

The Report of the Executive

The Executive met on Tuesday, Tuesday, 21 December 2010. County Councillor John Weighell in the Chair. County Councillors Gareth Dadd, Carl Les, Chris Metcalfe, Caroline Patmore, John Watson OBE, and Clare Wood.

Also in attendance: County Councillors David Blades and John Clark

The Executive met on Tuesday, 11 January 2011. County Councillor John Weighell in the Chair. County Councillors Gareth Dadd, Carl Les, Chris Metcalfe, Caroline Patmore, John Watson OBE, and Clare Wood.

Also in attendance: County Councillors John Clark and David Jeffels

The Executive met on Tuesday, 1 February 2011. County Councillor John Weighell in the Chair. County Councillors Gareth Dadd, Carl Les, Caroline Patmore, John Watson OBE, and Clare Wood.

Also in attendance: County Councillors John Blackie, Liz Casling, Ron Haigh and Shelagh Marshall

The Executive met on Tuesday, 8 February 2011. County Councillor John Weighell in the Chair. County Councillors Gareth Dadd, Carl Les, Caroline Patmore, John Watson OBE, and Clare Wood.

Also in attendance: County Councillors John Clark, Tony Hall and Peter Sowray

1. Revenue Budget 2011/12 and Medium Term Financial Strategy. At its meeting on 21 December, 2010, the Executive received details of the Provisional Local Government Finance Settlement for 2011/12 and 2012/13. In that report the potential implications of that Settlement for the Council's Revenue Budget 2011/12 and the Medium Term Financial Strategy (MTFS) were also considered.

Relative to previous years, the Final Settlement has been delayed and it was necessary to reschedule the Executive's consideration of the Budget from 1 February to 8 February, 2011. A report was finalised and circulated, to all Members of the Council, as soon as possible after receipt of the details of the Final Settlement. That report forms part of this agenda, Appendix 1, and provides detailed information for consideration of this item.

The key points relating to the Revenue Budget 2011/12 and Medium Term Financial Strategy (MFTS) are:

- (a) there is no increase proposed in the level of Council Tax

- (b) due to the reduction in Government funding, the County Council is having to identify and implement savings totalling £69.213m over the next 4 years. Because the funding reductions are front-loaded, the impact is:

	£m
2011/12	-36.864
2012/13	-15.445
2013/14	-8.186
2014/15	-8.718
Total	-69.213

- (c) the proposed savings (totalling £54.7m) that have been identified, so far, will affect all aspects of the County Council's services. Full details are provided in the Supplementary Papers enclosed with the main report, which is attached as Appendix 1.
- (d) one of the reasons the savings requirement is so high is the fact that, with effect from 1 April 2011, the County Council has to take over responsibility from the District / Borough Councils for Concessionary Fares. The current cost of this is approximately £10m per annum. As part of the transfer arrangements the Government has, effectively, only allocated the County Council £5m of the £10m previously spent. The £5m shortfall therefore goes straight into the savings requirement of the County Council in 2011/12.
- (e) because of the severe front-loading of the grant reductions, the Executive has been unable to identify sufficient recurring savings to balance the Budget in 2011/12. It is therefore proposing:
- (i) temporarily using Reserves
 - (ii) considering a further package of savings measures at its meeting in May 2011

As is made clear in the full report at Appendix 1, under current equality legislation, the Council County must demonstrate that it pays due regard in its decision-making process to the need to eliminate discrimination and promote equality with regard to the protected characteristics of disability, gender (including gender reassignment), race, and the promotion of good race relations. From 1 April 2011, the duty will be extended to include the protected characteristics of age, sexual orientation, pregnancy and maternity, and religion and belief. Impact assessments have been undertaken in respect of all relevant proposals contained in the report, and have had regard to the full range of protected characteristics. Members must have regard to these assessments in their decision making and therefore have been provided with a CD containing the information. The assessments set out the reasons for the proposals, the information taken into account, consultations with affected groups, and mitigating actions will continue to be refined as the proposals are developed and implemented. These assessments have systematically considered any adverse impact of the proposal on people with protected characteristics, and opportunities for actively

promoting equality. Such assessments have been carried out at a formative stage of the process, so they are an integral part of development of the proposal. Where disproportionate impact on people with one or more protected characteristics has been identified then the County Council has considered mitigation to remove that adverse impact and promote equality for the groups affected. Members must consider compounding factors, such as the rural nature of the County, and the cumulative impact of proposals on different protected groups across a range of services. The impact of decisions on the Council's activities as a service provider and an employer should also be considered. It is clear that the savings proposals in this report will potentially impact in one way or another on all residents of North Yorkshire. On the basis of the assessments and consultations undertaken during the development of the proposals, the proposals will potentially impact on disabled people (adults, older people and children), their families and carers. Where the potential for adverse impact has been identified, services are seeking to mitigate this in a number of ways including developing new models of service delivery, partnership working and by helping people to develop a greater degree of independent living.

The conclusion from the risk assessment set out in the full report in Appendix 1 is that the need to achieve the savings proposals is paramount with a compounding adverse financial impact if they are not achieved. Without a robust review and decision making process to address this issue, the County Council may struggle to balance its Budget without compromising the priorities and objectives in the Council Plan and its accompanying MTFS. The further on the budget to be submitted to the Council in May is, therefore, seen as equally important as this report in resolving the financial challenge that lies ahead for the County Council. An exercise has also been undertaken to map the proposals in the Budget/MTFS package against the strategic risks reflected in the current Corporate Risk Register. The details of this analysis are presented in Appendix 1F.

A full analysis of the requirements of the Local Government 2003 Act as it affects the Budget setting process is provided as follows:

- ➔ an explanation of the statutory requirements particularly in relation to Section 25 that relates to the Budget process – see Appendix 1G.
- ➔ a risk assessment methodology for Balances / Reserves which is also required under Section 25 – see Appendix 1H.
- ➔ a subsequent review of the County Council's Balances and Reserves – see Appendix 1I.

Under the terms of Section 25 of the Local Government Act 2003 the S.151 Officer is required to report to the County Council, at the time when it is making its Precept, on the robustness of the estimates included in the Budget, and the adequacy of the reserves for which the Budget provides. The County Council then has a statutory duty to have regard to this report from the S.151 officer when making its decisions about the proposed Budget and consequential Precept.

In accordance with the principles laid out in Appendix 1G, the Corporate Director – Finance and Central Services has undertaken a full assessment of the County Council's potential financial risks in the period 2011/12 to 2014/15 including:

- ➔ the realism of the Revenue Budget 2011/12 estimates for
 - price increases
 - fee / charges income
 - loss/tapering of the remaining specific grants and/or changes to their eligibility requirements
 - provision for demand led services including Waste, Adult social care, Special Educational Needs, Home to School Transport, Highways Winter Maintenance and others
 - the financing costs arising from the Capital Plan; the existing policy decision to establish a cap (at 11%) on the level of capital financing charges as a proportion of the annual Net Revenue Budget provides additional assurance on this aspect of the Budget
 - the impact of current and forecast interest rates on the expected returns from investment of cash balances
 - the probability of achieving the necessary savings targets required to minimise the likely drawdown on Reserves
- ➔ the realism of the Capital Plan estimates in the light of
 - the potential for slippage and underspending of the Capital Plan
 - the possible non achievement of capital receipts targets and its implications for the funding of the Capital Plan
- ➔ financial management arrangements including
 - the history over recent years of financial management performance
 - the impact on current financial management arrangements of the Budget savings required by Finance and Central Services, whilst at the same time retaining a capability to help achieve the necessary saving targets across the County Council as a whole
- ➔ potential losses including
 - claims against the County Council
 - bad debts or failure to collect income
 - major emergencies or disasters
 - contingent or other potential future liabilities

An assessment has also been made of the ability of the County Council to offset the costs of such potential risks – the MTFS therefore reflects:

- ➔ the provision of a contingency fund in the Corporate Miscellaneous budget
- ➔ specific provisions in the accounts and in earmarked reserves
- ➔ a commitment to maintain the level of the General Working Balance at its 2% policy target level
- ➔ comprehensive insurance arrangements using a mixture of self funding and external top-up cover

Estimates used in the MTFS for the years 2012/13 to 2014/15 are also based on pragmatic assumptions taking into account:

- ➔ future pay and price increases across all services
- ➔ anticipated further reductions in both specific and general grants in Year 3 and 4 of the MTFS
- ➔ the impact of the economic situation on future interest rates, the Council Tax taxbase and District Council Collection Fund surpluses
- ➔ policies and priorities as expressed in the Council Plan and associated Service Plans
- ➔ the need to plan for the forecast cost impact of the Waste Strategy in the years beyond 2014/15
- ➔ commitments in terms of demographic changes and other factors that create demand for services (eg adult social care, safeguarding of children)
- ➔ known changes in legislation and taxation
- ➔ a risk assessment of the likelihood of the County Council being able to make the spending adjustments necessary in time to balance its MTFS to the levels of funding available. In this regard the Budget 2 report in May 2011 is seen as critical in demonstrating the County Council's commitment to addressing the financial challenges identified in the proposed MTFS

It must be recognised however that, whilst these estimates for future years are based on pragmatic assumptions, some elements are subject to a degree of potential variance, as actual expenditure in those future years can be significantly affected by factors outside the control of the County Council, that occur after the annual Revenue Budget / MTFS is approved. For budgetary control purposes, the County Council operates a system of cash limits for each Directorate. With rules permitting the carry forward of under and overspends at each year end, it is accepted that within these yearly cash limits for each Directorate there is an expectation placed on both the Executive Portfolio Holder and the respective Corporate Director that expenditure pressures in one part of their Budget will be managed against underspendings elsewhere and/or across financial year ends. These cost pressures and variances are monitored on a regular basis and reported, alongside other key performance information, to the Executive on a quarterly basis. The Budget process also provides an annual opportunity to comprehensively review and recalibrate the future years within the MTFS. These monitoring processes will be critical in identifying the progress of the County Council in achieving the saving targets that underpin the proposed MTFS.

As explained in Appendices 1I and 1K, all the current balances and reserves have been examined as to their adequacy and purpose, using the methodology/criteria detailed in Appendix 1H. Based on this analysis, the Budget proposals reflect:

- (i) the use of the General Working Balance (GWB) to fund unplanned and unavoidable expenditure in 2010/11 and 2011/12
- (ii) maintaining the policy target level of 2% for the General Working Balance
- (iii) no specific drawdowns at this stage from the General Working Balance (or any other specific Reserve) to balance the Revenue Budget in 2011/12, but a recognition that, subject to the proposals that will be made in the Budget 2 report, there is a likelihood that funds currently held in Reserves (including the GWB) will be required to balance the 2011/12 Budget. The Budget 2 report will explain how this issue is to be managed so as to minimise the duration of such drawdowns and secure their reinstatement at the earliest opportunity

Members will be aware that the MTFs policy in relation to the GWB is to achieve, and then maintain, a level of the GWB equivalent to 2% of the net Revenue Budget by 31 March 2011. This policy is accompanied by a set of "good practice rules" (see Appendix 1I for full details). The Executive remains committed to maintaining this target level throughout the MTFs period and recognises that the "rules" are part of the financial discipline required to ensure the County Council achieves that policy aim. Taking into account the fact that the value of the net Revenue Budget changes each year, the likely year end figures for the GWB are summarised below (Appendix 1J provides full details of the various +/- impacts on the GWB that arise from the proposals in this report).

Year End Date	MTFS 2010/13		MTFS 2011/15	
	£000	% of Net Revenue Budget	£000	% of Net Revenue Budget
31 March 2010	7,394 °	2.2	7,394 °	2.2
31 March 2011	7,747	2.3	7,361	2.1
31 March 2012	7,747	2.2	7,361	2.0
31 March 2013	7,747	2.2	7,361	2.0
31 March 2014	N/A	N/A	7,361	2.0
31 March 2015	N/A	N/A	7,361	2.0

[Note : * projected ° actual]

On the basis of the GWB at 31 March 2010 (£7.394m) and the projected GWB at 31 March 2011 (£7.361m), it is evident that the County Council is broadly in line with its policy target level of 2%. However, given the residual uncertainties attached to the 2011/12 Revenue Budget, it is essential that this balance is retained. Indeed given the funding pressures referred to in this report maintaining the GWB at its 2% target will be a challenge. Whilst it is likely that the pressures on the GWB will increase over the duration of the MTFs, the Corporate Director – Finance and Central Services is satisfied that the good practice

rules are in place to ensure that the necessary consequential actions will be taken as and when required. **Taking all these factors and considerations into account, the Corporate Director - Finance and Central Services is satisfied that the estimates used in the Revenue Budget 2011/12 and the associated MTFS for 2011/2015, as proposed, are realistic and robust and that the associated level of balances/reserves is adequate within the terms of the approved policy in relation thereto. This opinion has the proviso that, should the Budget 2 report not address the outstanding shortfall in recurring savings, the S.151 officer reserves the right to review his opinion.**

It is the responsibility of the Executive to ensure the implementation of the Budget, once it is agreed by the County Council, and the Officer Delegation Scheme sets out the authority delegated to the Corporate Directors in relation to the implementation of the Budget within their service areas, subject to the Budget and the Policy framework.

The biggest financial challenge that lies ahead for the County Council is managing the impact of the significant reductions in levels of grant funding in the years from 2011/12 to 2014/15. In these circumstances the County Council has a major task in maintaining service delivery at current levels. Despite widespread awareness of the national financial situation, feedback from the consultation process suggests there is little public appetite for reductions in service at local level.

The updating of the Medium Term Financial Strategy has identified a significant gap between spending needs relative to potentially available resources. The challenge therefore facing the County Council for the next 4 years, will be to continue the work on the MTFS so that options to reconsider policies, identify opportunities to reduce costs without effecting performance or service quality etc, can be factored into the Budget cycles for 2012/13 and beyond. Whilst the County Council will continue to seek efficiencies, it is unrealistic to assume that these alone will close the funding gap. There will have to be savings in service budgets with a consequential impact on service delivery. Notwithstanding these challenges the County Council continues to have robust performance management and financial systems on which it can rely to provide the information necessary to assist the difficult decisions that will be required in the future.

The Executive RECOMMENDS

- (a) That, in accordance with Section 44 of the Local Finance Act 1992, for the year beginning 1 April 2011, a Council Tax precept of £245,954k be issued to billing authorities in North Yorkshire, such precept to be paid in instalments on dates to be determined by the billing authorities
- (b) in accordance with Section 43 of the Local Finance Act 1992, that a net Revenue Budget requirement for 2011/12 of £368,670k be approved
- (c) that the financial allocations to each Directorate, various corporate initiatives, and precepts/levies/contributions be as detailed in Appendix 1C and the Supplementary Papers to this report, subject to the Corporate Director – Children and Young People’s Service being authorised, in consultation with Executive Members, to take the final decision, in March 2011, on the allocation of the Schools Block.

- (d) that the arrangements under which additional funds are allocated each year in respect of Social Care for older people and the Waste Strategy are reviewed at least annually
- (e) that the level of budget provision now allocated to concessionary fares (£10m) be reassessed annually in the light of action taken by BES to reduce expenditure on this Budget
- (f) that, whilst no specific Value for Money targets are proposed for 2011/12 et seq, the Chief Executive ensures that all Corporate Directors are required to maximise efficiency measures as a way of offsetting the potential funding shortfalls in the MTFS period
- (g) the continuation of the Pending Issues Provision, as detailed in paragraph 11.18 of Appendix 1.
- (h) that the funding hitherto provided to Areas Committees for the purposes of making grants is discontinued with effect from 2011/12.
- (i) that, in relation to the Community Fund, no further funds are made available from 2011/12 onwards for other than known commitments at this date, as detailed in paragraph 10.3(c) of Appendix 1.
- (j) that the implementation of the proposed methodology for the allocation of Performance Reward Grant generated under Local Area Agreement 1 be as detailed in paragraph 12.10 et seq of Appendix 1.
- (k) that the policy target for the level of the General Working Balance be retained at 2% of the net Annual Revenue Budget.
- (l) That the Medium Term Financial Strategy 2011/2015, and its caveats, as laid out in Section 10 and Appendix C of Appendix 1 be approved.
- (m) That the County Council notes the Section 25 assurance statement (and its proviso) provided by the Corporate Director – Finance and Central Services regarding the robustness of the estimates and the adequacy of the reserves in paragraph 14.16 of Appendix 1 and the risk assessment of the MTFS detailed in paragraph 13.6 of Appendix 1.

2. Prudential Indicators. The new Capital Finance system introduced in April 2004 is underpinned by the CIPFA Prudential Code for Capital Finance in Local Authorities. This Code, which was updated in November 2009, requires every local authority to set a range of Prudential Indicators as part of the Revenue Budget process, and before the start of the financial year to ensure that capital spending plans are affordable, prudent and sustainable. The Prudential Code also requires appropriate arrangements to be in place for the monitoring, reporting and revision of Prudential Indicators previously set. A full revision of all Indicators was duly approved by County Council on 13 October 2010, following recommendations of the Executive on 24 August 2010.

As part of the 2011/12 Budget process, a fresh set of Indicators for the MTFS period up to 2013/14 now needs to be considered and approved. This item should be read in conjunction with the separate item on the agenda regarding Treasury Management. Appendix 2 sets out the proposed updated Prudential Indicators with the addition of a further year 2013/14. This Appendix sets out every Prudential Indicator in terms of:

- (a) the current Indicators (to 2012/13) approved by County Council on 13 October 2010
- (b) a revised set of Indicators with the addition of 2013/14
- (c) appropriate comments on each Indicator including reasons for any significant variations

In general the proposed Indicators reflect a number of common factors including

- (a) the latest (Q2) Capital Plan approved by Executive on 16 November 2010
- (b) the level of Capital Allocations for the Highways LTP, Education schemes and Social Services approvals announced as part of the Provisional Local Government Finance Settlement on 13 December 2010. These approvals were reported to Executive on 21 December as part of the *Medium Term Financial Strategy – Local Government Finance Settlement 2011/12 and 2012/13 report*. The Education approvals are for 2011/12 only whereas the Highways LTP and Social Services include provisional allocations for 2012/13. For this Prudential Indicators update, however, estimates of all approvals up to 2013/14 have been incorporated into the figures
- (c) the implications of all Government Capital approvals from 2011/12 now being in the form of grants rather than the previous mix of grants and supported borrowing approvals. This has significant implications on the County Council's Treasury Management operation and consequential Prudential Indicators by reducing annual Capital borrowing requirements by about £33m (the previous level of annual Supported Borrowing approvals)
- (d) the addition of a further year 2013/14 to the Capital Plan to align with the revenue MTFS period. This would normally have been incorporated into (a) but was not effected because of the uncertainties around the levels of Government Capital funding approvals for 2011/12 onwards. This additional year consists of provisions approved as part of the extended ten year Capital Forecast in 2004, self funded schemes (from various grants, contributions and revenue) and an estimate of Government Grant capital approvals based on the allocations notified for 2011/12 and 2012/13, as part of the Provisional Local Government Finance Settlement announcement on 13 December 2010
- (e) updated information (in advance of the Q3 Capital Plan update being submitted to Executive on 22 February 2011) in relation to a number of schemes/provisions and their phasing
- (f) updated financing of the Capital Plan reflecting (a) to (e) above, together with latest forecasts for capital receipts
- (g) updated capital financing costs reflecting (a) to (f) above.

In making its decision on the Revenue Budget, the County Council is asked to note that the Authorised Limit for external debt determined for 2011/12, £466.6m, will be the statutory limit determined under Section 3 (1) of the Local Government Act 2003; this requires that a local authority shall determine and keep under review how much money it can afford to borrow in a given financial year.

The Executive RECOMMENDS

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| <ul style="list-style-type: none">(i) That the updated Prudential Indicators for 2011/12 to 2013/14 as set out in Appendix 2, are approved.(ii) That an Authorised Limit for External Debt of £466.6m in 2011/12 under Section 3(1) of the Local Government Act 2003 is approved. |
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3. Treasury Management. The County Council is required to adopt certain procedures in relation to Treasury Management which is defined as “The management of the local authority’s investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities and the pursuit of optimum performance consistent with those risks”. The County Council is expected to comply with the terms of the CIPFA Code of Practice on Treasury Management in the Public Services which was originally issued in 2001, subsequently updated in November 2009 and adopted by the County Council on 17 February 2010 and with the CIPFA Prudential Code for Capital Finance in Local Authorities which, from 1 April 2004, impacts heavily on Treasury Management matters. This Code was also updated in November 2009. The Local Government Act 2003 requires the County Council to have regard to the Prudential Code and set Prudential Indicators for the next three financial years to ensure that the County Council’s capital investment plans are affordable, prudent and sustainable.

