driving force behind it.

3. The Act also delivers reform to the way that care is paid for. The reforms set out how people will pay for care so they get more financial support from the state. The universal deferred payment scheme will provide support so that qualifying customers may not be forced to sell their home during their lifetime to pay for care. The Act also intends to make the care and support system clearer and fairer for those who need it.

4. The three policies are set out in a way that future proofs them in respect of the various financial limits and fees which will vary over time. The recommended fees are set out in the body of this report and with the various financial limits currently available at Annex D. This information will be made available on the council website and

will be included in communications with customers. The final guidance information in respect of the Act was provided to local authorities in late October 2014. The policies in this paper are worded in line with Act and guidance received from Government. It is the intention that easy read versions along with simple information sheets will be provided to customers as part of the Adult Services communication programme in respect of the Care Act. The policy framework to support the financial changes within the Care Act is set out in the following paragraphs.

Deferred Payment Policy

5. The establishment under the Act of a universal deferred payment scheme is intended to mean that people should not be forced to sell their home in their lifetime to pay for their care. By taking out a deferred payment agreement, a person can 'defer' or delay paying the costs of their care and support until a later date, so they do not have to sell their home at a point of crisis.

6. The Act sets out details of the universal deferred payment scheme which are more stringent than those of the councils existing scheme. This will limit the number of customers who could genuinely benefit from the intention of the Act. York is one of very few local authorities in the region who have provided a deferred payment scheme opportunity for customers so they do not have to sell their home at the point of crisis. This paper recommends retaining the councils existing scheme alongside the universal scheme but that the deferred scheme is reviewed biannually to ensure its financial viability and if not sustainable the council will use its discretionary powers to remove the scheme for new customers. The reasons for retaining the local deferred scheme are:

- Where a person is narrowly ineligible for the universal deferred payment agreement scheme, because they have slightly in excess of the upper capital limit (£23,250) and the likelihood is that the customer would reach this threshold in the near future;
- Where there is adequate equity that the council can safely be the second charge using the calculation at 8.1 of the deferred payment policy (Annex A);
- Where we have a legal agreement to recover against a substantial life policy;

- Where the customer has a high value asset against which we have a legal charge but the sale may take some time e.g. A work of Art;
- Where the customer may have shared equity in a property below the capital limit but wishes to top up their care costs.

7. A key change is that from April 2015 the council will be able to charge interest on deferrals from inception along with a reasonable administration fee for setting up a deferred payment scheme. The council is not allowed to profit from the administration fee or interest charged to the customer. The initial administration cost is recommend to be based upon the following incurred costs:

Deferred Payment Agreement Costs	**£**
Document Preparation, signing and return copy to customer	8
Land Registry Title Search Fee	3
Land Registry Charge Registration	40
Legal Team Costs (Registration)	20
Initial Professional Valuation Cost	150
Initial Costs	**221**

8. There will be further ongoing costs in the region of £90pa and these are set out in Annex D. The full deferred payment scheme details are set out in the policy at Annex A.

Direct Payments Policy

9. The personal budget is the amount of money that the council has worked out it will cost to arrange the necessary care and support for the customer. It includes any amount that the council is going to pay itself towards those costs (which might range from all, to none). The personal budget helps the customer to decide how much control they want to have over arranging their own care and support.

10. Using the information from the personal budget, the customer can ask the council for a direct payment. The council must provide it to any customer who meets the conditions unless the Act or regulations provide otherwise. City of York Council will actively support customers to find the support which suits them which may often be outside of traditional models of service delivery.

11. A direct payment is a payment of money from the council to either the person needing care and support, or to someone else acting on their behalf, to pay for the cost of arranging all or part of their own support. The local authority could make a direct payment instead of arranging or providing any services itself, if the adult asks them to do so. This ensures the adult can take full control over their own care.

12. Annex B to this paper sets out the council's Direct Payment Policy in detail the key points include:

    - Ensuring the customer are provided with relevant and timely information;
    - Assessing capacity and making direct payments available to customers with and without capacity;
    - The administration, monitoring and reconciliation of direct payments;
    - The use of Cashplus accounts;
    - What direct payments can be used for;
    - Discontinuation and termination of direct payments.

Revised Charging Policy

13. Care and support is not a free service like the NHS. Customers have always had to pay something towards the cost of their care and support. Whilst some types of care and support are provided free (for instance, information and advice), many types will be subject to a charge. Customers will only be asked to pay what they can afford. Sometimes the customer will pay the full cost, or sometimes the cost will be shared between the customer and the Council.

14. To decide what a customer can afford to pay, the Council will carry out a financial assessment. The council will consider the person's income, and any assets they own, like investments or a house. The council will then calculate how much the customer can afford to pay towards their care and support costs.

15. The Care Act sets out a clearer approach to charging and financial assessment. It will work with the cap on costs (April 2016) to make clear what customers have to contribute towards their care and support costs. The Act provides the Council with the power to charge for care and support. However, the Council may not

charge for those services which the regulations say must always be provided free. After the financial assessment, the local authority will tell the customer whether they need to pay for all, some or none of their care costs.

16. The council already have a charging policy that sets out the charges made to customers. The Act has required that this is revised. The detailed revised policy is set out at Annex C however the key changes are:

- The council can charge an annual fee for arranging and administering personal accounts for all customers that are able to meet the full cost of their care. The cost of negotiation, contracting and contract management (Including invoicing and the customer payment to the care provider) is £280 pa.
- The Care Act also provides the council with the power to charge for support for carers where they have an eligible support need in their own right, whether or not, and providing the adult they care for also meets the eligibility criteria for care and support.

17. The council will need to make a decision as to whether it wishes to charge for support to carers. Whilst the Act provides the power to do this it acknowledges that this may well act as a deterrent to existing or future carers. The council wish to encourage and support carers and it is not therefore its intention to implement charging as a part of its policy framework. It does however reserve the right to consider a charge in certain circumstances based upon a means tested approach and where this is the case will set out in detail on its website and in any communication where such a charge may arise.

Options

18. There are 6 options associated with this paper:

Option 1 - Approve the revised policies set out at paragraph 5 - 17 and Annex A, B & C;

Option 2 - Do not approve the revised policies set out at paragraph 5 – 17 and Annex A, B & C;

Option 3 – Implement an administration fee for self funders who request that the council administer their personal account £280 (Paragraph 16);

Option 4 – Implement a deferred payment fee as set out in detail at paragraph 7 and Annex D of £221;

Option 5 – Implement a charge for support to carers (Paragraph 17)

Option 6 – Do not implement a charge for support to carers but reserve the right to consider a charge in certain circumstances based upon a means tested approach (Paragraph 17)

Analysis

19. The new Direct Payment Policy along with the revised Charging Policy need to be in place by 1st April 2015 and in respect of the Deferred Payment policy 12 weeks prior to this date. These policies provide the Councils policy framework for the financial elements of the Care Act to provide a transparent, consistent and fair approach to the financial support that customers can expect. There is little latitude within the Act to vary the policies and it is recommended that members approve the policies set out at Annex A, B, and C of this paper.

20. The Policies may need minor amendments over time. It is recommended that the power to make minor amendments that do not conflict with the intention of the Care Act is delegated to the councils Chief Financial Officer (Director of CBSS) in consultation with the Director of Adult Services.

Consultation

21. The council has been involved in the national consultation exercise with Government in respect of the Care Act and the final guidance reflects this consultation. This does not mean that the Act reflects what council's may have wanted but that consideration has been given to the issues raised by local government in the final guidance.

22. The final Care Act guidance was only issued at the end of October 2014 so there has been limited consultation between authorities on how they intend to implement their policies. In terms of information around the finance policy framework 6 local authorities let us know their view on charging carers 4 said it was not their intention to do so with 2 considering the issue. Three of the 6 said they would implement discretionary deferred payment schemes 3 are still undecided.

Communication

23. City of York Council is leading the regional work stream for Care Act customer communication. A strategy is underway to adopt National tools for local use as they become available. This will include providing clear, concise and customer friendly versions of all documentation and policies associated with the Care Act including those at Annex A – C of this paper.

Council Plan 2011 - 15

24. The impact of the policies recommended for approval in this paper impact directly on two of the council's priorities that create the Council Plan 2011 - 15.

a) Building strong communities
b) Protect Vulnerable People

Implications

25. Financial – The financial implications of the policies at annex A - C are as follows:

Deferred Payment Policy – The retention of the current deferred payment scheme provides a potential financial risk. This scheme has been in place since 2003 and nothing within the Act itself should give rise to a substantial increase in new customers. The scheme is to be reviewed bi-annually and the council can remove access to the scheme to new customers following these reviews mitigating the risk of the scheme becoming financially unsustainable. The Universal scheme is quite restrictive and in isolation should not create any financial risk.

Direct Payment Policy – The council already provides Direct Payments to customers. The policy sets out the qualifying criteria and administration details. There are no financial pressures generated by this policy.

Charging Policy – This policy sets out what can be charged for under the Act it is not a discretionary policy. The main financial consideration associated with the policy is whether the council chooses to charge carers. The policy and the Act allow this but there is the discretion not to.

(a) **Human Resources (HR)** - There are no implications

(b) **Equalities** – The Care Act is a Government Policy that has already been through a thorough equalities impact assessment. The council has no power to amend the Act.

(c) **Legal** – There are no direct implications

(d) **Crime and Disorder** - There are no implications

(e) **Information Technology (IT)** - There are no implications

(f) **Property** - There are no implications

Risk Management

26. The key risk is a financial one as it is not possible to control the number of customers who may be eligible to deferred payments. The scheme is regularly monitored to ensure that any large variation can be flagged up as early as possible and the scheme will require this constant monitoring to be maintained. As most customers who are eligible for deferred payments are already claiming it is not envisaged that there will be much change.

Recommendation

27. Cabinet are asked to consider and approve:

i) the three policies set out at Paragraph 5 – 17 and set out at Annex A, B and C;

Reason: To provide a policy framework to comply with the Care Act 2014 and the Acts objectives for the residents of York.

ii) the administration fee for self funders set out at Option 3 and paragraph 16;

Reason: To cover the costs of the council carrying out this work.

iii) the deferred payment fee set out at Option 4 and in detail within Annex D;

Reason: To cover the costs of the council carrying out this work.

iv) the delegated power to make minor policy amendments in line with the Care Act to the councils Chief Financial Officer in consultation with the Director of Adult Services (Paragraph 18);

Reason: To ensure the policies are kept up to date and are accurate.

v) that the council does not adopt the universal opportunity to charge carers but reserves the right to do so in certain cases (Para 17 & Option 6).

Reason: The administrative cost would likely be higher than any gain and it may send a negative message to carers.

Contact Details

<table>
<tr><td>Author:</td><td colspan="4">Cabinet Members and Chief Officers responsible for the report:</td></tr>
<tr><td rowspan="2">David Walker
Head of Financial Procedures
Phone No. 01904 552261</td><td colspan="4">Cabinet Member for Health & Community Engagement

Cabinet Member for Finance and Performance

Ian Floyd
Director of Customer & Business Support Services
Telephone: 01904 551100

Guy Van Dichele
Director of Adult Services
Telephone 01904 554045</td></tr>
<tr><td>Report Approved</td><td>√</td><td>Date</td><td>19/11/2014</td></tr>
<tr><td colspan="5">Specialist Implications Officer(s)

Sharon Calline
Income Services Manager</td></tr>
<tr><td colspan="4">Wards Affected: All</td><td>√</td></tr>
</table>

For further information please contact the authors of the report

Background Papers

Annexes

Annex A – Deferred Payment Policy
Annex B – Direct Payment Policy
Annex C – Revised Charging Policy
Annex D – Schedule of Fees Charges and Allowances

Glossary

DIA – Disposable Income Allowance
DLA – Disability Living Allowance
DoH – Department of Health
DRE – Disability Related Expenditure
DWP – Department of Works and Pensions
EMI – Elderly Mentally Infirm
EPA – Enduring Power of Attorney
EPH – Elderly Persons Homes
FNC – Free Nursing Care
GP – General Practitioner
LPA – Lasting Power of Attorney
NHS – National Health Service
PEA – Personal Expenditure Allowance
PIP – Personal Independence Payments

ANNEX A

DEFERRED PAYMENT AGREEMENTS POLICY

FOR UNIVERSAL DEFERRED PAYMENT AGREEMENT SCHEME & CYC DEFERRED PAYMENT AGREEMENT SCHEME

From 01/04/2015

ANNEX A

Index

Content	Paragraph
Introduction	1
Eligibility criteria	2
Interest charges and fees	3
12 week property disregard	4
Universal deferred payment agreement scheme	5
City of York Council deferred payment agreement scheme	6
Refusal of a deferred payment agreement or further lending against an existing agreement	7
How much can be deferred – ‘upper limit’	8
Termination of deferred payments agreements	9

ANNEX A

1. Introduction

1.1 A deferred payment agreement is a legally binding agreement under which the City of York Council will lend money to customers to allow them to defer or delay paying some or all of the cost of their care and support until a later date. Deferring payment can help people to delay the need to sell their home, and provides peace of mind during a time that can be challenging (or even a crisis point) for them as they make the transition into care.

1.2 Deferred payment agreements will ultimately cease or be terminated due to factors described later in this policy. The amount deferred will become due for repayment at a point in time.

1.3 People can choose to use deferred payment agreements as 'bridging loans' should they have decided to sell their property, or for long term loans to delay or avoid having to sell their home in their lifetime.

1.4 City of York Council offers deferred payment agreements through two schemes:
(a) Universal Deferred Payment Agreement Scheme
(b) City of York Council Deferred Payment Agreement Scheme

2. Eligibility criteria

2.1 City of York Council **must** offer a deferred payment agreement under the universal deferred payment agreement scheme to people that meet the following eligibility criteria:

- Anyone whose needs are to be met by the provision of care in a care home. This is determined when someone is assessed as having eligible needs which the local authority decided should be met through as care home placement. This should comply with choice of accommodation regulations and care and support planning guidance and so take reasonable account of a customers preferences;
- People have less than (or equal to) the higher capital limit excluding the value of their home (i.e. in savings and other non-housing assets).

ANNEX A

- Their home is not otherwise occupied by a **spouse, civil partner or dependent relative** as defined in regulations on charging for care and support, and is therefore disregarded from the financial assessment;
- They are able to provide adequate security in the form of a first legal mortgage charge over their property.

2.2 City of York council will seek to offer a deferred payment agreement under the City of York Council (CYC) deferred payment agreement scheme to people that are unable to meet the eligibility criteria for the universal deferred payment agreement scheme. The City of York Council scheme is intended to offer greater flexibility in regards to security arrangements and requests should be considered on the following basis:

- Where meeting care costs would leave someone with very few accessible assets (this might include assets which cannot quickly or easily be liquidated or converted into cash);
- Where someone would like to use the wealth tied up in their home to fund more than their core care costs and purchase affordable and sustainable top-ups;
- Whether someone has any other accessible means to help them meet the cost of their care and support (e.g. valuable assets such as artwork, jewellery etc);
- Where a person is narrowly ineligible for the universal deferred payment agreement scheme, because they have slightly in excess of the higher capital limit, and the likelihood is that the customer would reach this threshold in the near future.
- That the council retains discretion over the acceptance of security and the level of loans to be offered under the CYC scheme.

2.3 The council will undertake a financial assessment to determine the level of income and capital the customer has, and is able to contribute towards their care and support costs.

2.4 The council has discretion to consider requests for deferred payment agreements under the CYC scheme for customers that have care and support provided in supported living accommodation. This discretion can only be exercised where the customer intends to retain their former home and pay the associated care and accommodation

rental costs from their deferred payment. Deferred payment agreements cannot be entered into to finance mortgage payments on supported living accommodation. For the purpose of this policy, supported living accommodation means accommodation which is not a care home, but is intended for occupation by adults, under licence or tenancy agreement, and where personal care is available if required.

2.5 The council may be notified of price increases for care and accommodation from time to time. Where a customer is using a deferred payment to fund all of their care and support costs (with the exception of their income contribution if applicable), the amount deferred will increase by the amount required by the care provider. The council will notify customers as soon as possible of any changes to the amount being deferred.

2.6 Where a customer is using a deferred payment to fund a top-up, then the council may incur part of any price increase within the local authority rate. Should the increase be greater than the local authority is willing to pay, then the customer will be responsible for the additional cost. The council will notify customers as soon as possible of any changes to the amount being deferred.

2.7 In all cases, the council will apply a sustainability threshold of 32 months, when determining the affordability of care and support through a deferred payment agreement. This means that the amount of equity offered to determine the ‘upper limit’ must cover care costs for at least 32 month. This threshold is based on local data covering the average length of stays in care homes in York. This threshold will be reviewed from time to time, with the prevailing threshold being used at the start of, and throughout the lifetime of a deferred payment agreement.

3. Interest charge and fees

3.1 The Care Act 2014 gives local authorities the power to charge interest on deferred payment agreements at a rate not exceeding the national maximum interest rate, set by central government. This interest rate will be reviewed every 6 months (on 1st January and 1st July) and charged on a compound basis.

ANNEX A

3.2 The applicable rate charged by the council for both deferred payment agreement schemes will be published on the council website at www.york.gov.uk as they are updated.

3.3 Interest will continue to accrue on any loan until such time as the amount due is repaid in full. This includes where the maximum deferred payment agreement limit has been reached, or where the customer has died. Customers can make arrangement to pay the interest as is becomes due, rather than add it to the accruing debt.

3.4 The rate of interest can go up as well as down during the lifetime of a deferred payment agreement.

3.5 The Care Act 2014 provides local authorities with the power to charge an administration fee to cover all administration, legal and valuation costs incurred by offering and maintaining deferred payment agreements. The council's administration fees are published at www.york.gov.uk and will be charged at the outset of the loan for setting up the agreement in all circumstances. Additional fees will be charged annually, upon cessation and termination of the agreement Fees can be added to the loan and will be liable for compounded interest charges. Alternatively, customers may choose to pay administration fees in full.

4. 12 week property disregard

4.1 The value of a customer's main or only home will be disregarded from the financial assessment for a maximum of 12 weeks, where the customer has savings and non-housing assets below or equal to the higher capital limit. This disregard can however, only be applied in the following circumstances:

- when a customer first enters a care home as a permanent resident;
- when a property disregard other than the 12 weeks property disregard unexpectedly ends because the qualifying relative has died or move into a care home.

5. Universal deferred payment agreement scheme

5.1 The council has a statutory duty to offer a deferred payment agreement where a customer meets the eligibility criteria for the

national scheme. The customer will be provided with details of the scheme as part of the care and support planning service.

5.2 Where a customer requests a deferred payment agreement, the council will aim to have the agreement in place within the 12 week disregard period (where applicable) or within 12 weeks of the customer requesting a deferred payment agreement where the disregard is not applicable.

5.3 The deferred payment agreement will clearly set out the following information:

- terms to explain how the interest will be calculated and that it will be compounded if it is to be added to the deferred amount;
- information as to administrative costs for arranging a deferred payment agreement;
- terms to explain how the customer may exercise his or her right to terminate the agreement, (including notification to the council where the customer decides to sell the property) which should explain the process for and consequences of terminating the agreement and specify what notice should be given;
- terms to explain the circumstances in which council might refuse to defer further fees (either when it is required to stop deferring, for example if the person has already deferred up to their ‘equity limit’, or when it has powers to stop deferring, such as when a person qualifies for local authority support in paying for their care;
- that the local authority will secure their debt either by placing a legal (Land Registry)charge against the property;
- a term requiring the local authority to provide the person with a written statement every six months and within 28 days of request by the person, setting out how much the person owes to the authority and the cost to them of repaying the debt;
- a term which explains that the maximum amount which may be deferred is the equity limit and that this is likely to vary over time (subject to the re-valuation of security and/or changes in the cost of care and support);
- a term which requires the local authority to give the adult 30 days written notice of the date on which they are likely to reach the equity limit;
- a term which requires the adult to obtain the consent of the local authority for any person to occupy the property;

ANNEX A

- an explanation that the council will stop deferring its charges and making advances under a loan agreement if the person no longer receives care and support in a care home or supported living accommodation or if the local authority no longer considers that the adult's needs should be met in such accommodation.
- a term that where a property is unregistered with the Land Registry, the customer must firstly register the property;
- the means of redress if either party feels that the other has broken the terms of the agreement;
- an explanation of the consequences of taking out a deferred payment agreement, for the person and their property, and including anyone who may reside at the property;
- what the deferred loan can be spent on;
- the process by which the council can require a re-valuation of the security;
- the customers' responsibilities regarding the maintenance and insurance of their home, and the requirement to advise the council of any change of circumstance to their income (e.g. should the property be rented out), or changes to their care requirements;
- the process for requesting a variation to the agreement;
- who should be contacted in the event of the customers' death to assist the local authority in reclaiming the amount deferred – this would normally be the executor identified in the customers' will;
- that the local authority is indemnified against circumstances when someone might gain a beneficial interest in the property after the agreement has been made, and the customers' responsibility to notify the council if this is the case;
- that the customer has taken relevant independent financial advice, understands fully the agreement they are entering into and has had the opportunity to ask questions, which have been answered in full, and that the customer is entering into the agreement of their own free will.

5.4 In addition to the deferred payment agreement, the council has a statutory duty to provide information and advice regarding deferred payment agreements in advance of the customer entering such an agreement. Information will be provided to customers when they are considering whether to enter into a deferred payment agreement.

ANNEX A

5.5 Customers with income in excess of £144 per week will be asked to contribute income above this amount towards the cost of care and support services. £144 per week is the Disposable Income Allowance, which customers with deferred payment agreements are required to retain in order to maintain and insure their properties. This amount may vary over time and the up to date level is available at www.york.gov.uk.

6 City of York Council deferred payment agreement scheme

6.1 The council has the discretion to offer a deferred payment agreement scheme to customers' that wish to enter into a deferred payment agreement but do not meet the criteria of the universal deferred payment agreement scheme.

6.2 The council will consider all reasonable requests for customers' to use their assets to defer care and support costs where adequate security can be provided. In all cases, security must be in place before any sums can be deferred.

6.3 Adequate security may take the form of, but is not limited to:

- second or other legal mortgage charge over a property where there is sufficient equity after calculating the interest and amount due for repayment against preferred charges;
- legal charge over land registered to the customer (unregistered land must be registered at the land registry before any agreement can be entered into);
- a legal charge over land upon which an uninsurable property is situated, where the land has a sufficient high value;
- a loan being guaranteed by a third party subject to the third party offering appropriate security, such as a legal charge on their property;
- a solicitor's letter of undertaking
- a legal agreement being in place for loan proceeds to be repaid from the sale of a valuable object or jewellery, subject to adequate loss insurance being in place;
- a legal agreement being in place to repay the amount from the proceeds of a life insurance policy

6.4 The deferred payment agreement will set out all of the information listed in section 5.3 of this policy.

ANNEX A

6.5 In addition to the deferred payment agreement, the council has a statutory duty to provide information and advice regarding deferred payment agreements in advance of the customer entering such an agreement. Information will be provided to customers when they are considering whether to enter into a deferred payment agreement.

6.6 Customers with income in excess of £144 per week will be asked to contribute income above this amount towards the cost of care and support services. £144 per week is the Disposable Income Allowance, which customers with deferred payment agreements are required to retain in order to maintain and insure their properties. This amount may vary over time and the up to date level is available at www.york.gov.uk.

6.7 Customers choosing to rent out their property can retain a maximum of 20% of the net rental income (i.e. after payment of letting/agency fees) to maintain the property to a high standard. Customers can choose how much they wish to retain between 0% and 20%. All remaining rental income will be included within the financial assessment to determine the customers' income contribution towards the cost of care and support.

7 Refusal of a deferred payment agreement or further lending against an existing agreement

7.1 The Care Act 2014 provides local authorities with the power to refuse deferred payment agreements. This provision is intended to provide local authorities with a reasonable safeguard against default or non-repayment of debt. The council can refuse to enter into a deferred payment agreement in the following circumstances:

- the security offered is a property over which the local authority is unable to secure a legal mortgage charge;
- where a customer requests a larger amount than they can provide security for (a deferred payment agreement must still be offered for the maximum sum the local authority can defer up to);
- where a legal charge can be taken, however the property or asset is uninsurable;
- where a customer does not agree to the terms and conditions of the agreement, for example a requirement to insure and maintain the property.

ANNEX A

7.2 Where a deferred payment agreement is already in place, the council has discretion whether it allows additional money to be deferred where the 'upper limit' of deferral has been reached. All deferred payment agreements will be reviewed at the point when the amount deferred is 70% of the value of the security. Where the deferred payment continues to meet the customer's needs, the following circumstances will be taken into consideration when making the decision for extra lending are:

- whether the current value of the asset is greater than at the start of the deferment and as such, the additional equity could be used to defer additional care and support fees (where the asset value is less, then no additional deferment will be allowed);
- where a spouse or dependent relative has moved into the property after the agreement was made, meaning that the customer is eligible for local authority support and the deferred payment agreement should cease
- where a relative who was living in the property at the time of the agreement subsequently becomes a dependent relative, then further deferrals may be refused beyond this point.

8 How much can be deferred – 'upper limit'

8.1 The Care Act 2014 specifies how much local authorities must defer against the value of property or assets. In all cases the following calculation will determine the 'upper limit':

Capital + (Property/Asset Value – 10%) - £14250 = Upper Limit

8.2 The Care Act 2014 requires that the property/assets offered as security will be revalued on an annual basis; therefore the 'upper limit' may change from time to time. As such, the 'upper limit' may increase or decrease accordingly. Customers will be advised of the re-valuation and change to the 'upper limit' in an annual basis.

9 Termination of deferred payment agreements

9.1 A deferred payment agreement can be terminated in 3 ways

- voluntarily, by the customer or their representative, by repaying the full amount due during the customers' lifetime. In this case the council will relinquish its legal charge on the security;

- by repayment from the sale of the property or item on which the loan is secured. In this case the council will require notification early in the sale process and will arrange for the charge to be relinquished as part of the completion of the sale;
- upon the death of the customer. Interest will continue to accrue until the debt is repaid in full.

9.2 Where the agreement terminates upon the death of the customer, the council will contact the executor after 14 days to provide a breakdown of the total amount that is deferred and the rate at which interest is accruing. The executor is required by the agreement to take steps to repay the debt within 90 days of the customers' death. This would normally mean that they have started sale proceedings where probate has been granted.

9.3 If, after 90 days, the executor appears not to be taking steps towards repayment, the council will commence legal proceedings to recover the debt.

9.4 Confirmation will be provided in all cases when the amount due has been fully repaid, that the legal charge against the property has been removed (or in cases of other security, that the legal agreement has been ended and the security is free to be disbursed as the customer or their executor sees fit) , and all matters relating to the agreement have been concluded.

ANNEX B

DIRECT PAYMENTS

FOR
CARE AND SUPPORT TO ADULTS

From 01/04/2015

ANNEX B

Index

Content	Paragraph
Introduction	1
Making direct payments available	2
Assessing capacity and making direct payments available to people with and without capacity	3
Administering direct payments, monitoring and reconciliation	4
Using direct payments	5
Discontinuation and termination of direct payments	6

ANNEX B

1. Introduction

1.1 Direct payments are monetary payments to or for customers' to meet some or all of their eligible care and support needs. The legislative context for direct payments is set out in The Care Act 2014, Sections 31 to 33, Mental Health Act Section 117 (2C) and Care and Support (Direct Payments) Regulations 2014.

2. Making direct payments available

2.1 City of York Council has a key role in ensuring that customers are provided with relevant and timely information about direct payments, so that customers can decide whether to request direct payments to fund their care and support costs.

2.2 The council will make available information during the support planning stage setting out the following:

- what direct payments are;
- how to request a direct payment, including the use of nominated and authorised persons to manage the payment;
- explanation of the direct payment agreement (DP1);
- the responsibilities involved in managing a direct payment and being an employer;
- making arrangements with social care providers;
- signposting to local organisations, and the councils own support team, who can offer support to direct payment holders, and information on local providers;
- case studies of how direct payments have been used innovatively

2.3 Customers that wish to administer some or all of their personal budget through direct payments should request to do so. Direct payments are the governments' preferred method of administering care and support costs. The council will encourage customers to consider direct payments, and how they could be used to meet needs. Customers will not be forced to take a direct payment against their will. Customers will be informed of all of the choices

available to them, following an assessment of their eligibility for care and support.

2.4 Where a customer requests a direct payment after the support planning stage, between care and support reviews, then the council will bring the review forward to accommodate the request for a direct payment.

2.5 The council must ensure that customers have the capacity to request direct payments, or whether a customers' capacity is likely to fluctuate. Capacity decisions should be recorded in a customers' support plan.

2.6 The following terms will be used as follows:

- Nominated Person is anyone who agrees to manage a direct payment on behalf of the person with care and support needs
- Authorised Person is someone who agrees to manage a direct payment for a person who lacks capacity according to the Mental Capacity Act 2005.

3. Assessing capacity and making direct payments available to people with and without capacity

3.1 Where a customer requests a direct payment, then an assessment of capacity must be made on a case by case basis. The council will not assume that an individual has or lacks capacity because they have a particular condition or illness.

3.2 The council must clarify where the request for direct payments originates from. Direct payments will be made to a nominated person specifically where requested by the customer with care and support needs, and where the customer has capacity. Where this is the case, the nominated person should be involved in any appropriate stage of the care planning journey. The nominated person should receive information and advice regarding direct payments and the additional legal obligations and responsibilities in acting in the customer's best interests.

3.3 Where the council is satisfied that a customer has capacity to request a direct payment, The Care Act 2014 states that the council should give consideration to each of the following clauses.

ANNEX B

A failure of one of the conditions would result in the direct payment being declined. The conditions are:

- the customer has capacity to request a direct payment and where there is a nominated person, that person agrees to receive payments;
- the council is not prohibited by regulations under section 33 from meeting the customer's needs by making direct payments to the customer or nominated person, and if regulations under that section give the council discretion to decide not to meet the customer's needs by making a direct payment to the customer or nominated person, it does not exercise that discretion;
- the council is satisfied that the customer or nominated person is capable of managing direct payments on their own, or with whatever support the council thinks the customer or nominated person will be able to access;
- the council is satisfied that making direct payments to the customer or nominated person is an appropriate way to meet the needs in question.

3.4 In cases where the customer requiring care and support lacks capacity to request direct payments, an authorised person can request a direct payment on the customer's behalf. There are 5 conditions that must be satisfied as laid out in The Care Act 2014, section 32. Failure to meet any of the conditions would result in the request being declined. The conditions are:

- where an authorised person is **not** authorised to act under the Mental Capacity Act 2005, but there is at least one person who is authorised under the Mental Capacity Act 2005, that person **must** support the authorised person's request;
- the council is not prohibited by regulations under section 33 from meeting the customer's needs by making direct payments to the authorised person, and if regulations under that section give the council discretion to decide not to meet the customer's needs by making a direct payment to the authorised person, it does not exercise that discretion;
- the council is satisfied that the authorised person will act in the customer's best interests in arranging for the

provision of care and support for which direct payments would be used;

- the council is satisfied that the authorised person is capable of managing direct payments by himself or herself, or with whatever support the council thinks the authorised person will need to access;
- the council is satisfied that making direct payments to the authorised person is an appropriate way to meet the needs in question.

3.5 Where the council decides to provide a direct payment, this will be recorded in the customer's care plan. Where the council decides to refuse a direct payment, the customer or person making the request will be provided with an explanation in writing, setting out the rationale behind the decision and how the customer or person making the request can appeal. The decision should refer to the relevant points of the Care Act 2014 that have not been met. The care planning process should continue to ensure that the customer's needs are being and continue to be met.

3.6 Where requests are made to support aftercare under Section 117 of the Mental Health Act 1983, the council has to give full consideration as to whether direct payments are the most appropriate way to meet the needs in question.

3.7 The council must also be satisfied that the customer, authorised or nominated person is able to manage the direct payment, with whatever support is deemed necessary. The council will provide information of organisations and sources of support to assist in the management of direct payments.

4. Administering direct payments, monitoring and reconciliation

4.1 The council must be satisfied that the direct payment is being used to meet eligible care and support costs. Direct payments must be administered within the terms and conditions of the DP1 agreement under which direct payments are made. Care management will review direct payments initially at the 6-8 week review months and then annually.

4.2 The council will incorporate any 'on-costs' associated with employment, such as recruitment, training, redundancy and employers liability insurance in the amount paid as a direct

payment. These may be paid as one off payments or incorporated into the regular monthly payment.

4.3 The council will pay direct payments net of any customer contribution. Where the customer has been advised that they have to contribute towards their care and support through their direct payment, then the customer should arrange to make payment into the direct payment account on a weekly or monthly basis.

4.4 The council will make direct payments available into individually designated bank accounts operated by Advanced Payment Solutions Ltd, known as ‘cashplus’ accounts. To reduce the monitoring burden to customers, the council retains the right to remotely access these accounts under the Data Protection Act 2003. Direct payment accounts will be monitored by the council and reconciled every two months for the first 6 months that the direct payment is in operation. Subsequently, accounts will be monitored and reconciled every 6 months.

4.5 The council will extend its monitoring of accounts to ensure that where the customer has employment responsibilities and liabilities such as tax and national insurance, that these costs are being met from the direct payment.

4.6 The purpose of reconciling the direct payment account is to ensure that there are sufficient funds available to meet the customer’s care and support needs. It is the council’s intention that the monitoring and reconciliation of accounts is an unobtrusive as possible, and reference will only be made to the customer, nominated or authorised person where there is cause for concern.

4.7 Where a customer has not fully used their direct payment money, or has purchased services that meet their care and support needs at an advantageous cost, the local authority retains the right to reclaim any excess amount. The customer will be notified in advance of any amount identified, which will then be reclaimed back from the cashplus account.

4.8 Where funding from other public bodies is agreed, such as the NHS, then integrated budgets paid to and managed through a single account, will be monitored by the council.

ANNEX B

5 Using direct payments

5.1 Direct payments are intended to be used flexibly and innovatively, and no unreasonable restriction should be placed on the use of the payment, as long as it is used to meet eligible care and support needs.

5.2 The council has discretion to allow prior consent for direct payments to pay close family living in the same household as the customer **for management and administrative support only**. This is especially intended where there are multiple complex needs and the direct payment may be substantial. Prior to consent, the council should be satisfied that any payment is reasonable and all parties should reach agreement prior to any payment being made.

5.3 The direct payment agreement will advise what steps to take in cases of a dispute regarding the management of the payment by a household family member. This will be especially relevant where the person providing the management and administrative support is also the nominated or authorised person. It may therefore be practical for the local authority not to exercise its discretion where there is a risk that the direct payment may be abused, or there are other prevailing issues such as safeguarding. Payment to family members providing care and support in the same household remain excluded from being paid for providing care.

5.4 Direct payments can be used for the purchase of short stays in residential care providing that the stay does not exceed a period of four consecutive weeks (28 days) in any 12 month period.

5.5 Regulations specify that where direct payments purchase short breaks in residential care, and where the interim period between two stays is less than four weeks, then these two stays should be added together. The total of these stays should also not exceed four weeks. In both cases, no further residential care can be purchased using direct payments until 12 months have elapsed since the start of the four week period. Alternative funding arrangement would need to be agreed at this time.

5.6 Regulations do allow direct payments to purchase short breaks in residential care where stays are four weeks and less, and are

separated by four weeks, and do not exceed four week when added together. In this case, customers can use their direct payment to purchase short breaks in residential care throughout the year.

5.7 Direct payments may be considered for customers requiring non-residential care services that live permanently in a care home. Similarly customers may have temporary access to direct payments to try independent living.

5.8 The general rule is that direct payments should not be offered to customers to pay for care and support provided by the council. There may be cases however, where the customer wishes to make a one-off purchase of care or support from the council (such as short break). In these circumstances, it would be appropriate for the customer to use their direct payment for this purpose. Customer's are however free to purchase services directly from other councils.

6 Discontinuation and termination of direct payments

6.1 Customers entering hospital should consider how best to use their direct payment at that time, especially where they are an employer and suspension of the direct payment could necessitate a break in the employment contract. The customer should explore with the council how their care and support needs as well as their health needs are net at this time, and may involve personal assistants visiting the customer in hospital to help with personal care matters.

6.2 Where the nominated or authorised person requires a hospital stay, then the council must ensure that the customer continues to have their care and support needs met. This may be through a temporary nominated or authorised person, or though short term council arranged care and support.

6.3 Where a customer, nominated or authorised person decides that they no longer wish to receive a direct payment, the local authority must satisfy that no outstanding liabilities remain before terminating the agreement. Where contracts of employment require terminating, then this should be done in a timely manner to avoid additional costs. A review of alternative care and support provision would be arranged.

ANNEX B

6.4 The council must cease making direct payments where a customer advises, or no longer appears capable of managing them with necessary support.

6.5 The council will discontinue direct payments where the customer no longer needs the care and support for which the payment was made available. This would be applicable more so for customers receiving short-term support upon leaving hospital or residential care.

6.6 The council may discontinue direct payments where the customer, nominated or authorised person fails to comply with the any of the conditions imposed under the direct payment regulation or the council's terms and conditions of use.

6.7 The council will discontinue direct payments where a customer, nominated or authorised person loses capacity to consent. If the loss of capacity is considered temporary then payment can continue providing some one is willing to continue managing the payment on their behalf. The council will closely monitor these situations and will review capacity before discontinuing payment or entering into an agreement with another person.

ANNEX C

Charging and Financial Assessment for Adult Care and Support Services

From 01/04/2015

ANNEX C

Index

Content	Paragraph
Introduction	1
Legal basis for charging and financial assessment	2
Diversity and equality	3
Policy objectives	4
Charging and financial assessment for care and support in care homes on a permanent basis	5
Charging and financial assessment for care and support in care homes on a temporary basis	6
Charging and financial assessment for care and support in other care settings including a person's own home	7
Charging and financial assessment for support for carers	8
Financial assessment considerations	9
Ability to pay - appeals procedure	10
Recovery of Debt	11
Schedules	
Disability Related Expenditure Guidance - Notes	A
Complaints Procedure	B
Summary of Publications	C

ANNEX C

1.0 Introduction

1.1 The City of York Council's 'Charging and Financial Assessment for Adult Care and Support Services' policy has been designed to comply with The Care Act 2014. Its aim is to produce a consistent and fair framework for charging and financial assessment for all customers that receive care and support services, following an assessment of their individual needs, and their individual financial circumstances.

1.2 For the purposes of this policy, an adult is a customer aged 18 and above.

2.0 Legal basis for charging and financial assessment

2.1 The Care Act 2014 provides a single legal framework for charging for care and support. It enables local authorities to decide whether or not to charge a customer when it is arranging to meet a customer's care and support needs, or a carer's support needs.

2.2 Section 14 of The Care Act 2014 provides local authorities with the power to charge adults in receipt of care and support services, where the local authority is permitted to charge for the service being provided.

2.3 Section 14 of The Care Act 2014 provides local authorities with the power to charge for services meeting carer's needs, by providing services directly to the carer.

2.4 Section 17 of The Care Act 2014 permits local authorities to undertake an assessment of financial resources. The financial assessment will determine the level of a customer's financial resource, and the amount (if any) which the customer may be likely to be able to pay towards the cost of meeting their needs through care and support services.

2.5 Section 14 of The Care Act 2014 instructs that local authorities are not permitted to charge for provision of the following types of care and support:

- Community equipment (aids and minor adaptations): a service which consists of the provision of an aid, or minor adaptation to property, for the purposes of assisting with

nursing at home or aiding daily living. An adaptation is minor if the cost of making the adaptation is £1,000 or less;

- Intermediate care (including reablement support) services for 6 weeks;
- Care and support provided to people with Creutzfeldt-Jacob Disease;
- Any service or part of service which the NHS is under duty to provide. This includes Continuing Healthcare and the NHS contribution to Registered Nursing Care;
- Services with the local authorities have a duty to provide through other legislation;
- Assessment of needs and care planning, including the cost of the financial assessment, as these constitute 'meeting needs'.

2.6 City of York Council will refer to Care and Support Regulations (Statutory Instruments) and Care and Support Statutory Guidance and Annexes issued under The Care Act 2014, in all regards for specific guidance relating to charging and financial assessment, and as such, these statutory regulations form the basis of this policy, except where the council exercises its power of discretion as set out within the regulations.

3.0 Diversity and equality

3.1 The council is fully committed to the broad principles of social justice and is opposed to any form of discrimination and oppression. It therefore willingly accepts not only its legal responsibilities but also wishes to embrace best practice in all areas of its work in order to secure equality of both treatment and outcome.

3.2 The council is committed to ensuring that no one is treated in any way less favourably on the grounds of personal differences such as age, race, ethnicity, mobility of lifestyle, religion, marital status, gender, sexual orientation, physical or mental impairment, caring responsibilities and political or other personal beliefs.

4.0 Policy objectives

ANNEX C

4.1 The principles underpinning this policy are:

- Where the authority is required to arrange care and support for free, it does so;
- That customers will only be required to pay what they can afford;
- That financial support towards care costs will be determined through financial assessment;
- To provide clear and transparent information so customers know what they will be charged;
- To apply the rules consistently, to avoid variation in the way people are assessed and charged;
- To promote wellbeing, social inclusion, and support the vision of personalisation, independence, choice and control;
- To support carers to look after their own health and wellbeing and to care effectively and safely;
- To be person-focused, reflecting the variety of care and caring journeys and the variety of options available to meet customer's needs;
- To apply charging rules equally so those with similar needs or services are treated the same and to minimise anomalies between different care settings;
- To ensure that the charge to the customer for services provided is no greater than the cost of that service being delivered to the council;
- To encourage and enable those who wish to stay in or take up employment, education or training, to plan for the future costs of meeting their needs to do so;
- To ensure that where a customer lacks capacity to undertake a financial assessment that the local authority consults a suitable person defined as having Enduring Power of Attorney (EPA), Lasting Power of Attorney (LPA) for Property and Affairs, Lasting Power of Attorney (LPA) for Health and Welfare, Property and Affairs Deputyship under the Court of Protection or any other person dealing with that person's affairs (e.g. someone who has been given appointeeship by the Department of Work and Pensions (DWP) for the purpose of benefits payments).

5.0 Charging and financial assessment for care and support in care homes on a permanent basis

ANNEX C

5.1 The council will charge for care and support delivered in a care home on a permanent basis.

5.2 Customer's requiring permanent care and support in a care home must initially satisfy an eligibility assessment for care and support. Only where a customer has an eligible care and support need will a financial assessment be required.

5.3 All customers requiring permanent care and support in a care home must have a financial assessment. Customers' financial circumstances will determine whether the customer is eligible for support towards permanent care costs from the council.

5.4 Customers will be made aware at the outset of the maximum amount of funding the council makes available towards care and support provided by private sector care homes. This is known as 'The Local Authority Rate'. This rate is inclusive of any assessed customer contribution, and in the case of nursing care, includes the free nursing care element (FNC) paid by the NHS.

5.5 Where a customer is eligible to receive local authority funding support, but decides to reside in another local authority area, City of York Council will match the local authority rate for the area where the customer decides to live.

5.6 Customers that would like to live in accommodation that costs more than The Local Authority Rate, can do so providing the customer or a third party meets the additional cost. This additional cost (known as a 'top-up) must be sustainable and the local authority has the right to refuse a customer using their assets for this purpose, if the costs cannot be met over a sustained length of time.

5.7 Where a customer chooses more expensive accommodation than the local authority rate and the top-up is to be paid by a third party, the third party must confirm they are able to meet the costs of the top-up for the duration of the agreement, including any price changes that may occur. Both they and the customer will be made aware of the cost and to whom payment is to be made, together with the frequency, as well as provision for reviewing the agreement on an annual basis, the

consequences of failing to maintain payment and the effect changes in any parties' financial circumstances will have on the agreement. The third party will be asked to enter into an agreement, covering all of these points.

5.8 Customers that own a property or other valuable asset, over which security can be taken, may be eligible to defer care costs against the value of the property/asset. This is known as a Deferred Payment Agreement. City of York Council will make deferred payment agreements available under the national 'Universal Deferred Payment Agreement Scheme' and 'The City of York Council Deferred Payment Agreement Scheme' providing the eligibility criteria has been met. Details of deferred payment agreements can be found within the council's deferred payment agreement policy.

5.9 The Council will undertake a financial and benefits check for customers entering residential care on a permanent basis. This is normally done before the customer starts to receive care. Contributions are payable from the date care commences.

5.10 The Financial Assessment will take into account income, capital and the value of any assets. The charging methodology will take into consideration any mandatory disregards of income, capital and property as defined in the Charging for Care and Support Statutory Guidance.

5.11 The financial assessment will take into account statutory amounts required to be retained by the customer from their income. These are known as 'Personal Expenditure Allowance' (PEA) and 'Disposable Income Allowance' (DIA). These amounts are dependent upon the customers' financial circumstances, and are reviewed annually by the Department of Health. The rates applicable for the relevant financial (April – March) are set out on the councils website www.york.gov.uk Where a customer has no income, the local authority must ensure that the customer receives a personal expenditure allowance at the prevailing rate. Financial assessments will be updated annually.

6.0 Charging and financial assessment for care and support in care homes on a temporary basis

ANNEX C

6.1 The council will charge for care and support delivered in a care home on a temporary basis.

6.2 Following an assessment of a customer's eligible care and support needs, a decision may be taken that the customer would benefit from a temporary stay in a care home. A temporary resident is defined as a person whose need to stay in a care home is intended to last for a limited period of time and where there is a plan to return home. The person's stay should be unlikely to exceed 52 weeks, or in exceptional circumstances, unlikely to substantially exceed 52 weeks.

6.3 Where a person's stay is intended to be permanent, but circumstances change and the stay becomes temporary, then the council will assess and charge as a temporary stay.

6.4 Customers that have a temporary stay that becomes permanent will be assessed for a permanent stay at the date permanency is confirmed and the care plan is amended.

6.5 The council will financially assess all customers having a temporary stay in a care home, and will charge from the date of admittance.

6.6 The financial assessment for temporary stays will completely disregard the customer's main or only home where the customer intends to return to that home.

6.7 The financial assessment will treat income and capital in the same way as if the customer was entering a care home on a permanent basis with the following exceptions:

- Where the customer is in receipt of Disability Living Allowance or Attendance Allowance, these are completely disregarded from the financial assessment.
- Where the customer receives Severe Disability Premium or Enhanced Disability Premium, these benefits cease when Disability Living Allowance or Attendance Allowance ceases.
- The financial assessment will be adjusted where the temporary stay extends into this period.

6.8 The council will ensure that where a spouse or partner resides in the same residence as the customer, that the

spouse/partner will have an income of at least the basic level of income support or pension credit, to which they would be entitled to in their own right.

6.9 The council will ensure that where housing benefit is paid, this is disregarded.

6.10 The council will ensure that payments made by the customer to keep and maintain their home, such as rent, water rates, insurance premiums are disregarded. Similarly, expenses that the customer would normally incur and would continue to pay should also be disregarded, such as household related Disability Related Expenditure (e.g. cleaning, gardening, community alarm services). Contributions are payable from the date care commences. A new financial assessment will be required in each financial year where a customer requires temporary accommodation in a care home.

7.0 Charging and financial assessment for care and support in other care settings including a person's own home

7.1 The council will charge for care and support delivered in other care settings including a person's own home.

7.2 Customer's requiring care and support in their own home or other care settings must initially satisfy an eligibility assessment for care and support. Only where a customer has an eligible care and support need will a financial assessment be required.

7.3 Customers receiving care and support that is neither temporary nor permanent in a care home will have their care and support costs administered through personal accounts. A personal account is a combination of the amount of money that is required to meet eligible care and support needs, and the amount a customer can contribute towards that cost. The difference is the amount of funding support that the local authority will provide. Personal accounts may also contain funding towards care and support costs from the NHS.

7.4 Where a customer has an eligible care and support need, the council will calculate the how much the personal budget might be, using its Resource Allocation System (RAS). Once the indicative budget is known, the care and support planning

process, taking into account the customers desired outcomes, will determine the agreed budget.

7.5 Customers are likely to choose varied forms of care and support to meet their specific outcomes, as defined in their care and support plan. Where a customer has capital in excess of the higher capital limit and is therefore required to pay the full cost of their care and support, they are still entitled to request services to be arranged by the council. The council will charge an annual fee for arranging and administering personal accounts for all customers that are able to pay the full cost of their care and support. The annual fee cost is set out along with the relevant higher and lower capital limits, on the council website at www.york.gov.uk.

7.6 Customers will have the option to take a personal budget as council commissioned services or as a direct payment or a combination of both. Customers that take their personal budget as a direct payment may purchase alternative types of care to meet their care and support needs as defined in Sections 31 to 33 of The Care Act 2014.

7.7 The council has a specific ‘Direct Payments’ policy that sets out the criteria for care and support being managed through Direct Payments.

7.8 The council will undertake a financial assessment to determine the amount a customer can contribution towards their care and support costs. The council will undertake a financial assessment based, as a minimum, on income, capital, housing costs and disability related expenditure (DRE). Customers with capital in excess of the higher capital limit will be responsible for meeting all of their care and support costs. Evidence will be required to substantiate fully a customer’s financial circumstances. Please refer to schedule A of this policy for guidance in relation to DRE.

7.9 Where a customer has capital in excess of the higher capital limit, they can request a ‘light-touch’ financial assessment. Similarly, where undertaking a full financial assessment may be disproportionate to the cost of care and support services, customers can request a ‘light-touch’ financial assessment. The

council will takes steps to assure that the customer is willing and will continue to be willing to pay all charges due.

7.10 The council will ensure that customers retain at least the 'Minimum Income Guarantee' This retained income level is designed to promote independence and social inclusion and is intended to cover basic needs such as purchasing food, after housing costs have been taken into consideration. Direct housing costs will only be considered where the customer is liable for such costs, i.e. holds the tenancy agreement or is party to the mortgage. The 'Minimum Income Guarantee' ensures that the customer retains income to the equivalent of Income Support or Guaranteed Credit element of Pension Credit, plus a minimum buffer of 25%.

7.11 The financial assessment will refer to Care and Support Statutory Guidance for all disregards in respect of income and capital when making a determination of the customer's financial resources.

7.12 Following the financial assessment has been concluded, the customer will be informed of the annual and equivalent weekly amount they must contribute towards their care and support costs. Customers will not be charged more than the amount determined by the financial assessment. Contributions are payable from the date care commences. Customers that require services to be arranged by the council will be invoiced on a monthly basis in arrears for their care costs. Customers receiving their care and support costs through direct payment will receive 'net' payments monthly in advance, to which they must then make arrangement pay their contribution.

7.13 All financial assessments will be reviewed with the customer or their financial representative on an annual basis, and changes applied from the Monday following re-assessment.

7.14 Personal accounts will be reconciled annually, normally in the same month as the customer's annual financial review takes place. The reconciliation will take into account the actual cost of care, against the actual amount the customer has contributed. Where the cost of care is greater than expected, and the customer has been assessed as being able to pay that amount, then the customer will be charged extra. Where the actual cost

of care is less than what a customer has contributed, the customer will be refunded the amount they have overpaid.

7.15 Customers will continue to have access to their personal budget throughout hospital stays and holidays. Personal accounts will only be closed where agreement is reached between care management and the customer. All personal accounts are reconciled upon closure.

8.0 Charging and financial assessment for support for carers

8.1 The Care Act 2014 provides councils with the power to charge for support for carers, where they have an eligible support need in their own right, providing the adult they care for also meets the eligibility criteria for care and support.

8.2 The support which the council can charge for must not be provided directly to the adult being cared for under any circumstance.

8.3 Where the council decides to charge for support to carers, the financial assessment will follow the same calculation methodology as those receiving care and support outside of a care home. This will normally be a light-touch financial assessment, however the carer can request a full financial assessment if they so wish.

9.0 Financial Assessment Considerations

9.1 Deprivation of income and/or assets is the disposal of income and capital (property and investments) in order to avoid or reduce care charges. Disposal can take the form of transfer of ownership or conversion into a disregarded form. In all cases, it is up to the customer to prove to the council that they no longer possess an income or an asset. The council will determine whether to conduct an investigation into whether deprivation of income or assets has occurred. Where an investigation is conducted, this will be conducted under guidance contained within the Regulation of Investigatory Powers Act 2000. Following the investigation, where the council decides that a customer has deliberately deprived themselves of an asset or income in order to reduce a charge for care and

support, the local authority will initially charge the customer as though they still owned the asset or income.

9.2 Property other than the customer's main or only home will be included within the financial assessment as a capital asset. The only exception to this rule is where the customer is taking steps to occupy premises as their home. In this case the asset value will be disregarded for a maximum of 26 weeks.

9.3 The Care Act 2014 requires that financial assessments are completed for customers as individuals. Where capital is held and income is received on a joint basis, then it is assumed that each person is entitled of 50% of that income. A couple is defined (for administration of their financial affairs) as two people living together as spouses or partners.

9.4 The council will not undertake a financial assessment for customers in Adult Placement Schemes, due to the nature of the scheme. Customers will be advised of the amount they will need to pay their carer by the care manager or service provider.

9.5 Allowable housing costs (e.g. rent/mortgage/council tax) will only be allowed in the financial assessment where the customer is liable to pay these costs. Where the customer is not liable for these costs, but contributes towards these through a private board agreement or similar, then the customer will be expected to meet this expenditure from their guaranteed income.

