

Mission Statement

To Improve the Quality of Life
For Those Who Live and Work in The District

20 September 2010

Dear Councillor,

You are hereby invited to a meeting of the **Policy and Resources Committee** to be held in Committee Room 2, Civic Centre, Portholme Road, Selby on **Tuesday 28 September 2010** commencing at **4.00pm**.

Agenda

1. Apologies for Absence and Notice of Substitution

To receive apologies for absence and notification of substitution.

2. Disclosure of Interest

To receive any disclosures of interest in matters to be considered at the meeting in accordance with the provisions of Section 117 of the Local Government Act 1972, and Sections 50, 52 and 81 of the Local Government Act 2000 and the Members' Code of Conduct adopted by the Council.

3. Minutes

To confirm as a correct record the minutes of the proceedings of the meeting of the Policy and Resources Committee held on 27 of July 2010 (pages 6 to 10 attached).

4. Chair's Address to the Policy and Resources Committee

5. ICT Strategy Working Group Minutes

Minutes of the ICT Strategy Working Group held on 7 July 2010 and 1 September 2010 (pages 11 to 16 attached).

6. The Revised Constitution Task and Finish Group

Minutes of the Task and Finish Group held on 29 July 2010 (pages 17 to 19 attached).

7. Discretionary Rate Relief Panel

Minutes of the meeting held on 29 June 2010 (pages 20 to 21 attached).

**8. Minutes of Local Development Framework Task and Finish Group
2 September 2010**

Minutes of the Task and Finish Group held on 2 September 2010 (pages 22 to 24 attached).

9. ICT Infrastructure Upgrade

Report of the Head of Service –Customers and Business Support (pages 25 to 29 attached).

10. Shared IT Service Business Case

Report of the Head of Service –Customers and Business Support (pages 30 to 37 attached).

11. Craven, Harrogate and Selby Concordat

Report of the Deputy Chief Executive (pages 38 to 55 attached).

12. Performance Indicator Report: April 2010-July 2010

Report of the Head of Service - Finance (pages 56 to 62 attached).

13. Budget Exceptions to 31 July 2010

Report of the Head of Service - Finance (pages 63 to 77 attached).

14. Strategic Programme Performance Update: April-August 2010

Report of the Head of Service - Finance (pages 78 to 91 attached).

15. Treasury Management Monitoring Report to 30 June 2010

Report of the Head of Service - Finance (pages 92 to 102 attached).

16. Annual Governance Report

Report of the Audit Commission - To Follow.

17. The Introduction of a Petition Scheme for Selby District Council

Report of the Head of Service - Customers and Business Support (pages 103 to 120 attached).

18. Children and Vulnerable Adults Safeguarding Policy and Procedures

Report of the Head of Service - Partnerships and Commissioning (pages 121 to 152 attached).

19. Joint Procurement Strategy

Report of the Head of Service – Partnerships and Commissioning (pages 153 to 172 attached).

20. Planning Service Collaboration with Craven District Council

Report of the Deputy Chief Executive (pages 173 to 176 attached).

21. Pre Application Planning Advice and Charges

Report of the Head of Service - Development Services (pages 177 to 192 attached).

22. Referrals from Other Boards and Committees

To consider as necessary referrals from Social Board on 21 September 2010.
More details to follow.

23. Private Session

That in accordance with Section 100(A)(4) of the Local Government Act 1972, in view of the nature of the business to be transacted, the meeting be not open to the Press and public during discussion of the following item as there will be disclosure of exempt information as defined in Section 100(1) of the Act as described in paragraph 7 of Part 1 of Schedule 12(A) of the Act.

24. St Richards Chapel

Report of the Solicitor to the Council (pages 193 to 198 attached)

25. Tadcaster Office 5 Westgate

Report of the Strategic Director (pages 199 to 201 attached).

26. Tadcaster Central Area Car Park

Report of the Strategic Director (pages 202 to 208 attached).

Report for Information

1. Human Resource Indicators

A copy of this report is available in the Members' Room.

S Martin
Strategic Director

Disclosure of Interest – Guidance Notes:

- (a) Councillors are reminded of the need to consider whether they have any personal or prejudicial interests to declare on any item on this agenda, and, if so, of the need to explain the reason(s) why they have any personal or prejudicial interests when making a declaration.
- (b) The Democratic Services Officer or relevant Committee Administrator will be pleased to advise you on interest issues. Ideally their views should be sought as soon as possible and preferably prior to the day of the meeting, so that time is available to explore adequately any issues that might arise.

Date of Meeting
14 December 2010
1 February 2010
24 March 2010

Membership of the Policy and Resources Committee 11 Members

Conservative	Labour
M Crane (Chair)	W Nichols
B Percival (Vice-Chair)	R Packham
E Casling	S Shaw-Wright
D Fagan	
G Ivey	
M Jordan	
J Mackman	
C Metcalfe	

Enquiries relating to this agenda, please contact Glenn Shelley on:
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SELBY DISTRICT COUNCIL

MINUTES

Minutes of the proceedings of a meeting of the Policy and Resources Committee held on 27 July 2010, in Committee Room 2, The Civic Centre, Portholme Road, Selby, commencing at 4.00pm.

159	Apologies for absence
160	Disclosure of interests
161	Minutes
162	Chair's Address to the Policy and Resources Committee
163	Minutes of Core Strategy Task and Finish Group
164	4 th Local Development Scheme 2010 - 2013
165	Gypsy and Traveller Accommodation Assessment
166	North Yorkshire Accommodation Requirement of Showmen

Present: Councillor M Crane in the Chair

Councillors: D Fagan, Mrs G Ivey, M Jordan, J Mackman, Mrs E Metcalfe (substitute for B Percival), Mrs W Nichols and R Packham.

Officials: Chief Executive, Deputy Chief Executive, Strategic Director, Head of Service – Finance, Head of Service – Development Services, Solicitor to the Council, Principal Planning Officer, Development Policy Manager and Democratic Services Manager.

Press 0
Public 6

159 **Apologies for Absence and Notice of Substitution**

Apologies were received from Councillor B Percival and S Shaw-Wright.

Substitute Councillor was Mrs E Metcalfe (for Councillor B Percival).

160 **Disclosures of Interests.**

None were disclosed.

161

Minutes

Resolved:

That the minutes of the proceedings of this Committee held on 13 of July 2010 be confirmed as a correct record and be signed by the Chair.

162

Chair's Address to the Policy and Resources Committee

The Chair gave no address.

163

Minutes of Core Strategy Task and Finish Group

Councillors received the minutes of the Core Strategy Task and Finish Group held on 30 June and 7 July 2010.

Councillor J Mackman put forward an amendment to the recommendation II(ii) as follows:

(ii) amending Policy CP1 to provide more clarity about the types of residential development that will be acceptable, in principle within development limits, in different settlement types as follows:

- principal town, local service centres and designated service villages – conversions, replacement dwellings, development / redevelopment on previously developed land and appropriate scale development on greenfield land (including conversion of farmsteads)
- secondary villages - conversions, replacement dwellings, sensitive development / redevelopment on previously developed land and 'filling of small linear gaps in otherwise built up frontages' on greenfield land and conversion of farmsteads.

and maintaining the requirement to protect local amenity and character of the area. Appropriate scale to be assessed by considering the density, character and form of the local area.

Officers are instructed to consult on the proposed change to Policy CP1 and an interim policy statement.

Resolved:

That the recommendations set out in the minutes but subject to the above amendment, be approved and adopted.

4th Local Development Scheme 2010 – 2013

The Principal Planner – Local Development Framework (LDF) presented the report which asked Councillors to consider the programme of Local Development Documents to be included in the fourth revised Local Development Scheme (LDS).

The Committee were informed that the Council was required to keep the LDS under review.

Resolved:

- i) That the revised programme of Local Development Documents for 2010-2013 be approved; and**
- ii) That the Principal Planner (LDF), in consultation with the Chair of Policy and Resources Committee, be authorised to make any necessary amendments to the LDS.**

Gypsy and Traveller Accommodation Assessment

The Strategic Director presented the report which outlined local authorities' responsibilities towards Gypsies and Travellers and sought direction from Councillors in both estimating and meeting the need for Gypsies and Travellers in Selby District.

The Strategic Director reminded Councillors that on the 6 of July 2010, the Secretary of State announced the immediate revocation of Regional Strategies. Local authorities would be responsible for determining the right level of site provision, reflecting local need and history.

Councillor Ivey proposed two recommendations, as set out below:

- i) Councillors agree to receive the Gypsies and Travellers Accommodation Assessment (GTAA) report by arc4. However in light of the Secretary of State's statement on 6 July, Councillors' have considered the findings included in this document as a indicative starting point and have therefore taken into account both historic and local considerations.

- ii) Council considers that the demonstrated need in Selby district is for 7 pitches, however to allow for growth Officers are instructed to identify a site for 10 pitches as part of the Local Development Framework.

Councillor Packham put forward an amendment: That Policy and Resources Committee delayed making a decision until further work was completed. The amendment was seconded.

Amendment lost.

Motion carried.

Resolved:

- i) **That, Councillors agree to receive the Gypsies and Travellers Accommodation Assessment (GTAA) report by arc⁴. However in light of the Secretary of State's statement on 6 July, Councillors' have considered the findings included in this document as a indicative starting point and have therefore taken into account both historic and local considerations.**
- ii) **That, Council considers that the demonstrated need in Selby district is for 7 pitches, however to allow for growth Officers are instructed to identify a site for 10 pitches as part of the Local Development Framework.**

166

North Yorkshire Accommodation Requirement of Showmen

The Strategic Director presented the report which outlined local authorities' responsibilities towards Showmen and sought direction from Councillors in both estimating and meeting the need for Showmen in Selby District.

The Strategic Director provided a brief summary of the research that had taken place examining the accommodation needs of Showmen across North Yorkshire. The Committee was again reminded of the Secretary of State's recent statement revoking Regional Strategies.

Councillor Ivey proposed two recommendations as set out below:

- i) Councillors agreed to receive the Showmen report by arc⁴ (December 2009). However in light of the Secretary of State's statement on 6 July, Councillors' have considered the findings included in this document as a indicative starting point and have taken into account historic and local considerations.
- ii) Council concludes there is no local or historic demonstrated need for a permanent site for showmen in Selby District and therefore no provision for this use is to be included in the Local Development Framework documents.

Councillor Packham put forward an amendment: That Policy and Resources Committee delayed making a decision until further work was completed. The amendment was seconded.

Amendment lost.

Motion carried.

Resolved:

- i) That, Councillors agreed to receive the Showmen report by arc⁴ (December 2009). However in light of the Secretary of State's statement on 6 July, Councillors' have considered the findings included in this document as a indicative starting point and have taken into account historic and local considerations.**
- ii) That, Council concludes there is no local or historic demonstrated need for a permanent site for showmen in Selby District and therefore no provision for this use is to be included in the Local Development Framework documents.**

The meeting closed at 5:18 pm.

**ICT Strategy Working Group Meeting
7 July 2010
4.00pm**

MINUTES

Present

Councillors: Councillor J Cattnach
Councillor D Davies
Councillor M Jordan
Councillor N Martin
Councillor C Pearson

Officials: Jonathan Lund Deputy Chief Executive
Karen Iveson Head of Service – Finance
Gary Molnár eGovernment Manager

In Attendance: Amy Wilson Democratic Services Support Assistant

1 Apologies for Absence

Apologies for absence were received from Councillor David Fagan.

Action

2 Minutes

The minutes of the previous meeting held on the 17 March 2010 were confirmed as a true and correct record.

3 Matters Arising

The length of time taken to back up the current Planning system was discussed. The eGovernment Manager advised that the introduction of new data storage technology as part of the virtual server implementation opens up the possibility of data being mirrored as it is stored and reduce the need for the Public Access system to be offline. This will be considered as part of the virtualisation technical study.

The eGovernment Manager asked members if they had looked at the new Consultation online. Members stated that they had.

4 Out of Office email

A discussion took place regarding a report on out of office email. The report highlighted that the out of office function is currently not available to those outside the internal email network and so may have caused issues in some instances for councillors, partners, contractors and customers who have emailed officers from external email accounts.

The eGovernment Manager stated that the consultant that had

originally installed the email system had advised IT not to broadcast out of office replies to external users as it could increase the risk of spam emails received and also increase the risk of burglary related crime. Councillor Cattanach stated he did not feel that these factors were a significant risk and suggested that information can be gained from other authorities that use the out of office facility externally.

The eGovernment Manager advised that there are two levels of spam protection in place to reduce the amount of spam received by officers.

Recommended to Policy and Resources Committee:

That automated out of office replies be activated for external broadcasting.

5 Use of Electronic Communication within the Council

A discussion ensued with regards to the use of electronic communication within the council.

Councillor Cattanach made reference to several items of correspondence that he had received recently and that he believed should have been sent via electronic communication. He stated that if all departments considered this issue more seriously it would help the council to save money on postage costs.

The Deputy Chief Executive stated that this issue would be investigated and fed back to the ICT Strategy Working Group. He asked that in return members of the group should speak to fellow councillors regarding this issue and encourage them to also use the email system frequently.

Councillor Cattanach stated that as 40 of the 41 Councillors have email access these Councillors should be checking their emails as often as they check their post in order to keep up to date. It is Council policy that they do so, fully endorsed by Full Council.

6 ICT Decant Project Update

The eGovernment Manager gave an update on the ICT Decant Project for the move to the new Civic Centre.

The Deputy Chief Executive stated that a final decision about the date that the council is moving to the new building will be decided in August 2010. This will be a fixed date as specialist resources are needed for the process of the move.

7 Virtualisation of Servers

**JL/ All
Councillors**

The eGovernment Manager presented a report due to go to Policy and Resources Committee on Tuesday 13 July for the approval of councillors to go ahead with the proposed virtualisation of the Council's servers.

The eGovernment Manager reported that there would be many benefits arising from the virtualisation of servers including a need for less accommodation space, a reduction in power consumption and less back up issues.

The eGovernment Manager stated that the key benefit of virtualising servers is that it will provide a foundation to enable new and more efficient ways of working. It aims to facilitate easier working with partners, remote hosting in an external data-centre environment, reduce dependence on high level ICT skills on site and lower technology replacement therefore refreshing costs.

Councillor Martin questioned whether there would be a need for specialised skills in the case of the servers going down. The eGovernment Manager stated that these skills would be available in this case and also informed members that he is in touch with Craven District Council who are currently in the process of the virtualising of their servers.

Recommended to Policy and Resources Committee:

That the 'Virtualisation of Servers' report be approved.

The meeting closed at 4.55pm

**ICT Strategy Working Group Meeting
1 September 2010
4.00pm**

MINUTES

Present

Councillors: Councillor J Cattanach
Councillor M Jordan
Councillor N Martin
Councillor C Pearson

Officials: Jonathan Lund Deputy Chief Executive
Janette Barlow Head of Service - Customer & Business Support
Karen Iveson Head of Service – Finance
Gary Molnár eGovernment Manager
Robert Mackin Computer Manager
In Attendance: Suzanne Collins Democratic Services Support Assistant

1 Apologies for Absence

Action

Apologies for absence were received from Councillor D Davies and Councillor David Fagan.

2 Minutes

The minutes of the previous meeting held on the 7 July 2010 were confirmed as a true and correct record.

3 Matters Arising

Councillor Cattanach highlighted a positive meeting that he had participated in concerning the use of email instead of post. He explained that different departments within Selby District Council had been made aware of how Councillors are able to receive agendas and information via email.
Any problems with individual Councillors receiving communication via email should be reported back to either Councillor Cattanach or Councillor Packham, dependant on their political representation.

Councillor Cattanach asked for a brief overview of the Virtualisation of servers prior to the full update in Item 3.

The eGovernment Manager explained that the Virtualisation of Servers report had been taken to the Policy and Resources Committee on 13 July 2010 but the committee had asked for it to be resubmitted with additional information.

Since the committee meeting, a technical study had been carried out and more detailed budget figures were available for the

revised report. The Chair of Policy and Resources is to be briefed on the report on 9 September 2010 prior to the next meeting of the Policy and Resources Committee on 28 September 2010. The report is due to be heard at Full Council on 26 October 2010.

4 ICT Decant Project update

The eGovernment Manager explained that the availability of the new Civic Centre had been confirmed for 27 May 2011, and the authority as a whole will start working in the building as of the 1 August 2011. He continued by stating that plans and resources for this move are currently being formalised and that these dates are fixed and will not be changed due to the specialist resources required.

5 Craven Partnership update

An update was provided by the Computer Manager regarding a number of meetings that have taken place with Craven District Council.

It was explained that Craven District Council had initially asked Selby District Council to provide first line ICT support due to staffing issues, however discussions ensued around the merging of the two authorities ICT departments. The business case is currently being written and it is thought that a saving of around £165,000 would be made from an initial merger with more far reaching savings over time.

It was stated that ideally the shared service should be in place by March 2011 as Craven District Council is relocating to new offices in April 2011 and SDC is relocating in August 2011. Any delay beyond March 2011 would necessitate a postponement in the proposed merger until October 2011 at the earliest.

6 AOB

Councillor Jordan asked what would happen to the old ICT equipment.

The Deputy Chief Executive stated that Wakefield Metropolitan Council has employed a contractor to dispose of old equipment and Selby District Council has expressed an interest in working with them. The contractor disposes of or recycles the equipment and returns any funds raised to the authority.

The Computer Manager explained that Selby District Council currently has a contract with a waste disposal company and although it does not benefit the authority financially it does mean that waste disposal regulations are complied with, data is secured

and as much as possible is recycled.

The Computer Manager agreed that anything of value should be sold back to second-hand ICT equipment firms but due to the fact that most of the equipment leaving the authority is over five years old, this may be difficult.

Councillor Jordan also asked whether or not the current issues with website downtime and accessing Planning details online would be resolved with virtualisation and shared services.

The Computer Manager confirmed that virtualisation should minimise access inconvenience. It was explained that if a partnership with Craven was to go ahead, data would be stored on two sites therefore the Public Access Service on the website would not need to be taken down in order to secure the data.

The meeting closed at 4.35pm

SELBY DISTRICT COUNCIL
MINUTES

Minutes of the proceedings of a meeting of the Proposed Revised Constitution Task and Finish Group held on **29 July 2010** at The Civic Centre, Portholme Road, Selby, commencing at 4.00pm.

Councillor E Casling
Councillor M Crane
Councillor D Fagan
Mr J Lund (Deputy Chief Executive)
Mr D Jones (Manager of Development Management)
Mrs A Haller (Assistant to the Chief Executive)
Mr G Shelley (Democratic Services Manager)

1. Planning Delegations

The meeting discussed the Planning Delegations as outlined in the proposed Constitution.

The Deputy Chief Executive outlined the principle behind the proposed Planning Delegations. The delegations put forward were broader than those currently in place. Decisions were to be delegated to officers unless the application met one or more of a set of limits, controls and conditions. These criteria would ensure that Planning Committee and not officers would determine the most important and controversial applications.

The shift in delegated powers would help bring the Planning Department into line with the best performing Planning sections nationally.

The Task and Finish Group discussed the list of conditions which would trigger the need to refer an application to Planning Committee.

In an amendment to the proposed delegations, the Task and Finish Group asked that ward Councillor(s) have the power to refer any application to Planning Committee, subject to setting out valid material planning reasons for doing so.

Consideration was given to the number of letters of representation from interested parties, setting out material planning considerations, required to trigger consideration by Planning Committee. It was decided to keep the proposal of 10 letters.

Councillors agreed that a point i) of the Limits, controls and conditions the word 'Statement' should be replaced with 'Assessment'.

The Task and Finish group decided that the word 'major' should be deleted from point ii) and the words 'major and minor' from point iii) of the

list of conditions. These should now read:

- ii) Any application which is defined as a significant departure from the adopted development plan as identified in planning circular 02/09 or in any successor document and where officers wish to approve the development.
- iii) Any applications which are recommended to be approved contrary to the requirements of the Development Plan.

Overall Councillors accepted that the limits and controls in place were sufficient and would concentrate the work of Planning Committee on the most important applications.

Recommended to Policy and Resources Committee:

That the above points are taken into consideration in revising the proposed Constitution.

2. Executive Procedure Rules

The Task and Finish Group discussed the Executive Procedure Rules.

It was agreed to examine the requirement for the Leader to provide the addresses of Councillors to form the Executive when presenting a report at Annual Council. It was also clarified that provision for joint working with other local authorities was made 1.4 (v).

It was clarified that the Leader would only appoint Councillors to the Executive, appointments to all other Committees would be made by the Council.

The meeting discussed the division of responsibility of functions between the Council and the Executive, the Executive could only exercise powers ceded by the Council or given directly by statute.

With regard to the meetings of the Executive, Councillors asked that a specific point be added to clarify that only Executive Members could vote.

Councillors discussed the use of substitutes at Executive meetings. Officers were asked to examine whether it was necessary for one of the Leader or Deputy Leader to be present for a meeting of the Executive to take place.

Recommended to Policy and Resources Committee:

That the above points are taken into consideration in revising the proposed Constitution.

3. Overview and Scrutiny Procedure Rules

Councillors discussed the Overview and Scrutiny Management Committee as proposed in the revised Constitution. The meeting debated the need for a formalised Management Committee and whether its functions could be undertaken by the three sub committees.

Councillors were keen to ensure that there was a coordination process in place for the three Overview and Scrutiny Sub Committees to ensure a consistency of approach and clear line of sight to the work programme.

It was felt that this could be achieved through well defined terms of reference and regular informal meetings of the Chairs and Vice-Chairs rather than through a Management Committee. The functions of the Management Committee could be split across the three sub committees.

The Deputy Chief Executive undertook to look at a revised approach to Overview and Scrutiny taking into account the comments made.

Councillors felt that the Constitution should stipulate the process for selecting Overview and Scrutiny Chairs and Vice Chairs.

Recommended to Policy and Resources Committee:

That the above points are taken into consideration in revising the proposed Constitution.

The meeting closed at 5.40pm.

Selby District Council

Minutes of the proceedings of a meeting of the Discretionary Rate Relief Panel held on 29 June 2010, in Committee Room 2, The Civic Centre, Portholme Road, Selby, commencing at 2.30pm.

1	Apologies for Absence and Notice of Substitution
2	Minutes
3	Private Session
4	Application for Council Tax Discretionary Relief
5	Application for Non Domestic Rates Hardship Relief

Councillors: M Crane in the Chair and B Percival

Officials: Taxation and Benefits Manager and Committee Service Officer.

Public: 0

Press: 0

1 Apologies for Absence and Notice of Substitution

None.

2 Minutes

Resolved:

That the minutes of the Discretionary Rate Relief Panel held on 23 March 2010 be confirmed as a correct record.

3 Private Session

Resolved

That in accordance with Section 100(A)(4) of the Local Government Act 1972, the Press and public be excluded from the meeting for the of the following item as there will be a disclosure of exempt information as defined in Section 100(1) of the Act as described in paragraph 3 of Part 1 of Schedule 12A to the Act.

4 Application for Council Tax Discretionary Relief

Resolved:

That the application be refused.

5 Application for Non Domestic Rates Hardship Relief

Resolved:

That an award of £4,000 be approved for Hardship Relief.

The meeting closed at 2.45pm.

SELBY DISTRICT COUNCIL

MINUTES

Minutes of the proceedings of a meeting of the Local Development Framework Task and Finish Group held on **2 September 2010** at The Civic Centre, Portholme Road, Selby, commencing at 4.30pm.

Councillor B Percival (Chair)
Councillor I Chilvers
Councillor J Mackman
Councillor R Packham
Mr S Martin (Strategic Director)
Mr K Dawson (Head of Service – Development Services)
Mr T Heselton (Principal Planner – LDF Team)
Mrs E Scothern (Development Policy Manager)
Mr A McMillan (Senior Development Policy Officer)
Mrs A Linnegar (Senior Development Policy Officer)
Mr G Shelley (Democratic Services Manager)
Mr C Nixon (Development Policy – Work Experience)

1. Minutes of meetings 30 June 2010 and 7 July 2010

The minutes were approved as a correct record, subject to the amendments made at Policy and Resources Committee on 27 July 2010.

Resolved:

That the minutes be approved.

2. Housing Land Supply

A discussion took place regarding a report by the Principal Planner (LDF), into possible actions to be taken to ensure a five year supply of housing land in the district.

It was agreed that market demand is low, and is unlikely to increase significantly in the short term, and noted that the Site Allocations DPD is scheduled to be consulted on in October/November 2010 and adopted in March 2012.

Resolved:

That no action to be taken with regard to housing land supply at present, but that the situation be kept under review.

3. Response to Consultation on Draft Core Strategy Affordable Housing Policies.

Consideration was given to the report from the Principal Planner (LDF) concerning the consultation response to the draft affordable housing proposals. It was noted that further research is required before finalising site thresholds.

Resolved that;

- i) The core strategy is amended in accordance with the officer's comments and recommendations in the report and the accompanying schedule.**
- ii) In establishing site thresholds option A (a single percentage across all sites above the thresholds) or B (differentiation on the basis of site size) would be acceptable, but B is preferable because it is more flexible.**
- iii) Lower thresholds be based on producing at least one dwelling at the appropriate viability level.**

4. Site Allocations Development Plan Document (SADPD) Issues and Options

Views were requested for the draft Issues and Options report to be presented to Policy and Resources Committee on 28th September 2010. The following comments and amendments were made:

- i) The figures on page 1 require updating to reflect 2010 figures.
- ii) p14 – paragraph 5 – The word “villages” will be inserted after “Designated Service.”
- iii) p17 - Issue G: The travelling Community. The Task and Finish Group discussed potential arrangements for the Travelling Community and how to involve councillors in discussions prior to Policy and Resources Committee on 28th of September 2010.
- iv) p26 – Issue L: Community Infrastructure descriptions requires expanding.
- v) p31 – Option 7: Two Storey Retail needs adding to Issue Selby 1B.
- vi) p32 – clarification is regarding the symbols used in all maps.
- Vii) p88 – Issue 1B Monk Fryston – The descriptions for Sites 2 and 3 are the incorrect and require amendment. More clarity is required as to

Local Development Framework Task and Finish Group
2 September 2010

the sites in the square blocks.

viii) p96 – Site SMIL 001 is possibly being purchased for use as a football pitch. However this will not affect its inclusion in SADPD as can be also costed for such use

Resolved:

That the above points are reflected in the revised SADPD.

5. Interim Housing Policy

The Task and Finish Group discussed the proposed consultation document on the Interim Housing Policy.

Resolved:

The included housing policy document be approved for consultation.

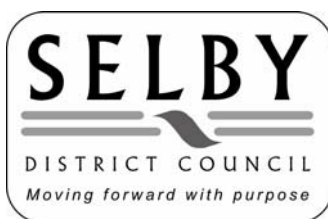
6. Evidence Update

The Principal Planner (LDF) provided an update on traffic mitigation and flood issues.

Resolved:

That the report be noted.

The meeting closed at 6.45pm.



Title: ICT Infrastructure Upgrade

To: Policy and Resources Committee

Date: 28 September 2010

Service Area: Customer and Business Support

Author: Gary Molnár
eGovernment Manager

Presented by: Janette Barlow
HoS Customer and Business Support

1 Purpose of Report

- 1.1 The purpose of this report is to seek approval and budget to upgrade our ICT infrastructure.

2 Recommendations

- 2.1 It is recommended that councillors approve the implementation of an upgrade to our ICT infrastructure.
- 2.2 It is also recommended that a budget of £165,000 be approved from the ICT Replacement Reserve in 2010/11.

3 Executive Summary

- 3.1 The Council's existing network of 34 IT system servers has a finite life and will require total replacement over the next 5 years. The move to the new civic centre and the benefits of greater partnership working offer an opportunity and a spur to look at alternative technologies to improve services and secure efficiencies.
- 3.2 Replacing 29 of our existing servers with 3 new replacement servers will cost the Council £119,200 compared with a like-for-like replacement cost of £130,500. This cost comparison is over a 5 year period and takes into

account running costs and energy savings which can only be secured by using new server technology.

- 3.3 In addition to the financial case, the replacement servers use less energy and require less mechanical cooling and thus help reduce the Council's carbon footprint.
- 3.4 They also offer the Council greater service resilience, at no extra cost, and provide a built-in mechanism for business continuity or disaster recovery which we have previously considered to be beneficial but unaffordable.
- 3.5 Most significantly, however, using the improved ICT technologies offered by new replacement servers will help make future shared services and greater partnership working easier and more cost effective. This alone is likely to lead to significant future savings or increased income and another report on this agenda focuses on one such opportunity for Selby and Craven DCs to save in excess of £120,000 p.a.

4 The Report

- 4.1 Implementing new ICT technologies in order to improve services, deliver efficiencies or maintain essential systems and processes is a key element in the Council's ICT Strategy 2010-2015 (approved by Policy & Resources Committee on 23 March 2010).
- 4.2 The council currently has 34 servers in operation on the Portholme Road site. A quarter of these servers are at, or are nearing, the end of their useful life, will no longer be supported, and need replacing. All of the servers will need replacing over the next 5 years. To replace these on a like for like basis would cost an average of around £4,500 per server (including implementation, and system migration costs).
- 4.3 The opportunity now exists to update our ICT infrastructure with technology that would replace 29¹ of our existing servers with just 3 new servers. These would require significantly less energy to run (with estimated energy savings of approximately £11,800 p.a. due to reduced power requirement for equipment and air-conditioning) and would be easier and less time consuming to support.
- 4.4 ICT technologies and network speeds have improved significantly since our infrastructure was originally implemented. These improvements now enable new and more efficient ways of working and make it easier and more cost effective to work in partnership and realise even greater efficiency savings. One such opportunity – to share ICT services with Craven District Council – is the subject of another report on this agenda.
- 4.5 The proposed new server technologies are also more resilient and can continue to run in the event of a component failure. At present, if a

¹ We have 5 servers that would be uneconomical to include at this time due to licensing costs

component fails, the business system ceases to be available until a replacement part is fitted and the system is rebuilt. Thankfully this is rare, but when it happens it can be a major disruption to service provision. A business system could be unavailable for a number of days whilst it is fixed and the system restored.

4.6 The cost of mitigating this business risk using our current technology has been regarded as being prohibitively expensive (for example it was costed at £117,000 for our DIP system). However, with new server, storage, and higher speed network technologies, it becomes possible to mitigate this risk for all systems within the cost of the upgrade.

4.7 The new server technologies also enable security copies to be made as the system is running live, removing the need to shut systems down whilst they are backed up – a significant benefit to the Council’s Planning Public Access system which has faced some significant criticism because of the need to close the system down in the early evening to allow for data back-up.

4.8 It is also particularly timely to be implementing a technology upgrade now, as we prepare to move to the new civic centre and introduce new ways of working. The ICT infrastructure upgrade outlined in this report will:

- enable the council to move from a 49m² computer suite in the old civic centre to a 30m² computer suite in the new civic centre and realise notional savings of £32,984 in building costs¹;
- support the developing partnership with Craven District Council and help facilitate a move towards convergence of business systems;
- facilitate easier shared service provision that has the potential to realise further savings; and
- support hot desking and mobile/remote working projects to realise efficiencies in working practices.

5 Financial Implications

5.1 The estimated set up costs (£164,200) and on-going revenue implications (net saving of £9,000 p.a.) associated with the server infrastructure upgrade are set out in Table 1 below:

¹ These savings are already factored into the building costs.

Table 1: Expenditure projection – upgrading ICT technologies

	2011/12	2012/13	2013/14	2014/15	2015/16	Total
<i>Upgrade ICT technologies</i>	£139,200	-	-	-	-	£139,200
<i>Migration and training</i>	£25,000	-	-	-	-	£25,000
<i>Software Support</i>	£2,800	£2,800	£2,800	£2,800	£2,800	£14,000
<i>Energy savings*</i>	-£11,800	-£11,800	-£11,800	-£11,800	-£11,800	-£59,000
<i>Total</i>	£155,200	-£9,000	-£9,000	-£9,000	-£9,000	£119,200

** Energy savings will accrue from the significantly reduced number of servers, as well as a reduction in air – conditioning required.*

The upgrade costs are indicative, based upon a technical study of our requirements and will be subject to a formal tendering exercise.

5.2 Table 2 shows the replacement costs of our servers on a like for like basis:

Table 2: Expenditure projection – like for like replacement

	2011/12	2012/13	2013/14	2014/15	2015/16	Total
<i>Server replacements</i>	£36,000	£31,500	£27,000	£13,500	£22,500	£130,500

Energy savings (if any) from like-for-like replacement are expected to be marginal.

5.3 The Council's ICT Replacement Reserves includes £175k in 2010/11 to cover the upgrading of our server infrastructure.

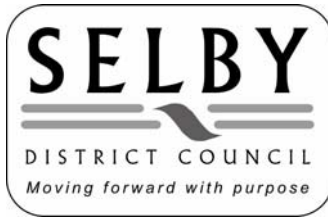
6 Link to Corporate Plan

- 6.1 The project supports the Council's Strategic Themes of
- 'Protecting the Environment'
 - 'Making Better Use of Resources'
 - 'Organising to Deliver'

7 How Does This Report Link to the Council's Priorities?

- 7.1 The project supports the Council's Priorities of
- 'Valuing our environment and reducing our carbon footprint'
 - 'Reducing our expenditure by a series of balanced measures whilst maintaining essential services to our community'
 - '2011 Project'

8	Impact on Corporate Policies	
8.1	Service Improvement Greater resilience of ICT service provision.	Impact
8.2	Equalities	No Impact
8.3	Community Safety and Crime	No Impact
8.4	Procurement Procurement will be undertaken in accordance with the Council's Procurement Procedures.	Impact
8.5	Risk Management If we do not upgrade our ICT infrastructure this could impact on the timescales for the move to the new civic centre and expose the Council to additional costs.	Impact
8.6	Sustainability <ul style="list-style-type: none"> • Reduced accommodation requirement. • Reduced requirement for electricity. • Reduced requirement for air-conditioning. • Greater resilience of ICT service provision. 	Impact
8.7	Value for Money <ul style="list-style-type: none"> • Reduced accommodation requirement. • Reduced requirement for electricity. • Reduced requirement for air-conditioning. • Offers the potential for remote hosting. • Reduced technology refresh costs. • Facilitates the move towards restructuring our ICT service provision. 	Impact
9	Background Papers	
9.1	ICT Strategy 2010-2015 (approved by Policy & Resources Committee on 23 March 2010)	



Agenda Item No:10

Title:	Shared IT Service Business Case
To:	Policy and Resources Committee
Date:	28 September 2010
Service Area:	Customers and Business Support
Presented	Janette Barlow, Head of Service – Customers and Business Support
Author:	Business Case Prepared by Selby District Council and Craven District Council

1 Purpose of Report

- 1.1 To seek approval to enter into arrangements with Craven District Council to establish a shared ICT service in advance of 1 April 2011.