In addition, the Government (Department of Communities and Local Government (DCLG)) issues statutory guidance on

- (a) Local Government Investments - revised with effect from 1 April 2010, and
- (b) Minimum Revenue Provision (for debt repayment) - revised in November 2009

to which the County Council must have regard. The separate report on the Prudential Indicators for the three years 2011/12 to 2013/14 should be read in conjunction with this report, because of the interaction between the Prudential Indicators and the Treasury Management arrangements. The combined effect of these Codes and other relevant Regulations is that the County Council has to have in place by the start of the new financial year:

- (a) an up to date Treasury Management Policy Statement
- (b) a combined Annual Treasury Management and Investment Strategy and Minimum Revenue Provision Policy

The County Council also agreed, in February 2008, an additional local policy to cap capital financing costs as a proportion of the annual Net Revenue Budget. This is now incorporated into the Annual Treasury Management and Investment Strategy.

The CIPFA Code of Practice on Treasury Management (as updated in 2009) requires the County Council to approve a Treasury Management Policy Statement (TMPS) stating the County Council's policies and objectives for its treasury management activities, together with a framework of Treasury Management Practices (TMPs) setting out the manner in which the County Council will seek to achieve the policies and objectives set out in the TMPS and prescribing how it will manage and control those activities. The Code recommends 12 TMPs which were originally submitted to Members in March 2004. These documents have recently been redrafted to ensure that they are fully consistent with all subsequent changes – in particular the various updated Codes and Statutory Guidance and an updated set of TMPs will, therefore, be submitted to Members via the Audit Committee early in 2011/12.

The Treasury Management Policy Statement is attached as Appendix 3A. No changes have been made to the Policy Statement since last year and it, therefore, does not need to be reapproved by the County Council. It has, however, been provided to Members as necessary background for the Annual Strategy document .

One of the key requirements of the 2009 CIPFA Code of Practice on Treasury Management continues to be that an Annual Treasury Management Strategy (ATMS), which incorporates a set of Borrowing Limits and Requirements for the year, is considered and approved before the start of each financial year. The ATMS must also include reference to external debt levels, the Prudential Indicators as well as the Annual Investment Strategy (AIS) requirements. The proposed Annual Treasury Management Strategy for 2011/12, incorporating the Annual Investment Strategy, is attached as Appendix 3B to this report. The key elements of the Strategy are:-

- (a) an authorised limit for external debt of £466.6m in 2011/12
- (b) an operational boundary for external debt of £446.6m in 2011/12
- (c) a borrowing limit on fixed interest rate exposure of 60% to 100% of outstanding principal sums and a limit on variable interest rate exposure of 0% to 40% of outstanding principal sums
- (d) borrowing from the money market for capital purposes is to be limited to 30% of external debt outstanding at any one point in time
- (e) an investment limit on fixed interest rate exposure of 0% to 30% of outstanding principal sums and a limit on variable interest rate exposure of 70% to 100% of outstanding principal sums
- (f) a limit of £12m of the total cash sums available for investment (both in house and externally managed) to be invested in Non Specified Investments over 364 days
- (g) an 11% cap on Capital Financing costs as a proportion of the annual Net Revenue Budget

- (h) a Minimum Revenue Provision (MRP) policy for debt repayment to be charged to the Revenue Budget in 2011/12
- (i) the Corporate Director – Finance and Central Services to report to the County Council if and when necessary during the year on any changes to this Strategy arising from the use of operational leasing, PFI or other innovative methods of funding not previously approved by the County Council.

In paragraph 10 of Appendix 3B, reference is made to the long term debt position of the County Council and the attempts being made to reduce the consequential interest charge impact on the annual Revenue Budget. As previously reported to Members, the long term debt position of the County Council is essentially related to the level of capital expenditure undertaken. The growth of the County Council's long term outstanding debt is demonstrated in the following table:-

@ Year end	Debt Outstanding #	Year on Year variation
	£m	£m
31 March 2001 actual	147.3	
2002 actual	148.9	+ 1.6
2003 actual	180.2	+ 31.3
2004 actual	215.1	+ 34.9
2005 actual	231.7	+ 16.6
2006 actual	274.4	+ 42.7
2007 actual	299.0	+ 24.6
2008 actual	328.2	+ 29.2
2009 actual	329.7	+ 1.5 *
2010 actual	323.9	- 5.8 *
2011 forecast	401.5	+ 77.6 *
2012 forecast	397.0	- 4.5
2013 forecast	390.6	- 6.4
2014 forecast	391.9	+ 1.3

Excludes other long term liabilities such as PFI contracts and finance leases which are now regarded as debt outstanding for Prudential Indicator purposes.

* Reflects the impact of premature repayment of external debt in 2008/09 and 2009/10 and its subsequent refinancing in 2009/10 and 2010/11, together with the capital borrowing requirement for 2009/10 being rolled forward into 2010/11.

As the above table shows, the County Council's external debt has more than doubled between 2001 and 2009. Particularly noticeable is the increase in the years since 2002 – this is primarily attributable to the increase in the value of annual Highways LTP allocations and the availability of Prudential Borrowing which has been deliberately used by the County Council to boost the size of the Capital Plan and thereby invest in its asset infrastructure. The ratio of borrowing related to government borrowing approvals, as opposed to being locally determined under the prudential regime, has been approximately 80/20 in the period up to 31 March 2011. A significant feature of the 2011/12 Provisional Local Government Finance Settlement announced on 13 December 2010, however, is that all Government capital approvals from 2011/12 are being funded from capital grants rather than the previous mix of grants and borrowing approvals. This reduces annual capital borrowing and debt

levels by about £33m per annum, with a consequential impact on capital financing costs. The impact of this is reflected in the table above, with forecast debt outstanding levels after 31 March 2011 starting to reduce year on year. The change has significant implications on the County Council's future Treasury Management operations and consequential Prudential Indicators in terms of

- reduced annual borrowing requirement and consequential debt levels from 2011/12
- the potential for the annual Minimum Revenue Provision (MRP) for debt repayment exceeding the actual new borrowing requirement in the year resulting in a net debt repayment required with potential early repayment penalties (premiums)
- reduced capital financing costs (interest + MRP) which have been built into the 2011/12 Revenue Budget/MTFS
- significant impact on many Prudential Indicators

After reflecting the factors referred to above, the revenue cost of servicing the debt which impacts directly on the County Council's Revenue Budget / Medium Term Financial Strategy will be about £34.1m in 2011/12. This consists of interest payments of £17.9m and a revenue provision for debt repayment of £16.2m. As shown in the table and explained above, the debt outstanding levels of the County Council will, on the basis of the current Capital Plan, start to reduce each year from 2011/12. This is on the basis that the Government will continue to fund future capital approvals through grants, rather than the previous mix of grant and supported borrowing approvals. These debt levels could be reduced further by

- (a) curtailing new capital investment and removing/reducing Capital Plan provisions that remain funded from external prudential borrowing
- (b) significantly increasing the Revenue Budget/MTFS provision for debt repayment above the agreed Prudential policy (about 4% of debt) that is currently made
- (c) removing Capital Plan schemes funded by capital receipts and using those receipts, together with future additional receipts and the current corporate capital pot, for debt repayment, rather than new capital investment
- (d) prematurely repaying existing debt and running down investments. This internal capital financing option is considered in more detail in paragraphs 8.4 to 8.12 of Appendix 3B

As previously reported to Members, this historical growth in debt is not unique to the County Council, as the reasons for the growth apply to most County and Unitary Councils throughout the country. Based on statistics available, the tables below demonstrate this continuing debt growth of comparable County Councils, together with a comparison of capital financing costs as a percentage of Net Revenue Budgets.

External Debt Outstanding Levels

Year	Lowest	Average	NYCC	Highest
Actual Levels	£m	£m	£m	£m
31/03/08	144.4	361.9	328.2	1,002.6
31/03/09	164.4	373.5	329.7	1,042.4
growth in debt				
actual 5 year growth from 31/03/04 to 31/03/09	22%	84%	53%	308%

Capital financing costs (interest plus the required revenue provision for debt repayment) as a percentage of the Net Revenue Budget based on latest comparative figures.

Year	Lowest	Average	NYCC	Highest
	%	%	%	%
2009/10 estimates	5.3	8.9	9.2	12.4
2010/11 estimates	5.2	9.8	9.4	14.0

In the above two tables:

- (a) the County Council's absolute external debt level is below the average of other Shire Counties
- (b) the County Council's historical debt growth over the last 5 years is significantly lower than the average of other Shire Counties
- (c) the County Council's capital financing costs (interest and principal), as a percentage of the Net Revenue Budget, is slightly above the average of other County Councils
- (d) the range of debt levels and percentage of capital financing costs relative to the Net Revenue Budget can depend on a number of factors such as
 - historical borrowing levels and rates of interest on those borrowings
 - comparative levels of borrowing approvals issued by the Government
 - comparative levels of Prudential Borrowing
 - relative levels of internally financed capital borrowing
 - debt rescheduling activities which can reduce ongoing interest costs at the expense of accumulated repayment premiums which are written back to revenue over a period of years and result in lost interest earned.

- (e) because of the factors mentioned in (d) above the overall comparison of debt and financing costs between authorities will be increasingly difficult as time progresses.

The age profile of the County Council's external debt as at 31 March 2010 is:

Length of Period	£m
up to 1 year	13.8
1 year to 2 years	23.3
2 years to 5 years	52.0
5 years to 10 years	41.7
10 to 25 years	59.3
25 to 40 years	47.6
above 40 years	86.2
Total external debt at 31 March 2010	323.9

- (a) there is no model age profile and decisions to borrow have been taken each year in the light of current and forecast future interest rates together with the yield curve
- (b) new borrowing in recent years has focused on longer period fixed term loans due to their historically low interest rates
- (c) a period spread of the age profile is important to avoid having to refinance loans repaid within relatively short periods
- (d) the 2011/12 Borrowing Strategy set out in paragraph 8 of Appendix 3B will mean that, after recent years of borrowing for longer periods, the County Council should be able (in current and forecast market conditions) to undertake cost effective borrowing over markedly shorter periods and so achieve a more even spread of the debt maturity profile. As covered elsewhere in this report, however, future new borrowing levels are significantly lower than in previous years.

The criteria for monitoring and assessing organisations (counterparties) to which the County Council may make investments, (ie lend), are incorporated into the detailed Treasury Management Practices (TMPs) that support the Treasury Management Policy Statement (TMPS). Applying these criteria enables the County Council to produce an Approved Lending List of organisations in which it can make investments, together with specifying the maximum sum that at any time can be placed with each. The Approved Lending List is prepared, taking into account the advice of the County Council's Treasury Management adviser, Sector.

Following unprecedented events in the financial markets during 2008/09 and subsequent continuing volatility, a revised set of credit rating criteria and consequential Approved Lending List was approved by the County Council in February 2009 for 2009/10 and again in February 2010 for 2010/11. In particular, significantly enhanced criteria and approach were approved by Council for 2010/11 that reflected:

- (a) a system of scoring each organisation using Sector's enhanced creditworthiness service. This service was progressively enhanced during 2009/10 and uses a sophisticated modelling system that includes:
 - credit ratings published by the three credit rating agencies (Fitch, Moodys and Standard and Poor) which reflect a combination of components (sovereign, long term, short term, individual and support)
 - credit watches and credit outlooks from the rating agencies
 - Credit Default Swaps (CDS) spreads to give early warnings of likely changes in credit ratings
 - sovereign ratings to select counterparties from only the most credit worthy countries
 - any known Central Government involvement or specific guarantees issued for an organisation
- (b) sole reliance would not be placed on the information provided by Sector. In addition the County Council will therefore also use market data and information available from other sources, such as the financial press and other agencies and organisations
- (c) in addition, the following measures would also continue to be actively taken into consideration:
 - institutions will be removed or temporarily suspended from the Approved Lending List if there is significant concern about their financial standing or stability
 - investment exposure will be concentrated with higher rated institutions wherever possible.

By collating and reviewing the above data on an ongoing basis, the County Council aims to ensure that the most up-to-date information is used to assist in the assessment of credit quality, which is seen as a practical response to the continuing money market instability and volatility. It is, therefore, proposed that the criteria adopted for 2010/11, as summarised above, continue to be utilised for 2011/12. These criteria are set out in full in paragraph 12.8 of the Annual Treasury Management and Investment Strategy 2011/12 (Appendix 3B) and will enable the County Council to continue to monitor and control its money market risk exposure whilst also ensuring that it can achieve a return that is consistent with market rates.

The Debt Management Office (DMO) Deposit Account is an investment facility introduced several years ago, by the Government, specifically for public authorities. This facility is AAA rated, as it is part of the HM Treasury Operations and can be regarded as lending to the Government. It is, therefore, a 100% safe house lending option, with no upper

investment limit. This investment option is included in the County Council's current Approved Lending List, with a current maximum investment of £100m. The facility has not been used to date, however, because of the vastly inferior interest rate on offer (currently 0.25%) which is between 0.6% and 1.1% below what could realistically be achieved elsewhere for similar short term flexible investments. Up until 2008/09, this facility had not been used by many local authorities, because of the low level of interest being paid. Following the turmoil and uncertainty in the financial markets, however, and the collapse of Icelandic banks in early October 2008, more local authorities started to use the facility, even to the extent of all their investments being placed with the DMO. This is particularly the case for authorities who still have funds frozen in the collapsed Icelandic banks. Given the steps taken by the UK and other Governments to stabilise the position in the financial markets, it is not considered necessary for the County Council to utilise the DMO option, at this stage. As a precaution, however, the current £100m maximum investment limit will be maintained and the option utilised should market conditions deteriorate.

The current Approved Lending List is attached as Schedule C to the Annual Treasury Management and Investment Strategy 2011/12 (Appendix 3B). The List, however, continues to be monitored on an ongoing basis and changes made as appropriate by the Corporate Director – Finance and Central Services to reflect credit rating downgrades/upgrades, mergers or market intelligence and rumours that impact on the credit 'score' and colour coding. The County Council evaluates an organisation's credit standing by using Sector's credit worthiness service. This service uses credit ratings and credit watch/outlook notices from all three principal market agencies, overlaid by trends within the Credit Default Swap (CDS) market. All this information is then converted into a weighted credit score for each organisation and only those organisations with an appropriate score will fulfil the County Council's minimum credit criteria. The score is then converted into the end product of a colour code, which is used to determine the maximum investment term for an organisation. Details of these assessment criteria are included in the Annual Treasury Management and Investment Strategy 2011/12. Utilising the assessment of credit quality, the criteria and investment limits for specified investments (a maximum of 364 days) are:

- institutions which are substantially owned by the UK Government, (Nationalised Banks), being limited to £50m
- institutions achieving suitable credit scores and colour banding being limited to a maximum investment limit of between £20m and £40m (actual duration and investment limit dependant on final score/colour)
- all foreign bank transactions are in sterling and are undertaken with UK based offices

The criteria for Non Specified Investments (for periods of more than 364 days) are:

- investments over 1 year to a maximum of 2 years with institutions which have a suitable credit score
- the maximum amount for all non-specified investments is £5m with any one institution

Local Authorities will continue to be included on the Approved Lending List for 2011/12, although suitable investment opportunities with them are limited. Because of the way they are financed and their governance arrangements, Local Authorities are classed as having the highest credit rating. The tables below detail all the changes reflected in the latest Approved Lending List compared with that submitted for 2010/11 in February 2010. In considering the current list, and changes since February 2010, it is important to bear in mind that both last year and the current list are a 'snapshot' in time and do not, therefore, reflect further in year changes that may not be evident in these 'snapshots'.

- (a) organisations included on the 2010/11 Approved Lending List which will NOT be included for 2011/12

Organisation	Reason
DBS Hong Kong	No longer regulated by the FSA to take deposits

- (b) increase in lending limits for a number of nationalised and high quality banks

Organisation	Original Investment Limit £m	Revised Investment Limit £m
Bank of Scotland Lloyds TSB Bank	40.0	50.0
} Lloyds Banking Group		
The Royal Bank of National Westminster Bank Ulster Bank Ltd	40.0	50.0
} RBS Group		
Santander UK	30.0	40.0
Barclays	30.0	40.0

These increases were approved by the Corporate Director – Finance and Central Services under delegated powers in September 2010 and reported to the Executive on 16 November 2010 as part of the Q2 Performance and Monitoring Report. The justification for the increase resulted from difficulties being experienced in placing monies with organisations on the Approved Lending List at that time, together with a desire to increase those investments achieving higher rates for longer periods of up to one year with the highest quality counterparties. Further changes were made during the year to increase and decrease the maximum investment term for organisations. This was the result of market movements between the Credit Default Swap and iTraxx benchmark, an early warning of likely changes to credit ratings in the future.

Because of the stringent credit rating criteria being adopted, there are relatively few organisations remaining on the County Council's Approved Lending List. The impact of future downgradings, mergers and other market intelligence could reduce the list even further and present operational difficulties in placing investments. Under these circumstances, options that could be considered, in the future, are:-

- (a) running down investments through taking no new borrowing (paragraphs 8.4 to 8.12 of Appendix 3B)
- (b) running down investments through repaying existing debt prematurely subject to debt repayment premium constraints (paragraphs 10.4 and 10.5 of Appendix 3B)
- (c) considering the addition to the Approved Lending List of further high quality, highly rated foreign banks
- (d) increasing the lending limits again for those high quality UK banks remaining on the Approved Lending List
- (e) using the Government's DMO account or other 'Triple A' rated Money Market funds
- (f) actively looking to invest with other local authorities although demand is very spasmodic and interest rates being offered are relatively poor (marginally higher than the DMO account)

In its scrutiny role of the County Council's Treasury Management policies, strategies and day to day activities, the Audit Committee receives regular Treasury Management reports. These reports provide Audit Committee Members with details of the latest Treasury Management developments, both at a local and national level, and enable them to review Treasury Management arrangements and consider whether they wish to make any recommendations to the Executive. In particular, the Committee has expressed an ongoing interest in looking at the proposed use of any new financial instruments or changes in policy/strategy. As the County Council is required to approve an up to date Annual Treasury Management and Investment Strategy before the start of the new financial year, it is not realistic for the Audit Committee to review this document in advance of its submission to the County Council on 16 February 2011. As in recent years, it is, therefore, proposed that the updated Annual Treasury Management and Investment Strategy for 2011/12 is submitted for review by the Audit Committee on 3 March 2011. Any resulting proposals for change would then be considered by a subsequent meeting of the Executive. If any such proposals were accepted and required a change to the approved Strategy document, the Executive will submit a revised document to the County Council at its meeting on 18 May 2011.

Taking into account the matters referred to in this report, the monitoring and reporting arrangements in place relating to Treasury Management activities are now:

- (a) an annual report to Executive and County Council as part of the Budget process that sets out the County Council's Treasury Management Strategy and Policy for the forthcoming financial year.
- (b) an annual report to Executive and County Council, as part of the Budget process, that sets the various Prudential Indicators, together with a mid year update of these indicators as part of the Q1 Performance Monitoring report submitted to the Executive.
- (c) annual outturn reports to the Executive for Treasury Management and Prudential Indicators, setting out full details of activities and performance during the preceding financial year.
- (d) a quarterly report on Treasury Management matters to Executive as part of the Quarterly Performance Monitoring report.
- (e) monthly meetings between the Corporate Director – Finance and Central Services, the Corporate Affairs Portfolio Holder and the Deputy Leader to discuss issues arising from the day to day management of Treasury Management activities.
- (f) reports on proposed changes to the County Council's Treasury Management activities are submitted as required to the Audit Committee for consideration and comment.

The Executive RECOMMENDS

- (a) That the Annual Treasury Management and Investment Strategy for 2011/12 as detailed in Appendix 3B be approved and, in particular
 - (i) an authorised limit for external debt of £466.6m in 2011/12
 - (ii) an operational boundary for external debt of £446.6m in 2011/12
 - (iii) a borrowing limit on fixed interest rate exposure of 60% to 100% of outstanding principal sums and a limit on variable interest rate exposure of 0% to 40% of outstanding principal sums
 - (iv) borrowing from the money market for capital purposes is to be limited to 30% of external debt outstanding at any one point in time
 - (v) an investment limit on fixed interest rate exposure of 0% to 30% of outstanding principal sums and a limit on variable interest rate exposure of 70% to 100% of outstanding principal sums
 - (vi) a limit of £12m of the total cash sums available for investment (both in house and externally managed) to be invested in Non Specified Investments over 364 days

- (vii) an 11% cap on capital financing costs as a proportion of the annual Net Revenue Budget.
 - (viii) a Minimum Revenue Provision (MRP) policy for debt repayment to be charged to Revenue in 2011/12 as set out in paragraph 11 of Appendix 3B.
 - (ix) the Corporate Director - Finance and Central Services to report to the County Council if and when necessary during the year on any changes to this Strategy arising from the use of operational leasing, PFI or other innovative methods of funding not previously approved by the County Council
- (b) That the Audit Committee be invited to review Appendix 3B and submit any proposals to the Executive for consideration at the earliest opportunity.