9.6 Where funds are held in trust, the financial assessment will seek to determine whether income received or capital held in trust should be included or disregarded. Copies of trust documents (e.g. Trust Deed, Will Settlement etc) are required to be produced as part of the financial assessment.

9.7 Where the customer receiving care and support has capital at or below the higher capital limit, but more than the lower capital limit, they will be charged £1 per week for every £250 in capital between the two amounts. This is called "tariff income". For example, if a person has £4,000 above the lower capital limit, they are charged a tariff income of £16 per week.

1.0 Ability to pay

ANNEX C

1.1 The purpose of the financial assessment is to ensure that the level of financial contribution calculated is within customers' means and leaves the customer in receipt of the guaranteed minimum level of income set by the Government.

2.0 Recovery of Debt

2.1 The Care Act 2014 consolidates the council's powers to recover money owed for arranging care and support for a customer. These powers can be exercised where a customer refuses to pay the amount they have been assessed as being able to pay, or have been asked to pay (where the cost of care and support is less than their assessed contribution).

2.2 The powers granted to the council for the recovery of debt also extends to the customer or their representative, where they have misrepresented or have failed to disclose (whether fraudulently or otherwise), information relevant to the financial assessment of what they can afford to pay.

2.3 The council will approach the recovery of debt reasonably and sensitively and will only take Court action as a last resort.

2.4 The initial stage of debt recovery will involve discussing the debt with the customer or their representative. Social workers will be advised of the debt and will become involved as appropriate. In all cases the desired outcome is to prevent debt escalating and for the customer to enter into affordable repayments of the debt as well as being able to pay ongoing costs as they arise.

2.5 The council will give regard to the level of debt and the cost of recovery, and will not proceed with recovery action where the cost of recovery would be disproportionate.

2.6 The council will only proceed with Court action where all alternatives have been exhausted. At this stage the council will proceed with action through the County Court.

2.7 All debt that arises from 1st April 2015 must be recovered within 6 years from when the sum became due to the council.

ANNEX C

Schedule A – Disability Related Expenditure

i. Customers that are in receipt of care in all settings with the exception of permanent care in a care home, and are in receipt of disability benefits (Attendance Allowance/Disability Living Allowance and Personal Independence Payment) will be asked about additional costs incurred as a direct result of their disability. Allowances will be made where costs are not, and would not expect to be met by the council.

ii. Only costs incurred by the customer will be considered as part of the assessment as allowable expenditure.

iii. The council has the right not to allow costs that should be met by other agencies, such as the NHS. This applies to therapies such as physiotherapy, chiropody and incontinence pads

iv. The council will include the following disability related expenditure within the financial assessment

- Payment for any community alarm system
- Costs of any privately arranged care services required
- Costs of any specialist items needed to meet the person's disability needs:
    - day or night care for which the customer has an eligible need but is not being provided by the council;
    - specialist washing powders or laundry;
    - additional costs for dietary needs due to illness or disability (evidence from the customers GP may be required);
    - special clothing or footwear where this needs to be specially made or altered, or due to additional wear and tear due to the disability;
    - additional costs of bedding, for example, due to incontinence;
    - occasioned by age, medical condition or disability;
    - any heating or metered water costs, above average levels for the area and housing type, occasioned by age, medical condition or disability;
    - reasonable costs of basic garden maintenance, cleaning or domestic help, if necessitated by the

customer's disability and is not met be social services;

- personal assistance costs, including any household or other necessary costs arising for the customer;
- purchase, maintenance and repair of disability-related equipment, including equipment or transport needed to enter or remain in work; this may include IT costs, where necessitated by the disability; reasonable hire costs of equipment may also be included , if due to the waiting of supply of equipment from the council;
- the council will not make allowances at a higher rate where a reasonable alternative is available at a lower cost, for example where incontinence pads are available on the NHS but the customer decided to purchase them privately ;
- specialist internet access for example for blind and partially sighted people;
- other transport costs necessitated by illness or disability, including costs of transport to day centres, over and above the mobility component of DLA or PIP, if in payment and available for these costs. Where the council provides transport and the customer wishes to use alternative transport at a higher cost, the cost of council provision will be used to determine any allowance.

- All other expenditure will be assessed as either an everyday living cost, or will be reviewed as a specific need against the customers' care and support plan.

Schedule B - Complaints

i. A customer may wish to make a complaint about any aspect of the financial assessment or how a local authority has chosen to charge.

ii. The first stage is to ensure that the assessment has been conducted and calculated correctly. Requests for a financial reassessment should be direct to:

The Income Services Manager
Income Services Team
City of York Council
3rd Floor
West Offices

ANNEX C

Station Rise
YORK
YO1 6GA

Or e-mail: cbssincomeservices@york.gov.uk

iii. An officer, independent of the disputed assessment will reassess the information provided by the customer at the time of assessment. Any information omitted from the initial assessment will be considered upon submission; however the council is under no obligation to backdate the outcome to the date of the original assessment. The only exception to this is where benefit income has stopped without the prior knowledge of the customer.

iv. Where the assessment is correct, complaints about the level of charge are subject to the Care and Support Complaints Procedure as set out in The Local Authority Social Services and NHS Complaints Regulations 2009. Complaints should be addressed to.

Have Your Say
Customer Feedback Team
City of York Council
West Offices
Station Rise
YORK
YO1 6GA
Or e-mail: haveyoursay@york.gov.uk

Schedule C – Summary of Publications

i. The following publications have been referred to in the compilation of this policy

- The Care Act 2014
- The Care Act 2014 Regulations Part 1
- The Care Act 2014 Care and Support Statutory Guidance

ANNEX C

- Mental Health Act 1983
- The Local Authority Social Services and NHS Complaints Regulations 2009

Annex D – Schedule of Fees, Charges, Allowances and Rates

The following fees, charges and financial limits are applicable in respect of charging for care and support for adults.

Allowances and Minimum Income Levels

2015-2016

Higher Capital Limit £23250

Lower Capital Limit £14250

Personal Expenditure Allowance £? (usually advised Feb/March by DoH)

Disposable Income Allowance £144 (proposed)

Minimum Income Level 18-24 £ all subject to revised benefits rates confirmed Feb 15

Minimum Income Level 25-64 £ Tbc

Minimum Income Level 65+ £ Tbc

The 'Local Authority Rate' (the maximum the local authority will pay towards care in a care home)

Residential £435.45

Residential EMI £460.30

Nursing £549.85 (including Free Nursing Care Costs paid by the NHS £XXX.XX (rate normally advised first week of April by NHS)

Nursing EMI £571.45 (including Free Nursing Care Costs paid by the NHS £XXX.XX)

CYC EPH £ Tbc

22 The Avenue £ Tbc

Flaxman Avenue £ Tbc

Annual charge for arranging care and support for customers with capital in excess of the higher capital limit £280 pa

Deferred Payment Arrangement Fee Initial Cost £221

Breakdown:

Deferred Payment Agreement Costs	**£**
Document Preparation, signing and return copy to customer	8
Land Registry Title Search Fee	3
Land Registry Charge Registration	40
Legal Team Costs (Registration)	20
Initial Professional Valuation Cost	150
Initial Costs	**221**

Ongoing Costs	
Subsequent Professional Valuation Costs	75
Monthly Invoice Printing and Postage	1
Half yearly statement of account	2.50
Monthly account management, monitoring and application of interest	2.50
Final account preparation and account closure	8

Cabinet **16 December 2014**

Report of the Cabinet Member for Environmental Services, Planning and Sustainability

City of York Local Plan - Housing Numbers

Purpose of the Report

1. The purpose of this report is to update Members on the Local Plan following the Council Resolution on 9th October 2014 and to outline what actions are being taken to respond to the requirements of the motion.

Background

2. The Council motion passed at the Full Council meeting on 9th October 2014 states that the draft local plan approved by Cabinet on the 25th September 2014 'does not accurately reflect the evidence base and is therefore not based on objectively assessed requirements, is not the most appropriate strategy and has ignored reasonable alternatives rather than to test the approach against them and is not deliverable over the plan period and is contrary to the combined methodological approach of the Leeds City Region'.

3. The motion also states that 'Council believes that the current proposals fail to adequately reflect the results of the citywide consultations undertaken in July 2013 and July 2014' and that 'the current proposals will result in the plan being found unsound by the planning inspector leaving the city vulnerable'.

4. The motion requests that in order to accurately reflect objectively assessed requirements officers should produce a report on the housing trajectory to be brought back to the next meeting of the Local Plan Working Group (LPWG) along with the relevant background reports. The LPWG will then agree an accurate analysis of the housing trajectory that is objective, evidence based and deliverable. This analysis will then be used to inform housing allocations and a new proposed Local Plan to be

brought back to the next LPWG for discussion and recommendation to Cabinet in November'.

Housing Need

5. The requirement for new homes is inevitably one of the most contested components of the Local Plan. In national guidance and at examinations it has been made clear that determining the housing requirement is not an exact science. Projecting population change and the consequent formation of households over a 15 to 20 year period is fraught with uncertainty.

6. This means we need to do the evidence base work necessary to understand the uncertainties and devise a policy approach and package of sites that best manages the uncertainty and ensures enough land is available to deliver the housing York needs.

7. The National Planning Policy Framework (NPPF) clearly says that Plans should make provision to meet need and should seek to boost housing supply with the caveat of ensuring that this does not conflict with the other key principles of the NPPF. The approach of examining need and then considering the implications for other policy components of NPPF leads to a two stage process

    - Establishing the Objectively Assessed Need; and
    - Testing the need against the other policy components of NPPF to determine the requirement and the supply.

8. The NPPF requires that Local Planning Authorities identify the objectively assessed need for housing in their areas, and that Local Plans translate those needs into land provision targets. Like all parts of a development plan such housing targets should be informed by robust and proportionate evidence.

9. Paragraph 17 of NPPF sets out a set of core land-use planning principles which should underpin both plan-making and decision-taking. This includes the following principle:

    "Every effort should be made objectively to identify and then meet the housing, business and other development needs of an area, and respond positively to wider opportunities for growth. Plans should take account of market signals, such as land prices and housing affordability, and set out a clear strategy for allocating sufficient land which is suitable

for development in their area, taking account of the needs of the residential and business communities"

10. It is important to minimise delay in the preparation of the Local Plan in order to reduce the risks of not having a planned approach to development and to help to secure the right development for York. In addition there are associated risks that delay may hinder the delivery of key projects for the Council and key stakeholders as well as the potential financial risk associated with the Council's ability to utilise planning gain and deliver strategic infrastructure.

City of York Local Plan – Housing Options

11. Following the Council resolution and the halting of the Local Plan Publication Consultation officers have been looking at the best way to respond to the requirements of the motion.

12. In order to facilitate an approach which allows members to understand and question the objectively assessed housing need evidence base officers organised a Local Plan Housing seminar for all Council Members to look at the approach to housing figures in detail. It was considered that this approach would help to inform members of the requirements of an objective assessment of housing need, provide a greater understanding of the technical evidence base produced to support the Local Plan to date and therefore help to inform the debate at any subsequent Local Plan Working Group.

13. All members of the Council were invited to the seminar which took place on Monday 1st December 2014 and in addition invitations were sent to Julian Sturdy MP and Hugh Bayley MP.

14. It was considered by officers that the seminar should be independently chaired and facilitated by the Planning Advisory Service (PAS). The Planning Advisory Service is a national organisation funded by central government which essentially promotes best practice in Planning. The role of PAS is to help local authorities to get an up to date local plan in place so that they have a framework for making local decisions. Their role is to provide support to local authorities to help them to understand what needs to be done to get a 'sound' plan in place and offers a support package which includes a review of evidence base and advice on how to ensure that local plans are compliant with the national planning framework.

15. Adam Dodgson who is the principal consultant at PAS chaired the seminar. In addition PAS also recommended a speaker covering NPPF compliance and related plan-making issues. John Baker who is a Director at consultants Peter Brett Associates but who also undertakes work for DCLG and PAS presented at the seminar on the requirements of NPPF and experience at examinations elsewhere.

16. In addition Christopher Tunnell who is a Director at the planning consultancy Arup, who undertook the housing requirements evidence base for the Local Plan, attended to present and take questions. This presentation covered the requirements of NPPF and National Planning Practice Guidance (NPPG) regarding objectively assessed housing need and the current evidence base for York. Anthony Light, Director at Oxford Economics who produced the employment projections for the Local Plan evidence base also attended to present and answer questions related to the economic evidence base.

17. Following the seminar on Monday 1st December 2014 the presentations from all three speakers along with an additional note produced by Arup on household formation rates was circulated to all attendees of the seminar and to members of the Local Plan Working Group. The information circulated to members is attached in Annex A to this report.

18. Following the seminar it is proposed to produce a report to the Local Plan Working Group on housing options. This will include further technical analysis related to housing options. It is anticipated that this will be followed by a further report to Local Plan Working Group which will outline the way forward on the Local Plan.

19. Once a position on the Local Plan has been agreed by Members the revised plan will need to be subject to additional evidence base work including sustainability appraisal; heritage; transport and viability and deliverability.

20. Once this further evidence base work has been completed and a revised plan produced and agreed by Members it will then need to be subject to a statutory six-week Publication consultation. Following the Publication consultation Council will be asked to approve the Publication Draft Local Plan for Submission which will then be subject to examination by a member of the Planning Inspectorate before being finally adopted.

Options

21. There are no options pertinent to this report.

Council Plan

22. The information in this report accords with the following priorities from the Council Plan
    - Create jobs and grow the economy
    - Get York moving
    - Build strong communities
    - Protect the environment

Implications

23. The following implications have been assessed.

    - **Financial** – Work on the Local Plan is funded through the Local Plan Reserve. A review of the Local Plan reserve is being undertaken to see whether all commitments can be funded. There are financial implications arising from both the current exercise of holding the local plan housing seminar and in addition from the need to further update the local plan evidence base and supporting documents.
    - **Human Resources (HR)** – The production of a Local Plan and associated evidence base requires the continued implementation of a comprehensive work programme that will predominantly, although not exclusively, need to be resourced within CES.
    - **Community Impact Assessment -** A Community Impact Assessment (CIA) has been carried out for the local plan to date and highlights the positive impact on the following groups: age, disability and race. The full CIA is attached to this report in Annex I.
    - **Legal** – The procedures which the Council is required to follow when producing a Local Plan derive from the Planning and Compulsory Purchase Act 2004 (as amended) and the Town and Country Planning (Local Development) (England) Regulations 2012.
      The legislation states that a local planning authority must only submit a plan for examination which it considers to be sound. This is defined by the National Planning Policy Framework as being:

        - **Positively Prepared:** based on a strategy which seeks to meet objectively assessed development and infrastructure requirements;

- **Justified:** the most appropriate strategy, when considered against the reasonable alternatives, based on proportionate evidence;
- **Effective:** deliverable over its period and based on effective joint working on cross-boundary strategic priorities; and
- **Consistent with national policy:** enable the deliver of sustainable development in accordance with the policies in the Framework.

The Council also has a legal duty to comply with the Statement of Community Involvement in preparing the Plan. (S19(3) 2004 Act). Planning Inspectorate guidance states that "general accordance" amounts to compliance.
The Council also has a legal "Duty to Co-operate" in preparing the Plan. (S33A 2004 Act).

- **Crime and Disorder** – The Plan addresses where applicable.
- **Information Technology (IT)** – The Plan promotes where applicable.
- **Property** – The Plan includes land within Council ownership.
- **Other –** None

Risk Management

24. In compliance with the Council's risk management strategy, the main risks in producing a Local Plan for the City of York are as follows.

- The risk that the Council is unable to steer, promote or restrict development across its administrative area
- The potential damage to the Council's image and reputation if a development plan is not adopted in an appropriate timeframe.
- Risks arising from failure to comply with the laws and regulations relating to Planning and the SA and Strategic Environmental Assessment processes and not exercising local control of developments.
- Risk associated with hindering the delivery of key projects for the Council and key stakeholders.
- Financial risk associated with the Council's ability to utilize planning gain and deliver strategic infrastructure.

25. Measured in terms of impact and likelihood, the risks associated with this report have been assessed as requiring frequent monitoring.

Recommendations

26. It is recommended that Members note the contents of this report.

Reason: So that an NPPF compliant Local Plan can be progressed

Contact Details

Author:	**Chief Officer Responsible for the report:**
Rachel Macefield Forward Planning Team Manager Tel: 551356	Sarah Tanburn Interim Director of City & Environmental Services Tel: 551330

Cabinet Member Responsible for the Report:
Cabinet Member for Environmental Services, Planning and Sustainability

Report Approved √ **Date** 08/12/14

Specialist Implications Officer(s) N/A
Wards Affected: *List wards or tick box to indicate all* *All*

For further information please contact the author of the report

Background Papers:

Annex A – Local Plan Housing Seminar presentations

Glossary of Abbreviations used in the report:

LPWG - Local Plan Working Group
NPPF - National Planning Policy Framework
PAS - Planning Advisory Service
DCLG – Department for Communities & Local Government
CES – City & Environmental Services
CIA - Community Impact Assessment
SA – Sustainability Appraisal

This page is intentionally left blank

Annex A

Dear Members

Please find attached the three presentations from the session, along with the additional note from Arup ("Arup household formation note ISSUE") on the calculation of the population to clarify what happens after 2021 with reference to the 2011 interim projections.

I also wanted to add my summary from the afternoon, should that prove useful.

- The importance of having a plan in place really can't be overemphasised. Without it, local control and management of development is not possible, and decisions are based solely on the NPPF.
- But the plan has to be produced in the context of national policy. This is not a 'blank sheet of paper' exercise, nor should we lose sight of the wider debate.
- This is not the quest for a housing number, it is the plan which delivers the vision for York that you all have. The vision should be the driver, linking housing with jobs, and with the environment.
- When assessing supply, it is important to leave no stone unturned and be genuine and realistic in the assessment of options.
- The evidence base you have, for the objective assessment of housing need and for the jobs and economic growth, is robust, and based on nationally accepted and comparable methods.
- This evidence will assist you in the crucial exercise of balancing potential harm with potential benefits, and in ensuring the benefits outweigh the harm. There is never an absence of harm, but with proper planning, the benefits should always outweigh the harm.
- Finally, with regard to the green belt, I just wanted to highlight the requirement to set the boundary through the local plan, and to do so with regard to the need to ensure the boundary can endure beyond the life of the plan. There is no set definition of 'how long' but general advice from the Inspectorate is to look at least 10 years beyond, and probably beyond the following plan period. In order to set defensible boundaries that need not be altered sooner, it is often practical to identify some 'safeguarded land'. This is land that it is clear is likely to be required to accommodate future housing growth beyond the current plan period, but is not required in the current plan period. By safeguarding the land, it will mean that future plans can accommodate that growth without a further review of the green belt. I hope this is clear, but I understand a note can be provided by John Baker should this be considered helpful.

Kind regards

Adam

Adam Dodgshon MA, MRTPI
Principal Consultant
Planning Advisory Service

York Local Plan
Your Plan –Your Job

members' workshop

John Baker

pba peterbrett

PAS planning advisory service

dealing with

- why a plan?
- housing provision in local plans
- co-operative planning
- Green Belt
- going forward

Why have a plan?

- To provide for the needs of the community
- To direct development to the right places – and away from the wrong places
- To achieve development of the right quality
- To join up the activities of different parties to achieve common objectives
- To attract investment through the confidence that comes of having a strategy in place

the plan making context

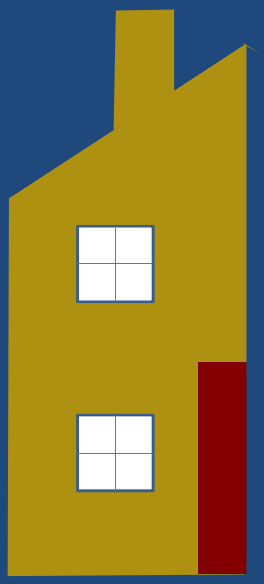
National Planning Policy Framework March 2012

- establishing national policy, distinct from guidance, in accessible form
- refinement of all previous policy statements

National Planning Practice Guidance March 2014

- explanation of some parts of the Framework and capturing the evolution of good practice

housing requirements are the driver



250,000 homes needed each year

125,000 homes being provided

making provision in the plan

" to boost significantly the supply of housing "

" Local planning authorities should...seek to ensure that their Local Plan meets the full, objectively assessed needs for market and affordable housing... "

Framework March 2012

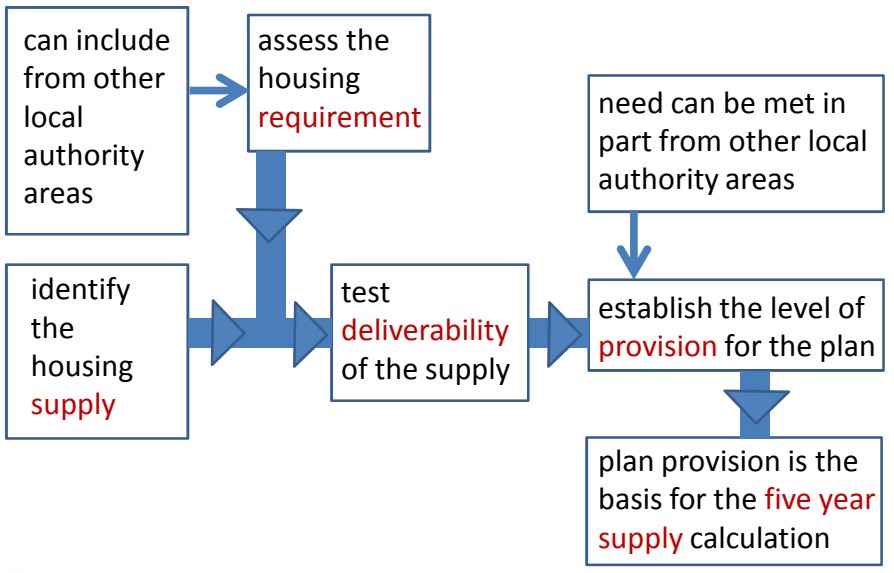
critical points

- local planning authority is responsible for identifying the housing requirement for its area, as part of the wider Housing Market Area
- the plan sets out the level of provision to be made
- requirement and provision have to be rooted in evidence
- housing provision has to be part of an integrated plan
- the provision made in the plan can be less than the identified requirement, but the planning authority will have to provide substantive justification for this approach

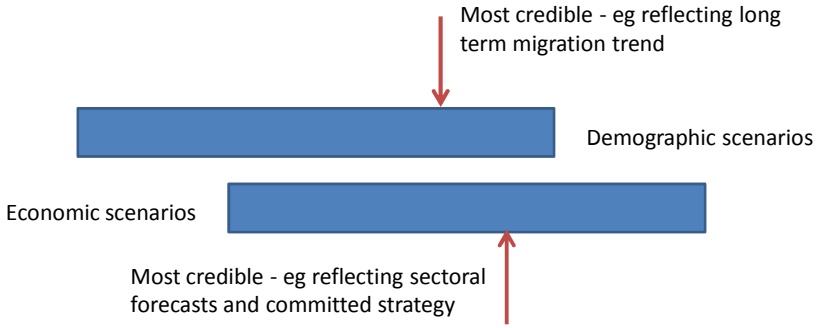
five year supply and development management

- in the absence of a plan and / or a five year supply, the Council is prone to predatory planning applications
- the presumption in favour of sustainable development at the heart of the Framework means permission should be granted unless any adverse impacts would significantly and demonstrably outweigh the benefits

housing numbers for a planning authority



approach to setting the housing requirement now established by combining demographic and economic scenarios



- if economic led requirement greater, take this
- if lower, use demographic led requirement

duty to cooperate

legal test	- unless met the local plan Examination cannot proceed - straightforward - constructive, ongoing engagement
soundness test	- far more demanding - agreeing to avoid anything difficult does not meet the spirit of the duty to cooperate - local authorities addressing the strategic issues of the functional area of which they are part, in their own local plans - addressing unmet housing requirements from neighbouring authorities is part of a 'positively prepared plan'

the ghost of regional strategies

- use of previous regional strategy housing figures has been formally rejected by Inspectors
- local planning authorities have to produce their own figures using current evidence
- but the spatial strategy may be relevant – places didn't move at abolition

The 'duty to co-operate' requires more than consultation with adjacent Councils and specified bodies. It requires a co-ordinated process for securing sustainable development and resolving strategic issues. From the evidence I have seen I consider that the Council's approach to capture of 'beyond the plan area implications' falls short of fulfilling the 'duty to co-operate'.

Kirklees Plan Inspector April 2013

identifying provision for the plan

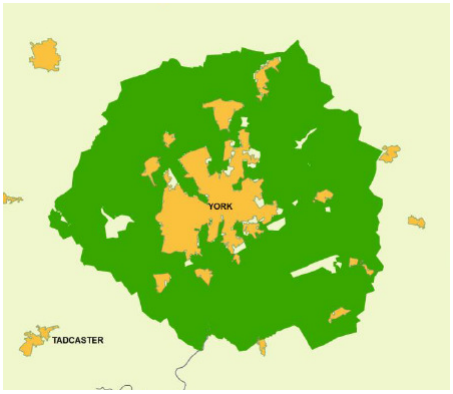
- capacity of the area has to be comprehensively and thoroughly assessed
- the plan – and hence the housing supply – has to be deliverable
- understanding of infrastructure requirements and funding
- critical to engage with developers
- short and long term provision

housing supply for inclusion in the plan

- completions
- commitments (permissions)
- sites within identified settlements assessed in the SHLAA
- sites beyond settlement boundaries allocated or as 'broad locations'
- small sites allowance (or windfalls)

Green Belt policy

- to check the unrestricted sprawl of large built up areas
- to prevent neighbouring towns from merging into one another
- to assist in safeguarding the countryside from encroachment
- to preserve the setting and special character of historic towns
- to assist in urban regeneration by encouraging the recycling of derelict and other urban land



Framework 2012

changes to Green Belt

- national planning policy has always provided for change to the Green Belt to be made through development plans
- the case for change exists in any case where the development requirement exceeds what can be satisfactorily and confidently delivered within the urban areas, and green field land will be needed, some of which is Green Belt. This need constitutes 'exceptional circumstances'
- Green Belt is not sacrosanct

safeguarded land

- the framework requires the planning authority to 'satisfy themselves that Green Belt boundaries will not need to be altered at the end of the development plan period'
- 'where necessary identify in their plans areas of 'safeguarded land' between the urban area and the Green Belt, in order to meet longer term development needs strategy well beyond the plan period'
- another requirement of a Green Belt review - but how much safeguarded land?

Having identified the full objectively assessed needs figure the decision maker must then consider the impact of the other policies set out in the NPPF. The Green Belt policy is not an outright prohibition on development in the Green Belt. Rather it is a prohibition on inappropriate development in the absence of very special circumstances. It is entirely circular to argue that there are no very special circumstances based on objectively assessed but unfulfilled need that can justify development in the Green Belt by reference to a figure that has been arrived at under a revoked policy which was arrived at taking account of the need to avoid development in the Green Belt.

Hunston Properties – High Court Decision September 2013

deliverability

- the plan should be deliverable over its plan period
- local authorities should identify and update annually a supply of specific deliverable sites to provide five years worth of housing against their housing requirements
- deliverable means available now, offers a suitable location for development now, and be achievable with a realistic prospect that housing will be delivered on the site within 5 years, and in particular that development of the site is viable
- this emphasis is forcing plans to identify smaller, easily deliverable sites in strong market areas, rather than complex regeneration areas or strategic sites with long lead times

critical role of viability

sites have to be viable (capable of providing competitive return) when all costs and values taken into account, including:

- identified infrastructure requirements
- payments due under CIL and s106
- effect of plan policies, such as affordable housing and sustainable construction

all of which should be dealt with in a good plan through common use of viability evidence

five year supply

- Framework requires plan to identify a five year supply to be sound
- supply for next five years to make up any backlog and shortfall ('Sedgefield' method)
- NPPG confirms this as preferred practice to address the spirit of the Framework
- supply to be found is 5 years of provision plus 5% or 20% for flexibility

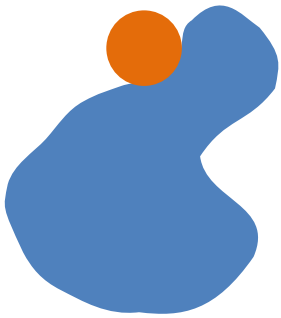
these issues don't go away if ignored

in the absence of a plan

- five year supply is the critical argument
- without a plan the requirement to meet is likely to be the latest household projection
- any backlog, shortfall and flexibility allowance all to be added to the supply to be found
- availability, viability, lead times and sales rates are all questions for deliverability of claimed supply

in the absence of a plan

- policies in plan that are out of date (by not addressing current housing requirements for instance) are not given weight by Inspectors
- the critical example is a site beyond the defined development boundary of a settlement



one message

compelling evidence provides planning control

York Local Plan
Your Plan –Your Job

members' workshop

John Baker

pba peterbrett

PAS planning advisory service

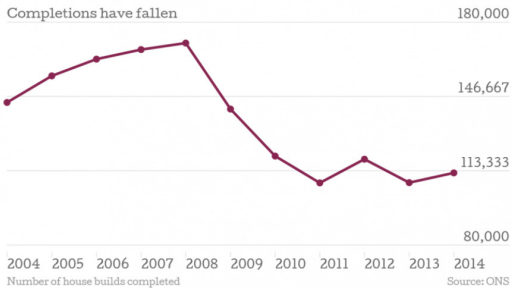
York's Objectively Assessed Need for Housing

Chris Tunnell and Dan Evans, Arup

ARUP

Government priorities for delivering housing

- To meet full needs for market and affordable housing, unless not consistent with other government policies
- To proactively drive and support housing growth
- To be plan-led, empowering people to shape their surroundings
- To protect the Green Belt



2

ARUP

National Planning Policy Framework

Presumption in favour of sustainable development

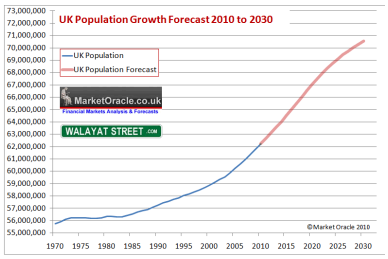
Where the development plan is absent, silent or relevant policies are out-of-date, granting permission unless:

- any adverse impacts of doing so would significantly and demonstrably outweigh the benefits, when assessed against the policies in this Framework taken as a whole; or
- specific policies in this Framework indicate development should be restricted." (NPPF Para 14)

National Planning Policy Framework

Housing evidence base should identify the scale and mix of housing which:

- meets household and population projections, taking account of migration and demographic change;
- addresses the need for all types of housing, including affordable housing and the needs of different groups in the community; and
- caters for housing demand and the scale of housing supply necessary to meet this demand. (NPPF Para 159)
- Five year housing land supply: 5% buffer or 20% buffer (moved forward from later in the plan period). (NPPF Para 47)



Challenges

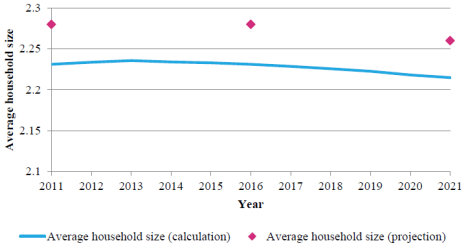
- Population and household projections keep being updated – 2008-based, 2010-based, interim 2011-based, 2012 based
- Recession has challenged some of the assumptions used
- Average household size – long-term decline has slowed (likely as a result of the recession, expected to revert to previous trends)
- Requirement to take neighbours' position into account, through the duty to co-operate.
- Expectation that the housing number is up-to-date and tells a story at Examination.

What does the data tell us?

We've looked at different sources of data:

Source	Annual requirement / projection	Comment
RSS	850	2008 onwards
2008-based	1,181	
Interim 2011-based	838	Indexed past 2021
OEF base	869	

Household size



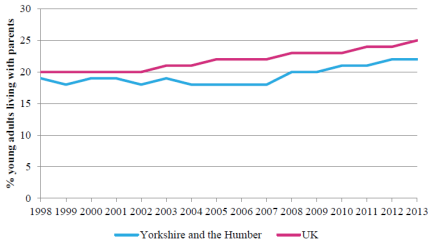


Figure 18 Percentage of young adults (20-34 year olds) living with parents

Linking housing and economy

- National Planning Policy Guidance (NPPG) states that: 'Plan makers should make an assessment of the likely growth in job numbers based on past trends and/or economic forecasts as appropriate'
- If not – likely to lead to increased commuting

Source	Annual requirement / projection	Comment
Objectively assessed need	838-869	
Housing to support economic growth	877	OEF Scenario 2

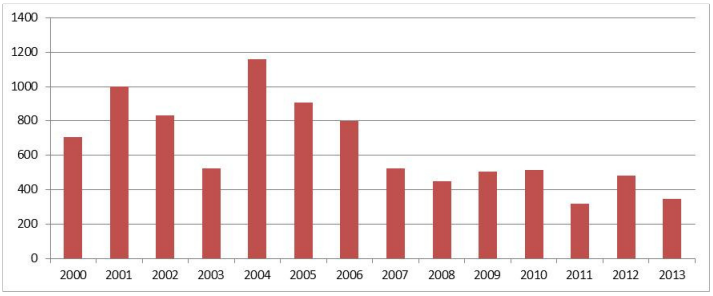
Edge Analytics for York

- The likely housing requirement that will arise from a forecast based on the 'official' 2012-based sub-national population projection (SNPP) for York, issued by ONS in May 2014.
- The likely housing requirement that will arise from a forecast linked to the June 2014 release of the Regional Economic Model (REM) employment forecast for York.
- Edge Result 806 – 958 dpa requirements (Arup/OEF 838 – 877dpa)
- Lower number reflects their assumption of larger household size
- Higher number reflects their economic forecasts (which are higher than OEF)
- Overall conclusion is of similar range of requirement
- We await imminent 2012-based household projections!

9 ARUP

York Completions

Completions 2000 – 2014 = average 648 dwellings per annum



10 ARUP

Household Projections in Surrounding Authorities

Figure 1 Comparison of household growth projections in surrounding authorities to York[1]

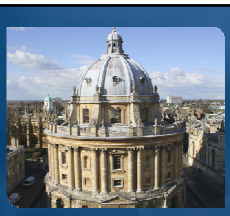
Local Authority	2003 Projected Household Growth (2006 to 2026)[2]		2004 Projected Household Growth (2006 to 2026)		2006 Projected Household Growth (2006 to 2026)		2008 based Projected Household Growth (2006 to 2026)		Interim 2011 based Projected Household Growth (2011 to 2021)		2012 based Projected Household Growth (2012 to 2037)		RSS Annual Allocation 2008-2026	Annual average net completions, 2004 - 2012[3]	Adopted / Emerging Core Strategy annual average requirement
	Total	Annual average	Total	Annual average	Total	Annual average	Total	Annual average	Total	Annual average	Total	Annual average			
East Riding of Yorkshire	37,130	1,857	47,000	2,350	51,000	2,550	42,000	2,100	13,421	1,342	32,800	1.312.	1,150	997	1,400
Hambleton	7,110	356	9,000	450	9,000	450	6,000	300	2,506	250	3,500	140	280	210	285[4]
Harrogate	15,010	751	19,000	950	23,000	1,150	16,000	800	5,307	530	10,500	420	390	359	390
Leeds	52,140	2,607	66,000	3,300	113,000	5,650	111,000	5,550	40,815	4,082	119,300	4,772	4,300	2,780	4,375[5]
Ryedale	3950	198	5,000	250	7,000	350	5,000	250	1,286	129	3,000	120	200	146	200
Selby	7,110	356	9,000	450	10,000	500	11,000	550	4,603	460	15,100	604	440	470	450
York	-[6]	-	22,000	1,100	28,000	1,400-	26,000	1,300	6,987	699	29,000	1160	850	648	N/A

[1] Annual averages are calculated by dividing by n years rather than n+1 years, in order to allow comparisons between reports.
[2] The 2003 household projections were only produced at a regional level. Therefore a calculation based on the 2004 household projections has been carried out. The 2003 household projections predicted a 17,700 annual increase in households in Yorkshire and the Humber up to 2026. The 2004 household projections predicted an annual increase of 22,000 households in the region up to 2026. The district level 2003 household projections have been calculated by using 79% of the 2004 district household projections.
[3] Figures taken from the respective LPAs Annual Monitoring Reports
[4] Hambleton Core Strategy, Adopted April 2007. Core Strategy sets out 285 annual average net additional dwellings between 2008 and 2021, based on 320 units per annum from 2004 until 2011, 290 units per annum between 2011 and 2016 and 260 units per annum between 2016 and 2021.
[5] Leeds City Council (2012) The Leeds Publication Draft Core Strategy, sets out to deliver 70,000 net additional dwellings per annum between 2012 and 2028, this equates to an annual average of 4,375. This figure is also included in the Proposed Main Modifications document, submitted to the Inspector in May 2014.
[6] 2003 data is not available for this update.

Components of Change

Figure 2 Comparison of population growth projections in surrounding authorities to York

Data source	Component	East Riding	Hambleton	Harrogate	Leeds	Ryedale	Selby	York
2008 based sub national population projections (2008-2033)	Net natural change	-1,700	-3,000	-2,400	130,700	-3,000	3,600	15,100
	Net internal migration	88,600	11,800	23,800	-82,900	8,400	17,900	-12,300
	Net international migration	12,300	2,400	7,500	180,600	5,000	2,500	47,600
	Net cross border migration	-2,300	0	0	300	0	-2,500	0
	Total population change	**80,900**	**10,200**	**27,600**	**227,200**	**9,500**	**22,100**	**51,100**
2010 based sub national population projections (2010-2035)	Net natural change	-22,000	-3,100	-4,200	121,100	-3,800	4,100	11,100
	Net internal migration	64,300	10,800	21,500	-24,200	5,900	14,500	4,000
	Net international migration	5,000	100	200	66,600	2,400	2,600	15,500
	Net cross border migration	0	0	-2,300	-2,500	0	-2,500	200
	Total population change	**45,700**	**7,100**	**16,300**	**158,300**	**3,000**	**20,200**	**30,100**
Interim 2011 based sub national population projections (2011-2021)	Net natural change	-4000	400	1,100	45,000	-1,000	2,800	5,800
	Net internal migration	25,600	2,800	5,400	11,700	2,200	6,000	1,000
	Net international migration	3,000	0	1,100	34,300	1,000	1,300	8,300
	Net cross border migration	0	0	900	-1,000	0	-1000	100
	Total population change	**23,900**	**3,200**	**7,300**	**88,900**	**1,800**	**9,900**	**14,800**
2012 based sub national population projections (2012-2037)	Net natural change	-24,500	-3,700	-5,400	106,200	-3,900	2,600	9,700
	Net internal migration	49,600	7,900	24,000	-41,800	6,300	11,000	-5,700
	Net international migration	7,700	0	-7,400	57,900	0	2,500	22,700
	Net cross border migration	-2,500	0	0	-2,500	0	0	2,500
	Total population change	**32,800**	**3,500**	**10,500**	**119,300**	**3,000**	**15,100**	**29,000**



York economic outlook

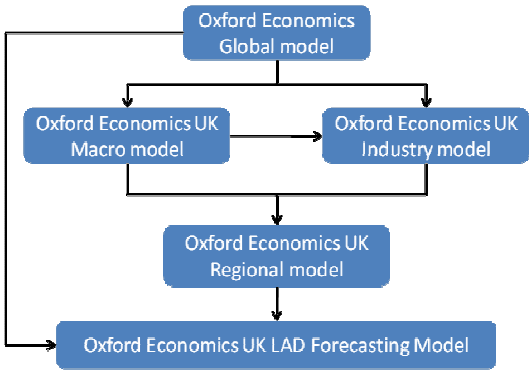
Anthony Light

alight@oxfordeconomics.com

1st December 2014

OXFORD ECONOMICS

Forecasting the York economy



- Forecasts for York are produced via a suite of econometric models incorporating economist judgement
- Global and national factors, as well as local drivers, influence the outlook for Yorkshire & Humber and York
- E.g.
  - World trade influences the UK's exports
  - National UK Government economic policy impacts on regions and local authorities
  - Industrial make-up of the local economy

OXFORD ECONOMICS

Presentation outline

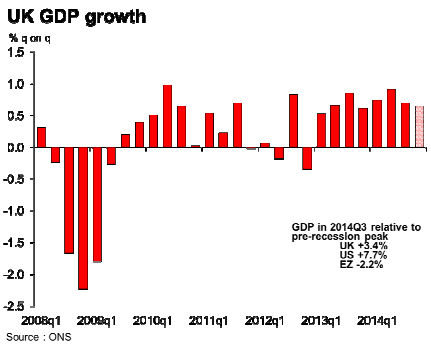
- Macroeconomic overview – the national context for the York forecast
- Economic outlook for York
  - Headline trends
  - Sectoral composition
  - Alternative scenario

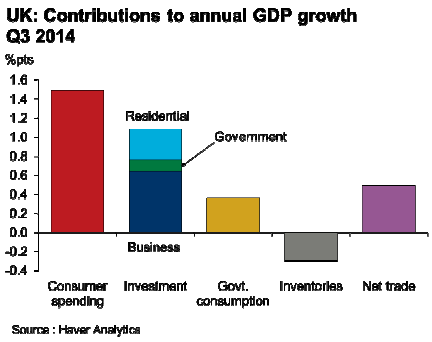
Data/forecasts for York presented in these slides was complied by Oxford Economics in February 2014, using official statistics available at that time

Oxford Economics provided City of York Council with a baseline view and 2 alternative 'higher growth' scenarios

OXFORD ECONOMICS

UK economy is recovering well



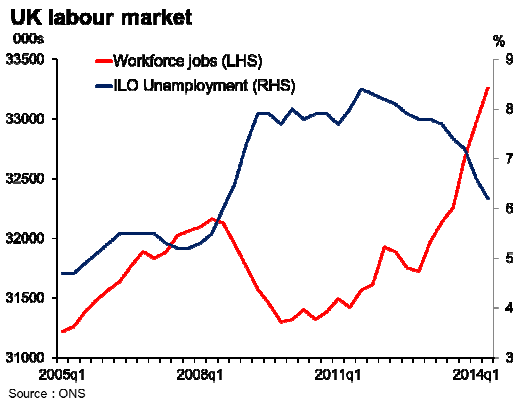


- 2013 was a year of transition for the UK and growth has been maintained since at rates better than initially expected
- UK currently leads the G7 growth league
- We have seen a relatively balanced domestic growth profile during the recovery – its not just the consumer

OXFORD ECONOMICS

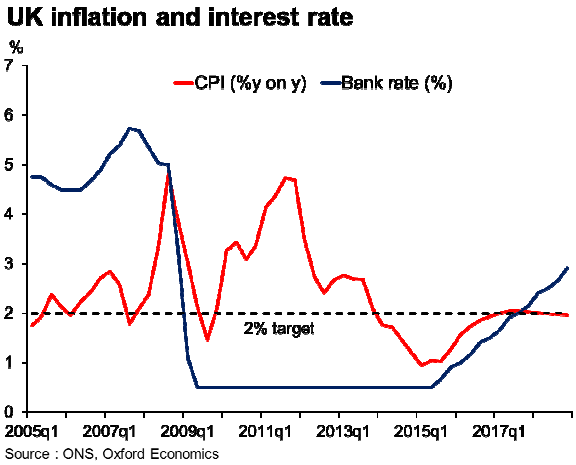
Labour market developments have been particularly strong

- More than 1.5 million jobs have been created in the UK since the beginning of 2013 (twice as many as across the entire EU)
- Gains have boosted full time posts, not just part time or self employed
- Unemployment has fallen much faster than anticipated (last Autumn the BofE forward guidance suggested 7% would be hit in 2016)



OXFORD ECONOMICS

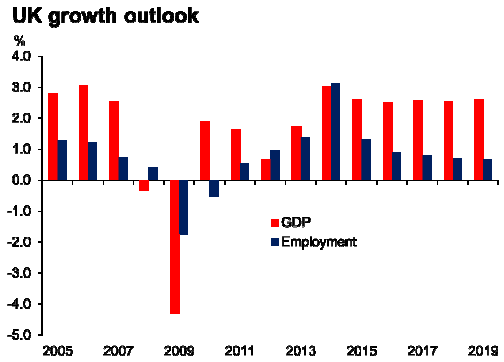
Low inflation and interest rates will be supportive



- Inflation expected to remain below target through 2015/16:-
  - No sign of commodity price pressures – oil price down 33% over the past 6 months
  - Spare capacity remains
  - Base effects (last winter's energy price hikes drop out)
  - Deflation is not a major risk
- First bank rate increase expected in 2015H2. Rises will be slow and steady thereafter

OXFORD ECONOMICS

Growth has passed its high point but should remain solid…



Source : ONS, Oxford Economics

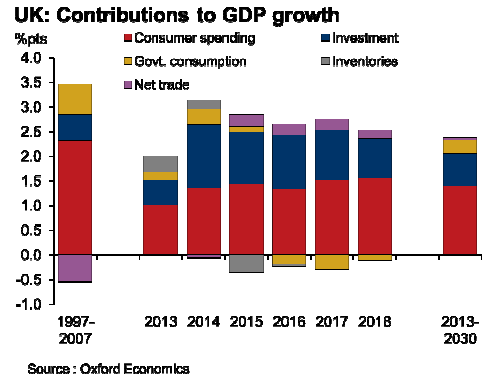
UK growth outlook		
% annual average growth	2014-19	2020-30
GDP	2.6	2.4
Employment	0.9	0.4

Source: Oxford Economics

- Growth will slow in 2015, but is expected to be maintained at rates well ahead of the Eurozone and within touching distance of the US over the medium/long term
- But there are downside risks
  - International – Eurozone weakness, conflicts in Ukraine/Russia and Middle East, Chinese banking crisis
  - Return to classic housing and consumer-led boom and bust
  - Interest rate rises could cause a substantial increase in financial stress amongst UK households, triggering consumer retrenchment
  - EU referendum uncertainty could discourage businesses from investing in the UK

OXFORD ECONOMICS

…and is expected to be more balanced than in the past

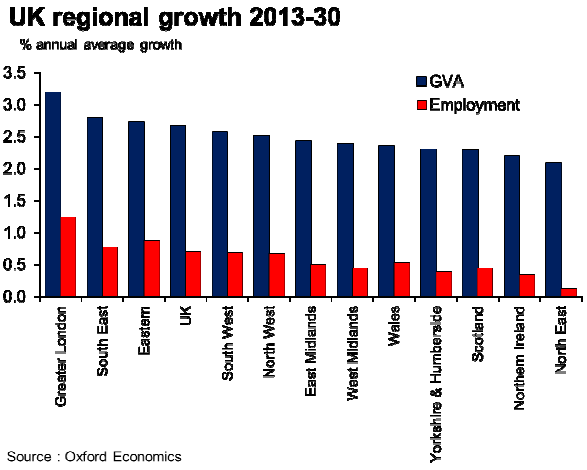


Source : Oxford Economics

- Consumers
  - Spending growth will slow as job creation moderates
  - Interest rates will eventually rise
- Investment
  - Confidence has returned
  - Corporates financial position is strong
  - Much lost ground to be made up
- Government
  - The bulk of cuts are still to come, and most are yet to be allocated
- Trade
  - Stronger medium term outlook for the global economy supports exports

OXFORD ECONOMICS

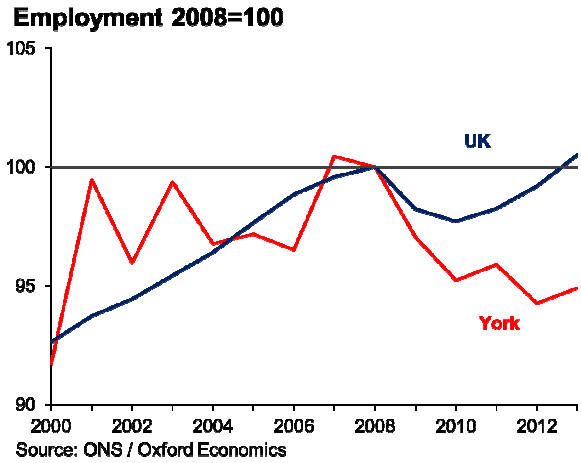
Northern regions fail to match southern neighbours



Source : Oxford Economics

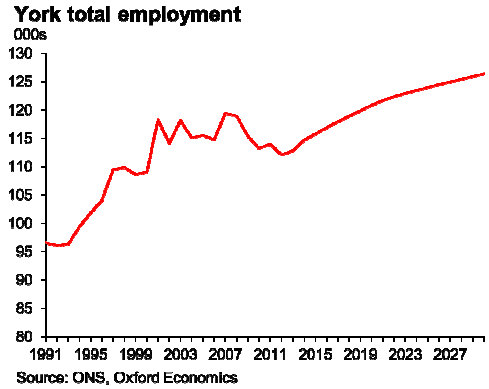
- Growth expected to be fastest in London and other southern regions
- Growth disparities underpinned by demand and supply side structural factors
- E.g.
  - Industrial mix
  - Demographics
- Outlook for YH is broadly comparable with the Midlands and the 'northern England' average

York – employment still below pre-recession peak



Source: ONS / Oxford Economics

York - headline economic growth

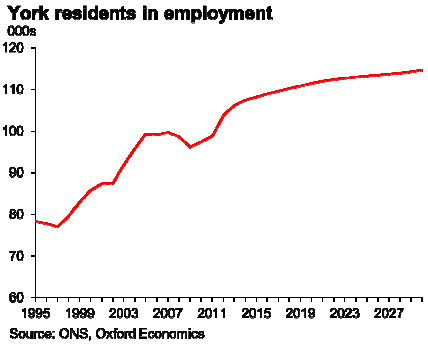


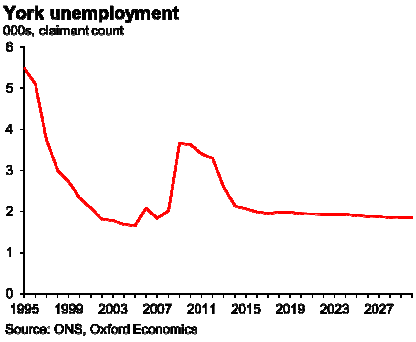
- GVA 2013-30
  - York 2.8% p.a. (Yorkshire & Humber 2.6% p.a.)
  - York grows broadly in line with mainland UK
- Employment 2013-30
  - 13,500 additional jobs in York
  - About half of growth is regaining jobs lost since 2007
  - Job losses during recession more significant in York than YH/UK
  - Around 2020 for York employment to regain pre-recession levels (a little sooner in YH, UK already there)
  - Growth fastest in the short/medium term - cyclical bounce, demographics

11

OXFORD ECONOMICS

York residents benefit from rising employment in York



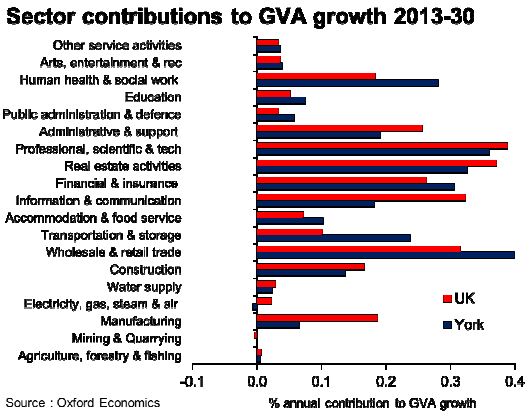


- Jobs created in York are filled by York residents and in-commuters
- York residents benefit from job creation in York, and in surrounding areas
- York residents in employment +8,500 by 2030
- Unemployment returns to pre-recession levels

12

OXFORD ECONOMICS

Sector contributions to GVA growth



Source : Oxford Economics

- 75% of York economic growth will be provided by private services
  - Professional & administrative business services and IT/comms. fastest growing
  - Large wholesale & retail trade sector significant contribution
- Construction and manufacturing make positive contributions but are relatively small
- Mixed outlook for public services (1/5 of economic activity). Pressures especially in the short term
- Sectoral composition of growth broadly reflects national trends

13

OXFORD ECONOMICS

Private services especially important for job creation…

- Professional, scientific & technical services account for 20% of new jobs
- All private services expected to generate jobs
- Public administration bears the brunt of spending cuts, mainly in the short/medium term
- Manufacturing revival is achieved with fewer jobs thanks to productivity advancements