2 Recommendation(s)

2.1 To recommend to Council:

- a Agreement to enter into arrangements with Craven District Council to establish a shared ICT service before 1 April 2011
- b To approve the staffing structure as set out in the report, subject to the normal procedures for consultation with staff and unions.
- c To authorise the Head of Service - Customer and Business Support to enter into a Memorandum of Understanding in respect of this agreement, after consultation with the Leader of the Council.

3 Executive Summary

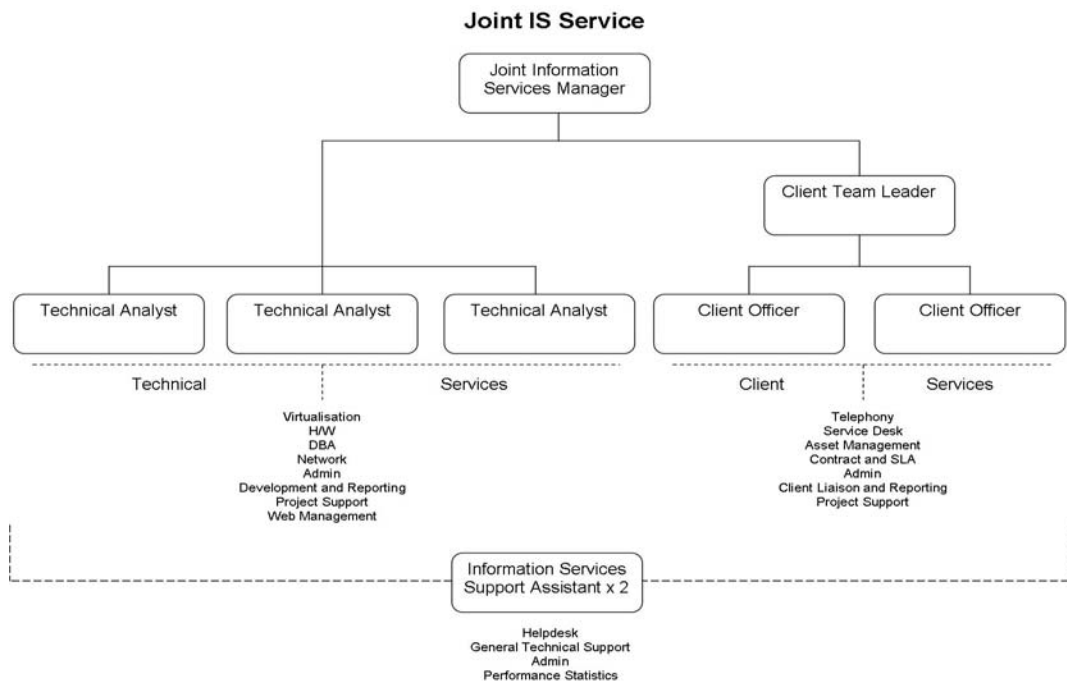
- 3.1 This report recommends the establishment of a combined ICT service shared between Selby District and Craven District Councils.

- 3.2 The combined service would result in lower operational support costs and a reduction in the combined establishment costs for both authorities. These savings would amount to approximately £195,000 per year (based on upgraded and consolidated ICT servers at Selby DC, identical to those at Craven DC), to be shared between the two authorities and could increase to £226,000 per year if both Councils implement virtual desktop technology.
- 3.3 A further £14,000 could be saved by having a single connection to the 'Government Connect' network for both authorities. Again this would be shared between the two authorities.
- 3.4 Disaster Recovery and Business Continuity systems can be established for both authorities, at no extra cost, utilising the two sites at Selby and Skipton.
- 3.5 Future cost savings could be achieved by software convergence which in turn would make further partnership work easier using common infrastructure.

4 The Report

- 4.1 ICT has become ubiquitous across all services. This process has introduced a variety of technologies which have then to be supported and maintained, often with external third party contracts. As a result the provision of ICT services has become increasingly expensive terms of maintaining all the technologies, staff and contracts required to keep services going.
- 4.2 The proposals in this report have arisen out of discussions over the Shared Services Concordat between Craven, Harrogate and Selby Councils and were prompted by separate proposals at both Selby and Craven to restructure their ICT Services to deliver cost savings whilst meeting increasing service demands.
- 4.3 Work to develop the business case has shown that there are significant savings, efficiencies and other benefits that can be achieved through shared ICT services. It aligns with the Council's ICT Strategy and supports the priority of reducing expenditure by a series of balanced measures.
- 4.4 Craven and Selby also share large elements of ICT strategy, particularly those parts dealing with system convergence and consolidation. Craven has recently upgraded its server infrastructure and is piloting virtual desktop environments in readiness for its move to new office accommodation. Selby is seeking approval to implement the same technology on its server infrastructure, and is considering the business requirements for virtual desktop technologies. As a consequence both Councils are on a similar, convergent course technically, and both sets of staff will require similar skill sets in order to support and maintain their respective environments.

- 4.5 It is sensible, therefore, to consider sharing ICT services and move towards a shared infrastructure in order to achieve some economies of scale, secure cost savings and create capacity to develop further shared services in the future.
- 4.6 The timing of any move to a shared service will also be critical as Craven District Council will move into a new building in April 2011 and Selby District Council will move into its new building in August 2011. Therefore, it is important that the merger and staffing restructure are completed as soon as possible, and no later than March 2011, to ensure smooth transitions to both new buildings.
- 4.7 It is also important to note that this shared service proposal is based upon Selby District Council upgrading its server infrastructure and consolidating 29 of its existing 34 servers onto 3 servers, along with appropriate central data storage (a Storage Area Network or SAN). Commonality of platform and operating systems ensures lower support costs for both partners and greater resilience of service provision. This consolidation has been completed at Craven District Council. If this consolidation does not take place at Selby then a partnership arrangement could still go ahead but the potential savings and future opportunities would not be as great.
- 4.8 The staffing structure set out below will enable the two authorities to save approximately £195,000 p.a. in total (this figure is a net saving and is subject to job evaluation). The draft structure will be subject to consultation with all staff affected and the relevant union representatives.



- 4.9 Some provision for redundancy payments and additional pension fund costs will need to be made, although until the structure is filled and the impact on existing staff is known it is not possible to quantify these costs in detail. However, for budget purposes an estimate of £150,000 has been included in the financial summary. This figure is the total for the two authorities combined.
- 4.10 The implementation of 'virtual desktops' both at Selby and Craven will enable all desktop functions to be provided centrally thereby reducing the number of calls on the helpdesk for software implementation, as well as ensuring consistency of software versions. This would reduce 'first line' support costs and may enable the further reduction in the establishment of a client services post (£31,000). Virtual desktops will be subject to a separate business case.

Shared Business Continuity

- 4.11 Provision for full disaster recovery and business continuity has always been seen as highly desirable but unaffordable both at Craven and Selby. Indeed Craven has a number of unimplemented audit recommendations relating to this area. By operating on two sites, data can be stored remotely for both authorities and thereby provide better disaster recovery options and facilitate improved business continuity at no extra cost, as a remote copy of data for Selby District Council will be held in real time at Skipton and vice versa. Selby currently spend £2,000k p.a. to cover ICT Business Continuity - this will no longer be required whilst this will negate the need for Craven to identify a costly solution to ensure its disaster recovery and business continuity.

Shared Government Code of Connection (CoCo)

- 4.1 Craven District Council and Selby District Council have approved Government Connections and, from April 2011 the Government will charge for these connections at a rate of £14,000 p.a. per authority. Through a shared service one connection can serve both authorities and save £14,000 p.a.

Future Convergence of Software leading to potential additional revenue savings

- 4.13 Further savings could be made in procurement and operational costs, in future years, through application software convergence. For example a common planning system would reduce support costs and allow a more efficient use of licences, enabling greater efficiencies and making a potential future planning partnership an easier proposition.
- 4.14 Software convergence would be driven by organisational and service strategy and would be subject to separate business cases as required.

- 4.15 Initially databases for each authority would be kept separate and distinct to allow either party to withdraw from the partnership at a later date and without disaggregating costs. This will be kept under review as the both the ICT shared services partnership and Concordat develop.

Benefits of Partnership Working

- 4.16 In addition to the cost savings identified above, there are a number of other benefits from a shared ICT service, which are summarised below:

- Potential facilitation of other shared services by future application software convergence, although a shared ICT service is not a pre-requisite for other service partnerships
- Reduced costs of operation due to common platforms and environments
- Service resilience from a larger shared joint unit
- Improved ICT support for users
- Enhanced opportunity to embrace future technology to deliver efficiencies by having a larger ICT service
- Potential for extended service availability to support flexible working initiatives
- Potential for partnership to grow by including other authorities
- Improved Disaster Recovery (DR)
- Improved Business Continuity Planning
- Shared accommodation
- Lower research and implementation costs for shared projects
- Lower licence/support/maintenance costs based upon single application instances
- Increased staff development and flexibility

- 4.17 In addition, because Craven and Selby both use NYNet (the regional broadband networking solution) telecommunications are not the significant barrier to sharing ICT that they would otherwise have been.

Governance

- 4.18 The governance arrangements will be set out in a 'Memorandum of Understanding' which will cover how the shared service will operate; how long the arrangement will last; how decisions will be made; how the arrangements will be monitored; who will employ the shared staff and how they will be managed; how costs and surpluses will be shared etc. It will also cover termination arrangements in the event that one or both parties wish to withdraw from the arrangement prior to an agreed end date.
- 4.19 An outline Memorandum has been drafted on the basis of this business case and is in the course of being finalised. Subject to both parties agreeing to pursue a shared service, the Memorandum will be further developed in consultation with each council's S151 officer and Monitoring officer.

Financial Summary

- 4.20 Any costs incurred through redundancy and pension strain still need to be agreed between Selby and Craven and will form part of the detailed work on the Memorandum of Understanding.
- 4.21 In the medium to long term software convergence will reduce support costs from 3rd party suppliers however these savings have not yet been quantified.
- 4.22 Furthermore, revenue income may be raised if Selby provide Craven with a telephony solution. Initially this would be based on a proportion of the cost of maintenance of the telephone switch and lease of the circuit. This proposal will be the subject of a separate business case.

Risks

- 4.23 There are a number of risks associated with the proposal:
- Selby do not upgrade their server technology in line with Craven - staff implications and increased support costs
 - Future joint financing and budgetary provision
 - Resource balancing between sites – SLA appropriate to service capacity
 - Communications links - stability and capacity
 - Transformation and change
 - Inappropriate or ineffective governance model
 - Governance and Organisational model not put in place due to existing transformational demands
 - Potential internal costs of establishment
 - Failure to manage staff across two sites
 - Failure to prioritise workload fairly (authority loyalty)
 - Failure of funding on behalf of one authority
 - Apportionment of savings and charges

These risks will be managed by the Deputy Chief Executives or their appointees.

5 Financial Implications

Description	Year 1	Year 2	Year 3
	£000's	£000's	£000's
Increase in telecoms bandwidth (SDC)*	29	29	29
ICT Service Continuity (SDC)	(2)	(2)	(2)
Redundancy/pension costs	150	0	0
Staff savings	(195)	(226)	(226)
CoCo saving	(14)	(14)	(14)

Net cost/(saving)	(32)	(213)	(213)
Shared as follows:			
Craven DC (assuming 50:50 split)	(30)	(120)	(120)
Selby DC (assuming 50:50 split)	(2)	(93)	(93)

**Note 1: The increase in band width for inter-site networking will cost Selby between £24,000 and £29,000 (The variance is dependent on the sharing of the connection with the PCT/NHS and the proportion of bandwidth they require). Craven have already procured the necessary band width as part of the move to their new civic centre*

Note 2: The year 1 savings are shown as 50:50 for indicative purposes.

6 Conclusions

- 6.1 Arising from discussions prompted by the Craven, Harrogate and Selby Collaboration Concordat Craven and Selby Councils have explored the potential benefits of sharing an ICT service.
- 6.2 In developing the business case it is clear that there are opportunities for clear financial benefits (potential net savings of £195,000 pa) and important business and service improvement benefits (resilience, business continuity and systems convergence) for each Council.
- 6.3 For practical reasons it is recommended that the implementation of a shared service is completed before April 2011.

7 Link to Corporate Plan

- 7.1 The project supports the Council's Strategic Themes of
- 'Making Better Use of Resources'
 - 'Organising to Deliver'

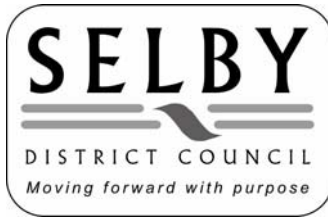
8 How Does This Report Link to the Council's Priorities?

- 8.1 The project supports the Council's Priorities of
- 'Reducing our expenditure by a series of balanced measures whilst maintaining essential services to our community'
 - '2011 Project'

9 Impact on Corporate Policies

9.1	Service Improvement Greater resilience of ICT service provision.	Impact
9.2	Equalities	No Impact

9.3	Community Safety and Crime	No Impact
9.4	Procurement Opportunities for joint procurement.	Impact
9.5	Risk Management Key risks identified as part of the business case. Site specific risks will need to be identified.	Impact
9.6	Sustainability Greater resilience of ICT service provision.	Impact/No Impact
9.7	Value for Money Greater resilience and potential for further savings.	Impact



Agenda Item No:11

Title: Craven, Harrogate and Selby Concordat

To: Policy and Resources Committee

Date: 28 September 2010

Service Area: Corporate and Strategic

Authors: Paul Ellis, Deputy Chief Executive, Craven DC
Rachel Bowles, Assistant Chief Executive,
Harrogate BC
Jonathan Lund, Deputy Chief Executive, Selby DC

1 Purpose of Report

- 1.1 The purpose of this report is to set out for Councillors the findings of the investigation into the business case for a programme of collaborative work between Craven District Council, Harrogate Borough Council and Selby District Council that will bring clear financial and service benefits to each Council.
- 1.2 The Report also recommends how the three Councils can now take forward a programme of collaborative service delivery.

2 Recommendation(s)

- 2.1 That the Policy and Resources Committee recommend to Council:
- a That the Independent High Level Business Case for Shared Service Provision final report and recommendations are received and noted:
 - b That Council agree to continue to develop a long term collaboration partnership between Harrogate Borough Council, Craven District Council and Selby District Council based upon the purpose and principles as set out in the Concordat.
 - c That Council agree the draft programme of collaborative work set out in appendix 3

3 Executive Summary

- 3.1 Late last year Craven, Harrogate and Selby Councils agreed to explore the opportunity of greater collaboration and together they signed a Concordat setting out the basis of their agreement to investigate those opportunities.
- 3.2 With the support of external grants, independent consultants were engaged to develop a high level business case for greater collaboration. That business case points to significant potential savings from both shared services and shared management but highlights real differences between the three organisations which would act as barriers to joint working in the short term.
- 3.3 To overcome these barriers this report recommends that each of the Councils commits to a programme of collaborative business transformation projects, greater joint working, more pooling of resources and the development of joint transformation teams. A draft programme is set out in an appendix to the report.
- 3.4 Over time this business transformation programme should help minimise the existing organisational differences, facilitate shared services in the medium term and support the case for more shared management in the longer term.

4 The Report

- 4.1 In December 2009 the Council approved a Concordat (Appendix 1) between Craven, Harrogate and Selby Councils. The Concordat is a high level agreement to jointly investigate and produce a business case to determine whether there are opportunities and clear benefits for collaboration between the three Councils.
- 4.2 The 2006 local government White Paper – ‘*Strong and Prosperous Communities*’ identified that the status quo was not an option for two tier areas and that Councils needed to work more effectively to better address the challenges of two tier working.
- 4.3 Following the global banking crisis and economic downturn the UK is facing:
- An unsustainable public sector deficit of £155bn
 - Rising inflation
 - Falling living standards
 - Falling employment
 - Very low interest rates.
- 4.4 A priority for the new coalition Government is to reduce the public sector deficit and address the wider economic downturn. The Government’s first act has been to identify in-year (2010/11) public sector savings of £6bn and will follow this with a more wide-ranging review of public spending as part of the comprehensive spending review expected in October 2010. What is

clear is that there will be spending reductions, independent commentators have suggested between 15% and 40% over 4 years in cash terms.

4.5 The imperative to find ways of cutting costs whilst protecting front line service provision has never been greater, a number of documents have been produced throughout the year including:

4.5.1 The 2010 '*Putting the Frontline First*' document published by Communities and Local Government on behalf of the Putting the Frontline First Taskforce identified ten key questions to help councils in considering how to improve the efficiency and effectiveness of their organisation, together with tools and resources and examples of best practice. These included:

- Are you taking a coordinated approach with your partners, centred on the customer, to transforming, sharing and reshaping services in the front and back office?
- Are you considering whether you have the most efficient management layers and structures in place and can these be shared, integrated or aligned with those of partners?
- Are you considering how flexible your staff are and how specialist professional skill sets can be shared across your partner's organisations?

4.5.2 The 2010 CIPFA '*Sharing the Gain – collaborating for cost-effectiveness*' provides detailed guidance for Councils wishing to consider radical changes to their organisational structure and operating models through greater collaboration.

4.6 Both documents identified at paragraphs 4.5.1 and 4.5.2 have been used to help inform and develop proposals for greater collaboration between the three Councils.

4.6.1 It is important to understand the context within which this work sits within each of the three Councils.

4.6.1.1 ***Craven District Council***

Craven has an overarching transformation programme that is transforming customer services and the way the council operates. Around £2m in efficiency savings have been delivered to date, this equates to over 20% of the Council's annual revenue budget with further savings to be delivered from the transformation activities currently in progress, these include the move to single office accommodation in partnership with the County Council, the modernisation of waste collection processes, development of a transactional website and the appraisal of options for the Councils two town halls.

Also embedded in the programme are fundamental service reviews which explore the potential for shared services with one option being the concordat with Harrogate and Selby. To date Craven is sharing affordable housing and internal audit resource with Harrogate, a Development Control

Manager with Selby and is exploring the potential for a shared ICT Service and Environmental Health Service with Selby. Away from the concordat Craven is also using external expertise from Hambleton/Richmondshire to develop options for the future delivery of commercial waste.

4.6.1.2 ***Harrogate Borough Council***

Collaboration forms one of the five strands of Harrogate's Business Transformation Programme, innovate@harrogate. Each of the five programmes is expected to contribute to the overall improvement of the Council, deliver efficiencies, focus on the customer and work towards its overall vision. The Collaboration programme looks to:

- Establish a strategic direction for Collaboration to ensure that collaborative opportunities are maximised and are undertaken in a planned and managed way.
- Maximise efficiency and improve service delivery by actively pursuing the opportunities partnership working and collaboration brings, whilst maintaining our unique identity.

Currently, through this programme Harrogate have shared, for a period of six months a Director with Craven District Council, provided procurement support to Craven District Council, shared our Affordable Housing Officer for a period of six months with Craven District Council and have contractually agreed to provide Craven District Council's internal audit programme. This work has, to date, produced for Harrogate Borough Council efficiencies of £41k.

Other work undertaken includes a successful RIEP bid to support the three Councils (Craven, Harrogate & Selby) to work collectively to identify opportunities, improvements and efficiencies and deliver economic benefit to the Leeds City Region as a whole, and through the North Yorkshire Future Opportunities Group to explore (with approximately £500k RIEP funding, further shared service opportunities across North Yorkshire and a specific project around Asset Management.)

4.6.1.3 ***Selby District Council***

Selby District Council's 10 Year Vision sets out an ambition to move towards being a commissioning rather than a direct delivery organisation.

Since 2007 the Council has pursued a Budget Savings and Efficiencies Strategy with a target reduction of £5.25m by 2014/15. This target may need to be revised upward following the Comprehensive Spending Review announcement on 22 October. To date reductions of £2.1m have been secured including annual savings of around £1m by outsourcing Waste, Recycling, Grounds Maintenance and Leisure Services.

Business transformation, including partnering and collaboration, is seen as being vital to achieving these savings. The Council works with the North Yorkshire Audit Partnership, the North Yorkshire Building Control

Partnership and the North Yorkshire Procurement Partnership and has operational partnerships with East Riding of Yorkshire Council and NHS North Yorkshire and York. The Council has a good track record of managing change and collaborative working but needs to move quickly to deliver its savings targets in time.

Selby and Craven District Councils are currently sharing a Development Control Manager and are close to agreement on a shared ICT Service. Together these collaborations will save the two Councils in excess of £200,000 in a full year. Discussions are also well advanced between the two to explore the benefits of a joint Environmental Health Service.

4.6.2 **The High Level Business Case**

Following a successful funding bid to the Regional Improvement and Efficiency Partnership, Alexander Consultancy were selected to work with the three Councils on the development of a High Level Business Case for Shared Service Provision in January 2010.

4.6.3 A Joint Leaders group from the three Councils was established and met bi monthly to oversee the production of the business case. A Joint Chief Executives group oversaw the project management and ensured that information, expertise and access was available to enable the consultants to undertake the work without unnecessary delay.

4.6.4 The main stages of the project were:

- Collation and analysis of baseline data
- Programme of Stakeholder interviews
- Identification & validation of potential opportunities/benefits/risks of shared management and shared services
- Interim report
- Agreement of options to focus on
- Options appraisal
- Further stakeholder interviews
- Final report

4.6.5 The findings of the final report are that there is a case for Collaboration and that there are significant benefits (financial and otherwise) to be gained from both shared services and shared management. However, not surprisingly, there are also significant barriers to overcome.

4.6.6 The report explores a number of options for shared working, with three of those options explored in detail. Due to the current differences between the three Councils in styles and culture, capability and readiness for change, the urgency with which savings need to be made and differing views on the approach to be taken, the report stops short of making a recommendation on the preferred option. But it does recommend that the councils move as quickly as possible from the current broad shared direction to a shared

vision for a shared future and begin working towards shared services including shared service management. In doing this it allows for the opportunity for any potential efficiencies to be captured whilst also allowing for a preferred delivery model to evolve as a result of closer alignment of culture and service delivery processes following joint improvement activity. .

- 4.6.7 This approach also allows the Councils the opportunity to build on the progress which has been made to date such as shared Internal Audit, Development Control Management etc which is unlikely to have happened if the Councils had not come together in the concordat.
- 4.6.8 Some work has also been done to develop a shared philosophy and this is set out at Appendix 2.
- 4.6.9 The Joint Leaders acknowledge the value of moving quickly from the current broad direction to a shared vision and have agreed a draft programme of collaboration (Appendix 3). This sets out an initial programme of collaborative opportunities that are a mix of strategic (enabling services that will make the process of sharing services and shared service management easier i.e. IT) and opportunistic (where a vacancy exists in an authority) and operational (some services, particularly those which are largely transactional and process driven are traditionally seen as 'easier' to share.) It is intended that the programme will be fully implemented within five years of the start date, April 2011. The timescales within the programme are indicative and it is recognised that a business case for any of the services could indicate an opportunity to implement earlier or later than specified.
- 4.6.10 It is also proposed that some of the early collaborative work will focus on joint improvement activity as a means of beginning the process of greater staff integration, sharing learning and best practice, utilising resources effectively and most importantly, beginning the process of developing common organisational cultures.
- 4.6.11 This programme is in an early stage. The current Joint Leader bi-monthly meeting and monthly Joint Chief Executive meeting would continue to develop an appropriate governance model that included issues such as cost/efficiency apportionment, HR policies, accommodation and communication.

5 Financial Implications

- 5.1 Whilst we would endeavour to deliver the programme from within existing budgets, there may be a future necessity to request additional resources if it becomes clear that parts of the programme cannot be taken forward within existing budget and skills (for example there could be a need for expert legal advice etc). Any request for additional resource would be accompanied by a reasoned "invest to save" business case.

- 5.2 Selby has an earmarked “Invest to Save” reserve with an uncommitted balance of £486k. Whilst there are currently no plans to call on funding from this reserve in respect of matters arising from the collaborative programme set out in this report, the reserve would be the most appropriate source of internal funds if they were required to help achieve longer term savings and efficiencies.
- 5.3 The Council’s Savings and Efficiencies Strategy sets out the existing targets for budget reductions to 2014/15. These targets are likely to need to be revised upwards following the October 2010 Comprehensive Spending Review. On its own collaborative working is unlikely to achieve sufficient savings at a fast enough pace to meet Selby’s needs. Council has previously recognised this and has authorised the Chief Executive to explore what other measures need to be taken to meet the Council’s immediate financial needs. These other measures are being developed in a way which should be consistent with, or enhance the opportunities for, joint working.

6 Conclusions

- 6.1 The High Level Business Case identifies significant potential savings, over time, arising from greater collaboration, joint service provision and joint management but points to significant initial barriers to success.
- 6.2 The joint development of a shared vision and philosophy is the start of a process to tackle and overcome those barriers.
- 6.3 The adoption of a shared programme of business transformation collaborations, accompanied by greater shared working, more pooling of resources and joint transformation teams will further serve to reduce the barriers and minimise the differences in organisational outlook and cultures whilst also contributing to savings and efficiencies.

7 Link to Corporate Plan

7.1 The issues set out in this report support a number of strategic themes including Making Best Use of Resources and Organising to Deliver.

8 How Does This Report Link to the Council's Priorities?

8.1 This report contributes to achieving the Council's priority of reducing expenditure by a series of balanced measures whilst maintaining essential services to our community.

9 Impact on Corporate Policies

9.1	Service Improvement	Impact
	Collaboration in service delivery should help secure some or all of the following benefits: service improvement, improved resilience, reduced cost, greater efficiency and or effectiveness.	
9.2	Equalities	Impact/No Impact
9.3	Community Safety and Crime	No Impact
9.4	Procurement	Impact/No Impact
	An assessment of the best way to procure services will form part of the options appraisal and individual business cases developed in respect of each service under review.	
9.5	Risk Management	Impact/No Impact
	If approved for further work a comprehensive risk register will be developed as part of the project initiation documentation. Initial risks to the success of collaborative working arise from the potential failure of partners to agree; resource and capacity pressures - financial, management and professional and the demanding timescales.	
9.6	Sustainability	No Impact
9.7	Value for Money	Impact
	The High Level Business Case supports the potential for collaborative working to deliver substantial savings over time. Individual business cases will identify specific projects will help deliver greater value for money.	

10 Background Papers

- 10.1 Appendix 1 – Concordat**
- Appendix 2 – Vision/Way forward document**
- Appendix 3 – Collaboration Programme**

Concordat - Harrogate Borough Council, Craven District Council and Selby District Council

Purpose

This Concordat has been produced to reflect the ambition to develop a long term collaboration partnership between Harrogate Borough Council (HBC), Craven District Council (CDC) and Selby District Council (SDC).

The purpose of the partnership is to:

- Provide significant capacity to deliver value for money services and maximize opportunities for economies of scale and efficiency gains
- Produce realistic cashable efficiency gains for each Council to determine their use of
- Increase levels of public satisfaction through the continued improvement of services
- Provide high quality, seamless services, focussed on local communities, neighbourhoods and service users
- Increase capacity through shared learning, expertise, skills and problem solving
- Demonstrate strong and supportive relationships, enhanced through a track record of greater trust
- Demonstrate strong democratic accountability capable of ensuring collaboration and joined up service delivery at the local level
- Increase influence locally, regionally and nationally in order to secure a better deal' for all our communities

Principles

The general principles upon which this Concordat is based are:

- Independent organisations but equal partners
- Commitment to build strong working relations between members and officers for the mutual benefit of HBC, CDC and SDC
- Political Sovereignty remaining with each Council
- Openness and transparency of decision making
- Respect – by each Council for each Council
- A willingness to compromise for the common good

This Concordat is not intended to constitute a legally enforceable contract or to create any rights or obligations which are legally enforceable. The terms of this Concordat may be varied at any time upon the agreement of HBC, CDC and SDC.

Next Steps

Initially we will:

- Determine our agreed Vision in developing a long term collaboration partnership
- Identify lead Officers to take forward this work
- Research and/or visit a number of public sector partnerships that are operating/implementing or developing different forms of shared services or shared management operations to develop a greater understanding of the strengths, weaknesses, opportunities and threats of various shared services arrangements.
- Assess the opportunities for further collaboration including:
 - Shared management structures
 - Shared services
 - Other models of service delivery
 - Assess the options for collaborative working i.e:
 - In house
 - Public sector consortium
 - Joint Venture company
 - Partnering contracts and legal partnerships
 - Outsourcing etc
- Develop Joint Working Governance Arrangements initially through the establishment of a Joint Leaders Group.
- Develop a 'blue print' for the way forward for agreement by each Council by Following the development of a blue print by the 31st May 2010 this Concordat will be reviewed and developed further.

Concordat

We the undersigned are committed to progressing this arrangement to a suitable point for each Authority to make a final formal decision on the 'blue print'.

..... **Leader, Craven District Council**

..... **Leader, Harrogate Borough Council**

..... **Leader, Selby District Council**

Craven, Harrogate and Selby Concordat

Summary position statement, plan and future vision

The pressure on us to change

We are each facing substantial pressures.

Between us we need to:

- make large financial savings
- meet new demands and expectations of our services
- build greater resilience, capacity and critical mass

The greatest pressure we feel is to make large financial savings.

This is most urgent for Selby.

The options we have

We can work individually to make savings and improvements.

We can work together to make savings and improvements.

Or we can do both.

Working individually, we can make some of the savings and improvements we need by:

- prioritising and changing some of the things we do
- doing some of the things we do now in new ways and more efficiently
- contracting out some of the things we do now

We have all already been doing this to differing degrees. We can continue to deliver most of this quickly.

Working together, we can also make some of the savings and improvements we need by:

- delivering services together
- contracting out services together
- having shared management

Most of this will take more time than we have available before we have to start delivering the results we need.

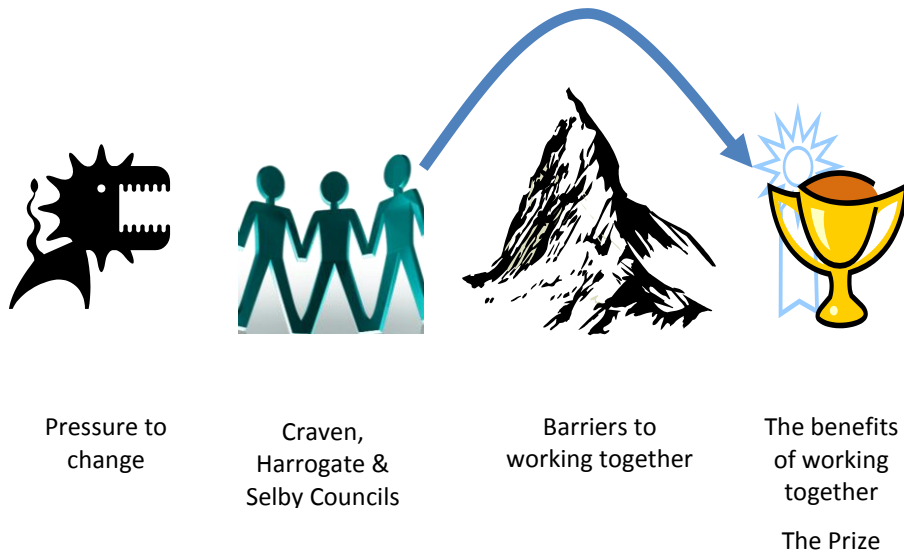
Doing both, we can:

- deliver more of the savings we need
- start delivering quickly creating time to deliver the more difficult things later
- deliver better value services for local communities and service users
- build greater resilience, capacity and critical mass

The barriers to working together

There are things that will make it difficult for us to work together. We have different:

- needs for improvements and savings
- deadlines and urgency
- styles and cultures
- capability and readiness for change
- views on the approach we should take to working together



These barriers may appear large when weighed against the benefits of working together. But the pressure to change is too great, so we must find a way to:

- accommodate our different needs
- work at a pace decided by the most urgent needs
- bring together our working styles and cultures
- enhance our capability and readiness for change
- understand, respect and bring together our different views

Our vision

We have agreed a broad vision of a shared future.

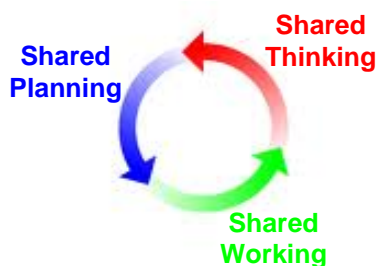
This is a time when:

- we work effectively with smaller budgets
- we work together wherever there is benefit to doing so
- we deliver services in new ways
- our services are shaped by what our communities and service users value
- our people use their skills, experience and creativity to drive the changes we need
- we understand and manage performance and efficiency
- we improve continuously
- our councils continue to be seen as the right organisations to meet the needs of communities and service users in the areas we represent

But we recognise that this may take different forms and on current understanding we each have a different view of the form it could take. So we must work together quickly to build our knowledge and understanding, to narrow the options and bring more detail our shared vision.