4. School Admission Arrangements for the Academic Year 2012/13. The admission arrangements for Community and Voluntary Controlled schools form part of the Policy Framework of the Council and therefore must be determined by the full County Council, which must take into account any comments from the Admissions Forum when doing so. The Admissions Forum was consulted on the proposed arrangements, at its meeting on 11 January 2011, and expressed its support.

The County Council is required to determine its admission policy and admission limits by 15 April each year. It must consult on these annually, unless (in the case of admission arrangements for entry in 2011 – 12 and subsequent years) the admission arrangements were consulted on in one or both of the two previous years and they are the same as the arrangements since the last consultation. This being so, admission authorities need consult only once in every three years. It should be noted, however, that annual consultations have been commended as good practice by the Schools Adjudicator. Prescribed consultations must last for a period of not less than eight weeks between 1 November and 1 March each year, which means that schools are first consulted in Autumn Term, each year, for admissions nearly two years later. The process is, therefore, based to some degree on schools' best estimates of the numbers of requests for places informed by the Council's forecasting model, which takes into account the patterns of parental preference over the years.

The DfE encourages Local Authorities to carry out the admission arrangements consultation on behalf of Voluntary Aided, Trust and Foundation Schools. Following discussion with Diocesan Directors, this Council offered to carry out the admission arrangements consultation on behalf of all Voluntary Aided, Trust and Foundation schools. A number of schools supplied their admission arrangements so that this could be carried out, but a number of Voluntary Aided schools have said that since, there is no change to their admission arrangements for 2012/13, they do not intend to consult.

The 2009 School Admissions Code introduced a new duty to consult (as part of the admission arrangements consultation) with relevant parents and other groups with an interest in the local area. The purpose of this new duty is to improve engagement with parents and their communities. In order to comply with this duty, a notice was placed in the North Yorkshire Times which was delivered to all households in the county during the week beginning 25 November 2010. The notice set out information about the consultation process and how to submit a response to the consultation for community and voluntary controlled schools and for the voluntary aided, foundation and trust schools who had asked us to consult on their behalf. The proposed arrangements and a response form were posted on the North Yorkshire County Council website.

The DfE is in the process of drafting revised Schools Admissions and Appeals Codes, which will come into force in January 2012, taking full effect on the 2013 intake. The DfE assume that changes to the Codes will not impact upon the 2012/13 admission round but they cannot guarantee this. It is not the Department's intention that admission authorities should anticipate revisions in the 2012 consultation round.

Following public consultation during Autumn term 2010, the Executive authorised the publication of the following statutory proposals arising from a review in North Craven:

- i) To extend the age range of Austwick CE (VA) Primary, Clapham CE (VC) Primary, Giggleswick Primary, Hellifield Community Primary, High Bentham Community Primary, Horton in Ribblesdale CE VA Primary, Ingleton Primary, Long Preston Endowed VA Primary, Rathmell CE (VA) Primary, Settle CE Primary, Richard Thornton's Church of England (VA) Primary to create 3-11 or 4-11 primary schools, and extend the age range of Settle College to create an 11-18 secondary school
- ii) To enlarge the premises of Settle College by adding the site of Settle Middle School
- iii) To close Ingleton Middle School and Settle Middle School

These proposals would not alter the proposed admission numbers of the North Craven primary schools or Settle College for 2012/13.

A public consultation has recently been undertaken in relation to primary school provision in the area currently served by Arncliffe CE VC Primary School, Kettlewell Primary School, Grassington CE (VC) Primary School and Threshfield Primary School. This has resulted in changes to provision from September 2011 because of the closure of Arncliffe CE VC Primary School.

On 23 April 2010, North Yorkshire County Council's Executive Member for Schools approved statutory proposals to combine Wedderburn Infant and Nursery School and Woodlands Community Junior School, Harrogate to form a single primary school offering places for 3 – 11 year olds, by changing the age range and enlarging Wedderburn Infant and Nursery School, and ceasing to maintain (to close) Woodlands Community Junior School from 26 April 2011. The statutory proposal included an increase to the admission number of Wedderburn Infant and Nursery School from 60 to 75. The school has run a competition to choose a new name for the school, and has selected 'Willow Tree Community Primary School'.

On 19 October 2010, the Executive approved statutory proposals to close Netherside Hall Special School from 31 July 2012. Pupils from Netherside Hall School will be educated at either Baliol Special School for behaviour, emotional and social difficulties, at Forest Moor, Darley, Harrogate; an alternative special school, an Enhanced Mainstream School or other appropriate specialist provision, to be discussed and where appropriate, agreed in line with parental preference.

The oversubscription priorities within the proposed admission policy for community and voluntary controlled schools, and the proposed policy for the three Harrogate community secondary schools, remain unchanged from 2011/12 arrangements as do the proposed oversubscription priorities for nursery schools and schools with nursery and pre-reception classes. It is proposed, however, that an amendment be made to the distance tie-break within the oversubscription criteria for all community and voluntary controlled schools, nursery schools and schools with nursery and pre-reception classes. The tie-break currently states:

‘Distance measurements are based on the nearest walked route from a child's home address to school. We measure from a fixed point within the dwelling, as identified by Ordnance Survey, to the nearest school entrance using an electronic mapping system’.

It is proposed to amend the wording as follows:

‘All distance measurements are based on the nearest route recognised by the County Council's electronic mapping system from a child's home address to school. The measurement is made from a fixed point within the dwelling, as identified by Ordnance Survey, to the nearest school entrance using footpaths and roads. The routes measured to determine the allocation of school places will be those recognised by the electronic mapping system used by the school admissions team.’

The reason for the proposed amendment is to ensure consistency in distance measurements for the allocation of school places across the county. In the past there have been a number of challenges by parents on the basis that the route used to measure distance was not the walked route that would be taken by their child. Consequently some routes have been remeasured to take account of specific routes identified by parents. In many cases the distance between home and school means that it would be impractical for a child to walk to school. It is proposed that, in the interest of fairness, the only measurements used will be those recognised on the electronic mapping system used by the admissions team for the purposes of determining the allocation of school places.

Eleven online responses to the proposed admission policy to Community and Voluntary Controlled Schools (including Harrogate High School, Harrogate Grammar School and Rossett School) have been received. Eight of the respondents agree with the proposed admission policy, three disagree. Copies of all hard copy responses and a print out of the online responses will be left in each of the Group Rooms. Three separate responses were submitted by members of the Boroughbridge High School governing body who express concern that the admissions policy is not fair. The Authority determines and administers its admission and appeal arrangements strictly in accordance with the requirements of the law and guidance within the School Admissions and Appeals Codes. Governors are concerned about the impact on their school of the actions taken by a popular neighbouring school which result in a significant number of pupils gaining places at that school at appeal each year. This is a feature of the parental right to express a preference for any school and the Council's duty to ensure that parental preferences are satisfied to the highest extent

possible. Where a parent is not offered a place for their child at a school for which they have expressed a preference the law requires that they must be offered their statutory right to an admission appeal.

The proposed published admission numbers [PAN's] for 2012/13 are attached at appendices 4e and 4f. The County Council sets the admission limits of Community and Voluntary Controlled Schools but can only comment on those for Voluntary Aided, Foundation and Trust Schools who are their own admission authorities.

Negotiated agreements have been reached with the majority of Community and Voluntary Controlled Schools. The Governing Bodies of 27 schools have requested a PAN which is lower than the indicated admission limit [IAL] of the school, but is in line with the requirement to comply with the Infant Class Size duty. Nationally the number of large classes has been creeping up since 2001, despite falling rolls. DfE intend to ensure that admission authorities comply with Infant Class Size legislation and, where necessary, direct schools and/or admission authorities to comply with the law. The School Admissions Code states 'admission authorities may fix an admission number for a relevant age group that is lower than the capacity assessment but, if they do so, they must publish this information for parents who may object to the admission number. In relation to admission numbers applicable to infant classes, the admission number must be compatible with the duty to comply with the infant class size limit'.

Following careful consideration of the individual schools' circumstances, forecast pupil numbers, the potential impact on other local schools and parental preference, approval is sought to publish Notices in respect of the following schools:

School	IAL	Proposed PAN
All Saints CE School, Kirkby Overblow	15	12
Alverton Infant School, Northallerton	34	30
Barrowcliff Nursery and Infant School ¹	80	60
Barrowcliff Community Junior School ²	70	60
Beckwithshaw	14	12
Castleton CP School	10	8
Boroughbridge Primary School	36	30
Braeburn Community Junior School, Scarborough	70	60
Braeburn Infant & Nursery School	70	60

¹ It is proposed that this school will be the subject of an extensive refurbishment scheme as part of the Primary Capital Programme a key objective of which is to reduce surplus capacity within schools. It is proposed that the capacity of the school be reduced accordingly. The work is due for completion by September 2011.

² Ibid.

Colburn CP School	38	30
Dishforth CE VC Primary School	15	10
Friarage CP School, Scarborough ³	64	45
Fylingdales CE VC Primary School	15	8
Grove Road CP School, Harrogate	56	40
Hinderwell CP School, Scarborough ⁴	44	30
Huby CE VC Primary School	15	14
Holy Trinity CE Infant School, Ripon	73	60
Mill Hill CP School, Northallerton	45	30
New Park CP School, Harrogate	53	40
Overdale CP School, Scarborough	46	30
Ripon Cathedral CE Primary School	34	30
Selby Abbey CE VC Primary School	55	51
Sleights CE VC Primary School	17	15
Sutton-in-Craven CE VC Primary School	16	15
Water Street CP School, Skipton	34	30
West Cliff Primary School, Whitby	34	30
Wheatcoft CP School, Scarborough	34	30
<u>Secondary Schools</u>		
Barlby High School	165	150 ⁵
Bedale High School	182	150 ⁶
Filey School	171	120
George Pindar Community Sports College	202	185

³ Ibid.

⁴ Ibid.

⁵ Governors requested reduction in PAN to reduce staffing costs and budget deficit. The proposed PAN will satisfy local demand for places.

⁶ Ibid.

Northallerton College	354	300
Ripon Grammar School	126	117 ⁷
Ryedale School	133	110
Settle College	171	165
St Francis Xavier, Richmond	109	90 ⁸
St Augustine's Catholic School, Scarborough	99	96
Stokesley School	222	180
Upper Wharfedale School	70	58
The Wensleydale School	90	85

The PAN is set taking account of the current overall capacity of the school, together with forecast pupil numbers and class organisation. The County Council's legal duty, as admissions authority, is to ensure that sufficient school places are provided for all children of statutory school age. The County Council's policy is to provide a sufficient number of places to enable each child to attend their local school. In circumstances where there are more local children than places available, the Council may, as admissions authority, ask schools to admit pupils above their PAN. Where there are places available in excess of local demand, these places can be allocated to children who live outside the normal area of that school. The Council is not, however, in a position to agree to increase PAN's in order to enable schools to admit additional out of area pupils.

One of the requirements of the School Admissions Code is that schools are given an opportunity to make representations to the local authority to admit above PAN. Such requests should be submitted before 31 January in the offer year. In addition, requests can be made after the offer date. The local authority, as the strategic commissioner of school places, has the final decision over whether a school can admit above its PAN. Outside the normal year of entry i.e. reception or Year 7, schools also have flexibility to admit above PAN in agreement with Local Authority.

East Whitby CP School requested a PAN of 60 on the basis of proposed future housing development, however IAL is 45. Forecast in area pupil number is 14. Officer views are that a PAN of 45 is appropriate and is in line with the IAL.

Gladstone Road Junior School, which has an IAL of 116 and a proposed PAN of 117, requested a PAN of 120. Governors stated that 'in view of building improvement works and new playground facilities that are becoming available, Governors feel it would be reasonable to increase PAN to 120.' Building work at the school is in progress, but not yet complete, the aim of the work was to improve current accommodation, not increase overall capacity. Officer views are that a PAN of 117 is appropriate and meets the demand for places locally.

⁷ Includes 14 boarding places

It is also in line with the PAN at the Infant School.

Kirk Smeaton CE (VC) Primary School, which has an IAL of 12 and a proposed PAN of 12, requested a PAN of 15. Governors stated 'we maintain an inhouse list of pupil admission numbers and for year 2012/13 we have 14 pupils.' Forecasts indicate that, of the 14 pupils school is aware of, only 9 live within the normal area of the school. Officer views are that a PAN of 12 is appropriate, it is in line with the IAL and will satisfy in area demand for places and probably provide capacity for some out of area applicants.

Melsonby Methodist Primary School has an IAL of 10 and a proposed PAN of 10. The Governors stated 'we have received 12 expressions of interest for September 2012, three KS 2 groups have five or less pupils.' Officer views are that a PAN of 10 is appropriate and is in line with the IAL. Small year groups elsewhere in the school are not a sound reason to increase the PAN. Should all of the 12 expressions of interest become applications for places, and if all applicants live within the normal area of the school, the LA would liaise with governors to agree admissions above PAN.

Scotton Lingerfield Primary School has an IAL of 10 and a proposed PAN of 10. The Governors state 'Due to not receiving our full allocation of pupils in September 2010, we have the capacity to accept 12 pupils in September 2011 (sic).' Governors stated that they expect 2 in area applications for September 2012. Officer views are that, on the basis of current and anticipated pupil numbers, a PAN of 10 is appropriate and is in line with IAL. Low pupil numbers on other year groups is not a good reason to increase the PAN. An increase in PAN will not automatically equate to additional demand for places.

South Kilvington CE VC Primary School has an IAL of 8 and a proposed PAN of 10. The Governors requested a PAN of 12 on the basis of the 'floor area of school after the extension in 2008.' Officer views are that the IAL of 8 does, in fact, take account of the revised capacity of the school. In previous years the PAN has been 10, therefore it is proposed that a PAN of 10 is appropriate. It will satisfy in area demand for places and may provide some places for out of area applicants.

West Heslerton CE VC Primary School has an IAL of 8 and a proposed PAN of 8. The School requested a PAN of 10. Officer views are that a PAN of 8 is appropriate: it is in line with IAL and is sufficient to meet forecast levels of demand for both in area and out of area applicants.

Of the 373 schools consulted, there were no responses on the proposed co-ordinated admission arrangements which include the In Year Fair Access and Managed Moves Protocols. Nor have there been any responses from our neighbouring LA's or other consultees. Consultees were given the opportunity to submit any general comments regarding the proposed admission arrangements for 2012/13. One parent submitted a response via email. Her comments relate to the admissions policy of a voluntary aided school to which she has also responded directly. The respondent wanted the Authority to be aware of her experience 'as it has been stressful and unsettling, she hopes that other people can avoid similar experiences in the future.' The issue is that the family applied to their nearest school which is a voluntary aided 'faith' school. Unfortunately the school was oversubscribed and, despite living in very close proximity to the school, the applicant was not offered a place for her child. The school had allocated places correctly in accordance with their admission policy, which gives priority to children of practising Anglicans. The respondent was concerned that, since the first child was unable to gain a place at the school 'the admissions policy now prejudices against our youngest son obtaining a place at the school in 2011, because he neither has the advantage of a sibling present at the school or

his parent's religious affiliations working in his favour'. She feels that this policy 'leaves both of our children to a large part excluded from the local community school and the benefits that come from local friendships, childcare facilities, support networks and the feeling of "belonging" that is so important when growing up.' The respondent did note that, as a family, they are delighted with the school to which their child was admitted. Legally, the governing body of schools with a religious character (faith schools) are permitted to use faith-based oversubscription criteria in order to give higher priority in admissions to children who are members of, or who practice their faith or denomination. This only applies if a school is oversubscribed.

The Executive RECOMMENDS

That the

- Proposed Admissions Policy for Community and Voluntary Controlled Schools including Nursery Schools and Schools with Nursery or Pre reception classes for the academic year 2012/13 as shown in appendices 4a and 4b are adopted.
- Proposed Admissions Policy for the three Harrogate Community Secondary Schools for 2012/13 as shown in appendix 4c is adopted.
- Proposed Co-ordinated Admissions Schemes for Primary and Secondary schools including the Fair Access Protocol 2012/13 as shown in appendix 4d is adopted.
- Proposed Published Admission Numbers for Community and Voluntary Controlled schools 2012/13 as shown in appendices 4e and 4f are adopted and the limits for Voluntary Aided, Foundation and Trust schools 2012/13 as also shown within appendices 4e and 4f are noted.

5. Appointments to Committees and other bodies. The Executive makes the usual recommendation, below, to allow political groups or independent Members to put forward nominations for appointments to seats allocated to that group or, in the case of independent Members, seats which are allocated for those Members.

The Executive RECOMMENDS

That any proposals for changes to memberships or substitute memberships of committees, or other bodies to which the County Council makes appointments, put forward by the relevant political group, at or before the meeting of the Council, be approved.

JOHN WEIGHELL
Chairman

County Hall,
NORTHALLERTON.
8 February 2011

NORTH YORKSHIRE COUNTY COUNCIL

EXECUTIVE

8 February 2011

REVENUE BUDGET 2011/12 AND
MEDIUM TERM FINANCIAL STRATEGY FOR 2011/15Joint Report of the Chief Executive
and the Corporate Director – Finance and Central Services

EXECUTIVE SUMMARY

1. The purpose of the accompanying detailed report on this Agenda is to enable the Executive to make a recommendation to the County Council on 16 February 2011 regarding the Medium Term Financial Strategy 2011/15 and Revenue Budget for 2011/12 incorporating the level of Council Tax.
2. The key points relating to the Medium Term Financial Strategy (MTFS) and Revenue Budget 2011/12 are as follows –
 - (a) there is no increase proposed in the level of Council Tax
 - (b) due to the reduction in Government funding the County Council is having to identify and implement savings totalling £69.213m over the next 4 years. Because the funding reductions are front-loaded, the impact is as follows –

	£m
2011/12	-36.864
2012/13	-15.445
2013/14	-8.186
2014/15	-8.718
Total	<u>-69.213</u>

- (c) the proposed savings (totalling £54.7m) that have been identified so far will affect all aspects of the County Council's services. Full details are provided in the **Supplementary Papers** enclosed with the main report.
- (d) one of the reasons the savings requirement is so high is the fact that wef 1 April 2011, the County Council has to take over responsibility from the District / Borough Councils for Concessionary Fares. The current cost of this is approx £10m pa. As part of the transfer arrangements the Government has, effectively, only allocated the County Council £5m of the £10m previously spent. The £5m shortfall therefore goes straight into the savings requirement of the County Council in 2011/12.

(e) because of the severe front-loading of the grant reductions, the County Council has been unable to identify sufficient recurring savings to balance the Budget in 2011/12. It will therefore be

(i) temporarily using Reserves

(ii) considering a further package of savings measures at its meeting in May 2011

3. The full Recommendations for the Budget / MTFS are contained at the end of the main report.

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Chief Executive

JOHN MOORE
Corporate Director – Finance and Central Services

County Hall
Northallerton

3 February 2011

NORTH YORKSHIRE COUNTY COUNCIL

EXECUTIVE

8 February 2011

REVENUE BUDGET FOR 2011/12 AND MEDIUM TERM FINANCIAL STRATEGY 2011/15

Joint Report of the Chief Executive and the Corporate Director – Finance and Central Services

1.0 PURPOSE OF REPORT

- 1.1 For the Executive to make recommendations to the County Council regarding the Revenue Budget 2011/12 and the Medium Term Financial Strategy 2011/15.

2.0 CONTEXT

- 2.1 The overwhelming context to this Budget report is the recent and ongoing international and national financial crisis, the formation of a new Coalition Government and its policy objective to reduce the Government's overall budget deficit. In the Coalition Government's first budget, announced in June 2010, there was an immediate impact on the County Council's financial position in the current year (2010/11) with a reduction of £3.66m in revenue grants and £7.14m reduction in capital funding. The Coalition Government then clearly set out its policy to reduce public spending in the Comprehensive Spending Review (CSR) published in the Autumn and this has now been followed by the Government's Financial Settlement for Local Government which has resulted in a significant reduction in funding for the County Council.
- 2.2 The County Council, in relation to other similar Councils, is relatively low spending and low taxing. This has been achieved in a large rural county through careful financial management and ongoing efficiency programmes. Against this backdrop significant cuts in funding will inevitably affect many of the services delivered by the County Council.
- 2.3 The approach underpinning the financial strategy in this report has been to protect frontline services where possible, reduce the costs of the internal infrastructure as much as possible and, where service cuts are to be made, to protect the most vulnerable within our communities.
- 2.4 In addition to the significant reduction in Government grant the County Council already faces its own particular challenges that are current and will be ongoing; these include the increasing number of older adults who need support, the need to continue to safeguard children and the increasing cost of disposing of waste produced within the county.

2.5 The key role of the County Council is to provide effective and efficient services. Although the previous Government's Comprehensive Area Assessment regime for monitoring performance has been abandoned, specific service inspections in some of our main service areas continue. During the course of the year the County Council's Adult Social Care Services had been judged to be excellent and Children's Services deemed to be good. This alongside customer satisfaction feedback and the relative low spending and low Council Tax position provides evidence that the County Council continues to provide good quality and efficient services.