York employment

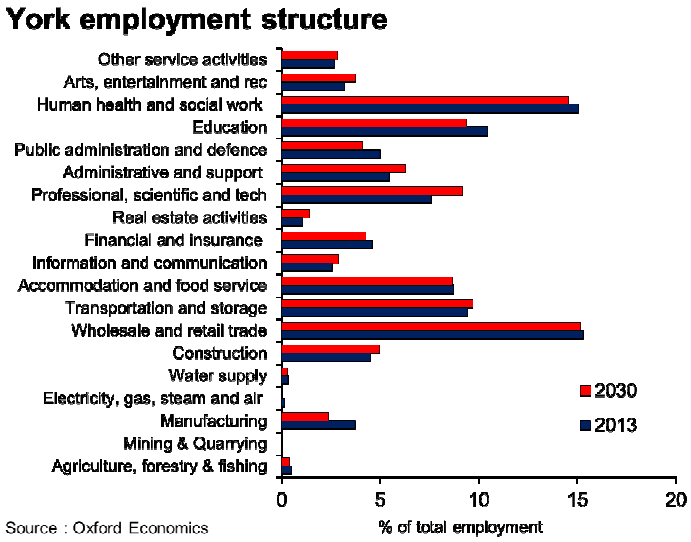
	Level		Change 2013-30	
	2013	2030	%	level
Agriculture, forestry & fishing	565	475	-15.9	-90
Mining & Quarrying	0	0	-	-
Manufacturing	4,180	2,991	-28.4	-1,189
Electricity, gas, steam & air	141	64	-54.8	-77
Water supply	366	342	-6.7	-24
Construction	5,077	6,246	23.0	1,169
Wholesale & retail trade	17,216	19,125	11.1	1,908
Transportation & storage	10,651	12,277	15.3	1,626
Accommodation & food service	9,828	10,922	11.1	1,094
Information & communication	2,900	3,637	25.4	737
Financial & insurance	5,150	5,378	4.4	228
Real estate activities	1,182	1,764	49.2	582
Professional, scientific & tech	8,569	11,566	35.0	2,997
Administrative & support	6,095	7,911	29.8	1,816
Public administration & defence	5,643	5,153	-8.7	-490
Education	11,748	11,849	0.9	101
Human health & social work	16,976	18,423	8.5	1,447
Arts, entertainment & rec	3,552	4,693	32.1	1,141
Other service activities	3,018	3,597	19.2	579
Total	**112,857**	**126,412**	**12.0**	**13,555**

Source: Oxford Economics

14

OXFORD ECONOMICS

…leading to modest changes to employment structure



Source : Oxford Economics

15

OXFORD ECONOMICS

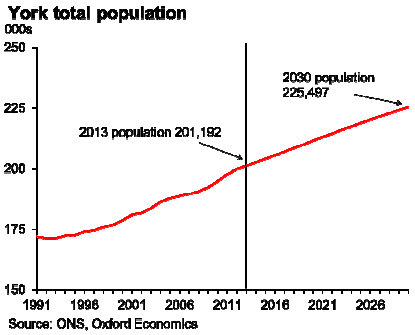
Linking employment and population growth

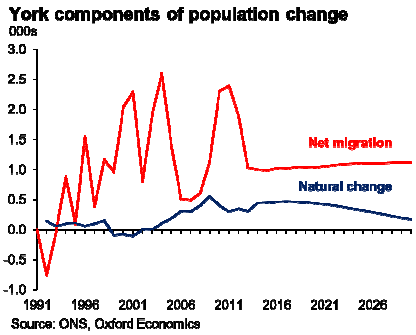
1. Employment in York ('jobs measure')
   - Industry level demand-side analysis incorporating national/local factors
   - Modelling considers full time and part time employees and the self employed
2. Number of people working in York ('person measure')
   - Derived from (1) - the number of full/part time jobs in York, plus the self employed. Controlled to Census
3. Residence-based employment ('person measure')
   - Derived from (2) – Commuting patterns (from census data) used to estimate the number of York residents in employment. Controlled to Census.
4. Population
   - Natural change – modelled from trends in ONS 2010 population projections
   - Migration – reflects recent migration patterns and economic opportunities. Migrants tend to be attracted to areas perceived to provide the best employment opportunities.
5. Population and employment are interlinked
   - More people = increased demand for local services = more employment
   - Model iterates until forecasts are appropriate (determined by employment rate analysis) for all locations

16

OXFORD ECONOMICS

York – headline population growth





- 2013 – 2030
  - 24,300 more people = 18,100 net migration + 6,200 natural change
  - 16 – 64 population +3,100
  - Employment growth supported by people working longer, lower unemployment and higher participation

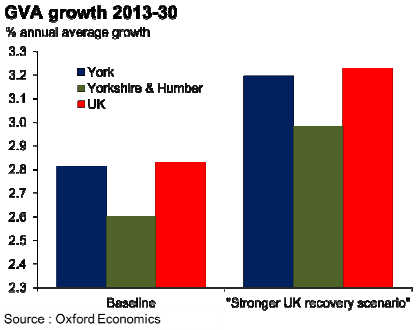
17 OXFORD ECONOMICS

Alternative scenarios

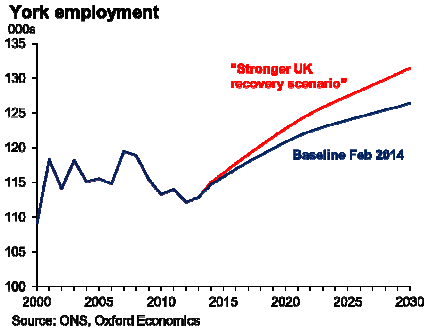
- Scenario analysis shows how future economic conditions may be different to the baseline forecast
- A stronger UK economic recovery will benefit York, with higher job creation than currently anticipated
- Stronger economic growth will have implications for demographic change and housing demand
- "A stronger UK recovery" - scenario assumptions
  - UK GDP growth 0.4pp higher per annum
  - Productivity improves faster than in the baseline
  - 60% of additional jobs filled by migrants
- "Faster key sector growth" – scenario assumptions
  - UK GDP 0.25pp higher per annum. Productivity improves faster than baseline
  - Growth boosted in professional services, advanced manufacturing, science & research
  - Migrants do not take extra jobs

18 OXFORD ECONOMICS

"A stronger UK recovery" – implications for York



Source : Oxford Economics

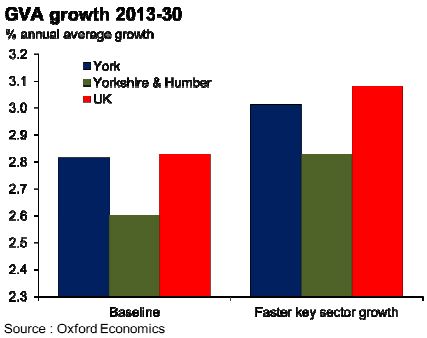


Source: ONS, Oxford Economics

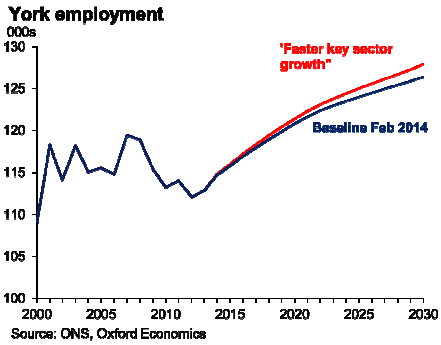
- York benefits to a similar magnitude as the UK
- 18,600 additional jobs in York by 2030 – 5,000 more than in the baseline forecast
- All sectors benefit from stronger conditions
  - Majority of additional jobs in private services
  - Stronger growth means austerity measure and public sector job cuts ease
  - Fewer manufacturing job losses thanks to higher investment and better export performance

19

"Faster key sector growth" – implications for York



Source : Oxford Economics



Source: ONS, Oxford Economics

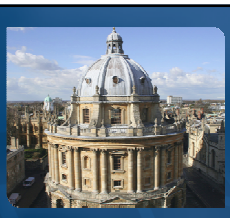
- York benefits a little less than the national average reflecting areas industrial mix
- 15,000 additional jobs in York by 2030 – 1,500 more than in the baseline forecast
- All private sectors benefit from stronger conditions
  - Majority of additional jobs in private services
  - Fewer manufacturing job losses thanks to higher investment and better export performance
  - Public sector employment broadly unchanged as workers switch to private sector

20

Summary

- The UK economic recovery is underway and is expected to persist over the medium/long term. The York economy will contribute to and benefit from this recovery
- GVA 2013-30
  - York 2.8% p.a. (Yorkshire & Humber 2.6% p.a.)
  - York grows broadly in line with mainland UK
- Employment 2013-30
  - 13,500 additional jobs in York
  - Faster growth than nationally/regionally, but more lost ground to make up – approx. half of new jobs are replacing those lost since 2008
  - An extra 8,500 York residents in employment by 2030
  - Industrial mix of jobs shifts further towards private services
- Population 2013-30
  - Additional 24,300 people living in York (3,100 of working age)
  - Population growth fuelled by a combination of natural change and net-migration

21 OXFORD ECONOMICS



York economic outlook

Anthony Light

alight@oxfordeconomics.com

1st December 2014

OXFORD ECONOMICS

Cabinet **16 December 2014**

Report of the Cabinet Member for Environmental Services, Planning and Sustainability

Minerals and Waste Joint Plan: Interim Sites Consultation

Summary

1. The purpose of this report is to advise Members of the current position with regard to the progress of the Minerals and Waste Joint Plan for North Yorkshire, York and North York Moors and to seek approval in respect of the Additional or Revised Sites consultation document (attached at Annex A) for the purposes of public consultation.

Background

2. The City of York Council as a unitary authority is also a waste and minerals planning authority and to satisfy the provisions in Planning Policy Statement 10 and the National Planning Policy Framework, it must develop the necessary policies for minerals and waste. This statutory responsibility effectively involves identifying all waste arising in the area from all sources, such as, household, commercial, hazardous and agricultural, and demonstrating how this is dealt with spatially. With regard to minerals it is necessary to identify the requirement for minerals including aggregates and how these will be sourced. Both these tasks have to be addressed for the lifetime of any development plan.

3. City of York is currently preparing a Local Plan with strategic policies on minerals and waste and a separate joint minerals and waste development plan document with North Yorkshire County Council and the North York Moors National Park Authority. This is known as the Minerals and Waste Joint Plan.

4. The Minerals and Waste Joint Plan involves a number of key public consultation stages to ensure there is every opportunity for community involvement. The key stages include:

- First Consultation (completed May/June 2013)
- Issues and Options Consultation (Completed March/April 2014)
- **Additional or Revised Sites Consultation (Scheduled to commence December 2014)**
- Preferred Options Consultation (Scheduled to commence June 2015)
- Pre-Submission Publication stage (Scheduled to commence November 2015)
- Submission stage (Scheduled for March 2016)
- Examination in Public (Scheduled for Summer 2016)
- Adoption (Expected late 2016)

5. The First Consultation stage took place in May and June 2013. This stage presented initial information about the Plan and sought views on what the Plan should contain. The comments received were assessed, along with relevant evidence, and fed into the Issues and Options consultation documents.

6. The Issues and Options stage was consulted on in March/April 2014 and was a key stage of the process involving the identification of realistic and reasonable options to address the issues identified and to give other parties an opportunity to suggest alternative options. 2405 responses were received at this stage and these will influence the Preferred Options stage which will be consulted on in June/July 2015.

7. The Issues and Options consultation ran for eight weeks from 14th February to 11th April 2014. The Issues and Options consultation was publicised through a range of means consisting of:

- Press release issued jointly by the three authorities, plus an additional ‘reminder’ press release two weeks prior to the close of the consultation:
- Article in the NYCC electronic newsletter NY NOW (4,014 subscribers);
- Posters displayed in libraries and on parish council notice boards;
- Twitter and Facebook announcements by all three authorities;
- Information on the Joint Plan webpage.

8. A wide range of consultees were contacted either by letter or by email. All consultees were sent details of the consultation along with either a paper or electronic copy of the summary leaflet. Details of how to access other documents on the Joint Plan website and how to make comments were

provided in the letter or email, with an option of receiving paper copies also given if requested. A reminder email or postcard was sent to each of the 'specific' consultees and Parish Councils two weeks prior to the close of the consultation.

9. The summary leaflet, background paper and comments forms were also made available in libraries throughout the Plan area and in the offices of each of the three authorities.

10. A number of drop-in sessions were held in 10 libraries across the Joint Plan area and in the City of York Council's main headquarters. These were advertised in the press releases, on posters, on the consultation page of the Joint Plan website and within the letters and emails sent directly to consultees. The drop-in sessions were held from either 1pm – 6pm or 2pm – 7pm (depending on library opening times). The drop-in events were visited by a total of 92 individuals.

11. A total of 2,408 comments were received from 332 respondents. The breakdown of respondents is:

- 13 Local Authorities
- 37 Environment and amenity groups, consultants / Agents or other organisations
- 231 individuals or local businesses
- 24 minerals and waste industry
- 19 parish councils
- 7 statutory bodies
- 1 Internal department

12. A full summary of responses document (350 pages) is available on the Joint Plan website: www.northyorks.gov.uk/mwjointplan

Consultation on Additional or Revised Sites

13. The Issues and Options Consultation document Appendix 1 provided initial details of minerals and waste sites submitted to the authorities for consideration as to whether they were suitable for inclusion in the Joint Plan.

14. This update comprises a supplementary consultation in respect of new sites received and amendments to existing proposals received as a result of the Issues and Options Consultation. We will be seeking views on these

additional sites/ revised information prior to the next stage of preparation of the Joint Plan, the Preferred Options, anticipated June 2015.

15. Three sites in the York area were included in the Issues and Options stage:

- Harewood Whin, Rufforth
  Retention of following facilities beyond 2017 – landfill, open windrow composting, recycling, energy from waste, kerbside recycling and waste transfer operation.
- North Selby Mine, Escrick
  Anaerobic digestion and horticultural glasshouse project including CHP units.
- Dutton Farm, Upper Poppleton
  Extraction of clay followed by landfill with inert material.

16. This consultation indicates that Harewood Whin, Rufforth has a revised area. The site area has been amended to include the current Materials Recycling Facility and Waste Transfer Station application area following discussions with the operator.

Financial Implications

17. The production of a Joint Plan is expected to lead to an opportunity for some cost savings over the total life of the project, arising partly from merging minerals and waste issues into a single plan and, particularly, through the holding of a joint Examination in Public, which provides an opportunity to share legal, administrative and certain other costs between the three authorities. The sharing of costs is detailed in a Memorandum of Understanding between the three authorities. Table 1 below shows a break down of the costs over the period of the plan production. Costs will need to be contained within budgets across the directorate that support the Local Plan and Waste Strategy.

Table 1

Year	**Description**	**Cost**
2013/14	Evidence base	£22,700
2013/14	Waste and Minerals Specialist	£4,977
2013/14	Consultation (Initial and Issues & Options)	£5,000
2014/15	Additional or Revised Sites Consultation	£2,000
2015/16	Consultation (Preferred Options and Pre-submission)	£10,000

2015/16	Waste and Minerals Specialist	£5,000
2015/16	Examination (will depend on spilt between authorities)	£30,000
		£79,677

Consultation

18. The comments received from the First Consultation were taken into account and relevant points taken forward into the Issues and Options stage. A summary or the Issues and Options consultation responses are available on line: www.northyorks.gov.uk/mwjointplan. These will feed into the next full stage of the Joint Plan; the Preferred Options.

19. Ongoing informal consultation with relevant internal service areas has taken place during preparation of all stages of the Joint Plan consultation documents.

20. Public consultation on the Issues and Options document took place during February –April 2014. The comments received will be considered and used to help decide the most appropriate or preferred option or options for each issue.

21. A detailed consultation strategy is being prepared setting out specific dates, documents to be circulated and consultation methods. This report requests that the approval of this strategy (as one of the consultation documents) be delegated to informal discussions with the Cabinet Member.

Option Choices

22. The following options are available for Cabinet to consider:

Option 1 – note the content of the Joint Minerals and Waste Plan Additional or Revised Sites documents and approve them for the purpose of public consultation.

Option 2 – note the content of the Joint Minerals and Waste Plan Additional or Revised Sites documents and, subject to a number of changes in response to discussion at this session, approve them for the purpose of public consultation.

Option 3 – reject the Joint Mineral and Waste Plan Additional or Revised Sites documents and defer consultation.

Analysis

23. It is considered that the best option is to approve the Joint Minerals and Waste Plan Additional or Revised Sites documents for consultation in October/November 2014. This will ensure that the key milestones are achieved and the industry and public are given the opportunity to view the contents of the document and the potential sites for minerals and waste operations at the earliest date.

Implications

24. **Financial –** The cost of the Plan can be contained within budgets across the directorate that support the Local Plan and Waste Strategy.

25. **Human Resources** – None.

26. **Equalities** – None

27. **Legal** –None

28. **Crime and Disorder** – None.

29. **Information Technology** – None.

30. **Property** – None.

31. **Risk Management -** None

Recommendations

32. In accordance with Option One, the report recommends that Cabinet Members :

i) Note the current position of the Minerals and Waste Joint Plan and to:

ii) Approve the Joint Minerals and Waste Plan Additional or Revised Sites documents for the purposes of public consultation.

iii) Give authorisation to the Cabinet Member for Environmental Services, Planning and Sustainability to make non-substantive editorial changes to the draft consultation documents prior to publication.

Reason: So that the document can progress to public consultation.

Contact Details:

Authors	**Cabinet Member & Chief Officer Responsible for the report**
	Cabinet Member for Environmental Services, Planning and Sustainability
Rebecca Harrison Development Officer Tel No: (01904) 551667	Mike Slater Assistant Director for Strategic Planning & Transport

Report Approved √ **Date** *08.12.14*

Specialist Implications Officer(s)

Patrick Looker
Finance Manager
(01904) 551491

Wards Affected: **All** *X*

For further information please contact the authors of the report.

Background Papers:

None.

Annexes:

Annex A – Joint Waste and Minerals Plan Additional or Revised Sites Consultation

This page is intentionally left blank

Minerals and Waste Joint Plan

Consultation on additional or revised sites

(Update to Appendix 1 of Issues and Options Consultation February 2014)

December 2014

DRAFT - NOT OPEN FOR CONSULTATION

DRAFT - NOT OPEN FOR CONSULTATION

Introduction

North Yorkshire County Council, the City of York Council and the North York Moors National Park Authority are working together to produce a Minerals and Waste Joint Plan covering all three planning authority areas. In February 2014 an Issues and Options Consultation was published. Appendix 1 of that consultation provided initial details of minerals and waste sites submitted to the authorities for consideration as to whether they were suitable for inclusion in the Joint Plan. The original consultation can be viewed here www.northyorks.gov.uk/article/26218/Minerals-and-waste-joint-plan.

This update comprises a supplementary consultation in respect of new sites received and amendments to existing proposals received as a result of the Issues and Options Consultation. We would like your views on these additional sites/ revised information prior to the next stage of preparation of the Joint Plan. (*Please note that previous comments made regarding the sites published in the Issues and Options Consultation in February 2014 will continue to be taken forward, including those relating to sites for which revised information has now been received).*

How to get involved

Full details about the Minerals and Waste Joint Plan, including a range of supporting documents, are available on our website: www.northyorks.gov.uk/mwconsult.

All comments should be made in writing and we have produced a response form to help you give your views. This response form is also available on our website. We recommend that you use the response form when responding to this consultation as this will enable us to record your comments correctly. All comments should include the site reference number. If it is not clear which site(s) your comments relate to we may need to contact you for clarification.

You can send us your completed response either by post to:

Freepost RTKH-ZLEU-GAUT
Minerals and Waste Joint Plan Team
Planning Services
Business and Environmental Services
North Yorkshire County Council
County Hall
NORTHALLERTON
DL7 8AH

Or by email to: mwjointplan@northyorks.gov.uk

The closing date for consultation responses is **XX February 2015**

Please note for postal responses there is no need to use a stamp.
Alternatively, if you would like to speak to someone about this consultation please contact us using the contact details below:
North Yorkshire County Council: Tel: 0845 8727374
City of York Council: Tel: 01904 551356
North York Moors National Park Authority: Tel: 01439 772700

DRAFT - NOT OPEN FOR CONSULTATION

Next steps

Following this consultation we will work towards preparation of a draft plan which will be made available for further comments. We will then produce a final draft Plan which will also be available for comment before it is submitted for an independent public examination.

We currently expect the Minerals and Waste Joint Plan to be formally adopted around the end of 2015.

Contact us

Minerals and Waste Joint Plan, Planning Services, North Yorkshire County Council, County Hall, Northallerton, North Yorkshire, DL7 8AH

Tel: **0845 8727374** Email: **mwjointplan@northyorks.gov.uk**

If you would like this information in another language or format such as Braille, large print or audio, please ask us

DRAFT - NOT OPEN FOR CONSULTATION

Sites submitted in response to various 'Call for Sites'

To help support delivery of the Minerals and Waste Joint Plan it may be necessary to identify, in the Plan, specific areas or sites where minerals and waste development may be acceptable. The Plan would offer support in principle for development in these locations but in all cases no development could take place until planning permission has been granted following submission of a suitable planning application.

It is not yet known what type or number of sites or areas it may be appropriate to allocate, as this can only be decided when the strategic policies become clearer. The main focus of the Issues and Options consultation was on these policies, rather than on site specific matters. However, Appendix 1 of the February 2014 consultation explained the background to the 'call for sites' process and presented some information about the sites submitted up to that time. This Update Consultation presents the full list of sites submitted so far in the index on the following page. The index indicates with 'NEW' those sites which have been submitted in response to the Issues and Options Consultation (February 2014) and were therefore not included in that consultation. Where significant changes, including any changes to site boundaries, have been made to a previously submitted site, this is indicated with REVISED. In this case relevant revisions to the site summary tables (provided later in this document) are shown in *italics*.

Indicative boundaries of all the submissions can be viewed on a map on the County Council's website via the following link www.northyorks.gov.uk/ 13289. It should be noted that in some cases sites or areas put forward are also the subject of current planning applications for development for minerals or waste purposes. Where relevant this has been indicated in the summary information which follows.

It is emphasised that the inclusion of sites or areas in this consultation does not at this stage imply any support by the Authorities for development in these locations. The purpose of presenting these potential sites or areas in this consultation is to provide an early indication to communities and other interested parties of the range of development locations which are known to be of interest to developers or landowners. This will enable initial views on them to be received before any sites are subject to more detailed consideration.

Before we take any decisions on which, if any, sites and areas should be included in the Plan, they must be subject to a detailed assessment, as well as further consultation at future stages of preparation of the Plan. This will help to ensure that issues of viability, sustainability and need are thoroughly evaluated. To help guide the assessment of sites and areas we are developing a Minerals and Waste Joint Plan Site Identification and Assessment Methodology. The current assessment methodology can be viewed at: (www.northyorks.gov.uk/CHttpHandler.ashx?id=25564&p=0).

Question -

Do you have any comments about the additional sites and revised information?

DRAFT - NOT OPEN FOR CONSULTATION

Site List

Minerals Extraction Sites

MJP03 Scarborough Field, adjacent to Forcett Quarry
MJP04 Aram Grange, Asenby
MJP05 Lawrence House Farm, Scotton
MJP06 Langwith Hall Farm, east of Well
MJP07 Oaklands, near Well
MJP08 Settrington Quarry
MJP10 Potgate Quarry, North Stainley
MJP11 Gebdykes Quarry, near Masham
MJP12 Whitewall Quarry, near Norton
MJP14 Ripon Quarry, North Stainley
MJP15 Blubberhouses Quarry, west of Harrogate
MJP16 Marfield Quarry, Masham
MJP17 Land to South of Catterick
MJP21 Land at Killerby
MJP22 Hensall Quarry
MJP23 Jackdaw Crag West, Stutton **REVISED AREA**
MJP28 Barnsdale Bar Quarry, Kirk Smeaton **REVISED AREA**
MJP29 Went Edge Quarry, Kirk Smeaton
MJP30 West Heslerton Quarry
MJP31 Old London Road, Stutton
MJP32 Barsneb Wood, Markington
MJP33 Home Farm, Kirkby Fleetham
MJP34 Land between Sandsend and Scarborough **REVISED AREA**
MJP35 Ruddings Farm, Walshford
MJP37 Moor Lane Farm, Great Ouseburn
MJP38 Mill Cottages, West Tanfield **REVISED AREA**
MJP39 Quarry House, West Tanfield
MJP41 Scalibar Farm, Knaresborough
MJP43 Land to west of Scruton **REVISED AREA**
MJP44 Land between Plasmor Block making plant, Great Heck and Pollington Airfield
MJP45 Land to north of Hemingbrough
MJP49 Metes Lane, Seamer
MJP50 Sands Wood, land to east of Sandy Lane, Wintringham
MJP51 Great Givendale, Ripon
MJP52 Field SE5356 9513, to north of Duttons Farm, Upper Poppleton
MJP53 Land to north of Old London Road Quarry, Stutton
MJP54 Mill Balk Quarry, Great Heck
MJP55 Land adjacent to former Escrick brickworks **REVISED AREA**
MJP59 Spikers Quarry, East Ayton
MJP60 Land to West of Kirkby Fleetham **NEW SITE**
MJP61 Land to south of Alne Brickworks, Forest Lane, Alne **NEW SITE**
MJP62 Land at Toft Hill, near Kiplin **NEW SITE**

DRAFT - NOT OPEN FOR CONSULTATION

Infrastructure and Recycling Sites

MJP09 Barlby Road, Selby
MJP24 Darrington Quarry processing plant site and haul road
MJP46 Kiplin plant processing site, Kiplin
MJP13 Whitewall Quarry near Norton (recycling)
MJP26 Barnsdale Bar, near Kirk Smeaton (recycling)
MJP27 Darrington Quarry (recycling)
MJP57 Potgate Quarry, North Stainley (recycling)
MJP58 Old London Road, Stutton (recycling)

Waste Sites

WJP01 Hillcrest, Harmby **REVISED DETAILS**
WJP02 North Selby Mine, near Deighton
WJP03 Southmoor Energy Centre, Kellingley Colliery **REVISED AREA**
WJP04 Old London Road Quarry, Stutton
WJP05 Field to north of Duttons Farm, Upper Poppleton
WJP06 Land adjacent to former Escrick brickworks, Escrick **REVISED AREA**
WJP07 Land on former Pollington airfield
WJP08 Allerton Park, near Knaresborough
WJP09 Whitewall Quarry Materials Recycling Facility, near Norton
WJP10 Went Edge Quarry recycling, near Kirk Smeaton
WJP11 Harewood Whin, Rufforth **REVISED AREA**
WJP13 Halton East, near Skipton
WJP15 Seamer Carr, Eastfield, Scarborough
WJP16 Common Lane, Burn
WJP17 Skibeden, near Skipton
WJP18 Tancred, near Scorton
WJP19 Fairfield Road, Whitby **REVISED AREA**
WJP20 Allerton Waste Recovery Park, near Knaresborough **NEW SITE**
WJP21 Brotherton Quarry, Burton Salmon **NEW SITE**

Note 1: Sites MJP18, MJP19, MJP20, MJP25, MJP36, MJP48, WJP12 and WJP14 were withdrawn by the submitters and MJP01 received planning permission prior to the preparation of the Issues and Options document (February 2014).

Note 2: Sites MJP02 (Land between Railway at Heck and Pollington), MJP40 (Lawrence House Farm), MJP42 (Aram Grange), MJP47 (Bridge Farm, Catterick) and MJP56 (Brotherton Quarry, Burton Salmon) have been withdrawn since the Issues and Options Consultation (February 2014) and WJP02 received planning permission.

DRAFT - NOT OPEN FOR CONSULTATION

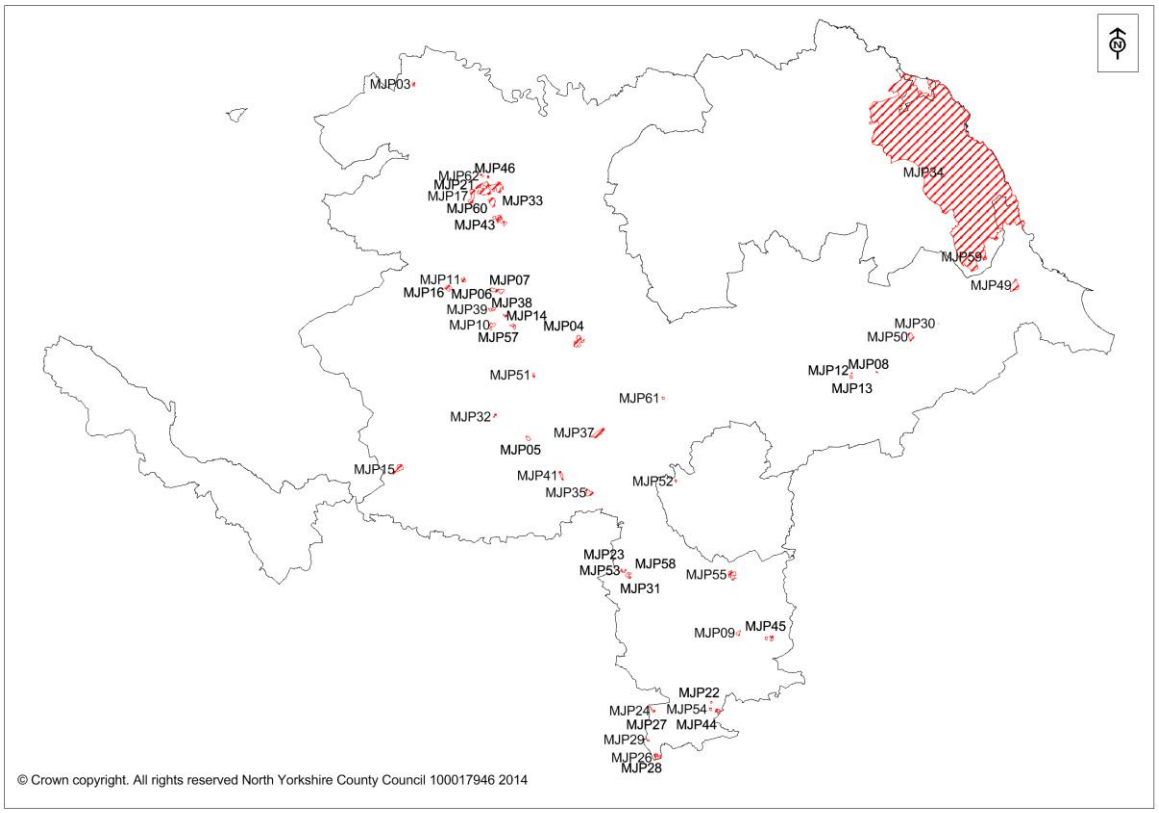


Figure 1: Location of Mineral Submissions as at October 2014

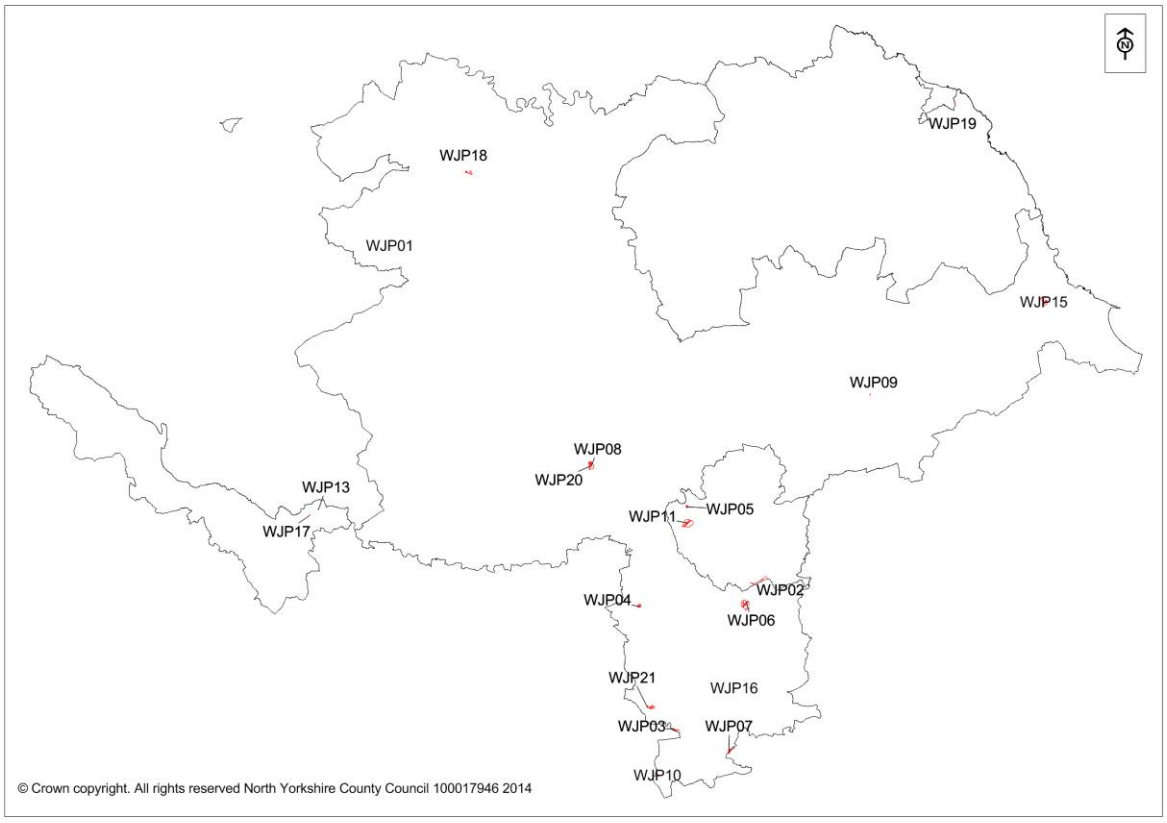


Figure 2: Location of Waste Submissions as at October 2014

Extraction Sites

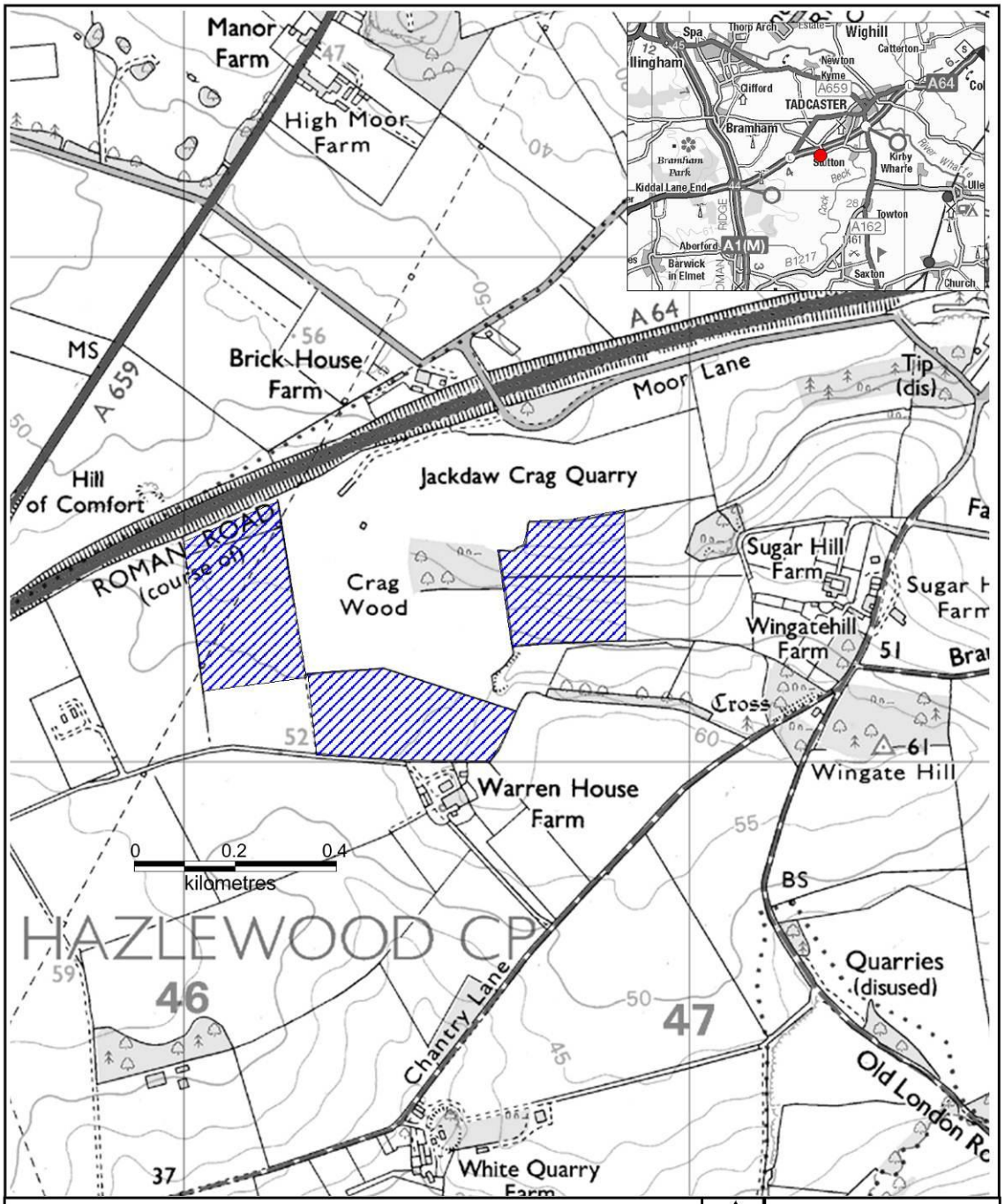
DRAFT - NOT OPEN FOR CONSULTATION

REVISED SITE – ADDITIONAL AREAS

JACKDAW QUARRY WEST, STUTTON

Site reference MJP23	**Key Details**
Location of Land	Jackdaw Crag Quarry *(*land to west*, plus new additional areas to south and east)* Moor Lane Stutton Tadcaster
(Grid Reference)	(446120 441326 – west) (*446735 441350 – new area to east*) (*446326 441400 – new area to south*)
District	Selby
Mineral Planning Authority	North Yorkshire County Council
Submitted by	FCC Environment
Current Use	Agriculture
Nature of Planning Proposal	Extraction of Magnesian limestone
Minerals Estimated Reserve (tonnes)	*3,900,000* (west) *3,700,000* (east) *3,000,000 (south)*
Minerals Annual Output (tonnes)	250,000 west *and east* *250,000 – 300,000 (south)*
Waste Annual Tonnage import	None proposed
Size of Site (hectares)	6.7 (west) *6.2 (east)* 6.0 (south)
Proposed Life of Site	Unknown at present, dependant on extraction of south area
Possible site restoration and aftercare (if applicable)	Low level restoration to agriculture similar to adjacent existing quarry
Other information (if applicable)	Proposed extensions to existing quarry

DRAFT - NOT OPEN FOR CONSULTATION



Site Reference: MJP23

Site Name: Jackdaw Crag West, South and East, Stutton

Site Area

N

Minerals and Waste Joint Plan,
County Hall, Northallerton,
North Yorkshire. DL7 8AH

Site Submissions
Date: 06-2014
Compilation & Analysis: MWJP

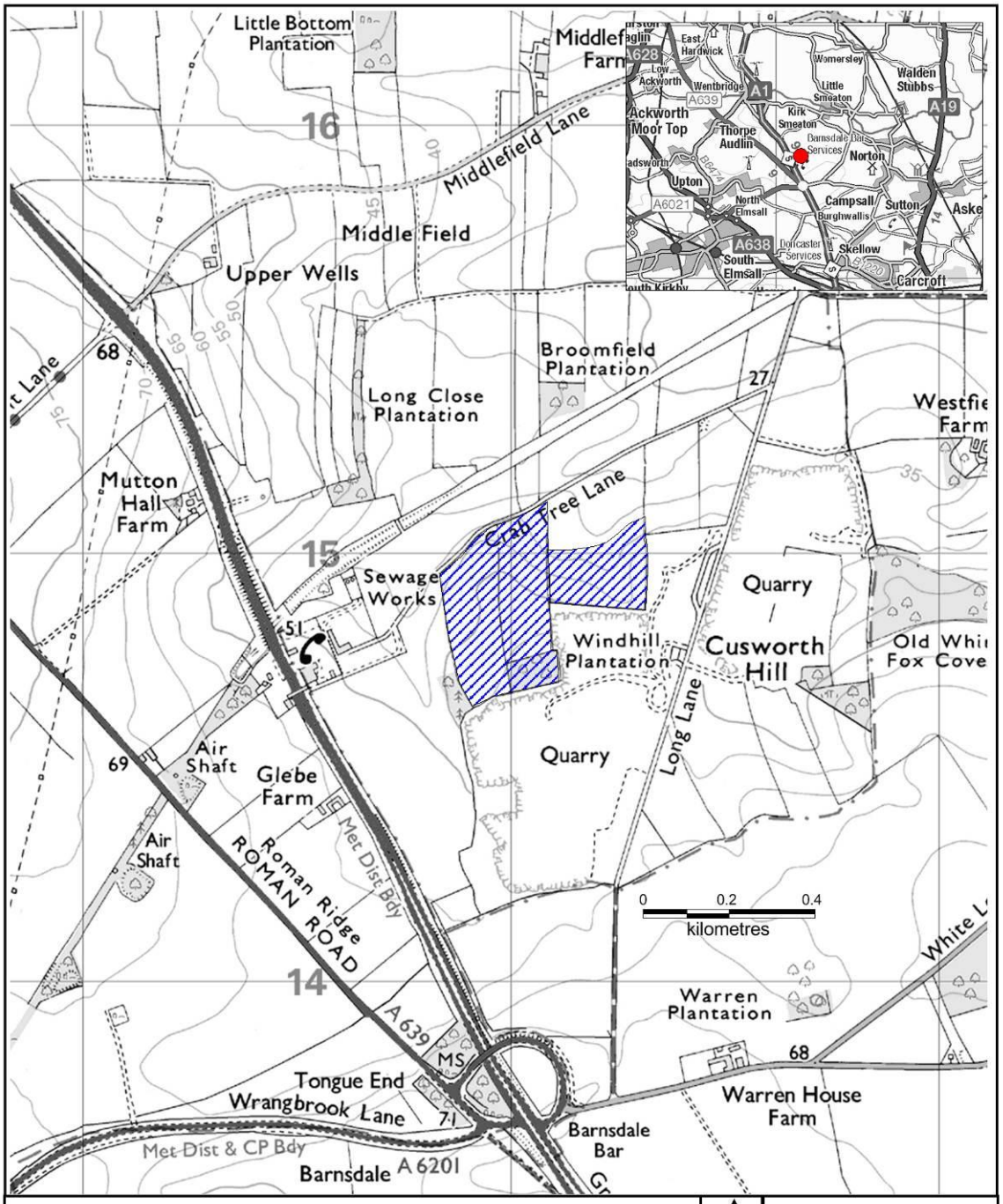
This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2014.

REVISED SITE – ADDITIONAL AREA

BARNSDALE BAR QUARRY, NEAR KIRK SMEATON

Site reference **MJP28**	**Key Details**
Location of Land **(Grid Reference)**	Barnsdale Bar Quarry (*North* and North-west) Long Lane Kirk Smeaton (*451198 415012 – new site to north*) (450974 414846 – North-west)
District	Selby
Mineral Planning Authority	North Yorkshire County Council
Submitted by	FCC Environment
Current Use	Agriculture
Nature of Planning Proposal	Extraction of Magnesian limestone
Minerals Estimated Reserve (tonnes)	1,960,000 north-west *700,000 north*
Minerals Annual Output (tonnes)	*175,000*
Waste Annual Tonnage import	None proposed
Size of Site (hectares)	9.3 (north-west) *3.5 (north)*
Proposed Life of Site	*North – 4 years based on commence in 2014-2015* *North-west – Unknown at present, dependant on extraction of north area*
Possible site restoration and aftercare (if applicable)	Low level restoration to agriculture similar to adjacent existing quarry
Other information (if applicable)	Proposed extensions to existing quarry

DRAFT - NOT OPEN FOR CONSULTATION



Site Reference: MJP28

Site Name: Barnsdale Bar Quarry, near Kirk Smeaton

Site Area

N

Minerals and Waste Joint Plan, County Hall, Northallerton, North Yorkshire. DL7 8AH

Site Submissions
Date : 06-2014
Compilation & Analysis : MWJP

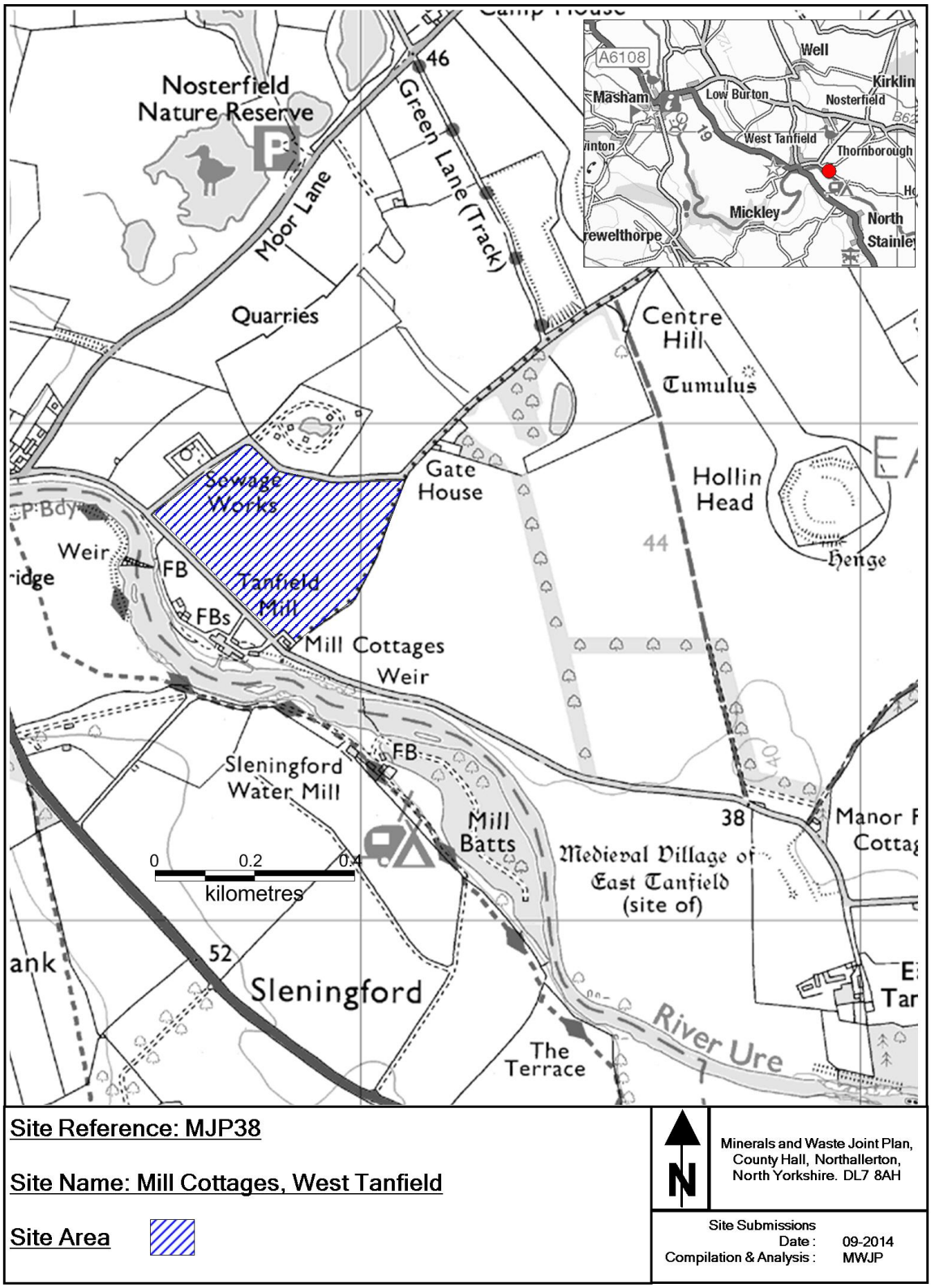
This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2014.

REVISED SITE – AMENDED SITE BOUNDARY

MILL COTTAGES, WEST TANFIELD

Site reference MJP38	**Key Details**
Location of Land **(Grid Reference)**	Mill Cottages West Tanfield Ripon HG4 5LL (*amended location: lying to west rather than to east of Mill Cottages*) (*427854 478706*)
District	Hambleton
Mineral Planning Authority	North Yorkshire County Council
Submitted by	*Carter Jonas (on behalf of Trustees of Marriage Settlement if ME Bourne Arton)*
Current Use	Agriculture
Nature of Planning Proposal	Extraction of sand and gravel
Minerals Estimated Reserve (tonnes)	500,000
Minerals Annual Output (tonnes)	100,000
Waste Annual Tonnage import	None proposed
Size of Site (hectares)	10.88
Proposed Life of Site	Unknown at present
Possible site restoration and aftercare (if applicable)	*Likely to be mainly to water*
Other information (if applicable)	Proposed new quarry

DRAFT - NOT OPEN FOR CONSULTATION



Site Reference: MJP38

Site Name: Mill Cottages, West Tanfield

Site Area

N

Minerals and Waste Joint Plan,
County Hall, Northallerton,
North Yorkshire. DL7 8AH

Site Submissions
Date : 09-2014
Compilation & Analysis : MWJP

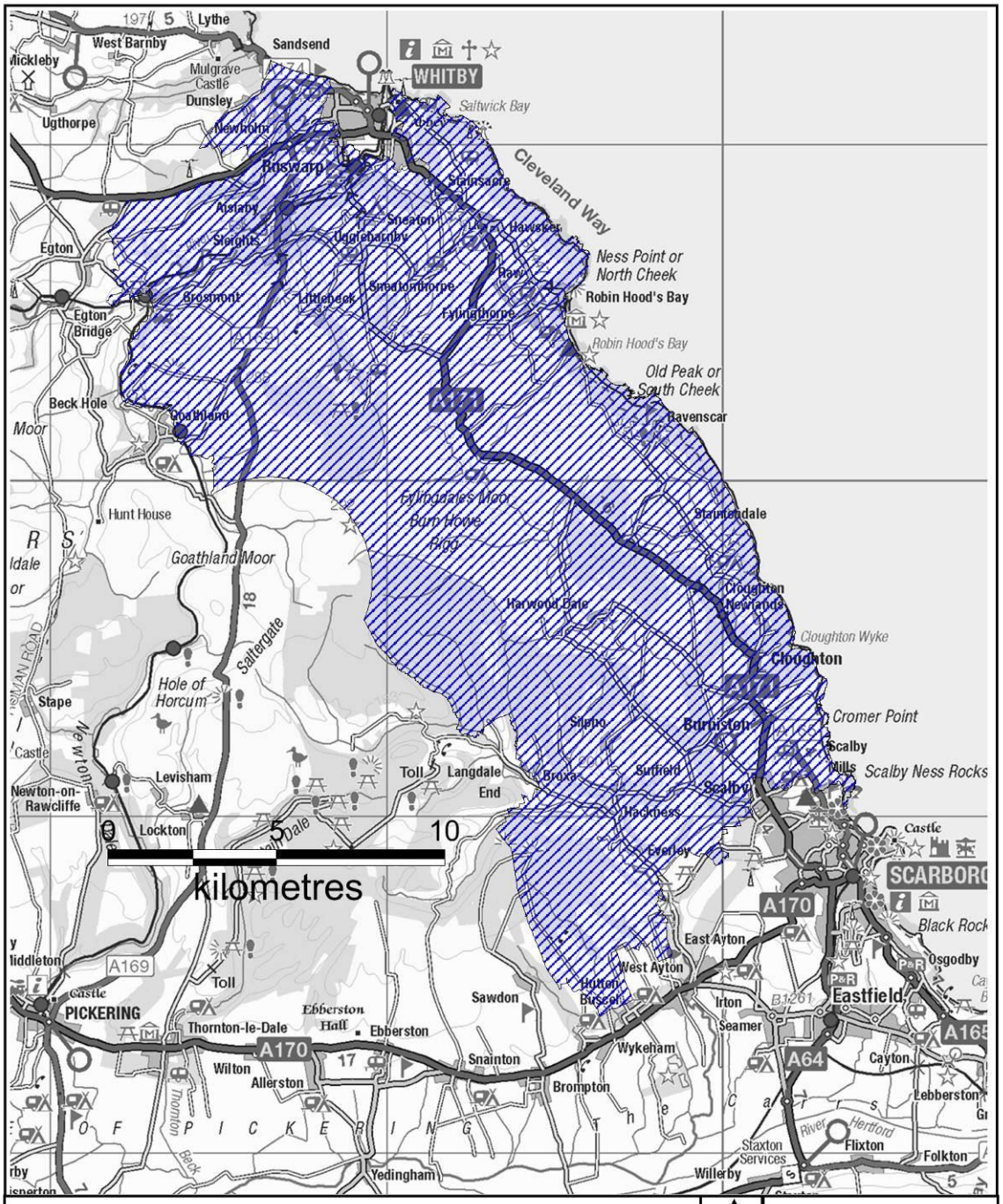
This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2014.