The route we plan to take

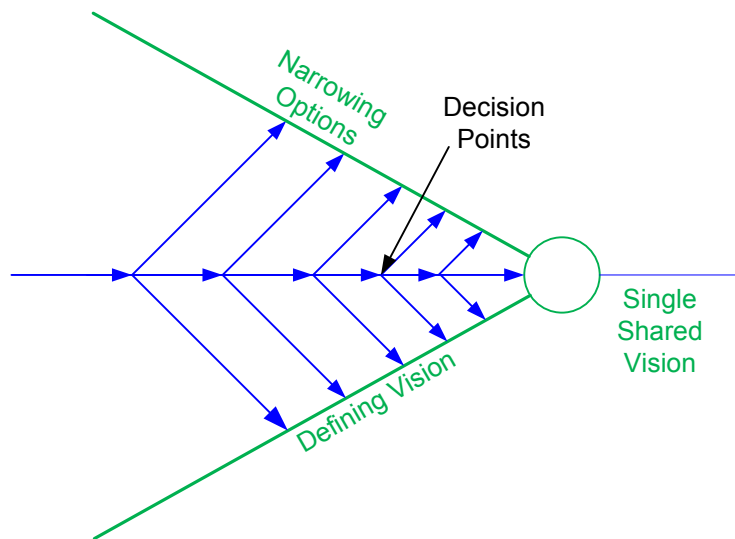
The route we take will involve several iterations of a cycle of:



With this approach we will:

- create a joint team of talented, determined and enthusiastic people from our three councils
- create a new shared way of working that includes a new, shared, planned, managed and systematic approach to:
 - service improvement
 - efficiency
 - operational management
- train and practice the team in the new shared way of working
- establish a programme of projects through which the joint team will work across all three councils to:
 - move each part of each council to the new, shared way of working
 - deliver cashable efficiencies and service improvements from the new shared way of working
 - bring together services when they have moved to the new way of working; this would include
 - bringing together services from the same council or different councils
 - delivering services together
 - contracting out services together
 - having shared management
 - deliver further cashable efficiencies and service improvements from bringing services together
- require each council to move as quickly as it needs to move or as quickly as possible, whichever is the faster; the pace of working is likely to be in the following order:
 - Selby
 - Craven
 - Harrogate
- continue regular, frequent joint strategy and operations meetings at chief executive and leader level with sharp focus on:
 - managing the route to shared working
 - the performance of the three councils
 - open decision-making that avoid
 - decisions about shared working 'closing the door' to projects vital for any of the councils
 - decisions of any of the councils 'closing the door' to things vital to shared working

- continue to narrow the options and define in more detail the final shape of shared working arrangements as each project is concluded ending in a single, shared vision as soon as possible



By taking this approach we will:

- start delivering efficiencies and improvements quickly
- keep open options for potential benefits of shared working that will not be available straight away
- enable each council to move as quickly as they need
- pool our transforming skills and resources to create greater capacity and capability to change
- create a shared way of working that helps to remove many of the barriers to our working together
- see every opportunity for shared working
- take advantage of what we have in common and accommodate our differences

Indicative Programme of Collaborative Work – Harrogate, Craven & Selby

COLLABORATIVE WORK ALREADY UNDERWAY		
Service	Current Status of Collaboration	Timescale
Affordable Housing	Harrogate & Craven sharing an affordable housing officer on a temporary basis.	Review end March 2011
Internal Audit	Harrogate are providing Cravens internal audit. Selby are part of the NY Audit Partnership with a contract in place to 2012 have been looking to work with NYCC and York (Veritau).	Contract in place 2010-2012.
Planning & Development Management	Craven & Selby currently sharing a Development Control Manager and exploring potential for shared service provision. Harrogate to also consider opportunities for shared management and participate in broader review of service in year 2 of the programme.	Review January 2011
ICT	Craven & Selby currently exploring a shared structure under a single manager. Harrogate to consider their approach.	Report into political process end Sep/early Oct 2010.
Environmental Health	Craven & Selby exploring single joint service to pull structures under a single manager. Corporate Health and Safety being pursued jointly by Craven, Selby and Ryedale with a view to implementation by April 2011. Harrogate to consider their approach.	Report into political process Oct / Nov 2010
Revenues & Benefits	Craven, Harrogate & Selby in early discussions around potential for service to be delivered jointly.	Report into political process Oct / Nov

Indicative Programme of Collaborative Work – Harrogate, Craven & Selby

INDICATIVE PROGRAMME OF COLLABORATIVE WORKING		
Service	Current Status of Collaboration	Timescale for implementation
Housing	Craven do not have any housing stock. Harrogate would see Housing Strategy and affordable housing development as priority and homelessness, housing sector renewal and housing management as priority in year 5.	Year 1
Economic Development	Harrogate, Craven & Selby, LCR support through RIEP funding.	Year 1
Back Office Services: <ul style="list-style-type: none"> • Finance • Legal • HR • Democratic Services, Elections • Communications • Performance Management/ improvement/Policy etc 	Harrogate would see HR as year 1 priority and rest of back office in year 3 following the review of senior management.	HR Year 1 Rest of back office services Year 3
Regulatory Services: <ul style="list-style-type: none"> • Licensing enforcement • Env Health enforcement • Planning enforcement • Car parking • Benefit Fraud 	Craven and Selby exploring possible joint enforcement service, this has prompted Selby to consider unifying its regulatory services. Harrogate will consider their approach as part of the business case review.	Year 2
ICT (Infrastructure, systems, procurement and support)		Year 2
Planning & Development	Craven & Selby exploring single joint service to pull structures under a single manager. Harrogate will also be involved in the review process.	Year 2
Senior Management		Year 3

Indicative Programme of Collaborative Work – Harrogate, Craven & Selby

(Chief Exec, Directors, managers who report to CEx/Directors)		
Customer Services	Shared ICT provision between Craven and Selby (and Harrogate) may facilitate greater joint working on Customer Services between the two.	Year 3
Sport & Leisure & Tourism		Year 4
Waste		Year 4
Open Spaces		Year 5
Property Management		Year 5

It is intended the shared service programme will be fully implemented within five years of the start date of April 2011.

A business case for any one or more of the services may indicate there is the opportunity to implement earlier than stated in the programme.

Year 1 – April 2011 – March 2012

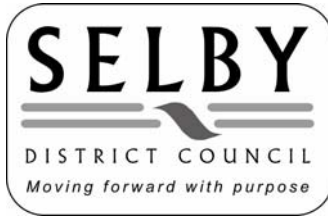
Year 2 – April 2012 – March 2013

Year 3 – April 2013 – March 2014

Year 4 – April 2014 – March 2015

Year 5 – April 2015 – March 2016

Note – The dates in the table are implementation dates, business cases will be prepared the year before.



Public Session

Agenda Item No:12

Title: Policy and Resources Committee 2010/2011
Performance Indicator Report: April 2010 – July 2010

To: Policy and Resources Committee

Date: 28 September 2010

Service Area: Finance

Author: Chris Smith – Corporate Improvement Officer

Presented by: Karen Iveson, Head of Service – Finance

1 Purpose of Report

- 1.1 To assist councillors in focusing on priority areas and managing the performance of the Council by updating the Policy and Resources Committee with details of performance indicator exceptions for 2010/11 as at 31 July 2010.

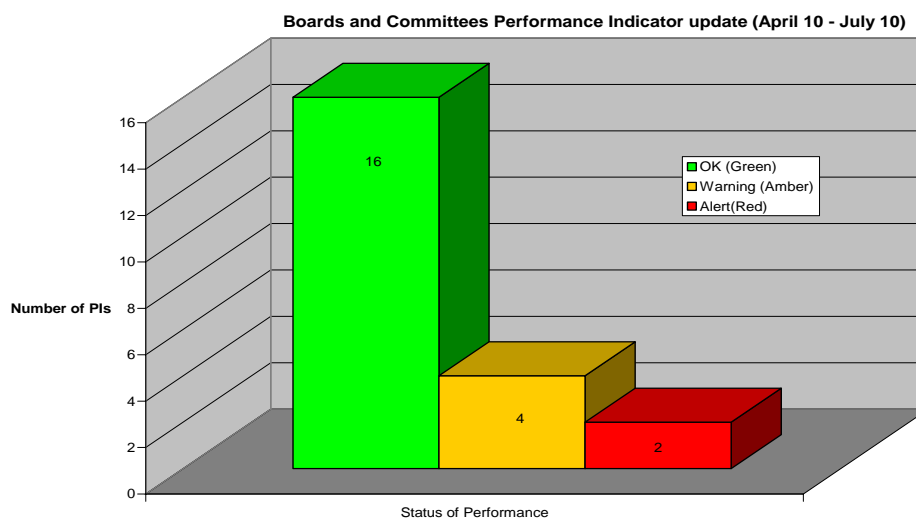
2 Recommendation

- 2.1 **It is recommended that accountable officers take the necessary action to ensure the performance indicators achieve the set targets set at the beginning of the year.**

3 Executive Summary

- 3.1 This report provides details of performance indicator exceptions both corporate and national for the financial year 2010/11, and recommends appropriate action where required.
- 3.2 Performance indicator exceptions for the relevant period together with appropriate commentary from officers are shown at Appendix A.

- 3.3 A total of 22 KPIs hold reported data to the end of July 2010. Of the 22 KPI's, 16 are currently above the target set at the beginning of the year.



4 Exceptions Report

- 4.1 The customer's financial circumstances are still affecting our performance in relation to Council Tax and Rent Arrears collection rates.
- 4.2 The time taken to process new benefit claims and major planning applications determined are both slightly below the targets set at the beginning of the year. Current projections indicate that performance on both will be back on track by the end of September 2010.
- 4.3 Progress on approved savings in 2010/11 is below target and therefore proposals for further savings are in the process of being formulated.
- 4.4 The percentage of invoices paid on time is below the set target. The introduction of the new Financial Management System introduced new ways of working and ongoing issues are being addressed whilst the new system continues to be embedded in the authority.
- 4.5 On a positive note, the reported performance indicators for Customer Services, Streetscene and NNDR and Community Safety are all above the targets set at the beginning of the financial year.
- 4.6 Performance data for Building Control and Leisure Services should have been reported in this period but so far no data has been received from North Yorkshire Building Control Partnership and Wigan Leisure & Culture Trust - this is being pursued by the Corporate Improvement Officer.

5 Financial Implications

- 5.1 Subject to the actions determined by councillors to address weakness identified, there are no financial implications arising from the contents of this report.
- 5.2 Any actions identified for improvements to performance would need to be properly assessed for financial implications and, if required, approval for any additional funding sought and such issues would be highlighted in the budget exceptions report elsewhere on the agenda.

6 Conclusions

- 6.1 It is recommended that accountable officers take the necessary action to ensure the performance indicators achieve the set targets set at the beginning of the year.

7 Link to Corporate Plan

- 7.1 The ongoing management of performance and improvement data assists the Authority in achieving its strategic themes and priorities.

8 How Does This Report Link to the Council's Priorities?

- 8.1 The ongoing management of performance and improvement data assists the Authority in achieving its priorities.

9 Impact on Corporate Policies

9.1 Service Improvement

The continual monitoring of service areas will address areas of weakness, if any, highlighted. **Impact**

9.2 Equalities **No Impact**

9.3 Community Safety and Crime **No Impact**

9.4 Procurement **No Impact**

9.5 Risk Management **Impact**

There is a significant risk given the impact that performance management has on the outcome of Council and service area inspections.

9.6 Sustainability **No Impact**

9.7 Value for Money **Impact**

The on-going management of performance will facilitate

improvement in services and hence value for money.

10 Background Papers

- 10.1 Appendix 1 – Policy and Resources Committee 2010/2011 Performance Indicator Exceptions Report: April 2010 – July 2010.




Policy and Resources Committee Performance Indicator Exceptions Report (April 2010 - July 2010)

Report Type: PIs Report
Report Author: Chris Smith
Generated on: 09 September 2010









PI Status		Long Term Trends		Short Term Trends	
	Alert		Improving		Improving
	Warning		No Change		No Change
	OK		Getting Worse		Getting Worse
	Unknown				
	Data Only				










Accountable Officer: Keith Dawson Service: Development Services

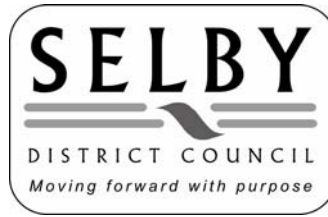
Code	Short Name	Old SDC PI Code	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light Icon	Notes & History Latest Note
DM_NI157a	Processing of planning applications: Major applications	NI157a	70.00%	68.75%				The team are performing at 68.75% that is slightly below the local standard of 70%. The performance of the team in terms of major applications will continue to be monitored to ensure that for the upcoming months that the local target is met and exceeded.

Accountable Officer: Karen Iveson Service: Finance

Code	Short Name	Old SDC PI Code	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light Icon	Notes & History Latest Note
AC_LI005	General Fund Savings	-	£2,837.600	£2,152.102				Progress on approved savings in 2010/11 is below target (currently forecast at £2.5m against a target of £2.8m) and therefore proposals for further savings are being formulated.
BE_NI181	Time taken to process Housing Benefit/Council Tax Benefit new claims and change events	NI181	10.30 days	10.80 days				High volumes of year end changes are still affecting the outcome. We are now moving towards a same day service which will further reduce average days to process.

Accountable Officer: Karen Iveson Service: Finance

Code	Short Name	Old SDC PI Code	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light Icon	Notes & History Latest Note
CA_BV008	% of invoices paid on time	BV8	98.00%	77.28%				A total of 2421 invoices have been received YTD with 1871 paid within the 30 day time limit. Further training to ensure consistency with the workflow has been given to ensure the received invoices are acted upon as a matter of urgency.
LT_LI001	% of Council Tax collected	LT1	40.24%	39.78%				Customers financial circumstances are still affecting our efforts on recovery similarly we are moving towards a same day service on processing that will speed up recovery and see an improvement on overall collection rates.
RE_LI001	Rent Collection and Arrears Recovery	Rev1	94.69%	94.40%				Again for July, the rent & arrears collection figure is very slightly behind where we were at the end of July 2009 by 0.2%. We continue to pro-actively collect rent and chase arrears by contacting the customer promptly, promoting and facilitating benefit take up, working closely with Housing to support new tenants and work with Access and partner agencies to provide payment advice, guidance and debt and financial advice through all channels available.



Title: Budget Exceptions to 31 July 2010
To: Policy and Resources Committee
Date: 28 September 2010
Service Area: All Service Areas
Author: Nicola Chick Accountancy Services Manager
Presented by: Karen Iveson, Head of Service - Finance

1 Purpose of Report

- 1.1 To update Councillors with details of budget exceptions for the 2010/11 financial year to 31 July 2010.

2 Recommendations:

2.1 It is recommended to Council that:

- i. Councillors endorse the actions of officers and note the contents of the report.**
- ii. That the Policy and Resources Committee budgets be adjusted to reflect the savings expected to be achieved this year as per Appendix B, and that the Councils Medium Term Financial Plan be amended to take account of projected savings in 2011/12 and 2012/13 where these are not currently allowed for in the budget.**

Social Board

- iii. Councillors approve a supplementary estimate to the Housing Revenue Account Capital Programme of £816,000 to cover the cost of replacing the obsolete central heating systems.**

- iv. Councillors approve a supplementary estimate of £50,000 to the General Fund Capital Programme in respect of Disabled Facilities Grants. £43,000 to be funded from Housing Capital Receipts and £7,000 to be funded from General Fund budget savings.**

3 Executive Summary

- 3.1 The table in Appendix A shows details of budget exceptions within the General Fund and Housing Revenue Account for the financial year to 31 July 2010, summarised at service level.
- 3.2 Officers are currently forecasting a £308k overspend for the year against General Fund Budgets. Of this £112k will be funded from the Contingency budget, and £128k is to be met by virements from other savings. The remaining £68k will continue to be monitored and officers will seek to manage this variance within budget.
- 3.3 Latest forecasts suggest a net saving of £142k on the HRA for the year, in addition to the planned savings identified in Appendix B. Budgets will continue to be monitored closely and ultimately any in-year savings will increase HRA balances and be used to fund future commitments.
- 3.4 There is a £50k forecast overspend on General Fund Capital as a result of the demand for mandatory Disabled Facilities Grant funding.
- 3.5 A major overspend on the HRA capital programme (£816k), has been covered by a separate report to the September meeting of Social Board.
- 3.6 Officers are also forecasting a £358k shortfall on the approved General Fund savings plan for 2010/11 (shown at Appendix B) and are working on further savings proposals to cover this shortfall.

4 The Report

- 4.1 This report provides details of General Fund and Housing Revenue Account budget exceptions for the financial year 2010/11 and recommends appropriate action where required.
- 4.2 The current budgets for the year, including approved changes for carry forward budgets and virements, are:
- General Fund Revenue £12.392m
 - Housing Revenue Account £6.847m
 - General Fund Capital £6.025m
 - Housing Investment Programme £3.176m

Budget Exceptions

- 4.3 Appendix A highlights budget exceptions based on spending to the end of July, summarised as follows:-
- 4.4 Economy Board
(£108k) savings on General Fund Revenue budgets which it is proposed to use to offset additional costs elsewhere in General Fund budgets.
- 4.5 Environment Board
£61k overspend on General Fund Revenue budgets which are currently being monitored.
- 4.6 Planning Committee
£136k overspend on General Fund Revenue budgets. Of this, £76k is to be vired from Housing Benefit savings, with the remainder currently being monitored.
- 4.7 Policy and Resources Committee
£205k overspend on General Fund Revenue budgets, of which £11k is to be vired from Housing Benefit savings, £112k is to be funded from the Contingency budget, and the remainder is being monitored.
- 4.8 Social Board
£14k overspend on General Fund Revenue budgets to be met from savings identified elsewhere in the General Fund,

(£142k) saving on Housing Revenue Account budgets, which is currently being monitored,

£50k overspend on General Fund Capital to be met from Capital Receipts and revenue savings. A supplementary estimate is required as mentioned in para 2.1 (iv) above.

£800k overspend on Housing Investment Programme Capital, £816k of which will require a supplementary estimate as recommended in para 2.1 (iii) above.

Efficiencies and Savings

- 4.9 Appendix B summarises the savings that have been identified by officers for the services within the General Fund and Housing Revenue Account to date and also shows the progress made to date on each.
- 4.10 Overall the Council is still short of its £2.838m savings target and officers will continue to identify opportunities for further savings in order to meet the target by the end of 2010/11.

- 4.11 The Housing Revenue Account has a savings target of £120k for 2010/11. Planned savings which have been identified and achieved to date stand at £50k, leaving a shortfall of £70k. However, the savings highlighted in paragraph 4.5 above, could offset this shortfall.

5 Financial Implications

- 5.1 The financial implications are as stated in the report and as itemised at Appendices A and B.

6 Conclusion

- 6.1 As at the end of July 2010, there are a number of forecasted variances against General Fund budgets. Where possible variances will be managed within the Councils approved budget, although supplementary estimates will be required for the capital items.
- 6.2 Officers will continue to monitor variances closely and if necessary recommendations for action will be brought to future meetings.

7 Link to Corporate Plan

- 7.1 Budget monitoring procedures support all of the Council's strategic themes by aiming to ensure that the corporate plan is delivered within the resources available.

8 How Does This Report Link to the Council's Priorities?

- 8.1 Budget monitoring procedures support all of the Council's priorities and progress against the Council's savings and Efficiency Strategy, specifically supports the priority of reducing our expenditure by a series of balanced measures.

9 Impact on Corporate Policies

- | | | |
|-----|--|------------------|
| 9.1 | Service Improvement | Impact |
| | Effective budget monitoring helps to ensure that the Council is aiming for continuous improvement as demanded by the principles of Best Value. | |
| 9.2 | Equalities | No Impact |
| 9.3 | Community Safety and Crime | No Impact |
| 9.4 | Procurement | No Impact |
| 9.5 | Risk Management | Impact |

This report helps to ensure the reduction of risks arising from unexpected under or overspending by enabling early preventative or remedial action to be taken.

9.6 **Sustainability** **No Impact**

9.7 **Value for Money** **Impact**

The Council is striving to deliver its services both efficiently and economically providing value for money for its customers.

10 Background Papers

10.1 Accountancy budget working papers.

BUDGET EXCEPTIONS REPORT

APRIL 2010 - JULY 2010

Budget Description	Annual Budget £000's	Forecast Variance £000's	One-Off/ On-going	Comments	Action
GENERAL FUND					
ECONOMY BOARD					
<u>Revenue</u>					
Housing Benefits	620	-135	On-going	This variance of £100k is based on the likelihood of stability throughout the year with little change in caseload or benefit rates and reimbursement of subsidy remaining at its current formula level. £35k of savings arises from 2 members of staff on maternity leave whose posts are not being back-filled. There is also potential for a further saving of £6k as both officers have requested to return on reduced hours, although formal agreement has not yet been made. This is not expected to have any impact on the performance of the section and therefore on-going resources are being reviewed.	Monitor and use savings to offset additional costs in other General Fund budgets
Industrial Units	-25	27	On-going	Several factors have influenced the variance on this budget, including a rent review implemented from 1 April 2010, but after the budgets were set. This has had the biggest impact at the occupied Hurricane unit of £10k. £9.5k of bad debt has been written off across various units, of which Swordfish Way suffered the largest amount £7k. The Vivars currently have 7 units vacant. It is anticipated that 3 will be let during September and 2 or 3 will be utilised by Property Services when Portholme Depot is fully vacated. There is 1 unit vacant at Sherburn Enterprise Centre, which will be filled shortly as the lease is currently being drawn up. The Prospect Centre has 2 units and Hurricane Close has 1 unit vacant.	Monitor and utilise savings identified in the General Fund to cover Rent Review losses and bad debt write offs.
Total Variance - Revenue		-108			
ENVIRONMENT BOARD					
<u>Revenue</u>					
Street Scene Contract	3,594	43	On-going	The forecasted increase in the contract costs is due to higher than budgeted inflation. The budget allowed for a 1.5% increase in the Street Scene contract from October 2010. Currently RPI is running at 3.86% and officers have based the forecast on this figure.	Monitor
Commercial Waste	-77	18	One -Off	Due to a problem with the recording of trade waste tonnages at NYCC, an additional invoice for £18k has been paid for disposal charges relating to 2009/10. As this additional cost was not built into the pricing of the 2010/11 charges, officers will monitor the situation to determine how this variance is to be covered.	Monitor
Total Variance - Revenue		61			

Appendix A

PLANNING COMMITTEE					
Revenue					
Development Services - Specialist Fees	0	20	One-off	Two applications have been submitted requiring specialist retail advice. The consequence of not receiving advice could result in applications going to appeal which could cost £100k with a potential of £50k costs for each application (Total £300k).	Virement from Housing Benefit Savings
Development Services - Planning Consultants	40	56	One -Off	Revised quotes have been received from the consultants for dealing with Wind Farm applications. The consequence of not receiving advice could result in applications going to appeal which could cost £100k with a potential of £50k costs for each application (Total 600k).	Monitor and virement from Housing Benefit Savings
Development Services - Planning Fees	-567	60	One -Off	The large planning fees expected to be received in 2010/11 were received at the end of 2009/10. No additional applications are currently forecast to reduce this shortfall.	Monitor
Total Variance - Revenue		136			
POLICY AND RESOURCES COMMITTEE					
Revenue					
Land Charges Income		60	On-going	Due to the decline in the Housing Market over recent years, the demand for Land searches has also reduced. Assuming current trends continue there will be an income shortfall of approximately £40k. In addition to this, from 1st August the regulations in respect of charging for personal searches have changed whereby Council's can no longer charge for them. The fee was previously £22 per search and the shortfall forecast is based on 2009/10 income. The knock-on effect of this is that this may result in a further decline in full search requests, due to information being freely available as a personal search. To give an idea of the impact, a 10% reduction would equate to a further £9k loss of income.	Monitor
Drainage Board Levies	1,421	11	On-going	The 2010/11 budget for Drainage Board precepts included an estimated increase of 1.5%. When the actual levies were issued, the average increase was nearer 2.3%.	Virement from Housing Benefit Savings
External Interest Payments	744	112	One-off	The additional £112k interest payment is in relation to the borrowing for the new Civic Centre element of the Community Project. The £2.6m loan was taken from the PWLB at the end of 2009/10 rather than the end of 2010/11	Fund from the contingency budget
Investment Income	-271	22	One-Off	Reduction in GF share of investment income. Overall shortfall due to current financial markets. Budgeted target return was 1.5% forecasted return 1.38%	Monitor
Total Variance - Revenue		205			

SOCIAL BOARD (GF)					
<u>Revenue</u>					
Leisure Contract	293	9	On-going	The forecasted increase in the contract costs is due to two factors. (1.) The budget allowed for a 1.5% increase in the Leisure contract from April 2010. The increase in the contract is based on RPI at January. RPI in January 2010 was 4.63% which equates to an additional £9k. (2.) There is a one off payment of £5k for irrecoverable VAT to be paid on the capital works being carried out at the Abbey Leisure Centre.	Virement from Housing Benefit Savings
		5	One-off		Virement from Housing Benefit Savings
Total Variance - Revenue		14			
TOTAL GENERAL FUND VARIANCE					
308					
<u>HOUSING REVENUE ACCOUNT</u>					
<u>Revenue</u>					
Central Heating Maintenance & Servicing - Gas	278	-28	One-Off	Officers have been informed that under the Carbon Emissions Reduction Target (CERT) the Council is able to claim grant funding retrospectively for central heating and insulation works done on certain dwellings since 2008. This funding is estimated at £28k. Currently the Council is experiencing a high level of gas and solid fuel system failures with many being condemned resulting in a need for a replacement boiler or system this will impact on the capital programme see HRA Capital Programme.	Transfer this saving to the HRA Capital programme to assist with the costs of replacing the gas & solid fuel heating systems.
Housing Subsidy Payments	3,970	56	One-off	The Interest rate for the debt element of the housing subsidy calculation has reduced meaning that the Council will receive a lower subsidy allowance for this and the payment of subsidy back to the Government will increase from £3,970k to £4,026k.	
Housing Rents (Dwellings & Garages)	9,530	-170	One-Off	The budget for Housing rents were set around data used for the HRA business plan. Subsequently this budget is too low. Prudent forecasts suggest that this budget is exceeded based on the rent debit raised to date.	Continually monitor this position, savings to be utilised to support overspends within the HRA.
TOTAL HRA VARIANCE					
-142					
<u>CAPITAL</u>					
<u>GENERAL FUND</u>					
Disabled Facilities Grants	300	50	One-Off	Disabled Facilities Grants (DFG) are mandatory grants which the Council is required to fund. The number and cost of these grants has increased this year. It is unlikely that there will be any additional Government contribution. This increase is the subject of a report to Social Board.	Fund from 09/10 Housing capital receipts £35k and Covenant Capital Receipt in 10/11 £8k and General Fund Revenue Savings £7k

Appendix A

TOTAL GF CAPITAL VARIANCE		50			
<u>HOUSING REVENUE ACCOUNT</u>					
HRA Capital Programme	0	816	One-off	By law Selby District Council has a duty to service and inspect all of the gas and solid fuel appliances and systems in its properties. SDC employs Help-link UK to carry out this servicing. SDC also employs Morgan and Lambert to carry out audits of this servicing on a ratio of approx 10%. Currently the Council is experiencing a high level of gas and solid fuel system failures with many being condemned resulting in a need for a replacement boiler or system. The servicing is approximately 60% complete. Officers and the contractor have looked at the age and type of systems still to be serviced and predict that this work will cost £816k. Officers are contacting other authorities to find out if they are experiencing similar problems particularly where new regulations have come into force.	Officers are reviewing the HRA maintenance plan to see where the replacement of these systems is profiled and looking at the options available and a report has been submitted to the September meeting of Social Board.
HRA Capital Receipts	0	-16	One-Off	Capital receipt in respect of the release of a covenant on land at Beal. As an HRA receipt it will be subject to the Government Pooling Regulations of 50% or £8k.	Add to capital programme resources and use to fund DFG if revenue savings cannot be found.
TOTAL HRA CAPITAL VARIANCE		800			

GENERAL FUND BASE BUDGET SAVINGS/EFFICIENCIES ACTION PLAN 2009/10 - 2010/11 (V41)**Key:**

Green	Savings likely to be achieved/low risk
Amber	Tentative savings - further work required/medium risk
Red	Savings require a change in Council policy or significant change in service delivery/high risk

General Fund

Proposed Savings	Status	Previous	Latest	2011/12	2012/13	Progress
		2010/11	2010/11			
		£	£	£	£	
Benefits/Local Taxation - Howden Link	Green	8,540	8,540	8,540	8,540	Completed
E-Gov - maintenance costs on DIP hardware	Green	8,000	8,000	8,000	8,000	Completed
ISP	Green	20,000	20,000	20,000	20,000	Completed
Gas/Electricity	Green	25,000	25,000	25,000	25,000	Completed - historic error in billing for Civic Centre resulting in annual undercharge of £45k
Expanded Building Control Partnership	Green	10,610	10,610	10,610	10,610	Completed
Expanded Building Control Partnership	Red	-	-	5,000	5,000	Board have agreed to Richmondshire joining the partnership from 1 April 2010. £5k saving will not be achieved in 2010/11. Future savings will be subject to review
On-line recruitment advertising	Green	10,000	10,000	10,000	10,000	Completed
Plain English Campaign	Green	3,000	3,000	3,000	3,000	Completed
Expansion of Audit Partnership	Green	3,000	3,000	3,000	3,000	Completed
Change in postal provider	Green	8,400	8,400	8,400	8,400	Completed - TNT contract commenced January 2010
Change provider for telephone calls and rationalisation of telephone accounts	Red	-	7,200	10,800	10,800	Awaiting outcome of market testing
Central Photocopying/printing	Amber	15,000	12,000	20,000	20,000	Contract signed - implementation being planned for September 2010
Insurance contract - collaboration between HDC/RDC (see shared procurement service below - ref	Green	41,000	41,000	41,000	41,000	Completed
Combined Street Scene Contract/Alternate Bin Collections	Green	585,853	585,853	763,853	763,853	Completed
Leisure Trust	Green	316,562	316,562	342,527	342,527	Completed

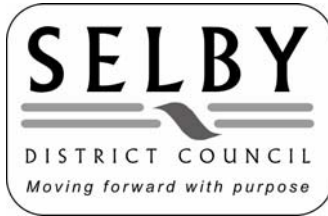
Proposed Savings	Status	2010/11 £	2010/11 £	2011/12 £	2012/13 £	Progress
Collaborative corporate contracts through shared procurement service (see Insurance contract* above - ref 14)	Red	45,000	-	45,700	75,700	Implementation of the new partnership arrangements started 1st August 2009. Procurement Strategy and workplan delayed to November 2009. Achievable savings in 2010/11 and 2011/12 profiled up to long term target of £150k. Telephony, CCTV and Elections projects to be completed 2010/11 no further projects planned in 2010/11 at this stage
Note: The balance of this target will reduce as individual procurement projects are identified						
Browsealoud Subscription	Green	500	500	500	500	Negotiation of 3 yr subscription - completed
New stationery contract	Green	9,380	9,380	9,380	9,380	Completed - new framework contract let w.e.f. 1 April 2009 - 30% saving achievable
New Treasury Management Advisory Service contract	Green	3,000	3,000	3,000	3,000	Completed - new contract commenced 1 July 2009
Benefits Calculator	Red	5,000	5,000	5,000	5,000	Exploring potential of free national calculator
Audit Partnership	Red	-	-	20,000	20,000	Exploring options for future service delivery in North Yorkshire - may be delayed until partnership agreement is due for renewal from April 2012
Partnering Revs and Bens	Red	-	-	100,000	100,000	Options appraisal to be carried out by September 2010
Partnering Back Office Support (Accountancy/Central Admin/ICT etc)	Red	7,000	7,000	50,000	50,000	New financial management system being implemented in partnership with Hambleton and Richmondshire district councils - new financial processes should lead to efficiencies but these have still to be quantified. Concordat with Harrogate and Craven councils being explored. The accountancy and admin restructure is expected to deliver the savings in 2010/11
Shared Legal Service	Red	-	-	20,000	20,000	Aspirational at this stage work has started to scope the service
Other commissioning projects	Red	-	-	80,000	330,000	Commissioning strategy has been approved and proposals for the Environmental Health Service are being formulated
Election software	Red	-	-	1,500	1,500	New software to replace existing - current cost of licences etc is £16.5k/year, would expect min saving of 10% on current cost levels. Potential for partnership working with other LA's in Yorks/Humberside
CCTV	Red	-	-	12,000	12,000	Current level of spend on monitoring is £60k plus £12k SDC officer cost, plus line rentals/data transfer and repair costs that give yearly cost of £110k - £120k. Potential for partnership working with SBC, saving shown is minimum level as no officer cost should be required in Selby
		1,074,845	1,034,045	1,576,810	1,856,810	

Proposed Savings	Status	2010/11 £	2010/11 £	2011/12 £	2012/13 £	Progress
BPR - E-Gov	Green	34,000	34,000	34,000	34,000	Completed
EH Technician	Green	22,500	22,500	22,500	22,500	Completed
Development Control - On-line consultations	Amber	3,130	3,130	3,130	3,130	Partial implementation April 2010. Full implementation not possible due to technical issues
BPR - Central Admin	Amber	21,300	21,300	21,300	21,300	Currently holding 2 vacancies filled with temporary employees - awaiting restructure/merger with Accountancy
BPR - Local Taxation and Bens	Green	79,900	79,900	79,900	79,900	Completed
BPR - Planning (Phase 1)	Amber	55,000	55,000	55,000	55,000	Valueadding.com carried out BPR exercise alongside an in-house team. Identified total potential for £94k savings subject to investment in IT. £67k savings achievable 09/10 due to staff turnover, less transfer of £12k costs to Access Selby for increased call handling. There is potential for a further £27k saving based on
Review of Corporate Structures	Green	10,000	10,000	10,000	10,000	Completed
BPR - ICT	Amber	30,000	30,000	30,000	30,000	Retirement of 1 officer July 2008 - Potential restructuring has been put on hold pending exploration of shared services with Craven DC. Holding 1 vacancy
BPR - Accountancy	Amber	30,000	30,000	30,000	30,000	Currently holding 2 vacancies filled with temporary employees - restructure proposals being finalised in consultation with employees and union
BPR - Environmental Health	Green	11,380	11,380	11,380	11,380	Completed
BPR - Planning (Phase 2)	Red	-	-	55,000	55,000	Not started
BPR - HR	Red	5,000	5,000	5,000	5,000	Discussing potential of a shared service with other districts in North Yorkshire. Work has slowed down due to potential partners reassessing their position, although work on shared occupational health training provisions and Health and
BPR - Corporate Debt Recovery	Red	20,000	5,000	20,000	20,000	BPI project started
Other BPI projects	Red	50,000	-	125,000	175,000	Value for money assessment undertaken across all major services - project plan for 2010/11 with priority projects, formulated
BPR - Revs and Bens (Phase 2)	Red	-	50,000	50,000	50,000	Vacancy currently being held and potential for further savings is possible
BPR - Procure to Pay (£15k GF and £15k HRA)	Red	-	-	15,000	15,000	Proposal to review procure to pay processes across all departments
Review of remaining cash collection	Red	-	5,000	10,000	10,000	Proposal to review remaining cash collection operations
		372,210	362,210	577,210	627,210	

Proposed Savings	Status	2010/11 £	2010/11 £	2011/12 £	2012/13 £	Progress
Barlby Depot	Red	20,000	20,000	20,000	20,000	Options to be reported to P & R following T & F Group. To be included in new Asset Management Plan
Rental of excess space at Civic Centre	Amber	11,000	-	13,497	13,497	This is now to be replaced by existing housing and property services staff relocating back to civic and to the vivars industrial units. This is to happen before Dec 2010, with the Vivars move becoming permanent. In addition, there is a saving to the HRA of £26,833.
Realising opportunities to maximise income on assets through advertising and sponsorship	Red	-	-	-	-	Project on hold pending reassessment of likely savings in the current economic climate and the resources required to deliver them
Running costs of new Civic Centre	Amber	-	-	-	40,000	SHA approved final business case - work on site started - status upgraded to Amber
Closure of Tadcaster office	Red	-	-	40,000	40,000	Deliver services through alternative accommodation
		31,000	20,000	73,497	113,497	
Housing Benefits (Net)	Green	48,000	48,000	48,000	48,000	Completed
Firewall Improvement	Green	18,000	18,000	18,000	18,000	Completed
ICT - Decommissioning of Citrix Server	Green	3,000	3,000	3,000	3,000	Completed
Council Tax Postage	Green	2,320	2,320	2,320	2,320	Completed
Court Costs Income	Green	10,000	10,000	10,000	10,000	Completed
2nd Class Post	Green	6,000	6,000	6,000	6,000	Completed
Car Park Income	Green	24,000	24,000	24,000	24,000	Completed
Power Station Consultancy	Green	5,000	5,000	5,000	5,000	Completed
Investment Income/Treasury Management	Green	15,000	15,000	15,000	15,000	Completed
Recycling	Green	44,500	44,500	44,500	44,500	Completed
Telecommunications Mast	Red	-	-	13,000	13,000	Awaiting formulation of proposals
Car Allowances	Green	13,500	13,500	13,500	13,500	Completed - additional £3k achieved above £10.5k target
Review of payment methods	Green	12,000	12,000	12,000	12,000	P & R approved withdrawal of cash and cheques at Access Selby and Tadcaster office with effect from 1st June 2010.
		201,320	201,320	214,320	214,320	

Proposed Savings	Status	2010/11 £	2010/11 £	2011/12 £	2012/13 £	Progress
Pre 1974 Pension Costs (West Yorkshire Pension Fund)	Green	30,000	30,000	30,000	30,000	Completed
Refuse Collection/Grounds Maint etc Contract Inflation	Green	29,850	29,850	29,850	29,850	Completed
Hull & Goole Port Health Authority	Green	18,130	18,130	18,130	18,130	Completed
Homelessness	Green	10,000	10,000	10,000	10,000	Completed
2007/08 Pay Award	Green	34,000	34,000	34,000	34,000	Completed
2008/09 Pay Award	Green	17,500	17,500	17,500	17,500	Completed
Base budget review	Green	335,710	335,710	335,710	335,710	Concessionary Fares spend for 2008/09 confirmed
Pay award 2009/10	Green	105,000	105,000	105,000	105,000	Completed - budgeted for 3% pay award - 1% award now confirmed
Former employee retirement costs	Green	7,940	7,940	7,940	7,940	Completed - budgets reviewed for 2010/11
Accountancy subscriptions	Green	1,890	1,890	1,890	1,890	Completed - budgets reviewed for 2010/11
Place Survey	Green	-	10,000	10,000	10,000	Completed
		590,020	600,020	600,020	600,020	
Concessionary Fares - Rail Travel	Green	20,000	20,000	20,000	20,000	Completed
Health Improvement	Green	5,000	5,000	5,000	5,000	Completed
Fees and Charges 2008/09	Green	125,000	125,000	125,000	125,000	Completed although income will be monitored through quarterly budget management reports
Introduction of new charge for planning advice	Red	17,500	17,500	35,000	35,000	Preparatory work started - report to P&R due July 2010. Saving unlikely to be achieved until 2nd half of 2010/11
Review discretionary licensing charges to achieve breakeven	Green	5,000	5,000	5,000	5,000	Completed
Increase in car park charges	Red	-	-	-	15,000	Savings unlikely to be achieved 11/12 following decision of Environment Board to defer fees review in September 2010 for 12 months to support local economy in current economic climate. Subsequent years is dependant upon Council decision in 11/12.
Closure/transfer of Markets	Red	3,420	3,420	3,420	3,420	Tadcaster Market successfully transferred to Tadcaster Social Club September 2009. Current negotiations with Selby TC with proposed transfer 1st September 2010 on track. Interim arrangements in place, with Bradford MBC until September 2010. Savings will not be achieved due to delay in implementation.