2.6 For the County Council to deliver the Budget reductions that are required by the Coalition Government, to meet all of the service needs that it faces within the county and to continue to deliver good quality services will be a considerable challenge in the coming years. The Leader and Executive Members, alongside the Chief Executive and his Management Board, are conscious of the size of this task and are determined to meet this challenge over those years.

3.0 **BACKGROUND TO REVENUE BUDGET AND MTFS**

3.1 In addition to providing a spending plan for the financial year, the preparation of an annual **Revenue Budget** is a legal requirement in order to set a Council Tax precept; this issue is explained further in **paragraph 12.2** of this report.

3.2 A **Medium Term Financial Strategy** (MTFS) is not a legal requirement, but in circumstances such as those that have faced the County Council in recent years, and will certainly be challenging the County Council in future years, it provides a means by which the County Council can

- ➔ identify the resources available to achieve corporate objectives over the medium / longer term
- ➔ link the Revenue Budget, Capital Plan and Treasury Management Strategy to each other

and thereby

- ➔ enable forward planning of services to take place with reference to levels of sustainable resources

3.3 The objectives of the MTFS, as reaffirmed by the County Council in the 2009/10 Budget cycle, are as follows:

- ➔ to support the **achievement of the vision and corporate objectives** expressed in the Council Plan
- ➔ to meet and **respond to the perceived needs and priorities of local people**
- ➔ to **maintain and improve service quality** and the Council's improvement planning priorities so as to secure high performance which is sustainable over the medium term

Given the future financial scenario this objective will be the real challenge over the next 4 years

- ➔ to **manage and minimise the risks** to local services and customers
- ➔ to achieve **effective use of all land and property assets**
- ➔ to **maintain unallocated revenue balances** equivalent to 2% of the net Revenue Budget
- ➔ to **contain any rise in the Council Tax to a reasonable level**

4.0 BUDGET CYCLE 2011/12

Introduction

- 4.1 This Medium Term Financial Strategy (MTFS) 2011/15 is designed to ensure that resources are both available and effectively deployed in order to provide County Council services to communities across North Yorkshire in line with the Council Plan and in the face of the financial challenge referred to in **Section 2**. Through the detailed expenditure plans reflected in the Revenue Budget for 2011/12, and the MTFS for subsequent years, the County Council will seek to improve efficiency, provide some necessary investment to manage or reduce identified risks, and to meet performance objectives. **However, due to a reduction in the level of government grants, there is a significant shortfall in resources to meet all needs, and therefore this report will explain how the County Council intends to resolve this challenge over the period of the MTFS.**

MTFS 2010/13

- 4.2 When the MTFS for 2010/13 was approved by the County Council a year ago there were no CSR figures available, and so a set of planning assumptions had to be made. Critically, these included
- (a) year on year Council Tax increases of 2.5%
 - (b) that Government grants (both specific and general) would be reduced in cash terms by 5% in each of 2011/12 and 2012/13. This would be equivalent to a 3% reduction in the annual net Revenue Budget by the end of the MTFS
 - (c) the County Council's policy regarding a 2% minimum level of the General Working Balance would be retained
 - (d) in the light of (b) the specific targets of the 3 year VFM Plan (that ended in 2010/11) would not be extended
 - (e) net savings of £5.8m would still be required in 2010/11
 - (f) that the MTFS statements for both 2011/12 and 2012/13 would carry a "to be identified" figure for £11m – this to recognise the uncertainty of future grant levels referred to in (b) above

- 4.3 The announcements by the Coalition Government in its Mini-Budget in June 2010, and in the CSR published in October 2010, significantly changed the prospects for local government finance for the foreseeable future. Details of the above were provided in reports to the Executive on 22 June 2010, 29 June 2010 and 16 November 2010. The final piece of the financial jigsaw is the Local Government Financial Settlement. The details of the Provisional Settlement were reported to the Executive on 21 December 2010. This report now provides the details of the recently announced Final Settlement and explains the consequent Budget for 2011/12 and the MTFS for the period 2011/15.
- 4.4 To fully appreciate the impact of the Final Settlement (that is referred to in more detail in **Section 5** below) it is instrumental to summarise the impact of the earlier announcements referred to in **paragraph 4.3** and the response of the Executive / Management Board at that time.

Mini- Budget (June 2010)

- 4.5 In addition to the in-year funding reductions referred to in **paragraph 2.1** above, the Coalition Government also indicated that its forthcoming CSR was likely to show significant cuts in public expenditure. Informed speculation at the time referred to a figure of 25% being a realistic assumption for planning purposes in local government.
- 4.6 In response to this, the working assumption being used by Management Board for levels of grant was increased from the 5% x 2 years reduction (referred to in **paragraph 4.2** above) to a 25% reduction over the 4 year period – for convenience this was calculated at 6% x 4 years which was equivalent to £10.6m pa or £42.5m over the 4 year CSR period.
- 4.7 As the report to the Executive on 16 November 2010 explained, this 25% loss of grant funding would be an understatement of the potential financial challenge facing the County Council due to the need for additional funds required to finance a range of local issues including
- (a) the escalating cost of care for older people
 - (b) highway repairs following the 2009/10 winter
 - (c) an anticipated shortfall in funding following the transfer of concessionary fares from Districts
 - (d) financing costs of the Capital Plan
- 4.8 In response to the indicators referred to in **paragraphs 4.5/4.6**, the Executive / Management Board began a process of identifying potential savings that would match the 25% loss of grant scenario plus the cost of the factors listed in **paragraph 4.7**.
- 4.9 Preliminary details of potential cost reductions had been included in the report to the Executive dated 29 June 2010, and the Executive agreed at the time that -

“... the Chief Executive and the Corporate Directors are authorised:

- (i) to develop proposals to achieve the cost reductions, in relation to their respective areas of responsibility, to a level sufficient to enable proper and effective consultation to take place in accordance with legal requirements
- (ii) to undertake any necessary consultation processes, and having regard to the outcome of consultation(s)
- (iii) to present further reports to the Executive as necessary for approval to process and implement details proposals to achieve the cost reductions.”

Comprehensive Spending Review (October 2010)

- 4.10 In addition to increasing the anticipated reduction in grants over the 4 year period from 25% to 27%, the CSR announcement revealed for the first time the Coalition Government’s intention to significantly front-load the reductions.
- 4.11 This can be easily demonstrated by the following table that shows the cumulative impact of the CSR relative to the “indicators” provided in the Government’s earlier Mini-Budget.

Year	June Mini-Budget £m	October CSR £m	Difference £m
2011/12	10.6	23.0	+ 12.4
2012/13	21.2	36.5	+ 15.3
2013/14	31.8	38.6	+ 6.8
2014/15	42.4	47.1	+ 4.7
Total cash loss over 4 years	106.0	145.2	+ 39.2

As the table above clearly shows, the front-loading has the effect of

- (a) nearly doubling the savings requirement in 2011/12, and
- (b) means that approximately 77% of the savings requirement falls in the first 2 years (ie 2011/12 and 2012/13), which
- (c) has the effect of increasing the aggregate “loss of spending power” over the 4 years from £106m to £145m

4.12 The CSR also provided markers that

- (a) certain specific grants would be merged into the general formula grant
- (b) the transfer of responsibility for concessionary fares from District Councils to the County Council on 1 April 2011 would proceed

- (c) a Council Tax grant in lieu of a 2.5% Council Tax increase would be available to those councils who decided not to increase the level of their Council Tax for 2011/12

4.13 In response to this position, the Executive / Management Board began work to assess

- (a) the scope for bringing forward savings from the lists submitted in the June report from Year 2 (ie 2012/13) into Year 1 (ie 2011/12) and Years 3 /4 into Year 2
- (b) accepting that (a) of itself may not be sufficient and / or could not be realistically implemented in the necessary timescale due to the need for consultation etc, and therefore to identify any budgets that could be “turned off / turned on” at short notice. Thus a “turned off” budget item in 2011/12 would help generate the indicative cash saving required in Year 1 (ie 2011/12) whilst other recurring savings are initiated – as these other budget savings materialised, the relevant budget could then be “turned back on”

Provisional Local Government Finance Settlement (December 2010)

4.14 Details of the Provisional Settlement were released by the Coalition Government on 13 December 2010. A full report on the Settlement was considered by the Executive on 21 December 2010. Key features of the Provisional Settlement reported to the Executive included -

- (a) overall funding reductions of 27% in government grant allocations over a 4 year period (as signalled in the CSR)with the confirmation of the front-loading phasing
- (b) the use of an updated formula for the general grant that would reflect a number of significant changes to a formula as compared to previous years
- (c) the rationalisation of grant funding streams with money from “specific” grants being now rolled into the general formula grant
- (d) grant reductions and grants being ceased altogether by other government departments (particularly the Department for Education)
- (e) the additional impact of the transfer of certain responsibilities from 1 April 2011 – principally concessionary fares
- (f) the confirmation of the introduction of a Council Tax grant available to a local authority, effectively in lieu of a 2.5% Council Tax increase, provided the local authority approved no increase in its level of Council Tax for 2011/12

4.15 It should be noted at this stage that the Provisional Settlement only covers the two years 2011/12 and 2012/13. That leaves two further years (ie 2013/14 and 2014/15) covered by the CSR in which further reductions in grant are signalled – (see **paragraph 4.11** above). If the MTFs is to fulfil its purpose (per **paragraph 3.3**

above) it will be necessary for the new MTFS to cover the four years of the CSR (ie 2011/12 to 2014/15).

4.16 Based on the report to the Executive on 21 December 2010, and taking into account the combination of:

- grant reductions (both specific and general formula)
 - + inflation on the Base Budget
 - + additional funding considered necessary for various items (eg Adult Social Care)
 - Council Tax grant
 - + loss of increased yield from Council Tax increase
- } in theory these are equal

the potential funding shortfalls for the 2 years covered by the Provisional Settlement were reported as follows -

	£m
2011/12	40.2
2012/13	16.8
Combined shortfall	57.0

4.17 The December report also highlighted that this shortfall was significantly greater than that indicated in the earlier reports to the Executive. The reasons for this worsened position were clearly analysed in the December report, and primarily related to the greater than anticipated level and range of grant reductions and related issues (eg shortfall re concessionary fares).

4.18 In considering the way forward, the December report acknowledged that the potential savings being worked on by Management Board to date were unlikely to meet the revised potential shortfall and that a number of consequent observations could be made –

- (a) it was unlikely that any additional recurring savings could be identified at this stage, and then be implemented in time to provide a significant recurring saving in 2011/12
- (b) the 2011/12 Budget would therefore have to be balanced on a “cash” basis with any shortfall of recurring savings being matched by cash drawn from Reserves. The cash available from Reserves can only be used once. So, unless the Reserve is not to be reinstated, additional savings will have to be made in subsequent years to repay the cash used in 2011/12
- (c) various aspects of the Corporate Miscellaneous budgets were being reviewed to establish if they could be managed in such a way as to release funds into the 2011/12 and 2012/13 budgets

- (d) at some point (probably after the Budget for 2011/12 has been approved by the County Council in February 2011) the County Council would need to start a process of identifying further recurring savings so that these can be implemented, at the latest, in 2012/13. These savings will have to not only address the shortfall for that year (£16.8m) but also any shortfall in recurring savings arising from 2011/12
- (e) that further work needed to be undertaken in relation to the anticipated need for further savings in 2013/14 and 2014/15 (based on the indicative CSR % grant reductions for these years)

4.19 The Final Settlement figures were notified on 31 January 2011 – a full analysis is provided in **Section 5** of this report, comparing the Final figures to those provided in the Provisional Settlement.

4.20 The sequence of events reported in **paragraphs 4.1 to 4.18** explain the work done to date on the Budget for 2011/12 et seq. Based on the savings proposals developed as the year progressed, this information now has to be set alongside the grant figures provided in the Final Settlement to establish an overall Budget for 2011/12 and a related MTFS.

Involvement of Members

4.21 Because of the complicated and protracted nature of this year's Budget cycle, Members have -

- (a) been briefed at workshops held on -

- 1 September 2010
- 10 December 2010
- 5 January 2011
- 2 February 2011

- (b) received reports at Overview and Scrutiny Committees detailing the savings proposed by the respective Directorates

4.22 Due to the lateness of the announcement by the Government of the Final Settlement figures, this report has been delayed until the Executive meeting rescheduled to the 8 February 2011.

4.23 **A copy of this detailed report will therefore be circulated to all Members as part of the papers for the County Council meeting to be held on 16 February 2011.**

5.0 FINAL LOCAL GOVERNMENT FINANCE SETTLEMENT

Final Settlement

- 5.1 Details of the Provisional Settlement announced on 13 December 2010 were reported to Executive on 21 December 2010. Following a period of consultation that ended on 17 January 2010, the Final Settlement allocations were announced on 31 January 2011.
- 5.2 The Final Settlement does reflect some refinements to correct a number of minor errors and inconsistencies that came to light during the consultation period. Overall however the proposals are broadly the same as announced in December 2010 and the impact of the changes on the County Council are minimal with increased grant of £89k in 2011/12 and a further £58k in 2012/13 (a total increase of £147k over the two years).
- 5.3 The County Council final grant allocations are, therefore, as follows:

Item	2011/12 £000	2012/13 £000
Provisional Settlement	122,163	110,492
Final Settlement	122,252	110,639
Increase	+ 89	+ 147

(+ 58 year on year)

- 5.4 The key passages from the Minister's statement on the Final Settlement are reproduced below.

"The need to reduce public spending means that this is a unique settlement – we are looking for Councils to show how efficient they can be, and to root out the wasteful spending that still exists while ensuring that money goes to the frontline public services.

Despite the huge pressures on public finances, the Coalition Government has taken unprecedented steps to protect councils most reliant on central government funding and freeze council tax.

We have taken a progressive and fair approach to calculating how the £29 billion of central taxpayer funding for local government grants this year will be allocated. More money is being channelled to those areas of the country that have the highest levels of need.

We are also helping to protect the public from excessive council tax rises with our £650 million fund so town halls can freeze council tax this April. This will offer real help to families and pensioners. We will provide each authority that does not increase its basic level of council tax with a grant equivalent to the revenue it would have generated had it increased it by 2.5%. I would like to impress upon authorities that under the terms of the scheme they will not receive any grant if they increase their council tax at all.

The Government anticipates that authorities will choose to take up the freeze. However, where authorities opt to increase their council tax instead the Government is prepared to take capping action against excessive increases. The Secretary of State will set out the capping principles that he intends to use to compare authorities' budgets in the next few days, leaving ample time for authorities to consider their budgeting before the deadlines for setting their council tax".

- 5.5 As indicated in the December report, this Settlement is much more complex than previous years and reflects:
- (a) overall national funding reductions of approximately 27% in CLG grants over a four year period as signalled in the Comprehensive Spending Review, accompanied by a significant front loading in 2011/12
 - (b) the rationalisation of grant funding streams with many former 'specific grants' being rolled into general formula grant
 - (c) grant reductions and grants being stopped altogether from other Government Departments, particularly the Department for Education
 - (d) complex distributional changes in areas such as social care and concessionary travel funding, together with a number of significant changes to the grant formula
 - (e) a revised damping mechanism that not only differentiates between different categories of authority but places authorities into bands according to the extent of their dependence on formula grant
 - (f) a new transition grant totalling £96.2m for 2011/12 benefiting 44 authorities whose total revenue spending power (broadly grants plus Council Tax) would otherwise have fallen by more than 8.8%
 - (g) various other refinements
- 5.6 The allocations announced for 2011/12 are now final but for legal reasons the indicative allocations for 2012/13 cannot be confirmed until next year. The Government say, however, that they will not be changed other than for exceptional circumstances.
- 5.7 As this Settlement covers only two years of the CSR period, a second two year Settlement is expected to follow in 2012 for which the Government intend to adopt a new distribution system which they are starting to consider shortly.

NYCC's Final Allocation

5.8 The headline 'general formula' grant figures for the County Council are as follows:

Item	2011/12 £000	2012/13 £000
Previous years actual grant	104,355	122,252
Base adjustments per CLG	37,352	-1,668
Adjusted base per CLG	141,707	120,584
Reduction	- 19,455	- 9,945
Total general formula grant	122,252	110,639
% reduction above	13.7%	8.2%
% reduction before damping	12.3%	2.8%

5.9 The above table shows that NYCC has suffered a loss of general formula grant of £19.5m (13.7%) in 2011/12 and £9.9m (8.2%) in 2012/13 but this is far from the full picture as explained in the remainder of this section of the report.

5.10 A breakdown of the County Council's formula grant into the Government's 4 block grant is shown below; there is also a fifth block in this Settlement called 'Grants rolled in using tailored distribution'.

Item	2011/12 £000	2012/13 £000
Relative needs	125,497	116,806
Relative resources	-75,658	-67,576
Central allocation	53,897	48,030
Damping (paragraph 5.12)	-2,017	-6,597
Grants rolled in using tailored distribution	20,533	19,976
= Total formula grant	122,252	110,639

Features of the Final Settlement

5.11 As mentioned in **paragraph 5.2** the Final Settlement is broadly the same as announced in December 2010 and reflects relatively minor refinements. Two changes that warrant highlighting however are as follows:

(a) Concessionary Fares

The December report explained that this is an area of significant grant loss to the County Council with only one County faring worse in terms of percentage grant loss.

The Final Settlement announcement acknowledges the concern raised on this matter by many authorities and a further £10m has been added to formula grant for 2011/12 only. Surprisingly, however, this £10m has been allocated wholly to Shire Districts “for the loss of what they used to spend on concessionary travel”.

(b) Transition Grant

In addition to damping, there is a transition grant of £96.2m (£84.6m at Provisional Settlement) in 2011/12 for those authorities whose total revenue spending power (broadly grants plus Council Tax) would otherwise have fallen by more than 8.8% as calculated by the Government. This percentage has been improved slightly since the Provisional Settlement when it was 8.9% and now provides support to 44 authorities compared to 37 at the provisional settlement. The County Council’s figure, as calculated by the Government, is -2.07%.

Damping

- 5.12 Previous grant damping arrangements have operated so that every local authority receives at least the specified grant floor percentage increase for its class of authority. These top up increases to ‘below the floor’ authorities are paid for by scaling back the grant increases for the ‘above the floor’ authorities in that class. There has been no grant ceiling (maximum percentage increase) in recent years for any class of authority.
- 5.13 Damping continues in the 2011/12 Settlement with classes of authorities as previously. Two distinct differences however are:
- (a) the floors are all based on maximum percentage grant reductions rather than the previous minimum percentage increase. Consequently above the floor authorities such as NYCC, have their grant reduction increased even further to help fund authorities whose reduction is higher than their specified floor
 - (b) different bandings have been introduced to ensure that the most grant dependent authorities have the least reductions. CLG point out that some authorities rely on central government for 75% of their total budget whereas others collect more council tax and are more self sufficient with government grants representing only 20% of their budget.
- 5.14 The following table shows the Final Settlement damping levels for 2011/12 and 2012/13.

Authority	Final 2010/11 %	Final 2011/12 %	Final 2012/13 %
Education/PSS	} +1.5		
Band 1		-11.3	-7.4
2		-12.3	-8.4
3		-13.3	-9.4
4		-14.3	-10.4
Police	+2.5	-5.14	-6.70
Fire	+0.5	-9.5	-3.4
Shire Districts	} +0.5		
Band 1		-13.2	-12.0
2		-14.2	-13.0
3		-15.2	-14.0
4		-16.2	-15.0

- 5.15 The County Council has been placed in damping Band 4 for 2011/12 (being classed as relatively less reliant on government grant funding) with the impact being as follows:

Item	2011/12 %	2012/13 %
Maximum grant reduction for class of authority (floor)	-14.3	-10.4
NYCC's percentage formula grant reduction as calculated by CLG before damping	- 12.3	- 2.8
NYCC's percentage formula grant reduction as calculated by CLG after 'scaling back' to fund maximum decreases for authorities below the floor	-13.7	-8.2
Damping sum claimed back from NYCC to pay for the floor	£2,017k	£6,597k

- 5.16 In 2011/12, for the 151 authorities with Education and Personal Social Services responsibilities, the 'undamped' grant reductions of 56 authorities fell above the floor set out in **paragraph 5.14** above (range 11.3% to 14.3%). These authorities were brought up to the floor at a cost of £527m. Therefore the 95 authorities whose grant reductions fell below the floor (including NYCC) had their grant reductions increased (scaling factor of 0.286) to finance the floor (total of £527m with the impact on NYCC being £2m in 2011/12, but increased to £6.6m in 2012/13).

5.17 Damping was introduced in 2006/07 following the introduction of new grant formula and updated data (particularly the use of the 2001 census data to replace the previously used 1991 census data). The new formula/data caused significant turbulence in the initial relative needs element of the formula grant calculation so it was then damped to ensure that all authorities received the prescribed minimum increase in previous years and maximum decrease for 2011/12 and 2012/13 (as indicated in **paragraph 5.14** above). Thus the actual grant formula is effectively overridden by the application of significant damping levels.