REVISED SITE – AMENDED SITE BOUNDARY AND ADDITIONAL DETAIL

LAND BETWEEN SANDSEND AND SCARBOROUGH

Site reference **MJP34**	**Key Details**
Location of Land **(Grid Reference)**	Land between Sandsend, Whitby, Scarborough and West Ayton (*amended boundary in vicinity of Fylingdales*) (493842 500588)
District	Ryedale and Scarborough and including land within the North York Moors National Park
Mineral Planning Authority	North York Moors National Park Authority and North Yorkshire County Council
Submitted by	R Hunt (on behalf of York Potash Limited)
Current Use	Various non-minerals surface uses. No current underground workings
Nature of Planning Proposal	Extraction of potash by underground methods
Minerals Estimated Reserve (tonnes)	*250,000,000 (additional detail)*
Minerals Annual Output (tonnes)	*5,000,000 (additional detail)*
Waste Annual Tonnage import	None proposed
Size of Site (hectares)	*27,421 (additional detail)*
Proposed Life of Site	Greater than 50 years
Possible site restoration and aftercare (if applicable)	Unknown at present
Other information (if applicable)	New underground extraction site. *Proposed minehead likely to be in North York Moors National Park in vicinity of Sneaton Low Moor, with underground conveyor route to remote processing plant in Teesside (additional details). Planning applications relating to extraction under the North York Moors National Park are expected to be submitted shortly.*

DRAFT - NOT OPEN FOR CONSULTATION



Site Reference: MJP34

Site Name: Land between Sandsend and Scarborough

Site Area

N

Minerals and Waste Joint Plan,
County Hall, Northallerton,
North Yorkshire. DL7 8AH

Site Submissions
Date: 06-2014
Compilation & Analysis: MWJP

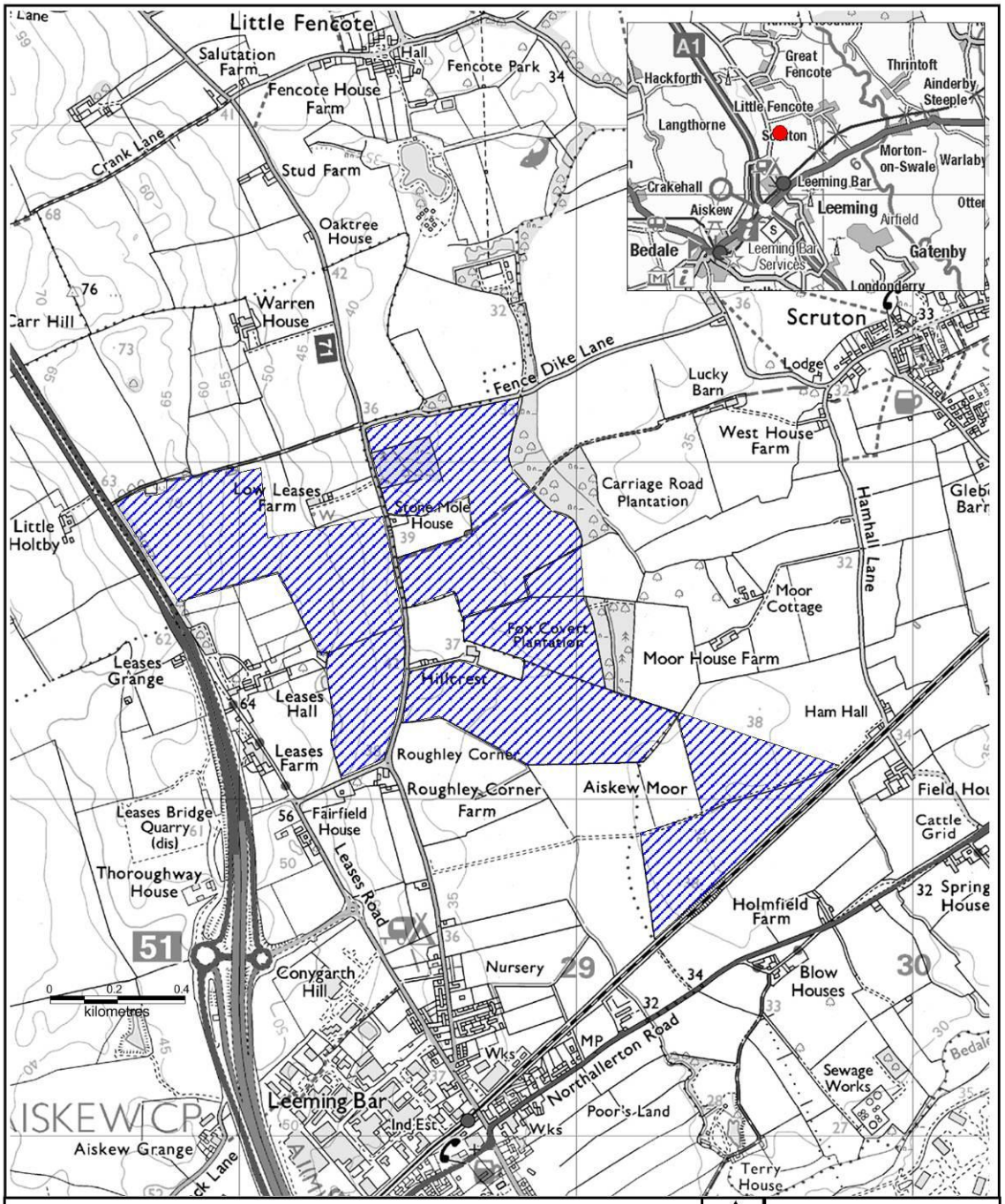
This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2014.

REVISED SITE – AMENDED SITE BOUNDARY

LAND TO WEST OF SCRUTON

Site reference MJP43	**Key Details**
Location of Land **(Grid Reference)**	Scruton (Land between A1 north of Leases Hall, Roughley Corner, *Low Street,* Wensleydale Railway, *to the west of Carriage Road Plantation and Fox Covert Plantation*) (*428778 491319*)
District	Hambleton
Mineral Planning Authority	North Yorkshire County Council
Submitted by	Hughes Craven Ltd (on behalf Messrs Stubbs, Dennison, Barker & Raine)
Current Use	Agriculture
Nature of Planning Proposal	Extraction of sand and gravel
Minerals Estimated Reserve (tonnes)	6,500,000 – 8,000,000
Minerals Annual Output (tonnes)	*Unknown at present*
Waste Annual Tonnage import	None proposed
Size of Site (hectares)	*95.44* (*revised site size*)
Proposed Life of Site	Unknown at present
Possible site restoration and aftercare (if applicable)	*Agricultural with limited areas of water bodies (additional detail)*
Other information (if applicable)	Proposed new quarry *Part of site (at Roughley Bank) is subject to a current application for a borrow pit (NY/2013/0386/ENV) that is awaiting the issuing of the decision notice*

DRAFT - NOT OPEN FOR CONSULTATION



Site Reference: MJP43

Site Name: Land to west of Scruton

Site Area

Minerals and Waste Joint Plan, County Hall, Northallerton, North Yorkshire. DL7 8AH

Site Submissions
Date: 06-2014
Compilation & Analysis: MWJP

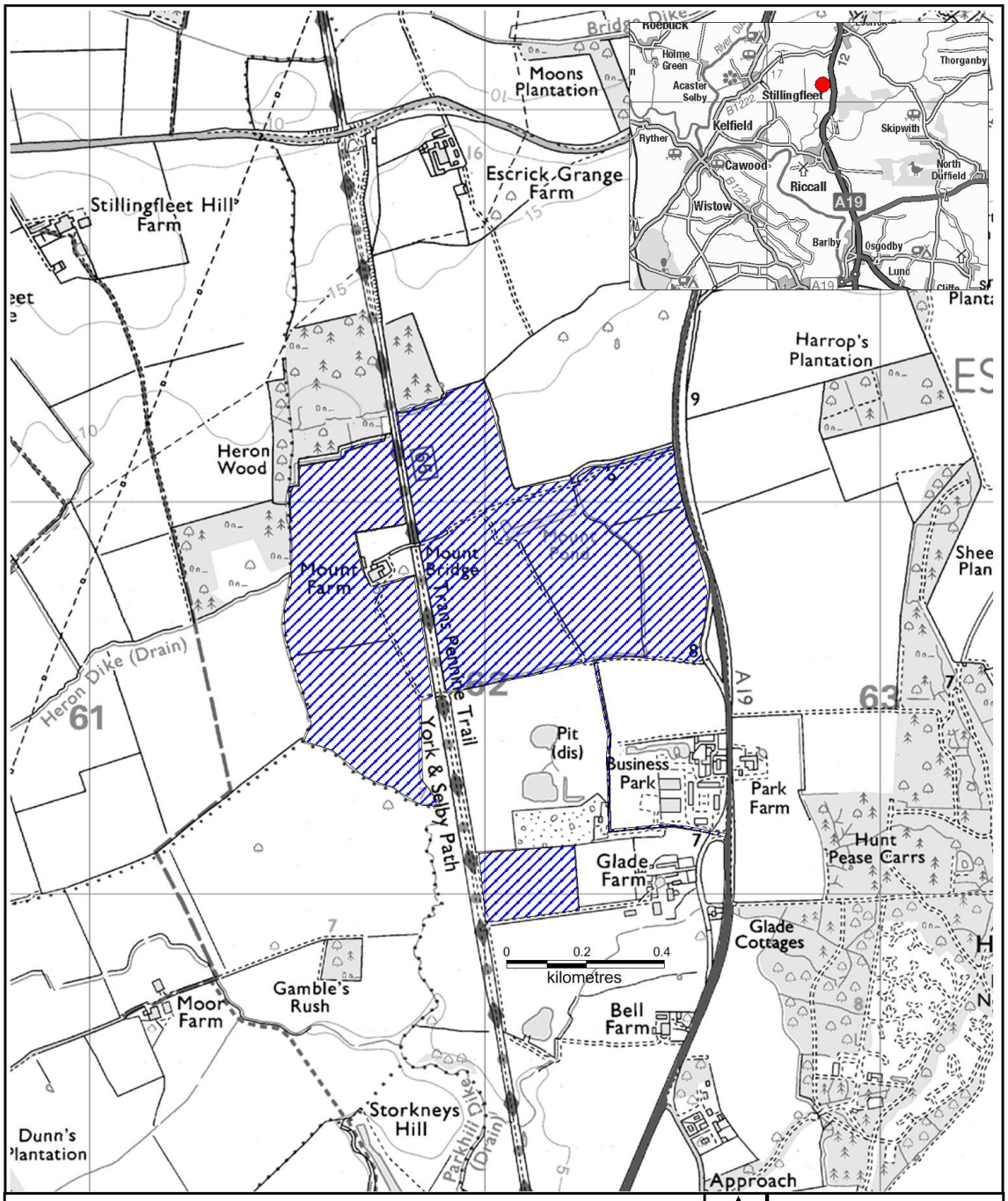
This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2014.

REVISED SITE – AMENDED SITE BOUNDARY

LAND ADJACENT TO FORMER ESCRICK BRICKWORKS

Site reference **MJP55**	**Key Details**
Location of Land **(Grid Reference)**	Land adjacent to former Escrick Brickworks Escrick YO19 6ED (*461919 440761 - corrected grid reference & revised boundary in vicinity of Mount Farm*)
District	Selby
Mineral Planning Authority	North Yorkshire County Council
Submitted by	MJCA (on behalf of Plasmor Ltd)
Current Use	Agriculture
Nature of Planning Proposal	Clay extraction
Minerals Estimated Reserve (tonnes)	5,350,000
Minerals Annual Output (tonnes)	200,000
Waste Annual Tonnage import	See WJP06
Size of Site (hectares)	63.1
Proposed Life of Site	27 years extraction upon commencement with 21.5 years for completion of landfill (WJP06) based on infilling commencing 2 years after extraction commences
Possible site restoration and aftercare (if applicable)	Agriculture at original ground levels
Other information (if applicable)	Extension to former quarry

DRAFT - NOT OPEN FOR CONSULTATION



Site Reference: MJP55

Site Name: Land adjacent to former Escrick brickworks

Site Area

N

Minerals and Waste Joint Plan,
County Hall, Northallerton,
North Yorkshire. DL7 8AH

Site Submissions
Date : 09-2014
Compilation & Analysis : MWJP

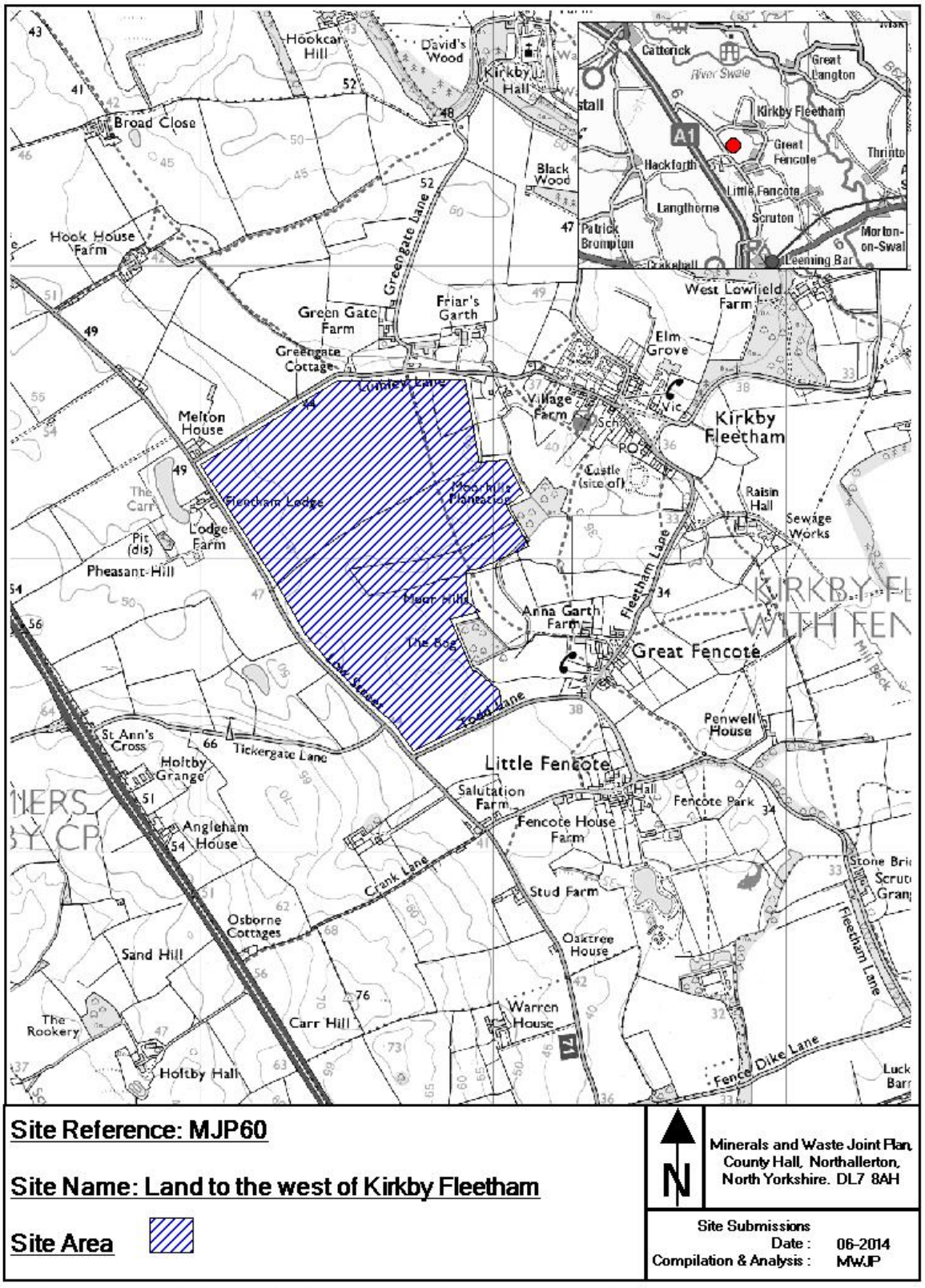
This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2014.

NEW SITE

LAND TO THE WEST OF KIRKBY FLEETHAM

Site reference MJP60	Key Details
Location of Land **(Grid Reference)**	Land to west of Kirkby Fleetham (between Lumley Lane, Low Street and Todd Lane) (427722 493990)
District	Hambleton
Mineral Planning Authority	North Yorkshire County Council
Submitted by	CEMEX
Current Use	Agriculture
Nature of Planning Proposal	Extraction of sand and gravel
Minerals Estimated Reserve (tonnes)	5,000,000
Minerals Annual Output (tonnes)	250,000
Waste Annual Tonnage import	None proposed
Size of Site (hectares)	Approximately 100
Proposed Life of Site	Commence in about 5 years, with a 20 year life
Possible site restoration and aftercare (if applicable)	Agriculture
Other information (if applicable)	Proposed new quarry Proposed new access link to A1(M)

DRAFT - NOT OPEN FOR CONSULTATION



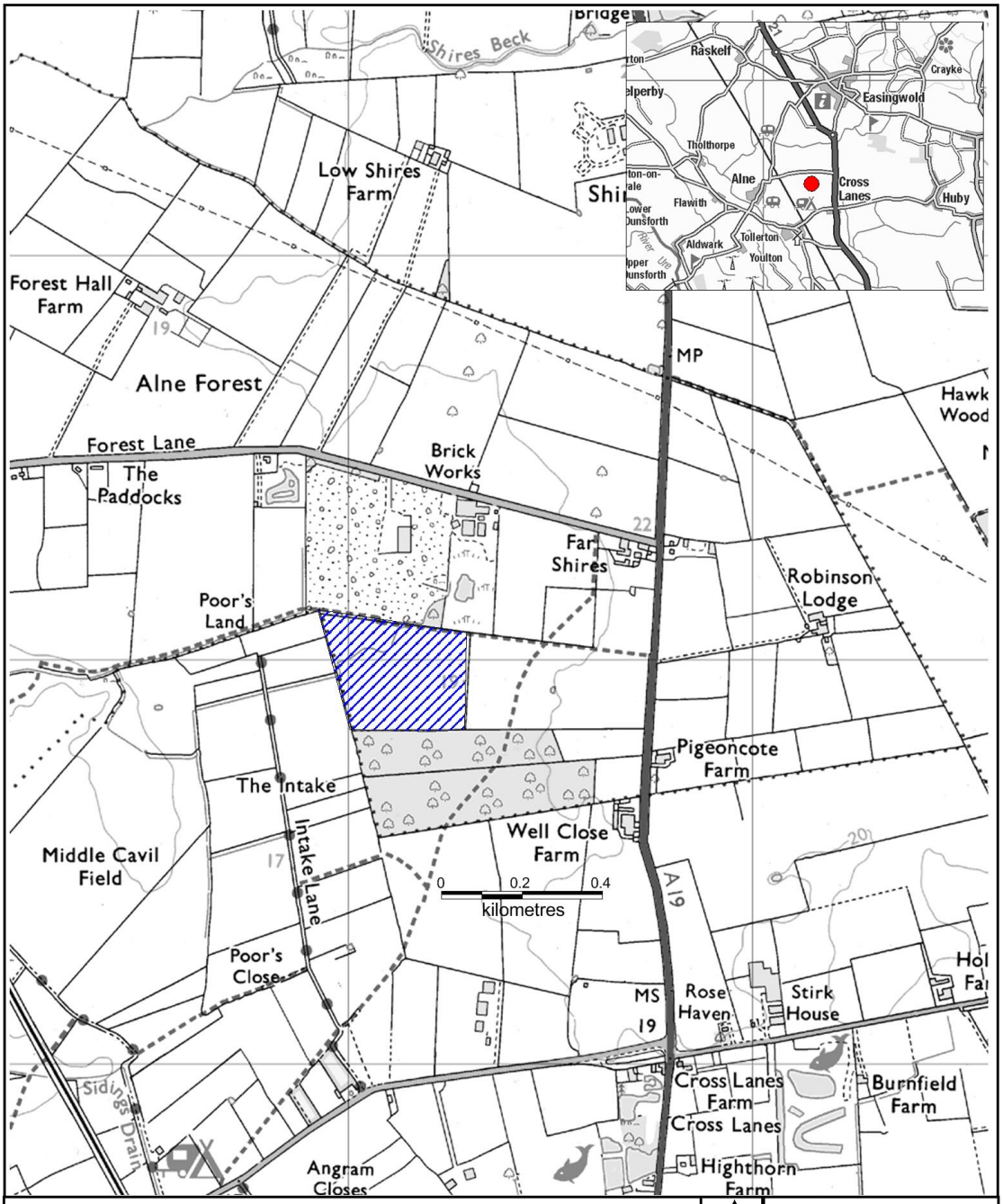
This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2014.

NEW SITE

LAND TO THE SOUTH OF ALNE BRICKWORKS

Site reference **MJP61**	**Key Details**
Location of Land **(Grid Reference)**	Land to south of Alne Brickworks Forest Lane Alne YO61 1TU (452121 465967)
District	Hambleton
Mineral Planning Authority	North Yorkshire County Council
Submitted by	C Jarvis on behalf of York Handmade Brick Co. Ltd
Current Use	Agriculture
Nature of Planning Proposal	Extraction of clay
Minerals Estimated Reserve (tonnes)	700,000
Minerals Annual Output (tonnes)	30,000
Waste Annual Tonnage import	None proposed
Size of Site (hectares)	Approximately 100
Proposed Life of Site	Commence in about 2017, with a 23 year life
Possible site restoration and aftercare (if applicable)	Ecological purposes including wetland
Other information (if applicable)	Proposed extension to quarry to serve the existing brickworks. Submission is subject of a current application for extraction (NY/2014/0204/FUL) which is awaiting determination

DRAFT - NOT OPEN FOR CONSULTATION



Site Reference: MJP61

Site Name: Land to the south of Alne Brickworks

Site Area

N

Minerals and Waste Joint Plan,
County Hall, Northallerton,
North Yorkshire. DL7 8AH

Site Submissions
Date : 06-2014
Compilation & Analysis : MWJP

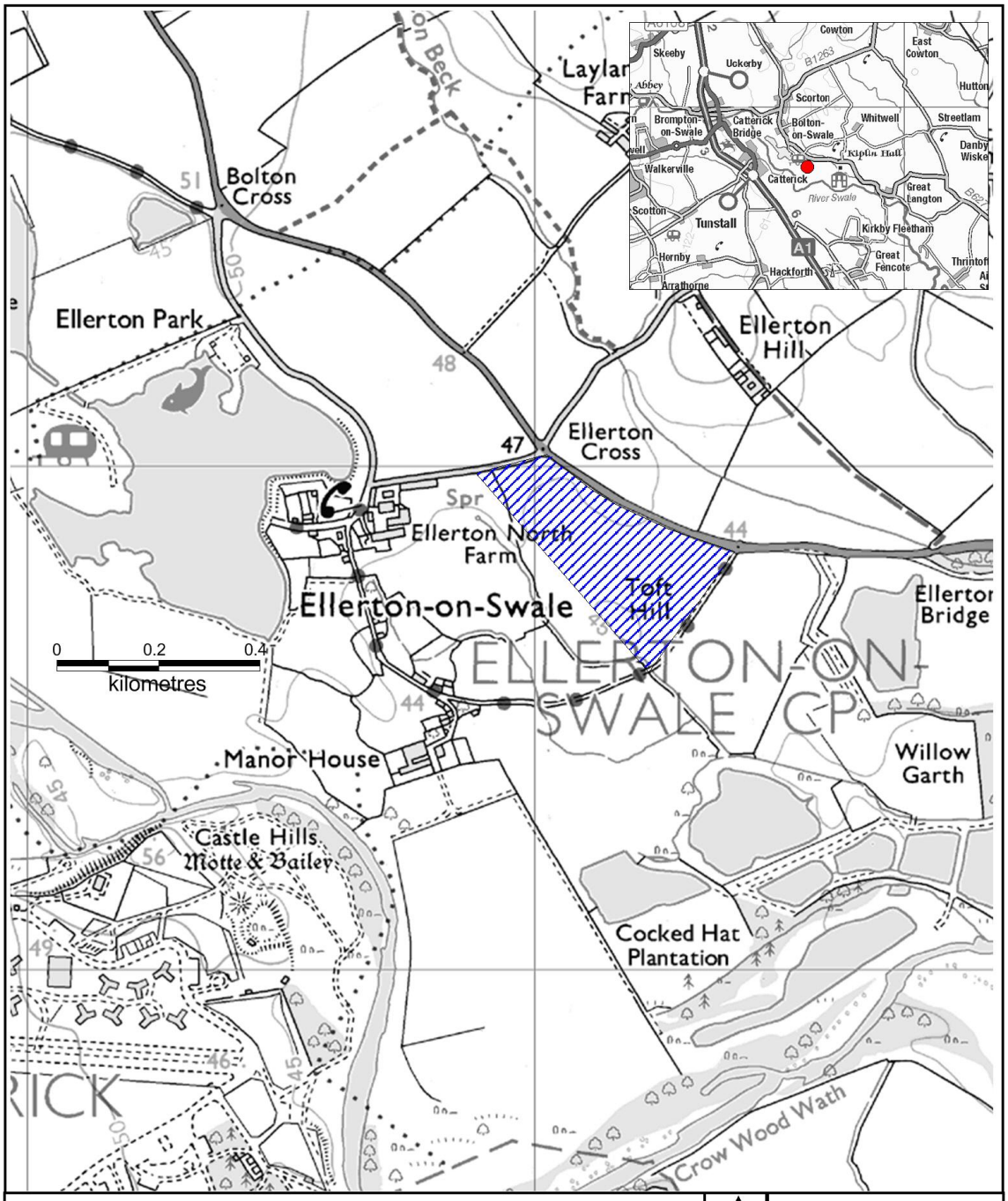
This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2014.

NEW SITE

LAND AT TOFT HILL, NEAR KIPLIN

Site reference MJP62	Key Details
Location of Land	Land at Toft Hill (adjoining B6271) Sled Lane Ellerton upon Swale DL10 6AP
(Grid Reference)	(426119 497812)
District	Richmondshire
Mineral Planning Authority	North Yorkshire County Council
Submitted by	David L Walker Limited on behalf of Chas Long & Son
Current Use	Agriculture
Nature of Planning Proposal	Extraction of sand and gravel
Minerals Estimated Reserve (tonnes)	500,000
Minerals Annual Output (tonnes)	50,000
Waste Annual Tonnage import	None proposed
Size of Site (hectares)	8.7
Proposed Life of Site	Commence in 2015-16, with 8-10 year life
Possible site restoration and aftercare (if applicable)	Open water with nature conservation habitats with potential permissive routes
Other information (if applicable)	Proposed new quarry with mineral to be processed at existing Kiplin plant site

DRAFT - NOT OPEN FOR CONSULTATION



Site Reference: MJP62

Site Name: Land at Toft Hill, near Kiplin

Site Area

Minerals and Waste Joint Plan, County Hall, Northallerton, North Yorkshire. DL7 8AH

Site Submissions
Date : 06-2014
Compilation & Analysis : MWJP

This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2014.

Waste Sites

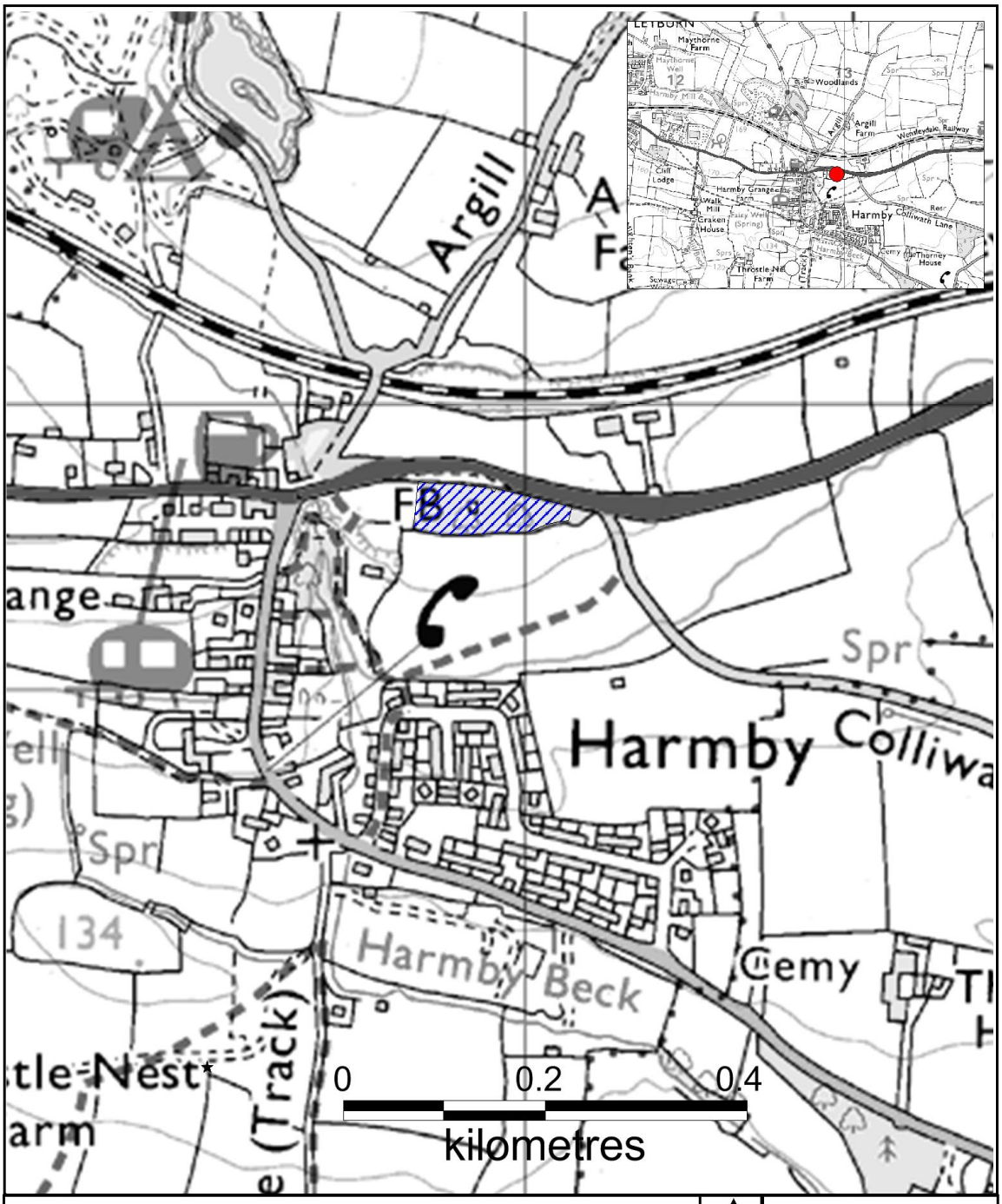
DRAFT - NOT OPEN FOR CONSULTATION

REVISED SITE – AMENDED DETAILS

HILLCREST, HARMBY

Site reference **WJP01**	**Key Details**
Location of Land **(Grid Reference)**	Hillcrest Harmby Main Road Harmby DL8 5PE (*revised proposal and additional tonnage information)* (412700 489800)
District	Richmondshire
Mineral Planning Authority	North Yorkshire County Council
Submitted by	R & I Heugh
Current Use	Scrap Yard including End of life vehicle dismantling
Nature of Planning Proposal	Waste Transfer Station (including recycling)
Minerals Estimated Reserve (tonnes)	Not applicable
Minerals Annual Output (tonnes)	Not applicable
Waste Annual Tonnage import	10,000 – 15,000
Size of Site (hectares)	0.64
Proposed Life of Site	Permanent
Possible site restoration and aftercare (if applicable)	Not applicable
Other information (if applicable)	

DRAFT - NOT OPEN FOR CONSULTATION



Site Reference: WJP01

Site Name: Hillcrest, Harmby

Site Area

N

Minerals and Waste Joint Plan,
County Hall, Northallerton,
North Yorkshire. DL7 8AH

Site Submissions
Date : 09-2013
Compilation & Analysis : MWJP

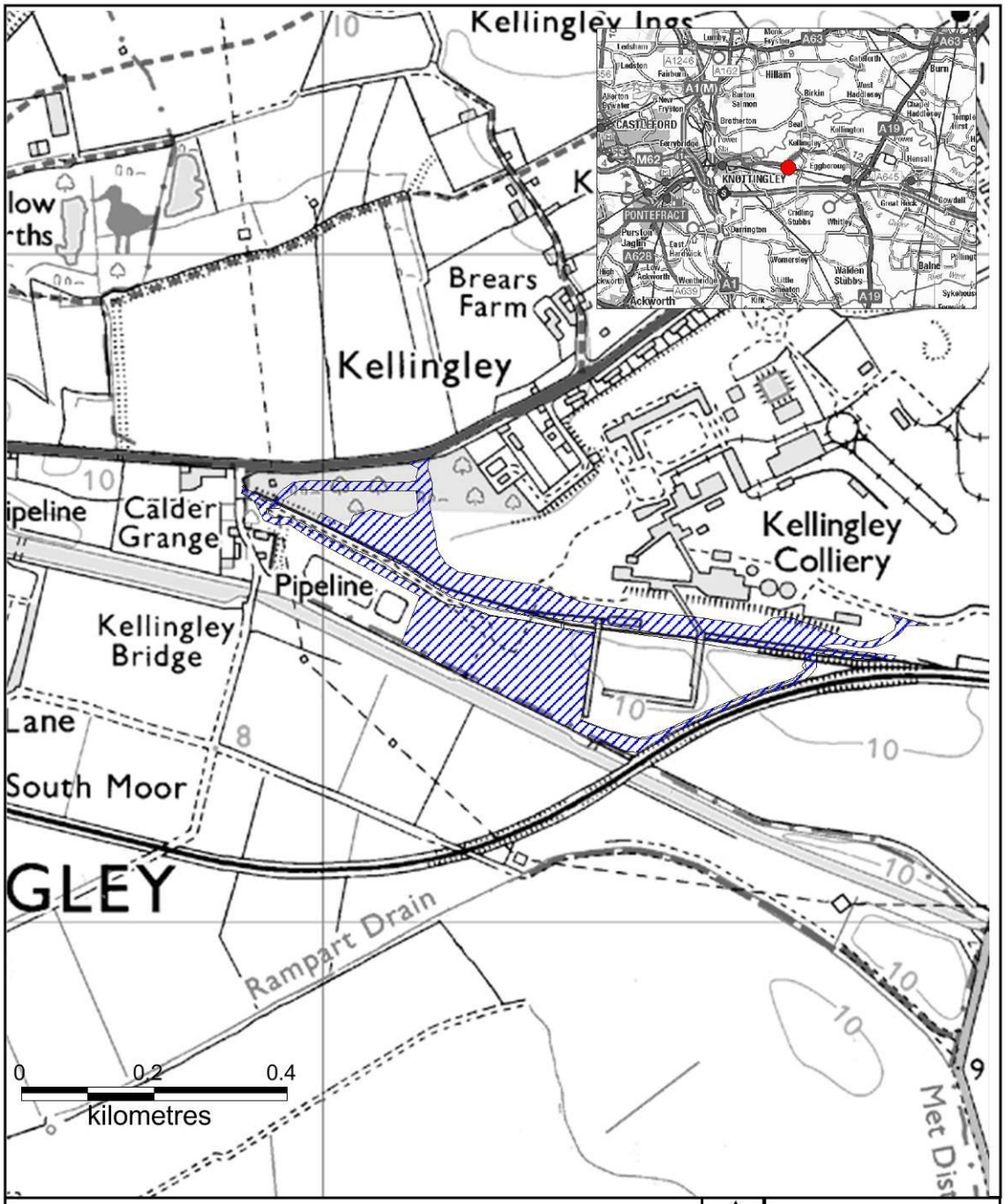
This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2013.

REVISED SITE – AMENDED SITE BOUNDARY

SOUTHMOOR ENERGY CENTRE, KELLINGLEY COLLIERY

Site reference **WJP03**	**Key Details**
Location of Land **(Grid Reference)**	Southmoor Energy Centre Kellingley Colliery Weeland Road Beal (*various revisions to alignment of site boundary)* (452496 423758)
District	Selby
Mineral Planning Authority	North Yorkshire County Council
Submitted by	Peel Environmental Limited (on behalf of Harworth Estates Ltd)
Current Use	Colliery
Nature of Planning Proposal	Energy from Waste facility
Minerals Estimated Reserve (tonnes)	Not applicable
Minerals Annual Output (tonnes)	Not applicable
Waste Annual Tonnage import	280,000
Size of Site (hectares)	12.9
Proposed Life of Site	25 years (operational design life)
Possible site restoration and aftercare (if applicable)	None proposed
Other information (if applicable)	Proposed new waste facility and subject to a planning application (NY/2013/0128/ENV) awaiting determination

DRAFT - NOT OPEN FOR CONSULTATION



Site Reference: WJP03

Site Name: Southmoor Energy Centre, Kellingley Colliery

Site Area

N

Minerals and Waste Joint Plan,
County Hall, Northallerton,
North Yorkshire. DL7 8AH

Site Submissions
Date: 06-2014
Compilation & Analysis: MWJP

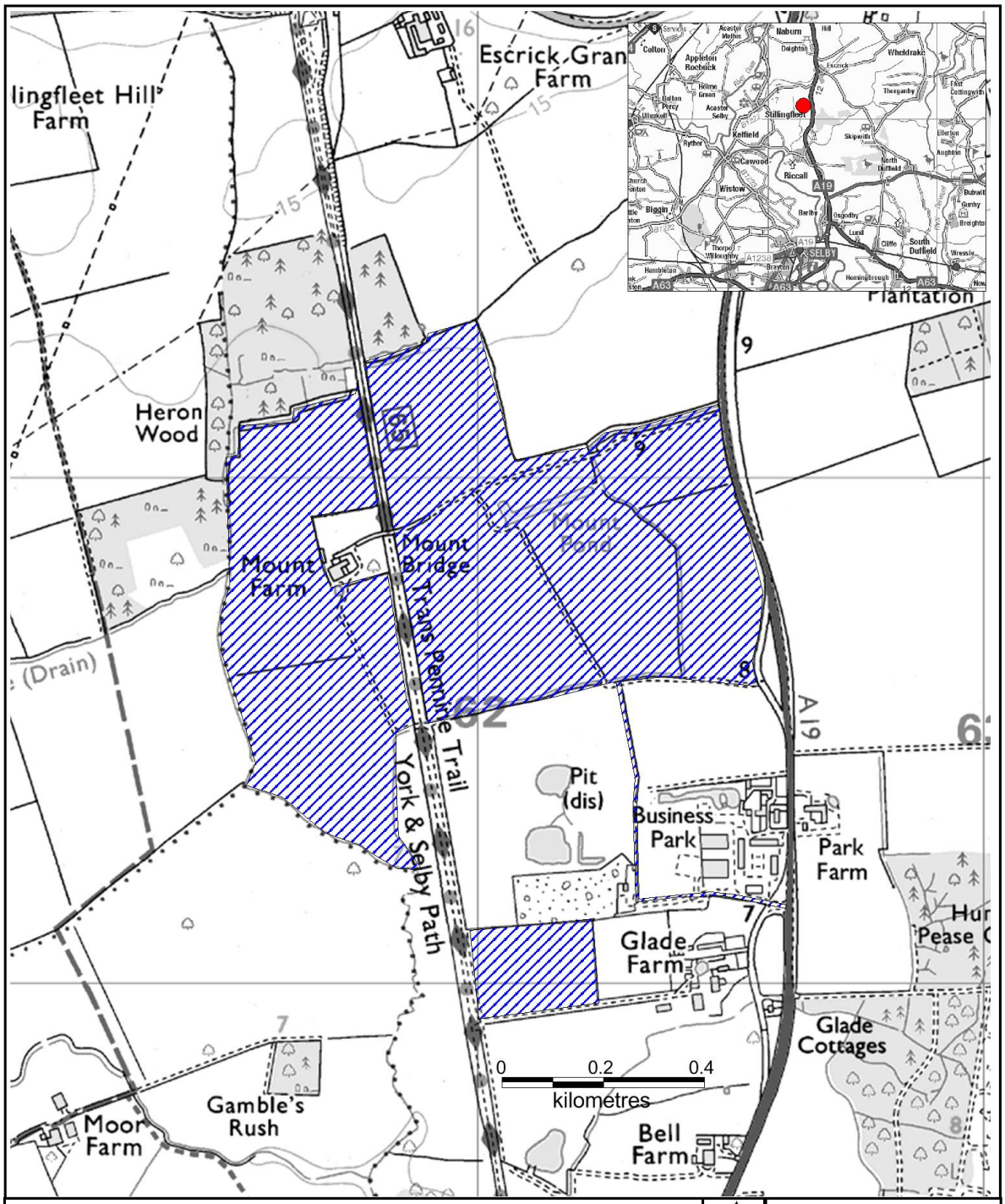
This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2014.

REVISED SITE – AMENDED SITE BOUNDARY

LAND ADJACENT TO FORMER ESCRICK BRICKWORKS

Site reference **WJP06**	**Key Details**
Location of Land **(Grid Reference)**	Land adjacent to former Escrick Brickworks Escrick YO19 6ED (*461919 440761 - corrected grid reference & revised boundary in vicinity of Mount Farm*)
District	Selby
Waste Planning Authority	North Yorkshire County Council
Submitted by	MJCA (on behalf of Plasmor Ltd)
Current Use	Agriculture
Nature of Planning Proposal	Importation of inert waste for use in restoration of proposed clay extraction site
Minerals Estimated Reserve (tonnes)	See MJP55
Minerals Annual Output (tonnes)	See MJP55
Waste Annual Tonnage import	200,000 (based on total import of 4,000,000 tonnes to restore to original levels)
Size of Site (hectares)	59.0
Proposed Life of Site	21.5 years for completion of landfill based on infilling commencing 2 years after extraction in proposed site MJP55 commences
Possible site restoration and aftercare (if applicable)	Agriculture at original ground levels
Other information (if applicable)	Proposed as new landfill for restoration following proposed extraction of clay (MJP55)

DRAFT - NOT OPEN FOR CONSULTATION



Site Reference: WJP06

Site Name: Land adjacent to former Escrick Brickworks

Site Area

Minerals and Waste Joint Plan,
County Hall, Northallerton,
North Yorkshire. DL7 8AH

Site Submissions
Date : 09-2014
Compilation & Analysis : MWJP

This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2014.

REVISED SITE – AMENDED SITE BOUNDARY

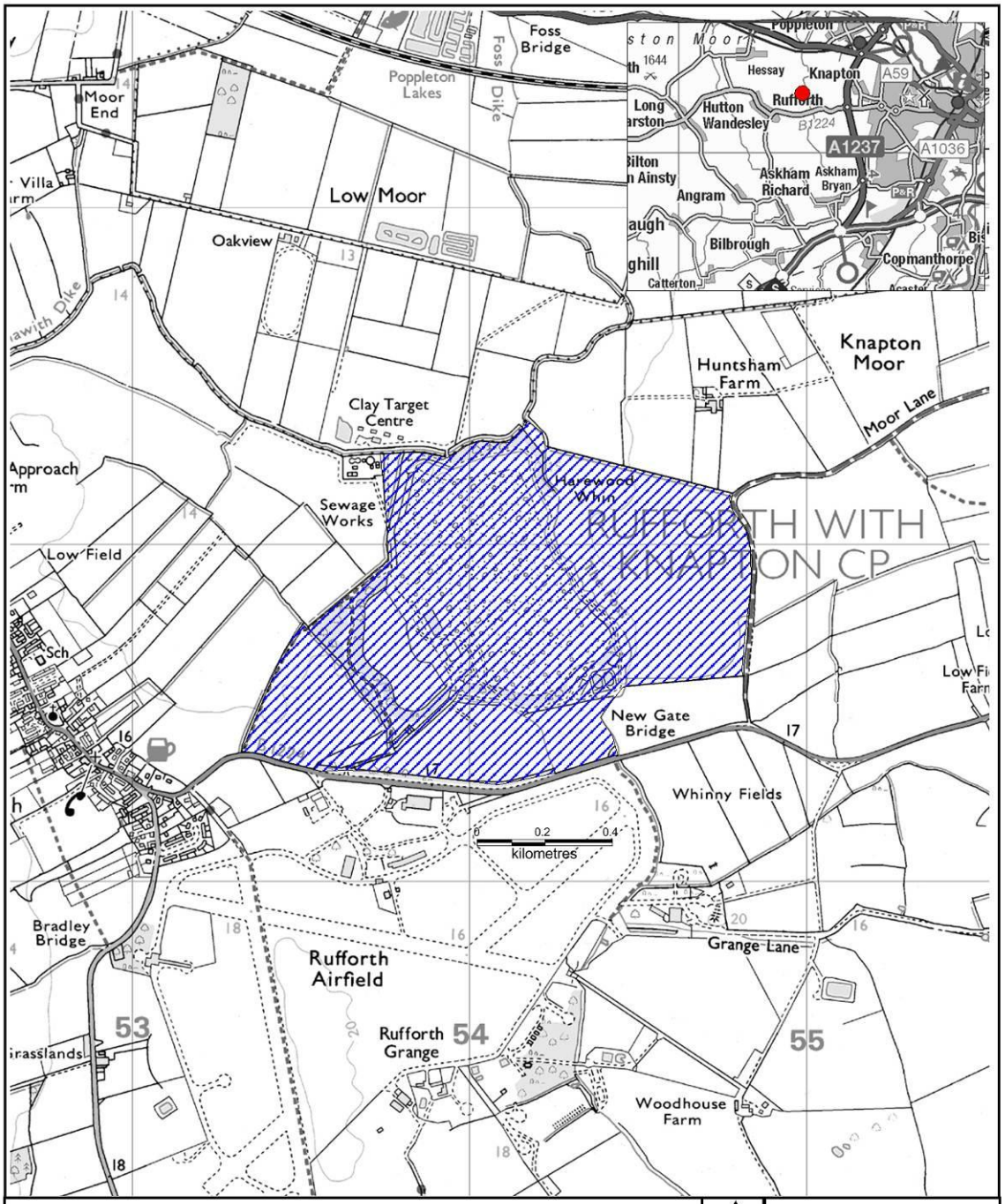
HAREWOOD WHIN, RUFFORTH

Site reference **WJP11**	**Key Details**
Location of Land **(Grid Reference)**	Harewood Whin Landfill Site Tinker Lane Rufforth York YO23 3RR (*amended plan to include current Materials Recycling Facility and Waste Transfer Station application area)* (453992 451704)
District	York
Waste Planning Authority	City of York Council
Submitted by	Yorwaste Ltd
Current Use	Waste facility for landfill, open windrow composting, recycling (including treatment bulking and transfer) and liquid waste treatment
Nature of Planning Proposal	Retention of the following facilities beyond 2017 • landfill, • open windrow composting, • recycling (including treatment bulking and transfer) and liquid waste treatment • Energy from Waste (Biomass and Landfill Gas Utilization) • kerbside recycling and waste transfer operation
Minerals Estimated Reserve (tonnes)	Not applicable
Minerals Annual Output (tonnes)	Not applicable
Waste Annual Tonnage import	Landfill: 30,000 Composting: 60,000 C&I Recycling: 150,000 Liquid Waste Treatment: 25,000 MRF: 50,000 Transfer: 60,000 (All above estimates for 2020)

DRAFT - NOT OPEN FOR CONSULTATION

Size of Site (hectares)	8.8 (additional area) *So total site size: 103*
Proposed Life of Site	15 to 20 years
Possible site restoration and aftercare (if applicable)	Not specified
Other information (if applicable)	Existing waste operation comprises 93.5ha and manages the following wastes: LACW, Commercial and industrial, Construction and Demolition, Agricultural Waste, Hazardous Waste (WEEE and certain liquid wastes). Compost is used in on-site restoration and these operations are currently limited to end in 2017 An application (13/00041/FULM) for a Materials Recycling Facility and Waste Transfer Station is currently awaiting determination by the City of York Council (*WJP11 site boundary amended to include this area*)

DRAFT - NOT OPEN FOR CONSULTATION



Site Reference: WJP11

Site Name: Harewood Whin, Rufforth

Site Area

N

Minerals and Waste Joint Plan,
County Hall, Northallerton,
North Yorkshire. DL7 8AH

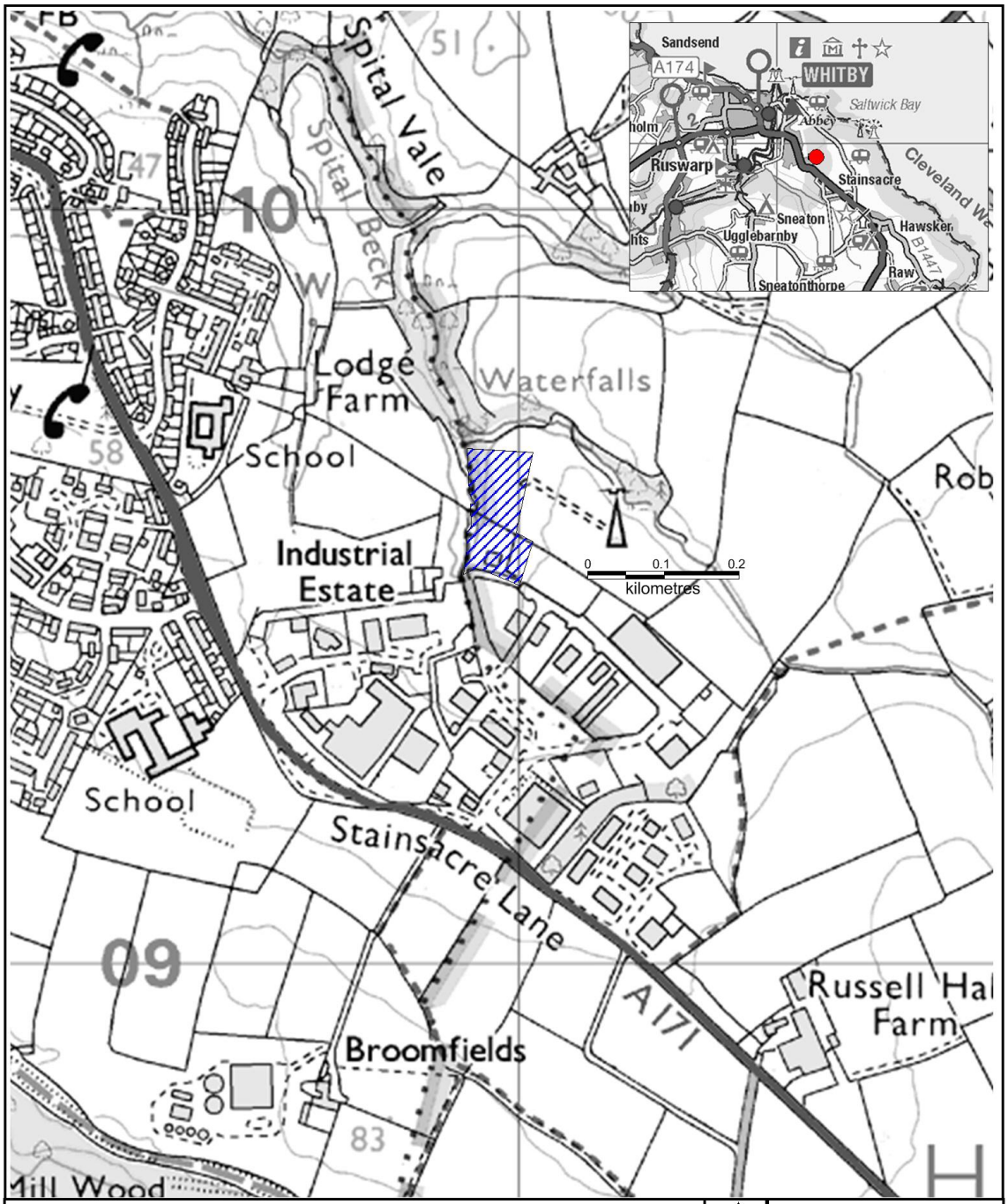
Site Submissions
Date: 06-2014
Compilation & Analysis: MWJP

This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2014.