Proposed Savings	Status	2010/11	2010/11	2011/12	2012/13	Progress
		£	£	£	£	
Barlow Nature Reserve	Red	15,000	15,000	30,000	30,000	Discussions commenced with NYCC - SLA extended and further review planned for the Autumn 2010.
Commercial Waste Income	Red	27,600	9,600	27,600	27,600	£60k surplus estimated in 2010/11 against a budget of £78k - will need to review resources in light of future income projections. Status down graded to Red.
Abbey Leisure Centre Income	Green	10,000	3,333	-	-	Excess income over budget due to grant for over 60's swimming - grant withdrawn from July 2010.
Subsistence Allowance	Amber	2,500	2,500	5,000	5,000	Remove subsistence payments. Status upgraded to Amber
Reduce opening hours at Access Selby	Amber	26,000	26,000	35,000	35,000	Completed - a review of the arrangements will be presented to P&R in December 2010
		250,180	225,513	284,180	299,180	
		37,794	36,647	117,409	207,840	
		2,557,368	2,479,754	3,443,446	3,918,877	
Target per MTF5 2009-19 (V2.2)		2,228,600	2,228,600	2,228,600	2,228,600	
Add: 2009/10 in year growth re rail		9,000	9,000	9,000	9,000	
Add: Revised Headroom		600,000	600,000	1,200,000	1,800,000	
Indicative New Target		2,837,600	2,837,600	3,437,600	4,037,600	
Shortfall/Surplus (-/+)		- 280,232	- 357,846	5,846	- 118,723	



Public Session

Agenda Item No:14

Title: Strategic Programme Performance Update:
April 2010 – August 2010

To: Policy and Resources Committee

Date: 28 September 2010

Service Area: Finance

Author: Chris Smith – Corporate Improvement Officer

Presented by: Karen Iveson, Head of Service – Finance

1 Purpose of Report

1.1 The purpose of this report is to provide a progress update on the Council's Strategic Programme.

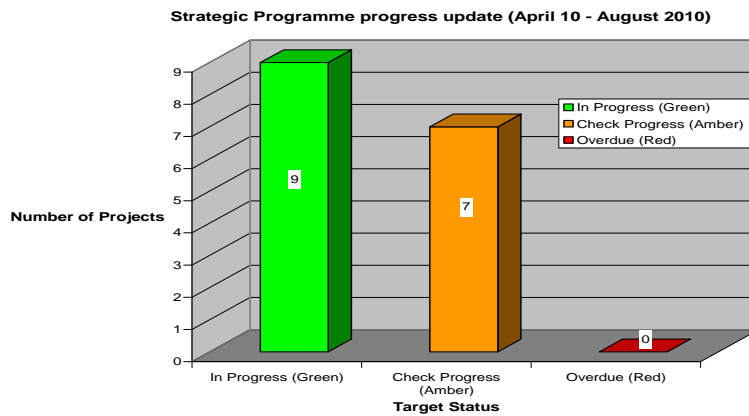
2 Recommendation


2.1 It is recommended that accountable officers take the necessary action to bring projects back on track by the end of the next reporting period.

3 Executive Summary

3.1 A total of 16 projects make up the 2010/11 Strategic Programme and performance is monitored using action milestones and key performance indicators (KPIs).

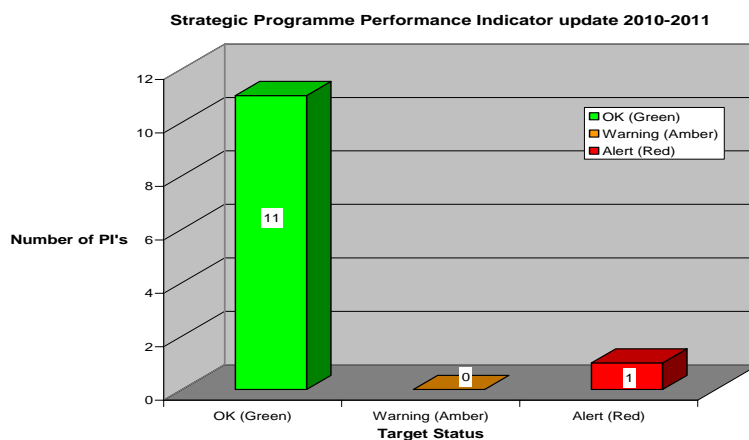
3.2 Although progress is being made, 44% of projects (7) have missed milestones (shown as Amber on the graph below) and require urgent attention by accountable officers.



3.3 Appendix A highlights the projects where action is needed, using the  status icon.

3.4 There are 38 KPIs linked to the Strategic Programme although there are only 12 which have reported data to the end of July. 18 of the 38 KPIs are reported annually. Of the 12 indicators which currently hold data, 11 are above target.

3.5 It must be stressed that with only 12 out of the 38 performance indicators holding data, overall performance could change significantly once data on the remaining 26 indicators is available.



3.6 Progress on approved savings in 2010/11 is below target (currently forecast at £2.5m against a target of £2.8m) and therefore proposals for further savings are needed.

3.7 Performance data for leisure services should have been reported in this period but so far no data has been received from Wigan Leisure & Culture Trust – this is being pursued by the Head of Service for Partnerships and Commissioning.

3.8 Notable improvements in performance include waste and recycling and Customer Services.

- 3.9 Waste and recycling indicators relate to April 2010 only, but show improvement against the same period last year. The percentage of household waste arising which has been sent for recycling has seen the highest percentage since October 2009 at 44.66%. This is an increase of 5.8% on April 2009 (38.87%). And in April this year, the kilograms of household waste not sent for recycling/composting was 50kgs, compared to 60kgs last year.
- 3.10 All Customer Services indicators are above target – an average of 84% of calls have been answered within 20 seconds and the average face to face wait time was 7.75 minutes.

4 Financial Implications

- 4.1 Subject to the actions determined by councillors to address weakness identified, there are no financial implications arising from the contents of this report.
- 4.2 Any actions identified for improvements to performance would need to be properly assessed for financial implications and, if required, approval for any additional funding sought and such issues would be highlighted in the budget exceptions report elsewhere on the agenda.

5 Conclusions

- 5.1 It is recommended that accountable officers take the necessary action to bring projects back on track by the end of the next reporting period.

6 Link to Corporate Plan

- 6.1 The ongoing management of performance and improvement data assists the Authority in achieving its strategic themes and priorities.

7 How Does This Report Link to the Council’s Priorities?

- 7.1 The ongoing management of performance and improvement data assists the Authority in achieving its priorities.

8 Impact on Corporate Policies

8.1 Service Improvement

The continual monitoring of service areas will address areas of weakness, if any, highlighted. **Impact**

8.2 Equalities **No Impact**

8.3 Community Safety and Crime **No Impact**

8.4 Procurement **No Impact**

8.5 Risk Management **Impact**

There is a significant risk given the impact that performance management has on the outcome of Council and service area inspections.

8.6 **Sustainability** **No Impact**

8.7 **Value for Money** **Impact**

The on-going management of performance will facilitate improvement in services and hence value for money.

9 Background Papers

9.1 Appendix 1 – Strategic Programme Performance Management Framework Report Quarter 1 (April 2010 – August 2010)

Appendix 2 – Strategic Programme Performance Indicator Report Quarter 1 (April 2010 – July 2010)






Strategic Programme - Projects Overview 2010-2011 (April 2010 – August 2010)

Report Type: Actions Report




Report Author: Chris Smith

Generated on: 02 September 2010






Action Status	
	Cancelled
	Overdue; No longer assigned
	Unassigned; Not Started; Check Progress
	Resuming; In Progress; Assigned
	Completed



Code & Title SP1011.1.0 Putting Customers First

Status Icon	Project	Action Desired Outcome	Status Progress	Notes & History Latest Note
	SP1011.1.1 Strengthening the voice of our communities	Empowered and involved citizens. Joined up services which meet the needs of local people. Future service delivery shaped. Identified issues affecting how residents feel about the local area.	33 %	Southern CEF A provisional vision statement has been drafted and will go back to the Partnership Board and the councillors will take this into their communities for consultation, taking their views into account for the future development of the area. Problem Solving training for Partnership Board members for both Southern and Tadcaster will be held on 25 August 2010 to better equip councillors to address public issues.
	SP1011.1.2 Wider application of Customer Service Standards	To develop service standards where appropriate in a consistent and corporate format.	33 %	Next actions are to establish the current service standards and identify internal and external examples of good practice.
	SP1011.1.3 North Yorkshire Access to Services Strategy	Improved access to NYCC, SDC and other partners' services for residents.	14 %	Mystery Shopping project Will deliver on telephone channel first, then written/ email/web channels and finally face-2-face. Leads will present finalised programme at next CSM meeting Tell Us Once: NYCC have developed a manual system for reporting deaths and disseminating this information between partners. Applied to DWP to be in first tranche of early implementers, will implement as a partnership. Working Group developing testing systems and processes. Dates to be agreed as part of the Connect Partnership Working Group. Training Project: A Customer Services 2 day training programme is being developed across all partners. NYCC is leading on the project 'architecture' and discussions with partnership members, to inform and communicate the vision, have taken place. We are awaiting the completion of the implementation of the Google Search Appliance that will improve the search functionality across the region.



Code & Title SP1011.2.0 Protecting the Environment

Status Icon	Project	Action Desired Outcome	Status Progress	Notes & History Latest Note
	SP1011.2.1 Work with our communities to maintain a clean environment	To improve the cleanliness of streets and the environment.	12 %	<p>The Streetscene strategy was discussed at the April Environment Board and it was agreed the draft Strategy would be taken to the October Board for approval.</p> <p>Meeting held with NY Police and CSP to set out scope for joint working on litter enforcement.</p> <p>Enterprise have completed a review of our street cleansing regime and the new regime is now being implemented.</p>
	SP1011.2.2 Valuing our environment and reducing our carbon footprint	<p>To reduce the council's energy use resulting in savings to the base budget and reduce Co2 production.</p> <p>To increase climate change awareness in the community.</p> <p>To adapt to the effects of climate change.</p>	60 %	<p>Surveys of council owned properties will be completed by 27/08/2010 to allow firm proposal to be drawn up.</p> <p>'Ban the Plastic bag' survey has been available to the public on the SDC website. This has now been completed and the results have been passed to the Climate Change Action Group for review.</p> <p>Climate Change Action Plan has been drawn up with the intention of working with partners to tackle the key issues within the plan.</p>
	SP1011.2.3 Place Shaping	Robust strategic framework for investment.	40 %	<p>Publish publication draft of the Core Strategy by September 2010.</p>


Code & Title SP1011.3.0 Healthier Communities

Status Icon	Project	Action Desired Outcome	Status Progress	Notes & History Latest Note
	SP1011.3.1 Working to secure the delivery of a revitalised housing market	Adopted policy for negotiating affordable housing. Meet need identified in GTAA.	66 %	The plan to create a new Gypsy & Traveller site in Selby district has been put on hold due to the withdrawal of the government's Gypsy Accommodation Grant programme for 2010/11. The council are now re-assessing the current need for additional gypsy and traveller accommodation following the government's revocation of regional strategies placed the emphasis back onto local demands. In the meantime further options for extending existing sites within the district continue to be explored.
	SP1011.3.2 Continuing to enhance health and well-being	Improving opportunities and access to sport, leisure and recreation.	42 %	Playbuilder programme is on hold awaiting outcome of Coalition Government review. The audit of play provision across the district is now being done as part of a wider audit for PPG17



Code & Title SP1011.4.0 Promoting Prosperity

Status Icon	Project	Action Desired Outcome	Status Progress	Notes & History Latest Note
	SP1011.4.1 Working with our partners to secure the economic recovery of our community	Leeds City Region - Gap analysis of areas for collaboration.	0 %	Following the P&R meeting on 29 June 2010, the Chair asked for the Committee to request that the Chief Executive use emergency powers to divert staffing resource to the completion of the allocations DPD at the expense of the current programme for the Local Development Framework. This action was seen as necessary pending the announcement by the Secretary of State regarding local development planning arrangements following the disbandment of the Regional Spatial Strategy process.
	SP1011.4.2 Selby Community Project	Delivery of new community hospital and civic centre.	25 %	Discussions to continue with NYCC Highways with regard to a timetable for highways works. Planning application for temporary access to Green Lane to go to Planning committee on 25 August 2010 Decant strategy will gain in importance over the next few months in view of move planned 1 August 2011 Further design reviews will continue over the next few months

Code & Title SP1011.5.0 Community Safety




Status Icon	Project	Action Desired Outcome	Status Progress	Notes & History Latest Note
	SP1011.5.1 Working with our communities to maintain a safer environment in which to live work and play	To reduce crime and anti-social behaviour in the district.	33 %	The Community Safety Partnership is looking at the best ways to reduce harm caused by alcohol. The proposal is being developed in line with feedback from the Local Strategic Partnership and through the Nightsafe Group.

Code & Title SP1011.6.0 Making Better Use of Resources

Status Icon	Project	Action Desired Outcome	Status Progress	Notes & History Latest Note
	SP1011.6.1 Reducing our expenditure by a series of balanced measures	Balanced and sustainable budget over the life of the MTFS.	17 %	The Savings and Efficiency Strategy has been refreshed following the Coalition's emergency budget and progress against our action plan in 2009/10. Officers continue to work towards meeting savings and refresh action plan/targets/actual savings as required. A programme of BPI projects has been agreed and work has commenced.
	SP1011.6.2 Asset Management Plan	To review and make best use of the Council's Asset portfolio to deliver value for money	40 %	Second phase of Community Centre review completed and report presented to Social Board. Next phase to comprise detailed consideration and consultation regarding each centre, and reports back to Social Board. Detailed plans for vacating the Depot by Nov 2010 now being prepared. Occupancy rates will continue to be monitored as part of the performance management framework to inform marketing procedures and to enable more accurate income projections.

Code & Title SP1011.7.0 Organising to Deliver

Status Icon	Project	Action Desired Outcome	Status Progress	Notes & History Latest Note
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Status Icon	Project	Action Desired Outcome	Status Progress	Notes & History Latest Note
	SP1011.7.1 Advancing Strategic Commissioning	Effective SDC Commissioning Programme.	46 %	<p>The Joint Procurement Strategy has been approved by the Partnership Committee and will be taken to P&R in September following internal discussion.</p> <p>Service Analysis Matrix (SAM) reviewed and updated by Sarah Smith. A new action is now to apply the updated matrix to SDC services and functions.</p>
	SP1011.7.2 2011 Project	<p>Successful move to a new civic centre with minimal disruption to service delivery.</p> <p>Develop new and modern ways of working to meet the demands of the service.</p>	75 %	<p>Staff have been consulted on the proposed layout of the new office. The Working Group looking at new ways of working have agreed aims for the project.</p> <p>Housing and Property Services staff have relocated from the depot back into the Civic Centre.</p>
	SP1011.7.3 Delivering the Executive Structure	<p>Streamlined decision making.</p> <p>Improved accountability.</p> <p>Improved transparent of decision making.</p> <p>Increased delegation.</p>	33 %	<p>The Council will consider a formal decision in October 2010 to move to an executive structure. In the meantime, preparations will be put in place to facilitate the move including a review of the Council's constitution. Elements of the constitution are being reviewed using the IDEA communities of interest facility with all members of Council having the opportunity to log comments.</p> <p>Consultation with the community and partners ended in May. Training has been arranged for councillors.</p>
















Strategic Programme Performance Indicator Report (April 2010 – July 2010)

Report Type: PIs Report
Report Author: Chris Smith
Generated on: 20 July 2010



PI Status		Long Term Trends		Short Term Trends	
	Alert		Improving		Improving
	Warning		No Change		No Change
	OK		Getting Worse		Getting Worse
	Unknown				
	Data Only				

Putting Customers First

Code	Short Name	Collection Frequency	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light Icon
CS_LI001	80% of telephone calls directed through the Customer Contact Centre are answered within 20 seconds.	Monthly	80.00%	84.00%			
CS_LI002a	The measure of customer satisfaction with the services provided in the Call Centre (Phones)	Quarterly	85.00%	95.40%			
CS_LI002b	The measure of customer satisfaction with the services provided in the Customer Contact Centre. (F2F)	Quarterly	85.00%	96.10%			
CS_LI003	The measure of the quality of the contact either face to face or via the phone.	Monthly	80.00%	89.30%			
CS_LI004	The average wait time before a customer is seen by an advisor.	Monthly	10.00 min	7.75 min			

Protecting the Environment (Streetscene PI's only show April 2010 data)

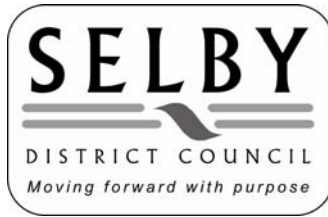
Code	Short Name	Collection Frequency	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light Icon
SS_NI 191	Residual household waste per household - kilograms of household waste collected that is not sent for reuse, recycling or is not composted or anaerobic digestion per household.	Monthly	50Kg	50Kg	↑	↑	✔
SS_NI 192	Household waste recycled and composted - Percentage of household waste arisings which have been sent by the Authority for re-use, recycling, composting or treatment by anaerobic digestion.	Monthly	40.00%	44.66%	↑	↑	✔

Community Safety

Code	Short Name	Old SDC PI Code	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light Icon
COS_NI015	Number of most serious violent crimes per 1,000 population	Quarterly	0.32	0.04	↑	↑	✓
COS_NI016	Number of recorded serious acquisitive crimes/total population x 1000	Quarterly	7	0.76	↑	↑	✓
COS_NI020	Assault with injury crime rate	Quarterly	4	0.81	↑	↑	✓

Making Better Use of Resources

Code	Short Name	Old SDC PI Code	Current Target	Current Value	Short Term Trend Arrow	Long Term Trend Arrow	Traffic Light Icon
AC_LI005	General Fund Savings	Monthly	£2,837.600	£2,152.102	↑	↑	⚠
AC_NI179	Value for money – total net value of ongoing cash-releasing value for money gains that have impacted since the start of the 2008-09 financial year Average 3% p.a cumulative to 2010/2011.	Annually	£1,074.000	£1,421.889	↑	↑	✓



Title:	Treasury Management – Monitoring Report to 30th June 2010
To:	Policy & Resources Committee
Date:	28 September 2010
Service Area:	Finance
Author:	Nicola Chick, Accountancy Services Manager
Presented by:	Karen Iveson, Head of Service - Finance

1 Purpose of Report

- 1.1 To update councillors on the Treasury Management activities of the Council for the period ending 30th June 2010.

2 Recommendation(s)

- 2.1 **Councillors endorse the actions of officers on the Council’s treasury activities for the period ending 30th June 2010 and note the contents of the report.**

3 Executive Summary

- 3.1 This report therefore ensures that the Council is embracing best practice in accordance with CIPFA’s revised Code of Practice for Treasury Management in issued in November 2009.
- 3.2 This report presents the Council’s Treasury Management activities for the first three months of the financial year to 30th June 2010. It considers both borrowing and investment decisions taken in the light of the interest rates and economic conditions prevailing at the time. It also considers the performance of our funds compared to benchmarks of average interest rates and our peers in the CIPFA Treasury Management Benchmarking Club.

- 3.3 The two key budgets related to the Council's Treasury Management activities are the amount of interest earned on investments £316k (£271k General Fund, £45k Housing Revenue Account) and the amount of interest paid on borrowing £856k. The latest forecast for investment income is £291k (£249k General Fund and £42k Housing Revenue Account).

4 The Report

Introduction and Background

- 4.1 This is the first monitoring report for Treasury Management in 2010/11 and covers the period 1 April to 30 June. During this period the Council complied with its legislative and regulatory requirements.
- 4.2 Treasury Management in Local Government is governed by the CIPFA "Code of Practice on Treasury Management in the Public Services" and in this context is the management of the Council's cash flows, its banking and its capital market transactions, the effective control of the risks associated with those activities and the pursuit of optimum performance consistent with those risks. This Council has adopted the Code and complies with its requirements.
- 4.3 The Council's Treasury Strategy, including the Annual Investment Strategy was approved by Policy & Resources Committee on 23 March 2010 and this incorporated the Prudential Indicators which had been approved by Council at its meeting on 2 March 2010.

Interest Rates and Market Conditions

- 4.4 The Bank of England has maintained interest rates at 0.5% (the "bank rate") which is an historically low level and the first bank rate rise is now expected to be in 2011.
- 4.5 Consumer Price Inflation (CPI) rose from 3.4% in March to a peak of 3.7% in April before falling back to 3.4% in May and 3.2% in June. With the Retail Price Index (RPI) rising from 4.8% to 5.3% and then back to 5.1% and 5.0% for the same period.
- 4.6 There is considerable uncertainty in forecast for both investment rates and PWLB borrowing rates due to the difficulties in forecasting the reversal of the Bank of England Quantitative Easing programme, the tough cuts outlined in the Emergency Budget, the speed of recovery of the banks to profitability, consumer savings and the balance of the UK economy in terms of imports and exports.

- 4.7 Interest rates for different periods continue to remain close to the bank rate as shown in Table 1. However, as can be seen from the table there has been a slight rise since April especially in the 3 month plus periods. This is because the forecasters are expecting a rise in rates by March 2011 of 0.25%. This movement is helping with the interest receipts that the Council obtains from its cash balances, but only marginally. The Council budgeted for an average 1.5% rate on investments in 2010/11 and currently it is forecast to be 1.38%.

Table 1: Average Interest Rates 1 April to 30 June

	April 2010	May 2010	June 2010
Base Rate (Bank Rate)	0.50	0.50	0.50
Over Night	0.35	0.35	0.35
7 Days	0.35	0.35	0.35
1 month	0.40	0.45	0.45
3 Months	0.50	0.60	0.65
6 Months	0.75	0.90	0.95
1 Year	1.15	1.25	1.30

- 4.8 The Council's Treasury Advisors, Sector provided a forecast for interest rates for both investments and PWLB borrowing as part of the Treasury Management Strategy and this forecast has changed. As a consequence of the Bank of England continuing to leave interest rates at their low level. Table 2 shows the forecast included in the Treasury Strategy and Table 3 shows the latest forecast.

Table 2 Forecast for Interest Rates Included in Treasury Strategy

	2010			2011		2012		2013
	Now	Q3	Q4	Q1/2	Q3/4	Q1/2	Q3/4	Q1/2
	%	%	%	%	%	%	%	%
Bank Rate	0.50	0.75	1.00	2.00	3.25	3.75	4.25	4.50
5 Yr PWLB	3.20	3.30	3.40	3.75	4.35	4.60	4.80	4.85
10 Yr PWLB	4.05	4.15	4.30	4.50	4.85	5.00	5.10	5.15
25 Yr PWLB	4.65	4.70	4.80	4.90	5.10	5.20	5.25	5.35
50 yr PWLB	4.70	4.75	4.90	5.10	5.20	5.30	5.35	5.45

Table 3 Forecast for Interest Rates June 2010

	2010			2011		2012		2013
	Now	Q3	Q4	Q1/2	Q3/4	Q1/2	Q3/4	Q1/2
	%	%	%	%	%	%	%	%
Bank Rate	0.50	0.50	0.50	0.75	1.25	2.13	2.88	3.50
5 Yr PWLB	2.29	2.50	2.60	2.88	3.33	3.98	4.45	4.65
10 Yr PWLB	3.58	3.80	3.85	4.10	4.45	4.73	4.90	5.05
25 Yr PWLB	4.31	4.45	4.50	4.63	4.85	5.10	5.23	5.25
50 yr PWLB	4.29	4.45	4.55	4.68	4.90	5.15	5.28	5.30

- 4.9 As can be seen from Tables 2 and 3 because the bank rate has remained at 0.5% this has had an impact on the forecast for rates later in this financial year and into the following financial years.

Table 4: PWLB Interest Rates Forecast For March 2011

Period	1 April 2010	30 June 2010
5 Year	2.84%	2.29%
10 Year	4.14%	3.55%
25 Year	4.62%	4.30%
50 Year	4.65%	4.32%

- 4.10 The forecasts are based on moderate economic recovery and moderate Monetary Policy Committee concerns about inflation looking two years ahead. There is a high level of uncertainty in all forecasts due to the factors involved and their sensitivity to each other.

Annual Investment Strategy

- 4.11 The Annual Investment Strategy outlines the Council's investment priorities which are :
- ✦ Security of Capital and
 - ✦ Liquidity of its investments

These priorities are consistent with those recommended by CLG and CIPFA.

- 4.12 The Council will aim to achieve optimum return on investments commensurate with the proper levels of security and liquidity. In the current economic climate it is considered prudent to mainly keep investments short – term. As deposits are maturing they are being invested in periods mainly up to six months with few up to one year, but nothing longer. This is enabling the portfolio to be positioned to take advantage of the rise in interest rates when it occurs in 2011.
- 4.13 The Council continues to invest in only highly credit rated institutions using the Sector suggested creditworthiness matrices which take information from all the credit ratings agencies. Officers can confirm that the Council has not breached its approved investment limits during the first three months of the year. Appendix A shows an analysis of Investments at 1 April 2010, and 30 June 2010.
- 4.14 With interest rates available remaining low this is having an impact on interest receipts. The budget monitoring for quarter 1 is forecasting that the Council is unlikely to achieve its interest income estimate of £316k of which £271k is allocated to the General Fund and £45k to the Housing Revenue Account. The latest forecast is for interest receipts to total £291k giving a revised budget forecast of £249k for the General Fund a shortfall of £22k and £42k revised budget forecast for the Housing Revenue Account a shortfall of £3k.
- 4.15 The average level of funds available for investment during the three months to June was £23.4m. These funds were available on a temporary basis, and the level of funds available was mainly dependent on the timing of precept payments, receipt of grants and progress on the capital programme. The Council holds approximately £17.5m of core cash balances made up of earmarked reserves and capital receipts set aside to repay debt for investment purposes (i.e. funds available for more than one year).
- 4.16 The Council has a benchmark of its budget target of 1.5% to reflect performance investments. The average rate to June was 2.12% which is above benchmark, but is due to investments which were placed during 2008/09 at rates of 6% which have matured in June. The average rate currently forecast for the year is 1.38%. This is due to investments being replaced at the lower market rates.
- 4.17 The impact of lower than forecast interest rates means that as investments mature and are reinvested the interest earned will be less. The forecast at the time that the budget was set was for interest rates to start to rise and reach 2.00% by March 2011 this is now unlikely and the forecast has been revised to 0.75%. The impact is that the interest rates currently on offer are averaging between 0.4% and 1.3%.

- 4.18 The Council is a member of the CIPFA Treasury Management benchmarking club, and Table 5 shows a comparison of the Council's returns against the average from the club for the first three months of the year.

Table 5: Comparison of Selby District Council Average Investment rates Compared to CIPFA Benchmarking Club Average.

	April	May	June
Club Average	2.35	2.38	1.16
Selby DC	2.58	2.52	1.23

- 4.19 As can be seen from the table the Council is performing marginally better than the club average. However as higher rate investments mature and are replaced at lower rates the differential reduces.

Borrowing

- 4.20 It is a statutory duty for the Council to determine and keep under review its "Affordable Borrowing Limits". The Council's approved Prudential Indicators (affordable limits) were outlined in the Treasury Management Strategy Statement (TMSS). A list of the limits is shown at Appendix B. Officers can confirm that the Prudential Indicators were not breached during the first nine months of the year.
- 4.21 The TMSS indicated a need to take long term borrowing for the Selby Community Project. This borrowing was taken with guidance from Sector from the PWLB in March 2010. Councillors were advised of this in the 2009/10 Treasury Management Annual review report approved by Policy & Resources Committee at its meeting on 29 June 2010. The TMSS also indicated that there may be a need to externalise the borrowing allowance used to fund the HRA capital programme, this has yet to be done. For cash flow purposes the Council has temporarily borrowed between £1.0m and £1.5m on four occasions at a cost of £190.41 and an average rate of 0.32%. This is shown in table 6.

Table 6: Analysis of Temporary Borrowing

	£1,000	£1,500
April	8 days	
May	8 days	
June (2 Loans)		3 days

- 4.22 The Council approved an Authorised Borrowing Limit of £20.0m and an Operational Borrowing Limit of £16.0m for 2010/11. The highest total gross amount of borrowing in the year to 30 June has not been more than £14.125m on any occasion.

5 Financial Implications

- 5.1 There are no financial implications as a result of this report. The financial implications in respect of investment interest have been reported in the budget monitoring report. However, the Head of Service - Finance and Accountancy Services Manager will, with advice from the Council's advisor (Sector Treasury Services) look to maximise opportunities with the Council's investment and borrowing position.

6 Conclusions

- 6.1 The impact of the economy, and the turmoil in the financial markets, is having an impact on the Council's investment returns.

7 Link to Corporate Plan

- 7.1 The Treasury Management Strategy and Annual Investment Strategy support the Council's strategic theme 'making better use of resources'.

8 How Does This Report Link to the Council's Priorities?

- 8.1 The Treasury Management Strategy and Annual Investment Strategy support all the Council's priorities.

9 Impact on Corporate Policies

9.1 **Service Improvement** **No Impact**

9.2 **Equalities** **No Impact**

9.3 **Community Safety and Crime** **No Impact**

9.4 **Procurement** **No Impact**

9.5 **Risk Management** **Impact**

This report helps to keep Councillors aware that the Council is managing the risks associated with treasury management by ensuring that best practice is

adhered to. The aim is to minimise the risk to Council reserves through market, interest rate and credit risks.