Grant Reductions

5.18 The table in **paragraph 5.8** shows the County Council's formula grant reductions as being £19.5m in 2011/12 and £9.9m in 2012/13. However as detailed in the 21 December report, these figures mask a number of other factors with the result that the 'real' total grant loss is significantly higher in each year.

5.19 The total grant reduction for the County Council is as follows:

Item	2011/12 £m	2012/13 £m
Reported to Executive on 21 December 2010	35.4	13.5
Refinement to certain grant figures	- 1.0	
Final Settlement improved grant	- 0.1	- 0.1
= Total grant loss at Final Settlement	34.3	13.4

5.20 Based on the information provided in 21 December 2010 report, a breakdown of the report losses shown in the table above are as follows:

Item	2011/12 £000	2012/13 £000
(i) Formula grant loss notified by CLG (paragraph 5.8)	19.5	9.9
(ii) Concessionary Fares	2.9	
(iii) Adult Social Care	3.0	3.0
(iv) Grant cuts and deductions by other Government Departments		
➔ CYPS new intervention grant funding reduction	1.7	- 1.2
➔ CYPS former ABG grants now stopped altogether	5.0	
➔ Other reductions	0.1	
(v) Academies top slicing	2.1	1.7
= Total grant loss	34.3	13.4

- 5.21 The figures from the Final Settlement will be used in **Section 9** of this report to establish the funding levels available to the County Council.
- 5.22 The Final Settlement only covers the years 2011/12 and 2012/13. To enable the MTFS to match the 4 years covered by the CSR an assumption of further grant losses in 2013/14 and 2014/15 of 3% in each year (£3mpa) has been made and reflected in the calculations used in **Section 9** of this report.

6.0 COUNCIL TAX

- 6.1 The current MTFS was prepared on the basis of Council Tax increases of 2.5% in successive years.
- 6.2 The Government has now introduced a Council Tax freeze grant that will be offered on the basis that if a local authority agrees to set a nil increase in its Council Tax in 2011/12 then the Government will provide a grant equivalent to the yield of a 2.5% increase in that Council Tax.
- 6.3 The CSR indicates that this grant will be funded for the full 4 years but it does raise the question of what will happen thereafter. An assumption of a 2.5% increase in each year has been adopted for the purposes of compiling the MTFS for the years beyond 2011/12.
- 6.4 **It is therefore recommended that there should be no increase in the level of the Council Tax set by the County Council for 2011/12.**
- 6.5 An alternative way of looking at this issue is that if this Government grant had not been available the County Council would have had to increase its Council Tax by 2.5%. Thus for a Band D property that would represent £26.44 pa on the current annual figure of £1057.48. However to limit the Council Tax increase to this level would still have necessitated all the savings etc detailed in this report.

7.0 BUDGET / MTFS – ADDITIONAL LOCAL FACTORS

- 7.1 In addition to the funding framework determined by the Government, there are several local factors that need to be reflected in the Revenue Budget 2011/12 and the extended MTFS (2011/2015). Thus

- (a) there are a number of service related issues that will carry over from the current year and will need to be addressed in the Budget for 2011/12 et seq. These are -

(i) **Additional demand on care services for older people**

This has been a recurring issue in recent Budget cycles. An exercise has now been completed to project forward, and cost, the level of anticipated additional demand taking into account population data, increasing longevity, changing pattern / models of care provision, etc. Based on this exercise, and using the example of the long term funding package for the Waste Strategy it is proposed to allocate £3m in each year of the MTFS to reflect this cost pressure with the

proviso, as with the Waste Strategy, that the figures in the financial model are recalibrated each year as part of the MTFS process.

(ii) **Safeguarding of children**

This continues to be a high profile issue, and additional funding has been provided to CYPS in the current and previous years to address this issue. At this stage no additional funds are proposed but the situation needs to be monitored carefully, particularly in the light of all the changes to funding arrangements in the Education sector.

(iii) **Yorwaste dividend**

Due to a number of factors affecting the trading environment of Yorwaste, the company is unable to sustain the dividend levels of recent years. The situation can be summarised as follows –

Item	2010/11 £k	2011/12 £k	2012/3 £k	Total £k
BES current Base Budget (a)	1573	1573	1573	4719
- Forecast dividend (February 2010) (b)	-673	-773	-773	-2219
= PIP provision in current MTFS to cover anticipated shortfall (@ February 2010) (c = a - b)	900	800	800	2,500
Revised dividend forecast (d)	Nil	777	777	1554
Shortfall to be funded in NYCC Budget (e = a - d)				} 3165
→ PIP	1573			
→ Base		796	796	
Additional provision required (f = e - c)	673	- 4	- 4	665

It is therefore proposed to fund the shortfall (£1.573m) in the current year from the Pending Issues Provision (PIP) but thereafter to allocate £800k to the base budget of BES to reflect the anticipated permanent reduction in the Yorwaste dividend.

(b) there are a number of service related issues that arise in 2011/12:

(i) **Transfer of concessionary fares**

the responsibility for the transfer of concessionary fares from the local District Councils to the County Council takes place wef 1 April 2011. The treatment of the grants related to this are reflected in the Final Settlement (see **Section 5** above).

On the expenditure side, provision needs to be made in the BES base budget for expenditure of £10m pa that reflects the current aggregate level of costs incurred by the Districts. In addition to making the necessary arrangements to transfer the service wef 1 April, BES is also looking at a range of possibilities to reduce this cost over the medium to longer term. On the basis that BES has therefore been fully funded in relation to this function by the County Council from Day 1 of its responsibility, it is proposed that this £10m be allocated on the basis that any subsequential costs reductions are “given back” to offset the savings targets identified later in this report.

(ii) **Review of Library provision**

One of the savings proposals put forward by ACS is to reduce the number and operational arrangements for static and mobile libraries. To facilitate the process, it is proposed that £350k be allocated to assist with some of the emerging views coming from the current Library public consultation.

8.0 **CONSULTATION**

8.1 Consultation on the Budget/MTFS was again carried out in a number of different ways in order to ensure that as many residents /local organisations as possible had an opportunity to express their views.

8.2 In particular, the following were invited to offer their views -

- Citizens' Panel (a response from 1,259 members of public across North Yorkshire)
- General public (via articles in NYtimes, the web site and public meetings)
- Staff (via Key Messages, the intranet and team meetings)
- Parish and Town Councils (via public meetings and direct invitation)
- Voluntary and Community Sector (via discussions with infrastructure organisations or through established relationships with Directorates)
- other hard to reach groups (principally by Adult and Community Services and the Children and Young People's Service)
- Business sector (including the Federation of Small Businesses, Chambers of Commerce and through discussions about the development of a York and North Yorkshire LEP)

- Members (via Members Seminars, public meetings, Member's budget briefings, Overview and Scrutiny Committee sessions on the budget and individual briefings) – see **paragraph 4.21** for specific details.

- 8.3 In recognition of the severity of the financial challenges a series of public budget consultation meetings were also held around the County throughout November 2010. These events were held during the evening in order to maximise the number of people who were able to attend. Brief presentations were made by the Leader, Chief Executive and the Corporate Director – Finance and Central Services at each of these sessions which were also shared with the Police Authority and, in some cases, the local District Council. The main purpose of these events was to provide the public with an opportunity to ask questions and register their views. During these sessions members of the public tended to agree with proposals which involved efficiency improvements rather than service changes or cuts. There was, understandably, a more mixed response when it came to options for service cuts because people tend to value local services and wish to see them maintained.
- 8.4 Clearly the financial challenge facing the County Council over the next four years is such that there will need to be an on-going engagement with the public and partners over that period. Likewise, opportunities for Members to explore further the proposals outlined in this Budget report, and other Budget considerations, will be provided through on-going briefings and Members Seminars.
- 8.5 Detailed consultation has been / is currently / will be undertaken by Directorates with Stakeholders in relation to the specific savings proposals in this report.

9.0 **RECONCILIATION OF FUNDING AVAILABLE TO SPENDING NEEDS IN ORDER TO QUANTIFY SHORTFALL**

- 9.1 The detailed calculation of the funding available in each of the four years of the proposed MTFS is provided in **Appendix A**. The calculation takes into account the following -
- (a) loss of formula and specific grants. For the two years 2011/12 and 2012/13 this is derived from the Final Settlement (see **Section 5** above). For the subsequent two years (ie 2013/14 and 2014/15) a further loss of year on year grant has been assumed at the rate of 3% in each year
 - (b) Council Tax grant in 2011/12 equivalent to a 2.5% increase in the level of Council Tax. This is assumed to recur for all years of the CSR (= MTFS) period
 - (c) Council Tax increases of 2.5% in each of the subsequent years (ie 2012/13, 2013/14 and 2014/15
 - (d) any variations in Council Tax yield due arising from Collection Fund surpluses notified by the Districts and related tax base variations
- 9.2 Based on **Appendix A**, the 'available to spend' figures for the County Council can be summarised as follows:

Year	Available to Spend £000s	Cash Increases %
2010/11	350,001	
+ net increase	18,669	+ 5.3%
= 2011/12	368,670	
+ net decrease	- 4,515	- 1.2%
= 2012/13	364,155	
+ net increase	+ 4,362	+ 1.2%
= 2013/14	368,517	
+ net increases	+ 4,582	+ 1.2%
= 2014/15	373,099	

9.3 The calculation of spending need is shown in **Appendix B**. It starts with the current Base Budget and then adds -

- (a) inflation for pay and prices
- (b) the additional service needs referred to in **Section 7**
- (c) certain other adjustments / commitments carried forward from last year's MTFS
- (d) the necessary net provisions included in the Corporate Miscellaneous budget for the financing of the Capital Plan, interest earned on balances, etc

9.4 If the two sets of figures are brought together they cast the net shortfall that will need to be met by recurring savings. Thus -

Item	2011/12 £000s	2012/13 £000s	2013/14 £000s	21014/15 £000s
Funding (paragraph 9.2)	368,670	364,155	368,517	373,099
- Spending requirement (Appendix B)	- 411,683	- 379,600	376,703	381,817
+ Council Tax grant (paragraph 6.2)	+ 6,149			
= Shortfall pa	- 36,864	- 15,445	- 8,186	- 8,718
Cumulative	- 36,864	- 52,309	- 60,495	- 69,213

- 9.5 A year by year exemplification of the above, analysed by Directorate and reflecting the savings proposals explained in **Section 10** that follows is provided in **Appendix C**.

10.0 DETAILS OF SAVINGS PROPOSALS

- 10.1 As explained in **Section 4** of the report, the Management Board has been working on a range of savings proposals since the start of this financial year. These proposals are a combination of recurring savings (that will reduce the Base Budget), turn on / turn off items, (as described in **paragraph 4.13(b)**) and non-recurring items. The latter two will need to be replaced by recurring savings in the latter years of the MTFs period, but do assist the short term requirement to balance the Budget to the funding available in a given year. The implications of this approach are an important aspect of the MTFs and are considered further in **paragraphs 10.5 et seq** below.

Directorate Savings

- 10.2 Details of the recurring savings proposed for each Directorate are contained in the **Supplementary Papers** attached to this report.

Corporate Miscellaneous

- 10.3 In addition to the year on year adjustments to the various technical budgets that came under this heading, there are a number of specific proposals that warrant attention

(a) **Impact of change in Government approvals for Capital from borrowing to capital grant**

The impact of all Government capital approvals from 2011/12 being funded by grant rather than the previous mix of borrowing approvals and grant, is to reduce the annual borrowing requirement by about £33m. The consequential reduction in capital financing changes that have been built into the MTFs are about £0.8m in 2011/12. and £2.8m per annum thereafter (year on year increases)

(b) **Area Committee Grants**

The current annual budget for Area Committees is £357k. It is proposed to

- ➔ delete this budget provision with effect from 2011/12, but
- ➔ allow any unspent balance at 31 March 2011 to be retained by the Area Committees until they are spent

(c) **Community Fund**

This Fund currently finances a number of different activities. With effect from 2011/12 it is recommended that the County Council:

- discontinue the annual allocation of £25k to each Area Committee which is used, in conjunction with Local Strategic Partnerships (LSPs), to fund community projects. Unspent allocations as at 31 March 2011 will be carried forward
- approve no more capital contributions to Affordable Housing schemes for vulnerable people. At present the Community Fund meets the costs of the capital financing costs arising from these contributions. The costs of all contributions approved to date will be honoured
- the provision for Theatre Grants will be transferred to the Chief Executive's Budget, net of any required contribution to BES to realise the savings requirement

The recurring savings from the above are estimated to be

Year	Year on Year £k	Cumulative £k
2011 / 12	600	600
2012 / 13	25	625
2013 / 14	300	925
Total	925	

The balance left in the Community Fund will be sufficient to offset the capital financing costs of those completed scheme contributions that have been approved by the Executive to date.

In addition to the above, discussions have been held with District Councils and it is proposed that the County Council ceases to make the £10k annual contribution to each LSP and Community Safety Partnership. This total saving of £140k (7 x £20k) will then be available to supplement savings within the Chief Executive's budget.

(d) Employee Terms and Conditions

A staff consultation is being progressed around a series of possible options to change employee terms and conditions in order to make Budget savings. Initial discussions have started with Unison and it is envisaged that these will be progressed in the coming weeks. Issues that are being looked at range from mileage allowances, overtime payments through to basic pay levels. The aim is to reduce the County Council's overall salary bill by around £2m by the end of 2012/13. It is anticipated that an initial saving of £750k will be made in 2011/12 with a further £1250k being saved in 2012/13.

The County Council is discussing the possible issues with Unison and is hoping to implement changes in due course following a UNISON membership ballot on preferred options. Whilst it is recognised that employees of the County Council will be facing pressures in terms of inflation, increased pension contributions and in other areas, it is important for the County Council to reduce its overall salary bill in order to protect jobs and services.

(f) **Pay and Reward**

UNISON members have voted to support a proposal to use the underspend on the Pay and Reward budget, which is ring fenced for spend on staff benefits, to offset against the County Council's savings requirement. This Budget was established, following the review of Pay and Reward implemented in April 2007, from savings predominantly on changes to the car user allowance arrangements. This initiative by UNISON provides a one-off underspend of £411k and an ongoing underspend of £110k to be put against the savings requirement.

10.4 The net recurring savings arising from Directorates and Corporate Miscellaneous can be summarised as follows:

Directorate / Item	2011/12 £m	2012/13 £m	2013/14 £m	2014/15 £m	Total £m
ACS	7,000	9,670	3,760	160	20,590
BES	6,320	1,400	1,690	1,860	11,270
CEG	1,250	500	200	50	2,000
CYPS	8,650	2,960	1,340	2,400	15,350
F&CS	1,000	600	300	200	2,100
Area Committee grants	357				357
Community Fund	600	25	300		925
Employee Costs	750	1,250			2,000
Pay / Reward	521	- 411			110
Total	26,448	15,994	7,590	4,670	54,702

10.5 If the year by year total figures for net recurring savings from the table in **paragraph 10.4** above are set against the funding shortfall identified in **paragraph 9.4**, it is clear that there is still a net recurring shortfall (see table below). At this stage of the Budget / MTFS process it is not considered realistic to identify and implement further major savings in 2011/12 additional to those indicated in **paragraph 10.4**. Therefore, to "close the gap" for 2011/12, two short term measures are proposed which are explained further in **paragraph 10.6(a)** below. The approach for subsequent years is addressed in **paragraph 10.9**.

	Item	2011/12 £000s	2012/13 £000s	2013/14 £000s	2014/15 £000s	Total £000s
A	Funding Shortfall (paragraph 9.4)	36,864	15,445	8,186	8,718	69,213
B	- Net recurring savings (paragraph 10.4)	- 26,448	- 15,994	- 7,590	- 4,670	- 54,702
C	= Recurring shortfall	10,416	- 549	596	4,048	14,511
	- Turn of / turn on items					
D1	BES Highways maintenance					}
	2011/12	-3000	3000			
	2012/13		-3000	3000		
D2	BES On-street parking income	-1000	1000			0
D3	F&CS Planned maintenance	-500	500			0
E	= Adjusted Shortfall	5,916	951	3,596	4,048	14,511
F	- Short term use of Reserves	- 5,916	2,000 *	3,916 *		0
G	= Budget 2 Target	0	2,951	7,512	4,048	14,511

[* indicative paybacks]

10.6 The two methods used in the table above to “close the gap” in 2011/12 are as follows -

- (a) **Utilise those budget areas where it is possible to “turnoff” expenditure in the short term and then turn that spend “back on” a year later.** This approach does not create a recurring saving, and is not without a negative impact on the service areas identified, but it does provide a £ for £ reduction in the call on Reserves. The 3 items proposed for this approach (cross referenced to the table above) are -

D1 BES – Highways, maintenance : it is proposed to reduce the highways maintenance budget by an additional £3m in each of 2011/12 and 2012/13. This will require further prioritisation and will impact on the overall condition of the highways network £3m

- | | | |
|----|--|-------|
| D2 | BES – on-street car parking income : the on-street parking account operated in Harrogate has made a significant surplus over the previous 2 years, with income exceeding expenditure by more than £1m. There is a restriction in the relevant legislation meaning that any surpluses must be spent on Transport related issues, which includes Concessionary Travel. In the last two years a contribution has been made to Harrogate Borough Council to support the increased cost of Concessionary Travel. It is intended to again make a contribution to the cost of Concessionary Travel in 2011/12 | £1m |
| D3 | F&CS – planned maintenance in the Corporate Property portfolio. Repairs will be limited to those considered essential to maintain the fabric of the buildings | £0.5m |

- (b) **Use of Reserves** – other than the General Working Balance (GWB) and the Pending Issues Provision (PIP) all other Reserves are held for a specific purpose. However, given the financial circumstances of the County Council, it is considered reasonable to “borrow” funds from various Reserves in order to balance, at least in cash terms, the 2011/12 Budget. Clearly, the Reserves will need to be repaid in subsequent years. The effect of this (clearly shown in the table in **paragraph 10.5** above) will be that additional savings will have to be made in those later years; however to the extent that they are repaid by additional recurring savings these savings will have their required recurring impact once the Reserves are reinstated.

10.7 Whilst this approach enables the Budget for 2011/12 to be determined in accordance with legal requirements there are a number of consequential risks. In particular,

- (a) that the proposed net recurring savings summarised in **paragraph 10.4** are either delayed (creating a further short term impact on Reserves) and/or do not meet their planned target
- (b) other events (eg another bad winter, a number of claims on the Insurance Fund) place pressure on the funds available in those Reserves

10.8 It is against this background that the S.151 Officer has to make a formal Section 25 judgement regarding the **robustness of the estimates** and the **adequacy of the reserves** (see **Section 14** below for further details). Given the need to employ the measures set out in **paragraphs 10.6 (a) and (b)** above, it is essential that the County Council has a strategy to resolve this recurring shortfall as soon as possible.

Budget 2

- 10.9 To ensure that the ongoing shortfall is addressed, and that the level of reserves is not compromised, the intention is to submit a Budget 2 report to the Executive on 10 May 2011 followed by a recommendation from the Executive to the County Council meeting on 18 May 2011.
- 10.10 In the intervening period, the Management Board will seek to identify further recurring savings or cost reductions, and seek to “repay” any Reserves that have to be utilised in 2011/12, as soon as possible.
- 10.11 Further areas where savings / efficiencies might be identified for the Budget 2 report include -
- (a) details of certain Department for Education and NHS grants should become clearer, and offer possible opportunities for cost savings and / or cost substitution
 - (b) one of the main tools that the County Council will employ to make further savings will be to undertake a major Organisational Review of how the County Council operates. The strategic aim of this review will be to streamline the operation of the County Council in order to generate more non-frontline savings. The Organisational Review will look at management tiers, administrative and business support functions, the approach to customer services, procurement, the use of IT resources, HR and finance support along with a range of other back office operations. The Organisational Review will ensure that there is a single Council wide approach to the way that we organise our back office arrangements, and that there are standardised and simplified processes that are shared across the entire County Council.

This will be a major change programme for the County Council. The process of change will be ongoing for a number of years but it is hoped that significant savings can be made by 2012/13. Further details around this Organisational Change programme will be included in the Budget 2 report.
 - (c) a review of the schemes in the Capital Programme and Capital Forecast that are financed by capital receipts and/or prudential borrowing will be undertaken to ensure that the purpose of each scheme is still consistent with the requirement of the Service involved given the Budget reductions that are having to be made by each Service.

Which Reserves?