FAIRFIELD ROAD, WHITBY – AMENDED SITE BOUNDARY AND TONNAGE

Site reference **WJP19**	**Key Details**
Location of Land **(Grid Reference)**	Whitby Waste Treatment and Transfer Facility (Fairfield Transfer Station) Fairfield Way Fairfield Business Park Whitby YO22 4PU (*amended to include areas to the east and north of the site)* (490978 509580)
District	Scarborough
Waste Planning Authority	North York Moors National Park Authority
Submitted by	Yorwaste Ltd
Current Use	Recycling and transfer of municipal and commercial waste
Nature of Planning Proposal	Recycling and transfer of municipal and commercial waste
Minerals Estimated Reserve (tonnes)	None proposed
Minerals Annual Output (tonnes)	None proposed
Waste Annual Tonnage import	*51,700 (amended tonnage)*
Size of Site (hectares)	*1.25 (amended site area)*
Proposed Life of Site	Unknown at present
Possible site restoration and aftercare (if applicable)	Unknown at present
Other information (if applicable)	Existing facility

DRAFT - NOT OPEN FOR CONSULTATION



Site Reference: WJP19

Site Name: Fairfield Road, Whitby

Site Area

N

Minerals and Waste Joint Plan,
County Hall, Northallerton,
North Yorkshire. DL7 8AH

Site Submissions
Date : 07-2014
Compilation & Analysis : MWJP

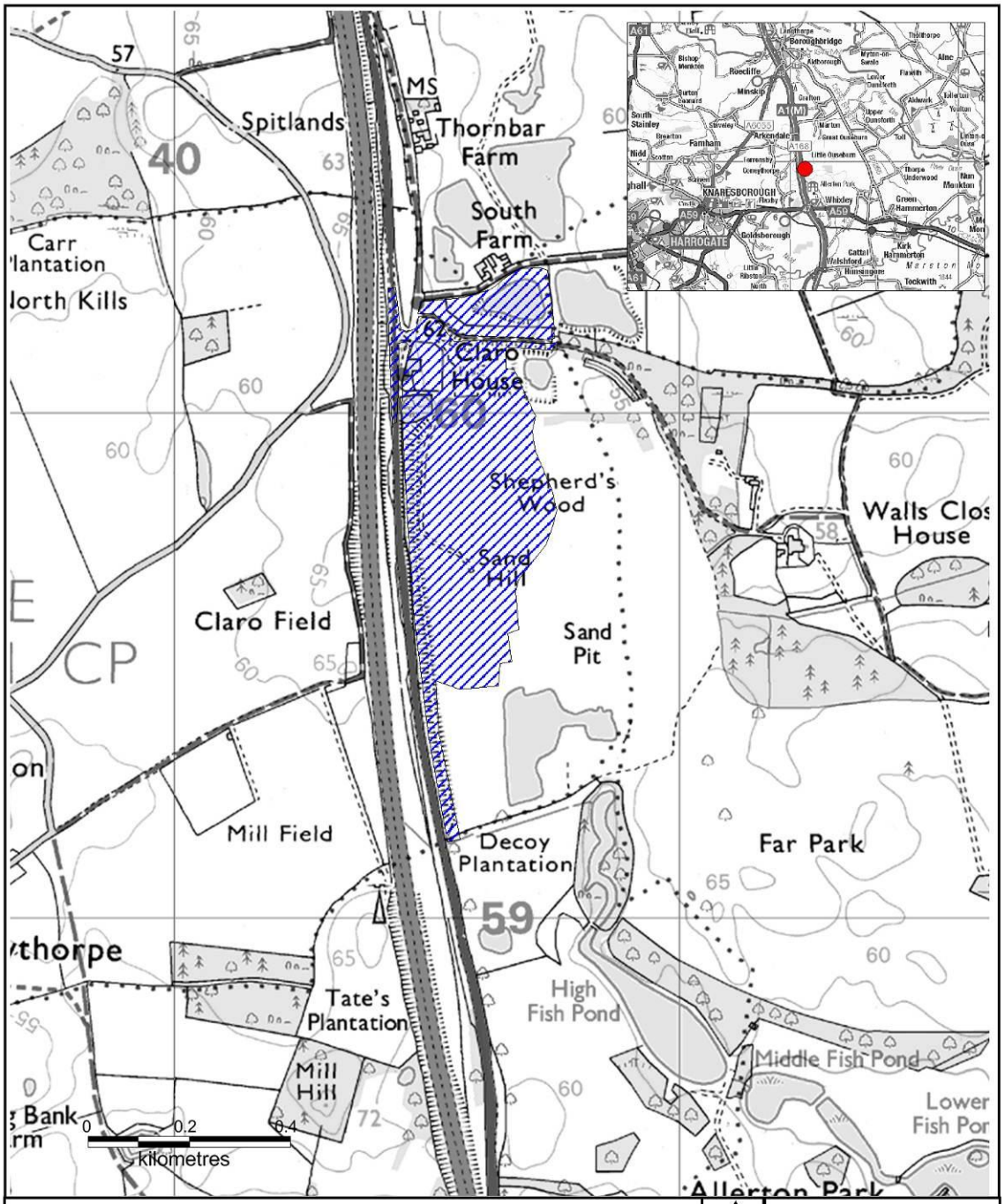
This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2014.

NEW SITE

ALLERTON WASTE RECOVERY PARK, NEAR KNARESBOROUGH

Site reference WJP20	Key Details
Location of Land **(Grid Reference)**	Allerton Park Quarry Allerton Knaresborough HG5 0SD (440605 459876)
District	Harrogate
Waste Planning Authority	North Yorkshire County Council
Submitted by	AmeyCespa
Current Use	Landfill and former quarry
Nature of Planning Proposal	Proposed new Integrated waste management facility for municipal household, commercial and industrial waste incorporating mechanical treatment, anaerobic digestion, energy from waste, incinerator bottom ash recovery and education
Minerals Estimated Reserve (tonnes)	Not applicable
Minerals Annual Output (tonnes)	Not applicable
Waste Annual Tonnage import	Up to 320,000tpa
Size of Site (hectares)	19.4 (Core Area 4.2 hectares)
Proposed Life of Site	Proposed permanent facility
Possible site restoration and aftercare (if applicable)	None proposed due to being permanent facility
Other information (if applicable)	Proposed new facility. Planning Permission C6/500/63/Q/CMA for this development was granted in February 2013 and requires implementation by 15 February 2016.

DRAFT - NOT OPEN FOR CONSULTATION



Site Reference: WJP20

Site Name: Allerton Waste Recovery Park, near Knaresborough

Site Area

N

Minerals and Waste Joint Plan, County Hall, Northallerton, North Yorkshire. DL7 8AH

Site Submissions
Date: 06-2014
Compilation & Analysis: MWJP

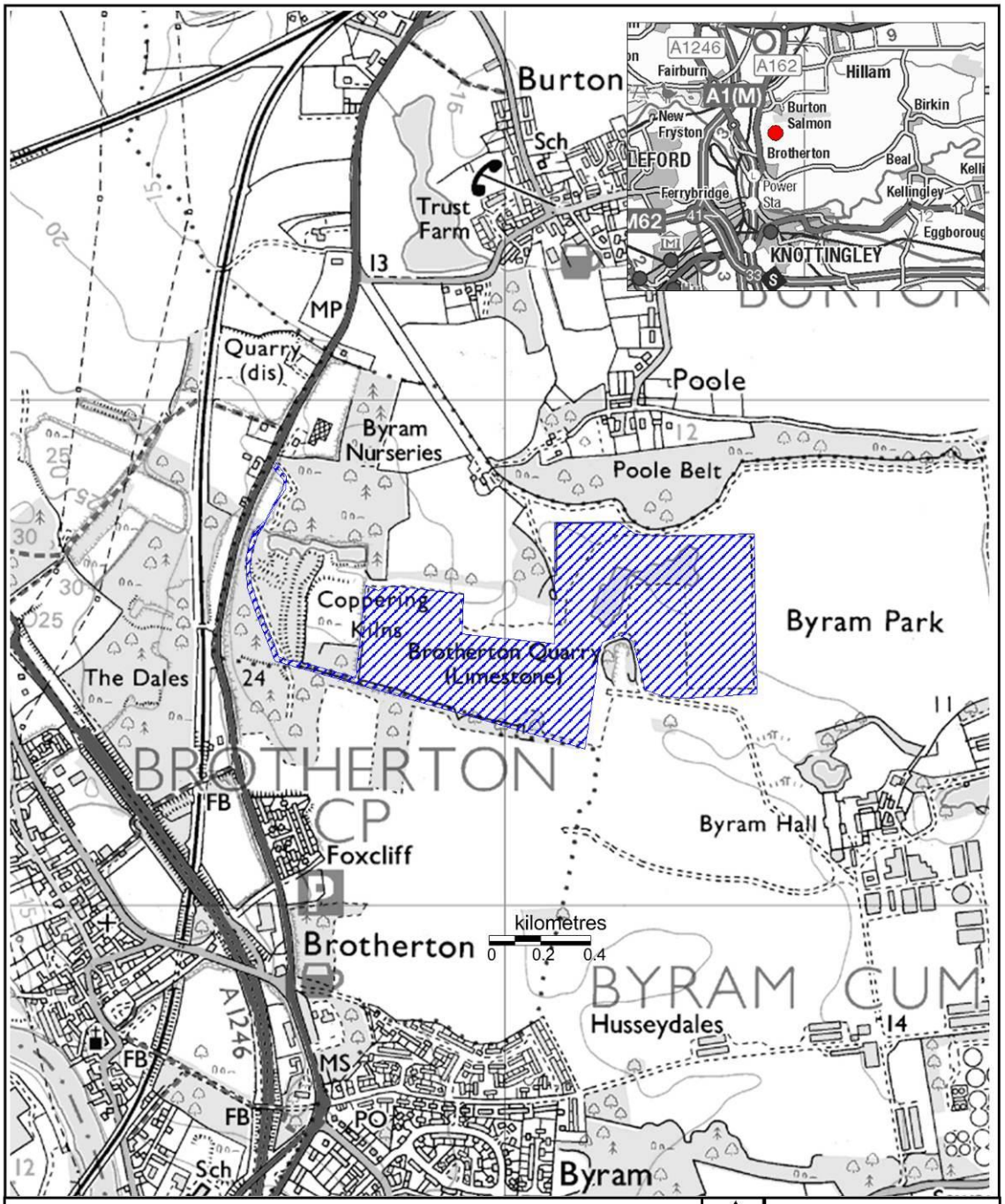
This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2014.

NEW SITE

BROTHERTON QUARRY, BURTON SALMON

Site reference **WJP21**	**Key Details**
Location of Land **(Grid Reference)**	Brotherton Quarry Tadcaster Road Burton Salmon WF11 9EF (449093 426488)
District	Selby
Waste Planning Authority	North Yorkshire County Council
Submitted by	FCC Environment
Current Use	Quarry
Nature of Planning Proposal	Import of inert waste for restoration purposes
Minerals Estimated Reserve (tonnes)	See MJP56
Minerals Annual Output (tonnes)	See MJP56
Waste Annual Tonnage import	Unknown at present
Size of Site (hectares)	20.5
Proposed Life of Site	Unknown at present
Possible site restoration and aftercare (if applicable)	Agriculture
Other information (if applicable)	An application to extend the period of time for extraction and restoration of the eastern part of the site (which involves importation of soils for restoration purposes) is currently awaiting determination (NY/2013/0324/73). This proposal would extend the area of proposed import of materials to include the western part of the site. Potential need for circa 400,000 tonnes of inert material in total to restore the site

DRAFT - NOT OPEN FOR CONSULTATION



Site Reference: WJP21

Site Name: Brotherton Quarry, Burton Salmon

Site Area

N

Minerals and Waste Joint Plan, County Hall, Northallerton, North Yorkshire. DL7 8AH

Site Submissions
Date: 06-2014
Compilation & Analysis: MWJP

This map is reproduced from Ordnance Survey material with the permission of Ordnance Survey on behalf of the Controller of Her Majesty's Stationery Office © Crown copyright. Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. 100017946, 2014.

DRAFT - NOT OPEN FOR CONSULTATION

Contact us

Minerals and Waste Joint Plan, Planning Services, North Yorkshire County Council, County Hall, Northallerton, North Yorkshire, DL7 8AH

Tel: **0845 8727374** Email: **mwjointplan@northyorks.gov.uk**

Cabinet **16 December 2014**

Report of the Cabinet Leader

Tour de Yorkshire

Summary

1. The inaugural 'Tour de Yorkshire' - a 2.1 UCI Europe Tour event - has been announced as taking place from the 1st – 3rd May 2015.

2. York has been invited to play a significant part in the weekend, hosting not only a stage two finish but sprint circuits around the city and a women's race.

3. This paper provides an overview of the ambition for the city, proposed delivery objectives, an operational plan and a budget outline.

4. Members are firstly asked to approve York's involvement in the Tour de Yorkshire. If Members are happy to grant this approval, they are then asked to review the delivery objectives and proposed operational plan for York's role in the Tour de Yorkshire and approve both these and the outline budget for the event.

Background

5. On Sunday 6th July, York was host to the start of the second day of 'the grandest Grand Départ' to date. The event was a triumph for the county of Yorkshire as a whole and has already brought significant financial benefits to the region with a recent independent report on the impact of the Tour citing a £102 million benefit to the region and rising (see Annex 1).

6. The announcement that a bid had been submitted by Welcome to Yorkshire (WTY) to the Amaury Sport Organisation (ASO) for a 2.1 UCI Europe Tour event came three days before the Tour de France visited Yorkshire. It was clear from the press release[1] that there

[1] http://letour.yorkshire.com/news/2015-yorkshire-race-official-launch

was a strong desire to build a long term relationship between the ASO and WTY in order to exploit the beautiful cycling opportunities that Yorkshire offers.

7. The news came on Friday 26th September that the bid to ASO has been successful and that Yorkshire would once again be visited by world-class cyclists in 2015 for a spectacular event.[2]

8. York has been offered a unique opportunity to participate in the race. The day two route will run from Scarborough to York. The final 32/48km of the race will take the form of 2 or 3 16km circuits around York, culminating in a sprint finish at the Knavesmire.

9. In addition to this men's race, there will also be a women's event running on the same circuit around the city. The women's race would take place in the morning (approximately 11am until 2pm) meaning that York would enjoy a full day of cycling action.

10. With the announcement of the Tour de Yorkshire, we have an opportunity to capitalise on already realised financial benefits, re-energise communities and further promote both public and competitive cycling in the region.

Delivery Objectives

11. It is proposed that the delivery of the Tour de Yorkshire should be guided by the following four overarching objectives

- We will - safely and on budget - deliver another world-class cycling event that will galvanise the already great reputation of our city;
- Economic benefits and opportunities for York in the short, medium and long term will be maximised;
- A lasting legacy across our communities, cycling infrastructure and public health will be secured;
- We will work hard to ensure that all residents are informed and able to positively engage with the race and related community activities.

12. Supplied at Annex 2 is an outline budget for staging the proposed day of racing and second stage finish in York. These costs have been based on actual spends incurred for the Tour de France and

[2] http://letour.yorkshire.com/tour-de-yorkshire

reflect a realistic estimate of what it will cost to stage the event safely.

13. Cycle Yorkshire, the regional Tour de France legacy project, is led by York and has already made significant progress in achieving its ambition of getting 'more people to cycle more often'. It is proposed that York will supplement this legacy activity with selected long-term projects that will specifically benefit the city.

14. Good communication will be pivotal in ensuring that all members of the public can positively engage with the Tour de Yorkshire. It is recognised that a race of the scale and duration proposed will impact on the city and it is important that we are effectively communicating with residents from an early stage about how they can minimise their personal disruption and get involved with the event.

Operational Plan

15. In order to deliver against the four core principles outlined, the following actions are proposed:

- Establish an 'in house' event management team to enable delivery of this event at Local Authority level in conjunction with local services and stakeholders;

- Create a suite of well-documented and auditable plans for all aspects of the event.

- Establish/ participate in a regional strategic planning team to enable us to deliver this event at county level in conjunction with all regional partners and stakeholders;

- To use the skills, knowledge and experience gained on the event management of the hugely successful Tour de France to guide the planning of this event;

- Draft and implement a main operational event plan (along with a suitable emergency and contingency plan) in order to ensure the safety and enjoyment of all participants and spectators;

- Implement a working traffic management plan that will effectively manage both vehicular and pedestrian traffic before, after and during the event;

- Engage with local communities, ensure that disruption is minimised through all wards;

- Implement a program of community engagement that will reinforce the 'Tour de France' ethos and further continue its legacy and promotion of cycling in York;

- Produce a strong communication campaign across all media platforms.

Council Plan

16. The staging of the Tour de Yorkshire event would serve to enhance delivery of the Council Plan ambitions to both *Create Jobs and Grow the Economy and Build Stronger Communities.*

17. As outlined previously in this report, the economic benefits of the Tour de France for the region have hugely exceeded expectations. Given additional factors at play on this occasion (notably, that all the teams will be staying in York for the duration of the event and that the length/ timing of the event is significantly more favourable to us on this occasion), there is a definite opportunity to generate economic benefits in the short-term. In addition, hosting the race will also allow for more high-quality promotion of the city to another wide audience as the event will be televised once again.

18. The Tour de Yorkshire offers the opportunity to further enhance the community cohesion that the Grand Départ brought to York. A full suite of activities will be planned in order to encourage community groups to engage with the event.

Implications

Financial

19. The overall cost of hosting the event is estimated to be £250,000 (inclusive of hosting fee)

    An outline budget can be found at Annex 2.

    Headline costs include:

- There is a fee of £100k payable to ASO to be a host city;
- Stewarding and crowd management (inc. barriers) - £32k
- Staffing costs - £35k
- Communications and marketing - £8K
- Traffic management and transport - £40k
- Event staging and spectator provision (including sanitation, parking, power, water, radios and signage) - £15k

20. Unlike the Tour de France, there will be no central procurement and York will be able to source best-value supplies independently. It is the intention to source locally wherever possible to keep money in the region.

    It is proposed that the event can be funded from a contribution of the Itravel York budget £100k and a contribution from the Economic Infrastructure Fund £150k. The Itravel York budget includes support to encourage cycling and this will support that work. The Economic Infrastructure Fund has a balance of £557.5k unallocated. An allocation of £150k would reduce this balance to £407.5k.

Human Resources (HR)

21. A Tour de Yorkshire project delivery team will be established in accordance with standard HR practices.

Equalities

22. All efforts will be made to ensure that the race and satellite events are fully accessible and inclusive. *A Community Impact Assessment will be developed.*

Legal

23. Once the necessary agreements have been secured, it will be necessary to ensure that the contracts between City of York Council and Welcome to Yorkshire/ Amaury Sport Organisation are in place.

Crime and Disorder

24. Working in conjunction with North Yorkshire Police all crime and disorder risks will be identified and mitigated. However, based on

experiences of the crowd profile from the Tour de France, few issues are expected.

Information Technology (IT)

25. There are no specific IT implications although ICT colleagues will play a fundamental role in assisting with effective communication via website design.

Property

26. There are no known implications.

Other

Traffic Management/ Transport Planning

27. A comprehensive and effective Traffic Management Plan will be produced in consultation with colleagues in Transport Planning.

Emergency Planning

28. All potential threats and risks will be full explored and mitigated in consultation with colleagues in Emergency Planning.

Risk Management

29. As with any large-scale event, the risks for staging the Tour de Yorkshire in York are wide-ranging and complex. A detailed risk assessment for all aspects of the event will be produced and managed as part of the project process. No capital funds have been identified for this project.

Recommendations

30. Members are asked to:

1) Give their agreement to York hosting the day two events outlined in the report (women's race, men's race and finish);

2) Ratify the outlined delivery objectives and operational plan;

3) Delegate authority to the Chief Executive to enter into legal agreement with Welcome to Yorkshire to deliver the race in York.

4) Agree the City of York Council contribution to the financing of the event £100k from ITravel York and £150k from Economic Infrastructure Fund.

   Reason: To achieve the outlined economic, cultural and community benefits for the city.

Author:	**Cabinet Member & Chief Officer Responsible for the report:**
	Cabinet Leader
Stuart Gladstone Event Operations Officer 01904 552068	Sally Burns Director of Communities and Neighbourhoods
Laura Haviland Events Project Officer 01904 552038	**Report Approved** √ **Date** *8 December 2014*

Specialist Implications Officer(s) None

Financial

Ian Floyd, Director of Customer and Business Support Services (x2909)

Patrick Looker, Finance Manager, (x1633)

Traffic Management

Alistair Briggs, Traffic Network Manager (x1368)

Transport Planning

Jon Pickles, Engineer – Transport Projects (x3462)

Emergency Planning

Jim Breen, Emergency Planning Coordinator (x1003)

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

The wards most significantly affected are:

- Heworth Without
- Hull Road

- Strensall
- Haxby and Wigginton
- Dringhouses and Woodthorpe
- Heworth
- Guildhall
- Huntington and New Earswick
- Fishergate
- Micklegate

For further information please contact the author of the report

Background Papers: None

Annexes

Annex 1 – Independent Report on the Impact of the Tour de France
Annex 2 - Outline budget for the safe delivery of the event.

Glossary of Abbreviations used in the report:
ASO - Amaury Sport Organisation
WTY - Welcome to Yorkshire

Impact of the UK stages of
The Tour de France 2014

Three Inspirational Days

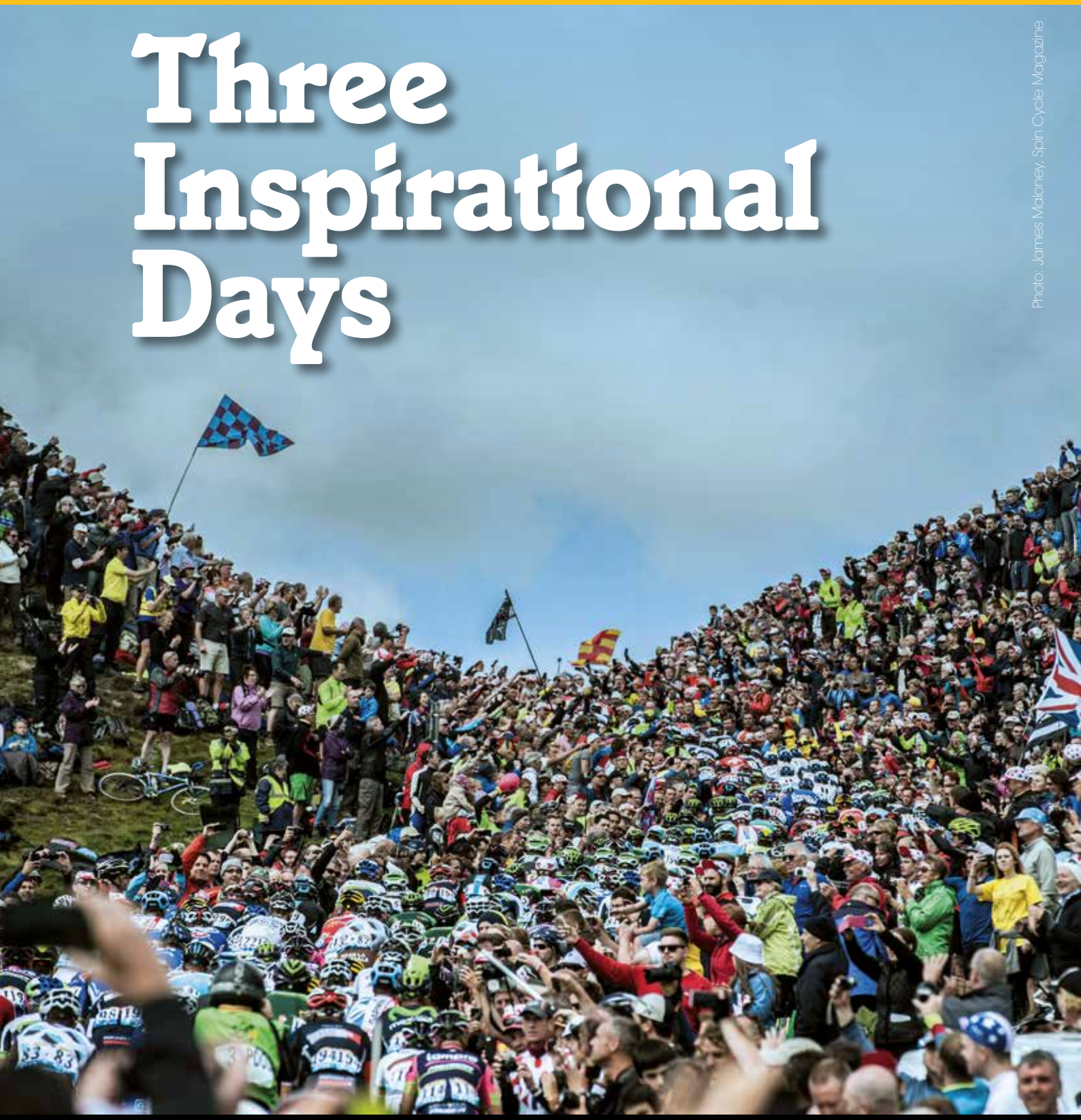


Photo: James Maloney, Spin Cycle Magazine

Leeds City Council · Transport for London · TdFHUB2014LTD · uk sport world class success · Welcome to Yorkshire yorkshire.com

"Amazing, unforgettable, and the grandest Grand Départ ever!" Christian Prudhomme, ASO.

Photo: www.swpix.com, Welcome to Yorkshire

Foreword

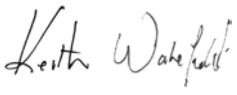
Anyone who experienced the opening three stages of the Tour de France in the UK this summer will remember it for years to come as an astonishing sporting spectacle.

Five months on, this report looks behind those three inspirational days in July to assess the wider benefits for the host organisations and the communities they serve. It examines the benefits that have flowed to the areas that hosted the Tour and measures the economic return generated from the public funds that we invested.

It is clear from the research, conducted independently, that the Tour has delivered excellent value for money. Not only have we, collectively, staged a safe and enjoyable event, but we also met our wider goals: to deliver economic benefit; to raise our profile to attract tourism and investment; to cement the UK's position as a world leader in delivering major events; and, not least, to inspire many thousands of people to start cycling or to cycle more often.

What's more, we expect to see some of these benefits having a continuing impact in the years ahead, as more tourists visit the UK, more firms secure trade deals and more people feel the benefits of cycling.

Of course, none of this would have been possible without the individuals, organisations and communities that backed the Tour to make it a success. The millions of spectators who turned out were proof that people in Yorkshire, Cambridge, Essex, London and far beyond got behind the Tour on its journey through the UK. We thank them and everyone who played their part in creating a truly remarkable event.



Councillor Keith Wakefield (Leader, Leeds City Council)

Sir Rodney Walker (Chair, tdFHUB2014 ltd)

Liz Nicholl (CEO, UK Sport)

Gary Verity (CEO, Welcome to Yorkshire)

Sir Peter Hendy (Commissioner, Transport for London)

"The three opening stages of the 2014 Tour de France confirmed the UK's reputation for staging world-class sporting events. It was a great privilege to have been part of it and I would like to place on record my deep and sincere thanks to all who contributed to making the Tour such a success."

Sir Rodney Walker, Chair TdFHUB2014 Ltd

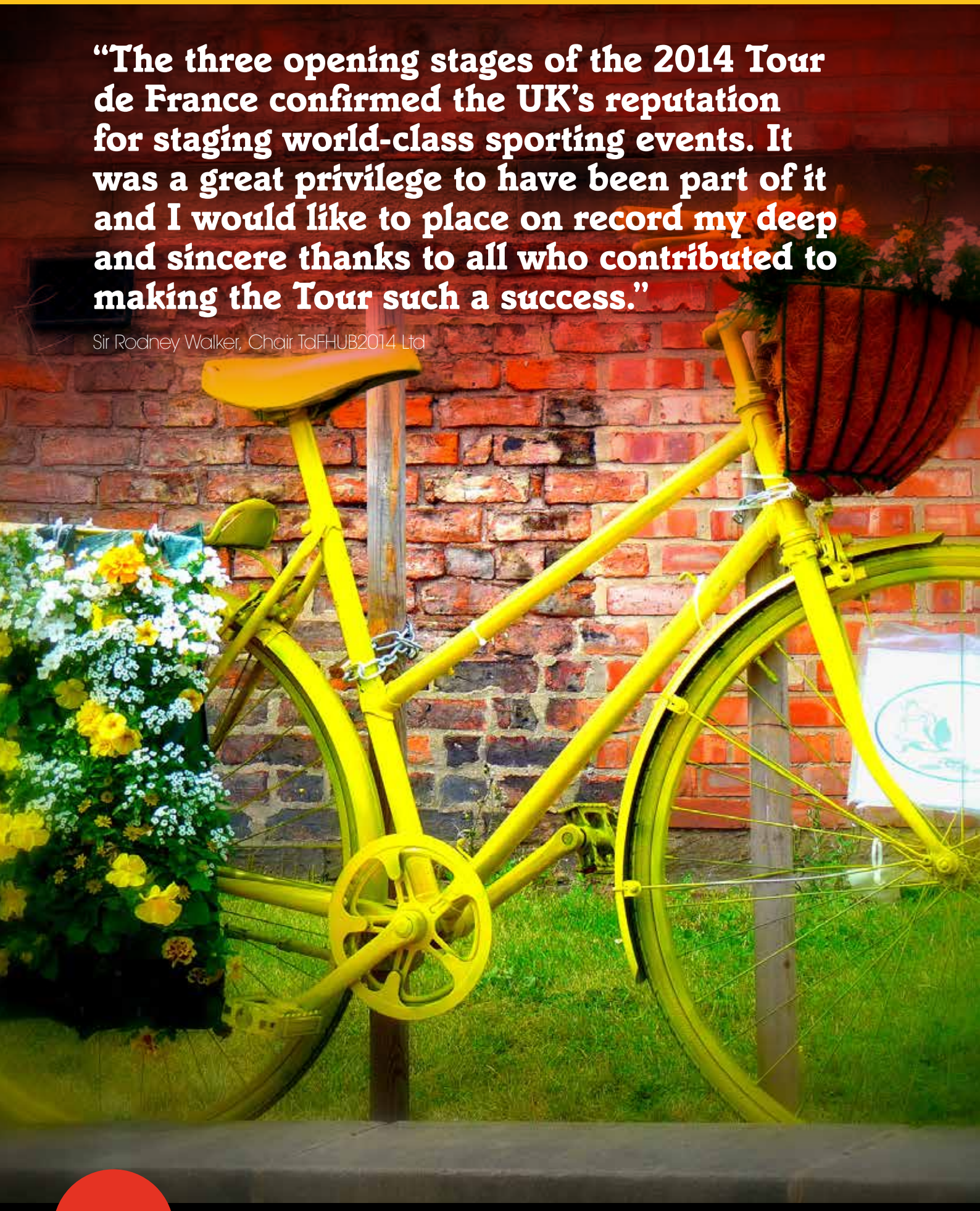


Photo: Yorkshire Trails

Acknowledgements

As referenced in the report, there were so many organisations and individuals involved in making this event a success it would be impossible to name each and every one.

The following were key partners involved in the planning and hosting of the 2014 Tour de France

in the UK:

Barnsley Metropolitan Borough Council, Bradford Metropolitan District Council, Calderdale Council, Cambridge City Council, Cambridgeshire County Council, City of York Council, Craven District Council, Derbyshire County Council, Essex County Council, Hambleton District Council, Harrogate Borough Council, Kirklees Council, Leeds City Council, North Yorkshire County Council, Peak District National Park Authority, Richmondshire District Council, Rochdale Borough Council, Sheffield City Council, Transport for London, Wakefield City Council, Welcome to Yorkshire, Yorkshire Dales National Park Authority, British Cycling, Asda, London & Partners, Leeds & Partners, UKTI and Marketing Sheffield, Police, Fire and Ambulance Services, NHS plus Transport bodies and authorities as well as the British Army.

In drafting this report there are a number of people we wish to thank:

The organisations that funded this work on behalf of all of the delivery partners: Leeds City Council, Transport for London, UK Sport and TdFHUB2014 Ltd.

The Steering Group for their efforts and attention: Tom Bridges (Leeds City Council - Chair), Chris Mather (Transport for London), Jerry Bingham (UK Sport), Tracy Commons (Welcome to Yorkshire), Iain Edmondson (London and Partners), Henrietta Duckworth (Yorkshire Festival), Graham Titchener (Cycle Yorkshire and City of York Council), Matthew Roberts (Harrogate Borough Council), Brendan Moffett (Marketing Sheffield), Martin Morton (UK Sport) and Alison Edbury (&Co)

The project team for managing this work and bringing the report together: Tom Bridges, Simon Brereton, Sarah Lowi Jones, Jan Ali and Catherine Wright (Leeds City Council), Patrick Bowes and Joe McTigue (Regional Economic Intelligence Unit, Leeds City Council) and Iain Edmondson (London and Partners).

SPA Future Thinking for undertaking most of the primary research: Stephanie Shaarwi, Chris Harvey and Dan Hillyard.

To all of the people who agreed to be featured in this report as part of the People's Tour – very many thanks for your support and help. We were overwhelmed with over 300 brilliant contributions, we are sorry we could not include them all but thank you very much for sharing your experience with us just the same.

All at Welcome to Yorkshire for their significant support with this work, including use of their image bank.

James Maloney (Spin Cycle Magazine) for kind use of the Buttertubs photograph displayed on the front cover.

Thanks to Emma Spink in the Leeds City Council graphics team for designing the headline report and to Andy Stoneman from Inspiredby for designing this report.

Most importantly – to all of the jersey knitters, community organisers, café painters, pop-up carnival participants, school activity leaders, land art creators and the 3.5 million spectators – thank you for getting involved.

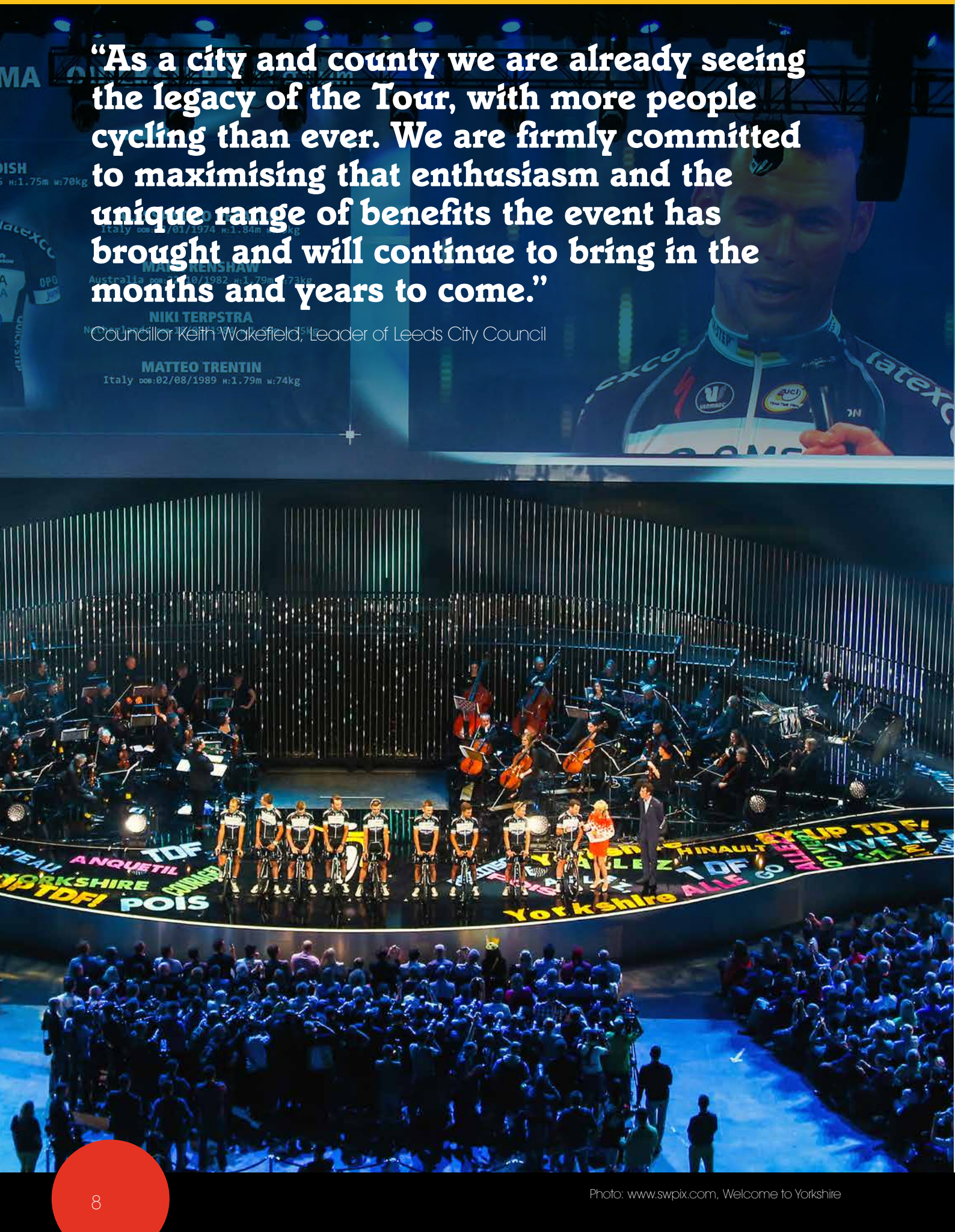
"There is no doubt the Grand Départ of the Tour de France was incredible for many businesses in Yorkshire and the benefits will be felt for many years to come."

Gary Verity, CEO of Welcome to Yorkshire

Photo: Leeds City Council

Contents

1. **Introduction:** an occasion like no other 9
2. **Staging the event:** 100 organisations – one team 11
3. **Our communities:** inspired and involved 19
4. **Spectators:** they watched in their millions 25
5. **From the investment:** the economic boost 31
6. **A sport for all:** the cycling legacy 51
7. **Long-term legacy:** welcoming the world 56
8. **Building on success:** what next? 60
9. **Appendix:** Methodology 61



"As a city and county we are already seeing the legacy of the Tour, with more people cycling than ever. We are firmly committed to maximising that enthusiasm and the unique range of benefits the event has brought and will continue to bring in the months and years to come."

Councillor Keith Wakefield, Leader of Leeds City Council

Photo: www.swpix.com, Welcome to Yorkshire

Introduction:
an occasion like no other

In July 2014, the eyes of the world were on Yorkshire, Cambridge, Essex and London as they staged the first three stages of the 2014 Tour de France. The Tour is the largest annual global sporting event, and the oldest and most iconic cycle race in the world.

In hosting the event the partners aimed not only to deliver a world-class sporting event that exceeded expectations but also to:

- Enhance the UK's reputation as a world leader in delivering major events;
- Secure significant economic benefits for the areas the Tour passed through, as well as for the UK overall;
- Raise the profile of Yorkshire, Cambridge, Essex and London as places to visit and invest in;
- Inspire a legacy of cycling and increased participation in sport more generally; and
- Showcase the creativity and enthusiasm of our communities.

This report sets out the findings of a comprehensive research programme to assess the economic and social impact of staging the Yorkshire Grand Départ and the Cambridge to London third stage of the 2014 Tour. The impacts were analysed using a nationally recognised and accepted methodology (eventIMPACTS).

At the same time we also look at the stories of businesses, communities, volunteers, schools and local residents who played their part in making this a unique and memorable event. Not all impacts can be measured in numbers or pounds and pence – some things are more intangible but help describe the enthusiasm with which people embraced this event and welcomed the world.

Methodology

This study was guided by the nationally recognised, industry standard methodology - eventIMPACTS. This isolates the '*additionality*', i.e. the difference, that hosting an event made to the economy. However, due to the size, scale and uniqueness of the event we have also considered a broad range of other information and research.

An independent research agency, SPA Future Thinking, was commissioned to carry out the primary research, which included four surveys:

- A face to face survey of over 4,000 spectators during the event and a follow up three months later;
- A survey of over 700 businesses across the 3 UK Stages immediately following the event with a follow-up three months afterwards;
- A survey of 2,200 volunteer Tour Makers;
- A survey of a nationally representative sample of the UK adult (over the age of 16) population.

All of the graphics and statistics used in this report are from the SPA Future Thinking Research unless otherwise stated. A more detailed description of the methodology can be found in the Appendix.

Partners

This work was commissioned, on behalf of all of the delivery organisations, by Leeds City Council, Transport for London, UK Sport and TdFHUB2014 Ltd. The work in its entirety was managed by a joint Leeds City Council, Regional Economic Intelligence Unit and London and Partners Project Team, overseen by a Steering Group representing all stakeholders.

Photo: Leeds City Council

"Key to successful delivery and the feel good factor was the integration of services across geographic areas so that it felt like one event over all three days, with services (public and private) working seamlessly together."

Sir Peter Hendy CBE, Commissioner, Transport for London

Photo: Transport for London

Staging the event:
100 organisations – one team

A huge amount of preparation went into bidding for, planning and successfully delivering the event. This involved a large number of organisations, over 100 at the last count, who united to deliver the world's biggest annual sporting event. As well as staging the race, partners worked to maximise the benefits with a programme of activity to engage businesses and residents.

Bidding for the Grand Départ

Early in 2012, a campaign began to bring the Grand Départ to Yorkshire. A formal bid to host the event was submitted to the ASO (the owners of the Tour de France) by Welcome to Yorkshire (the official destination management organisation for Yorkshire) in March 2012, supported by a number of local authorities.

Over the summer of 2012, public awareness grew, and a nine month campaign to show the scale of support to 'Back Le Bid' was built. More than 170,000 people gave their support, including the President of France, Francois Hollande. Alongside of the official bid, Welcome to Yorkshire implemented a fully integrated marketing campaign and engaged with members of the public and businesses across all sectors of the economy.

At the same time, for London, Cambridge and Essex hosting Stage 3 of the Tour de France offered the same opportunities as it did for Yorkshire: an unmissable chance to showcase their areas to a global audience. It also offered a huge opportunity to inspire new cyclists of all ages.

In December 2012, ASO announced their decision to hold three stages in the UK and details of the routes were announced in January 2013 at the 'La Nuit du Tour', a celebratory evening of bands, children's choirs and fireworks which set the tone for the 18 months ahead.

Hosting three stages that spanned administrative boundaries brought challenges but more importantly allowed new relationships to be formed and new partnerships to be created. Expertise and knowledge was shared across boundaries in an unprecedented way, with a strongly collaborative ethos at the heart of all of the planning work.

Stage 1

Stage 2

Stage 3

The hard work begins: 100 organisations – one team

The challenge of staging the Tour in the UK brought together an unprecedented coalition of organisations around a common purpose: to stage a sporting spectacle that would showcase our country across the rest of the world. The main players were:

- ASO (Amaury Sports Organisation) – commercial body, owners of the Tour de France;
- Welcome to Yorkshire – main contract holder for Stages 1 and 2 and for Stage 3 outside London;
- Leeds City Council – lead local authority;
- Local authorities – event organisers within their own boundaries;
- Transport for London – contract holder for Stage 3 within London; and
- UK Sport – Government sports agency providing the route for £10m funding, assurance of the programme and major event expertise.

The Government set up TdFHUB2014 Ltd, a not-for-profit organisation to co-ordinate planning and delivery of Stages 1 and 2 of the Tour in Yorkshire and to work with Transport for London on Stage 3, from Cambridge to the Capital. TdFHUB2014 Ltd brought all of the key delivery partners together and managed the £10m Government contribution to staging a safe and secure event. Work was organised around a number of themes:

- Venue and route operations;
- Safety and security;
- Transport and highways;
- Communications;
- Finance and procurement; and
- Coordinating local authority delivery.

As has been said, the key to successful delivery and the feel good factor was the integration of services across geographic areas so that it felt like one event over all three days, with services (public and private) working seamlessly together. The result provided a working model of what can be achieved when organisations work collaboratively.

- Nineteen separate authorities co-ordinated traffic regulations across 300 miles of route to allow the Tour to pass. Special air traffic control arrangements were implemented and Parliament approved amendment of traffic legislation.

The People's Tour

Twenty Four Seven Recruitment, Home Care Provider Leeds

"We work in partnership with Leeds City Council as a provider of essential services for the most vulnerable people living in the city, and we wanted the Tour to be a successful event while also making sure our clients were properly cared for.

Meticulous planning and seamless execution went into the success, but the real achievement was a total commitment to the success of the event by all the staff.

All holidays and planned off-duty days were voluntarily cancelled and family members and customers were involved in the planning process. Staff camped on campsites close to their customers, slept over at colleagues' houses, parked on their customers' parking bays and, where possible, joined in the fun by cycling to all their customers' homes to ensure everyone received their essential visits.

The Tour de France was not just a one day event, it was the first day of the future in changing in how home care is delivered, how providers work with and support their customers, and how communities need to work together to ensure better lives for everyone in Leeds. We've proved we can do it, so let's build on it."

- Staff on the ground deployed 30,000 traffic cones, 5,000 special road signs and 100 kilometres of barriers – and cleared them up after the event.
- Practice exercises held before the event brought together unique combinations of agencies and professionals, creating new channels for the exchange of professional expertise.
- Some care workers camped out to make sure that, despite road closures, services remained unaffected. Street cleansers worked overnight so that our streets looked their best.

The People's Tour

Vijay Dayalji, Tour Maker Bradford

"I'd have paid to do it. If I can make one person's day better - because I show a child where the toilets are or whatever it is - I'll be happy, because I'll be part of the legacy of cycling in Yorkshire."

Quite simply, the UK Tour stages would not have been possible without the active commitment to partnership demonstrated by such a wide variety of organisations. Furthermore, the relationships and networks created as a result are a valuable asset for the future - not least to provide a foundation for bids for other potential events.

As part of the planning Asda worked with Welcome to Yorkshire and TdFHUB2014 Ltd to recruit and train a volunteer army of 8,000 Tour Makers. Tour Maker roles ranged from welcoming international visitors, to supporting the emergency services and being a friendly and reassuring face at the event.

The programme was very successful with the volunteers more than living up to the 'happy to help' message displayed on their uniforms. They were key to creating the fun, relaxed atmosphere that made the Tour so enjoyable.

Photos: (bottom) Twenty Four Seven Recruitment , (top) Leeds City Council

Business engagement

Organisations worked hard to inspire and inform the business community. Work began in 2013 with Grand Départ roadshows run by Welcome to Yorkshire for visitor economy businesses across Yorkshire. These attracted hundreds of participants and led to a rolling programme of workshops organised by local authorities, Welcome to Yorkshire and the Local Enterprise Partnerships.

A toolkit for businesses was produced by Leeds City Council in collaboration with Welcome to Yorkshire and more than 100,000 were distributed across Yorkshire in the year before the event. There was a clear message to the business community: that they should prepare well in advance and plan how best to benefit from the opportunities presented.

Working with the government's export and international trade body UK Trade and Investment (UKTI), Welcome to Yorkshire, Marketing Sheffield and Leeds and Partners organised an International Festival of Business for the week before the event.

This was the first time a business festival had been organised in conjunction with the Tour, and more than 2,000 participants from 25 different countries were welcomed.

In total, 25 events were held in Leeds, Sheffield and York that explored the heritage and strength of the Yorkshire and UK economies in fields as diverse as sports science, advanced manufacturing, textiles and health informatics. A new business network for collaboration with China was launched, a game jam competition saw regional talent seeking to create new products themed around cycling, and the importance of Yorkshire in the bio-economy was highlighted at an international conference in York.

To celebrate the Grand Départ, UKTI also teamed up with the UK Fashion and Textile Association and the Campaign for Wool to create a comprehensive textile showcase, illustrating the many facets of today's Yorkshire textile industry. The showcase displayed The Tour de Fleece, a premium yarn that was designed, spun, woven and finished in Yorkshire.

This activity combined to create a pipeline of trade and investment deals: over 100 companies are currently in negotiation with indications this could result in a considerable boost to the UK economy.

The People's Tour

Tour de Fleece Leeds

"The Tour de Fleece cloth was created to provide a vehicle for Yorkshire Textiles to be highlighted and showcased using the unique opportunity of the Tour de France. The cloth showcased regional textiles and skills as it was completely processed within 40 miles: from fleece – yarn spinning – dying – weaving – finishing and design through to the tailored products. UKTI and UKFT utilised the cloth as the main textile product in the Grand Départ Fashion Show and promotions. Key figures also commissioned jackets in the cloth with James Laxton, of textile manufacturers Laxtons Yarns in Guiseley Leeds, proudly wearing his 'Tour de Fleece' jacket when meeting HRH Prince Charles. The depth and breadth of public awareness has also been developed due to the positive press coverage of the Tour de France. There continues to be considerable interest in the cloth and Yorkshire textiles since the Tour de France with several young designers expressing interest in using Yorkshire textiles."

Suzy Shepherd, Yorkshire Textiles

Celebrating the Grand Départ through culture

Welcome to Yorkshire announced the first Yorkshire Festival, sponsored by Yorkshire Water and the Arts Council. This festival ran for the 100 days leading up to the Grand Départ - from 27th March to 4th July. It was designed to showcase the region's finest creative talents on a national and international stage, with a full programme of music, dance, theatre, film, art and sculpture. This was also the first cultural festival to be held alongside the Tour.

Activities were held across the UK. Cambridgeshire, for example, held a 'Vélo Festival' -a series of countywide activities run by local community organisations to celebrate the cultural and sporting heritage of Cambridgeshire. The programme featured a range of community activities, including charity rides, art exhibitions, food and music events, and bike maintenance workshops.

The 100 day countdown was marked at Welcome to Yorkshire's Y14 conference in March 2014, where the first official Grand Départ anthem was launched. That evening, guests attended the 100 Days dinner at Ripon Cathedral where they were given a preview of Yorkshire Festival highlights including poetry and community cinema.

The festival attracted over 800,000 people to 2,225 performances and other events in the 100 days running up to the Grand Départ. Highlights included:

- Leeds born sculptor Thomas Houseago created two giant sculptures for Leeds city centre and the Yorkshire Sculpture Park;
- The Ghost Peloton - a riding team of 50 road racers, stunt cyclists and large-scale projection of dancers all wearing remote-controlled light suits to produce a stunning live choreography; and
- Maxine Peake's play 'Beryl' celebrating the extraordinary sporting achievements of Leeds cyclist Beryl Burton was specially commissioned for a series of performances at the West Yorkshire Playhouse.

The People's Tour

Cycle of Songs, Cambridge

"Cycle of Songs was an Arts Council England funded project commissioned by Cambridge City Council, devised by the award winning Pilot Theatre and Historyworks to mark the Tour de France visit to Cambridge on 7th July 2014. Nine pieces were commissioned from a wide range of composers and poets, inspired by historical research devised and shaped by Helen Weinstein and based on original sources of fascinating and quirky stories at iconic places in the heart of Cambridge. This project showcased astonishing heritage storytelling and showed the Creative talent and diversity of Cambridge by including thousands of local people of all ages sharing their history and celebrating the city in song and poetry. The songs were all performed by local choirs, musicians and poets to make a free app for Cambridge to leave a lasting digital legacy."

Cambridge City Council

To celebrate the 101st edition of the Tour, London released 101 special edition yellow Cycle Hire bikes at 101 days to go. With around 10,000 Cycle Hire bikes covering over 100km^2 of the capital, people had around a 1 in 100 chance of hiring one of these special yellow bikes.

Towns and cities along the route began to focus on dressing the streets, shop windows, transport hubs and public buildings to make them as welcoming as possible, and to encourage people to think about what they would be doing over the days of the Tour. As July approached, many hundreds of posters, flags and miles of bunting had been distributed and proudly displayed by businesses and communities. The themes of the Tour's shirt colours – yellow, green and white with red polka dots – become ubiquitous as the host regions were dressed for the show.

The week before

As race day approached Yorkshire, Cambridge, Essex and London all buzzed with activity. There were pop-up Grand Départ shops opened in city and town centres, the Tour caravan vehicles began to assemble, a huge media village was constructed in the centre of Leeds, and hotels filled with Tour guests.

A successful opening ceremony to present the teams and riders, hosted at the Leeds Arena, gave all involved a flavour of the Tour frenzy. The streets were packed as the riders parade travelled from the University of Leeds to the Arena. In the Arena the official Tour song was performed, and the dancers of the Ghost Peloton performed. Singers Alister Griffin and Kimberley Walsh appeared and Yorkshire band Embrace closed the show to deafening applause. At the same time, 600 bell ringers in 60 churches across Yorkshire rang their bells in celebration, welcoming the world to Yorkshire.

London Cycle Hire special edition bike. Photo: London and Partners

The People's Tour

Bank View Café (Polka Dot Café) Barnsley

"The weekend was a great success. Saturday was quieter than I thought it might be, however the atmosphere was marvellous. For me it was never really going to be about a single weekend's takings, because in catering the margins and costs make that foolhardy.

It has always been about creating a long term benefit for the cafe. The outstanding result of the Tour has been the exposure that has resulted from painting my café.

The future for me now is about solidifying my status as a cyclists' café in the heart of hill climbing deemed worthy of the Tour de France."

Pete, owner Bank View Café

The People's Tour

Road Through York Community Art Project

Amateur artists from in and around York, including students from adult education, residential homes and schools joined in to re-create an original painting, produced for the project by artist and tutor Karen Winship.

Influenced by the work of David Hockney, the original painting was scaled up and then broken down into 320 metre-squared panels with each panel painted by different people. The finished work was exhibited at York Race Course on the 6th July as part of The Grand Départ Celebrations.

Claire Douglas, project organiser said, "it was a fabulous project to be a part of a real community project that created a sense of belonging, a feeling of togetherness and achievement."

"The most memorable and rewarding thing for me was seeing the complete cross section of the local communities who came out to watch the race and who got involved. It was a delight to see so many people talking and enjoying the vibrant atmosphere."

Councillor Ann Naylor, Essex County Council

Photo: Leeds City Council

Our communities: inspired and involved

The ethos of the Tour de France is that it is a race that all can enjoy, from those who have cycled hours in advance to stand on the peaks of steep climbs to watch their cycling heroes, to those on deck chairs having a picnic in front of their house.

Local authorities and other key partners pulled out all the stops to make sure spectators had a memorable day. As well as all the essentials – safe viewing points, toilets, transport and car parking – most places offered much more. Official Grand Départ Spectator Hubs and Fan Parks were created in 24 locations, offering big screens, food stalls and family entertainment. Many other locations put on events to entice spectators to make a full day of their Tour experience.

As the race left Leeds, for example, spectators who had set their alarms to guarantee their front row place were rewarded, as hot on the wheels of the riders, the next big thing past the start line was a jaw dropping Pop-Up Carnival from Leeds West Indian Carnival. This set the tone for the next three days, with street performers, music, art and an electric atmosphere along the 339 miles of the route. Yellow bikes, 23,500 knitted jerseys, miles of bunting, hundreds of flags, countless painted faces and even yellow sheep welcomed the riders, along with an astonishing wall of sound as spectators shouted their support for their favourites.

The people of Yorkshire, Cambridge, Essex and London were captured by the romance of the Tour and got involved in ways that nobody could have predicted. Over 500 community events and activities took place in cities, towns and villages along the route during the three days of racing. And it spread, reaching the front pages of most national newspapers and social media. 'Tour de France' hashtags were trending across Twitter for the days before and over race weekend itself. Tweets from the riders, commentators, organisers and most importantly, thousands of spectators tell the story of those three inspirational days in July, when Tour fever took over the whole country.