9.6 Sustainability **No Impact**

9.7 Value for Money **Impact**

The timing of investing and borrowing is crucial to ensure that the Council's obligations to fund services and pay for the costs associated with debt can be sustained, and that the best possible interest rates are obtained.

10 Background Papers

10.1 Within the accountancy section treasury management files.

APPENDIX A

Analysis of Deposits At 1 April 2010 and 30 June 2010

Institution	At 1 April 2010			At 30 June 2010		
	Amount £'000	Maturity	Rate %	Amount £'000	Maturity	Rate %
Santander	1,000	12-Apr-10	0.75	1,000	12-Oct-10	1.18
Barclays	3,000	02-Jun-10	6.20	1,000	18-Oct-10	0.79
Royal Bank of Scotland	3,000	02-Jun-10	6.20			
Clydesdale	1,000	07-Jun-10	0.53			
Santander	1,000	09-Jul-10	1.57	1,000	09-Jul-10	1.57
Abbey National	1,000	11-Aug-10	1.24	1,000	11-Aug-10	1.24
Leeds City Council	2,000	15-Sep-10	0.45	2,000	15-Sep-10	0.45
Lloyds TSB	3,000	01-Dec-10	3.20	3,000	01-Dec-10	3.20
Nat West Bank	2,000	01-Dec-10	1.32	2,000	01-Dec-10	1.32
Leeds City Council	3,000	05-Jan-11	0.55	3,000	05-Jan-11	0.55
HSBC	2,000	16-May-11	1.13	2,000	16-May-11	1.13
Yorkshire Bank				2,000	28-Jul-10	0.85
Santander				1,000	02-Dec-10	1.28
Barclays				1,000	14-Dec-10	0.97
Lancashire County Council				1,000	20-Dec-10	0.50
City of Newcastle				2,000	01-Apr-11	0.6
Nat West Bank				1,000	02-Jun-11	1.35

Prudential Indicators – As at 30 June 2010

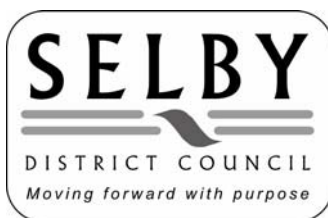
Note	Prudential Indicator	2010/11 Indicator	Quarter 1 Actual
1.	Mid Year Capital Financing Requirement £'000	111	111
	Gross Borrowing £'000	11,541	8,533
	Investments £'000	-25,850	-26,000
2.	Net Borrowing £'000	-14,309	-17,467
3.	Authorised Limit for External Debt £'000	20,000	20,000
4.	Operational Boundary for External Debt £'000	16,000	16,000
5.	Limit of fixed interest rates based on net debt %	100%	100%
5.	Limit of variable interest rates based on net debt %	30%	0%
6.	Principal sums invested for over 364 days		
	1 to 2 Years £'000	20,000	16,000
	2 to 3 Years £'000	15,000	0
	3 to 4 Years £'000	5,000	0
	4 to 5 Years £'000	5,000	0
7.	Maturity Structure of borrowing limits		
	Under 12 Months %	20%	9.10%
	1 Year to 2 Years %	20%	0.07%
	2 Years to 5 Years %	50%	0.04%
	5 Years to 10 Years %	75%	67.42 %
	10 Years and above %	75%	23.37%

Notes to the Prudential Indicators

1. Capital Financing Requirement – this is a measure of the Council's underlying need to borrow long term to fund its capital projects. The information in the table shows a need to borrow £111k at 31 December
2. Net Borrowing (Gross Borrowing less Investments) – this must not exceed

in the short term exceed the capital financing requirement.

3. Authorised Limit for External Debt – this is the maximum amount of borrowing the Council believes it would need to undertake its functions during the year. It is set above the Operational Limit to accommodate unusual or exceptional cashflow movements.
4. Operational Boundary for External Debt – this is set at the Council's most likely operation level. Any breaches of this would be reported to Councillor's immediately.
5. Limit of fixed and variable interest rates on net debt – this is to manage interest rate fluctuations to ensure that the Council does not over expose itself to variable rate debt.
6. Principal Sums Invested for over 364 days – the purpose of these limits is so that the Council contains its exposure to the possibility of loss that might arise as a result of having to seek early repayment or redemption of investments.
7. Maturity Structure of Borrowing Limits – the purpose of this is to ensure that the Council is not required to repay all of its debt in one year.



Title: The Introduction of a Petition Scheme for Selby District Council

To: Policy and Resources Committee

Date: 28 September 2010

Service Area: Customers and Business Support

Author: Caroline Fleming, Senior Solicitor

Presented by: Michelle Sacks – Interim Solicitor to the Council

1 Purpose of Report

1.1 In line with legislative changes to request adoption of a Petition Scheme and e-petition facility for Selby District Council.

2 Recommendation(s)

2.1

- i) That the Petition Scheme at Appendix 1 be agreed and adopted.**
- ii) That the threshold levels for petitions is set at 1.5% of the population to trigger a debate at Full Council and 1% to call officers to account.**
- iii) That the Head of Service – Customers and Business Support be designated as the Petitions Officer.**
- iv) That the Democratic Services Manager be instructed to establish an on-line petition facility.**
- v) That the Solicitor to the Council be instructed to incorporate the Petition Scheme into the Council’s Constitution and make consequential amendments.**

3 Executive Summary

3.1 The Local Democracy, Economic Development and Construction Act 2009 (the Act) had as one of its aims the reinvigoration of local democracy putting

local authorities at the forefront of the drive to reconnect people with public and political decision making.

- 3.2 Signing a petition is one way for citizens to express their concerns and priorities to their local authority and the Citizenship Survey shows that petitions are the most popular and recognised form of civic action and that local people are more likely to participate in matters affecting their community if they are sure that their views will be listened to.
- 3.3 The Act introduces a new duty on local authorities to respond to petitions. The Act provides that people in all areas of England and Wales will be guaranteed a response from their Council to both electronic and paper petitions. And if local residents can get the number of signatures specified in their Council's Petition Scheme, they will be guaranteed a public, full Council debate on their concerns. If the petition organiser does not believe the Council's response to their petition is adequate, they will have a new right to ask the Overview and Scrutiny Committee to review the response.
- 3.4 The Local Authorities (Petitions) (England) Order 2010 was laid before Parliament on 25 March 2010 and introduced the requirement on all Local Authorities to adopt a Petition Scheme.

4 **The Report**

- 4.1 The Act requires every local authority to have adopted a Petition Scheme which sets out how it will handle petitions.
- 4.2 The Act also requires every local authority to have adopted an e-petition facility by 15 December 2010, under which anyone may set up a petition on the authority's website and other petitioners may "sign up" to the petition on-line.
- 4.3 The new statutory duty for the Council to provide an e-petition facility will not be satisfied simply by a declaration that the Council will accept petitions by email.

What is a Petition?

- 4.4 The Act defines different categories of petitions, and allows the authority to define the number of signatures required for each category
- (i) **"Petitions for Debate"** must be reported to and debated at full Council;
 - (ii) **"Petitions to hold an Officer to Account"** trigger an open meeting of an Overview and Scrutiny Committee at which the named officer will report and be questioned on their recommendations;
 - (iii) **"Exempted Petitions"** – Petitions received in response to statutory consultation on planning and licensing applications will continue to be reported to Planning and Licensing Committees; and

(iv) “**Ordinary Petitions**” for which the authority can determine how these petitions will be handled.

4.5 The Department for Communities and Local Government (DCLG) has issued statutory guidance on petition schemes, which suggest that authorities should set the number of signatures required for each category of petition at levels which encourage rather than discourage petitions, and should set a lower threshold for petitions on local rather than authority-wide matters.

4.6 Local authorities in North Yorkshire have indicated their thresholds and Selby District Council may wish to operate in line with regional trends. The suggested thresholds for Selby District Council are; 1.5% registered electors of the population, to trigger a debate at Full Council and 1% to hold officers to account. Regional thresholds are detailed at Appendix 2.

4.6 The Petition Scheme would only apply to petitions which relate to matters for which the authority has responsibility or which it is able to influence.

4.7 The Local Authorities (Petitions) (England) Order 2010 details that subject to one proviso the following matters are excluded as outside the scope of the petition scheme and cannot be used as petition subjects:

- Any matter relating to a planning decision
- Any matters relating to a licensing decision
- Any matter relating to an individual or entity in respect of which that individual or entity has a right of recourse to review or right of appeal conferred by or under any enactment.

4.8 The proviso is that a petition containing an allegation of a systematic failure in the discharge of a function is not an excluded matter even if the allegation refers to a specific planning decision, licensing decision or other matter subject to a right of appeal.

4.9 The Petitions Officer will ensure that the petition scheme and e-petition facility are managed effectively in accordance with the guidelines established.

What is the Council required to do?

4.10 A draft Petition Scheme is attached, which has been drafted taking the statutory guidance into account and reflecting the existing complaints procedure. The key features of this Scheme are as follows –

- (i) An appropriate officer needs to be designated as the Petitions Officer, to be responsible for recording all petitions received, responding to petition organisers, ensuring that petitions are reported to Council as required, updating a Petitions Site on the authority's website, inviting petition organisers to attend meetings. This work falls within the purview of the Democratic Services Team, and therefore the Head of Customers and Business Support is recommended to be designated as Petitions Officer for this purpose;
- (ii) The authority needs to decide the number of signatures required for petitions. Article 4 of the 2010 Order specifies the maximum number of signatures that authorities may include in their petition schemes as being required to trigger a debate of the full Council. That maximum figure is 5% of the local population. The population of Selby District is 82,000. It is suggested that there be a minimum threshold of 100 for ordinary petitions, that 1%, 820 signatories be required for a petition to hold an officer to account (reduced to 500 where it is a local matter which affects no more than 2 wards) and 1.5% 1,230 signatories for a Petition for Debate (reduced to 1,000 where it relates to a local matter affecting no more than two wards). These figures can be revised at any time if they are found to act as a deterrent to petitions, or to encourage frivolous or vexatious petitions, and it is recommended that the Head of Customers and Business Support report annually on how the Petition Scheme is working.
- (iii) It is proposed that Ordinary Petitions will be reported to the relevant committee for consideration.
- (iv) It is suggested that the relevant chairman of committee and ward councillor(s) be provided with a copy of each petition within 14 days of receipt, at the same time as it is put on the Petitions Site on the Council's website.
- (v) The authority will in practice need to set a maximum time to be allowed for discussion of petitions at any one meeting of Council. Whilst the 2009 Act does not provide for such a limit, the authority does need to ensure that it can continue to discharge its ordinary business effectively. Accordingly, it is suggested that a maximum of 30 minutes be allowed at any meeting, but that this can be extended by the Chairman's discretion.
- (vi) The authority needs to establish an On-Line Petition Facility, to be available from 15 December 2010. In relation to the adoption of an e-petitions facility, the eGovernment Manager has made initial investigations of a number of possible systems. A final decision has yet to be made on the system, however common attributes have been identified:

- The solution would be hosted remotely by the supplier so there would be no additional ICT resources required in-house; and
- The solution will have the Selby District Council branding so it will appear integrated with our website.

5 Financial Implications

5.1 The following implications have been identified:

5.2 It is expected that the national cost to the public sector of responding to local petitions will be approximately £4.7 million per year, decreasing over time. These costs arise from increased work for Council Officers, time at Council meetings and Overview and Scrutiny Committees, and set up costs for e-petitions.

5.3 Indications are that local authorities will each receive a grant for 2010/11. This amount will vary by local authority dependent on the local population. It is expected that funding for future years will be incorporated into the revenue support grant. To date there is no detail on how much will be allocated. The estimated set up costs for an e-government solution are £3k per annum.

5.4 The costs to Selby District Council in dealing with petitions under the draft Petition Scheme, if adopted, cannot be ascertained in advance, as they will depend on the number of petitions received. Dependent on numbers received, these would be dealt with in existing resources.

5.5 Where possible e-petitions will be dealt with through existing budgets. Workloads will be closely monitored and if additional funding is needed a growth bid will be submitted for approval.

6 Conclusions

6.1 The purpose of this report is to comply with legislative changes under the Act, ensuring that the Council has a petition scheme to allow for civic activism and the web presence facility to allow for the public to engage effectively with local government.

7 Link to Corporate Plan

7.1 The proposal supports the Council's Strategic Themes of 'Putting Customers First' and 'Organising to Deliver'

8 How Does This Report Link to the Council's Priorities?

8.1 The proposal links to the following priority – 'Working with our communities to provide a safer environment in which to live, work and play'. The use of e-petitions/petitions will allow:-

- a) the public to raise suggestions in relation to their environment and allow the Council to understand local concerns on key issues more effectively.

- b) enable public access to the decision making processes of the authority and as such contribute towards open and inclusive governance.

8.2 The proposal links to the following priority – ‘Facilitating input through community engagement’. The use of e-petitions/petitions will enhance the role of community engagement by allowing the public to raise key issues that have or will impact upon their environment/community.

9 Impact on Corporate Policies

9.1	Service Improvement Given the legislative requirement, the report does impact upon service improvement. Under the Act, Council’s are required to provide access to an e-petition facility alongside a petition scheme. As such, the service to the public will be enhanced, community engagement will be improved and the role of local democracy will be further developed.	Impact
9.2	Equalities There will be an initial equalities impact as the information to be made available as part of the public awareness campaign will need to meet the needs of all residents in the Selby District to overcome barriers related to language or disability as examples.	Impact
9.3	Community Safety and Crime	No Impact
9.4	Procurement There will be an initial procurement impact as the new e-petition facility will need to be procured from a choice of sources.	Impact
9.5	Risk Management Although there is no risk in introducing the e-petition facility and petition scheme, there is a risk in not doing so. Incorrectly handling a petition could lead to the Council not providing a service that is a requirement as set out by the legislation.	No Impact
9.6	Sustainability	No Impact
9.7	Value for Money The final system chosen for the e-petition facility will be in relation to meeting value for money criteria.	Impact

10 Background Papers

- 10.1 Local Democracy, Economic Development and Construction Act 2009: a summary
<http://www.parliament.uk/commons/lib/research/briefings/snpc-05268.pdf>
 Full version of the 2009 Act

http://www.opsi.gov.uk/acts/acts2009/pdf/ukpga_20090020_en.pdf

Listening to Communities: Statutory Guidance on the duty to respond to petitions published by DCLG on 30 March 2010

The Local Authorities (Petitions) (England) Order 2010

The Local Authorities (Petitions) (England) Order 2010 (Explanatory Memorandum)

The Local Democracy, Economic Development and Construction Act 2009 (Commencement No 3) Order 2010

10.2 Appendix 1: Selby District Council Petition Scheme

10.3 Appendix 2: Thresholds for Petitions of Councils in North Yorkshire

Background papers are available for inspection in the Legal Department

SELBY DISTRICT COUNCIL Petition Scheme

Petitions

Selby District Council welcomes petitions and recognises that petitions are one of a number of ways in which people can let us know their concerns, for example Community Engagement Forums. Set out below is how the authority will respond to petitions.

The Petition Scheme includes both written and electronic petitioning options available to the community.

1. **What is a petition?**

- 1.1 A petition is a formal written request signed by many people appealing in this case to a local authority for some action in respect of a particular cause.
- 1.2 The Council treat as a petition any communication which is signed by or sent to us on behalf of a number of people who live, work or study in the District of Selby.
- 1.3 From December 2010 you will be able to submit and sign a petition on the Council's website and further guidance will be published about this nearer the time.
- 1.4 An e-petition is the same as a written petition except that it includes lists of names and addresses rather than actual signatures and is delivered to the Council through a designated electronic e-petition system.

2 **What should a petition contain?**

- 2.1 A petition should include –
 - (a) a clear statement of your concerns and
 - (b) what you want the authority to do.
- 2.2 This must relate to something which is the responsibility of the authority, or over which the authority has some influence. Where a petition relates to a matter which is within the responsibility of another public authority, the Council will ask the petition organiser whether s/he would like the petition redirecting to that other authority. Where a petition relates to a matter over which the authority has no responsibility or influence, the petition will be returned to the petition organiser with an explanation for that decision;

- 2.3 The name and contact details of the “petition-organiser” or someone to whom you would like any correspondence about the petition to be sent. Contact details may be either a postal address or an Email address.
- 2.4 The names of at least 100 petitioners (which can include the petition organiser) who live, work or study in the District of Selby. Where the petition is in paper form, this should include an actual signature from each petitioner. Where the petition is in electronic form, a list of the names and addresses of the petitioners will suffice. If you want your petition to be debated at a meeting of the Council (“A Petition for Debate”), or to trigger a public meeting of an Overview and Scrutiny Committee at which a specific officer will be required to report (“A Petition to hold an Officer to Account”), your petition will need to contain a higher number of signatories or petitioners (see below);
- 2.5 If you are submitting the petition in response to our consultation on a specific matter, please identify the matter which it relates to, so that the Council can ensure that your petition is considered along with original matter.

3 Who should you send a petition to?

- 3.1 Where you submit a petition in response to consultation by the authority, please address it to the return address set out in the consultation invitation. This will ensure that it is reported at the same time as the matter to which it relates is considered.
- 3.2 The Council have nominated a Petitions Officer, who is responsible for receiving, managing and reporting all other petitions sent to the authority. Please address petitions to –

The Petitions Officer
Democratic Services
Selby District Council
Civic Centre
Portholme Road
Selby
North Yorkshire
YO8 4SB

- 3.3 The Petitions Officer will ensure that your petition is acknowledged to the petition organiser and entered on the authority’s petitions website and that the website is regularly up-dated with information on the progress of your petition. The Petitions Officer can also provide you with advice about how to petition the authority or the progress of your petition, at either of the above address or by telephone at 01757 705101.

4 **Types of Petition – How will the Council respond to Petitions?**

4.1 The response to a petition will depend on what a petition asks for and how many people have signed it, but in general terms may include one or more of the following:

- § Taking the action requested in the petition
- § Considering the petition at a Council meeting
- § Holding an inquiry into the matter
- § Undertaking research into the matter
- § Holding a public meeting
- § Holding a consultation
- § Holding a meeting with petitioners
- § Calling a referendum
- § Writing to the petition organiser setting out our views about the request in the petition
- § Referring the petition for consideration by the Council's Overview and Scrutiny Committee. The Overview and Scrutiny Committee is a Committee of Councillors who are responsible for scrutinising the work of the Council – in other words, the Overview and Scrutiny Committee has the power to hold the Council's decision makers to account.

4.2 In addition to these steps, the Council will consider all the specific actions it can potentially take on the issues highlighted in a petition. There are five different types of petition, as set out below. How the Council deal with a petition depends on which type of petition you submit.

4.3 Ordinary Petitions

4.4 These are petitions which do not come within any of the following specific types and should contain at least 100 signatures or petitioners. Please note that;

- (i) petitions which raise issues of possible Councillor misconduct will be taken as complaints arising under the Local Government Act 2000 and will be reported to the Standards Assessment Sub-Committee, rather than considered under this Petitions Procedure;
- (ii) petitions which relate to a matter where there is already an existing right of appeal, such as Council Tax banding and non-domestic rates, other procedures will apply rather than the Petitions Procedure. Further information on all these procedures and how you can express your views is available on the Council's website.

4.5 Consultation Petitions

4.6 These are petitions in response to an invitation from the authority for representations on a particular proposal or application, for example on planning or licensing applications. Consultation petitions which are received by the response date in the consultation invitation will be reported to the Officer or Committee which will be taking the decision on the subject of the consultation.

4.7 Statutory Petitions

4.8 Particular Acts of Parliament require the Council to consider petitions, for example a petition for a review of Parish Councils, or a petition for a directly-elected Mayor. Where you submit a petition under such a specific statute, the Council will report it to the next available meeting of the Council in accordance with the statutory requirements.

4.9 Petitions for Debate

4.10 If you want your petition to be reported to and debated at a meeting of the Council, it must contain at least 1,230 signatories or petitioners (this is reduced to 1,000 signatories or petitioners where the petition relates to a local issue, affecting no more than 2 electoral wards within the authority's area).

5. **Petitions to Hold an Officer to Account**

5.1 If you want your petition to be considered at a meeting of an Overview and Scrutiny Committee, where an officer, identified either by name or by post title, will be required to answer questions on the conduct of a particular matter, your petition should contain at least 820 signatories or petitioners (this is reduced to 500 signatories or petitioners where the petition relates to a local issue, affecting no more than 2 electoral wards within the authority's area). The authority has determined that such petitions must relate to the Chief Executive, Deputy Chief Executive or a Head of Service of the Authority. Please note that where the petition raises issues of competence or misconduct, the petition will be referred to the Chief Executive (or to the Monitoring Officer in respect of the Chief Executive) and will be considered under the authority's Disciplinary Procedures, and not under this Petitions Procedure.

6 **The Petitions Website**

6.1 The authority will maintain a petitions website. When a petition is received, within 5 working days the Petitions Officer will open a new public file within the website and will put in that file the subject matter of the

petition, its date of receipt and the number of signatories or petitioners. The petition organiser's name and contact details will only be included on the website if s/he so requests.

- 6.2 As soon as it is decided how the petition will be considered within the authority, and when that consideration will occur, this information will be entered on the website at the same time as it is sent to the petition organiser. Once the petition has been considered, the authority's decision will be notified to the petition organiser and put on the website within 5 working days of that consideration.
- 6.3 Petitions are presented on the petitions website in the order in which they are received, but the website can be searched for key-words to identify all petitions relating to a particular topic. All petitions are kept on the website for 2 years from the date of receipt.

7 The role of Ward Councillors

- 7.1 When a petition is received which relates to a local matter (particularly affecting specific electoral wards), the Petition Officer will send a copy of the petition to each relevant Ward Councillor at the same time as acknowledging receipt of the petition to the petition organiser.
- 7.2 The number of signatories or petitioners required for Petitions for Debate, and for Petitions to Hold an Officer to Account have been set by the authority to try to ensure that matters of genuine concern can be brought to the authority's attention. These requirements will be reviewed periodically in the light of the number of petitions received, to ensure that the requirements are not excessive.
- 7.3 Note that the Local Democracy, Economic Development and Construction Act 2009 makes no provision for handling petitions which raise issues of officer or member misconduct or officer competence, but in practice such petitions cannot be handled under the Petitions Procedure and must be handled under the procedures appropriate to such matters.
- 7.4 When the petition is reported to the person or body within the authority who can take a decision on the matter to which it relates, the relevant Ward Councillor will be invited to attend and to address the decision-taker for no more than 3 minutes (or 3 minutes each), immediately after the petition organiser.

8 What happens when a petition is received?

- 8.1 Within 2 working days of receipt, the Petitions Officer will acknowledge receipt to the petition organiser.

- 8.2 In some cases, the Petitions Officer may be able to resolve the petitioners' request directly, by getting the relevant officer to take appropriate action. For example where the petition relates to fly-tipping and the authority can arrange for it to be cleared up directly. Where this is done, the Petitions Officer will ask the petition organiser whether s/he considers that the matter is resolved.
- 8.3 Unless the matter has been resolved to the satisfaction of the petition organiser, the Petitions Officer will within 5 working days of receipt of the petition provide a substantive response to the petition organiser setting out who the petition will be reported to for consideration, when and where that will take place and inviting the petition organiser to attend that meeting and to address the meeting for up to 3 minutes on the issue covered by the petition. The invitation to the petition organiser to address the meeting is in addition to any other public speaking rights at that meeting.
- 8.4 Whilst the Council is committed to dealing with petitions promptly, a petition will need to be received at least 10 working days before a relevant meeting if it is to be reported to that meeting. Where it is necessary to undertake a significant amount of work to collect information and advice to enable the matter to be properly considered, it may be necessary for the Petitions Officer to decide that the petition will be held over until the following meeting of the relevant body.
- 8.5 At the same time as responding to the petition organiser, the Petitions Officer will notify party group spokespersons and Ward Councillors of receipt of the petition.
- 8.6 Within 5 working days of receipt of a petition, the Petitions Officer will open a new public file for the petition on the authority's petitions website, setting out the subject matter of the petition, the date of receipt and the number of petitioners. The petition organiser's name and contact details will only be included on the website if s/he so requests.
- 8.7 At each stage of the consideration of the petition, within 5 working days of any decision, the Petitions Officer will ensure that the petitions website is updated to ensure that petitioners can track progress of their petition.
- 8.8 The process after this stage differs for the various types of petitions – see below.
- 9 **What happens to a Consultation Petition?**
- 9.1 Consultations Petitions are submitted in response to an invitation from the Council to submit representations on a particular proposal or application, such as a planning or licensing application.

- 9.2 The petition will be reported to the person or body who will take the decision on the proposal or application. The Council's Constitution defines who will take different types of decision, as set out in the Scheme of Delegations and the terms of Reference of Committees and Sub-Committees. Except where applications may be determined under the Scheme of Officer Delegation, planning applications are determined by the Planning Committee and Licensing applications are determined by the Licensing Committee or Licensing Sub-Committee. So where a petition has been received objecting to the grant of planning permission, the petition would be reported to the decision maker.

10 What happens to a Statutory Petition?

- 10.1 Particular Acts of Parliament require the Council to consider petitions, for example a petition for a review of Parish Councils, or a petition for a directly-elected Mayor. Where you submit a petition under such a specific statute, the Council will report it to the next available meeting of the Council in accordance with the statutory requirements.

11 What happens to Petitions for Debate?

- 11.1 Petitions for Debate will be reported to the next convenient meeting of Council. Petitions will not be considered at the Annual Meeting of Council or at Extraordinary Meetings of Council which are not convened to consider the subject matter of the petition.
- 11.2 As set out below, the petition organiser will be invited to address the meeting for up to 3 minutes on the subject of the petition.

12 What happens to a Petition to Hold an Officer to Account?

- 12.1 Petitions to hold an officer to account will be reported to the next convenient meeting of the relevant Overview and Scrutiny Committee.
- 12.2 In advance of the Committee meeting, the petition organiser will be invited to submit a list of questions which s/he would like put to the officer at the meeting. These questions will be provided to the Chairman of the Committee, who will decide whether they are appropriate, and to the officer concerned, in advance of the meeting.
- 12.3 At the meeting, the Chairman will invite the petition organiser to address the Committee for a maximum of 3 minutes on the issue, and the relevant officer will then be required to report to the Committee in relation to the conduct of the subject matter of the petition. Members of the Committee may question the officer, and the Chairman may invite the petition organiser to suggest questions for him/her to put to the officer.

13 What happens to an Ordinary Petition?

13.1 The Petitions Officer will arrange for each Ordinary petition to be reported to the next convenient meeting of the Council or of a Committee which has the power to take a decision on the matter.

14 At the meeting, when the matter to which the petition relates is considered:

14.1 Petitions which do not relate to an ordinary item of business will be considered before the normal business of the meeting, and will be considered in the order in which they were received, unless the Chairman at the meeting determines otherwise. A maximum of 30 minutes will be allowed at each meeting for considering such petitions and any petitions not reached in the time allowed will be referred to the relevant Committee for consideration or deferred until the next meeting.

14.2 Any petitions relevant to particular items of business, such as petitions relating to planning applications or licensing applications, will be taken together with that item of business, in the normal order of business.

14.3 The Chairman of the meeting may invite a relevant officer to set out the background to the issue before inviting the petition organiser to address him/her for up to 3 minutes. The Chairman may then ask questions of the petition organiser, and will then invite any relevant Ward Councillors present to address him/her on the matter for up to 3 minutes (each). The Chairman will then invite a relevant officer(s) to advise the meeting, after which the matter will be open for debate among members of the decision-making body. The Committee will then make a decision. That decision may be a determination of the matter, or may be a decision to refer the matter for investigation and report back, or to refer it up to a meeting of Council, or a Committee of the Council for determination. The Petition Organiser will receive written confirmation of this decision.

14.4 At each stage, the Petitions Officer will enter the relevant information on the website at the same time as it is sent to the petition organiser.

15 Appeal to an Overview and Scrutiny Committee

15.1 If the petition organiser is not satisfied with the outcome of the authority's consideration of his/her petition, he/she may appeal to an Overview and Scrutiny Committee by notifying the Petitions Officer of his/her intention to appeal within 20 working days of being notified of the authority's decision on the petition and indicating the reasons why the Council's response is not considered to be adequate.

- 15.2 Within 5 working days of receipt of intention to appeal, the Petitions Officer will determine which is the most appropriate Overview and Scrutiny Committee meeting date and will notify the petition organiser of the time, date and place of the next convenient meeting of that Overview and Scrutiny Committee and will invite the petition organiser to attend the meeting and to address the Committee for up to 3 minutes on why he considers that the authority's decision on the petition is inadequate.
- 15.3 At that meeting, the Overview and Scrutiny Committee will invite the petition organiser and Ward Councillors to make their representations and to explain why s/he considers that the Council's response was insufficient.
- 15.4 The Committee will endeavour to consider your request at its next meeting, although on some occasions this may not be possible and consideration will take place at the following meeting. Should the Committee determine it has not dealt with your petition adequately, it may use any of its powers to deal with the matter. These powers include instigating an investigation, making recommendations to the Council and arranging for the matter to be considered at a meeting of the Full Council. Once the appeal has been considered the Petition Organiser will be informed of the results within 5 working days.

16 **The role of the Petition Organiser**

- 16.1 The petition organiser will receive acknowledgement of receipt of the petition within 2 working days of its receipt by the authority.
- 16.2 Where the petition is not accepted for consideration (see Paragraph 16 below for grounds for rejection of petitions), the petition organiser will be advised by the Petitions Officer of the rejection and the grounds for such rejection.
- 16.3 Where the petition is accepted for consideration, the petition organiser will be advised by the Petitions Officer within 5 working days of receipt by the authority as to who the petition will be considered by, and the date, time and place of the meeting at which it will be considered, and will be invited to address the meeting for up to 3 minutes. The meeting may then ask the petition organiser questions on the subject matter of the petition.
- 16.4 The petition organiser may nominate another person to address the meeting and to answer any questions on the matter.
- 16.5 The petition organiser will be regularly informed by the Petitions Officer of any decisions in respect of the petition and will be formally notified of the outcome of the petition's consideration within 5 working days of such decision.

16.6 The petition organiser may notify the Petitions Officer of his/her intention to appeal to an Overview and Scrutiny Committee against the decision of the authority relating to the petition within 20 working days of being notified of that decision, and may attend and address the meeting of the Overview and Scrutiny Committee for up to 3 minutes as to why he/she considers that the authority's decision on the petition was inadequate.

17 **Petitions which will not be reported**

17.1 Duplicate Petitions - Where more than one petition is received in time for a particular meeting, each supporting the same outcome on one matter, each petition organiser will be treated as an independent petition organiser, but only the petition organiser of the first petition to be received will be invited to address the relevant meeting.

17.2 Repeat Petitions - Where a petition will not normally be considered where they are received within 6 months of another petition being considered by the authority on the same matter.

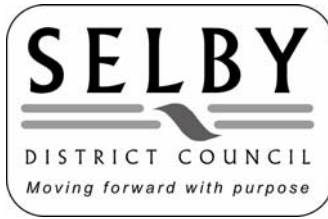
17.3 Rejected Petitions - Petitions will not be reported if in the opinion of the Petitions Officer:

- it does not follow the guidelines above
- it is rude, inflammatory, abusive, offensive, defamatory, scurrilous or time-wasting,
- it is frivolous, vexatious, discriminatory or otherwise offensive, or contains false statement
- it is too similar to a recent petition received by the Council within 6 months
- it discloses confidential or exempt information, including that protected by a court order or Government department
- discloses material that is considered to be commercially sensitive.
- it contains advertising statements
- it makes criminal accusations
- it refers to an issue which is currently subject to a formal Council complaint, Local Ombudsman complaint or any other legal proceedings
- it does not relate to something which is the responsibility of the authority, or over which the authority has some influence.

Appendix 2

THRESHOLDS FOR PETITIONS OF COUNCILS IN NORTH YORKSHIRE

COUNCIL	POPULATION	THRESHOLD ORDINARY PETITIONS	THRESHOLD PETITIONS FOR DEBATE AT FULL COUNCIL	THRESHOLD PETITIONS TO HOLD OFFICERS TO ACCOUNT	NOTES
Craven	56,200		1.5% (750)	1% (500)	
Hambleton	87,100		1% (871)	0.5% (435)	
Harrogate	151,336		1% (1500)	0.5% (750)	
Richmondshire	51,500		1% (515)	0.5% (258)	
Ryedale	53,500	100	1.5% (750)	1% (500)	
York City	195,400		0.5% (1000)	0.25% (500)	
Scarborough	108,500		1.5% (1500)	0.5% (500)	
Selby	82,000		1.5% (1230)	1% (820)	
North Yorkshire County Council	599,000		5% (30,000)	0.5% (3000)	Also thresholds for petitions for debate at Area Committees are Scarborough: 3255 Ryedale: 1605 Harrogate: 4815 Hambleton: 2613 Richmondshire: 1545 Selby: 2460 Craven: 1686



Agenda Item No:18

Title: Children and Vulnerable Adults Safeguarding Policy and Procedures

To: Policy & Resources Committee

Date: 28 September 2010

Service Area: Partnerships & Commissioning

Author: Neil Skinner, Policy Officer – Community Engagement & Development

1 Purpose of Report

1.1 To agree the Children and Vulnerable Adults Safeguarding policy and Procedures.

2 Recommendation(s)

2.1 That councillors accept the Children and Vulnerable Adults Safeguarding Policy and Procedures

3 Executive Summary

3.1 The report sets out the statutory requirements placed on the Authority. The Children and Vulnerable Adults Safeguarding Policy and Procedures sets out how these requirements will be met.

4 The Report

4.1 North Yorkshire County Council is the lead authority with responsibility to safeguard children and vulnerable adults, but the District Council has a statutory duty (under Section 11 of the Children's Act 2004), to make arrangements to ensure its functions safeguard and promote the welfare of children. District Councils also have a responsibility to work with partners to ensure that vulnerable adults at risk of abuse receive protection and support.