- 10.12 Given this approach for 2011/12, the precise details of what funds will be drawn from which Reserve can be left until the Budget 2 report is submitted. By that time a number of matters will have been resolved that will contribute to the decision making on this matter. For example -

- (a) the 2010/11 Revenue outturn figure will be available and its impact on the GWB quantified
- (b) options regarding the possible re-financing of capital debt, and / or the continued use of internal borrowing can be assessed in the light of market interest rate trends at the time
- (c) the option of switching costs between the Capital Plan and the PIP can be assessed, again dependent on interest rate differentials at the time

Equality Implications

- 10.13 Under current equality legislation, the Council County must demonstrate that it pays due regard in its decision-making process to the need to eliminate discrimination and promote equality with regard to the protected characteristics of disability, gender (including gender reassignment), race, and the promotion of good race relations. From 1 April 2011, the duty will be extended to include the protected characteristics of age, sexual orientation, pregnancy and maternity, and religion and belief.
- 10.14 Impact assessments have been undertaken in respect of all relevant proposals contained in this report, and have regard to the full range of protected characteristics. Members must have regard to these assessments in their decision making; and therefore they are available in hard copy from Josie O'Dowd (extension 2591) and Members are being provided with a CD containing the information. The assessments set out the reasons for the proposals, the information taken into account, consultations with affected groups, and mitigating actions will continue to be refined as the proposals are developed and implemented. These assessments have systematically considered any adverse impact of the proposal on people with protected characteristics, and opportunities for actively promoting equality. Such assessments have been carried out at a formative stage of the process, so they are an integral part of development of the proposal. Where disproportionate impact on people with one or more protected characteristics has been identified then the County Council has considered mitigation to remove that adverse impact and promote equality for the groups affected.
- 10.15 Members must consider compounding factors, such as the rural nature of the County, and the cumulative impact of proposals on different protected groups across a range of services. The impact of decisions on the Council's activities as a service provider and an employer should also be considered.
- 10.16 It is clear that the savings proposals in this report will potentially impact in one way or another on all residents of North Yorkshire. On the basis of the assessments and consultations undertaken during the development of the proposals, the proposals will potentially impact on disabled people (adults, older people and children), their families and carers. Where the potential for adverse impact has been identified, services are seeking to mitigate this in a number of ways including developing new models of service delivery, partnership working and by helping people to develop a greater degree of independent living."
- 10.17 The assessments are not included in this Budget report but are available for inspection if required.

11.0 RELATED ISSUES THAT IMPACT ON THE MTFS

Issues arising in 2010/11

General Working Balance

- 11.1 The County Council has a policy of maintaining its General Working Balance (GWB) to a level equivalent to 2% of the annual net Revenue Budget. The value of the GWB is, of course, impacted by in-year under / over spends. Based on the Q2 Performance Report (submitted to the Executive on 16 November 2010) and reflecting on the likely position at Q3 (due to be submitted to the Executive on 22 February 2011) it is prudent to anticipate a net overspend in 2010/11, particularly in relation to Winter Maintenance due to the adverse weather in November 2010 through to January 2011.
- 11.2 A provision of £1.6m in the GWB was made in the Q2 report. Subject to the detailed Q3 report that will be submitted to Executive on 22 February 2011, it is now proposed to increase this provision to £2m in 2010/11.
- 11.3 This proposal leaves the forecast GWB position as follows -

	Item	£m
	Balance reported at Q2	7761
	- provision for additional spending pressures in 2010/11	-400
	= revised forecast balance at 31/3/11	7361
Note	Minimum 2% target at 31/3/11	7000

Waste Strategy

- 11.4 The inevitability of additional funds being required in future years to address the waste issue is referred to in several places in this report. Based on a detailed financial model that has been developed to reflect all aspects of the overall Waste Strategy, and therefore takes into account inflation, the annual increase in Landfill Tax, the introduction of the Landfill Allowances Trading Scheme (LATS), the increasing costs over time of recycling, waste treatment (as delivered by the PFI scheme) and residual waste disposal, the long term recurring costs are now estimated as follows -

Financial Year	Year on Year Drawdown £000	Base Budget £000	% increase		
			Year on Year	Cumulative	
2010/11		21635			
MTFS period	2011/12	+ 1738	23373	+ 8.0	+ 8.0
	2012/13	+ 3364	26737	+ 14.3	+ 23.6
	2013/14	+ 882	27619	+ 3.2	+ 27.7
	2014/15	+ 8078	35697	+ 29.2	+ 64.9
Sub Total	+ 14062				
2015/16	+ 1079	36776	+ 3.0	+ 69.9	
Total Increase	2010/11 to 2015/16	+ 15141			

- 11.5 Notwithstanding the additional funds applied to the Waste Strategy to date, the above table shows that by the end of the 4 year period covered by the updated MTFS, the estimated additional funding requirement is £14.062m (+ 64.9%) whilst over the extended 5 year period to 2015/16 it is £15.141m (+ 69.9%). These figures place a significant pressure on the County Council's Budget for the foreseeable future.
- 11.6 The figures shown in **paragraph 11.4** extend beyond the period of the new MTFS. Thus the difference (£1.079m) between the total projected additional cost (£15.141m) and that falling in the MTFS period (£14.062m) is effectively the forecast cost of a known liability which could place additional pressure on the annual Budget of the County Council for the period to 2015/16, when the PFI Scheme is scheduled to be fully operational. Therefore, without preparatory financial planning, the extent of that pressure would necessarily have an adverse effect on the ability of the County Council to maintain its other key services to the performance standard being delivered at the time because additional funds would have to be reallocated to the waste budget.
- 11.7 The preparatory financial planning referred to relates to the Pending Issues Provision (PIP). The County Council established this accumulating Provision as part of the 2008/09 Budget cycle. See **paragraph 11.8** below for details of how the PIP is used to fund the Waste Strategy.

Pending Issues Provision

- 11.8 To develop a financial strategy as part of the MTFS process that would ensure sufficient recurring funds are available in future years to meet the predicted year on year additional costs relating to the Waste Strategy (see **paragraph 11.4** et seq), an element of the funds available in the 2008/09 to 2010/11, has been put aside in a Pending Issues Provision (PIP) (see **Appendix D**).

11.9 The Provision has accumulated in base Budget terms as follows -

Year	2008/09 £000	2009/10 £000	2010/11 £000
2008/09	3,314	3,314	3,314
2009/10		5,191	5,191
2010/11			5,889
Total available	3,314	8,505	14,394

11.10 As the table in **paragraph 11.4** shows, this accumulated recurring sum of £14.394m would not be sufficient of itself to fund the anticipated future costs of the Waste Strategy.

11.11 The missing component is the element of inflation (including Landfill Tax increases) that is included in the financial model for the Waste Strategy (as referred to in **paragraph 11.4** above), but which is normally addressed as a separate item in the overall MTFS model.

11.12 To avoid possible duplication, a fixed sum of £1.25m pa was therefore added into the MTFS in 2010/11 to reflect averaged inflation and Landfill Tax arising from the Waste Strategy. Whilst “charged” to the MTFS on an annual basis, this is now “paid into” the PIP (initially leaving BES with no inflation provision) but the draw-down from the PIP back into the BES budget is then a single all-inclusive figure calculated in the latest Waste Strategy financial model.

11.13 This approach keeps the cost control of the Waste Strategy in a single place, and can be readily adjusted (via the PIP) if the figures produced by the Waste model subsequently change, over the period to 2015/16, when the PFI facility is now expected to be fully operational.

11.14 The annual drawdowns necessary from the PIP for the Waste Strategy are clearly shown in the table in **paragraph 11.4** and are replicated (on an equal and opposite basis) in **Appendix D**.

11.15 In addition, to providing long-term funding for the Waste Strategy the money paid into the PIP but not yet required by the Waste Strategy is available to fund non-recurring items. As **Appendix D** shows, significant allocations have been made to date from the PIP by the Executive.

11.16 Because of the flexibility provided by the PIP and its potential usefulness in funding projects that might assist in addressing the financial challenges that lie ahead, the availability of funds year by year has been reassessed as follows -

- (a) the non-recurring funds identified by the separate review of the Community Fund (see **paragraph 10.3 (c)** above) are proposed to be paid into the PIP – total £277k in 2010/11.

Taken together with the proposals in **paragraph 10.3 (c)** this transfer effectively closes the Community Fund as far as uncommitted funds are concerned.

- (b) by revising the drawdown from the PIP of funds required by the Waste Strategy, Bedale Bypass and Schools capital it is possible to recast the projected cash balances at each year end so that they are potentially available to assist in funding the cash shortfall in the Revenue Budget 2011/12 (see **paragraph 10.6 (b)** above) and/or are available to fund potential additional non-recurring needs (eg Redundancy Fund, the ICT transition from Novell to Microsoft). These options/issues will be addressed again in the Budget 2 report referred to in **paragraph 10.9 et seq above**.

11.17 On the expenditure side **Appendix D** reflects the year by year cash impact of all the allocations approved by the Executive. In this report two issues need to be reflected in the PIP

- (a) the **shortfall in the Yorwaste dividend** in 2010/11 – see **paragraph 7.1 (a) (iii)** for full details
- (b) a request from ACS for a transfer of funds from the previous approval for Reablement to create a provision for funding a **fundamental review of social care packages**.

For people to access and receive services from Adult Services they must be assessed to determine the support required. Consequentially when changes are being proposed to the way services are delivered or cease to be provided there is a legal duty to undertake a reassessment.

The ACS currently supports more than 12,000 people at any one point in time and, given the front loaded savings target required for 2011/12 and 2012/13, there will be an obligation to review at least 3,000 clients and reassess their ongoing needs.

The approach being proposed is create additional assessment capacity by engaging a team of nine staff led by a Care Services Manager supplemented by a small amount of additional capacity within support services, administration and contract management. This is estimated to cost £500k pa and be required for 2011/12 and 2012/13.

The request is, therefore, to transfer £500k in each of 2011/12 and 2012/13 from the previously approved PIP provision for Reablement to fund this Review Team.

If this transfer has the effect of ultimately reducing the funds available to complete the Reablement process ACS will submit a "top-up" bid at a later date. The success of the Reablement process to date is currently being assessed by ACS with a view to submitting a progress report to the Q3 Performance Monitoring meeting scheduled for 22 February 2010. This progress report will also include the first request for a formal drawdown of the funds earmarked for Reablement in the PIP.

11.18 The overall funding position of the PIP is shown in **Appendix D**. Taking into account the fact that the funds effectively shown as “paid in” for years 2011/12 do not actually exist until these years **Appendix D** shows that the PIP has funds available in future years for one-off issues, until such time as the Waste Strategy draws down its full requirement (currently scheduled for 2015/16).

The year on year indicative cash balances for the PIP are

Year	Balance pa £000	Cumulative balance £000	
2010/11	5,153		= actual cash
2011/12	-2,792	2,361	} = cash not yet 'actual' until year indicated
2012/13	5,129	7,490	
2013/14	11,239	18,729	
2014/15	4,411	23,140	
2015/16	3,332	26,472	

Income from fees and charges

11.19 As part of the budget preparation work, consideration has been given to the anticipated income from fees and charges. This has included a review of the risk assessment regarding the yield of various income streams, bearing in mind the economic recession. Consideration has been given to the level of increase that might reasonably be made in the rates of fees and charges to reflect costs, but also to take account of any likely price resistance from payers.

11.20 Although the position in respect of 2011/12 has been looked at in detail, it is likely that further specific consideration will be given to the fees and charging arrangements for subsequent years as more work is done on financial plans for those years.

11.21 A significant part (£81m) of the County Council budget is financed by income from fees and charges, or for services recharged to schools and external partners. Although not as large as the funds realised from Council Tax and grants, the financial challenge facing the County Council means that all aspects of funding need to be systematically reviewed.

11.22 The Financial Procedure Rules state:-

Except where they arise from existing contracts which regulate the matter, fees and charges within the control of the Council shall be subject to review at least annually (or as otherwise agreed by the Corporate Director – Finance and Central Services (CDFCS) by a Director and CDFCS except as provided in any specific agreements between the Council and relevant third parties. If the review results in a proposal to change the policy under which a fee or charge is determined the review shall be reported to the Executive before it is implemented.

- 11.23 A thorough review of all income streams has therefore been undertaken on a service by service basis.
- 11.24 In this process charges have been reviewed in such a way that the yield will at least keep pace with inflation and/or the overall cost increase of the service for which the charge is made. For 2011/12 and bearing in mind the recent volatility of external indexes such as the retail price index, and the consumer price index, this link to underlying cost increases, as a starting point to each review, is particularly important.
- 11.25 However, because of the overall financial position of the County Council, the need to review whether charges should increase beyond this level and contribute to meeting Budget targets is also very relevant. This has been part of the consideration being given by Directorates in developing their Budget savings proposals for the period to 2014/15. Particular examples of this approach are as follows
- BES – income review of all chargeable services provided
 - CYPS – review of subsidy provided to the Music and Outdoor Education services and Home to School Transport charges
 - FCS – charging School budgets for Property related services
- 11.26 A particular issue arises because of the expansion of the **academies programme**, which will start to have an impact on the County Council in 2011/12. It is not known how many of North Yorkshire's schools will elect to become academies. There will be the opportunity for the County Council to trade with these academies both for service areas that have historically traded with schools and new service areas that will become the responsibility of an academy. Depending upon which services an academy chooses to buy back from the County Council, there is a risk that for some traded services income will reduce compared to previous years. For other services there may be an opportunity to generate additional income; however this should be considered in the context of the reduction in Central Government grants due to academies (which has effectively added £2m to the grant reduction suffered by the County Council in 2011/12 – see **paragraph 5.20** for further details).
- 11.27 Those income streams assessed as High Risk are the subject of particular attention in the ongoing budgetary control regime that feeds into the Quarterly Performance Monitoring Reports.
- 11.28 Work has also progressed on an *Income Policy* document that will, if adopted in due course, help to standardise the way in which fees and charges are set, particularly in relation to costs (both direct and overheads) as well as the levels of subsidy (implied, if appropriate, by the fact there is not full cost recovery). The same piece of work will propose changes to the Financial Procedure Rules to reflect this policy work, and also update guidance on income and debt management matters. A report will be submitted for the Audit Committee in due course and then to the Executive.

12.0 TECHNICAL ISSUES AND ASSOCIATED MATTERS

- 12.1 Within the proposed Budget/MTFS package, and as part of the Budget process generally, there are a number of technical issues and associated matters that need to be addressed in this report.

Calculation of Council Tax Precept

- 12.2 The Council has a duty as a major precepting authority in accordance with Section 43 Local Government Act 1992 to calculate its budget requirement for each financial year. In accordance with Section 44 of the Act it must calculate the basic amount of council tax for each financial year. There is a formal requirement for this calculation to be included in the Budget report. Full details are therefore provided in **Appendix E**.

Capping

- 12.3 Because the County Council is not proposing any increases in the level of its Council Tax for 2011/12 this is not considered to be an issue for further consideration at this time.

Capital Plan

- 12.4 An updated Capital Plan (for the period up to 31 March 2014) will be submitted to the Executive on 23 February 2010 as part of the Quarter 3 Performance Monitoring report for 2010/11.
- 12.5 The revised Capital Plan will be based on the version approved by Executive on 16 November 2010 but updated to incorporate
- ➔ the implication of capital approvals announced as part of the Provisional Local Government Finance Settlement on 13 December 2010
 - ➔ the addition of a further year (2013/14) to the Capital Plan
 - ➔ movements between the Capital Forecast and Capital Programme elements of the Capital Plan
 - ➔ additions of variations to schemes that are self funded (ie through grants, contributions, revenue contributions and earmarked capital receipts)
 - ➔ re-phasing of expenditure between years
 - ➔ movements between schemes resulting from variations in scheme costs (eg arising from a tender process) and ongoing reassessment between priorities within a Directorate's finite central total
 - ➔ additional schemes and provisions approved by Executive
 - ➔ various other miscellaneous refinements

- 12.6 Although a detailed Capital Plan is not being submitted to this meeting (see **paragraph 12.4** above), the expenditure / financing requirements of the Plan are available in sufficient detail to enable the reports referred to below in **paragraph 12.8** to be submitted to this meeting.
- 12.7 Accordingly, the financing costs (interest and principal) required to finance this updated Capital Plan are reflected in the 2011/12 Revenue Budget package within Corporate Miscellaneous – see **Supplementary Paper VI**. Financing costs for the subsequent years are also reflected within the MTFS papers (see **Appendix C**).
- 12.8 Members will be aware that the way in which the borrowing requirements for the Capital Plan of the County Council are now managed and financed is directly linked to:
- ➔ the **Prudential Indicators**
 - ➔ the **Treasury Management** arrangements
- Because of these close links, reports on both of the above are also included on this Agenda and need to be recommended to the County Council as part of the “Budget set”.
- 12.9 Because of the direct links between the size of the Capital Plan and the impact of consequential financing costs on the Revenue Budget / MTFS, the Treasury Management report referred to in **paragraph 12.8** above reflects the principle, agreed several years ago, to cap the level of capital financing costs as a proportion of the annual Net Revenue Budget. The level set (@ 11%) will continue to accommodate the impact of the Capital Plan (as referred to in **paragraph 12.6** above) but will place a constraint, unless Members consciously reset the %, on the extent to which the Capital Plan can be expanded in future particularly by the use of locally determined Prudential borrowing. As indicated in the separate Treasury Management report, the % will be automatically reviewed annually as part of the Budget / MTFS process.

Local Area Agreement – Performance Reward Grant

- 12.10 In relation to LAA1 which ran from 2007/08 to 2009/10, the County Council are expecting to receive £6.2m Performance Reward Grant (PRG). This was less than the £6.41m sum estimated at Q2 due to the final performance against the stretch targets. A final audited claim has been submitted to Government, and sign off and payment is expected before the end of the financial year. A sum of £1.75m has already been received as an interim claim. The expected sum is 50% of the original anticipated amount, as announced by the Government in June 2010.
- 12.11 The table below shows the allocation of the PRG between Thematic Partnerships, with an agreed 10% allocation to the voluntary and community sector split across Thematic Partnerships pro rata to the PRG earned.

Thematic Partnership	PRG “Earned” £000	10% Allocation to voluntary & community sector £000	Remaining PRG £000
Adults	2,314.1	231.4	2,082.7
Healthier Communities	237.6	23.8	213.8
Children & Young People	1,120.3	112.0	1,008.3
Safer Communities	1,267.2	126.7	1,140.5
Stronger Communities	1,267.2	126.7	1,140.5
Total	6,206.4	620.6	5,585.8

12.12 The NYSP Executive is meeting on 10 February 2011 to consider bids from Thematic Partnerships for the utilisation of their allocations.

12.13 Arrangements for the operational and financial monitoring of the successful bids will be put in place with appropriate reporting to Thematic Partnerships and the NYSP Executive.

12.14 The allocation to the voluntary sector will be managed through the Community Foundation on the following basis:

- (a) £200k to be allocated for distribution as small grants (maximum £5k) initially. This sum has been paid to the Community Foundation
- (b) the remaining sum (of approximately £420k) to be invested in a flexible endowment fund which will earn interest to provide small grants on an ongoing basis. This sum will be regularly reviewed to determine whether it is more effective to continue as a core investment, or to convert part or all of it into further small grants.

12.15 The PRG is split 50% capital and 50% revenue. The revenue element is more flexible than the capital element, which is restricted to fund expenditure of a capital nature only. Thematic Partnerships have been asked to split their bids between capital and revenue items which will be assessed to determine whether there is an issue to address regarding a mismatch of the split between capital/revenue in the bids as compared to the PRG available.

12.16 The County Council had been expecting £3.5m PRG in relation to LAA2, but it has been confirmed by the Government that LAA2 has been discontinued.

North Yorkshire Pension Fund

12.17 The County Council as an employer is required to pay contributions into the North Yorkshire Pension Fund (NYPF) on behalf of those members of staff who have joined the Fund.

- 12.18 The County Council is the administering authority for the North Yorkshire Pension Fund on behalf of 60 employers (including itself). Every three years a formal Actuarial Valuation has to be undertaken to validate that the level of employer contributions is appropriate to finance the long term (ie staff pension) liabilities that are accruing in the Fund.
- 12.19 The latest Triennial Valuation, based on employee data at 31 March 2010, is due to be signed off by the Pension Fund Committee at its meeting on 17 February 2011, and the revised employer contribution rates will come into effect for the three years 2011/12, 2012/13 and 2013/14.
- 12.20 The next Triennial Valuation is scheduled for 31 March 2013 with the resultant employer contribution rates coming into effect for the 3 years from 2014/15.
- 12.21 At present the employer contribution rate is 19.2% equivalent to £33.9m per annum. Of this £13.5m relates to staff employed by schools and traded services so the figure of £20.4m (ie £33.9m - £13.5m) represents the impact on the Net Revenue Budget for the purposes of the Budget process.
- 12.22 Under the latest Triennial Valuation the actuary has determined that the employer contribution rate shall consist of two separate elements. Effective for the three years from April 2011, a Future Service Rate (FSR) of 12.4% has been calculated to meet the cost of benefits accrued in the future. A Past Service Rate (PSR) of 6.8% has been calculated to meet the cost of accumulated unfunded liabilities (ie the deficit). The total (ie combined) employer contribution rate of 19.2% is therefore unchanged from 2010/11.
- 12.23 In determining the PSR, the Actuary established a range of assumptions including one for pay growth over the long term, being the period over which the Fund's deficit is expected to be clawed back. However, in consideration of the public sector pay freeze and planned reductions in County Council staffing levels, the Actuary recognised that a gap may arise between these assumptions and an anticipated but unquantified reduction in payroll (from which employer contributions are generated).
- 12.24 From April 2011 the PSR will, therefore, be expressed as a cash requirement rather than a percentage. The amounts equivalent to a PSR of 6.8% are £13.3m in 2011/12, £13.9m in 2012/13 and £14.6m in 2013/14.
- 12.25 In practice, the County Council will continue to apply an employer rate of 19.2% to payroll but in order to meet the possible shortfall between this and the cash requirement referred to in **paragraph 12.23** above, a cumulative provision in Corporate Miscellaneous has been made of £300k in 2011/12, £450k in 2012/13 and £750k in 2013/14.