Sporting Memories @SportsMenNet

In 12 years of Le Tour I've never seen anything like it

Support for the Tour

The spectator survey shows that there was clear and overwhelmingly positive support from local residents for the event as 92% of residents who watched Stages 1 or 2 strongly agreed that the event had been good for their local area, with 79% of residents attended Stage 3 saying likewise.

Figure 1: Hosting the Tour de France has been good for the local area

Sam and Kayleigh:

"Our TdF progression: Saturday Ripon sat on coats, Sunday Sheffield with a picnic blanket and inflatable cushion, today the Mall with chairs! Want to carry on into France but unfortunately work want us back tomorrow..."

The People's Tour

Marie Curie Cancer Care (Official Charity Partner of the Yorkshire Grand Départ)

Marie Curie organised 300 Grand Départ events in Yorkshire in the month leading up to, and including the Tour, including: cake sales, loom band sales, cycling challenges, having two vehicles in the Tour publicity caravan and a charity bike ride from London to Paris.

On the day of the race, a team of 14 amateur riders, each raising enough money to fund a Marie Curie nurse for a year, cycled the Stage 1 route before the professionals in what was termed the 'Power Peloton'.

In total (monies still being finalised) it is estimated that more than £500,000 will have been raised for Marie Curie from activities directly around Le Tour.

This will fund 25,000 nursing hours for people with all terminal illnesses, allowing nurses to provide patients and their families with free hands-on care and emotional support in their own homes.

"Where have all these people come from? How have they got here? Where have they parked? I know London is usually busy but I can't believe these numbers."

Rob Hayles, Former Great Britain cyclist on BBC Radio 5 live sports extra

The People's Tour

Flying Colours – Flag makers Harrogate

"The Tour outweighed any expectation we had – we were very, very busy. Profits and turnover were up. We saw more orders and busier website traffic than we did for even the Queen's Jubilee. We are only now catching up with our day-to-day business, and we will now also be taking on an apprentice."

Andy Ormrod, Managing Director

Flying colours dressed Knaresborough with bunting, the winner of the Welcome to Yorkshire Best Dressed Tour de France Town.

Richie Porte @TeamSky

The crowds were just massive. It's like nothing I have ever seen anywhere before. #tdfyorks #tdf

Allez Wincobank Festival, Sheffield

Allez Wincobank Festival took place on Saturday 5th and Sunday 6th July with a range of creative community-based activities to celebrate the Tour de France, raise awareness of local heritage and welcome visitors to the area.

The main elements were a reconstructed Iron Age Village with re-enactment and heritage craft activities including bicycle-powered iron smelting (organised by the University of Sheffield), live folk music, children's performances and fairground rides.

Some 75 children rehearsed and performed with drumming tutor Steve Rivers to recreate the rhythms of the race for a live drumming performance. 70 children worked with artist Paul Evans to design a logo to represent Wincobank old and new and helped to lay it out in wood chip on the grass.

A further 210 children from local schools and Scout groups decorated Queen Cartimandua's Roundhouse, designed and erected by Heeley City Farm. Many children proudly showed off their work to each other and to their families.

Penny, of Friends of Wincobank Hill, said: "I would like an annual 'Wincobank en Fête' as it was cheering to see the bunting out and the houses decorated, and the co-operation between groups was a breakthrough."

Steel Stage, Sheffield

"Located on land adjacent to the route, the Steel Stage event offered a unique opportunity to showcase the offerings of the local community, businesses, talent and art on a national platform. Organised by three previously unconnected companies (FGOWI Events Ltd, Langsett Cycles and Bradfield Brewery) from Friday 4th to Sunday 6th July the Steel Stage hosted two temporary campsites (both fully booked in advance of the weekend) and a festival field which provided live music, charity cycling events, family entertainment and refreshments - attracting over 20,000 people. The event took 18 months from instigation to execution and enabled a much larger volume of people to experience the event in this location than would otherwise have been possible. A strong working relationship between the companies has been established and there is now the potential for the delivery of future events."

Mark Casci @MarkCasci

Take a bow Yorkshire: The big day when we exceeded all expectations #tdfyorks

GeraintThomas

@GeraintThomas86 of @TeamSky

My ears are ringing now; it was like being in a disco for four hours #tdfyorks

Hannah Cockroft MBE @HCDream2012

Fantastic night at #tdfceremony @leedsarena thank you for having me as your guest @Welcome2Yorks @GaryVerity! So excited for this weekend!

The People's Tour

Wendy Davis
Spectator at Hawes
Richmondshire

"We came to Hawes for the day to watch the Tour, and we couldn't believe how much Hawes had embraced it. Yellow banners, painted bikes, it was terrific. We loved it so much we stayed the night in Hawes Youth Hostel, we genuinely didn't want to leave. Thank you Hawes, we will be visiting again!"

The People's Tour

Woodside High School London

Woodside High School became involved with the Tour de France, introducing pupils to the event through schemes such as 'Bike It Plus' and Transport for London's 'Youth Travel Ambassador' programme.

Woodside High also held a cycling month to inspire and motivate pupils to cycle to school. These schemes, combined with the Tour, have helped to boost interest in cycling. As a result, cycling levels in Years 7 and 8 pupils have more than doubled compared with those before the Tour de France came to London.

Pupils from Woodside High Attending the Tour de France Fan Park at Green Park on Saturday 5 July, 2014.

James Reed @JamesReedYP

On an amazing day for #Yorkshire don't forget the hard work of countless council staff who helped make it happen. #tdfyorks #localgov

NorthYorkshirePolice @NYorksPolice

Unbelievable scenes #Buttertubs #TDF Never seen crowds like it! Our officers are there to ensure everyone stays safe

Huge respect to disability charity @scope completing a 24 hour ride in Harrogate on day of Tour de France #tdfyorks

John Mcgivern

I had the privilege and the honour of working on the tour for the last 18 months as the Tour Manager for Harrogate..... I'd just like to thank all of the people that came to watch with such a fantastic attitude and spirit..... You all made the event what it was!!!! 7 July at 19:51

The People's Tour

Bishopthorpe Road Traders Association York

The Bishopthorpe Road Traders Association (a group of 60 businesses) were given permission for a stretch of Bishopthorpe road, which the race came through, to remain closed following the race so that a street party could be held, winning them the Best Dressed Street award from Welcome to Yorkshire.

The street party ran from noon until 7pm with a reported 10,000 people attending throughout this time with many of the 50 business and community stalls running out of stock before the day was over.

The usual slogan used by the association "I love Bishy Road" was changed to "J'Adore Bishy Rue" for the celebrations, and the association itself sold £3,800 worth of merchandise and over £4,000 in raffle tickets. Profits have been ploughed back into the association and local community.

"The Tour de France coming to Britain was a great occasion. The rail industry worked hard with the organisers to help as many people as possible to travel to the event by train, and were firmly committed to helping make the UK stages of the Tour a huge success. On the day all the advance planning paid off, with rail playing a key role, moving record number of passengers."

Conrad Haigh, Association of Train Operating Companies

Photo: www.swpix.com, Welcome to Yorkshire

Spectators:
they watched in their millions

Estimating the number of people who watched is challenging at an event like the Tour de France because of its scale and because nobody needs to buy a ticket. Anyone can enjoy the spectacle from the side of the road.

While crowds were monitored during the three days of racing to make sure that people remained safe, a further piece of work was done to estimate how many spectators lined the route across the three days.

Understanding these figures is important to appreciating the scale and reach of the event and provides the basis for calculating the economic and social impacts. If crowd numbers are over or underestimated, so are the corresponding impacts too.

Measuring spectator numbers

A crowd count for an event like this over such a wide area can only ever be an informed estimate but our methodology allowed us to make an educated assessment of numbers in several ways. We then put these numbers together to give us a full picture over each route and sense check with local knowledge and national data to make sure we were broadly right.

The principal method used to identify the total crowd size was through analysis and categorisation of the route. To do this the television footage for the three days was analysed. This allowed us to look at the entirety of the route – so that we counted not only crowds at the busiest parts but also where there were fewer or no people watching. To do this:

- the route was divided into units of 0.5 km;
- these sections were categorised by the types of area and type of viewing point (for example, at King of the Mountains sections);
- using the television footage the crowd was counted at a sample of these sections;
- these crowd counts were used to estimate the numbers at each type of area and type of viewing point - statistical techniques were used to do this;
- estimates were then sense checked by the project team using local knowledge and other crowd estimates.

This allowed the team to reach an overall number of spectators for each stage of the race. For the eventIMPACTS methodology it is also important to understand how many people viewed the race from more than one location, or who viewed more than one stage. The spectator survey was used to make this estimation.

Finally a further cross-check was to compare the findings to those of the National Omnibus Survey, which asked people whether they watched the race in person.

Estimated crowd numbers

This combined research told us that over the three days 4.8 million people lined the route: 3.3 million in Yorkshire and 1.5 million in Cambridge, Essex and London. Of that 4.8 million people, 1.3 million people watched from more than one location within one stage, or watched more than one stage, so the total number of 'unique' spectators is 3.5 million people. This process is shown in Figure 2. The number of unique spectators for Yorkshire, Cambridge, Essex and London do not add up to 3.5 million because the national (total) number only counts people who watched in both areas once.

Figure 2: Estimated total spectators

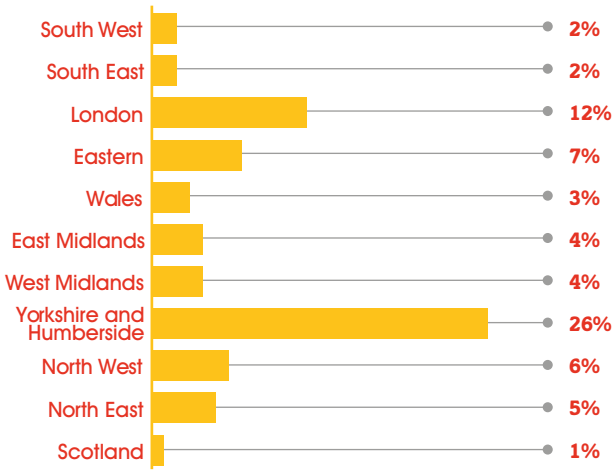
While there is a margin of error, this represents as good

an estimation of crowd numbers as it is reasonable to make.

The National Omnibus survey broadly supports these findings. It showed that 3.1 million people in the UK, excluding overseas visitors, watched the event in person, including one in four people in Yorkshire. There is a degree of statistical error in these figures, because the sample size was relatively small.

Figure 3: % of the adult population (52 million) that viewed the Tour in person by region

Spectator profile



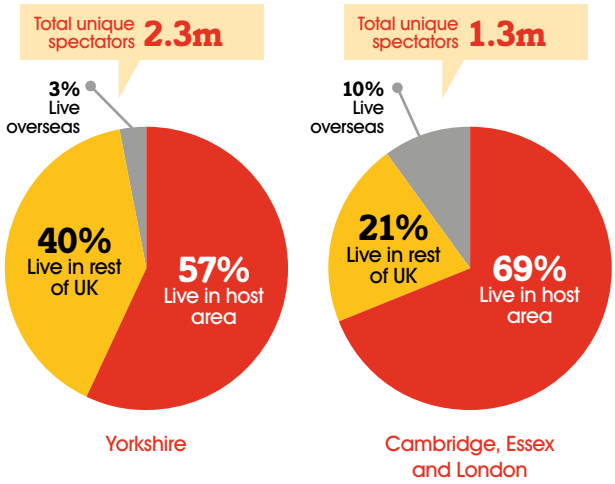
The attendee survey asked people where they lived, as well as a number of questions about themselves. It is important to understand where spectators live as this affects the economic impact calculation. The spending of local residents viewing the race where they live is not counted, and neither is the spending of those who were just passing by, termed 'casual spectators.'

Results show that large numbers of visitors travelled to watch the event from elsewhere in the UK, as well as from overseas. Approximately 1.3 million spectators travelled from outside Yorkshire, Cambridge, Essex and London to watch the race, including 113,000 from outside the UK. These are the numbers on which the visitor spending component of the economic impact calculations are based.

The survey showed that of the 2.3 million spectators who watched the Yorkshire stages, 57% lived in Yorkshire, with 40% living in the rest of the UK and 3% from overseas. In contrast, the 1.3 million people who watched Stage 3 were more likely to live in the Cambridge, Essex or London (69%) and more likely to live overseas (10%) but less likely to have travelled from the rest of the UK (21%). The vast majority of people watched one stage (84%), with 10% attending both Stages 1 and 2, and a further 3% attending all three. This is shown on Figure 4.

Photo: Transport for London

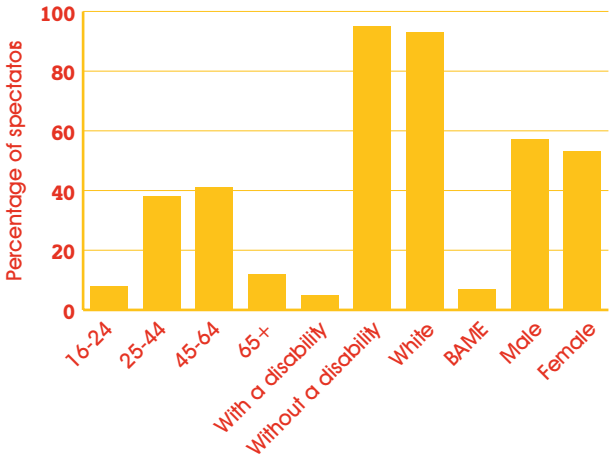
Figure 4: Unique spectators by area



In terms of the demographic profile of spectators, most people (78%) were aged between 25 and 65, which shows that interest in the Tour spanned several age groups. The majority of attendees were white and able-bodied, with a smaller proportion of spectators from black and minority ethnic groups (BME) and people who identified as having a disability than the UK overall, when compared to data from the Office of National Statistics, although a significant numbers of people from these groups did attend.

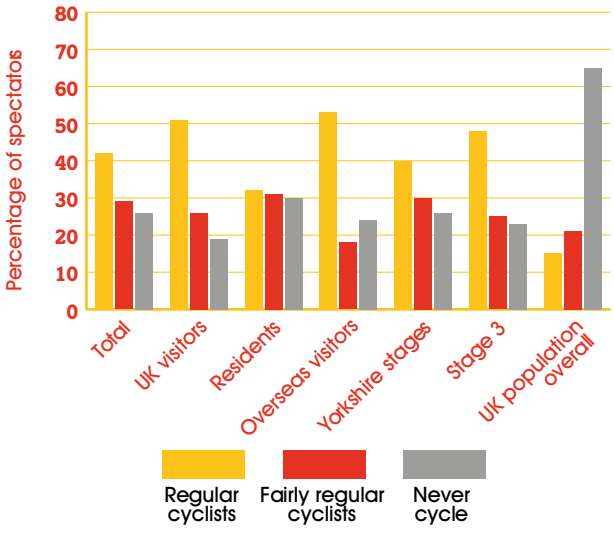
Photo: Transport for London

Figure 5: Demographic profile of spectators



The majority of spectators saw themselves as keen cyclists (defined as those who cycle at least once a week), with less than 30% saying that they did not cycle at all. These proportions were relatively similar across the three stages. This compares to almost two thirds of the UK population overall who never cycle. A greater proportion of visitors from outside the regions that hosted the Tour and particularly from overseas were keen cyclists than local residents, showing that cyclists were more likely to make the trip than non-cyclists.

Figure 6: Spectators by level of regular cycling

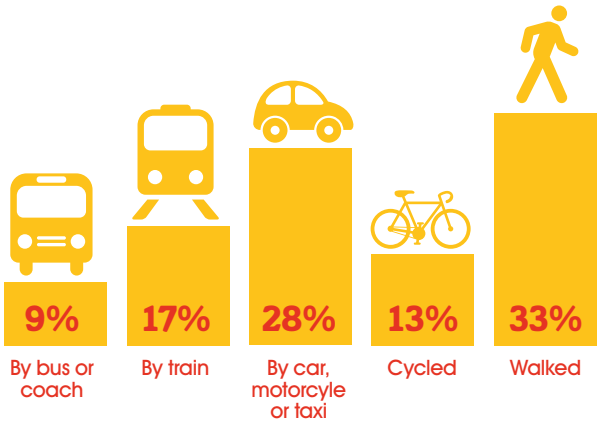


Other intelligence about spectator travel was obtained from METRO (the West Yorkshire Passenger Transport Authority). Headlines included the estimate by Network Rail that 243,000 people passed through Leeds City Station on Saturday 5th July, an increase of around 50% on the previous week. By way of comparison, the last Saturday before Christmas usually sees around 175,000 travelling from the station.

Also on 5th July, around 26,000 passengers used Harrogate rail station, while 10,000 people are estimated to have travelled by train from Leeds to Harrogate to watch both the start and the finish of the first stage. Twenty six special charter services were organised between Leeds and Harrogate to cope with the additional demand.

Around 8,000 passengers went through Sheffield rail station ahead of the end of Stage 2 on Sunday 6th July, with a further 8,500 recorded at the Meadow Hall shopping centre.

Figure 7: How people travelled to the event in Yorkshire
Source: Metro

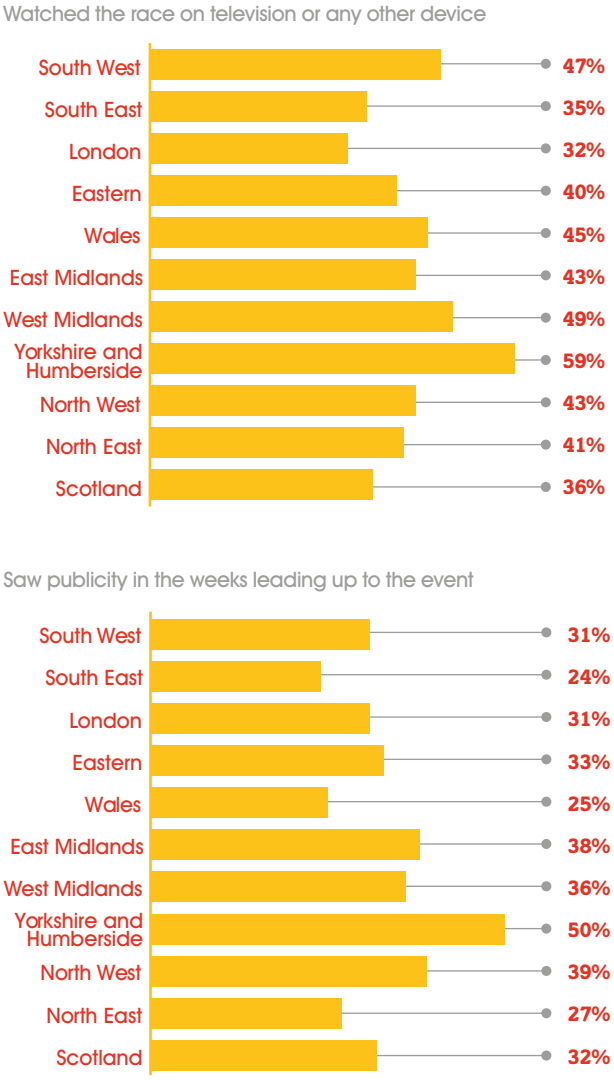


Awareness of the event

According to the National Omnibus Survey, 90% of the sample (the equivalent of 48 million people nationally) was aware that the first three days of the Tour de France taking were taking place in the UK. Publicity was seen by 30% of people (the equivalent of 14.6 million people) in the weeks leading to the event.

The race was seen on television, or on another device, by the equivalent of 18.6 million adults and, as noted earlier, 3.1 million said that they watched the race pass in person. Viewing figures were higher in the areas that hosted the Tour, as shown in Figure 8 below

Figure 8: Tour de France engagement across the UK
Source: National Omnibus survey



An average of one million viewers watched ITV's main coverage of day one, with a peak of 2.8 million viewers, while 900,000 more tuned into ITV4. Sunday's York to Sheffield Stage averaged 1.2 million viewers on ITV and a further 516,000 on ITV4. According to BARB data the final kilometres of Stage 2 was watched by a peak of four million viewers. Approximately 800,000 tuned in to watch the Cambridge to London Stage 3 coverage.

Following the Tour online

There was a huge online following of the event over race days and in the period before.

The 'letouryorkshire' website, hosted by Welcome to Yorkshire, was created in December 2012 as the main portal and'the go-to place for all Tour de France information. As well as the latest news on the riders and teams the website was used by all partners who shared information to be uploaded to help spectators plan their day and know what to expect. For example, local authorities collated advice on how people with disabilities could access the race and METRO (West Yorkshire Passenger Transport Executive) developed an online travel planning system that gave people live travel advice and showed all of the key race points, spectator viewing points and road closures.

Between December 2012 and September 2014, the site received over 5 million visits, including over 3 million unique visits. There were almost 18 million pages viewed.

During the week of the Tour, traffic peaked with almost eight million page views and almost two million visits. These originated from around the world, predominantly from the UK as well as the USA, France, Australia and Germany. The site receive thousands of referrals from sites such as the BBC, Facebook and Twitter.

The Twitter feed had 55,000 followers, and grew at around 2,000 new followers a week. During the Tour de France Grand Départ weekend, the terms Yorkshire, Yorkshire Grand Départ and #letouryorkshire all trended on Twitter. The combined reach of @letouryorkshire tweets during the weekend was 23.2 million accounts.

Figure 9: Total volume of coverage, print and online
Source: local monitoring data

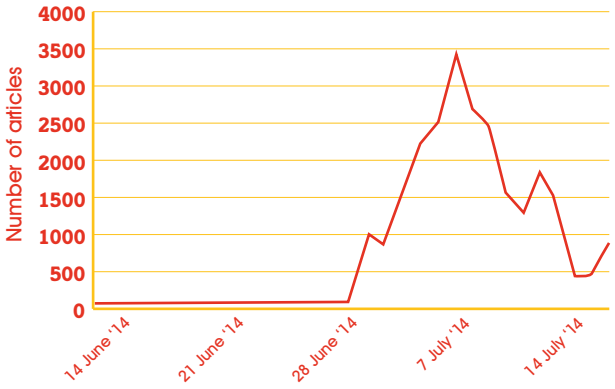


Photo: Leeds City Council

"The Tour de France was momentous for North Yorkshire. We brought a global event to the county with such success - hundreds of thousands of spectators lined our streets and country roads and there was a television audience of millions. It brought together our communities, businesses and all our partner agencies who pulled together so effectively and presented this beautiful county to the world. The beneficial impact is already being built upon and has far-reaching effects for the region."

Councillor John Weighell, Leader of North Yorkshire County Council

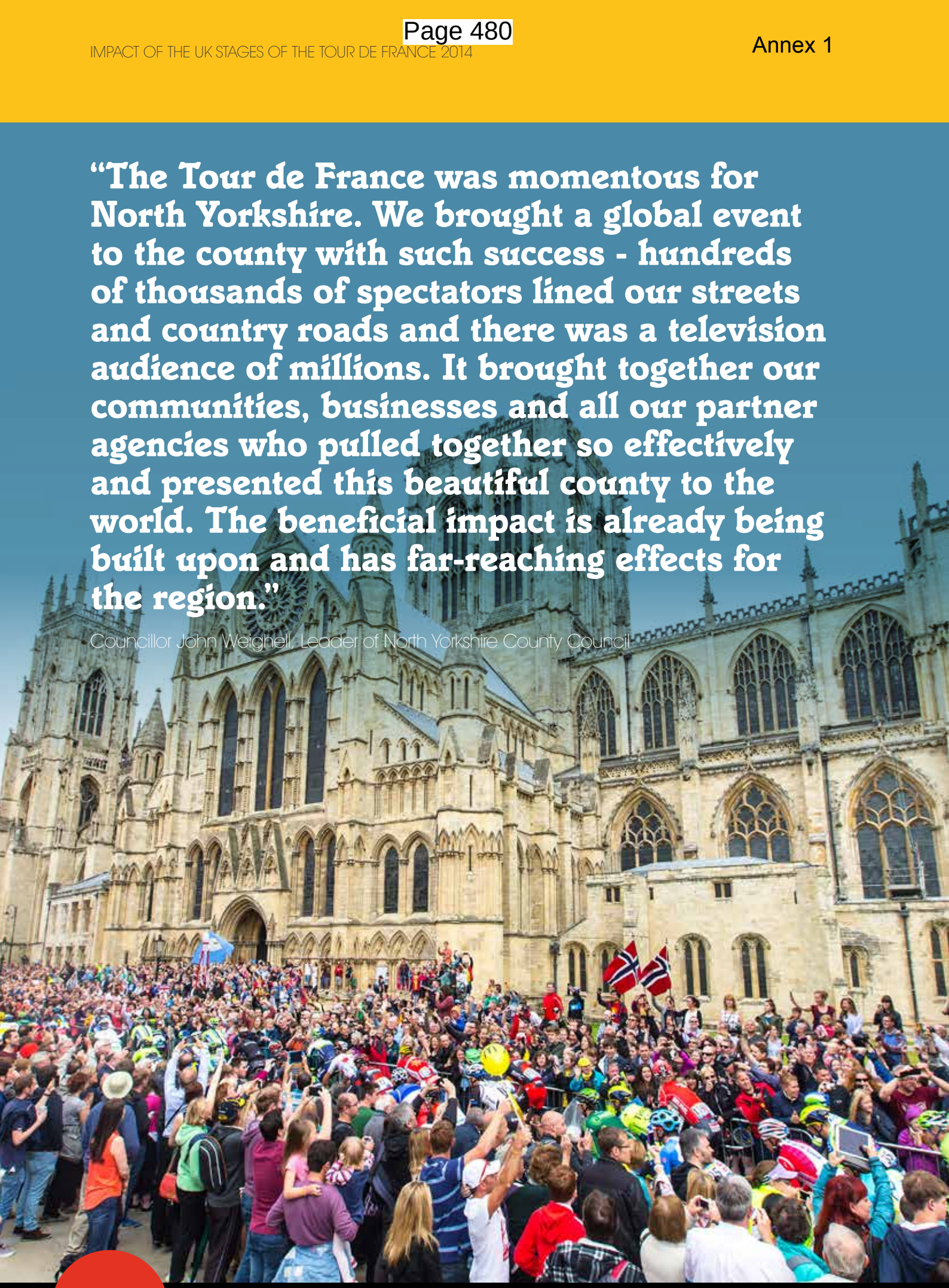


Photo: www.swpix.com, Welcome to Yorkshire

From the investment:
the economic boost

This section sets out the economic impact of staging the event. This aspect is arguably the most complex to calculate, but receives much of the focus as it is considered to be key to judging the success of the event.

This assessment is made at a point in time, having looked only at the period just before, during and after the race. Many of the economic benefits are likely to continue to be realised for years to come, but these are harder to monitor and will need further research in the future.

Measuring economic impact

The eventIMPACTS methodology has been used to calculate the direct economic impact and their guidance defines the economic impacts of an event as 'additional expenditure generated within a defined area, as a direct consequence of staging the event'. All the expenditure of attendees who were residents of a defined host region was excluded, as was the expenditure of all 'casual' spectators - ie. those for whom the event was not their main reason for being in the given area.

A more detailed description of the methodology can be found in the Appendix.

Different host economies

Using this methodology, the process of calculating economic impact involves quantifying the expenditure of people from outside the 'host economy' (a number of defined geographical areas) who are visiting the area specifically for the event. The net expenditure of event organisers within the respective host economies is also included. Therefore, to calculate economic impact the host economies needed to be defined for the purposes of measuring additional expenditure flowing into them. For this study, the host economies are defined as follows:

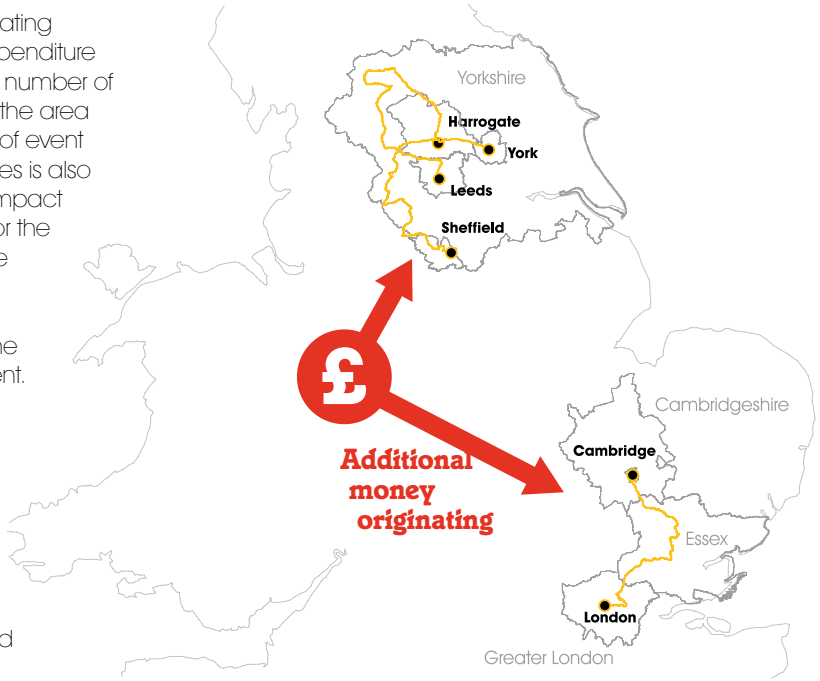
- The UK overall – new money coming into the country from overseas visitors and investment. This therefore does not include spending from any UK resident or organisation;
- The 'host regions' of (i) Yorkshire and (ii) a combined region of Cambridge, Essex and London. This report gives an overall figure for the host regions combined as well as separate figures for each and also for London
- The other cities in which stages started and finished:
  - Leeds
  - Harrogate
  - York
  - Sheffield
  - Cambridge

As a result of these different host economy geographies, and therefore individual analysis, the figures must be read separately and do not necessarily sum to the national figures.

The methodology takes account of all of the additional expenditure in Yorkshire and Cambridge, Essex and London overall, including from spectators who watched in both areas. Each host region and local area is also analysed separately.

The respective host economies are illustrated in the map below:

Figure 10: Host economies



Information on additional expenditure:

The additional expenditure generated can be split into two components. These are the direct economic impacts of the Tour, and the wider economic impacts that result from other activities which only happened as a result of the Tour.

The additional expenditure as a result of the Tour de France comes from:

- The spending of visitors to the area who specifically came to watch the race. This is the additional revenue as a result of the 3.5 million unique spectators across the three days.
- The spectator survey, which asked questions about:
  - the number of days people planned to spend in the host region;
  - the number of people they were with;
  - the type of accommodation they stayed in (paid or with family/friends);
  - an estimate of the average amount per day their group was likely to spend on restaurants, pubs and takeaway food, public transport, fuel, parking and car hire and other spending.

In addition, the calculation includes analysis of:

- organisational spend that was required to stage the event;
- the spending of race teams, the ASO and media from outside the host regions;
- the payment to ASO to host the event;
- spending of volunteers from outside the host regions;
- the economic impact of the Yorkshire Festival;
- additional employment created as a result of the event.

Also factored in was the inevitability that some resource will 'leak out' of the regions as a result of people choosing to spend elsewhere, and that some businesses will have been negatively affected during its staging. However, spending in some of the affected businesses, i.e. those that had to close on the day, may have just been delayed rather than fully lost.

This section considers these issues and presents the overall economic impact, followed by the reported impact on and perspectives of local businesses.

The economic impact

The assessment showed that the event had a significant economic impact and that this is likely to continue. The direct economic impact on the 'host regions' was £128m while for the UK overall (i.e. from overseas visitors, including the teams, overseas media and the ASO) the impact was £33m. The figures for the individual host regions were £102m for Yorkshire and £30.5m for the combined region of Cambridge, Essex and London, including £19.5m for London.

The figures do not sum as adjustments have been made to account for spectators moving between regions.

The People's Tour

Holme Valley Camping & Caravan Park Kirklees

"We were lucky to have hosted a campsite full of very happy, positive guests who created a fantastic atmosphere down here. Some sent emails and cards to thank us and plenty said they would return.

We had lots of positive feedback about Holmfirth and the area too. Some guests from the weekend have already returned and the following week we had people booking because they had seen the area on the TV and liked the look of it. It has certainly put Holmfirth on the map. Only two weeks later, the weather was particularly good and we had as many guests as we had on the Tour de France weekend – a bit of a shock!"

Figure 11: Economic Impact of the three UK stages

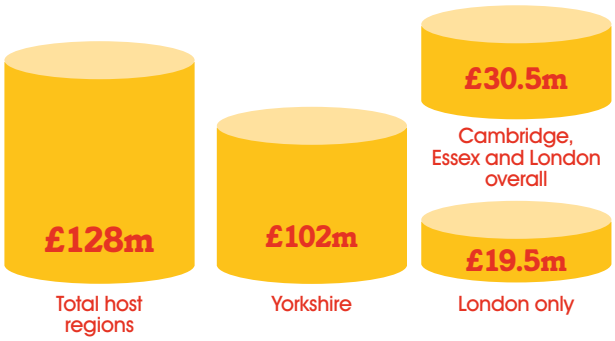
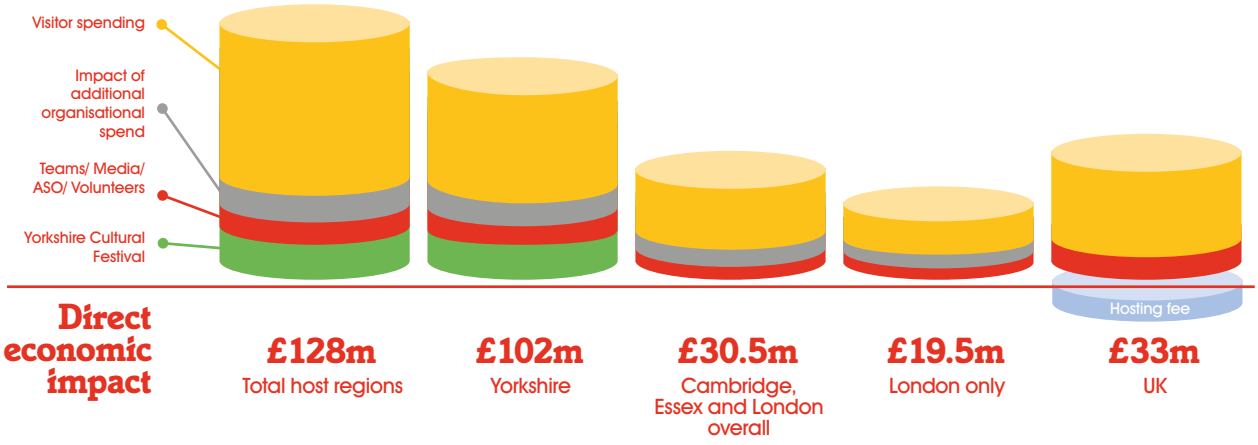


Figure 12 below sets out the detail behind these figures. It shows that the main component of impact was from expenditure from visitors from outside the respective regions, including visitors to the UK from overseas.

Figure 12: Economic impact of the Tour de France
These figures do not necessarily sum as adjustments have been made for spectators moving between regions.



Ride25, Yorkshire

Yorkshire-born entrepreneur John Readman and business partner Rob Hamilton set up Ride25 as a result of Yorkshire winning the bid to host the Tour de France. Ride25 is a new flexible way to cycle around the world; split into 25 separate tours, individuals, groups and charities are all invited to take part in as many stages as they wish.

John said: "I always knew there was a strong enthusiasm for cycling in Yorkshire, but still the turnout and the response to the Tour has simply blown me away. It just goes to show the awesome power that cycling can wield – and that Yorkshire's cycling industry can benefit from that."

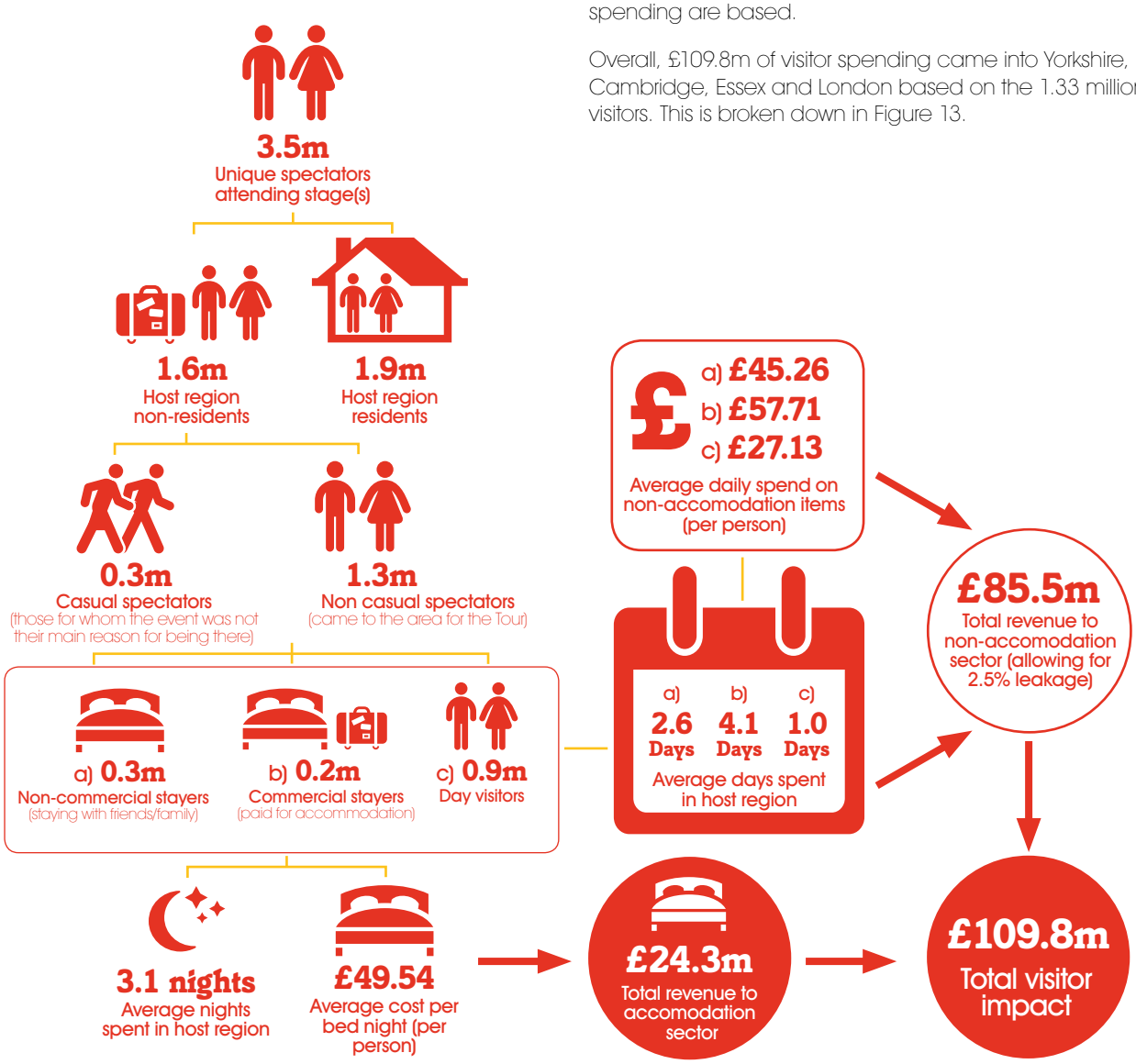
The People's Tour

Components of economic impact

Visitor spending

The principal component of the economic impact is the expenditure of visitors coming into the host regions to watch the Tour de France.

Figure 13: breakdown of regional visitor expenditure for the UK host regions

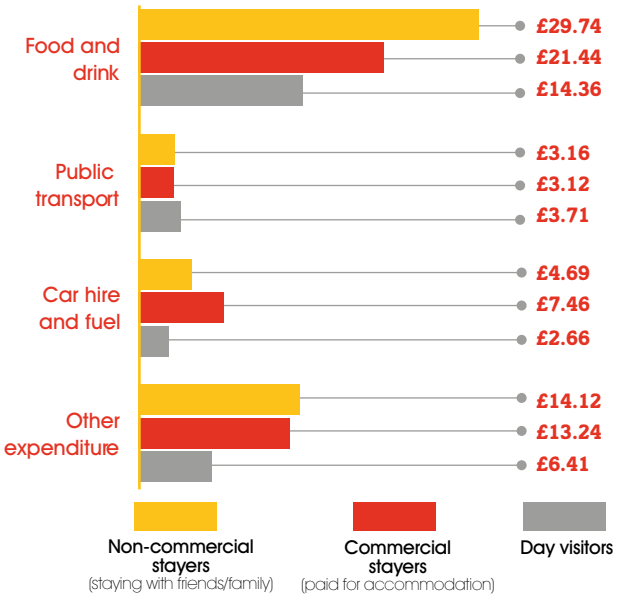


The spectator survey results showed that 1.3 million spectators were visitors to the respective host regions, including 113,000 visitors from overseas. This included over 1 million visitors to Yorkshire and approximately 375,000 visitors to Cambridge, Essex and London. These figures account for those who watched the race in more than one location during one stage and those who watched more than one stage of the race. These are the figures which the economic impact of visitor spending are based.

Overall, £109.8m of visitor spending came into Yorkshire, Cambridge, Essex and London based on the 1.33 million visitors. This is broken down in Figure 13.

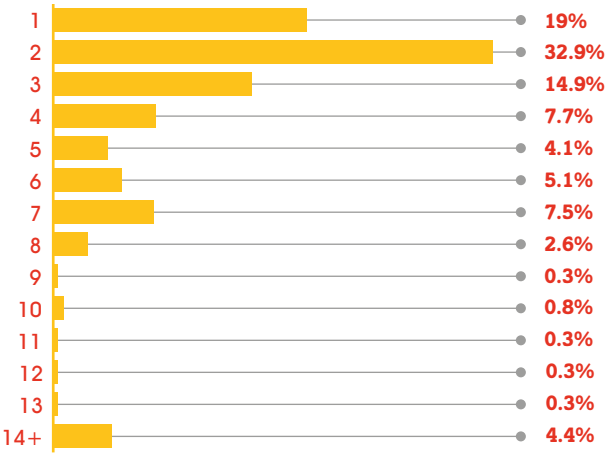
The detail of spending on items other than accommodation across the three days is shown below. It establishes that food and drink is the main component of visitor spending, while other expenditure on items such as souvenirs and clothing is the second highest.

Figure 14: Average daily spend per person on non-accommodation items



As expected given the event lasted for three days, the majority of visitors staying overnight remained for 1-3 nights, however a number stayed for longer periods.

Figure 15: Accommodation spend breakdown of detail – total number of nights stayed in commercial accommodation by commercial stayers



Little Valley Brewery, Calderdale

Little Valley Brewery was set up by Wim ven der Spek and Sue Cooper, who first met in Kathmandu where their solo cycling journeys crossed paths.

In keeping with their passion for cycling, Little Valley embraced the Tour de France and collaborated with Brian Robinson (the first Briton to both win a stage of the Tour and to complete the full race) to create the Stage Winner beer.

This beer is now part of their permanent beer range, a reminder of the Tour, and has resulted in great exposure for the Northern brewery.

Sue said: "There was an increase in orders from new providers in the run-up to the event and higher general sales across the counter."

The People's Tour

Figures 16, 17 and 18 show the regional visitor expenditure breakdowns for Yorkshire, Cambridge, Essex and London, and for London alone. These demonstrate how numbers of visitors are isolated from the overall numbers of unique spectators, then how their spending comes together to make up the overall visitor spending figures.

Photo: Leeds City Council

Figure 16: Direct economic impact of visitor spending in Yorkshire

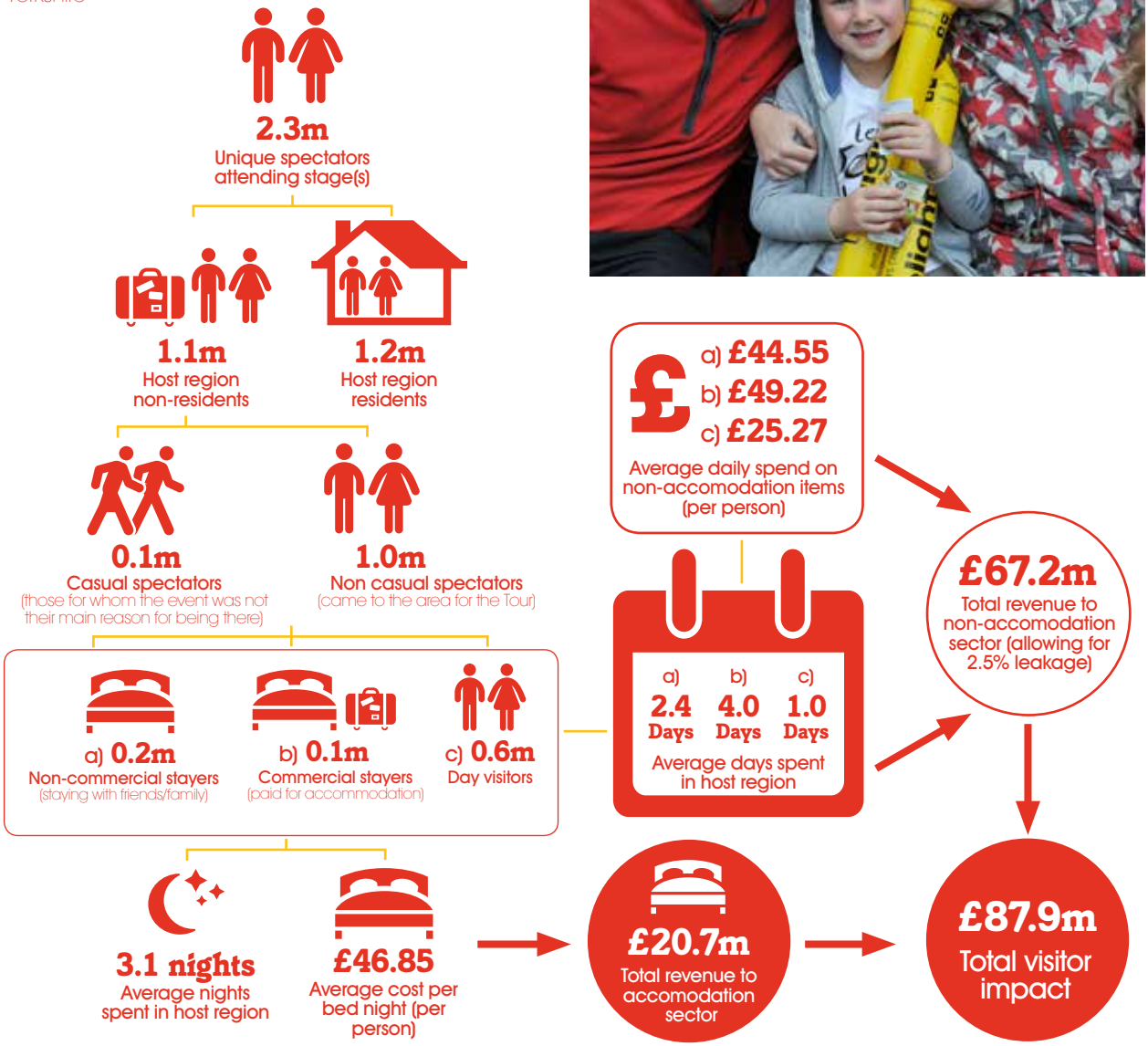
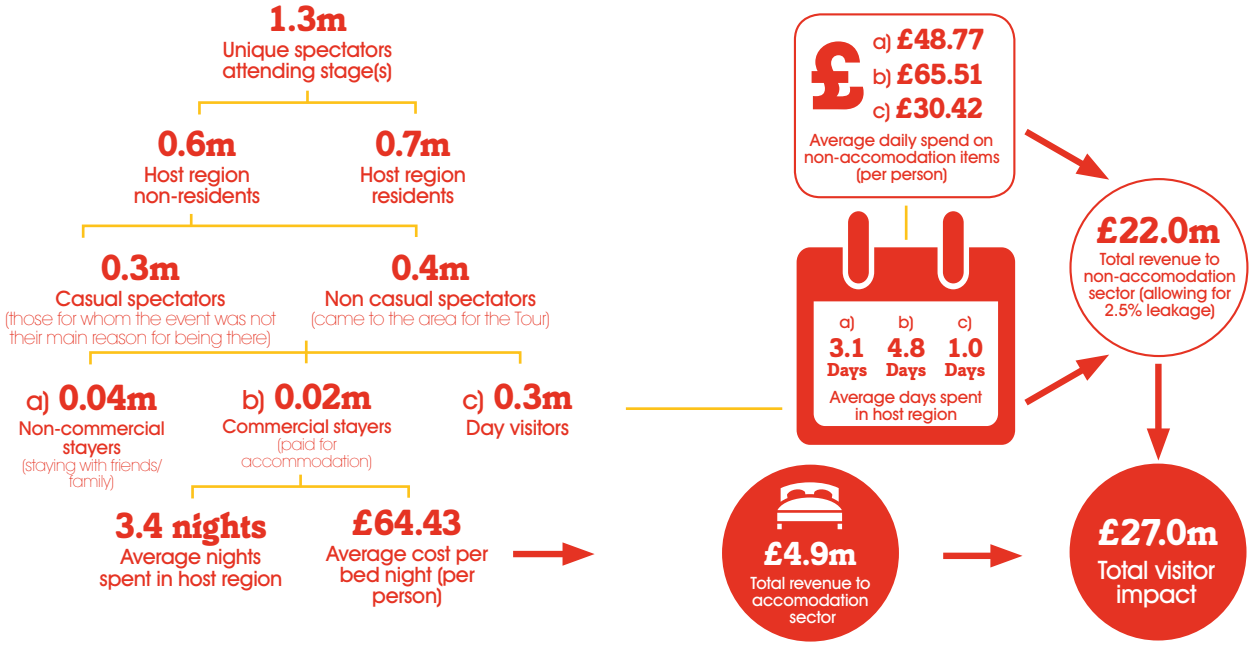


Figure 17: Direct economic impact of visitor spending: Cambridge, Essex and London combined



Kettlewell Village Store Craven

The village shop expected a loss of trade and logistical problems because of the road closures but, despite their apprehension, they experienced a roaring trade.

Owner of the store, Doug McLellan, said, "By the time we normally would have opened at 8.15am we had just about sold all our supply. We closed the shop for the duration of the race and after the race had passed it was back to the shop for a very busy afternoon. There were six people working instead of the usual two, yet we had a queue all afternoon. Sunday morning was just as busy as all those who were camping locally came for their breakfast sandwiches."