- 4.2 The North Yorkshire Children's and Adult's Safeguarding Boards have recently come together to produce a single Safeguarding Policy and Procedures document which incorporates and updates the existing separate children's and adult policies. This combining of the two Safeguarding strands is becoming common practice across the country.
- 4.3 As a statutory partner of both of these Boards, Selby District Council is expected to adopt this new policy and safeguarding arrangements. The document, which includes local reporting arrangements, is attached.
- 4.4 If approved, this Policy will supersede the existing Child and Vulnerable Adults protection policies.
- 4.5 As part of its continued commitment to safeguarding children and vulnerable adults, the Designated Safeguarding Officer will be a member of the Selby Locality Safeguarding Forums and ensures appropriate links to North Yorkshire's Children and Adults Safeguarding Boards
- 4.6 If approved, training in line with the requirements of the policy will become part of the annual training programme.

5 Financial Implications

- 5.1 There are no financial implications resulting directly from the report. Required training will be met from existing training budgets.

6 Conclusions

- 6.1 The acceptance of this Policy will ensure that Selby District Council both conforms with its legislative responsibilities and also employs current best practice in its Safeguarding arrangements.

7 Link to Corporate Plan

7.1 This Programme links primarily to the Strategic Themes of “Organising to Deliver”, “Putting Customers First” and “Community Safety”.

8 How Does This Report Link to the Council’s Priorities?

8.1 This is a cross-cutting issue which affects all Priorities.

9 Impact on Corporate Policies

9.1	Service Improvement	Impact The Council’s Safeguarding processes and procedures will meet statutory requirements and employ best practice.
9.2	Equalities	Impact Safeguarding processes and procedures help promote equalities.
9.3	Community Safety and Crime	Impact Robust Safeguarding processes help promote community safety for some of the most vulnerable members of the community.
9.4	Procurement	Impact The Safeguarding procedures clearly state the council’s responsibility to ensure that its sub-contractors comply with appropriate Safeguarding processes.
9.5	Risk Management	Impact Robust Safeguarding procedures will help the council better minimise risk to some of the most vulnerable members of the community.
9.6	Sustainability	No Impact
9.7	Value for Money	No Impact

		The consultation allows the Council to better prioritise its budget commitments.

10 Background Papers

Held In Partnerships and Commissioning.

**SELBY DISTRICT
CHILDREN AND VULNERABLE ADULTS SAFEGUARDING
POLICY AND PROCEDURES**

September 2010

PART ONE: SAFEGUARDING POLICY

1. Policy Statement

PART TWO: GUIDANCE FOR STAFF & PROCEDURES

2. Background, Roles & Responsibilities
3. Recognising Abuse
4. What to do if you're worried about a child or vulnerable adult
5. Recruitment & Employment
6. Allegations against members of staff or Elected Members
7. Photography, film & media
8. Licencing
9. Commissioned services
10. Confidentiality

PART THREE: APPENDICES

- | | |
|---|---|
| A. Definitions/Glossary | B. Legislative Framework |
| C. Policies and Procedures Supporting Safeguarding | D. Accountability, Management and reporting structure |
| E. Roles and responsibilities | F. Code of Conduct For Safeguarding |
| G. Reporting arrangements | H. Child Protection Incident Reporting Form |
| I. Safeguarding Adults Alert/Referral Form | J. Photography, Film, Media Registration & Consent Forms |
| K. Useful Contacts | |

1.

PART ONE: POLICY STATEMENT

- 1.1. The Council recognises that all children and vulnerable adults, irrespective of their age, class, religion, culture, disability, gender, ethnicity, sexual orientation, nationality, family, dependency, marital or economic status have a right to protection from abuse, and acknowledges its shared responsibility for safeguarding and promoting the welfare of children and vulnerable adults. The Council will therefore adopt a zero tolerance approach to abuse and will work to ensure that its policies and practices are consistent with agreed local multi-agency procedures and meet the organisations legal obligations
- 1.2. The Council is committed to promoting good practice and enhancing safeguarding of children and vulnerable adults, and will contribute positively to improving outcomes for these groups through the development and delivery of its services.
- 1.3. The Council recognises its duty, under Section 11 of the Children Act 2004, to ensure that its functions, and services provided on its behalf, are discharged with regard to the need to safeguard and promote the welfare of children.
- 1.4. The Council accepts its responsibility to work with partners to ensure that vulnerable adults at risk of abuse receive protection and support.
- 1.5. The Council has in place a range of policies and procedures, which contribute to safeguard and promote the welfare of children and vulnerable adults. These reflect legislative requirements, professional and governing body standards and requirements, and good practice. A list of relevant policies is shown in Appendix C.
- 1.6. To meet its commitments to safeguarding the Council will:
 - a. Contribute to partnership arrangements through the;
 - North Yorkshire Local Safeguarding Children Board,
 - Safeguarding Children Forum - Selby Locality,
 - North Yorkshire Safeguarding Adults Board,
 - Selby Local Safeguarding Adults Group, and
 - Multi-Agency Public Protection Arrangements.
 - b. Implement processes that meet the requirements of the North Yorkshire Multi-agency Safeguarding Adults and Safeguarding Children Policies & Procedures.
 - c. Ensure that all allegations, disclosures or suspicions of abuse are dealt with appropriately, and that where possible the person being abused is supported.
 - d. Apply safe recruitment and selection practices that comply with the Protection of Children and Vulnerable Adults (NI) Order 2003, Safeguarding Vulnerable Groups Act 2006, and guidelines issued by the Department of Health, Social Services and Public Safety.
 - e. Ensure that individuals working for the Council with access to children or vulnerable adults undertake safeguarding and health and safety training, and are

subject to supervision standards appropriate to their role and specific to the needs of children and vulnerable adults.

- f. Ensure that all people acting on behalf of the Council understand and accept their responsibility with regard to safeguarding and promoting the welfare of children and vulnerable adults.
- g. Ensure that all employees, Elected Members and others associated with the delivery of Council services are aware of the Safeguarding Policy and Procedure and receive appropriate training.
- h. Co-operate with Child Death and Serious Case Reviews where these are linked to any area of the Council's responsibility, in accordance with locally agreed arrangements.
- i. Monitor and review the Safeguarding Policy and Procedure every three years to ensure they are effective and remain consistent with locally agreed inter-agency procedures.

PART TWO: GUIDANCE FOR STAFF & PROCEDURES

2. BACKGROUND, ROLES & RESPONSIBILITIES

2.1 Many District Council services contribute to improving outcomes for children and vulnerable adults, and the Council provides services for, and works with children, vulnerable adults, their families and carers in a variety of settings, including:

- Community facilities, services and events
- Community Safety and Crime Reduction
- Housing, homelessness and related support services
- Sport, culture and leisure services
- Licensing
- Planning
- Play facilities
- Environmental health
- Commissioning/contracting services

2.2 North Yorkshire County Council is the lead authority with responsibility to safeguard children and vulnerable adults but Selby District Council has a statutory duty, (under Section 11 of the Childrens Act 2004), to make arrangements to ensure its functions safeguard and promote the welfare of children. District Councils also have a responsibility to work with partners to ensure that vulnerable adults at risk of abuse receive protection and support.

2.3 To safeguard and promote the welfare of children and vulnerable adults at the Council:

- a. The Chief Executive will take responsibility to ensure the Council fulfils its statutory duties, in accordance with NYCC policy and procedures.

- b. The Deputy Chief Executive will take corporate responsibility to ensure the Council's Safeguarding Arrangements are implemented.
 - c. Strategic Management Team will endorse and implement the Safeguarding Arrangements and Safeguarding priorities and actions.
 - d. The Head of Service – Customer & Business Support will ensure that recruitment procedures are in line with this policy and that appropriate training is provided.
 - e. The Council will nominate a Designated Officer responsible for safeguarding and promoting the welfare of children and vulnerable adults throughout the council.
 - f. Heads of Service and Senior Managers will monitor action to safeguard and promote the welfare of children and vulnerable adults within their service.
 - g. All members of staff will carry out their duties in a way that safeguards and promotes the welfare of children and vulnerable adults in line with this policy. They must also act in a way that protects them from wrongful allegations of abuse and bring matters of concern to the attention of the Designated Safeguarding Officer.
 - h. Under the Criminal Justice Act 2003 the Council has a duty to co-operate with Multi-Agency Public Protection Arrangements for managing those identified as presenting a risk, or potential risk, of harm to others. The Council is committed to these arrangements, with the Head of Housing Services acting as Lead Officer.
- 2.5 A Flow Chart illustrating the line of accountability for safeguarding is at Appendix D. A table setting out roles and responsibilities is at Appendix E.

3. RECOGNISING ABUSE

3.1 What is abuse?

Abuse is the violation of an individual's human and civil rights by any other person or persons.

Abuse may be carried out deliberately or unknowingly.

Abuse may be a single act or repeated acts.

Abuse may take place in a family or in an institutional or community setting, by those known to the victim or, more rarely, by a stranger.

The abuser may be an adult or adults, or a child or children.

People who behave abusively come from all backgrounds and walks of life. They may be doctors, nurses, social workers, advocates, staff members, volunteers or others in a position of trust. They may also be relatives, friends, neighbours or people who use the same services as the person experiencing abuse.

- 3.2 The following definitions are based on those set out in "*Working Together to Safeguard Children*" (HM Government 2006), but apply equally to vulnerable adults:

PHYSICAL ABUSE, may involve hitting, shaking, throwing, poisoning, burning or scalding, drowning, suffocating, or otherwise causing physical harm.

Physical harm may also be caused when a parent or carer fabricates the symptoms of, or deliberately induces, illness.

PSYCHOLOGICAL ABUSE is persistent emotional maltreatment such as to cause severe and persistent adverse effects on emotional development.

It may involve conveying to the victim that they are worthless and unloved, inadequate, or valued only insofar as they meet the needs of another person. It may feature age or developmentally inappropriate expectations being imposed on the victim. It may involve seeing or hearing the ill treatment of another. It may involve serious bullying, causing the victim to frequently feel frightened or in danger, or the exploitation or corruption of the victim. Some level of emotional abuse is involved in all types of maltreatment, though it may occur alone.

SEXUAL ABUSE involves forcing or enticement to take part in sexual activities, whether or not the victim is aware of what is happening.

The activities may involve physical contact, including penetrative or non-penetrative acts. They may involve non-contact activities, such as looking at, or in the production of, pornographic material, watching sexual activities, or encouragement to behave in sexually inappropriate ways.

NEGLECT is persistent failure to meet the victim's basic physical and/or psychological needs, likely to result in the serious impairment of health or development. Neglect may involve a parent or carer failing to:

- a. Provide adequate food, clothing and shelter
- b. Protect the victim from physical and emotional harm or danger
- c. Ensure adequate supervision
- d. Ensure access to appropriate medical care or treatment.

It may also include neglect of, or unresponsiveness to, basic emotional needs.

FINANCIAL OR MATERIAL ABUSE includes theft, fraud, exploitation, pressure in connection with wills, property or inheritance or financial transactions, or the misuse or misappropriation of property.

DISCRIMINATORY ABUSE includes racist, sexist, that based on a person's disability, and other forms of harassment, slurs or similar treatment.

INSTITUTIONAL ABUSE can be different from other forms because it is about who abuses and how that abuse comes about. Institutional abuse can take any of the other forms.

4. WHAT TO DO IF YOU'RE WORRIED ABOUT A CHILD OR VULNERABLE ADULT

4.1 All individuals working with, or in contact with, children or vulnerable adults have a responsibility to report any allegations or concerns that come to their attention.

4.2 What you should do if you witness abuse

If you witness abuse or abuse has just taken place the priorities will be to:

- call an ambulance if required
- call the police if you believe a crime has been committed.
- preserve evidence
- keep yourself, staff and other service users safe
- record what happened
- inform the Designated Safeguarding Officer

4.3 What you should do if you suspect abuse

You must report your concerns as soon as possible to:

- o the **Designated Safeguarding Officer** (Policy Officer – Community Engagement & Development) – Telephone **01757 292202**, email nskinner@selby.gov.uk

who is nominated to act on the Council's behalf in referring allegations or suspicions to the statutory authorities.

If it is an emergency, and the designated person cannot be contacted, then North Yorkshire County Council Social Care or the Police should be contacted. (**Customer Relations Unit: 08450349410 Email: social.care@northyorks.gov.uk - Out Of Hours Duty team: 08450349417 Email: edt@northyorks.gov.uk)**

If the suspicions relate to the Designated Safeguarding Officer, then the Deputy Chief Executive or North Yorkshire County Council Social Care should be contacted.

Suspicions should not be discussed with anyone other than those named above.

A diagram setting out reporting arrangements is at Appendix G.

4.4 Unclear situations

If it is unclear as to whether abuse or neglect is taking place you should discuss your concerns with the Designated Safeguarding Officer who may seek advice from the local Social Care Manager.

4.5 Talking to the Victim

If a child or vulnerable adult is telling you something themselves:

DO

- Stay calm.
- Listen carefully to what is said.
- Find an appropriate early opportunity to explain that it is likely that the information will need to be shared. Do not promise to keep secrets.
- Allow them to continue at their own pace.
- Ask questions for clarification only and at all times avoid asking questions that suggest a particular answer.
- Reassure them that they have done nothing wrong in telling you.
- Tell them what you will do next and with whom the information will be shared.
- Record in writing what was said using their words as soon as possible. Note the date and time, any names mentioned and to whom the information was given. Ensure the record is signed and dated.
- Contact the Designated Safeguarding Officer and forward all information to them as soon as possible.

DO NOT

- Dismiss the concern
- Panic.
- Allow your shock or distaste to show.

- Probe for more information than is offered.
- Make promises you cannot keep, such as agreeing not to tell anyone else.
- Speculate or make assumptions.
- Approach the alleged abuser.
- Make negative comments about the accused person.
- Attempt to investigate the concern.
- Discuss with anyone other than the Designated Safeguarding Officer or appropriate officers from NYCC Social Care or the Police.

If the individual experiencing abuse is a child or does not have the mental capacity to understand what is happening to them, or there is a good reason, a referral should be made without that person's consent.

Reasons for taking action whether the victim consents or not include;

- A crime is suspected
- Allegations involve a member of staff, paid carer or volunteer
- There is a risk of further serious harm, either to the victim or others

Report your discussion as soon as possible to the Designated Safeguarding Officer and forward your confidential notes in a sealed envelope marked "*Private and Confidential (Addressee Only)*" to the Designated Safeguarding Officer.

The Designated Safeguarding Officer must consider if it is safe for the alleged victim to return home to a potentially abusive situation, seeking advice from NYCC Social Care where required. On a rare occasion it might be necessary for NYCC Social Care and/or the Police to discuss putting into effect safety measures for the victim so that they do not return home.

4.6 **Talking to Parents/Carers**

In most cases it is good practice to be open and honest at the outset with parents/carers about concerns and any action that the Council intends to take. Where a referral is to be made the Designated Safeguarding Officer should make all reasonable efforts to ensure parents/carers are informed. However, an inability to inform parents/carers should not prevent a referral being made. Consideration should be given to not informing them when a child expresses a wish that their parents are not informed at this stage.

There are cases where it would not be good practice for the Designated Safeguarding Officer to discuss concerns with parents/carers before referral.

In these cases arrangements for discussing the concerns with the parents/carers should be agreed in advance with Social Care and/or the Police. Concerns must not usually be discussed with parents/carers before referral where:

- a. discussion would put a child or vulnerable adult at risk of significant harm
- b. discussion would impede a Police investigation or social work enquiry
- c. sexual abuse is suspected
- d. organised or multiple abuse is suspected
- e. the fabrication of an illness is suspected
- f. to contact parents/carers would place you or others at risk
- g. it is not possible to contact parents/carers without causing undue delay in making the referral.

In each case the Designated Safeguarding Officer must make a reasoned judgement.

4.7 Reporting Concerns To NYCC Social Care

Where concerns that a child or vulnerable adult is suffering, or likely to suffer, significant harm are received by the Designated Safeguarding Officer a referral should be made immediately. Urgent referrals should be made by telephone, supported by a written referral completed and submitted within 48 hours.

The Designated Safeguarding Officer should contact North Yorkshire County Council Social Care through the local Customer Services Centre or the Emergency Duty Team. In making a referral they should:

- a. clearly identify themselves (acting on behalf of Selby District Council) and provide contact details
- b. provide as much basic family information as possible, clearly stating the name of the child or vulnerable adult, the parents/carers and any other children or vulnerable adults known to be in the household, the dates of birth and addresses and any previous addresses known
- c. give details of any special needs or communication needs of either the child, vulnerable adult or any family member
- d. state why they feel the child or vulnerable adult is suffering, or is likely to suffer, significant harm
- e. share their knowledge and involvement of the child(ren), vulnerable adult(s) and family
- f. share their knowledge of any other agency involved
- g. indicate the child's, vulnerable adult's, parent/carer's knowledge of the referral and their expectations
- h. ensure a written record is made of their concerns and actions by completing either a Child Protection Report or Inter-agency Safeguarding Adults Alert/Referral Form SA_A (see Appendices H & I)
- i. follow the referral up in writing within 48 hours.

The Designated Safeguarding Officer is entitled to:

- a. receive an understanding from North Yorkshire County Council Social Care representative of what will happen next
- b. be given the name of a contact person within North Yorkshire County Council Social Care who will be dealing with the referral
- c. receive information on the outcome of the referral within 7 days.

Sometimes, following a referral, Council staff may be involved in the assessment and management process led by North Yorkshire County Council Social Care. Where there is a criminal investigation staff may be required to co-operate with the Police. In these circumstances staff will receive appropriate senior management support and the Designated Safeguarding Officer will provide support and guidance as required/appropriate.

5. RECRUITMENT, EMPLOYMENT & TRAINING

- 5.1 All recruitment and human resource issues will be managed in line with the Council's employment policies and procedures.

- 5.2 The Council will provide appropriate awareness and training opportunities for staff, volunteers and members to equip them to carry out their responsibilities effectively. This will include general awareness, service-specific and specialist training as appropriate, and will link into the training framework developed through the North Yorkshire Safeguarding Boards.
- 5.3 All staff will be made aware of the Council's arrangements for safeguarding and promoting the welfare of children and vulnerable adults and their responsibilities.

6. ALLEGATIONS AGAINST MEMBERS OF STAFF OR ELECTED MEMBERS

- 6.1 All allegations of abuse made against members of staff and volunteers who work with children or vulnerable adults will be managed in line with the Council's employment policies and procedures and inter-agency procedures agreed through the North Yorkshire Local Safeguarding Boards.
- 6.2 The deputy Chief Executive will act as the Named Senior Officer who has overall responsibility for:
- a. Ensuring that the Council handles allegations in line with agreed Council and inter-agency procedures
 - b. Resolving any inter-agency issues
 - c. Liaising with the Lead Authority (NYCC) and North Yorkshire Local Safeguarding Boards where required.
- 6.3 The Head of Service – Customer & Business Support will act as the Named Senior Manager to provide high-level support to the Director of Community Services in handling any allegations of abuse made against members of staff or volunteers.

7. PHOTOGRAPHY, FILM & MEDIA

- 7.1 The Council will ensure that all necessary steps are taken to protect children and young people from the inappropriate use of photographic images.

Photographs can be used as a means of identifying children and young people especially when they are accompanied with personal information. This information can make children vulnerable e.g. to an individual who may wish to groom that child for abuse. The content of an image can be adapted for inappropriate use and there is evidence of adapted material finding its way on to child pornography sites.

- Consent must be sought from parents/carers to photograph/video children and young people. A consent form is available in Appendix J. (Young people themselves must also be asked for their verbal consent too).
- Parents/carers and others will be asked to register at Council events to photograph/video children and young people taking part and be given a badge/marker. A simple registration form is available to copy in Appendix J.
- Staff, members and volunteers should be vigilant at all times regarding the use of cameras, camera phones or videos at events, which involve children and young people.
- Delegated officers will inform children and young people that photographers may be in attendance at an event and ensure they get the necessary consent and registration forms.

- Where possible in publicising an event the Council will not use a child's image, if they are named and where we do use an image we will not name them. We will never publish personal details of a child or young person. We will only publicise images of young people we have permission for.
- Council officers will ensure that consent/registration forms and images are stored safely and any future use of images seeks further permissions from child and parents/carers for their use at a later date.
- Council officers will act on all concerns of any child, young person or carers regarding inappropriate use of photographic equipment/images.

8. LICENCING

8.1 The Council has the power to revoke or suspend licenses after convictions for various offences, or failure to comply with the relevant provisions of The Local Government (Miscellaneous Provisions) Act, 1976, Part 11, or any other reasonable cause. The power to suspend or revoke with immediate effect where it appears in the interests of public safety was introduced by the Road Safety Act 2006.

8.2 Personal Licence applicants must submit a basic criminal disclosure certificate which must be dated within one month of their application. If there are relevant convictions on the CRB certificate the Police can object to the personal licence being issued, Selby District Council's Licensing Authority must then hold a licensing sub committee to determine whether or not the applicant gets the licence. The applicant also has a duty to inform a court (that they hold a personal licence) and the Council if they get any convictions whilst they are a personal licence holder. The licence last for ten years.

8.3 Information may be exchanged with other enforcement bodies and in cases where children or vulnerable adults are involved, and NYCC Social Care Services and the Police will always be fully informed.

9. COMMISSIONED SERVICES

9.1 Working with Contractors and Partner Organisations

Any contractor or sub-contractor, engaged by the Council in areas where workers are likely to come into contact with children, young people or vulnerable adults should have their own Safeguarding Children, Young People and Vulnerable Adults Policy or, failing this, must comply with the terms of this policy. This includes responsibility to ensure that workers with the potential to come into contact with children, young people or vulnerable adults are subject to the necessary CRB checks. This applies to all contracts even those not requiring a formal tender

9.2 Letting of Facilities

Where facilities are let to external groups for use with children, young people or vulnerable adults when parents/carers are not present, the hirer will need to

- Have membership of a National Governing Body (NGB) or similarly recognized body
- Have public liability insurance (£10 million minimum)

- Have suitable safeguarding children, young people and vulnerable adults policy or agree to work to this policy
- Have a register detailing medical information and special needs
- Ensure lead staff have valid criminal records bureau checks
- Do risk assessments for individual activities

10. CONFIDENTIALITY

- 10.1 The identity, information and/or suspicions about the welfare of a child or vulnerable adult should be treated in strictest confidence and discussed only with Designated Safeguarding Officer, appropriate NYCC Social Care Officers or the Police. In sharing information with NYCC Social Care or the Police the welfare of the victim is paramount and overrides all other considerations regarding the sharing of information.
- 10.2 Any confidential notes, records, written complaints or allegations, should be forwarded as soon as possible to the Designated Safeguarding Officer in a sealed envelope marked *“Private and Confidential (Addressee Only)”*.
- 10.3 The Designated Safeguarding Officer is responsible for maintaining accurate secure written records of all concerns received, and action taken in response, including completion of the Child Protection Incident Reporting Form and Safeguarding Adults Alert/Referral Form.
- 10.4 The Designated Safeguarding Officer is responsible for keeping secure written records of all allegations of abuse against staff and volunteers, and management action taken.

DEFINITIONS/GLOSSARY

TERM	MEANING
Abuse	A violation of an individual's human and civil rights by any other person or persons. Abuse may be any or all of the following; <ul style="list-style-type: none"> • Physical • Neglect • Institutional • Sexual • Discriminatory • Financial • Psychological
Adult & Children's Social Care	North Yorkshire County Council. Further details can be obtained at www.safeguardingchildren.co.uk and www.northyorks.gov.uk/safeguarding
Child/Children/Young Person	Anyone under the age of 18
Criminal Records Bureau (CRB)	The CRB is a national organisation conducting police checks to enable an assessment to be made on the suitability of a person to care for or work with children or vulnerable adults.
Designated Safeguarding Officer	The council employee with overall responsible for overseeing the Safeguarding Policy and Procedures.
Employees/Member of staff	Those employed by the Council, whether permanent or temporary. This includes paid and voluntary staff, and also elected councillors.
Independent Safeguarding Authority (ISA)	The Independent safeguarding Authority has been created to help prevent unsuitable people from working with children and vulnerable adults. (Further details can be obtained at www.isa-gov.org.uk)
North Yorkshire Local Safeguarding Children's Board (NYLSCB)	The Children Act 2004 required each local authority to establish a Local Safeguarding Children Board (LSCB). The North Yorkshire Safeguarding Children Board (NYSCB) is the key statutory mechanism for agreeing how relevant organisations in North Yorkshire will cooperate to safeguard and promote the welfare of children in the county, and for ensuring the effectiveness of their arrangements for safeguarding.
North Yorkshire Safeguarding Adults Board (NYSAB)	The North Yorkshire Safeguarding Adults Board (NYSAB) oversees multi-agency work on safeguarding vulnerable adults.
Parent	Generic term to include birth parents, stepparents and carers. The term will specify parental responsibility where necessary.
Safeguarding	The process of protecting from abuse, neglect or maltreatment, preventing impairment of health and development, and ensuring the provision of safe and effective care to enable optimum life chances and successfully progression to adulthood with independence.
Vulnerable Adult	Anyone aged 18 or over who is or may be in need of community care services by reason of mental or other disability, age or illness and is or maybe unable to take care of him or herself, or unable to protect him or herself against significant harm or exploitation.

LEGISLATIVE FRAMEWORK

Children Act 2004

Section 10 requires each Local Authority (i.e. Children's Services Authority) to make arrangements to promote co-operation between the Authority, each of the Authority's relevant partners (including District Councils) and such other persons or bodies working with children in the Local Authority area as the Authority considers appropriate. The arrangements are to be made with a view to improving the wellbeing of children in the Authority's area that includes protection from harm or neglect alongside other outcomes. This section is the legislative basis for Childrens Trust arrangements.

Section 11 requires a range of organisations (including District Councils) to make arrangements for ensuring that their functions, and services provided on their behalf, are discharged with regard to the need to safeguard and promote the welfare of children.

Section 13 requires each Childrens Services Authority to establish a Local Safeguarding Children Board. It also requires a range of organisations (including District Councils) to take part in Local Safeguarding Children Boards.

Children Act 1989

Places two specific duties on District Councils to co-operate in the interests of children in need.

Section 17(10) states that a child shall be taken to be in need if:

- a. He is unlikely to achieve or maintain, or to have the opportunity of achieving or maintaining, a reasonable standard of health or development without the provision for him of services by a local authority under this Part.
- b. His health or development is likely to be significantly impaired, or further impaired, without the provision for him of such services, or
- c. He is disabled.

Section 27 provides that a Children's Services Authority may request help from any local authority in exercising the local authority's functions under Part 3 of the Act. Part 3 places a duty on local authorities to provide support and services for children in need. The authority whose help is requested in these circumstances has a duty to comply with the request, provided it is compatible with its other duties and functions.

Section 47 places a duty on any local authority to help a Local Authority (i.e. Children's Services Authority) with its enquiries in cases where there is reasonable cause to suspect that a child is suffering, or is likely to suffer, significant harm.

POLICIES AND PROCEDURES SUPPORTING SAFEGUARDING

Human Resources Policies, Procedures and Regulations including:

- Disciplinary Procedure and Rules
- Disclosure Policy and Procedure
- Employment of Ex-Offenders
- Equality Statement and Equality Scheme
- Grievance & Disciplinary Policy and Procedure
- Harassment and Bullying Policy
- Recruitment and Selection – Code of Practice (including CRB procedure)

Health & Safety Policies, Procedures and Regulations including:

Whistleblowing Policy

Complaints Procedure

Data Protection Policy, Procedure and Guidance

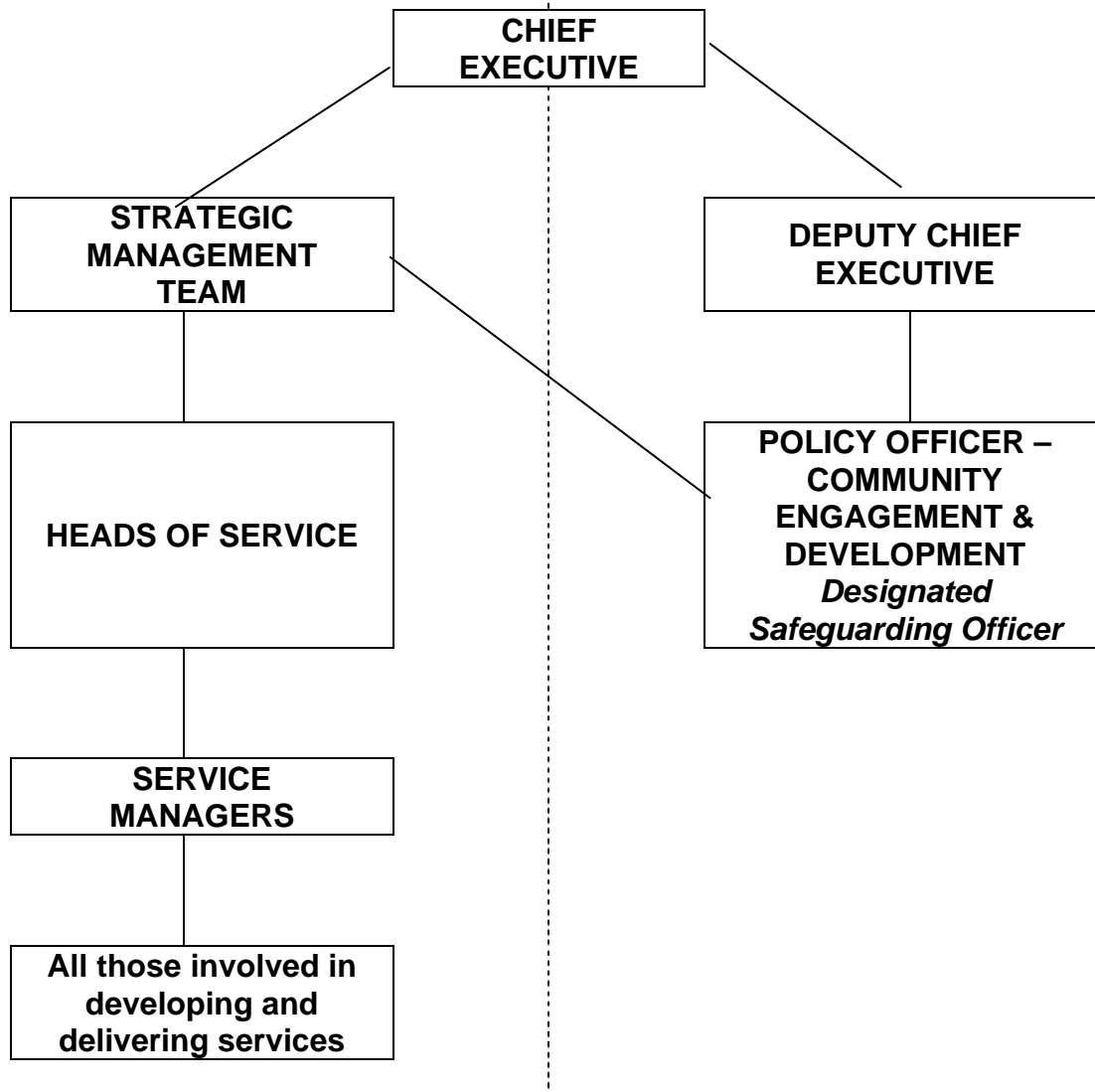
ICT User Policy

Service-specific policies and procedures

ACCOUNTABILITY, MANAGEMENT AND REPORTING STRUCTURE

Service development and delivery

Strategic management and co-ordination



ROLES AND RESPONSIBILITIES

Chief Executive	<ul style="list-style-type: none"> • Ensures the Council fulfils its statutory duties
SMT	<ul style="list-style-type: none"> • Endorses Safeguarding Arrangements • Agrees Corporate Safeguarding priorities and actions
Deputy Chief Executive	<ul style="list-style-type: none"> • Ensures Safeguarding Arrangements are implemented • Acts as Named Senior Officer for allegations of abuse against staff and volunteers
Policy Officer – Community Engagement & Development	<ul style="list-style-type: none"> • Acts as Designated Safeguarding Officer • Acts as point of contact within the Council for raising safeguarding concerns. • Collects details of allegations, suspicions or concerns. • Ensures that appropriate action is taken in response to concerns raised, and that lines of responsibility are clear. • Seeks advice from, and liaise with, safeguarding agencies where required. • Makes appropriate referral to safeguarding agencies and ensure referrals are followed up. • Ensures the Council's Safeguarding Policy is followed in managing all safeguarding concerns, allegations or suspicions. • Refers any allegations of abuse against staff and volunteers to the Named Senior Officer (or deputy). • Ensures accurate and secure records are kept of all safeguarding concerns, allegations or suspicions, including completion of the appropriate referral forms. • Leads and co-ordinates Safeguarding work throughout the organisation • Represents the Council on Locality Safeguarding Forums and ensures appropriate links to NY Children and Adults Safeguarding Boards • Acts as Lead Officer in respect of the Multi-Agency Public Protection Arrangements • Provides support and guidance to staff and volunteers where required
HoS – Customer & Business Support (because of HR implications)	<ul style="list-style-type: none"> • Acts as Named Senior Manager in relation to allegations of abuse against staff and volunteers
Heads of Service Service Managers	<ul style="list-style-type: none"> • Monitor action to safeguard and promote welfare of children and vulnerable adults within their areas of responsibility • Ensure delivery of safe services and safe working practices
All those involved in developing and delivering services	<ul style="list-style-type: none"> • Deliver services with regard to safeguarding and promoting the welfare of children and vulnerable adults • Raise any safeguarding issues, concerns or allegations through the Safeguarding Arrangements

CODE OF CONDUCT FOR SAFEGUARDING

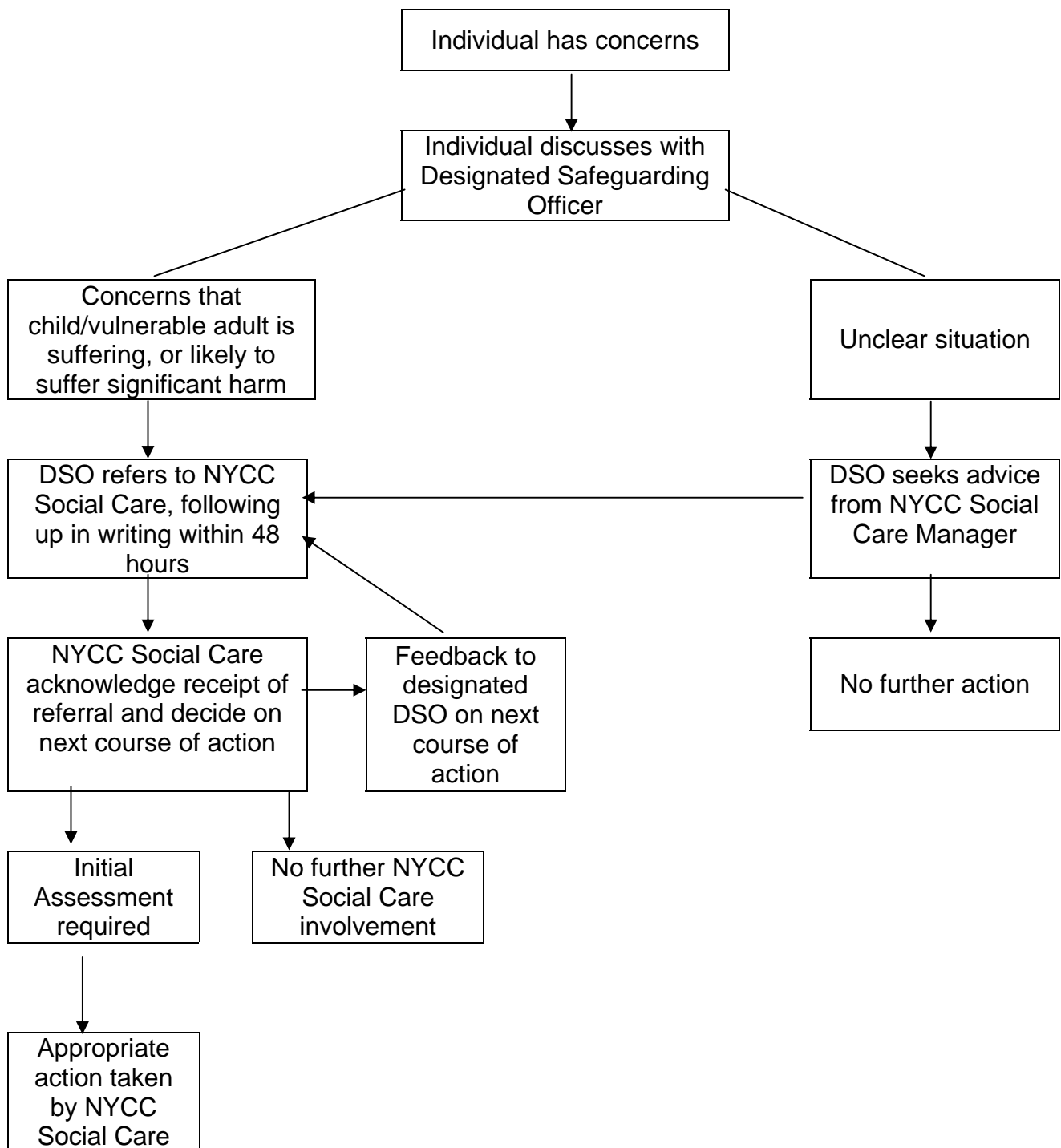
DO

- Treat all children and vulnerable adults fairly and with respect.
- Be aware of the procedures for reporting concerns and how to contact the Designated Safeguarding Officer.
- Be aware that physical contact with a child or vulnerable adult may be misinterpreted. There may be occasions when this is unavoidable, such as comfort at times of distress, or physical touch in sport (see *NGB Guidelines*). In all such cases contact should only take place with the consent of the child or vulnerable adult.
- Respect the right of a child or vulnerable adult to personal privacy.
- Make others (for example your line manager) aware if you find yourself the subject of inappropriate affection or attention from a child or vulnerable adult.
- Report to the Designated Safeguarding Officer any safeguarding concerns including allegations or suspicions of abuse.