13.0 RISK ASSESSMENT

13.1 The County Council has a formalised and systematic approach to assessing and evaluating risk. The corporate level risk assessment has recently been considered by both the Executive and the Audit Committee, and relevant issues are reflected in both the Revenue and Capital strands of the MTFS (see **paragraph 13.7** below).

Service Risks

13.2 There are particular service risks associated with the Budget proposals which are referred to in the Service based Contextual Commentaries contained in the **Supplementary Papers**. Some of these are risks which the County Council has managed for many years – such as bad weather (winter maintenance and flooding), increasing demand for services and market pressures on costs and the increasing regulatory requirements relating to the disposal of waste.

13.3 However, it is clear from the details provided in this report that the biggest, single risk is now the combination of an adverse impact on service performance created by the need to make significant savings in key services, and their infrastructure support, allied to the financial risks of these savings not being achieved in the required timescale.

Financial Impact

13.4 As described in **paragraph 14** of this report, the robustness of the estimates and the adequacy of the resources is a measured judgement offered by the S.151 officer. The risks and assumptions inherent in the 2011/12 Budget package are referred to throughout this report.

13.5 These risks will continue into Years 2, 3 and 4, of the MTFS and beyond - an assessment of their potential financial impact in these years has been reflected in the expenditure and funding figures used in **Appendix C** and is expressed at service level in the **Supplementary Papers**.

13.6 Examining the key financial components of the Budget reveals where the financial risks lay. Thus, using a simple High / Medium / Low rating system, **the risk assessment of things NOT going to plan and/or impacting adversely on the finances of the County Council in the future is as follows -**

- **Government Grant** is only fixed for the first 2 of the 4 years covered by the MTFS. On the grounds of prudence the MTFS has used the CSR assumption that grants will reduce by 3% in each of Years 3 and 4 of the MTFS. Every 1% variation in this assumption is equivalent to £1m

H

→ there is no increase in Council Tax proposed for 2011/12 (it is replaced by the Government's new Council Tax freeze grant). The County Council has however assumed a 2.5% Council Tax increase for each of Years 2-4 – this may be subject to change in Years 2 to 4, with a 1% increase or decrease adding or subtracting £2.5m of spending capacity in a single year	M
→ income from fees and charges is potentially more volatile but does not have the same magnitude of financial impact as the loss of grant and / or the level of Council Tax increase – see paragraph 11.19 et seq for details of a review undertaken as part of the Budget process	L/M
→ due to the impact of the CSR/Final Settlement on the level and range of specific grants now receivable, the remainder are not considered as critical in risk terms as in previous years. However for those services still funded wholly or in part by specific grants they should be monitored carefully, particularly if the grant has a fixed life	L/M
→ the level of the General Working Balance (GWB) has been reviewed and the 2% policy target (c£7m) is deemed to be adequate (see paragraph 14.11 et seq for more details). Given the difficult financial times that lay ahead the GWB will need to be monitored carefully with recourse to the Pending Issues Provision if necessary	H
→ the Reserves/Provisions (other than the GWB) have been reviewed and are assessed as adequate for their purpose (see paragraph 14.9 for details). However (*) if they are required to cash flow the Budget shortfall the risk of their reinstatement attracts a High risk assessment	L (H if * applies)
→ regarding the MTFs, major expenditure problems if left unaddressed, would be the impact of the Waste Strategy and the demand for Adult Social Care . This Budget report addresses both issues; if it did not, the MTFs would carry a HIGH risk assessment	L
→ this leaves the annual expenditure budget and the potential for adverse volatility that it contains. Reference has already been made to the robustness of the estimates (see paragraph 14.4 above) and Appendix H refers to the linkage between the budget monitoring arrangements and the GWB. The pressures that exist that may create adverse volatility are as follows –	
<ul style="list-style-type: none"> • single, unpredicted events (eg flood, Winter maintenance) assessed as Medium if the level of the GWB can be maintained 	M
<ul style="list-style-type: none"> • non achievement of the planned recurring savings considered a High risk in terms of impact and Medium in terms of probability 	H/M
<ul style="list-style-type: none"> • unplanned, but eligible demand for services now considered Medium given the arrangements in place for Adult Social Care 	M

- 13.7 **The conclusion from the above risk assessment is that the need to achieve the savings proposals is paramount with a compounding adverse financial impact if they are not achieved. Without a robust review and decision making process to address this issue, the County Council may struggle to balance its Budget without compromising the priorities and objectives in the Council Plan and its accompanying MTFS. The Budget 2 report is therefore seen as equally important as this report in resolving the financial challenge that lies ahead for the County Council.**

Corporate Risk Register

- 13.8 An exercise has also been undertaken to map the proposals in the Budget/MTFS package against the strategic risks reflected in the current Corporate Risk Register. The details of this analysis are presented in **Appendix F**.

14.0 STATUTORY REQUIREMENTS OF THE LOCAL GOVERNMENT ACT 2003 IN RELATION TO BUDGET SETTING AND RESERVES

Background

- 14.1 A full analysis of the requirements of the 2003 Act as it affects the Budget setting process is provided as follows:
- ➔ an explanation of the statutory requirements particularly in relation to Section 25 that relates to the Budget process – see **Appendix G**.
 - ➔ a risk assessment methodology for Balances / Reserves which is also required under Section 25 – see **Appendix H**.
 - ➔ a subsequent review of the County Council's Balances and Reserves – see **Appendix I**.

Section 25

- 14.2 Under the terms of Section 25 of the Local Government Act 2003 the S.151 Officer is required to report to the County Council, at the time when it is making its Precept, on two specific matters viz:
- ➔ **the robustness of the estimates** included in the Budget, and
 - ➔ **the adequacy of the reserves** for which the Budget provides
- 14.3 The County Council then has a statutory duty to have regard to this report from the S.151 officer when making its decisions about the proposed Budget and consequential Precept (see **paragraph 14.16** below for the Section 25 opinion of the S.151 officer).

Robustness of the estimates

- 14.4 In accordance with the principles laid out in **Appendix G**, the Corporate Director – Finance and Central Services has undertaken a full assessment of the County Council's potential financial risks in the period 2011/12 to 2014/15 including:
- ➔ the realism of the Revenue Budget 2011/12 estimates for

- price increases
 - fee / charges income
 - loss/tapering of the remaining specific grants and/or changes to their eligibility requirements
 - provision for demand led services including Waste, Adult social care, Special Educational Needs, Home to School Transport, Highways Winter Maintenance and others
 - the financing costs arising from the Capital Plan; the existing policy decision to establish a cap (at 11%) on the level of capital financing charges as a proportion of the annual Net Revenue Budget provides additional assurance on this aspect of the Budget
 - the impact of current and forecast interest rates on the expected returns from investment of cash balances
 - the probability of achieving the necessary savings targets required to minimise the likely drawdown on Reserves
- ➔ the realism of the Capital Plan estimates in the light of
- the potential for slippage and underspending of the Capital Plan
 - the possible non achievement of capital receipts targets and its implications for the funding of the Capital Plan
- ➔ financial management arrangements including
- the history over recent years of financial management performance
 - the impact on current financial management arrangements of the Budget savings required by Finance and Central Services, whilst at the same time retaining a capability to help achieve the necessary saving targets across the County Council as a whole
- ➔ potential losses including
- claims against the County Council
 - bad debts or failure to collect income
 - major emergencies or disasters
 - contingent or other potential future liabilities

14.5 An assessment has also been made of the ability of the County Council to offset the costs of such potential risks – the MTFS therefore reflects:

- ➔ the provision of a contingency fund in the Corporate Miscellaneous budget
- ➔ specific provisions in the accounts and in earmarked reserves
- ➔ a commitment to maintain the level of the General Working Balance at its 2% policy target level
- ➔ comprehensive insurance arrangements using a mixture of self funding and external top-up cover

- 14.6 Estimates used in the MTFS for the years 2012/13 to 2014/15 are also based on pragmatic assumptions taking into account:
- ➔ future pay and price increases across all services
 - ➔ anticipated further reductions in both specific and general grants in Year 3 and 4 of the MTFS
 - ➔ the impact of the economic situation on future interest rates, the Council Tax taxbase and District Council Collection Fund surpluses
 - ➔ policies and priorities as expressed in the Council Plan and associated Service Plans
 - ➔ the need to plan for the forecast cost impact of the Waste Strategy in the years beyond 2014/15
 - ➔ commitments in terms of demographic changes and other factors that create demand for services (eg adult social care, safeguarding of children)
 - ➔ known changes in legislation and taxation
 - ➔ a risk assessment of the likelihood of the County Council being able to make the spending adjustments necessary in time to balance its MTFS to the levels of funding available. In this regard the Budget 2 report in May 2011 is seen as critical in demonstrating the County Council's commitment to addressing the financial challenges identified in the proposed MTFS
- 14.7 It must be recognised however that whilst these estimates for future years are based on pragmatic assumptions, some elements thereof are subject to a degree of potential variance as actual expenditure in those future years can be significantly affected by factors outside the control of the County Council that occur after the annual Revenue Budget / MTFS is approved. For budgetary control purposes the County Council operates a system of cash limits for each Directorate. With rules permitting the carry forward of under and overspends at each year end, it is accepted that within these yearly cash limits for each Directorate there is an expectation placed on both the Executive Portfolio Holder and the respective Corporate Director that expenditure pressures in one part of their Budget will be managed against underspendings elsewhere and/or across financial year ends.
- 14.8 These cost pressures and variances are monitored on a regular basis and reported, alongside other key performance information, to the Executive on a quarterly basis. The Budget process also provides an annual opportunity to comprehensively review and recalibrate the future years within the MTFS. These monitoring processes will be critical in identifying the progress of the County Council in achieving the saving targets that underpin the proposed MTFS.

Adequacy of Reserves and Provisions

- 14.9 As explained in **Appendix I** (and its associated **Appendix K**) all the current balances and reserves have been examined as to their adequacy and purpose using the methodology/criteria detailed in **Appendix H**.

14.10 Based on this analysis, the Budget proposals reflect:

- (i) the use of the General Working Balance (GWB) to fund unplanned and unavoidable expenditure in 2011/12
- (ii) maintaining the policy target level of 2% for the General Working Balance (see **paragraph 14.11 et seq** below)
- (iii) no specific drawdowns at this stage from the General Working Balance (or any other specific Reserve) to balance the Revenue Budget in 2011/12 but a recognition that, subject to the proposals that will be made in the Budget 2 report, there is a likelihood that funds currently held in Reserves (including the GWB) will be required to balance the 2011/12 Budget. The Budget 2 report will explain how this issue is to be managed so as to minimise the duration of such drawdowns and secure their reinstatement at the earliest opportunity

General Working Balance

14.11 Members will be aware that the MTFs policy in relation to the GWB is to achieve, and then maintain, a level of the GWB equivalent to 2% of the net Revenue Budget by 31 March 2011.

14.12 This policy is accompanied by a set of "good practice rules" (see **Appendix I** for full details). The Executive remains committed to maintaining this target level throughout the MTFs period and recognises that the "rules" are part of the financial discipline required to ensure the County Council achieves that policy aim.

14.13 Taking into account the fact that the value of the net Revenue Budget changes each year, the likely year end figures for the GWB are summarised below (**Appendix J** provides full details of the various +/- impacts on the GWB that arise from the proposals in this report).

Year End Date	MTFS 2010/13		MTFS 2011/15	
	£000	% of Net Revenue Budget	£000	% of Net Revenue Budget
31 March 2010	7,394 °	2.2	7,394 °	2.2
31 March 2011	7,747	2.3	7,361	2.1
31 March 2012	7,747	2.2	7,361	2.0
31 March 2013	7,747	2.2	7,361	2.0
31 March 2014	N/A	N/A	7,361	2.0
31 March 2015	N/A	N/A	7,361	2.0

[Note : * projected ° actual]

- 14.14 On the basis of the GWB at 31 March 2010 (£7.394m) and the projected GWB at 31 March 2011 (£7.361m) it is evident that the County Council is broadly in line with its policy target level of 2%. However, given the residual uncertainties attached to the 2011/12 Revenue Budget, it is essential that this balance is retained. Indeed given the funding pressures referred to in this report maintaining the GWB at its 2% target will be a challenge.
- 14.15 Whilst it is likely that the pressures on the GWB will increase over the duration of the MTFS the Corporate Director – Finance and Central Services is satisfied that the good practice rules (referred to in **paragraph 14.12** above) are in place to ensure that the necessary consequential actions will be taken as and when required.

Section 25 opinion of the Corporate Director – Finance and Central Services

- 14.16 **Taking all these factors and considerations into account the Corporate Director - Finance and Central Services is satisfied that the estimates used in the Revenue Budget 2011/12 and the associated MTFS for 2011/2015, as proposed, are realistic and robust and that the associated level of balances/reserves is adequate within the terms of the approved policy in relation thereto. This opinion has the proviso that should the Budget 2 report not address the outstanding shortfall in recurring savings the S.151 officer reserves the right to review his opinion.**

15.0 DELEGATION ARRANGEMENTS

- 15.1 It is the responsibility of the Executive to ensure the implementation of the Budget once it is agreed by the County Council, and the Officer Delegation Scheme sets out the authority delegated to the Corporate Directors in relation to the implementation of the Budget within their service areas, subject to the Budget and the Policy framework.

16.0 CONCLUSIONS

- 16.1 The biggest financial challenge that lies ahead for the County Council is managing the impact of the significant reductions in levels of grant funding in the years from 2011/12 to 2014/15.
- 16.2 In these circumstances the County Council has a major task in maintaining service delivery at current levels. Despite widespread awareness of the national financial situation, feedback from the consultation process suggests there is little public appetite for reductions in service at local level.

- 16.3 The updating of the Medium Term Financial Strategy has identified a significant gap between spending needs relative to potentially available resources. The challenge therefore facing the County Council for the next 4 years, will be to continue the work on the MTFS so that options to reconsider policies, identify opportunities to reduce costs without effecting performance or service quality etc, can be factored into the Budget cycles for 2012/13 and beyond. Whilst the County Council will continue to seek efficiencies, it is unrealistic to assume that these alone will close the funding gap. There will have to be savings in service budgets with a consequential impact on service delivery.
- 16.4 Notwithstanding these challenges the County Council continues to have robust performance management and financial systems on which it can rely to provide the information necessary to assist the difficult decisions that will be required in the future.

17.0 RECOMMENDATIONS

17.1 That the Executive recommends to the County Council the following:

- (a) in accordance with Section 44 of the Local Finance Act 1992 that for the year beginning 1 April 2011, a Council Tax precept of £245,954k be issued to billing authorities in North Yorkshire, such precept to be paid in instalments on dates to be determined by the billing authorities
- (b) in accordance with Section 43 of the Local Finance Act 1992 that a net Revenue Budget requirement for 2011/12 of £368,670k be approved
- (c) that the financial allocations to each Directorate, various corporate initiatives, and precepts/levies/contributions be as detailed in **Appendix C** and the **Supplementary Papers** to this report, subject to the Corporate Director – Children and Young People’s Service being authorised, in consultation with Executive Members, to take the final decision, in March 2011, on the allocation of the Schools Block

17.2 That the Executive also recommends to the County Council:

- (a) that the arrangements under which additional funds are allocated each year in respect of Social Care for older people and the Waste Strategy are reviewed at least annually
- (b) that the level of budget provision now allocated to concessionary fares (£10m) be reassessed annually in the light of action taken by BES to reduce expenditure on this Budget
- (c) that whilst no specific Value for Money targets are proposed for 2011/12 et seq that the Chief Executive ensures that all Corporate Directors are required to maximise efficiency measures as a way of offsetting the potential funding shortfalls in the MTFs period
- (d) the continuation of the Pending Issues Provision as detailed in **paragraph 11.18**
- (e) that the funding hitherto provided to Areas Committees for the purposes of making grants is discontinued with effect from 2011/12
- (f) that in relation to the Community Fund no further funds are made available from 2011/12 onwards for other than known commitments at this date as detailed in **paragraph 10.3(c)**
- (g) the implementation of the proposed methodology for the allocation of Performance Reward Grant generated under Local Area Agreement 1 as detailed in **paragraph 12.10** et seq
- (h) that the policy target for the level of the General Working Balance be retained at 2% of the net Annual Revenue Budget

17.3 That a further report (Budget 2) be submitted to the Executive at its meeting on 10 May 2011 addressing the matters referred to in **paragraphs 10.9** with proposals for subsequent consideration by the County Council on 18 May 2011.

17.4 That the Executive recommends to the County Council the Medium Term Financial Strategy 2011/2015, and its caveats, as laid out in **Section 10** and **Appendix C**.

- 17.5 That the Executive approves on a provisional basis that the allocation from the General Working Balance in 2010/11 be increased to £2m in relation to anticipated additional expenditure by service directorates (**paragraph 11.3** refers)
- 17.6 The Executive approves the request from Adult and Community Services for the reallocation of £1m from the Pending Issues Provision for Reablement to fund a Team that will undertake a fundamental review of all Social care packages (**paragraph 11.7(b)** refers).
- 17.7 The Executive draws to the attention of the County Council
- (a) the Section 25 assurance statement (and its proviso) provided by the Corporate Director – Finance and Central Services regarding the robustness of the estimates and the adequacy of the reserves (**paragraph 14.16**) and
- (b) the risk assessment of the MTFS detailed in **paragraph 13.6**
- 17.8 That the Executive notes the delegation arrangements referred to in **paragraph 15.1** that authorise the Corporate Directors to implement the Budget proposals contained in this report for their service areas.