Retail Newsagent Magazine, picture Doug McLellan

Figure 18: Direct economic impact of visitor spending: London only

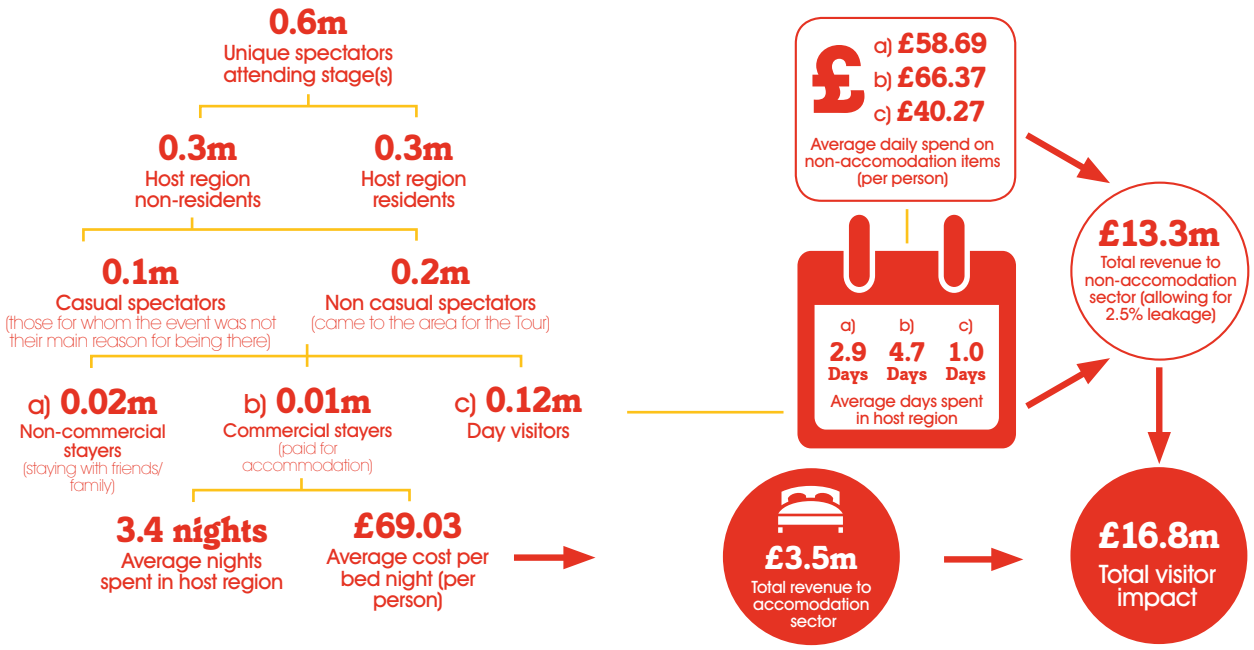
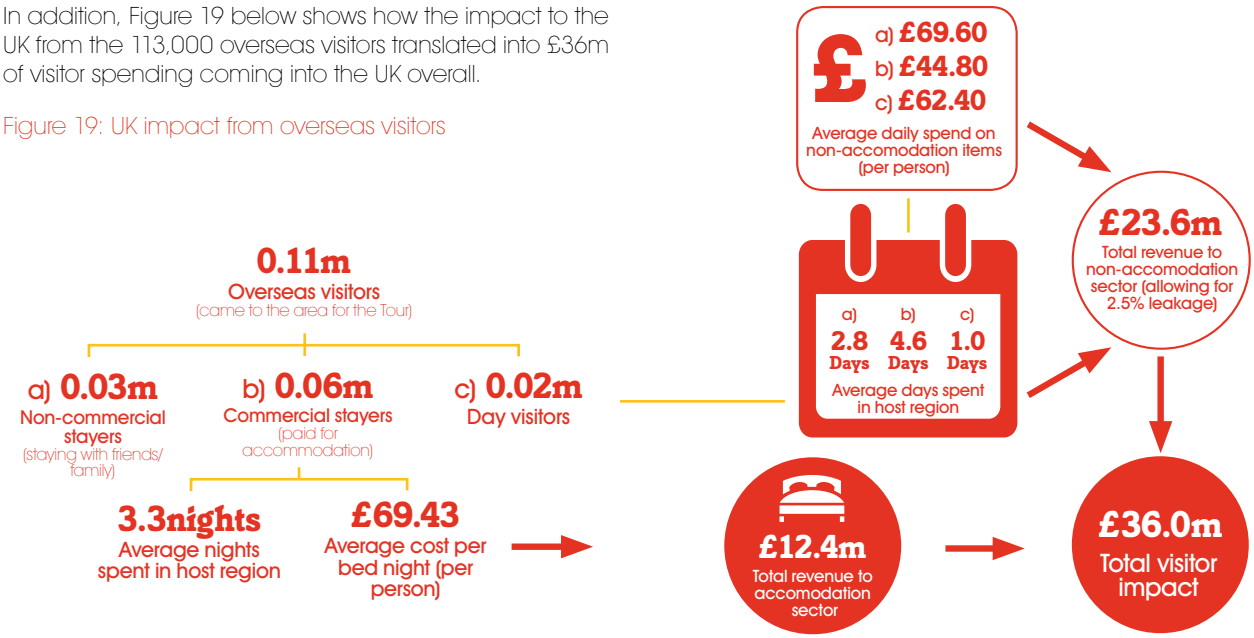


Photo: Transport for London

In addition, Figure 19 below shows how the impact to the UK from the 113,000 overseas visitors translated into £36m of visitor spending coming into the UK overall.

Figure 19: UK impact from overseas visitors



Hebden Bridge Visitor Centre Calderdale

To help French visitors A-level students from the local high school gave the staff at Hebden Bridge Visitor Centre French lessons in return for work experience. The centre attracted large numbers of people before, during and after the race, with the window dressed with a large yellow bike and exhibiting the work of two local artists.

The centre saw a significant increase in sales of cycling and Tour de France - themed merchandise over the weekend.

In a Hebden Bridge visitor survey, 100% of visitors said 'yes' when asked if they thought they would visit the area again for a holiday or day trip.

The People's Tour

Impact of money to stage the event

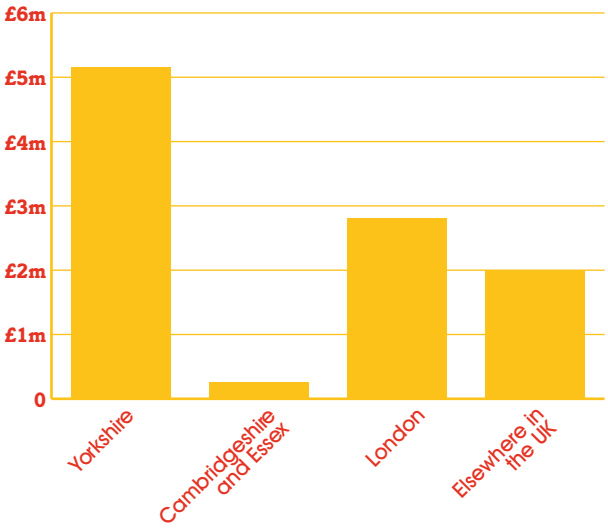
Organiser spend

To stage the event the UK Government, local authorities, Transport for London, Welcome to Yorkshire and other partners spent money on planning and a whole range of infrastructure, such as barriers, toilets, official Grand Départ Spectator Hubs and stewards. This work analysed the combined event budget, approximately £27m was spent in the local economies and will have had an economic impact, although some is likely to have been spent outside the host economies. The fee paid to the ASO for the rights to host the event (£4m) was taken into account and deducted from the net UK economic impact figure.

At this stage, the £10m invested by Government, through UK Sport and managed by TdFHUB2014 Ltd has been reflected within the UK host economies overall economic impact figures.

Further work will be undertaken to fully disaggregate the organisation spending to calculate its net local economic effect. This information will be combined with the analysis already undertaken on the UK Government contribution.

Figure 20: Impact of Government spending on local suppliers by region (£m)

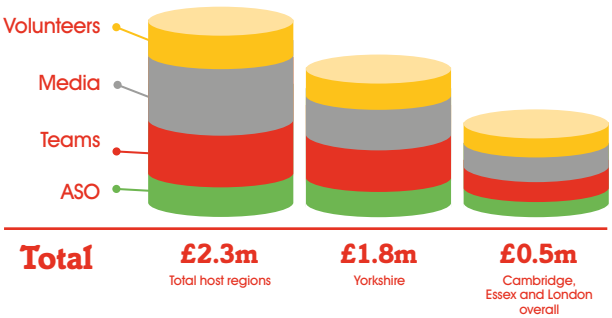


Spend of the entourage and volunteers

The entourage that accompanies the race is vast. There are the 22 cycling teams and their support staff, the media from elsewhere in the UK and overseas, staff from the ASO (race owners) and the Tour Makers who live outside the host regions. The spending of these all had an impact on the local economies and is counted in the additional economic impacts. A number of conservative assumptions were made to help to calculate these:

- team spending was based on an average team size of 25 – including riders and support staff. They stayed between three and five nights in Yorkshire in 4 and 5 star hotels, then a further night in Cambridge and Essex;
- total media from outside the regions, especially Yorkshire, was estimated at 2,000. They stayed for two to three nights in 3 and 4 star hotels and bed and breakfasts. The ASO reported they had never seen as many applications for journalist accreditations;
- the ASO calculated their total bed nights for the entourage as 4,500 for the period of the event, generally 3 star hotels and bed and breakfasts; and
- there were 8,000 Tour Makers. The survey of volunteers established how many lived outside the regions and their expenditure.

Fugure 21: Expenditure of additional stakeholders



The People's Tour

Carr House Farm Ampleforth, Ryedale

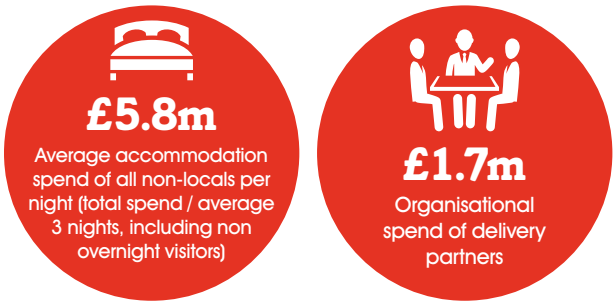
"On the actual day of the Tour departing Leeds I got an email from a Dutch lady. She and her husband have stayed previously and had already booked for two days to come in September this year. On seeing the race it whet their appetite to stay longer and they have extended their stay from two to four nights. Five Koreans detoured to Yorkshire on their way from London to Edinburgh. They stayed overnight with us before heading into the Dales, a direct change of plan due to having watched footage of Le Tour. We have had numerous bookings now from Holland, France and Germany. I know that all this extra business is directly coming from Le Tour."

Yorkshire Festival

There can be no doubt that the Yorkshire Festival created a buzz in the build-up to the Tour and significantly boosted the visitor economy over of the event. The festival attracted 816,000 people to 2,225 performances, workshops and exhibitions which took place in the 100 days running up to the Grand Départ.

An evaluation of the festival was carried out that looked at the overall economic impact. This amounted to a direct contribution of £7.5m into Yorkshire. This figure was calculated using the Festival and Event Evaluation Toolkit developed by Create, the support organisation for festivals and events in North Yorkshire, in association with the UK Centre for Events Management at Leeds Beckett University. Figure 22 shows components of this figure.

Figure 22: Components of Yorkshire Festival
Source :&Co Cultural Marketing



Other economic impacts

A range of other expenditure was not counted in the figures above, to ensure this work was consistent with the eventIMPACTS methodology. These figures tell a broader story about the impact of the event and demonstrated the wider value of the event to the economy. These included: Yorkshire Grand Départ Business Festival; spending of local residents; and spending of people who return to visit the host regions.

Yorkshire Grand Départ International Business Festival

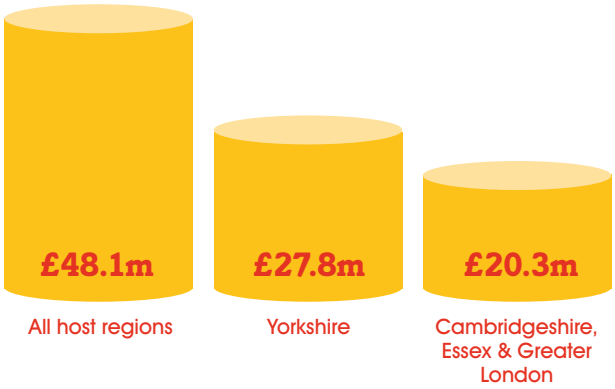
The Grand Départ Yorkshire Grand Départ International Business Festival which ran from 2nd to 4th July highlighted the businesses of Yorkshire and the UK with a series of events and seminars. It was a Tour de France first and generated a significant amount of business interest in Yorkshire and the rest of the UK. While the final impact will not be apparent for a few more months, a number of sizeable deals and inward investment inquiries have been registered. If successfully closed, these deals will see the overall economic impact figure for both Yorkshire and the UK increase significantly in future. Because of the success of this initiative, Utrecht (the 2015 host city for the Grand Départ) are looking at organising a similar business festival.

Spending of local residents

While not counted in the overall economic figures, there was clearly an economic footprint from the spending of local residents who attended the event. Assuming the 1.8 million residents who watched the event had a similar pattern of spending to that of the visitors, we can estimate spending of approximately £48m in total. This is made up of £27.8m in Yorkshire and £20.3m in Cambridge, Essex and London.

Photo: Leeds City Council

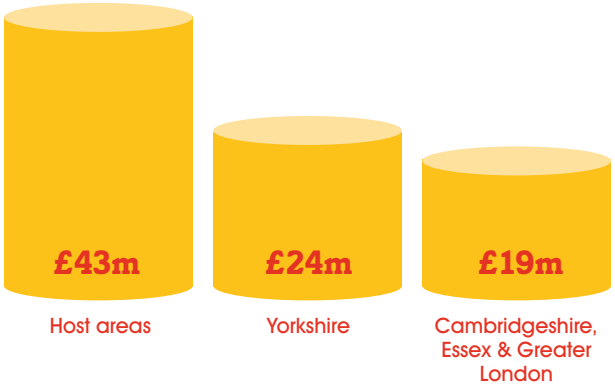
Figure 23: Local resident spectators spending



Future impacts of visiting spectators coming back to the host regions

A key economic impact is the future spending of visitors who will visit again. While not counted in the overall economic impact figures, further visitor expenditure is expected in the future. To demonstrate this, the spectator survey showed that 64% of Yorkshire visitors and 39% of visitors to Cambridge, Essex and London said that they were very likely to return in the next two years. Assuming the same proportions of day visitors and stayers, as well as overseas visitors as the Tour, this would result into an additional regional impact of £43m during this period. This breaks down into £24m in Yorkshire and £19m in Cambridge, Essex and London.

Figure 24: Future Impacts of visiting spectators coming back to the host regions



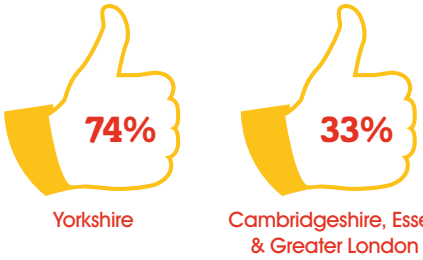
Local business perspectives
As set out in the methodology, the survey was primarily targeted at businesses in the visitor and cycling economies and those closest to the route.

Local business perspectives on hosting the Tour de France
The broad consensus from businesses across the three UK host regions was that the hosting of the UK stages would boost tourism for the future and had enhanced the image of those regions for future marketing and returning visitors. It was recognised, however, that some businesses had had to change their usual business operations and there had been some disruption.

Overall, the majority of businesses recognised that an event like the Tour de France was something public authorities should be investing in. In Yorkshire, 58% of local businesses strongly agreed, compared to 48% in Cambridge, Essex and London (51% of those just in London). In Yorkshire, 74% strongly agreed the image of the region had been enhanced, while 33% in the Cambridge, Essex and London thought the same.

Figure 25: Businesses - This is the kind of event that local authorities should seek to host more of (those who strongly agree)

Figure 26: Businesses - Holding the Tour de France has enhanced the image of the region (strongly agree)



Yorkshire Building Society

Yorkshire Building Society had a comprehensive and integrated marketing and internal communications plan from the announcement in February 2014 which ran through to the event itself.

Highlights of this included: 70 colleague volunteers supporting the event over the three race days, while others organised a charity bike ride which raised £55,000 for Marie Curie Cancer Care. There was also a 'Wear Yellow Day' and a static bike ride across all branches. PR activity included dying 150 sheep yellow.

One worker said: "A massive well done to all those involved with the Tour de France, it was one of the best things I've ever done, and it will go down as a highlight of my life."

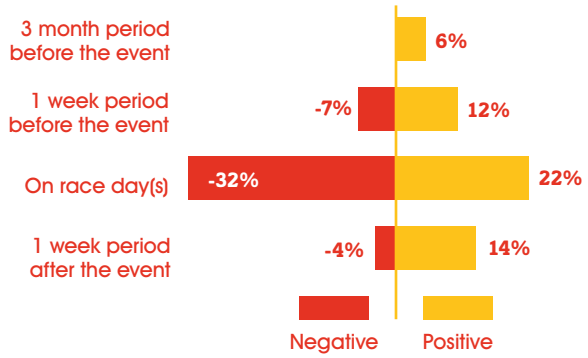
Commercial impacts on businesses

While local businesses were broadly supportive of hosting the event, the survey showed that the views of businesses on the impact of the event varied significantly between the pre, during and post-event periods. Views also varied by sector. This is demonstrated in Figure 27 which shows the proportion of local businesses reporting a positive or negative impact over a number of time periods.

Those who did not attribute the sales pattern they saw three months before the event to the Tour de France were not included, i.e. the remaining 94% of businesses in the three month period before the event.

In summary, the survey shows largely positive impacts in the period before and after the event from those who reported them, although most did not see an impact. As may have been expected, most impacts attributable to the event were on the race days themselves and included businesses reporting both positive and negative impacts. Negative aspects included factors such as disruption to the business through having to close, or displacement factors with customers being less likely to visit, especially if their premises were far from the Tour route.

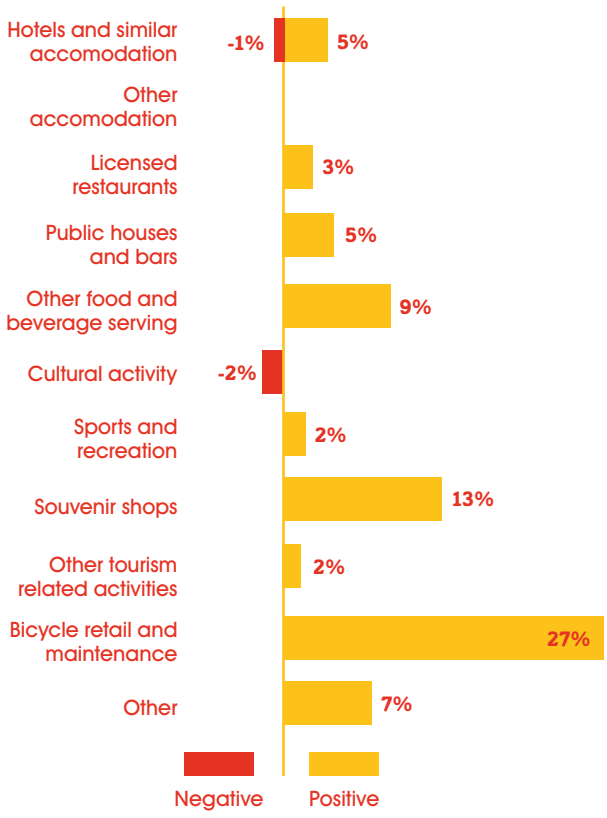
Figure 27: % of local buisnesses that saw a positive or negative impact in sales and attribute this to the Tour de France



Three months before

Only 6% of businesses reported an impact overall in this period, though they were mostly positive. Figure 28 shows that the main sectors that saw positive impacts in this period were cycling businesses and souvenir shops, together with accommodation and food and drink establishments.

Figure 28: % of local businesses that saw a positive or negative impact in sales and attribute this to the Tour de France (3 months before the event)



The week before the race
Overall, 19% of businesses reported that there was either a positive or negative impact on their normal sales turnover in the week running up to the hosting of the UK Stages, whereas 81% said that there was no impact.

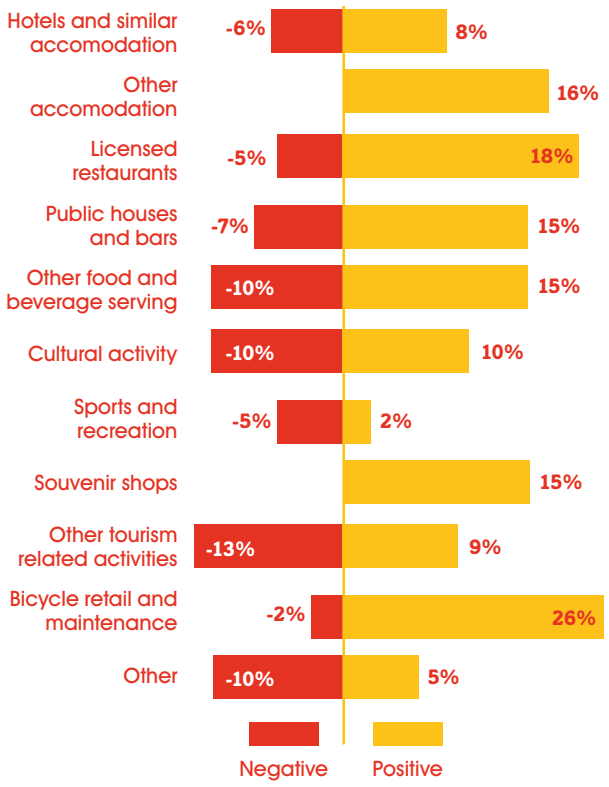
Analysis of the survey data reveals that a higher proportion of businesses thought their normal sales turnover was higher in the week of the event compared with those who thought it was lower than usual. Taking these proportions into account the survey showed that, on balance, 5% of businesses across all 3 Stages thought their normal sales turnover was higher in the preceding week as a result of the Tour de France.

Again, there were clear differences when examined by sector. Cycling businesses reported the most positive impacts, followed by pubs, restaurants and accommodation providers. It is notable in this period that negative impacts were also increasingly seen.

During the race
The survey revealed that a significantly higher number of businesses said that the staging of the UK Stages had either a positive or negative impact on their normal sales turnover on the race days – the proportion of business expressing a clear opinion on this increased to 54% of the sample.

Given the approach to the sampling of businesses proximate to the each race stage, it was to be expected that more businesses would report that normal sales turnover levels would be lower due to the nature of the temporary disruption in typical local trading footfall – the survey revealed that an on balance figure of 10% of businesses reported that sales levels were lower than normal.

Figure 29: Proportion of host region businesses by sector who reported higher or lower sales turnover impacts in the week running up to event



The People's Tour

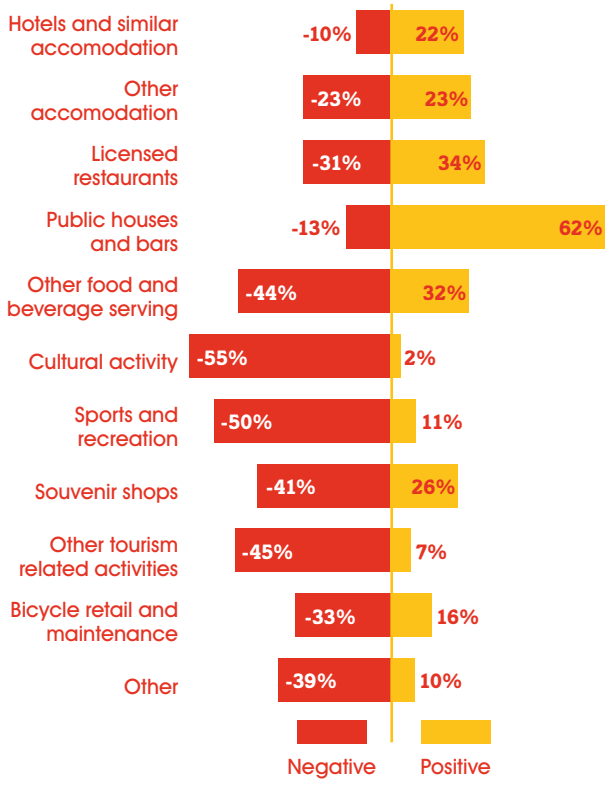
National Railway Museum York

"At the National Railway Museum, we didn't know what to expect from the Tour and over the weekend our visitor numbers were about 25% lower than a normal July weekend. However the Monday to Friday before the Grand Départ exceeded our budget by almost a quarter, our benefit was either side of the weekend."

Tim Neal, Senior Visitor Insight Executive

The sectoral variation in normal sales levels was at its most pronounced across the UK Stages with hotels, accommodation and bars/restaurants typically indicating that sales were much higher than normal (with most other visitor economy businesses reporting that sales were lower than normal).

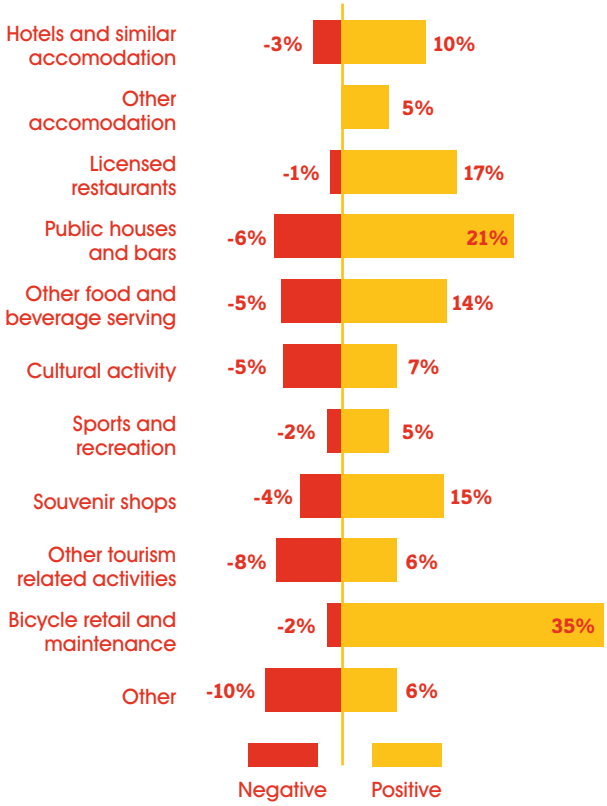
Figure 30: sectoral distribution of sales impact during the UK Stages



One week after the race

The pattern of reported sales patterns one week after the event reveals a different perspective from businesses about the impact of the event. It reflects the fact that businesses were better able to digest and set in context the effect of the event in the week before the race on their sales, balanced against any reported drop in sales during the event – so in broad net terms, business views on the impact on sales in the week after the event presents a more rounded commercial view from businesses.

Figure 31: Sectoral distribution of UK host region sales impact one week after the event



Only 18% of businesses surveyed were able to say if their normal sales were higher or lower than normal in the week following the event, but the majority of businesses were clear that their typical sales were higher than normal, with +10% of businesses on balance reporting that their sales were higher (14% reporting higher and 4% reporting lower).

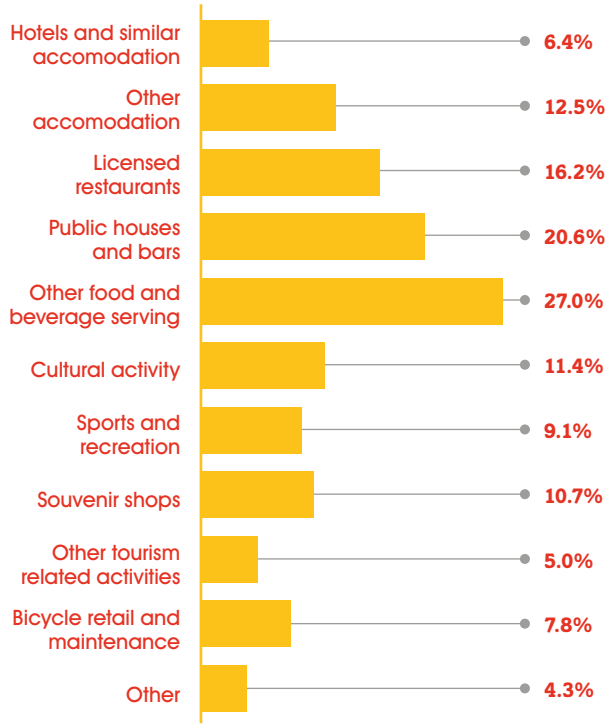
The sectoral distribution of reported impacts on normal sales turnover levels was more consistent with the pattern seen in the week running up to the event, although the overall impact in some sectors was much higher (cycling businesses were twice as likely to report that their normal sales levels were higher in the week after the event compared with the week before the event).

Temporary employment impact:
The survey of businesses also explored the extent to which temporary employment was created in the week before and across the race. The survey revealed that 11% of businesses reported that their employment levels were higher than normal, with 89% of businesses reporting that employment levels were unchanged.

The temporary employment boost was most visible in the hospitality sector where proportionately more businesses in the Yorkshire Stages of the race in these sectors reported that employment levels were higher than normal. The table below summarises the key data by sector.

A key consideration throughout is the proximity to the route, although this may be both a positive and a negative depending on the nature of the business. Figure 33 shows that the majority of the temporary employment was in establishments close to the route and, as set out above, was primarily about serving food and drink.

Figure 32: Temporary employment impact by sector



Yorkshire Trails Harrogate

The Ripon Bike Trail was set up to encourage people to explore Ripon and discover local businesses not ordinarily noticed by locals and visitors.

Trail-goers aimed to find as many bicycles displayed by local businesses as possible and compete to win a prize for the best photo taken with a yellow bike. This is the winning entry in the 'best family photo' category.

The People's Tour

Figure 33: Jobs created by distance from the route

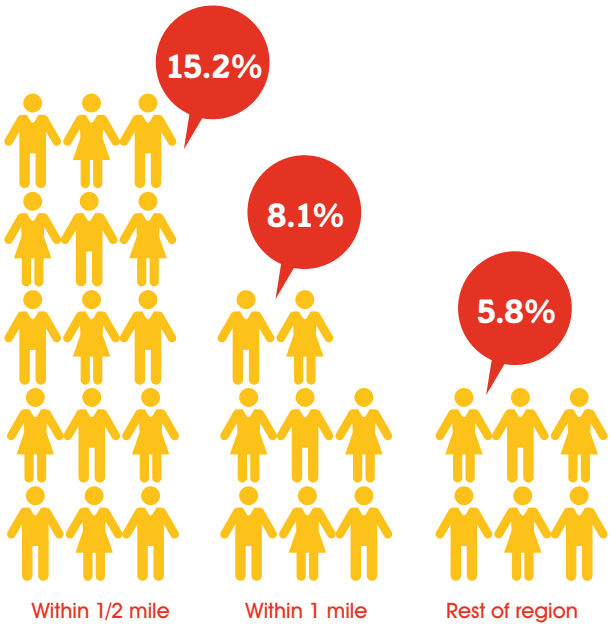


Photo: Leeds City Council

Photo: Leeds City Council

Conclusions on economic impacts

The section above set out the economic impacts of hosting the Tour de France in the UK. While these figures are positive, it should be recognised they are, arguably, conservative estimates undertaken at a particular point in time. Longer term impacts, including those that are less easy to quantify and those that might occur later through future visitors and inward investment as a result of the Tour, are yet to be seen. As a result, the ultimate economic footprint is likely to be significantly higher.

It was clear from both the economic impact data and the business survey that the sectors that benefit most are those most obviously associated with the event including:

- accommodation providers including hotels, bed and breakfasts and campsites;
- restaurants, pubs, shops and local events selling food and drink;
- souvenir and clothing shops, as well as others in the visitor economy;
- cycling shops;
- transport providers; and
- suppliers to event organisers.

While other businesses did less well directly, most reported a fairly neutral position over the period, even if there was disruption on race days. Some businesses clearly had to change their usual business operations but while there were some negative impacts, most believe that the event was good for the host regions overall, and that disruption could be managed. Proximity to the route was positive for visitor economy sectors, though perhaps less positive in other sectors, especially while the event was taking place.

On balance, a clear economic boost was seen as result of the event and the supporting events leading up to it.

The People's Tour

Duke Studios - Leeds Indie Bikes

Duke Studio made 120 vinyl stickers in the shape of popular bike designs, each incorporating the details of one of Leeds' independent businesses, to promote business networking

The vinyls were then put in the windows of other independent businesses, with a map produced to locate each bike.

Laura Wellington, co-founder of Duke Studios, said the project was a "fantastic ice-breaker" with "the bikes highlighting the excellence and versatility of the Independents in Leeds to both visitors and locals."

Following the success of the project Leeds Indie is now going on to become an official organisation.

"The Tour de France was a fantastic opportunity for Londoners to experience the excitement of elite cyclists racing through iconic London streets. And they didn't disappoint; 600,000 people lined London streets and filled our fan parks to enjoy the spectacle – on a work day! Hosting the Tour helped support The Mayor of London and TfL's objective to encourage more people to cycle more safely, more often. This year's Tour will cement the legacy of sport and cycling participation we continue to see from the London 2012 Games and the 2007 London Tour Grand Départ"

Sir Peter Hendy CBE, Commissioner of Transport for London

Photo: Leeds City Council

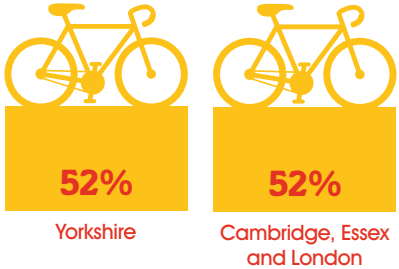
A sport for all:
inspiring more people to ride more often

The three UK stages of the Tour de France proved that cycling is for everyone. The Tour inspired people to have a go, from adapted bike sessions to cycling lessons in school and charity bike rides for keen amateurs. Interest and participation in cycling has never been so high.

Inspiring people to cycle and be more active was a key reason for wanting to stage the event and it is clear from the evidence in the surveys that there has been a significant inspirational effect. For example, 63% of the 3.5 million unique spectators (2.2 million people) spectators felt inspired to take part in sport more often than they normally do as a result of watching the race, especially younger people (aged 16-24), 72% of whom were inspired to get more active. Over 80% of these inspired individuals (1.8 million people) said they felt inspired to cycle more frequently. Of the UK adult population as a whole, 27% said they felt inspired to cycle more (this is equivalent to 14 million people – so some caution is needed here in interpreting this result). The post-event survey suggested as many as 30% (almost a million) of spectators have increased their levels of cycling, with all of the benefits that can bring.

For those who were already regular cyclists (who cycle once a week or more) 66% said that watching the race had a positive impact on their intention to cycle more. There was a similar effect on those who cycle less often as 58% were inspired to cycle more. A quarter of those who never cycled said they felt encouraged to cycle.

Figure 34: Inspired to cycle more frequently



The People's Tour

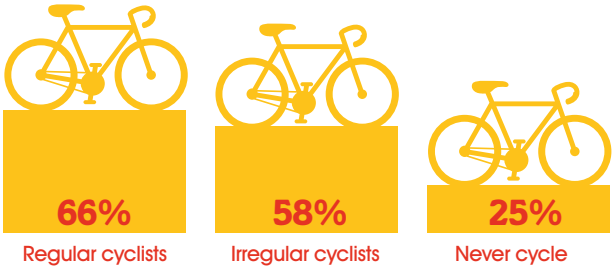
CTC Adapted Bikes Otley Spectator Hub Leeds

CTC, the National Cycling Charity, ran an event at the Otley spectator hub with adapted cycles for people to try out. They are currently working towards developing a national network of inclusive cycling centres which will offer more disabled people the opportunity to experience the joys of cycling.

"It's the opposite end of the spectrum to the guys that came flying through Yorkshire clad in brightly coloured Lycra. We offer disabled people the opportunity to experience the joys of cycling. We had lots of people with disabilities riding the bikes, including two young friends, both with broken legs, who were overjoyed at the fact they could sit side by side and pedal a hand-cranked tandem, and there was a young boy with cerebral palsy who was able to ride a fixed wheel tricycle. His parents are now keen to buy him his own. It was great to be part of the Tour de France, it was even better to play a part that exposed many more people to inclusive cycling."

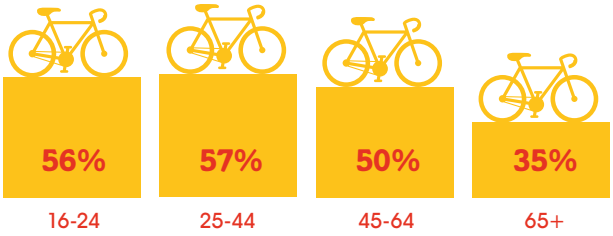
Gavin Wood, Event Organiser

Figure 35: Inspired to cycle more frequently by how regularly cycle



Attendance at the Tour had a stronger effect on the younger age groups with 56% of 16-44 year olds being inspired to cycle more frequently.

Figure 36: Impact of attendance on inspiration to cycle by age



Tour Makers' cycling intentions
Many of the volunteer Tour Makers were driven to get involved in the event because they were already enthusiastic cycling fans. Others volunteered for different reasons, such as wanting to give something back to their community and be involved in a one off, unique event.

Volunteers were as inspired to cycle as spectators. Two thirds (over 5,000) were inspired to cycle more. Similar numbers reported being inspired more frequently (65% for Yorkshire volunteers and to 63% for those who volunteered in Cambridge, Essex or London).

Post-event take-up of cycling

Three months after the Tour de France, spectators who were happy to be contacted again were asked about their take up of cycling since the event. This showed that 28% of spectators were cycling more often, with 2% of spectators having taken up cycling for the first time since the event. Taking account of the relatively small sample size (n=300), the initial indications are that at least 750,000 spectators have cycled more frequently since the race.

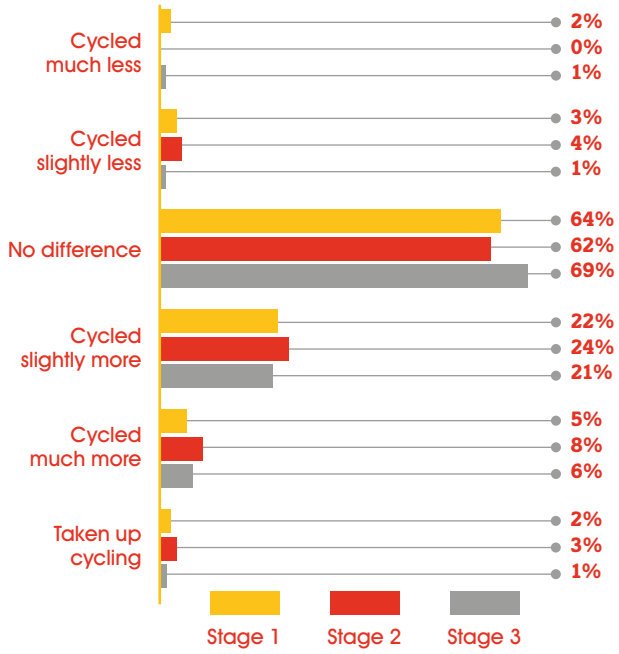
The People's Tour

Colden Primary School Calderdale

"Children at Colden Primary School celebrated the Tour de France by taking part in the 'Tour de Popples' sponsored bike ride, cycling as many circuits of Popples Common, Heptonstall, as they could in half an hour. In total the pupils rode nearly the distance of Stages one and two of the Tour (366km) raising in excess of £650 to help fund new sports equipment for the school. Head teacher Tony Greenwood said, 'Every pupil is really Enjoying their extra sporting sessions. We have already begun organising more competitive events with other local schools and we hope to build on this in the future. The Tour de Popples was a very

appropriate and enjoyable way to help finance resources for this initiative. The school now employs a sports teacher on one full day a week and I have seen many more pupils riding bikes to school."

Figure 37: Post-event spectators cycling take up



Half of spectators who wanted to cycle more reported that their enthusiasm inspired others to cycle or to cycle more than they did before, particularly their partners, children and friends. People also reported that the event had encouraged them to make cycling related purchases as 11% bought a bike for themselves and 8% had bought a bike for a friend or family member. This reinforces the expectation that there will be ongoing economic benefits from hosting the race, through increased cycling take-up.

Figure 38: Spectators inspiring others to cycle more

The People's Tour

Ilkley Cycles Bradford

The store has moved to the main road and was passed by the racers. It received lots of press coverage and increased sales since the Tour. Free bike maintenance classes and a monthly social evening with a guest speaker have also been set up.

Adam Evans, co-owner of the shop and its attached café, signed the lease on the property two days before it was revealed that the route would go past the front door. He said: "Cycling is definitely having a moment, even before the Tour was announced. The fact that it came here still seems impossible, just the sheer scale of it."

"The 2014 Tour de France Grand Départ was the most successful in the history of the world's greatest annual sporting event. The three days in Yorkshire, Cambridge, Essex and London set a new standard - not just in terms of the amazing support on the road but also in inspiring a wave of cyclists, young and old, to get on their bikes."

Bob Howden, President of British Cycling

Photo: Ollievision

Long term legacy:
welcoming the world

The legacy of the Tour de France will continue after 2014 and well beyond, not least because the evidence shows that hosting the event successfully raised the profile of Yorkshire, Cambridge, Essex and London and encouraged people to visit in the future.

Likelihood to revisit

Survey findings show that the image of Yorkshire, Cambridge, Essex and London have all been enhanced as a result of hosting the event and can expect increased visitor numbers as a result in future.

Figure 39: More likely to recommend host regions to family and friends

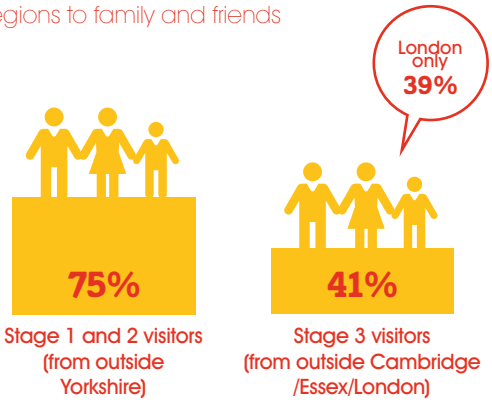
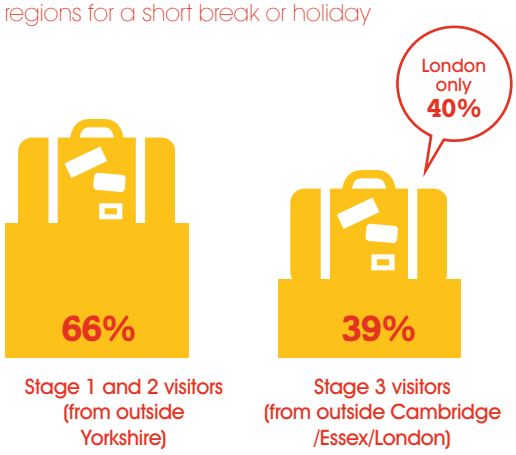


Figure 40: More likely to recommend host regions for a short break or holiday



Of the million Stage 1 and 2 spectators from outside Yorkshire, 75% strongly agreed they would be more likely to recommend Yorkshire to friends and family. Of the same group, 72% said their image of Yorkshire had been enhanced and that 66% would be more likely to visit Yorkshire for a short break or holiday.

Of the 375,000 Stage 3 visitors from outside Cambridge, Essex and London 40% (around 150,000) strongly agreed that they would be more likely to recommend these areas to friends and family.

Of the National Omnibus survey respondents, 27% said that they strongly agreed that the image of the UK overall and the areas that hosted the Tour have been enhanced. The equivalent of four million people (8% of respondents) said they were more likely to visit these areas.

Figure 41: Enhanced my image of the host regions as a tourist destination

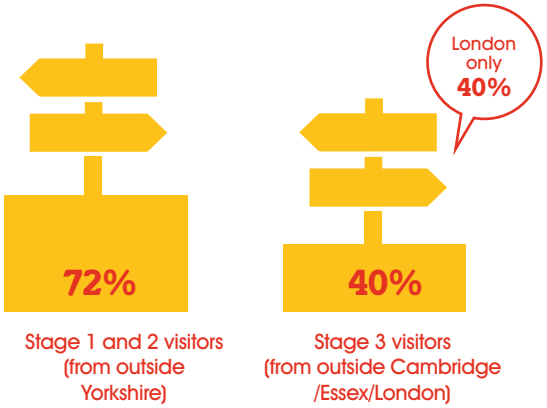
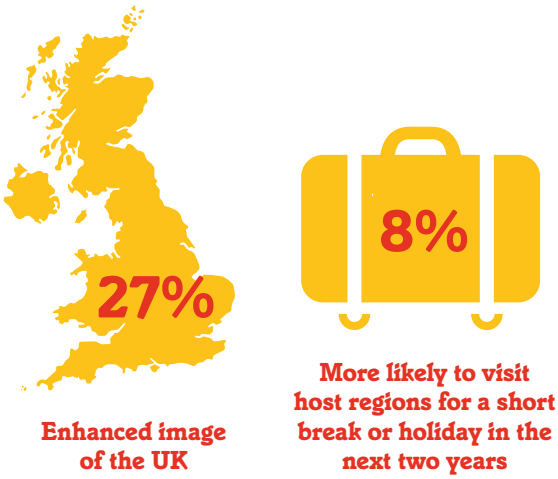


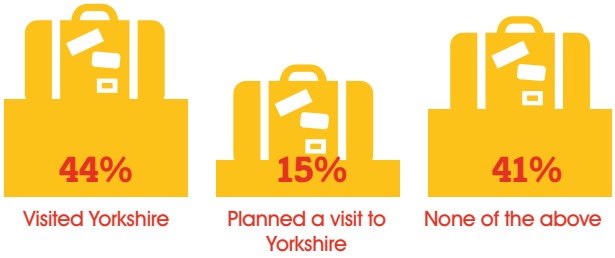
Figure 42: Enhanced image of the host regions
National Omnibus Survey (Source)



The follow-up spectator survey suggested that repeat visits are already happening. In the three month period after the event, 44% of non-residents who visited to watch Stages 1 or 2 have visited Yorkshire again, while 40% of non-residents who watched Stage 3 have visited Cambridge, Essex and/ or London again in the three month period following the event. This supports the view that the economic boost to the areas that hosted the Tour de France will continue to see the benefits in the future and not just in the short period before, during and after the race.

Figure 43: Visiting spectators revisiting host regions

Stage 1 and 2 visitors from outside Yorkshire



Stage 3 visitors from outside Cambridgeshire, Essex and London

Businesses views on the future impacts of the event

As discussed earlier, while some local businesses were adversely affected, a large proportion agreed that the Tour was a good thing for their respective local areas. Nearly three quarters of businesses in Yorkshire (74%) strongly agreed that the image of the region had been enhanced, which was true of 33% of businesses in Cambridge, Essex and London. The survey showed that Yorkshire businesses were unanimous in thinking that the region had benefitted from hosting the Tour overall. Likewise, only 9% of businesses in Cambridge, Essex and London disagreed with the statement that hosting the event has boosted the image of their areas.

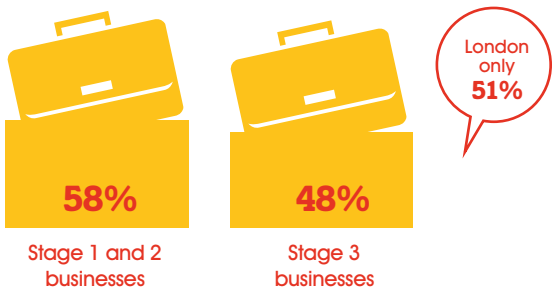
Of businesses in Yorkshire, 54% thought tourists would be more likely to visit Yorkshire for a short break or holiday as a result of the Tour de France. For Cambridge, Essex and London this was 30% and for London alone, 34% said they expected more tourism to follow.

The People's Tour

Oh La La, Vintage Shop Haworth, Bradford

"I've had enquiries from people in Hampshire and Essex – someone rang to ask about a Costume for a Poirot murder-mystery event – but I was amazed when I got a call from Canada. The coverage of Le Tour has reminded people how lovely Haworth is."

Figure 44: Business perspectives on future impacts of the Tour de France



Beyond the Tour – securing a cycling legacy

To secure a lasting cycling legacy from the Tour de France many organisations have been working hard to create opportunities to cycle and to improve cycling infrastructure.

In London, it is reported that as part of his cycling vision Mayor Boris Johnson is already engaging in a £1 billion programme of improvements – creating a series of enhanced superhighways, urban 'quietways' for more cautious cyclists, and turning some outer boroughs into 'mini-Hollands'.

In Yorkshire, there will be a Cycle Superhighway linking Bradford and Leeds. A new velodrome is under construction in York and across Yorkshire the cycle lane network is being improved. In one example, North Yorkshire County Council successfully bid for £1.65m from the Local Sustainable Transport Fund to deliver upgraded cycle parking spaces and crossing improvements.

In addition, the Cycle Yorkshire initiative has been brought together and galvanised by Welcome to Yorkshire, British Cycling, Sustrans and 21 local authorities to form an agreed initiative and strategy to develop cycling and opportunities to get more people cycling more often. Five core objectives for the next ten years are to:

- **Get more people cycling** – provide adults and children with greater training and access to cycling.
- **Make choosing cycling easier** – work closely with local authorities, businesses and partners to improve cycling infrastructure and facilities to address both real and perceived barriers to cycling.
- **More events to see and take part in** – broaden the number and awareness of cycling events and opportunities for people of all generations and abilities to get involved.
- **Greater awareness of cycling and cyclists** – create campaigns and events to generate a wider appreciation of the benefits of cycling, travel planning, bike safety, cycle friendly routes and respect between everyone using our roads.
- **A thriving network of cycling businesses and social enterprises** – encourage and support all cycling related businesses in the region to provide a dedicated network of experts to sustain Yorkshire's growing cycling community.

British Cycling (the national governing body for cycling) have also done a lot of work to ensure a lasting legacy of cycling participation as a result of the Tour de France. Their work and investment, in partnership with local authorities and others, has helped to grow the volume and accessibility of cycling opportunities in advance of the event and created the conditions for the anticipated growth in interest.

This capacity building resulted in 60,000 more opportunities to ride a bike across the areas the Tour passed through, by engaging ride leaders, recruiting volunteers and developing a range of routes, races, sportives, mass participation events, guided rides and social rides. That meant that the inspirational effect of the race could be met with a range of ways to get involved with cycling.

According to British Cycling Over two million people are now cycling regularly. The collective vision is to ensure that the Tour de France continues to have a lasting impact, not only in the areas touched by the race, but throughout the UK.

Minister for sport and tourism Helen Grant MP visits British Cycling Go-Ride session Leeds

In April 2014 minister for sport and tourism Helen Grant MP visited a Go-Ride session in Leeds to see first-hand how the governing body was working hard to deliver a legacy from the Tour de France.

Calling in at Benton Park School in Rawdon, she watched over 30 pupils receiving expert tuition from British Cycling coaches as part of a regular Go-Ride session at the school. Go-Ride is British Cycling's development programme for young people, providing a fun and safe way to experience the world of cycling. Coaching sessions aim to be progressive and signpost the pupils to local clubs once they have built up their skills and confidence riding their bikes.

Welcomed at the school by British Cycling president Bob Howden, alongside chair of TdFHUB2014 Ltd Sir Rodney Walker and Leeds City Council executive member for children's services Councillor Judith Blake, she was given an update on how the city and region was gearing up for the world's largest annual sporting event, saying:

"It was great to be in Yorkshire to get an update on how plans were progressing for the Grand Depart. The children at Benton Park were certainly enjoying their Go-Ride session with British Cycling and that is something that is being replicated at schools right across the country."

The People's Tour

The Go-Ride programme has cemented the legacy of the Tour de France, with over 9,000 young people taking part in come-and-try cycling sessions throughout the month of July as part of the Go-Ride Tour – 40% of which had never taken part in the sport before and have been encouraged to join their local clubs."

Figure 45: British Cycling work in Yorkshire, Cambridge, Essex and London 2014

In summer 2014, British Cycling offered

60,000

free ride opportunities via Sky Ride events, Sky Ride Local rides, Ride Socials and Breeze guided rides.

Throughout 2014 British Cycling will have trained

330

new coaches in the regions visited by the Tour de France.

British Cycling has - to date - trained

500

Ride Leaders across the Tour de France host regions.

There are **99 Go-Ride clubs**.

60%

of the current Great Britain Cycling Team **started cycling in Go-Ride clubs.**

British Cycling will have delivered

230

Go-Ride Racing events in the TdF regions in 2014, up from 68 events in 2011/12.

British Cycling will have supported over

50

sportive events in the Yorkshire region in 2014, up from 6 in 2012.

British Cycling members in the host regions account for

20%

of the **total membership of the organisation.**

As of June 2014, there are

19,558

British Cycling members living in the London and Cambridge (Central and East) region.

British Cycling is offering

3,100

opportunities to ride in Go-Ride Racing events across London

BRITISH CYCLING go-ride racing supported by sky

Building on success: what next?

Tourism enhanced image

Since the race tourism has already seen a boost. Over half a million visited again in the three months after the race. Around 800,000 visitors strongly agreed they would recommend the areas to friends and family.

Cycling enhanced opportunities

From the Cycle Superhighway linking Leeds and Bradford, to the new velodrome in York and the new cycle lane network in Leeds - cycling infrastructure within Yorkshire has never been in such a strong position. The

The Mayor of London is already engaging in a £1 billion programme of improvements to create a series of enhanced cycling superhighways, urban 'quietways' for more cautious cyclists, and turning some outer boroughs into 'mini-Hollands'.

Business enhanced profile

The International Business Festival showcased Yorkshire and the UK to over 2,000 participants from 10 different nations. This programme of exhibitions, seminars and briefings was designed to drive business growth and raise the profile of the opportunities that the UK has to offer.

The UK enhanced reputation

UK Sport has already secured 45 major events for the UK since London 2012, including the Track Cycling World Cup (taking place at the Olympic Velodrome in December 2014), an annual BMX World Cup in Manchester and the 2016 Track Cycling World Championships also in London.

Photo: www.swpix.com, Welcome to Yorkshire

Appendix:
Methodology

The evaluation framework used in this study was designed to measure the social and economic impacts of the three UK Stages of the Tour de France 2014. We were guided by the nationally recognised, industry standard methodology developed by UK Sport - eventIMPACTS. In line with the eventIMPACTS framework, all the expenditure of attendees who were residents of a defined host region were excluded, as was the expenditure of all 'casual' spectators - ie. those for whom the event was not their main reason for being in the given area

Because this was a unique event, on a large scale and with activities specifically designed to increase interest and engagement in the event, we have also looked at other information to help describe the impact of the event. We know that not all of these impacts can be measured in numbers or pounds and pence – some things are more intangible but still very valuable.

An independent, specialist research agency (SPA Future Thinking) was commissioned to carry out the primary research, which included four surveys (outlined below).

Four surveys

1. A face to face survey of over 4,000 spectators was completed over the three days. Fifty interviewers were positioned along the route each day to ask questions about:
   - Where people live;
   - Whether they were aware the Tour was coming to the UK;
   - Where people watched the race – and whether they planned to watch in more than one location, or on more than one day;
   - How much people spent on average during their trip (how many nights they stayed, in what accommodation, how much was spent on food and drink for example);
   - How many were in their group;
   - How people travelled to the event;
   - How often people cycled or were physically active
   - Whether the Tour would inspire them to cycle more or be more active; and
   - People were asked about their perception of the local area and whether they would recommend it to friends and family to visit.

This sample size gave overall confidence intervals of +-1.53 for the 3 stages overall – this means that our results are reliable.

From this, 1,200 spectators who agreed were re-contacted three months after the event to ask whether they had cycled more, so we could see if people's behaviour had changed as a result. Around 300 people completed this.