DO NOT

- Spend time alone with children or vulnerable adults, away from others. Meetings with individuals should be avoided or take place within sight of others. If privacy is needed, the door should remain open and other staff or volunteers should be aware of the meeting.
- Take children or vulnerable adults alone in a car, however short the journey. Where this is unavoidable it should be with full knowledge and consent of the parents/carer and the manager responsible for the service/activity.
- Meet children or vulnerable adults outside of organised activities, unless it is with the knowledge and written consent of the parents/carer and the manager responsible for the service/activity.
- Start an investigation or question anyone after an allegation or concern regarding abuse has been raised. You should just record the facts and report these to the Designated Safeguarding Officer.
- Allow any allegations made to go without being reported and addressed, or either trivialise or exaggerate abuse issues.
- Make promises to keep any disclosure confidential from relevant authorities.
- Show favouritism to any one, or threaten/carry out any form of physical punishment.
- Never:
 - Initiate or engage in sexually provocative conversations or activity
 - Allow the use of inappropriate language to go unchallenged
 - Do things of a personal and intimate nature that individuals can do for themselves.

REPORTING ARRANGEMENTS



CHILD PROTECTION INCIDENT REPORTING FORM

CHILD PROTECTION INCIDENT REPORTING FORM	
Date of Report:	
Site / Service:	
Name of person making the report:	
Role / Position:	
Contact details:	
Telephone (Work):	
(Mobile):	
(Home):	
Email:	
Name of Child(ren):	Date of Birth:
	Date of Birth:
	Date of Birth:
	Date of Birth:
Address:	
Name of Parent (s)/ Guardian(s):	
Contact details:	
Telephone (Work):	
(Mobile):	
(Home):	
Email:	
Details of any special needs or communication needs of child and/or parent / guardian:	

(Please turn over to complete the form)

Details of Incident / Disclosure / Observation

Please give an accurate record of the incident / disclosure / observation that has lead you to make this report in as much detail as possible.

- Why do you feel the child is suffering, or is likely to suffer, significant harm
- Share your knowledge and involvement of the child(ren)
- Share your knowledge of any other agency involved
- Indicate the child's parent/guardian's knowledge of the referral and their expectations

If you have made a referral by telephone follow this up in writing within 48 hours.

Date of Incident/Disclosure/Observation:	
--	--

Time:	
-------	--

Details of what took place: (please continue on a separate sheet if required)

Signed:	
---------	--

Date:	
-------	--

This Report is confidential and should only be discussed with the Designated Safeguarding Officer (or Deputy) and Officers from NYCC Children Services. When the form is complete check all details then seal in an envelope and send immediately to the Designated Safeguarding Officer.

SAFEGUARDING ADULTS ALERT/REFERRAL FORM

North Yorkshire Safeguarding Adults Board

Inter-agency Safeguarding Adults Alerter/Referral

SAFEGUARDING CONCERNS: Please contact Customer Services Centre on 0845 0349410

If you have Safeguarding Concerns you will be asked the following information. Completion of this form must not delay immediate action being taken where necessary to ensure the safety of the vulnerable person.

Date of the Alert:	Time of the Alert:
---------------------------	---------------------------

1 Tell us who the vulnerable person is you are concerned about: <i>(please complete as much of this as is known – if not known put N/K)</i>	
Name:	
Gender:	
Home address:	
Contact address:	
Telephone No:	
Age:	Date of Birth:
Ethnic Origin/Nationality:	Religion:
Client Group:	
Communication and access needs:	
Is the vulnerable person aware of the referral? Yes <input type="checkbox"/> No <input type="checkbox"/> <i>If No, why?</i>	
In your opinion, does the vulnerable person have capacity? Yes <input type="checkbox"/> No <input type="checkbox"/> Not Known <input type="checkbox"/>	
Are you aware if a Safeguarding referral about this vulnerable person has been made before? Yes <input type="checkbox"/> No <input type="checkbox"/> Not Known <input type="checkbox"/>	
Is the vulnerable person involved with any other agencies? Yes <input type="checkbox"/> No <input type="checkbox"/> Not Known <input type="checkbox"/> <i>If Yes, please provide details:</i>	

2 Please tell us about who you are	
Name:	
Organisation (if applicable):	
Contact address:	Telephone No: Mobile No: Email:
County:	Postcode:
Relationship to the vulnerable person:	

3 Details of vulnerable person's main contact	
Name:	
Relationship to vulnerable person:	
Is Relative/Carer aware of this referral? Yes <input type="checkbox"/> No <input type="checkbox"/>	
Contact address:	Telephone No: Mobile No: Email:
County:	Postcode:
Are they willing to be contacted? Yes <input type="checkbox"/> No <input type="checkbox"/> Not Known <input type="checkbox"/>	

4a Details of the concern(s) being raised	
Please indicate the type of abuse suspected (please tick more than one if appropriate):	
Neglect <input type="checkbox"/> Emotional <input type="checkbox"/> Financial <input type="checkbox"/> Physical <input type="checkbox"/> Sexual <input type="checkbox"/> Discriminatory <input type="checkbox"/> Institutional <input type="checkbox"/>	
And do you consider this abuse:	
Hate Crime <input type="checkbox"/> Domestic Violence <input type="checkbox"/> Domestic Violence Between Partners <input type="checkbox"/>	
Location of incident/concern:	Date and Time:

Brief factual details of the incident:

This should include a clear factual outline of the concern being raised with details of times, dates, people and places where appropriate. (Please continue on a separate sheet if required).

4b Current situation

Where is the vulnerable person now in relation to the alleged perpetrator?

Are there other people who may be at risk or harm? Yes No Not Known

If Yes, please describe the risk that remains and names of others potentially at risk (please only refer to identified risk that relates directly to the concern)

If you are concerned about the vulnerable person's welfare have you contacted their GP or the ambulance service? Yes No

If criminal activity is suspected have police been contacted? Yes No

If Yes, what was the outcome?

Police Crime/Ref No:

Who else has been informed of this concern?

5 Details of alleged perpetrator(s) involved (if known) (please complete as much of this as is known)	
Name:	
Gender:	
Address:	
Occupation/Position/Title/Organisation:	
Date of Birth:	
What is the relationship of the alleged perpetrator to the vulnerable person?	
Does alleged perpetrator live with vulnerable person? Yes <input type="checkbox"/> No <input type="checkbox"/>	
Is this alleged perpetrator considered a vulnerable person? Yes <input type="checkbox"/> No <input type="checkbox"/> Not Known <input type="checkbox"/>	
Are they aware of this alert? Yes <input type="checkbox"/> No <input type="checkbox"/> <i>If yes, what is their response, and are there any hazards to be aware of?</i>	

6 Details of person completing this form	
Name:	
Date completed:	
Address:	Telephone No: Mobile: Email:

FOR LOCAL AUTHORITY USE:	
Decision Made:	
Safeguarding Manager:	Team:
Alert allocated to:	SWIFT No:
Have you advised the Alerter/Referrer of the Decision? Yes/No	Date:

Completed forms should be sent to: North Yorkshire County Council, Customer Services Centre, County Hall, Racecourse Lane, Northallerton, North Yorkshire DL7 8AD. Fax number: 01609 532009

PHOTOGRAPHY, FILM, MEDIA REGISTRATION & CONSENT FORMS

Registration Form FOR USE at events/projects

The Council is committed to providing a safe environment for children/young people under the age of 18. Essential to this commitment, is to ensure that all necessary steps are taken to protect children/young people from inappropriate use of photographic images.

Event/Project _____

Date(s) _____

I wish to take photographs or record images during the course of the above event or project. I agree to abide by the guidelines laid down by Council and confirm that the photographs or recorded images will only be used in an appropriate manner.

Name : _____

Address: _____

Post Code: _____

Tel. No: _____

Date: _____

Please describe below how photographs or recorded images will be used:

I acknowledge that if it is deemed that any photographs or recorded images are used inappropriately, this may result in me being unable to use photograph equipment at events in the future.

Signed _____

CONSENT FORM FOR THE USE OF VIDEO & PHOTOGRAPHIC IMAGES

Event/project _____

Date _____

I give the Council permission to use any appropriate pictures that are taken of my child for use in publications and other material relating to this event/activity.

Any pictures used for publicity purposes will not identify any children by name.

Name of Parent/Carer: _____

Name of Child(ren): _____

Address: _____

Telephone: Home: _____

Mobile: _____

Signed.....

Date.....

Please return this form to;

Name: _____

Department: _____

Address: _____

Tel: _____

Email: _____

USEFUL CONTACTS

SELBY DISTRICT COUNCIL

Any Safeguarding concerns, allegations and suspicions

Designated Safeguarding Officer:
Neil Skinner, Policy Officer 01757 292202
Email: nskinner@selby.gov.uk

Allegations of abuse against staff and volunteers

Named Senior Officer
Jonathan Lund, Deputy Chief Executive 01757 292056
Email: jlund@selby.gov.uk

Named Senior Manager
Janette Barlow, Head of Service 01757 292220
Email: jbarlow@sdelby.gov.uk

NORTH YORKSHIRE COUNTY COUNCIL

Customer Service Centre: 08450349410
Email: social.care@northyorks.gov.uk

Out Of Hours Duty team: 08450349417
Email: edt@northyorks.gov.uk

For general questions and enquiries about safeguarding, please contact the safeguarding adults team:
safeguardingadultsteam.enquiries@northyorks.gov.uk

Please note this e-mail address is NOT for reporting abuse or making referrals.

NORTH YORKSHIRE POLICE

Child Abuse Investigation Team 08456060247
Protection of Vulnerable Persons Unit (PVPU)

NATIONAL ORGANISATIONS

NSPCC Child Protection Helpline: 08088005000

Childline: 08001111

Care Quality Commission: 03000616161

Action On Elder Abuse: 08088088141

Victim Support: 08453030900

The Samaritans 08457909090

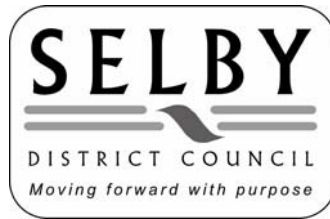
Help The Aged 02072781114

Age Concern: 0800009966

Shelterline: 08088004444

BT Nuisance Call Advice: 0800661441

Womens Aid: 08082000247



Title:	Joint Procurement Strategy
To:	Policy & Resources
Date:	28 September 2010
Service Area:	Partnerships & Commissioning
Author:	Joint Procurement Strategy
Presented by:	Rose Norris, Head of Service – Partnerships & Commissioning

1 Purpose of Report

- 1.1 On 1st August 2009 the Council entered into a procurement partnership and shared service with Scarborough and Ryedale councils. The partnership has developed a Joint Procurement Strategy which sets out the over-arching framework which will help to ensure that together procurement delivers excellent value and supports the attainment of the three councils' priorities and visions. Policy and Resources Committee are asked to consider and adopt the strategy.

2 Recommendation

- 2.1 **It is recommended that the Committee adopts the Joint Procurement Strategy.**

3 Executive Summary

- 3.1 On 1st August 2009 the Council entered into a procurement partnership and shared service with Scarborough and Ryedale councils. The three councils jointly spend £53 million every year on the supplies, services and works needed to deliver services to the public of all areas. How well we procure those requirements has a critical impact on our performance and ability to provide value for money. The Joint Procurement Strategy (attached at Appendix 1) sets out the over-arching framework which will help to ensure that together our procurement delivers excellent value and supports the attainment of the three councils' priorities and visions.

4 The Partnership and the Joint Strategy

- 4.1 On 1st August 2009 the Council entered into a procurement partnership and shared service with Scarborough and Ryedale councils. This was agreed by Policy and Resources Committee in July 2009. The Partnership's legal basis is a joint committee under the Local Government Acts 1972 and 2000. This requires that the Partnership operates separate financial arrangements, including preparing its own accounts, AGS, and is subject to external audit. It is governed by the joint committee (the Partnership Management Board) and each partner council has one representative; Selby District Council's representative is Councillor Chilvers as Procurement Champion, with support from Councillor Percival as Deputy Leader. This agreement shall continue until 31 March 2013; in order to withdraw from the partnership, one year's notice in writing would be required.
- 4.2 Scarborough Borough Council, which already had a small procurement team, hosts the Partnership and has employed an additional procurement adviser, Dale Casson, to act as dedicated support and the point of contact for both Ryedale and Selby District councils. Dale is now based at Selby three days a week. In addition to this, being part of the partnership enables the council to access legal advice from Scarborough Borough Council's legal team as part of the comprehensive service on procurement.
- 4.3 The three councils jointly spend £53 million every year on the supplies, services and works needed to deliver services to the public of all areas. How well we procure those requirements has a critical impact on our performance and ability to provide value for money.
- 4.4 The Joint Procurement Strategy (attached at Appendix 1) sets out the overarching framework which will help to ensure that together the three councils' procurement delivers excellent value and supports the attainment of each council's vision and priorities.
- 4.5 The joint strategy will help the three councils achieve the objectives set for the North Yorkshire Joint Procurement Committee. It takes into account the national agenda as set out in the National Procurement Strategy for local Government together with the three councils' local priorities. The strategy is supported by a business plan covering a three year period. This will require commitment from officers, elected members and partners to realise its targets and objectives.

5 Initial Consideration within Selby District Council

- 5.1 The draft strategy has been considered and discussed within the council by the Operational Management Team and the Enhanced Chairs Group. A series of additional suggestions and points of clarification have been made. They are set out overleaf, along with a response from the Procurement Partnership team.

- i Suggestion:
Under the section on the *Key Principles for Effective Procurement and Priorities for improving procurement*, there could be more emphasis on innovation and sharing success.
Response:
While innovation and sharing success fall under the heading *Strategic Procurement*, there are opportunities for the partnership to place more emphasis on this aspect of the work.
- ii Suggestion:
There is a need to consider assignability precautions, especially on service contracts.
Response:
This is part of good contract management; we have procurement and commercial contract expertise and knowledge through legal officers at SBC to which the partnership has access.
- iii Suggestion:
Remedies for various levels of breach.
Response:
As ii above.
- iv Suggestion:
On local procurement there should be encouragement (not exclusivity) for local companies in order to facilitate 'churn' in the district's economy. We must actively tell them how they can become aware of possibilities.
Response:
Fully agreed; the Partnership is currently working on a joint partnership website, which will have links/opportunities detailed for local businesses to capital schemes for sub contracting opportunities and the Supplier Contracts and Management System (SCMS) for current opportunities. The Partnership would like to launch this in line with a *How to do business* event in the autumn at all three districts. This work is covered in the economic element within the *Sustainability* section of the strategy.
- v Suggestion:
There has to be recognition that local firms pay NNDR into the district councils and the councils make a margin from this, that the employees will, in the most part, live in the district and pay council tax, but most significantly in living locally they add to the churn in the local economy. Someone operating 15 minutes away will give better after sales service to others operating 50 miles away.
Response:
While this is agreed, we do have to be careful with regard to the procurement rules. However, there are ways to assist the local business by making sure that quality criteria include a good rating, for instance, on service delivery and call-outs, etc. This is covered in the sections on *Forward Planning*, *Business improvements* and *Staff competencies and skills*.
- vi Suggestion:
The National Context, and indeed the Regional Context, set out on page 5 of the strategy, need to be updated to reflect current drivers, challenges and opportunities facing the three councils.
Response:
Agreed.

- 5.2 The Procurement partnership has provided reassurance that all of the points raised during informal discussions within the council are included within the spirit of the strategy. In the coming months, the elected members and lead officers involved in the Procurement Partnership will ensure, through active involvement in the joint committee, that the needs of Selby District Council are served through the partnership and shared procurement service.

6 Financial Implications

- 6.1 The financial implications for Selby District Council were presented to Policy and Resources in July 2009 and the extract from that report is set out again below:

	Year 1 £	Year 2 £	Year 3 £
Contribution to running costs	35,000	35,000	35,000
Funded from:			
Approved General Fund Bid	17,500	17,500	17,500
HRA Existing Budgets	17,500	17,500	17,500
Indicative procurement savings	0	-50,000	-100,000
Cumulative spend/saving (+/-)	35,000	20,000	-45,000

- 6.2 The indicative procurement savings identified above were based upon a cautious estimate of the potential savings available (5% of addressable spend, which equates to £250k over Years 2 to 4) although the timing of the savings are difficult to predict with any accuracy and will depend on partners' opportunities for collaborative procurement. The business case suggests that the partnership should be self financing by Year 3.
- 6.3 Since then, the partnership has started to make progress in a number of areas and has already identified savings of £7,200 on the General Fund in 2010/11 and £12,500 on the Housing Revenue Account. The current General Fund savings targets for Procurement are set out below (an analysis of spend, due to be completed in the coming weeks, will identify further savings):

2011/12	£46,000
2012/13	£76,000
2013/14	£101,000
2014/15	£126,000

7 Conclusions

- 7.1 The joint procurement strategy will provide an overarching framework which will help to ensure that together the three councils' procurement delivers excellent value and supports the attainment of Selby District Council's vision and priorities.

8 Link to Corporate Plan

- 8.1 The work of the Procurement Partnership and the strategy contribute to the Council's 'Making Better Use of Resources' strategic theme.

9 How Does This Report Link to the Council's Priorities?

- 9.1 The partnership and strategy will help deliver on the priority for 2010-11 of reducing our expenditure by a series of balanced measures whilst maintaining essential services to our community.

10 Impact on Corporate Policies

10.1	Service Improvement	Impact
	The efficiency savings delivered through more effective and collaborative procurement will contribute to improved service delivery.	
10.2	Equalities	Impact
	Equalities (and Diversity) is one of the six procurement themes in the strategy.	
10.3	Community Safety and Crime	Impact
	The strategy recognises that all three councils have corporate priorities to provide safe and healthy communities. Community Safety and Crime is also part of the strategy's theme on sustainability.	
10.4	Procurement	Impact
	Improved procurement is the primary focus of the strategy.	
10.5	Risk Management	Impact
	Risk Management is one of the six procurement themes in the strategy.	
10.6	Sustainability	Impact
	Sustainability is one of the six procurement themes in the strategy.	
10.7	Value for Money	Impact
	Delivering better value for money services is at the heart of the strategy.	

11 Background Papers

- 11.1 Policy and Resources report and business case, July 2009 (available on request)

THE NORTH YORKSHIRE DISTRICT JOINT PROCUREMENT COMMITTEE

JOINT PROCUREMENT STRATEGY

2009 - 2012



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Introduction

The Councils of Ryedale, Selby and Scarborough jointly spend £53 million every year on the supplies, services and works needed to deliver services to public of all areas. How well we procure those requirements has a critical impact on our performance and ability to provide value for money.

The Joint Procurement Strategy sets out the over-arching framework which will help to ensure that together our procurement delivers excellent value and supports the attainment of all three councils' priorities and visions.

The joint strategy will help the three councils achieve the objectives set for the North Yorkshire Joint Procurement Committee.

It takes into account the national agenda as set out in the National Procurement Strategy for local Government together with the Councils local priorities. The strategy is supported by a business plan covering the next three years. This will require commitment from officers, elected members and partners to realise its targets and objectives.

Collaborative procurement is at the heart of the Government's Operational Efficiency Programme which identified that it is realistic to expect a total of £6.1 billion of annual value for money savings by the end of 2013-14.

The report upon collaborative procurement identified that:

- the process of procuring common goods and services across the public sector is dispersed, resulting in a wide range of prices for similar goods and services;
- the majority of public sector procurement spend is undertaken by organisations in the wider public sector. £103 billion of the total £175 billion public sector procurement spend is spent by local authorities, schools and health organisations alone.
- In order to deliver true value for money, large public sector organisations will need to procure in collaboration with small organisations so that the entire public sector can benefit from the full leverage that it can exert; and
- suppliers, including both large organisations and small and medium-sized enterprises (SME's) are disadvantaged by a disjointed approach from government to supply markets.

Four key themes were identified:

- the OGC's programme of work, to deliver national savings should be expanded;
- common standards should be implemented to improve the quality of management information on procurement spend across the public sector.
- access to better deals for local service providers across the wider public sector should be improved by working with and through Professional Buying Organisations (eg Yorkshire Purchasing Organisation/YORBuild) in a more regulated manner.
- The uptake of collaborative strategies across the public sector should be supported through better individual and organisational incentives

The Operational Efficiency Review recommended:

- a target of 50 per cent of all available spend be channelled through collaborative strategies by 2010-11;
- more focused, promotional marketing of available deals in central government and the wider public sector;
- better use of existing investments in eProcurement systems;
- ensuring value for money and collaboration form key components of skills and capability development of procurement professionals across government;
- increased scrutiny of the value for money that central government and wider public sector bodies derive;
- inclusion of collaborative procurement as a component of the value for money indicators within assessments of departmental performance, challenge by the Value for Money Review Group, and as components of assessments of public sector organisations by the various audit bodies; and
- ensuring public sector organisations can keep any collaborative procurement efficiency savings they deliver in excess of what they need to live within their budgets and incentivising good performance through not penalising

This strategy and the Action Plans which arise from it will seek to address these key themes.

Structure of Procurement

1. Strategic Procurement in Context

Strategic Procurement embraces the requirements of the National Procurement Strategy for Local Government, the new National and Yorkshire and Humber Regional Improvement and Efficiency Strategy (RIES), the Local Government Sustainable Procurement Strategy, the corporate objectives of the individual councils, and all relevant legislation. Strategic Procurement ensures these are embedded into the activities and processes that sit at the heart of the councils' procurement operations, providing a framework by which the councils obtain best value in all the goods, services and works required.

Elected Members, senior council officers and the councils' corporate objectives influence strategic procurement, highlighting the areas that are important for the councils. These areas are reflected through the six procurement improvement themes: Equalities and Diversity; Sustainability; e-procurement; Risk Management; Project and Contract Management; Procurement Resources, Skills and Training. The devolved procurement activity, stakeholders, suppliers and partners assist in delivering the councils' corporate goals.

2. Definition of Procurement

*“Procurement is the process of acquiring goods, works and services, covering both acquisitions from third parties and from in-house providers. The process spans the **whole life cycle** from identification of needs, through to the end of a services contract or the end of the useful life of an asset. It involves options appraisal and the critical “make or buy” decision.”*

National Procurement Strategy for Local Government, October 2003

3. National Context

In the past three years the councils have embraced the National Procurement Strategy (NPS) and the challenges of the Government's efficiency agenda, with procurement providing a significant contribution in delivering cashable savings and business transformation. Only a handful of the NPS e-procurement targets – those for which there has been no adequate business case to date to introduce – remain outstanding, and these shall remain under periodic review.

During the next few years there will be a number of new challenges for the councils, in which procurement will have a major contribution to play. These include the Comprehensive Spending Review 2007, new National Improvement and Efficiency Strategies (NIES), implementing the provisions outlined in the Local Government Sustainable Procurement Strategy Flexible Framework, and Energy Efficiency and Carbon Reduction programmes. In broad terms this is likely to mean in the coming years the three councils will witness more pressure on finances, greater demand on services and the need to enhance skills and capacity.

4. Regional and Local Context

The new Regional Improvement and Efficiency Partnership (RIEP) have replaced the Centre of Excellence and the Regional Improvement Partnership bodies. RIEP has produced a Regional Improvement and Efficiency Strategy for the Yorkshire and Humber. This strategy places heavy emphasis on better procurement making a significant contribution to local authorities' 3% year on year cashable efficiency savings. In addition the strategy sets targets for local authorities to improve equality standards, build capacity and staff skills, deliver sustainable communities, and avoid duplication through greater collaboration.

At a local level all three councils have adopted similar themes in their Corporate Plans, namely to:

- Support the local economy;
- Protect the environment;
- Provide safe and healthy communities; and
- Provide leadership and deliver better value for money services.

And all three embrace similar values – value for money, better customer services, sustainability and equality of access.

Procurement activity will be coordinated to enable the councils to proactively contribute to their sustainable community strategies and corporate objectives.

It is important that procurement decisions are legal, ethical and in accordance with the councils' corporate objectives, policies and procedures. Consideration must also be given of the impact on the economic, social and environmental well-being of the local area in making these decisions.

Key Principles for Effective Procurement

The councils' are committed to delivering effective services, which meet the needs of local citizens and the provision of effective procurement and management procedures to ensure these services represent best value. To that end the following principles will form the basis of all procurement activity in order to achieve value for money:

1. Strategic Procurement

Strategic procurement will support improved service delivery, freeing up resources and improving the quality of goods, services and works, and ensure that the councils obtain value for money in the acquisition and management of its resources, balancing quality and cost.

The Councils will manage strategic procurement through the Joint Procurement Committee, with a procurement resource providing advice, and on occasion leading, on the letting of corporate contracts and specific projects, whilst allowing departmental purchasing officers (who have best knowledge of local requirements) to procure at a local level within a clear corporate framework. The procurement function will provide support wherever required to departmental purchasing officers, and monitor procurement activity across the councils.

2. The Corporate Procurement Framework

The councils' procurement activity will operate within a strategic framework consisting of this Procurement Strategy and each council's own procurement procedure are to be aligned giving procurement guidance available on their intranet sites.

The councils' corporate framework will enable all officers to obtain goods, services and works to the required quality in the most efficient manner. All procurement activity will be sustainable procurement, supporting and promoting each council's policies and priorities, including equality and diversity, sustainability and economic development, and will be assessed on a whole life costing and benefits basis.

Each council will ensure that procurement activity is undertaken in the most effective and appropriate manner, considering all options including (the following is not exclusive):

- develop and promote use of corporate contracts;
- use consortia of which the councils are members (e.g. Yorkshire and Humber Regional Procurement Groups);
- use approved pre-OJEU tendered Framework Agreements (e.g. those arranged by the Yorkshire Purchasing Organisation [YPO] or the Office of Government Commerce [OGC]);
- collaborative procurement with partner councils and other Public Sector bodies;
- develop strategic partnerships, particularly where these will deliver significant service improvement and/or efficiencies;
- comply with all legislative requirements and best practice guidance, including complying with the commitments made by the Councils in signing the Small Business Friendly (SME) Concordat; and

- Develop and promote use of the Supplier and Contract Management System (SCMS).

3. Forward Planning

An annual procurement expenditure analysis will be undertaken for each Council to identify potential areas of opportunity for new procurement activity which will be built into three yearly Strategic Procurement Action Plans, and reviewed on an annual basis. The Joint Procurement Committee Board will review the planned procurement activity and prioritise areas with greatest potential to deliver savings or improve quality across the three councils.

In addition each council will encourage departments to review local arrangements to ensure these comply with the council's Joint Contract Procedure Rules. Where common requirements exist across the council or within partner councils or other public sector bodies, the council will seek to collaborate with these partners to secure better value for money or quality of services.

Prior to undertaking any procurement activity the councils will ensure that a robust business case that clearly outlines the objectives of the procurement and measures for success has been produced and agreed.

4. Business Improvement Reviews/Options Appraisal

Best Value required the authorities to demonstrate value for money and efficient and effective service delivery. Procurement decisions need to be taken such as whether it is necessary to obtain the goods, services or works, and whether they should be obtained internally or externally.

The councils recognise that in-house services can provide a high quality, flexible framework for developing and delivering services and these in-house providers will be supported where they offer value for money and operate in the best interests of service users. In-house providers should find an appropriate balance between best on quality, equality, sustainability, value for money, service and employment practices.

However, equally it is recognised that there are other ways to deliver services including through partnerships, which can be extremely important in delivering value for money services – partnership with the private and voluntary sectors, other public bodies acting locally, and with central government.

Each council will encourage departments to carry out business improvement reviews and the development of the performance management framework will develop an open and constructive dialogue with all those involved or who may have something to offer. The development of new methods or approaches to procurement which will deliver services more efficiently, effectively and economically will be encouraged.

5. Procurement Analysis

The choice of procurement method will be dependent on the strategic importance, the value of the goods, services or works, and the potential risk associated with each procurement option. Different procurement options will be suitable for different goods and services and will involve undertaking different practical steps to achieve the desired outcome. The Councils will develop its overall management of procurement by modelling its requirement on a risk/value matrix, illustrated below.

The actual procurement process should be agreed with the procurement function and will depend on the required outcomes. However, in all cases the process must comply with the councils' Contract Procedure Rules.

6. Transparency

All procurement activity will be transparent (and fully compliant with the Freedom of Information Act), fair, consistent, robust and be undertaken to the highest standards of probity and accountability. Procurement decisions must be evidence based.

As a minimum, departments with a requirement to tender for particular goods or services will advertise their requirements as widely and transparently as possible to encourage bids from local suppliers and Small, Medium Enterprises (SME's) in accordance with the Small Business (SME) Friendly Concordat, which the Councils have committed to support. It is recognised best practice to publicise requirements on the Council's "*Selling to the Council*" web page and on the Regional Supplier and Contract Management web site.

7. Contract Management

The management of contracts is of paramount importance, and can make the difference between a successful contract and a failed one. Contractual arrangements should be adequately resourced, effectively managed and monitored throughout the contract duration.

Contracts should include quality and performance standards which are monitored and reviewed. Contracts will be subject to continual review and vendor appraisal exercises, and benchmarking with public and private sector organisations to measure the effectiveness of the councils' procurement will be encouraged. A good working relationship should be developed with all suppliers, with review meetings with major suppliers held at suitable intervals. Plans should be made well in advance of the expiry of a contract for re-letting it based on a review of previous and current arrangements and performance.

8. Staff Competences and Skills

The training and development needs of all officers buying for the Council will be assessed. The procurement function will maintain a list of all officers that buy for the councils, ensure that they are informed of new corporate contracts and developments in procurement, and have access to any relevant training.

Code of Conduct for Procurement

All procurement activity must be undertaken to the highest standards of ethics and probity. The councils insist on ethical standards from its suppliers, and in turn it

must exhibit the highest ethical standards itself. Officers and members must not only be fair and above board in all business dealings, but should also avoid any conduct that is capable of having an adverse interpretation put on it.

All employees must adhere to the Officers' Code of Conduct and the Protocol for Employees on Gifts and Hospitality. In addition, employees undertaking any purchasing activity should consider themselves bound by the Code of Ethics of the Chartered Institute of Purchasing & Supply.

Priorities for Improving Procurement

The councils have identified six procurement 'themes', which shall be embedded into our procurement, helping make improvements to service delivery, deliver better value for money and addressing the objectives of the Corporate Plans, namely:

- Support the local economy;
- Protect the environment;
- Provide safe and healthy communities; and
- Provide Leadership and deliver better value for money services.

These six procurement themes are:

1. Equalities (and Diversity);
2. Sustainability;
3. Procurement Resources, Skills and Training;
4. e-procurement;
5. Risk Management; and
6. Project and Contract Management.

Each theme is outlined below and covered in greater detail in the procurement policies.