2. The 8,000 volunteer Tour Makers were asked a similar series of questions to understand their experiences, spending patterns, perceptions of the local area and other impact the Tour might have. Around 2,200 Tour Makers responded to this survey.

3. A survey of over 700 businesses across the 3 UK Stages was carried out immediately following the event with a follow-up three months afterwards. Businesses in the visitor economy and cycling businesses were targeted, particularly those near the routes – as they were the most likely to have felt an effect from the Tour. Businesses were asked about:
   - any impacts on their turnover both pre-, during and post-event;
   - whether they had done any specific marketing or promotion work associated with the Tour de France;
   - whether they had employed any additional staff specifically because of the Tour;
   - awareness of the Tour taking place;
   - perceptions of a range of issues, such as potential long-term impact to their business and to tourism in their area, the perception of their local area and if they thought the event would inspire more people to cycle more often;
   - whether local authorities should stage similar events in the future; and
   - to get a balanced picture we also asked specifically about any negative, as well as positive impacts.

4. An online survey was undertaken a week after the event with a nationally representative sample of the UK adult (over the age of 16) population. This 'national omnibus survey' of 2,000 people was used to benchmark awareness of the event across the country, the inspiration to increase cycling participation and recognition of the host regions and likelihood to visit. The sample was also asked whether they had watched the race in person, which was used as a cross check of other spectator counts.

Other information sources

A project team then brought this together with 'wider' information, such as case studies and findings from other pieces of research that have been done, including the evaluation of the Yorkshire Festival. This included:

- There was a detailed assessment of the spending of the main delivery organisations (local authorities, TfL and TdFHUB2014 ltd) and the impact on local supply chains;
- A detailed set of case studies was collected to show the range of experiences of the Tour. These included stories from local businesses, schools and community groups that described special activities or events that were put on to celebrate the Tour. The team collected nearly 300 in total;
- The evaluation of the Yorkshire Festival;
- Information and research from a range of partners, such as the local authorities, National Park Authorities, Transport for London, TdFHUB2014 Ltd., METRO, British Cycling and Cycle Yorkshire just to name a few; and
- Trends from social media, such as Facebook and Twitter to shine a light on what people were saying about the Tour – including the riders themselves.

The framework we have used for this study therefore allows us to look at both the economic impacts of the Tour as well as the social and inspirational impact it had on people.

St Ives CC Nocturne Cycle Races Cambridge

As part of the Cambridge Velo Festival Programme a bike race was held on the 14th June in St Ives town centre, the first of its kind in Cambridgeshire, supported by both town and county councils. 321 riders ranging from those in the u10's race to some of the best men and women in the country were cheered on by an estimated 1500 spectators.

Several young riders from the local community were competing in their first ever event, with one young rider saying 'it was better than Christmas,' and several of the crowd heard talking about how the event had inspired them to take up cycling. Following its success, the town council and local community now hope to make the race an annual event.

The People's Tour

Photo: Leeds City Council

For more information and to view the full report please visit the websites of:

Leeds City Council - www.leeds.gov.uk
Transport for London - www.tfl.gov.uk
UK Sport - www.uksport.gov.uk
Welcome to Yorkshire - www.yorkshire.com

Published December 2014
Design by inspiredby:creative solutions.

Leeds CITY COUNCIL
TRANSPORT FOR LONDON
TdFHUB2014LTD
uk sport world class success
Welcome to Yorkshire yorkshire.com

Annex 2 - Tour de Yorkshire 2015
High Level budget

Section Name				Estimated Price
Route				92000
Staff Resource				49500
Communications				8000
		Type	No	Item Price
Route	Hosting Fee	Item	1	100000
	Crowd Barriers/Heras Fencing	Item	3434	12000
	Traffic Management	Day		40000
	SIA Stewards/Supervisors	Person		20000
	Radio/Comms Infrastructure	Item		15000
	Route/Spectator Signage	Item		5000
			Total	92000
Staff Resource				
	Event Manager			32500
	Event Safety Officer			17000
			Total	49500
Communications				
	Local Advertising			6000
	Printing/Sundry Costs			2000
			Total	8000
Total			Total	249500
				149500

This page is intentionally left blank

Cabinet **16 December 2014**

Report of the Cabinet Member for Leisure, Culture & Tourism

York UNESCO City of Media Arts

Summary

1. Earlier this year, Cabinet Members endorsed York's application to join the UNESCO Creative Cities Network as a City of Media Arts. That bid was submitted on 19 March 2014.

2. Cabinet also supported a series of actions to give the application the best possible chance of success. Activity could be broadly grouped into five key areas. They were:
   - Raising awareness of the application locally, nationally and internationally
   - Briefing all parties mentioned in, and endorsing, the application
   - Proactively building strategic links with national professional agencies
   - Making connections within the Creative Cities Network
   - Mapping York's first two years as a UNESCO City of Media Arts and embedding into local development plans

3. On 1 December 2014, the bid was confirmed successful as Director-General of UNESCO, Irina Bokova, welcomed York into the Network as a new City of Media Arts. The Network now comprises 69 cities from all the regions of the world – 8 in the category of Media Arts.

Background

The Bid

4. Work began on the bid in 2010 when the city was first approached to consider submitting an application for UNESCO designation as a creative city. Representatives were invited to South Korea in 2011 to pitch the city's credentials and future potential. Following a temporary stop to the designation process, York was approached in

2014 to make a formal bid.

5. The bid was developed by the city's cultural partnership. It followed a period of consultation with the many cultural bodies and practitioners that form York's thriving Digital & Media Arts sector and was accompanied by formal endorsement from existing member cities of the Creative Cities Network. As a city, we were united in our ambition to become a UNESCO City of Media Arts.

6. From our cultural heritage to our contemporary strengths and international potential, York believed it had strong credentials for designation.

7. York was able to point to existing strengths, such as:
   - York is a hotbed of creative talent with world-class learning institutions
   - Creative industries represent the fastest growing sector of York's economy with over 250 creative media arts companies employing over 3,000 people
   - York's cultural experiences form an important part of everyday life with York labelled the 'City of Festivals'
   - York's world class heritage continues to be the centrepiece of its cultural offer, attracting over 7 million visitors per annum with media arts the engine of its future interpretation
   - More than £100 million has been invested in media arts facilities and resources to support the sector by York's two universities
   - Reinvigorate York, a £3.3m investment in York's public realm, is reimagining the city's streets and open spaces
   - York is one of the UK's first Super-Connected Cities and aims to be the most digitally connected city in Europe by 2015
   - Media Arts is a driving force of York's social innovation and is testament to the city's inclusivity and diversity

8. The city also set out its ambitions for the future, including new projects – some evolutionary and others transformative – that would give life to the title of York, UNESCO City of Media Arts. These included:
   - providing the infrastructure and support for its creative industries to continue to thrive and attract trade, commissions, and investment

- being an active member of the Network, exchanging ideas and experiences with a view to enhancing capacity and connections
- placing creative and cultural education and exploration at the centre of its lifelong learning opportunities, cultivating a rich and diverse talent base
- building an iconic new Digital Media Arts Centre (DMAC) and sparking new public-private centres of production
- increasing youth access to Media Arts as a means of self-expression and skills development
- expanding its digital and social inclusion strategy, offering support to other cities within the Creative Cities Network with similar ambitions
- working with other Creative Cities to develop an international programme of cultural festivals showcasing Media Arts
- promoting York as a capital of Media Arts production and experiences, acting as a gateway for national and international connections and consumption
- inspiring and empowering communities to regularly engage in the arts and to tell their own stories
- working in consortia with like-minded organisations in other Creative Cities to bid for major cultural projects and developments
- offering support to other aspirant Cities of Media Arts

9. These commitments paint a clear vision for York as a City of Media Arts where York:
    - will be a place where creativity defines the future understanding and enjoyment of our heritage
    - will be a meeting place of ideas, creativity and innovation for the next millennia
    - will be a place where media arts helps define the quality of life for our future generations

The benefits

10. York is committed to ensuring everybody benefits from York's new creative city status, publishing 10 inclusive benefits:
    - Contemporary culture will be more visibly celebrated and accessible in the city, with new projection points and digital facades
    - An iconic Digital & Media Arts Centre (DMAC) will be built, blending creative invention, participation and industry

- York will benefit from the thought leadership and ingenuity of the world's other leading creative cities as active members of the network
- There will be a new drive for sponsorship of media arts events, adding new dimensions to our already-popular festivals
- Creative education will be embedded at the heart of the learning experience for all ages, including new overseas residencies and exchanges
- York's creative talent will be retained in the city and others will be drawn here as our creative industries thrive
- York will recognise and reward its creative talent with an annual awards ceremony, acting as a platform to international markets
- York will be a place that promotes the value of diversity of people, ideas, and cultures
- York will be known as a place that is inventive, pioneering and surprising – complementing its historical charm
- York will be an international crossroads for the world's ideas and creativity once more.

Financial Benefits

11. Existing members are also using their affiliation to the Network as a catalyst to increase investment and enhance their own brand value. The 2013 study issued a conservative estimate that the financial benefit of UNESCO membership to the UK's 180 organisations affiliated to UNESCO was £90 million per annum.

12. Having discussed the benefits of designation with other UK cities, there is a common view that their economies have directly benefited. There is no reason to expect that York will be any different. Media Arts is already a strong sector of the city economy and we expect to see it flourish further.

The Plan

13. On 1 December 2014, York also published its 2015/16 plans (Annex 1) for designation.

14. The plan was developed in close collaboration with key stakeholders and industry bodies, and considers the challenges and opportunities facing York as a Creative City, along with a plan of ambitious targets that will drive growth and job creation in the

sector. It also proposes an organisational structure for managing designation after consultation with existing members of the Network.

Consultation

15. York's application to be designated as a UNESCO creative city was developed, in partnership across the city

16. **We are asking Cabinet to**

1. **Support the creation of an official office of designation:**

   It is proposed that custodianship of the management, promotion and development of 'York UNESCO City of Media Arts' and the city's objectives for accreditation should sit with York's new Destination Management Organisation 'Make It York'.

2. **Endorse the immediate priorities and actions as a City of Media Arts (Annex 1), proposed to follow the four themes of:**

   - **Create**
     Championing the acts of creation, learning, and expression, whilst cultivating the right conditions for each.
   - **Participate**
     Refreshing the experience we offer and opportunities to get involved, whoever or wherever they are in the city.
   - **Transform**
     Balancing the established cultural and economic identity of York with the growing attributes of its digital and creative industries.
   - **Exchange**
     The discovery of new audiences, ideas and opportunities through better connections to other leading creative cities.

3. **Endorse the major aspirations for York's creative sector as a result of designation:**

   - To double the size of York's creative economy [1] from £164.8m to £329.6m by 2025

[1] Defined as the 'Information and Communication sector' by Oxford Economics

- To increase engagement in the Arts[2] from 50.3% to 75% by 2025
- To double the proportion of schools in the area with Arts Council Artsmark accreditation from 17% to 34% by 2025
- To increase the proportion of cultural tourists from 17% to 25%, contributing to a doubling of the value of tourism to York to £1bn by 2025

Implications

17. This report is for information and is to seek endorsement for the work that the council will do in partnership with others to secure the benefits that Unesco designation will offer. At this point, activity already being undertaken by the council will contribute to the delivery of aspirations with the Unesco Plan. If further investment is required, specific proposals will be brought through for decision making in the normal way.

Other Implications

18. There are no specific HR, Crime and Disorder, Information Technology, Equality or Property implications arising from this report.

Recommendations

19. Members are recommended to :
    - Support the creation of an official office of designation
    - Endorse the immediate priorities and actions as a City of Media Arts (Annex 1) proposed to follow the four themes
    - Endorse the major aspirations for York's creative sector as a result of designation

Reason: To update Members on the successful bid and the actions required in order to implement.

[2] As reported by DCMS on Active People. Baseline taken from 2010 figures

Contact Details

Author:	**Cabinet Member and Chief Officer Responsible for the report:**
Stewart Halliday Assistant Director Transformation & Change Tel No.01904 553402	Cabinet Member for Leisure, Culture & Tourism Sally Burns, Director of Communities & Neighbourhoods
Stuart Goulden York@Large, Bid Lead	**Report Approved** ✓ **Date** 5 December 2014

Specialist Implications Officer(s) *List information for all*
None.

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

For further information please contact the author of the report

Annexes

Annex 1- York's Bid for UNESCO City of Media Arts 2015/16 (online only)
Annex 2 – UNESCO City of Media Arts Plan 2015/16

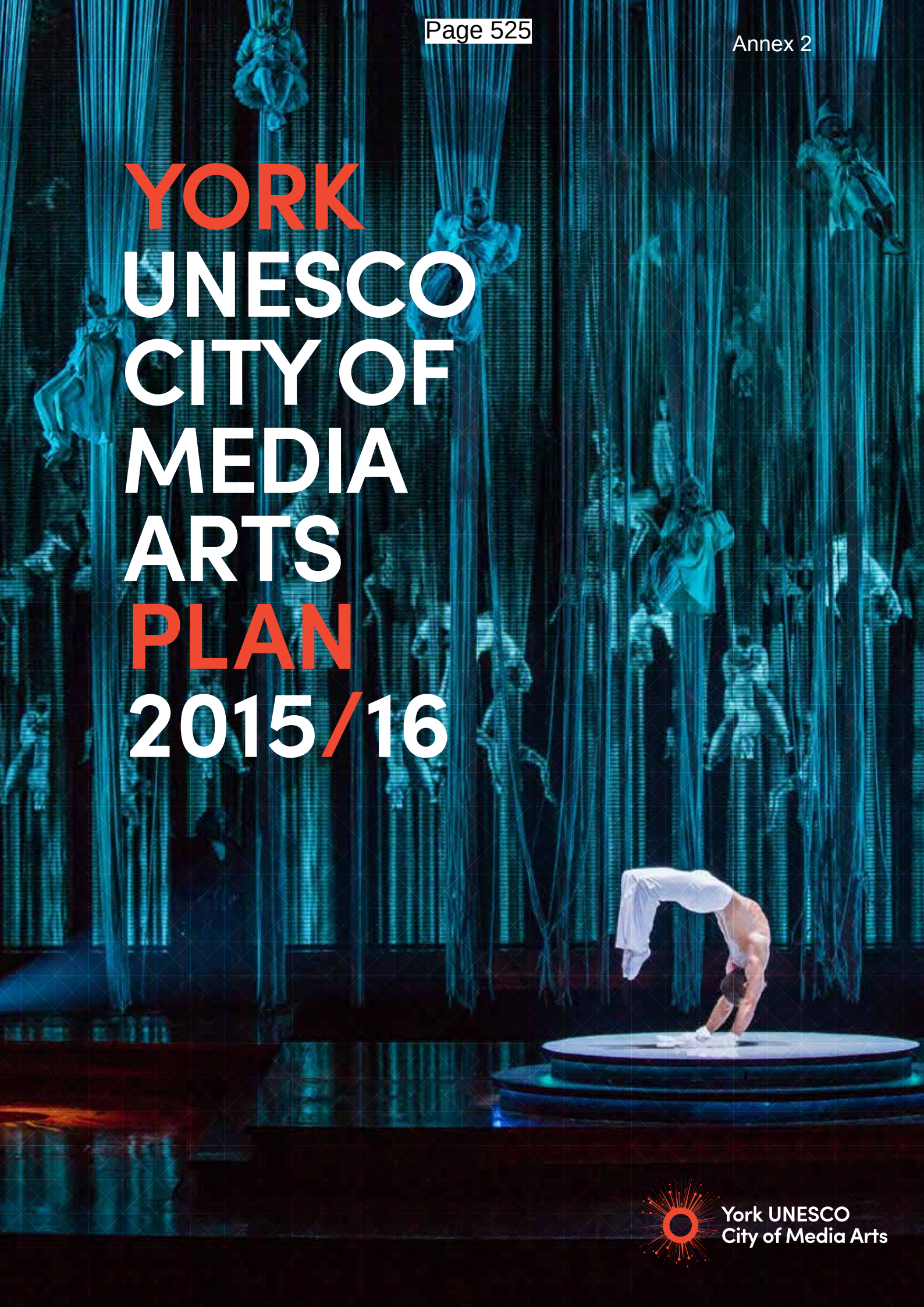
United Nations Educational, Scientific and Cultural Organization

York UNESCO City of Media Arts

Designated UNESCO Creative City in 2014

This page is intentionally left blank

YORK UNESCO CITY OF MEDIA ARTS PLAN 2015/16



York UNESCO City of Media Arts

WITH THANKS TO THOSE SUPPORTING THE BID_

Steering Group
York@Large

Official support
Cllr. Julie Gunnell, The Rt Hon the Lord Mayor of York (2013/2014)
Cllr Ian Gillies, The Rt Hon the Lord Mayor of York (2014/2015)
Cllr Sonja Crisp, Cabinet Member for Leisure, Culture and Tourism
Kersten England, Chief Executive, City of York Council
Cllr. James Alexander, Leader, City of York Council

Bid Patrons
Greg Dyke, Chancellor at University of York
Charles Cecil MBE, CEO of Revolution Games

Bid Management Group
Gill Cooper, City of York Council
Stuart Goulden, Like No Other & Co
Marcus Romer, Pilot Theatre
Tom Sharp, The Beautiful Meme
Mat Lazenby, LazenbyBrown
Heather Niven, SCY
Simon Newton

Letters of Endorsement
Arts Council England
NESTA
Creative & Cultural Skills
UK National Commission for UNESCO (UKNC)
Hull City of Culture 2017
Leeds City Council
Lyon City of Media Arts
Enghien-les-Bains City of Media Arts
Sapporo City of Media Arts

Media
BBC Radio York
The Press
One&Other
York Mix
Aesthetica Magazine
Minster FM
Yorkshire Art Journal
Local Link
Soundsphere Magazine

Creative individuals & organisations
Stage One
Bright White
Revolution Software
KMA
Pilot Theatre
Aesthetica
Inspired Youth
The Knife That Killed Me
Theremin Bollards
Isotoma
LazenbyBrown
Punk Pie
The Beautiful Meme
Continuum Group
According to McGee
KhaoZ Media
WeEnrich
MilesTone Films
Mark Herman
Deborah Bowness
Peter Lord CBE

Academic institutions
University of York
York St John University
York College
Askham Bryan College
Manor CE Academy
Canon Lee Specialist Arts College

Illuminating York 2009
Image courtesy of Allan Harris ©

Cultural institutions
York Minster
Yorkshire Film Archive
York Art Gallery
York Theatre Royal
University of York Sound Archives
York Museums Trust
Jorvik Museum
National Railway Museum
New School House Gallery
York St Mary's
Inclusive Arts
Converge
New Visuality
Accessible Arts & Media
York Grand Opera House
York Barbican
Friargate Theatre
The Joseph Rowntree Theatre
Heslington Studios
City Screen Picturehouse
The South Bank Community Cinema
National Centre for Early Music
The Duchess
The Black Swan Folk Club
The Basement
House Concerts
TFTV

Festivals
Illuminating York
York Human Rights Festival
York Mystery Plays
Aesthetica Short Film Festival
York Stories
The Jorvik Viking Festival
Early Music Festival
Festival of Ideas
Theatre Café York
York Open Studios
York Literature Festival
Create Your Future

Conferences & Symposia
No Boundaries
Shift Happens
TEDxYork
Innovation in Music
Venturefest

Researchers
Professor Nick Holliman
Dr Jenna Ng
Dr Sandra Pauletto
Dr Ambrose Field
Dr Damian Murphy
Richard Walsh
Daniel Kudenko
Professor Gary Peters
Dr Matthew Reason
Professor Adair
Dr Claire Hind
Saffron Walkling
Research Centre for Occupation and Mental Health
The Centre for Digital Heritage
The Interdisciplinary Centre for Narrative Studies

Production Centres
Bar Lane Studios
The Phoenix Centre
Ron Cooke Hub
York Science Park
Heslington Studios
Green Screen Studios
THE HIVE
Middleton's

Other partners
Visit York
City of York Council
Creative England
United by Design
Screen Yorkshire
York Youth Council
Joseph Rowntree Foundation
Explore libraries
The Borthwick Institute of Archives
Learning City York
Higher York partnership
Welcome to Yorkshire
York Civic Trust
Make It York
York's residents and business community

WORKING TOGETHER AS YORK, UNESCO CITY OF MEDIA ARTS_

INTRODUCTION

On 1 December 2014, the Director-General of UNESCO, Irina Bokova, designated York as a UNESCO City of Media Arts and the newest members of the Creative Cities Network.

The Creative Cities Network now comprises 69 cities from all the regions of the world and aims to develop international cooperation among cities that acknowledge and seek to support creativity as a strategic driver for sustainable development, through multi-stakeholder global partnerships.

This report has been developed in close collaboration with key stakeholders and industry bodies, and considers the challenges and opportunities facing York as a Creative City, along with a plan of ambitious targets that will drive growth and job creation in the sector. It also proposes an organisational structure for managing designation after consultation with existing members of the Network.

York Minster at Night
Image courtesy of Allan Harris ©

A DEFINITION OF MEDIA ARTS_

Media Arts is defined as the integration of new media technologies into creative practice and social exchange.

This includes disciplines such as video games, computer animation, digital and interactive art, sound art, film, television and theatre.

In York, it is an activity partaken in by professional artists, designers, academics, researchers, enthusiasts, the general public and voluntary sector.

Illuminating York 2009
Image courtesy of Allan Harris ©

10 BENEFITS OF DESIGNATION_

Photo courtesy of Bright White

1_ Contemporary culture will be more visibly celebrated and accessible in the city, with new projection points and digital facades

2_ An iconic Digital & Media Arts Centre (DMAC) will be built, blending creative invention, participation and industry

3_ York will benefit from the thought leadership and ingenuity of the world's other leading creative cities as active members of the network

4_ There will be a new drive for sponsorship of media arts events, adding new dimensions to our already-popular festivals

5_ Creative education will be embedded at the heart of the learning experience for all ages, including new overseas residencies and exchanges

6_ York's creative talent will be retained in the city and others will be drawn here as our creative industries thrive

7_ York will recognise and reward its creative talent with an annual awards ceremony, acting as a platform to international markets

8_ York will be a place that promotes the value of diversity of people, ideas, and cultures

9_ York will be known as a place that is inventive, pioneering and surprising – complementing its historical charm

10_ York will be an international crossroads for the world's ideas and creativity once more

WHERE ARE WE NOW?_

For two millennia, York has been the meeting point for the ideas and creativity of the world. Through digital media it is finding itself once more.

The legacy of York's standing as the social capital of the north is all around us: iconic architecture, renowned bookshops, galleries and theatres, world-class museums and archives, and the contemporary interpretation of this heritage for a thriving tourism industry. This melting pot of assets has always cultivated an appetite for education, culture, and self-expression that has allowed the people of York to make a highly distinctive contribution to culture in the UK.

Constantly evolving in its history, York's latest chapter is gathering real pace with creative industries the fastest growing area of its economy. As recently as last month, York's creative artists and institutions received international recognition for a decade's creative endeavour as Illuminating York's joined the Connecting Cities network. Connecting Cities is an exciting global network of digital facades and artists, using media arts to explore urban issues. Through the network, York is linked to partners in other leading creative cities such as Berlin, Sao Paulo, Linz, Istanbul, Brussels, Madrid, Vienna, Montreal, Melbourne, and Helsinki.

These evident strengths in media arts and its supporting technologies allow York to play a part as a centre for new ideas and art forms in the 21st Century, both reaching into the world and drawing the world towards us.

The bid that led to UNESCO designation recognised the driving contribution of media arts to the city's quality of life, the ingenuity of the local economy, high levels of public participation, and the investment in the human capital in our academic institutions. York's creative community is increasingly making its mark abroad through best-selling computer games, new music technology, immersive digital playgrounds, cutting-edge museum interpretation, and by making its cultural and creative output available across boundaries.

With York's economy expected to continue growing, we aim to ensure everybody feels the benefits. Creative activity and economic prosperity has always followed a dedication to social equality and the flourishing of human talent, rooted in the values of the city's famous chocolatiers and philanthropists, the Rowntrees. York's precedent as the UK's first Living Wage City and the York Fairness Commission are embodiments of this commitment, sitting side by side with the values of openness and collaboration empowered by the digital age and the values of UNESCO.

York is excited about the prospect of sharing these experiences and exploring new ideas with the Creative Cities Network. It will also prompt greater cultural collaboration with our regional neighbours such as Hull, Leeds, Sheffield and Bradford.

The quest for UNESCO City of Media Arts designation began with a desire to unlock the city's creative potential and to realise its full value for all. It is now up to us to make it happen.

Photo courtesy of Illuminating York

WHERE DO WE WANT TO GET TO?

Vision

York is to be internationally recognised as a place of outstanding media arts invention and experiences.

Official accreditation is treated as an invitation to become world leaders in the art form and a beacon for the exploration of creative pursuits and professions. It is by doing so that we will truly become a City of Media Arts and feel the benefits of the city's undisputed creative and economic potential.

Particular focus is on giving life to York's new UNESCO designation and achieving the desired outcomes of the Creative Cities Network mission through partnership working. As the city becomes more global in its outlook, York will once more share its cultural influence on the world stage as a birthplace of brilliant new ideas, whilst embracing the innovative thinking of others. This will be visible for all to see as York's streets and famous built heritage come alive through digital artworks and people are given greater access to technology and creative opportunities – be it an interactive front row seat, a place on stage, tools in the workshop, or encouragement in the classroom.

Our 2,000-year standing as a cultural capital will continue as creativity is embedded into the fabric of the city and its development plans, bringing benefits for many future generations.

Illuminating York 2014
Image courtesy of Allan Harris ©

Aspirations

As part of this transformation this plan sets out four major aspirations for York's creative sector:

_ To double the size York's creative economy* from £164.8m to £329.6m by 2025

_ To increase engagement in the Arts** from 50.3% to 75% by 2025

_ To double the proportion of schools in the area with Arts Council Artsmark accreditation from 17% to 34% by 2025

_ To increase the proportion of cultural tourists from 17% to 25%, contributing to a doubling of the value of tourism to York to £1bn by 2025

* Defined as the 'Information and Communication sector' by Oxford Economics
** As reported by DCMS on Active People. Baseline taken from 2010 figures.

HOW WILL WE GET THERE?_

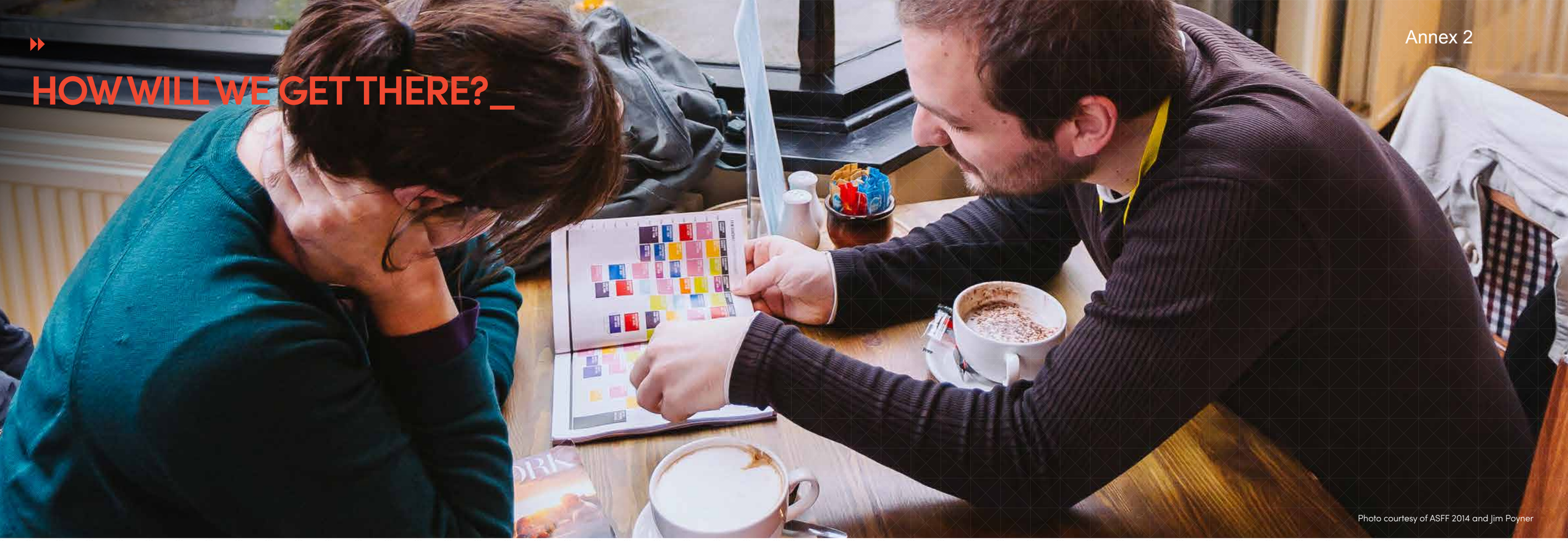


Photo courtesy of ASFF 2014 and Jim Poyner

The Challenge – a situational analysis

Strengths

_ Civic leadership/support
_ Digital & Creative economy growth
_ World-class creative organisations
_ Creative learning & skills development
_ Social innovation and inclusivity
_ Museum and stage interpretation
_ Livestreaming and digital archiving
_ Local and national appeal of festivals
_ Cultural Access & Participation
_ Conferences and symposia
_ Digital infrastructure
_ Media support/influence

Weaknesses

_ Visibility and interactivity of artworks
_ Links with national professional bodies
_ Size and frequency of commissions
_ International networks and exchanges
_ Lack of Media Art awards
_ Accessible media arts venues and production spaces
_ Arts Council funding for media arts in York
_ Perceived red tape for 'bottom up' events

Opportunities

_ New Destination Management Organisation
_ Research & Innovation
_ International exchanges
_ New funding models
_ Joined up cultural programme across full spectrum of creative activity
_ Waterfront as a media arts destination
_ Integration of university assets and efforts
_ Commercial sponsorship
_ Engagement and proximity to existing UK Creative Cities
_ Extend and enhance existing assets

Threats

_ Grow-on space
_ Heritage planning sensitivities
_ Ongoing funding challenges
_ Weight of heritage-led cultural identity
_ Realigning and reprioritising stakeholder initiatives towards City of Media Arts goals

FOUR THEMES

The long-term cultural vision for the city and its immediate priorities as a City of Media Arts follow four themes:

Create
Championing the acts of creation, learning, and expression, whilst cultivating the right conditions for each.

Participate
Refreshing the experience we offer and opportunities to get involved, whoever or wherever you are in the city.

Transform
Balancing the established cultural and economic identity of York with the growing attributes of its digital and creative industries.

Exchange
The discovery of new audiences, ideas and opportunities through better connections to other leading creative cities.

Photo courtesy of ASFF 2014 and Jim Poyner

CREATE_

_ Facilitate better access to new technologies for artists and organisations

_ Stimulate new production spaces and commissions by exploring developer incentives and Section 106 payments

_ Make SME business support more sector-relevant and effective

_ Maximise supply chain opportunities for creative businesses in major national projects

_ Develop a central contact point and incentives for production in the local area, encouraging the use of local talent

_ Recognise and reward creative talent with an annual awards ceremony

PARTICIPATE_

_ Enhance the visibility of media arts in the city as an interruption and enhancement to everyday life with projection points and digital facades

_ Embed creative education at the heart of the learning experience, for all ages

_ Promote the value of diversity of people, ideas, and cultures

_ Redefine event 'excellence', exploring the feasibility of fewer but bigger festivals combining all creative disciplines

_ Boost community enthusiasm and attendance through better communication of contemporary culture

_ Branding the city with a new era of honorary plaques, celebrating artistic dignitaries and landmarks

TRANSFORM_

_ Build an iconic Digital & Media Arts Centre (DMAC), blending creative invention, participation and industry

_ Develop a new narrative for the city in its marketing – as a place that is inventive, pioneering and surprising

_ Ensure a strong creative presence in city development plans, priority business sectors and regional conversations, such as local enterprise partnerships

_ Display cultural leadership by proactively seeking opportunities to champion York's creative industries on the world stage, utilising organisations and individuals already operating internationally

_ Work with industry bodies to develop compelling propositions and priorities for each creative sub-sector

_ Focused targeting to drive inward investment and political lobbying for large-scale infrastructure investments

EXCHANGE_

_ Agree single vision and strategic alliance approach for York's creative industries, leveraging the new centralised agency and point of contact

_ Be active partners in global networks through the exchange of research, ideas, artworks and artist residencies

_ Work in consortia with like-minded organisations in other Creative Cities to bid for major cultural projects and developments

_ Work with UKTI and Creative England to provide support for our creative industries to access new markets

_ Work with neighbouring cities to support creative industries capacity building across the region

_ Expand on the Genius! Platform to channel creative thinking towards new solutions to pan-city issues in the network

_ Offer support to existing and aspirant cities of media arts in areas of strength

MAJOR PROJECTS_

York will build an iconic new Digital & Media Arts Centre (DMAC) blending creative invention, participation and industry

Consultation with local creative companies has found close proximity to one another and demand for grow-on space as the key issues they faced.

In response, York's first major investment will be the creation of a new Digital & Media Arts Centre (DMAC) in a prime city centre location. In a skyline dominated by the Minster for centuries, the Arts Centre and cluster will act as a visible feature of the city's creativity in its landscape.

York's Guildhall and Riverside will provide a world class venue supporting and nurturing the expansion of York's vibrant creative businesses; combining events and exhibition space with state-of-the- art collaboration and co-working facilities, securing a sustainable future for this historic building.

A RIBA (Royal Institute of British Architects) Open Idea design competition has already explored the opportunities afforded by this unique setting, attracting 53 entries from international architectural practices. The shortlist was put to public consultation in 2012 with the winning idea by Rob Loader Architects and partners.

The DMAC is proposed to:

- Provide a base for a new 21st century digital art Guild, continuing the long tradition of craft Guilds in the city.
- Generate new business and jobs, helping established businesses to grow
- Create up to 20,000 sq. ft. of serviced office accommodation and collaboration and project spaces for creative, digital and technology enterprises of all sizes
- Unlock critical business space required to drive growth in the creative business sector
- Improved public access to an iconic historic building and to an enhanced riverside public realm
- Engineer encounters between disciplines to further integrate art, education and recreation
- Enable the city to provide a ladder of progression in which businesses in the creative and media industries can locate, from start-up enterprise, to high growth business
- Create an iconic Media Arts destination venue, contributing to the cultural tourism offer of the City
- Be animated at night with the potential for external digital projections, offering a constant reminder of the city's creativity
- Further demystify the sector for many by showcasing emerging digital technologies and practitioners, and making their activities directly relevant to solving some of the challenges facing the city today
- Lead to the net generation of over a hundred digital and media arts jobs on the assumption that businesses will on average double in size by locating in highly suited grow on space

Image courtesy of Inspired Youth

York will work with other Creative Cities to develop an international programme of cultural festivals showcasing Media Arts

The overall aim is to double the value of tourism to York over the next ten years, representing £1bn of economic activity and a further 2000 jobs. The York Annual Visitor Survey suggests that 17% can be described as purposive cultural tourists who come to York specifically because of its cultural offer, whilst, only 4% reference a specific festival or event. Making our contemporary cultural sector more visible through festivals will rebalance 'heritage York' to include 'creative York' and attract new target markets.

As a UNESCO City of Media Arts, York would work with other members of both the Creative Cities and Connecting Cities networks to contribute a calendar of international festivals and thought leadership conferences for media arts. These could include:

- **An international symposium** to coincide with the 10th anniversary of Illuminating York festival in 2015, working with counterparts from Lyon's Fête des Lumières, Bains Numeriques, and Sapporo's International Arts Festival.
- **Connecting Cities events**, transforming the network of media facades and urban screens into community platforms to create dialogue and connect communities virtually with the other places
- **Connecting Cities Salons**, bringing together experts and enthusiasts to explore topics over social media.
- **Connecting Cities Labs**. Preparatory events for artists, curators and citizens to meet and exchange their practices and develop the curatorial vision for future projects.
- **Competitions and challenges**, encouraging artistic scenarios that encourage creative exploration and provide new ways to connect with York.

There is also significant opportunity to improve the coordination and coherence of York's cultural offer amongst local partners. This should include pooling resources to form an event of international standing, as evidenced by existing Creative Cities. For example, the **Sapporo International Art Festival** 2014 (SIAF2014) - the city's first international art festival - was held as part of its Creative City celebrations over a period of 72 days from Saturday, July 19 to Sunday, September 28, under the stewardship of Guest Director and globally renowned artist Ryuichi Sakamoto. The theme of the event was City and Nature, providing opportunities for visitors to explore the concept of nature, cities, economy and lifestyles and to find out more about how cities can coexist with nature based on a reassessment of urban and environmental issues in Sapporo/ Hokkaido, Japan, and the region's history in the context of arts.

Closer to home, **Liverpool Biennial** is the largest international contemporary art festival in the United Kingdom, running for ten weeks, every two years. Since its launch in 1999, the Liverpool Biennial has commissioned over 200 new artworks. Nine hundred artists participate in each festival and its fringe. On average, the biennial attracts over 600,000 visitors over 10 weeks.

York Mystery Plays 2012
Image courtesy of Allan Harris ©

HOW WILL WE MANAGE DESIGNATION?_

It is deemed critical that the connectivity, inclusivity and expertise of the bidding vehicle – York@Large – is carried over to delivery body. It is also important the delivery body is in a strong position to facilitate partnership working for York to fully embrace designation and thrive as a Creative City.

In the process of researching the optimum mechanism for the strategic direction and day-to-day delivery of York's objectives as a City of Media Arts, we have consulted every existing UK Creative City.

Official Office

Recommendation is for the creation of an official office of designation under the custodianship of York's new Destination Management Organisation 'Make it York'. The Office would consist of a management team of two positions (one senior, one junior) tasked with the management, promotion and development of 'York UNESCO City of Media Arts' and the city's objectives for accreditation.

Posts are filled either by direct recruitment by Make It York or secondment from partner organisations.

Supported by wider functions of Make it York such as Press Relations, Economic Development and Marketing, the structure has the capacity and accountability to do the job.

The management team will work with Make it York to develop an ongoing business model for the Office.

National Railway Museum, Illuminating York, image courtesy of @roywilliam

Image courtesy of John Saunders

Board

A board will form and review the strategic direction of the Office. Meeting four times a year, its 6-8 members will include broad representation of creative practitioners and organisations, public, community, education and private sectors, tourism bodies, property development and media. It will also blend experience with youth following an inclusive recruitment campaign.

The Board will be refreshed every three years.

Collaboration Group

A wider Collaboration Group will channel the strengths and energy of both the public and private sectors towards these objectives. Less formal in structure, it will be representative of the mix of practitioners, organisations and audiences contained in the bid and act as an important gateway to community enthusiasm and participation.

Business Plan

A full business plan, including targets, will be developed by Make It York within three months of designation.

There are not currently any joining or membership fees associated with UNESCO designation and the Creative Cities network, or the Connecting Cities network.

HOW WILL WE MEASURE SUCCESS?

Key Objectives
The Office will identify key performance indicators and targets for the main objectives for designation. It is recommended that the socio-economic impact is tracked by existing city measures for competitiveness, employment, and investment and community participation in the arts.

Finances
The financial performance and accountability of the office will be the direct responsibility of Make It York.

Annual report
Consistent with existing Creative Cities, it is recommended that York UNESCO City of Media Arts Office publish an annual report detailing its ongoing activities and accomplishments, an operating and financial review, and performance against key objectives.

Implementation Report
UNESCO may request an Implementation Report from Member Cities that includes details of initiatives undertaken, outcomes, key learnings and programme evaluation. Elements of the Implementation Report include but are not limited to:

_Details of participants: how many? Who? From where?
_Financial and VIK budget for initiatives
_Outcomes as related to stated objectives
_Key learnings and next steps

Major Projects
The Office will also be expected to provide Make It York and key stakeholders with regular management information on the progress of individual major projects. To facilitate this and embed a culture of learning, the Office is expected to develop a standard monitoring and evaluation framework for major projects.

Wherever possible, all of the above should be published in the public domain.

Photo courtesy of James Gunn

THE CREATIVE CITIES NETWORK

Mission Statement
York's mission statement for membership to the Creative Cities Network:

York will be a place where creativity defines the future understanding and enjoyment of our heritage

York will be a meeting place of ideas, creativity and innovation for the next millennia

York will be a place where media arts helps define the quality of life for our future generations

Membership to the Creative Cities Network will be a catalyst for new experiences, connections and initiatives reaching our entire city population and contributing to international understanding of the power of media arts to improve the lives and wellbeing of our citizens.

Partnerships
The objectives of the Creative Cities are implemented through partnerships in the following areas:

1_ **Pilot projects:** initiatives that demonstrate the importance of creativity as a key to development.

2_**Promoting good practices:** exchanges on projects and measures of proven efficiency and effectiveness.

3_**Studies:** research, analysis and assessment of the creative cities experience.

4_**Meetings:** consultations, gatherings and virtual conventions.

5_**Cooperation programmes:** North-South, South-South and North-South-South initiatives to support member cities in need of assistance.

6_**Training and capacity building:** Exchange of interns, trainees and educational modules.

7_**Policy measures:** initiatives linked to local and/or national development plans.

Obligations
Beyond the opportunities for collaboration and cooperation with other member cities, York is required to attend annual network meetings with the representatives of member cities. The main objective of these meetings are to:

_exchange updated information of each city's recent activities;

_discuss the network's communication strategy and operations;

_agree upon important matters related to future developments of the Network.

Physical meetings have been held in Paris 2008 (UNESCO HQ), Santa Fe 2008, Lyon 2009, Shenzhen 2010, Seoul 2011, Montréal 2012, Bologna 2013, Chengdu 2014.

In addition, international Conferences are held in association with the Creative Cities Network. Organised as major discussion forums with a wide range of inter-sectoral stakeholders, the conferences demonstrate the Network's international and multidisciplinary character incorporating cross-cutting themes related to global concerns such as creative governance, creative economy and sustainable development. The conferences also serve as platforms fostering knowledge sharing and exchange of good practices as well as promoting partnership opportunities.

Members are also expected to partake in sub-network initiatives and different forms of collaborative platforms to strengthen the common basis for cooperation.

A new digital platform was recently launched to facilitate instantaneous communications among the Network.

www.unesco.org/new/en/culture/themes/creativity/creative-cities-network

CONNECTING CITIES

In October 2014, York was accepted into the growing media arts network Connecting Cities, with Illuminating York as associated partner.

Connecting Cities is an exciting global network of digital facades and artists, using media arts to explore urban issues and open up dialogue on a local and translocal level. Supported by the Culture Programme of the European Union, the network also pursues an artistic research and exchange programme that combines workshops and conferences with the production of interactive artworks, which go on display across member cities.

Through the network, York is linked to partners in other leading creative cities such as Berlin, Sao Paulo, Linz, Istanbul, Brussels, Madrid, Vienna, Montreal, Melbourne, and Helsinki.

CONNECTING CITIES

Obligations
Membership of the Connecting Cities network comes with a commitment to:

_share the vision of Connecting Cities
_bring in your infrastructure as part of a worldwide networked infrastructure of urban screens, media facades and digital projections
_become part of the Connecting Cities website and social media platforms use the Connecting Cities logo and PR tools
_share your urban media activities in the Connecting Cities newsletter
_inform regularly the CC Initiator about your networking activities with CC Partners and provide information material for the documentation

Participating in Connecting Cities activities involves a commitment to:

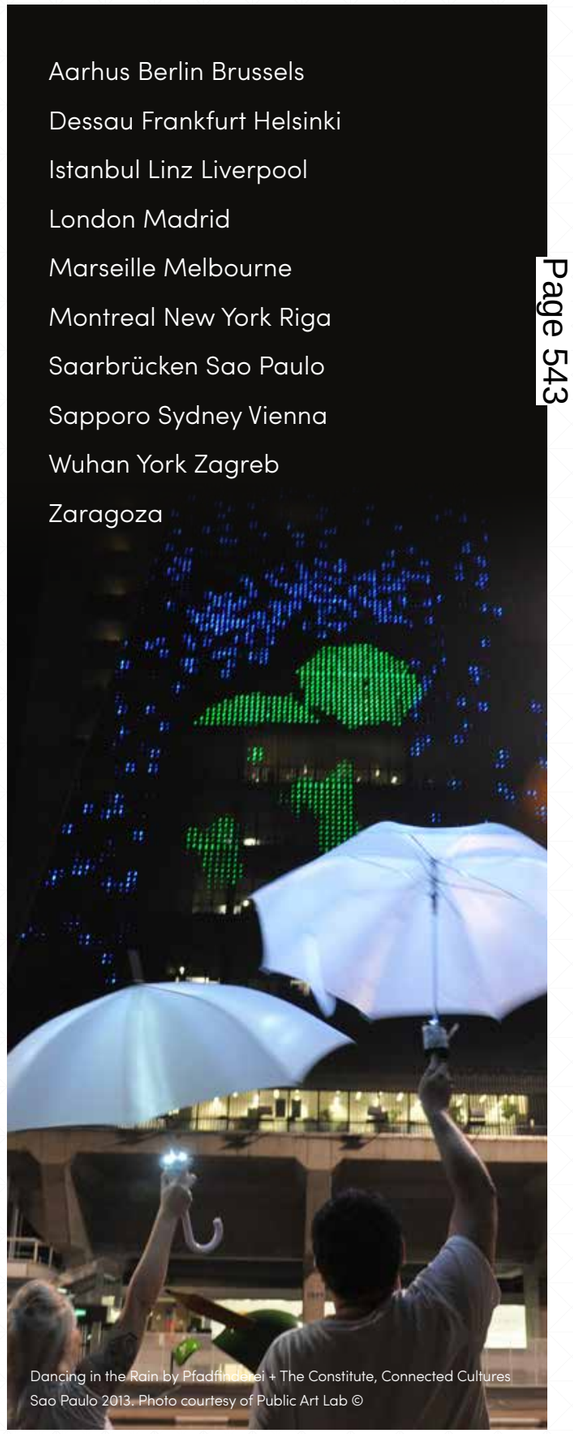
_organise a Connecting Cities Event
_present Connecting Cities Projects*
_bring in urban media projects for the Connecting Cities Network
_host a Connecting Cities Lab*
_create a programme for a Connecting Cities Conference
_organise an Urban Media Kitchen or Connecting Cities Salon to build local network, audience and PR
_invite CC Initiator for key note speech*

As active members of the network, York is expected to comply with at least one of the activities listed above and which is marked with an asterisk(*). As a new partner, York has to implement the activity(ies) within two years after the joining date of October 2014.

Artistic Theme
The curatorial theme for 2015 is InVISIBLE and VISIBLE Cities. Curating and funding 10-15 projects across the year, Connecting Cities are calling artistic scenarios to visualise the data that underpins our everyday lives. York is encouraged to create its own local programmes within the theme, tailored to our needs and circumstances.

connectingcities.net

Aarhus Berlin Brussels
Dessau Frankfurt Helsinki
Istanbul Linz Liverpool
London Madrid
Marseille Melbourne
Montreal New York Riga
Saarbrücken Sao Paulo
Sapporo Sydney Vienna
Wuhan York Zagreb
Zaragoza



Dancing in the Rain by Pfadfinderei + The Constitute, Connected Cultures Sao Paulo 2013. Photo courtesy of Public Art Lab ©

BRANDING

It is recommended that the 'Media City York' branding for the bid campaign is replaced with official accreditation assets.

Official logo

Membership in the Creative Cities Network grants, under certain circumstances, the right to use the official logo, composed of both UNESCO's graphic logo (the 'temple') and the city's own Creative City identity graphic. The regulations for the use of this logo are very strict.

Communication materials featuring the UNESCO Creative City logos that are produced by events and project organisers must include a disclaimer such as: "[name of the organiser] is responsible for the choice and the presentation of the facts and opinions in this [name of the document], which are not necessarily those of UNESCO and do not commit the Organisation".

The UNESCO Creative City logos must not be used for commercial purposes. The sale of goods or services bearing the UNESCO Creative Cities name and logo for profits is considered to be commercial, and thus is not allowed.

An electronic file of the logo will be sent to the designated city by UNESCO.

Connecting Cities

The network has provided access to communication materials and tools including, but not limited to, logo, concept, artists' description, business cards, press materials, templates, videos, etc.

The Connecting Cities logo must be used on the promotional material of any network activity.

Brand Guidelines

To build and maintain the integrity of the York City of Media Arts brand, clear guidelines will be developed. They will be designed for use by the official Office primarily and external parties on receiving permission.

KEY STAKEHOLDERS_

_York@Large
_York's creative community
_Creative Cities Network
_Connecting Cities network
_The UK National Commission for UNESCO
_Key institutions in the region's public and private arena
_National professional bodies for the creative industries

Photo courtesy of ASFF 2014 and Jim Poyner

cityofmediaarts.com

Cover Photo Credit
Matt Beard
© Cirque du Soleil

Design by
LazenbyBrown
York

Cabinet **16 December 2014**

Report of the Cabinet Leader

LORD MAYORALTY 2015/16

Summary

1. The purpose of this report is to ask Cabinet to consider the points system for the annual nomination of the Lord Mayor for the City of York Council and confirm that the Group with the most points under that system should be invited to appoint the Lord Mayor for the coming municipal year, 2015/2016.

Background

2. Members will be aware that the system for nominating the Lord Mayor is based on an accumulation of points determined by the number of seats held by each particular group on the Council. The party having the largest cumulative total of points on Lord Mayor's Day each year is invited to nominate the Lord Mayor for the following year. A party loses 47 points when nominating the Lord Mayor. It should be noted that a nominee for Lord Mayor requires at least five years' service as a City of York Councillor.

3. Under the system, a party which loses all its seats on the City Council may have any accumulated points frozen until seats are once again gained by that party on the Council.

4. Under the current points system, the number of points accumulated by each party is as follows:

PARTY	POINTS ACCUMULATED AT AGM – MAY 2013	LOSS FOR LM	POINTS ACCUMULATED AT AGM – MAY 2014
Labour	26		26 + 24 = **50**
Lib Dem	-3		-3 + 9 = 6
Green	22		22 + 2 = 24
Conservatives	32	-47	32-47 + 9 = - 6
Independent (Cllr Warters)	3		3 + 1 = 4
Independent (Cllr Wiseman)	1		1 + 1 = 2
Independent (Cllr Watson)	0		= 1
Independent Labour (Cllr King)	0		0
Independent Labour (Cllr Scott)	0		0

5. The above table shows that the Labour Group with a total of **50** points will qualify for the Lord Mayoralty in 2015/2016.

6. In May 2015, there will be Unitary and Parliamentary elections in York and clearly any nominee for the position of Lord Mayor in the ensuing Municipal Year is dependent upon that person being returned as a Councillor. In the event of the nominee (Lord Mayor Elect), not being returned to Council after the May elections, naturally Council would need to agree alternative arrangements.

7. Traditionally, the Outgoing Lord Mayor assumes the mantle of Deputy Lord Mayor the following year. Again, if the outgoing Lord Mayor is not returned as a Councillor following the District elections in May next year, then the last Lord Mayor re-elected as a Councillor would become Deputy Lord Mayor.

Consultation

8. The political groups are aware that this is the process usually applied to select the mayoralty for the year ahead. Beyond this, there is no specific need for consultation.

Options

9. The options available for consideration are either to invite the Labour Group to nominate the Lord Mayor for the municipal year 2015/2016 or to consider reviewing the points system currently adopted for nominations.

Analysis

10. The nomination of a Lord Mayor is an annual event which is undertaken by way of a points system to ensure a fair and robust outcome. If Members wish to make changes to this process they would need to consider the development of a new process, which would require the approval of Council as a change to a previously agreed procedure.

Council Plan 2011-2015

11. The appointment of the Lord Mayor forms part of the Council's civic leadership and assists in the improvement of leadership at all levels, which contributes to one of the Plan's core capabilities in providing a confident and collaborative organisation.

Implications

12. There are no specific direct implications in relation to financial, human resource, legal or equalities arising from the recommendations in this report, which is concerned with the process for and invitation to nominate for the appointment of a Lord Mayor.

Risk Management

13. Failure to appoint a Lord Mayor in the second most traditional city outside of London could have a significant impact on the Council's reputation in terms of maintaining its civic heritage. It is important that an equitable and robust system is applied to the nomination process.

Recommendations

14. Members are asked to invite the Labour Group to nominate the Lord Mayor for 2015/2016, in line with the existing accumulated points system.

    Reason: To ensure that the Council secures the necessary leadership to undertake its civic functions and provides continuity for future selection.

Contact Details

<table>
<tr><td>Author:</td><td colspan="4">Cabinet Member and Chief Officer Responsible for the report:</td></tr>
<tr><td rowspan="2">Anne Platt
Civic Service Co-ordinator
Civic Services
Tel No. 01904 551011</td><td colspan="4">Councillor James Alexander, Cabinet Leader

Andrew Docherty
Assistant Director, Governance and ICT</td></tr>
<tr><td>Report Approved</td><td>√</td><td>Date</td><td>1 December 2014</td></tr>
<tr><td colspan="4">Wards Affected: All</td><td>√</td></tr>
<tr><td colspan="5">For further information please contact the authors of the report</td></tr>
</table>

Background Papers/Annexes: None