1. Equalities and Diversity

The three councils will have due regard to incorporate the necessary statutory requirements for equalities and diversity into their procurement activity.

Where appropriate, each council will consult with communities, service users and employees to understand their needs and requirements and factor these into service specifications as applicable. Additionally as part of the contract management process the councils will ensure the performance of the service provider in meeting these service specification requirements is monitored on a regular basis.

Evidence of the equality and diversity consultations, how these will be incorporated into service specifications, and how performance of the service provider will be monitored shall be part of the business case requirement..

Links to:

Key national legislation/guidance – non-discrimination legislation (age, disability,

gender, race, religion or religious belief, sexual orientation).

2. Sustainability

The Government Sustainable Development Strategy “Securing The Future” published in March 2005, committed that all elements of Government should “lead by example” on sustainability, with the UK becoming a leader within the EU on sustainability. The councils will strive to address the requirements of the Local Government Sustainable Procurement Strategy *Flexible Framework*, reproduced in the Sustainable Procurement Strategy. The Framework has incremental targets for public bodies to achieve by December 2010. As a minimum the councils will endeavour to achieve all Level 1 targets by end of March 2010 and all Level 3 and at least one Level 5 target by December 2011. Its is envisaged The Improvement and Efficiency Partnership – Yorkshire & Humber(RIEP) will provide support to introduce Sustainable Procurement and achieve all the Level 1 Flexible Framework targets.

Sustainability has three main elements as outlined below:

Environment – the councils will give appropriate consideration to the environment issues relating to the particular procurement. These may include:

- Energy/resource usage;
- Transport method and distance travelled;
- Carbon footprint of commodity/service;
- Waste disposal and recycling options; and
- Ethically and/or organically produced foods.

Social – the councils will work closely with the Voluntary and Third Sectors through the VCS Compact to ensure that the services provided meet the requirements of local communities, and that, where appropriate, there are opportunities for these sectors to bid for the councils’ business.

Economic – all three councils are signatories to the Small Business Friendly Concordat, which outlines a series of commitments the councils make to give all businesses, but with the emphasis on small and medium sized enterprises, equal opportunity to bid for council business. The development of a standard approach to procurement across the Councils is required

However, the councils recognise there is a tension, which needs to be carefully managed between more collaborative purchasing at regional level and supporting local suppliers within the confines of the EU Procurement Directives, i.e. without being anti-competitive. A balanced approach will be adopted in the councils’ procurement, supportive of sustainability and voluntary and community sector organisations, and looking for procurement collaboration with partners where appropriate.

The councils will assess the sustainability impact of the specific requirement, having due regard for all three sustainability elements, and the need to employ sustainability and whole life costing evaluation criteria when making procurement decisions. This will be evidenced by the requirement to produce a business case.

Links to:

Key national legislation/guidance – Local Government Sustainable Procurement Strategy; Small Business Friendly Concordat.

3. Procurement Resources, Skills and Training

The structure and resourcing of procurement will be reviewed in each council and across the partnership. Where there are perceived gaps or weaknesses in procurement resources, skills and competences the councils will take measures to address the situation and build capacity accordingly.

4. e-procurement

The councils recognise there are considerable benefits to be gained from an increase in the use of e-procurement by using ICT to reduce the cost, and improve the efficiency and effectiveness across all aspects of the procurement process for the benefit of the councils and our suppliers and contractors.

All three councils currently utilise some aspects of e-procurement, whether through the use of purchasing cards, e-purchasing systems or Supplier and Contract Management Systems. Further developments will be made wherever an appropriate business case can be made, and in such cases the councils will strive to adopt a common electronic platform to share information, reduce duplication and encourage collaboration and greater efficiency.

Links to:

Key national legislation/guidance – National Procurement Strategy for Local Government.

5. Risk Management

The overall approach to risk management in the councils' procurement is to ensure the proper management of risk, but not to be risk adverse especially with regard to the use of innovative and collaborative procurement.

The councils will ensure that all procurement is undertaken in accordance with each council's Risk Management Strategy. As a minimum a risk assessment of the goods, works or services required should be undertaken on all procurement subject to tender requirement under the Contract Procedure Rules. The types of risk considered should as minimum

include statutory/legal compliance (e.g. environmental, health and safety, etc), financial, operational, damage to reputation, customer service, corporate objectives, etc.

6. Project and Contract Management

Local Government procurement has to be tendered in accordance with a number of legislative requirements. There is a duty to local taxpayers and a legal requirement to have contract standards in councils' constitutions. Councils are also subject to European Union procurement directives. The Councils will aim to achieve quality and value for money from its procurement through the application of controls and standards and robust project and contract management techniques.

Given the devolved nature of procurement across the three councils, there will be a continued drive towards the development of standard procurement policies and template documentation across the councils as an aid to collaborations and to ensure conformity.

Contract management will become increasingly important, especially as more long term contractual arrangements are put into place. The continued requirement to make efficiency savings will require contract managers to have a greater understanding of the markets their suppliers operate in, challenging contractors to deliver greater efficiencies, rather than seeking inflationary increases, whilst at the same time maintaining service levels.

In addition, performance management measures will be built into key contracts and regularly monitored through contract reviews to ensure service delivery is being maintained. These performance management measurements may include areas such as service delivery, environment, health and safety, equalities and diversity, etc and need to be considered at:

Specifications – where possible specifications should include measurable outputs or outcomes, performance standards or other appropriate measures by which the contract can be assessed, rather than a series of “the supplier shall” statements.

Evaluation – consideration will be given to the evaluation criteria to apply to determine the tender outcome prior to the procurement process commencing.

Contract Management – appropriate contract management can be a major factor in the success or failure of a contract. The business case will outline the provisions made regarding contract management including a named officer with overall responsibility for monitoring and managing the contract.

Risk – all projects contain some element of risk. A risk assessment for all procurements requiring a tender process shall be mandatory. In addition risk analysis and management will be developed for both the procurement process and for the contract itself.

Review – a review of the procurement process will be undertaken once each project has been concluded in order that lessons are learned for future procurements. Problems encountered in a project will be fed into risk analysis models for future projects.

7. Scrutiny

Scrutiny of the performance of the Partnership both through the Joint Procurement Committee itself and Scrutiny Committee will be essential to monitor the success of the partnership.

At present the work of the Procurement Unit is monitored through the Corporate Strategy Overview and Scrutiny Committee in Scarborough. That Committee will continue to review the work of the Unit and invite members from Selby and Ryedale Councils to be co-opted onto any review of the operation of the work of the Committee.

Links to:

Key national legislation/guidance – National Procurement Strategy for Local Government.

Appendix 1 –

1. Preliminary Action Plan (subject to development by the NY Joint Procurement Committee)

The Committee will	Achievements
1 –1/8/09 start (Year 1)	<ul style="list-style-type: none"> • Form Joint Committee of the three District Councils with established pattern of meetings • Establish procurement team hosted and managed through Scarborough Borough Council based on current Scarborough team plus an additional officer to be appointed to specifically service Selby and Ryedale • Establish familiarity with Procurement Rules operating in each District Council • Review existing Procurement Strategies and formulate Joint Procurement Strategy • Introduction of regular weekly attendance at each District Council to establish service • Identification and categorisation of current District suppliers • Promotion of current framework contracts available to partner Councils • Promotion of the SCMS system for letting framework contracts and maintaining approved supplier lists • Identification of year 1 and 2 opportunities for new framework contracts and commence engagement of customers in preparation of specifications
2 by 1/10/09 (Year 1)	<ul style="list-style-type: none"> • Organise meet the buyers days with partner organisations across the North Yorkshire sub region to introduce current suppliers to the service • Identify third sector suppliers/potential suppliers in the District Council areas • Review capacity of local suppliers potential suppliers to deliver framework services • Identify target areas for developing capacity and show progress against the National Sustainability Framework • Assess potential mechanisms for delivering shared electronic market place/electronic procurement • Review staffing for the service
3 by 1/12/09 (Year 1)	<ul style="list-style-type: none"> • Initiate tendering of joint framework contracts for supply of goods and services • Introduce regional award scheme to encourage suppliers to demonstrate how they promote sustainable procurement in the region • Develop capacity to procure sustainably • Review opportunities for simplification of Contract Procedures based on initial experience
4 by 1/4/10 (Year 2)	<ul style="list-style-type: none"> • Joint Framework Contracts in place • Established market place/effective electronic transaction arrangements • Strategy for Sustainable Procurement in place including

	<ul style="list-style-type: none"> reduction of impact of its suppliers on the environment • Strategy for engaging third sector in place
5 by 1/4/11 = Year 3	<ul style="list-style-type: none"> • Accepted Single Procurement Service for District Councils with a sub regionally based strategy

2. Preliminary Sustainability Action Plan

1. Budgeting and accounting practice

- Adopt HM Treasury Green book and DEFRA Guidance on environmental appraisal
- Engage with the Audit Partnership to ensure not making unnecessary barriers to choosing sustainable solutions
- Encourage Joint Committee/Scrutiny challenge when affordability appears to prevent choice of a more sustainable solution

2. Building Capacity

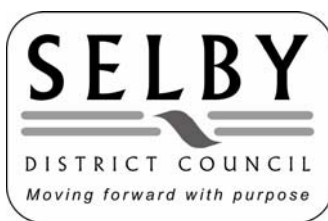
- Clarifying accountabilities and roles within the three partner authorities toward sharing expertise in sustainability and more generally across the three authorities
- Identify the promotion of sustainability as a key role for a member of the Procurement Team
- Work with the DEFRA Centre of Sustainable Procurement Excellence and approach DEFRA to support/provide wider pan authority workshops
- Review with CIPS opportunities to enhance sustainable Procurement skills among staff

3. Raising Standards

- Work toward establishing cross authority vehicle emissions targets
- Procure and ensure sub-contractors procure wood from independently verified legal and sustainable sources or from a licensed Forest Law Enforcement, Governance and Trade (FLEGT) partner

4. Driving Council requirements down supplier value chains by:

- Educating suppliers to adopt value chains which support sustainability
- Making energy supply choices which help reduce carbon intensity of the Councils' energy demand
- Use suppliers who are able to demonstrate a year on year reduction in waste arisings and increase in waste recycling, toward targets to be jointly agreed by the three Councils
- Reducing water consumption per employee toward a mutually agreed target
- Use only contractors who are able to supply goods or services which can deliver upon sustainability targets
- Identify the reduction in vehicle emissions as a key target in relation to vehicle supply
- seek out innovative solutions and approaches to procurement, including early engagement with the marketplace and the use of outcome-based specifications



Agenda Item No:20

Title: Planning Service Collaboration with Craven District Council

To: Policy and Resources Committee

Date: 28 September 2010

Service Area: Development Management

Author: Jonathan Lund, Deputy Chief Executive

1 Purpose of Report

- 1.1 To inform the Committee of collaborative work being undertaken with Craven District Council in connection with the management and review of planning services at Craven.
- 1.2 To report the need to make changes at Selby District Council to accommodate the new collaborative arrangements and to seek the Committee's (and Council's) approval for those changes.

2 Recommendation(s)

- 2.1 To receive and note this report:**
- 2.2 To endorse the collaborative working now underway with Craven District Council in respect of planning services:**
- 2.3 To support, and recommend the Council to support, the necessary changes to existing arrangements and procedures set out in paragraphs 4.6 to 4.11 of the report.**

3 Executive Summary

- 3.1 In 2009 Selby District Council entered into a Concordat with Craven and Harrogate Council's to explore the potential for greater collaborative working.

- 3.2 Whilst the detailed analysis has been ongoing, the three Councils, and Selby and Craven in particular, have been discussing potential joint working as a means of overcoming particular issues of more urgent concern.
- 3.3 As a consequence Selby District Council has made arrangements to offer support to Craven by providing the services of the Council's Development Management Manager for 2.5 days per week for a period of 6 months.
- 3.4 This arrangement will provide significant benefits to both organisations in the short term and could help to realise longer term benefits for both partners and/or the wider concordat partnership.
- 3.5 To accommodate the arrangements it is necessary to seek approval for a number of operational changes at Selby District Council, as set out in paragraphs 4.6 to 4.11 below.

4 The Report

- 4.1 In 2009 Selby District Council entered into a Concordat with Craven and Harrogate Council's to explore the potential for greater collaborative working.
- 4.2 Whilst the analysis of the potential for collaborative working was underway discussions took place to see if any of the Concordat Partners might be able to assist each other with particular matters of more urgent concern.
- 4.3 Selby District Council is now at various stages of discussion with Craven around planning services (the subject of this report), ICT, Environmental Health and Climate Change and (with Craven and Harrogate) Revenues and Benefits.
- 4.4 Having undertaken, and largely implemented, a programme of business process re-engineering (BPR) which resulted in ongoing savings of £55k p.a. with the potential for greater savings in the future, Selby District Council was well placed to assist Craven with the provision of some direct management capacity and a review of its planning services using BPR principles.
- 4.5 Arrangements have been made for Selby District Council's Development Management Manager to work in an equivalent role at Craven District Council for 2.5 days per week for the next 6 months. If the arrangement is a success discussions will take place to make the arrangement more permanent.
- 4.6 In order to facilitate this arrangement the Council's two Principal Planning Officers will manage the committee cycle, including presenting a greater proportion of planning reports at planning committee, allowing them some development of their roles and experience.

- 4.7 The Enforcement Sub-committee has made a significant contribution to leading the reduction in the backlog of enforcement action and, whilst there is always more to do, the backlog is now, effectively, a manageable caseload and the Sub-Committee can be disbanded.
- 4.8 Similarly the work of officers to support the two Conservation Advisory Committees can be brought to a close without damaging the effectiveness of the planning process. Officers will make use of the regional design panel for advice on design matters where appropriate. If the current members of the two Advisory Committees feel that they would like to continue to meet to pass comment on Conservation issues they could, of course, continue to do so without direct officer support.
- 4.9 In the short term, the previous programme of training and briefings for members of the Planning Committee will be suspended. This will not prevent Councillors being fully informed of changes to planning law and guidance as they arise. A new programme will be planned to start after the May 2011 elections.
- 4.10 The Chairman of the Planning Committee has agreed to ring fence to two-hours the time allocated to the pre-committee briefings.
- 4.11 Where appropriate, external support will continue to be engaged to deal with applications like wind farms.
- 4.12 The benefits of this arrangement to Selby District Council are not just financial.
- It provides the Council with the opportunity to demonstrate its willingness to work collaboratively and constructively with other organisations.
 - It develops our capacity to sell our services to partner organisations as a means of securing income and protecting employment.
 - It allows the Council to learn the skills and approaches which are essential for effective collaboration
 - It re-enforces our hard-earned reputation as an excellent council.
 - It broadens the experience, skills and potential of our staff.
 - Its prompts a re-examination of our internal processes and arrangements to free up the capacity to collaborate effectively.

5 Financial Implications

- 5.1 Craven District Council will meet the salary costs (including employee related on-costs) and expenses of the Development Management Manager on a pro rata basis based upon 2.5 days per week for 6 months.
- 5.2 The actual financial benefit to the Council will be £14,250 for the initial 6 month period rising to £28,500 in a full year if the arrangement continues.

7 Link to Corporate Plan

- 7.1 This report contributes towards delivering two of the Council's Strategic Themes: Making Best use of Resources and Organising to Deliver.

8 How Does This Report Link to the Council's Priorities?

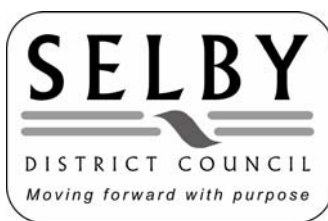
- 8.1 This report contributes towards achieving the Council's priority of reducing expenditure by a series of balanced measures whilst maintaining essential services to our community.

9 Impact on Corporate Policies

9.1	Service Improvement	Impact
	Sharing methods of operation and widening our understanding of methods at other authorities, whilst also broadening to experience and skills of the Council's staff are likely to lead to improvements to the services provided by the Council in the longer term.	
9.2	Equalities	No Impact
9.3	Community Safety and Crime	No Impact
9.4	Procurement	No Impact
9.5	Risk Management	No Impact
9.6	Sustainability	Impact
	The interim measures set out in this report are unlikely to be sustainable in the longer term and this will need to be considered when an evaluation is made of whether to extend or formalise the arrangements after 6 months.	
9.7	Value for Money	Impact
	The arrangements set out in this report will contribute towards the financial savings targets for 2010/11	

10 Background Papers

- 10.1 None



Agenda Item No:21

Title:	Pre Application Planning Advice and Charges
To:	Policy and Resources Committee
Date:	September 2010
Service Area:	Development Services
Author:	Keith Dawson – Head of Service Development Services
Presented by:	Keith Dawson

1 Purpose of Report

- 1.1 To agree a formal approach to pre planning application discussions and associated fees for pre planning application discussions

2 Recommendation(s)

- 2.1 That Councillors:

Approve the Pre Application Advice Note and Protocol for Planning Performance Agreements.

Approve the introduction of fees and charges for pre-application planning discussions.

3 Executive Summary

- 3.1 The Development Management team invests significant resources in discussions with potential developers before applications are submitted. Policy and Resources Committee considered a report on 29 June 2010 which set out a formal approach to these pre-application discussions, and subject to the appropriate consultation, granted approval in principal for introducing fees for the service as set out in the report. This report considers

the results of the consultation exercise and recommends introduction of the approach and associated fees from 1 October 2010.

4 The Report

- 4.1 National policy for development management encourages pre-application engagement with developers. The aim is to agree an inclusive approach to pre-application discussions which clearly sets out procedures and provides consistent advice. There is also the opportunity to introduce a charge to recover some of the costs of providing the service. Any charge must be on a not for profit basis and income must not exceed the cost of providing the service.
- 4.2 Policy and Resources Committee considered a report setting out a formal approach to pre-application discussions on 29 June 2010. A consultation draft of a proposed approach to Pre Application Planning Advice attached at Appendix 1, and a Charter setting out an approach to entering into a Planning Performance Agreement attached at Appendix 2 were approved by the Committee for consultation. The Committee also granted approval in principal for introducing fees and charges as set out in the report, subject to the appropriate consultation.
- 4.3 Consultation took place over a six week period from 28 July to 8 September 2010. Groups targeted for consultation included District Councillors, Parish Council Clerks and 105 planning agents that regularly use the service. The Pre Application Advice Note, Protocol for Planning Performance Agreements and associated charges were placed on the Council website and comments invited.
- 4.4 Three responses have been received which raised no significant objections to the proposal. These responses raised a range of suggestions which will help to shape the implementation of the proposals.
- 4.5 A fourth response which was received minutes before the end of closure of consultation suggests that the proposed service lacks transparency, commitment and delivery and sets out a series of detailed concerns. These are considered in detail at Appendix Three.
- 4.6 It is important to note that the service already provides free access to Officer advice via the duty planning officer at Access Selby. This service will be continued and enhanced to provide a broader range of advice. It is proposed that this service remains free of charge. If others share the concerns set out at Appendix Three, there is no obligation for them to take advantage of this service and they can continue to seek advice via Access Selby.

5 Financial Implications

5.1 The following financial implications were reported to Policy and Resources Committee on 29 June this year and remain unchanged. They are based on formal introduction of fees on 1 October 2010.

5.2 Based on a single meeting for the 161 planning applications eligible for preapplication advice fees received in 2009, income of £57,000 would be raised. The Council has no control over the number of applications received, the proportion of applicants that will take up preapplication advice, or how many meetings will be requested. However it is estimated that the introduction of a charge is likely to reduce the demand for pre application meetings by 50%.

The estimated income is:

	2010/11	2011/12	2012/13
Revenue	£14,000	£28,000	£28,000

6 Conclusions

6.1 Introducing a formal approach to pre-application discussions would help focus resources on larger development proposals and generate fee income.

7 Link to Corporate Plan

7.1 A formal approach to preapplication advice supports the Council's strategic theme of Putting Customers First.

8 How Does This Report Link to the Council's Priorities?

8.1 The proposed increases in fee income supports the priority of reducing the Council's expenditure by a series of balances measures.

9 Impact on Corporate Policies

9.1	Service Improvement Supports implementation of process improvements	Impact
9.2	Equalities	No Impact
9.3	Community Safety and Crime	No Impact

9.4	Procurement	No Impact
9.5	Risk Management	No Impact
9.6	Sustainability	No Impact
9.7	Value for Money Introduction of a charge will recover some of the costs of providing the service.	Impact

10 Background Papers

- 10.1 Report to Policy and Resources Committee 29 June 2010 - Pre Application Planning Advice and Charges and associated Minute 120.

Appendix One Pre Application Planning Advice Consultation Draft

Introduction

The pre-application phase of development management is part of the positive and proactive planning service provided by Selby District Council. Although pre application advice is a non-statutory service, we welcome and encourage early discussions with those considering development.

Providing this advice is time consuming and costly and can only be provided within the resources we have available. Under the Local Government Act 2003 planning authorities have discretionary power to charge for giving pre-application advice in order to recover at least some of the costs incurred.

In view of this and taking into account the need to focus our resources where they can make most difference to the quality of life of people living and working in the district, we have formalised our procedures and introduced a fee for larger, strategic and more complex proposals.

The income raised will help us to target and improve the service we provide and also ensure that some of the cost of providing advice does not fall as a general cost to the council tax payer.

Advice for householder and other smaller scale development will continue to be provided within available resources and remain free.

The Benefits of Pre Application Advice

The benefits of pre-application discussions include:

- A clearer understanding of how national, regional and local policies may influence proposals.
- An opportunity to improve schemes at an early stage
- Identifying need for specialist input at an early stage
- A shared understanding of constraints and opportunities
- Agreeing information requirements
- Establishing timescales and explaining administrative processes
- Reducing delays

The Approach to Pre Application Advice

The Planning service has the resources to enter into a limited number of pre application discussions on larger, strategic and more complex proposals.

Our priorities will be proposals which:

- Fit with the overall planning context including the local plan, emerging core strategy, and any supporting documents.
- Fit with priorities in the Sustainable Community Strategy, Corporate Plan and Strategic Programme.
- Proposals which are eligible for large-scale time-limited public funding.

The Head of the Service will give priority to pre application discussions on proposals which meet these any two of the three criteria outlined above, and will decide how many can be resourced at any time.

The level of pre-application engagement will depend on a range of considerations, including:

- the scale and complexity of the proposals
- the resources available to the Planning service
- the willingness of those proposing development to engage

Focussing our resources on larger proposals will require alternative means of providing advice for smaller schemes. We already provide free access to professional advice via the duty planning officer at Access Selby, and we will invest more resources to provide a more structured service.

Proposals Requiring a Fee

A fee will be charged for pre application advice on the following types of development:

Category 1

Minor residential developments of 1–4 dwellings and other uses below 500m² or where site is 0.5 hectares or less

Category 2

Residential developments between 5 and 50 dwellings and other uses between 501m² and 5000m² where the site area is between 0.51ha and 1ha.

Category 3

Residential developments of 51 dwellings or more and other uses of 5001m² or greater or where the site is 1.1ha or greater.

Category 4

For a limited number of large scale major developments, we will consider entering into a Planning performance Agreement (PPA) to take a project management approach to large or complex developments.

Proposals not requiring a fee

Pre application advice for types of development proposals that do not fall into the categories listed above will not require a fee.

Most smaller scale developments will not need pre-application discussions, and we will direct householders and others carrying out smaller proposals to alternative sources of advice. There is a range of sources of advice available:

- The Plain English Guide to Planning (www.planningportal.gov.uk)
- The Handy Guide to Planning (www.urbanforum.org.uk), published in conjunction with the RTPi
- The Planning Pack (www.planningaid.rtpi.org.uk) published and updated by Planning Aid.
- The Planning Portal interactive house (<http://www.planningportal.gov.uk/>)
- Village Design Statements (<http://www.selby.gov.uk/>)
- Information contained on the Planning pages of the SDC Website www.selby.gov.uk

It will not normally be possible to provide written advice for smaller scale proposals although this may be provided on request for a fee. Applicants will continue to receive face to face advice and support from a duty officer located at Access Selby at no cost.

Please Note: It will not always be possible to provide advice on technical matters where this is not available in house. This may include for example building conservation, arboricultural matters, contaminated land, and archaeology. If advice is required it can be provided at the cost to the Council plus a 10% arrangement fee.

The Information Required

In order to ensure that pre-application advice and discussions are both efficient and effective, it is important that sufficient information is provided in advance. The minimum information expected is:

- A completed request form available at www.selby.gov.uk and Access Selby.
- A site location plan.
- Photographs and sketch drawings of the site and its immediate surroundings
- Details of the site or building as it exists, including site layout and existing uses/floor areas
- A full description of the proposal, including details of the proposed uses, floor areas/ number of units and site area in hectares.
- A proposed layout plan showing how the proposal would be located on the site and how access would be obtained
- Indicative drawings of proposal, so that the proposed massing and design can be understood and assessed.

The level of detail required will depend on the type and size of the proposed development.

In response to properly framed requests for pre application advice we will:

- Inform you of the name of the planning officer dealing with your enquiry
- Advise you of any additional information required before a meeting is offered
- Advise you of the date of the meeting

We will normally seek to set up a meeting within 21 working days. However, we have a limited number of planning officers, and the time taken to respond will depend upon the availability of officers and the complexity of the case.

At the meeting, we will aim to provide a comprehensive assessment of the proposal. This may involve officers from other disciplines being present at meetings or providing input in any written advice.

Please Note: We will use our best endeavors to ensure that comprehensive advice is provided, but we rely on outside agencies for professional guidance on matters not available in house. Input from such parties is not guaranteed as part of the service.

Following the meeting we will provide you with written advice. We will aim to do this within 14 days of the meeting. Where this is not possible, for example due to the issues being more complex, a specific time scale will be agreed at the meeting.

The precise nature of the advice will vary depending upon the nature of the proposal, but will typically include:

- Identification of key planning policies and constraints which may affect the proposed development.
- A broad assessment of whether the principle of the proposed scheme and its detailed layout/design is acceptable or not
- An indication of factors which require further investigation or could lead to the scheme being refused planning permission.
- An indication of matters which may need to be addressed by a Section 106 legal agreement and/or planning conditions
- Any recommendations relating to pre-application community involvement

Please Note: The final decision on applications may be made by Council Members and will only be taken after consultations with neighbours, statutory consultees, and other interested parties. You should therefore be aware that we can not give any guarantees about the decision that will be made on any subsequent application(s).

Requesting pre-application advice that requires a fee

If you have a proposal that is likely to be subject to a charge you should initially send a completed request form available at www.selby.gov.uk and Access Selby to:

The Manager of Development Management
Civic Centre etc

Please note that the Head of Service may decline a request for a meeting to provide pre application advice where it is not considered either appropriate or necessary.

Fees and Charges

The scale of fees is set out at Appendix One and will be reviewed annually.

The fee must be paid before the meeting is held and is set to recover a portion of the cost of administration, research, a meeting with an officer(s) and the written response.

Any exemptions will be at the discretion of the Head of Service.

Planning Performance Agreements.

For a limited number of large scale major developments, we will consider entering into a Planning performance Agreement (PPA) to take a project management approach to large or complex developments.

PPAs involve a serious resource commitment, and it may not be possible to respond to all requests received. Further information is available in our protocol for Planning Performance Agreements available at www.selby.gov.uk.

Threshold	Charge for 1 meeting plus written advice
Category 1	<ul style="list-style-type: none"> • £250 for written advice only. • £125 for follow up requests • Alternatively free - self served • Support available from duty officer at Access Selby.
Category 2	<ul style="list-style-type: none"> • £500 for initial meeting • 50% for all subsequent meetings
Category 3	<ul style="list-style-type: none"> • £1,000 for initial meeting • 50% for all subsequent meetings • In addition the developer must agree to cover the costs of any independent technical advice not available in-house
Category 4	<ul style="list-style-type: none"> • £1,000 for initial meeting

	<ul style="list-style-type: none">• 50% for all subsequent meetings• In addition the developer must agree to cover the costs of any independent technical advice not available in-house.
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Please Note:

All charges are based on estimated costs and aim to provide partial cost recovery only.

All fees need to add VAT currently 17.5%.

A charge of 50% will be required for any follow up meetings.

The charges exclude specialist advice such as highways, arboricultural matters, contaminated land, and archaeology etc.

Site visits not included.

Appendix Two Planning Performance Agreement Charter Consultation Draft

Introduction

A Planning Performance Agreement (PPA) is an agreement between a local planning authority and an applicant to provide a project management framework for handling a major planning application.

This Charter sets out Selby District Council's broad approach to entering into a PPA to deal with large complex development projects.

We aim to offer a positive planning service which facilitates the investment needed to encourage economic recovery and sustainable growth. We are preparing a series of development plan documents which will form part of the new Local Development Framework to set out a spatial vision for the district. In order to deliver our vision we will aim to effectively manage development proposals to:

- facilitate development
- solve problems
- achieve a high quality development

We aim to develop better relationships with those bringing forward key proposals and develop a culture of partnership working. We will enter into PPAs where appropriate to facilitate larger and more complex developments, whilst ensuring that those with an interest in the outcomes of the proposals have their views taken into account.

PPAs involve a serious resource commitment. We will normally only consider a PPA where the proposal is a large scale major application which will help to deliver the spatial vision for the district plus is one of the following:

- Of major significance in terms of regeneration or investment value
- Includes significant corporate involvement by the Council or key partners
- Eligible for large-scale time-limited public funding.

Potential Benefits

Entering into a PPA may have the following benefits:

Reducing confrontation by requiring developers to work with us to find solutions and encouraging positive input from consultees and third parties.

Removing externally imposed timescales to give sufficient time to agree changes, improve quality, and meet policy objectives.

Identifying and addressing the concerns of the local community early in the process.

Increasing satisfaction by ensuring an opportunity for all parties to have their views heard and considered through open and honest dialogue.

Increased certainty over the outcome of a proposal before an application is submitted.

Rights and Responsibilities

The PPA will set up a project team and will introduce a project management approach to the handling of development proposals. This will require a significant resource investment from all involved. In order to make this investment worthwhile, rights and responsibilities of all parties must be agreed to demonstrate a clear commitment to joint working.

Our responsibilities:

The Head of Service will secure corporate buy in to the project and lead on Councillor engagement.

The Manager of the service will be the Council's lead officer to coordinate the project team, be the primary contact with the developer, ensure delivery of tasks to timetable, and regularly report back to the Head of Service.

We will:

- Arrange an inception meeting to agree a joint vision, discuss key issues, and draft an initial project plan.
- Field the strongest available team to provide consistent professional advice
- Agree a detailed project plan setting out key stages and milestones.
- Arrange and administer further meetings of the project team
- Advise on and facilitate internal and external consultation including with statutory consultees
- Advise on community engagement in accordance with the Statement of Community Involvement
- Ensure councillor engagement and facilitate the presentation of proposals where appropriate
- Provide details of heads of terms to be included in any section 106 agreements.
- Offer a presubmission check to ensure a valid application is submitted

Developer responsibilities:

The developer will need to engage in constructive working in a joint project team. This may involve shifting from an adversarial, reactive and conflict based approach to a more pro-active, inclusive and creative approach.

Good project management is required (from both parties) so that necessary tasks, negotiations or re-design can take place on time and on an agreed basis.

The developer will:

- Field an appropriate team with relevant professional advice
- Agree a joint vision for the proposal
- Agree a detailed project plan setting out key stages and milestones.
- Engage in open and collaborative discussions, share relevant information, and allow adequate time for assessment of proposals.
- Carry out community consultation in accordance with the Statement of Community Involvement.
- Submit a valid planning application at the appropriate time, which takes account of the PPA process.

Community Engagement

Whether or not participants are happy with the outcome of the PPA, it is vital that all interested parties are satisfied that the process was fair and transparent. This is especially important where proposals are controversial, and rather than allow unresolved objections to emerge after an application has been submitted, or risk judicial review after a decision has been reached, the project team must consider how to engage local people and take account of their concerns.

Our standards for consultation and participation are set out in the Statement of Community Involvement. The developer may wish to supplement these arrangements and consult more widely or use a different technique to get a wider view from the community.

Councillor Involvement

Councillors are likely to take the final decision on the merits of any planning application submitted as a result of a PPA. Their participation will be guided by their national code of conduct and the Council's Planning Code of Conduct.

When they consider the application they should have a full understanding of the proposal, be aware of discussions that have taken place, and understand the advice that officers have provided. In order to achieve this it will be important that Councillors are appropriately and openly engaged with the PPA in a manner that does not compromise their decision making responsibilities.

The Head of Service will take responsibility for Councillor involvement. This is likely to include interim Planning Committee reports setting out the key issues

that have emerged for information. This will provide the opportunity for Councillors to raise questions or seek further information and ensure that the PPA is progressed in a politically aware environment.

Councillors will avoid expressing opinions that could prejudice the final scheme and will not engage privately with developers.

Fees

We have recently introduced a policy to formalise our approach to pre application discussions and introduced a fee to recover a portion of the cost of providing advice.

PPAs are in Category 4 of pre application discussions. Full details are included in our Pre Application Planning Advice guidance notes.

Requesting a PPA

If you have a proposal that is likely to be eligible for a PPA, you should initially send a completed request form available at www.selby.gov.uk and Access Selby to:

The Manager of Development Management
Civic Centre etc

Appendix Three

Comment	Response
Lack of transparency regarding scale of charges and the calculations behind them	Scales of charges are based on the hourly cost of the relevant officers. The scale of charges increase to reflect the involvement of different officers. For example progress through the categories reflects involvement of Development Policy officers as well as Development Management officers
Not clear of level of principal Officer input assumed	The level of Principal Officer input will vary, depending on the nature of the application and is reflected in the scale of charges attached to the relevant threshold.
No clear commitment to timescales which are unreasonable for the costs proposed	If customers consider the timescales and the level of commitment to them unreasonable for the cost involved they are under no obligation to take up this service.
No protocol provided for dealing with situations where the quality of advice provided falls short of what the customer has requested	These situations will be covered by the Council Complaint procedure
A list of technical matters not covered is finalised so customers are aware of what the Council can and cannot cover	A complete list is not provided as this will vary depending on circumstances. Individual customers wishing to take advantage of the service would be advised accordingly.
Charge for sourcing external advice is not appropriate	This part of the service will be withdrawn and the protocols amended.