RICHARD FLINTON
Chief Executive

JOHN MOORE
Corporate Director – Finance and Central Services

County Hall
Northallerton

3 February 2011

Background Documents

- **Reduction in Grant Funding 2010/11**
Reported to Executive (22 June 2010)
 - **Implementation of the Medium Term Financial Strategy**
Reported to Executive (29 June 2010)
 - **Quarterly Performance and Budget Monitoring Report**
Reported to Executive (16 November 2010)
 - **Provisional Local Government Finance Settlement 2011/12**
Reported to Executive (21 December 2010)
 - **Grant Settlement Working Papers**
 - **Budget / MTFS Working Papers**
 - **Consultation Papers**
 - **Equalities Impact Assessments**
- Contact Steve Knight ext 2101
- Contact Peter Yates ext 2119
- Contact John Moore ext 2531
- Contact Gary Fielding ext 3304
- Contact Josie O'Dowd ext 2591

8 FEBRUARY 2011

**SCHEDULE OF APPENDICES TO REVENUE BUDGET 2011/12
AND MEDIUM TERM FINANCIAL STRATEGY**

Appendix	Title	Cross Reference in main report
A	Grant / Spend / Council Tax Exemption 2011/12 to 2014/15	paragraph 9.1
B	Aggregate spend requirement	paragraph 9.3
C	Medium Term Financial Strategy – Exemption of Directorate spending ➔ 2011 / 12 Sheet A ➔ 2012/ 13 Sheet B ➔ 2013 / 14 Sheet C ➔ 2014 / 15 Sheet D	paragraph 9.5
D	Summary of Pending Issues Provision (PIP)	paragraph 11.8
E	Calculation of Council Tax Precept 2011/12	paragraph 12.2
F	Corporate Risk Register – analysis of impact of MTFS / Budget proposals	paragraph 13.8
G	Statutory Requirements of the Local Government Act 2003 in relation to Budget setting	paragraph 14.1
H	Balances / Reserves – risks assessment methodology	paragraph 14.9
I	Review of Balances / Reserves	paragraph 14.9
J	Projection of General Working Balance	paragraph 14.11
K	Summary of Balances / Reserves	paragraph 14.9

GRANT, SPEND & COUNCIL TAX EXEMPLIFICATION 2011/12 TO 2014/15

(based on a zero Council Tax increase in 2011/12, with full CLG grant support for the loss to NYCC then increases of 2.5% per annum in subsequent years)

	2010/11 Actual £000s	2011/12 Provisional £000s	2012/13 MTFS £000s	2013/14 MTFS £000s	2014/15 £000s
BUDGET REQUIREMENT (BR)					
Start with previous years BR	336240	350001	368670	364155	368517
Increased spend at CT increases of 2.5% pa (2.94% - 2010/11 actual)					
Base transfers into grant (see (i) below)	-89	37352	-1668	0	0
Spend grant increase as per (ii) below	5121	-19455	-9945	-3000	-3000
Increase Council Tax by 0 (zero), 2.5%, 2.5% & 2.5% (2011/12 compensated in spend by grant - see below)	6969	0	6149	6328	6512
Tax base increase	1139	800	1014	1033	1070
Collection Fund surplus variations	621	-28	-64	0	0
	13761	18669	-4514	4361	4582
= Budget Requirement (BR)	350001	368670	364155	368517	373099
= BR %age increase - cash	4.1%	5.3%	-1.2%	1.2%	1.2%
- after base transfers	4.1%	-4.8%	-0.8%	1.2%	1.2%
FORMULA GRANT (RSG)					
Previous year	-99323	-104355	-122252	-110639	-107639
other net transfers to / from formula grant (i)	89	-37352	1668	0	0
=adjusted formula grant per DCLG	-99234	-141707	-120584	-110639	-107639
increase 10/11 actual, then cut in subsequent yrs (ii)	-5121	19455	9945	3000	3000
= total grant	-104355	-122252	-110639	-107639	-104639
Increase on adjusted base per CLG	5.2%	-13.7%	-8.2%	-2.7%	-2.8%
Memo item - grant analysis into 4 block model					
Relative needs (formula - data at service block level)	-109674	-125497	-116806		
Relative Resources (strength of local tax base)	72783	75658	67576		
Central Allocation (balance of Nat Pot on pop basis)	-76676	-53897	-48030		
Damping (to achieve min & max % increases)	9212	2017	6597		
Grants rolled in using tailored distribution		-20533	-19976		
	-104355	-122252	-110639	0	0
COLLECTION FUND SURPLUSES					
	-492	-464	-400	-400	-400
BALANCE FROM COUNCIL TAX					
	245154	245954	253116	260478	268060
TAX BASE					
Gross estimate per DCLG	233843	234590	235530	236470	237420
- costs / losses etc to arrive at Districts forecast	-4758	-4770	-4790	-4810	-4830
= Districts net forecast	229085	229820	230740	231660	232590
+ additional second homes	2744	2765	2780	2790	2800
= total net tax base for Council Tax setting	231828	232585	233520	234450	235390
%age increase in tax base	0.47%	0.33%	0.40%	0.40%	0.40%
COUNCIL TAX					
Band D calculation	£1,057.48	£1,057.48	£1,083.92	£1,111.02	£1,138.79
Increase (2009/10 actual £1,027.30)					
£	£30.18	£0.00	£26.44	£27.10	£27.78
%	2.94%	0.00%	2.50%	2.50%	2.50%
Variations on Council Tax					
1.0%		2460	2469	2541	2615
£1m		0.41%	0.40%	0.39%	0.38%

VARIABLES IN FUNDING LEVELS (2010/11 are actuals)					
Formula Grant	5.2%	-13.7%	-8.2%	-2.7%	-2.8%
Collection Fund surpluses	-492	-464	-400	-400	-400
Tax base growth	0.47%	0.33%	0.40%	0.40%	0.40%
Council tax increase	2.94%	0.00%	2.50%	2.50%	2.50%
MEMO ITEM - COUNCIL TAX FREEZE GRANT					
previous year		0	-6149	-6149	-6149
2.5% on 2010/11 base		-6129	0	0	0
then 2.5% increase pa		0	-154	-157	-161
tax base growth impact		-20	-25	-26	-27
update - maintained at cash level through CSR period			179	183	188
		-6149	-6149	-6149	-6149
year on year increase		-6149	0	0	0

31-Jan-11

AGGREGATE SPEND REQUIREMENT

item	2011/12 £000s	2012/13 £000s	2013/14 £000s	2014/15 £000s	comments
Net budget requirement from previous year	350001	368670	364155	368517	from Appendix A
Inflation	9134	10431	11061	10500	
Additional need allocations					
ACS Social Care	3000	3000	3000	3000	allocation formula to be reviewed annually
ACS Library review	350				to support the Library review
BES Concessionary fares	10000				NYCC takes on responsibility from Districts @ 1/4/11
BES Yorwaste Dividend	800				ongoing dividend shortfall
BES Road repairs one off allocation for 2010/11	-1000				reverses one off allocation in 2010/11 Budget
F&CS ICT WAN	600	400	200	0	to gradually replace capital funding by Revenue Base budget
Corporate Miscellaneous					- approved by Executive in 2010/11 Budget cycle
capital financing	176	-632	-378	-200	mix of capital plan issues and market rates
interest earned	32	-964	-1184		as above
other	-1850	-151	-151		
	12108	1653	1487	2800	
Allocation to Directorates for grants rolled into formula grant or lost altogether	40440	-1154	0		to reinstate Base Budgets for grant losses etc
	411683	379600	376703	381817	

APPENDIX B

MEDIUM TERM FINANCIAL STRATEGY

Exemplification of Directorate Spending

2011/12	Sheet A
2012/13	Sheet B
2013/14	Sheet C
2014/15	Sheet D

SUMMARY ANALYSIS OF YEAR ON YEAR INCREASE IN BUDGET REQUIREMENT 2011/12

VERSION

03 February 2011

Directorate	2010/11	Subsequent	2010/11	Inflation & Cost Pressures		Total	Service Needs		Net Service Needs (i) £000s	Cost Reductions		Net Directorate Budget Requirement (l) £000s	Pending Issues Provision (m) £000s	Net Budget Requirement (n) £000s
	Opening Base Budget (a) £000s	Base Budget Adjustments (b) £000s	Revised Base Budget (c) £000s	Inflation (d) £000s	Waste (e) £000s	Inflation & Cost Pressures (f) £000s	Additional Needs Gross (g) £000s	Grants Rolled into Formula Grant or lost (h) £000s		Recurring (j) £000s	Non-Recurring (k) £000s			
Adult & Community Services	131,437	-279	131,158	2,549		2,549	3,350	25,635	28,985	-7,000		155,692	265	155,957
Business & Environmental Services	68,560	-1,236	67,324	1,624	1,738	3,362	9,800	5,691	15,491	-6,320	-4,000	75,857	1,315	77,172
Children & Young People's Service - (excludes Schools DSG)	79,238	-2,089	77,150	2,342		2,342		8,855	8,855	-8,650		79,697	3,240	82,937
Chief Executive's Group	13,682	100	13,782	237		237		259	259	-1,250		13,028	-371	12,657
Finance & Central Services	15,951	1,362	17,313	332		332	600		600	-1,000	-500	16,745	-793	15,952
Directorate Sub Total -ex- Schools DSG	308,868	-2,141	306,727	7,084	1,738	8,822	13,750	40,440	54,190	-24,220	-4,500	341,019	3,656	344,675
Capital Financing	32,778	-255	32,523			0	176		176			32,698		32,698
Interest Earned on Balances	-1,695		-1,695			0	32		32			-1,663		-1,663
Central Contingency	1,000	-528	472			0	28		28			500		500
Inflation Clawback		1,099	1,099	500		500	-1,099		-1,099			500		500
Insurance Fund Contribution	-3,000		-3,000			0	3,000		3,000			0		0
Contribution to Pension Fund Deficit	0		0	300		300			0			300		300
Pay and Reward Fund	262		262			0			0	-110	-411	-259		-259
Employee Costs	0		0			0			0	-750		-750		-750
Community Fund	780		780			0	200		200	-600		380		380
Area Committee Grants	357		357			0			0	-357		0		0
Other	406	-175	231			0	-779		-779	0		-547	2,500	1,953
Sub-total - Corporate Miscellaneous (excluding PIP)	30,888	141	31,029	800	0	800	1,558	0	1,558	-1,817	-411	31,159	2,500	33,659
Pending Issues Provision - Total	10,245	2,000	12,245	1,250	-1,738	-488	-3,200		-3,200			8,557	-6,156	2,401
Corporate Miscellaneous - Sub Total	41,133	2,141	43,274	2,050	-1,738	312	-1,642	0	-1,642	-1,817	-411	39,716	-3,656	36,060
Council Tax Freeze Grant	0		0			0	-6,149		-6,149			-6,149		-6,149
Overall Total-ex-Schools DSG	350,001	0	350,001	9,134	0	9,134	5,959	40,440	46,399	-26,037	-4,911	374,586	0	374,586
Increased Spend at Council Tax Freeze												Available to spend 2011/12		-368,670
Base Transfer into Grant	0											Savings to be Identified *		-5,916
Council Tax Increase (Freeze in 2011/12)	0											Balance		0
Tax Base Increase	800													
Collection Fund Surplus Variations	-28													
Base Transfers into Grant & Grant Reduction (£104.4 m to £122.2 m)	17,897													
	18,669													
2010/11 Base Budget + additional 2011/12 spend	368,670													

* To be identified in Budget 2 (May 11)

Key to Columns:

- (a) 2010/11 Budget Approved 17 February 2010
- (b) Subsequent Base Budget Adjustments in year
- (c) = (a) + (b)
- (f) = (d) + (e)
- (i) = (g) + (h)
- (l) = (c) + (f) + (i) + (j) + (k)
- (n) = (l) + (m)

APPENDIX C
(SHEET A)

SUMMARY ANALYSIS OF YEAR ON YEAR INCREASE IN BUDGET REQUIREMENT 2012/13

Directorate	2011/12 Base Budget (a) £000s	Funding Reallocations Excluding Non- Recurring PIP (b) £000s	2012/13 Adjusted Base (c) £000s			Total Inflation & Cost Pressures (f) £000s	Service Needs		Net Service Needs (i) £000s	Cost Reductions		Net Directorate Budget Requirement (l) £000s	Pending Issues Provision (m) £000s	Net Budget Requirement (n) £000s
				Inflation (d) £000s	Waste (e) £000s		Additional Needs Gross (g) £000s	Grants Rolled into Formula Grant or lost (h) £000s		Recurring (j) £000s	Non- Recurring (k) £000s			
Adult & Community Services	155,957		155,957	4,102		4,102	3,000		3,000	-9,670		153,389	-311	153,078
Business & Environmental Services	77,172		77,172	1,618	3,364	4,982			0	-1,400	1,000	81,754	-2,365	79,389
Children & Young People's Service - (excludes Schools DSG)	82,937		82,937	2,467		2,467		-1,154	-1,154	-2,960		81,290	-240	81,050
Chief Executive's Group	12,657		12,657	376		376			0	-500		12,533	-115	12,418
Finance & Central Services	15,952		15,952	468		468	400		400	-600	500	16,720	-1,530	15,190
Directorate Sub Total -ex- Schools DSG	344,675	0	344,675	9,031	3,364	12,395	3,400	-1,154	2,246	-15,130	1,500	345,686	-4,561	341,125
Capital Financing	32,698		32,698			0	-632		-632			32,067		32,067
Interest Earned on Balances	-1,663		-1,663			0	-964		-964			-2,627		-2,627
Central Contingency	500		500			0			0			500		500
Inflation Clawback	500		500			0			0			500		500
Contribution to Pension Fund Deficit	300		300	150		150			0			450		450
Pay and Reward Fund	-259		-259			0			0		411	152		152
Employee Costs	-750		-750			0			0			-750		-750
Community Fund	380		380			0	125		125	-25		480		480
Other	1,953		1,953			0	-177		-177	-1,250		526	-2,500	-1,974
Sub-total - Corporate Miscellaneous (excluding PIP)	33,659	0	33,659	150	0	150	-1,647	0	-1,647	-1,275	411	31,297	-2,500	28,797
Pending Issues Provision - Total	2,401	0	2,401	1,250	-3,364	-2,114	-100		-100			187	7,061	7,248
Corporate Miscellaneous - Sub Total	36,060	0	36,060	1,400	-3,364	-1,964	-1,747	0	-1,747	-1,275	411	31,484	4,561	36,045
Council Tax Freeze Grant	-6,149		-6,149			0			0			-6,149		-6,149
Savings to be identified in 2011/12	-5,916		-5,916			0			0			-5,916		-5,916
Overall Total-ex-Schools DSG	368,670	0	368,670	10,431	0	10,431	1,653	-1,154	499	-16,405	1,911	365,106	0	365,106
Increased Spend at C/Tax Increase of 2.5%														
Base Transfers into Grant & Grant Reduction	-11,613													
Increase Council Tax by 2.5%	6,148													
Tax Base Increase	1,014													
Collection Fund Surplus Variations	-64													
	-4,515													
2011/12 Base Budget + additional 2012/13 spend	364,155													
												Available to spend 2012/13		-364,155
												Savings to be Identified		-951
												Balance	*	0

* To be identified in Budget 2 (May 11)

Key to Columns:

- (a) 2011/12 Base Budget
- (c) = (a) + (b)
- (f) = (d) + (e)
- (i) = (g) + (h)
- (l) = (c) + (f) + (i) + (j) + (k)
- (n) = (l) + (m)

APPENDIX C
(SHEET B)

SUMMARY ANALYSIS OF YEAR ON YEAR INCREASE IN BUDGET REQUIREMENT 2013/14

Directorate	2012/13 Base Budget (a) £000s	Funding Reallocations Excluding Non- Recurring PIP (b) £000s	2013/14 Adjusted Base (c) £000s			Total Inflation & Cost Pressures (f) £000s	Service Needs Additional Needs Gross (g) £000s	Net Service Needs (h) £000s	Cost Reductions		Net Directorate Budget Requirement (k) £000s	Pending Issues Provision (l) £000s	Net Budget Requirement (m) £000s
				Inflation (d) £000s	Waste (e) £000s				Recurring (i) £000s	Non- Recurring (j) £000s			
Adult & Community Services	153,078		153,078	4,208		4,208	3,000	3,000	-3,760		156,526		156,526
Business & Environmental Services	79,389		79,389	1,856	882	2,738		0	-1,690	3,000	83,437	-723	82,714
Children & Young People's Service - (excludes Schools DSG)	81,050		81,050	2,682		2,682		0	-1,340		82,392	-3,000	79,392
Chief Executive's Group	12,418		12,418	329		329		0	-200		12,547		12,547
Finance & Central Services	15,190		15,190	436		436	200	200	-300		15,526	-200	15,326
Directorate Sub Total -ex- Schools DSG	341,125	0	341,125	9,511	882	10,393	3,200	3,200	-7,290	3,000	350,428	-3,923	346,505
Capital Financing	32,067		32,067			0	-378	-378			31,689		31,689
Interest Earned on Balances	-2,627		-2,627			0	-1,184	-1,184			-3,811		-3,811
Central Contingency	500		500			0		0			500		500
Inflation Clawback	500		500			0		0			500		500
Contribution to Pension Fund Deficit	450		450	300		300		0			750		750
Pay and Reward Fund	152		152			0		0			152		152
Employee Costs	-750		-750			0		0			-750		-750
Community Fund	480		480			0	325	325	-300		505		505
Other	-1,974		-1,974			0	-176	-176			-2,150		-2,150
Sub-total - Corporate Miscellaneous (excluding PIP)	28,797	0	28,797	300	0	300	-1,413	-1,413	-300	0	27,384	0	27,384
Pending Issues Provision - Total	7,248	0	7,248	1,250	-882	368	-300	-300	0		7,316	3,923	11,239
Corporate Miscellaneous - Sub Total	36,045	0	36,045	1,550	-882	668	-1,713	-1,713	-300	0	34,700	3,923	38,623
Council Tax Freeze Grant	-6,149		-6,149			0		0			-6,149		-6,149
Savings to be Identified in 2011/12 and 2012/13	-6,867		-6,867			0		0			-6,867		-6,867
Overall Total-ex-Schools DSG	364,155	0	364,155	11,061	0	11,061	1,487	1,487	-7,590	3,000	372,113	0	372,113
Increased Spend at C/Tax Increase of 2.5%											Available to spend 2013/14		-368,516
Base Transfer into Grant	0										Savings to be Identified *		-3,596
Grant Reduction (-x%)	-3,000										Balance		0
Increase Council Tax by 3.0%	6,328												
Tax Base Increase	1,033												
Collection Fund Surplus Variations	0												
	4,362												
2012/13 Base Budget + additional 2013/14 spend	368,516												

* To be identified in Budget 2 (May 11)

Key to Columns:

- (a) 2012/13 Base Budget
- (c) = (a) + (b)
- (f) = (d) + (e)
- (h) = (g)
- (k) = (c) + (f) + (h) + (i) + (j)
- (m) = (k) + (l)

SUMMARY ANALYSIS OF YEAR ON YEAR INCREASE IN BUDGET REQUIREMENT 2014/15

Directorate	2013/14 Base Budget (a) £000s	Funding Reallocations Excluding Non- Recurring PIP (b) £000s	2014/15 Adjusted Base (c) £000s			Total Inflation & Cost Pressures (f) £000s	Service Needs Additional Needs Gross (g) £000s	Net Service Needs (h) £000s	Cost Reductions		Net Directorate Budget Requirement (k) £000s	Pending Issues Provision (l) £000s	Net Budget Requirement (m) £000s
				Inflation (d) £000s	Waste (e) £000s				Recurring (i) £000s	Non- Recurring (j)			
Adult & Community Services	156,526		156,526			0	3,000	3,000	-160		159,366		159,366
Business & Environmental Services	82,714		82,714		8,078	8,078		0	-1,860		88,932		88,932
Children & Young People's Service - (excludes Schools DSG)	79,392		79,392			0		0	-2,400		76,992		76,992
Chief Executive's Group	12,547		12,547			0		0	-50		12,497		12,497
Finance & Central Services	15,326		15,326			0	0	0	-200		15,126		15,126
Directorate Sub Total -ex- Schools DSG	346,505	0	346,505	0	8,078	8,078	3,000	3,000	-4,670	0	352,913	0	352,913
Capital Financing	31,689		31,689			0	-200	-200			31,489		31,489
Interest Earned on Balances	-3,811		-3,811			0		0			-3,811		-3,811
Central Contingency	500		500			0		0			500		500
Inflation Clawback	500		500			0		0			500		500
Contribution to Pension Fund Deficit	750		750			0		0			750		750
Pay and Reward Fund	152		152			0		0			152		152
Employee Costs	-750		-750			0		0			-750		-750
Community Fund	505		505			0		0			505		505
Other	-2,150		-2,150			0		0			-2,150		-2,150
Sub-total - Corporate Miscellaneous (excluding PIP)	27,384	0	27,384	0	0	0	-200	-200	0	0	27,184	0	27,184
Pending Issues Provision - Total	11,239	0	11,239	1,250	-8,078	-6,828		0	0		4,411		4,411
Corporate Miscellaneous - Sub Total	38,623	0	38,623	1,250	-8,078	-6,828	-200	-200	0	0	31,595	0	31,595
Council Tax Freeze Grant	-6,149		-6,149			0		0			-6,149		-6,149
Savings to be Identified in 2011/12, 2012/13 and 2013/14	-10,463		-10,463	9,250		9,250		0	0		-1,213		-1,213
Overall Total-ex-Schools DSG	368,517	0	368,517	10,500	0	10,500	2,800	2,800	-4,670	0	377,147	0	377,147
Increased Spend at C/Tax Increase of 2.5%													
Base Transfer into Grant													
Grant Reduction (-x%)	-3,000												
Increase Council Tax by 3.0%	6,512												
Tax Base Increase	1,070												
Collection Fund Surplus Variations													
	4,582												
2013/14 Base Budget + additional 2014/15 spend	373,099												

Available to spend 2014/15		-373,099
Savings to be Identified *		-4,048
Balance		0

* To be identified in Budget 2 (May 11)

Key to Columns:
(a) 2013/14 Base Budget
(c) = (a) + (b)
(f) = (d) + (e)
(h) = (g)
(k) = (c) + (f) + (h) + (i) + (j)
(m) = (k) + (l)

PENDING ISSUES PROVISION

Items	Directorate	Date Approved By Executive	2008-09	2009-10	2010-11	2011-12	2012/13	2013/14	2014/15	2015/16	Total
			£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
FUNDING - WASTE ALLOCATIONS											
Initial Budget Allocations			3,314	8,505	14,394	14,394	14,394	14,394	14,394	14,394	98,183
Budget Allocation Rounded Up					106	106	106	106	106	106	636
Add DCLG Flood Restoration Fund Grant	n/a	n/a	231								231
Proposed Inflation Added to Base - Waste Allocation 2010/11					1,250	1,250	1,250	1,250	1,250	1,250	7,500
Proposed Inflation Added to Base - Waste Allocation 2011/12						1,250	1,250	1,250	1,250	1,250	6,250
Proposed Inflation Added to Base - Waste Allocation 2012/13							1,250	1,250	1,250	1,250	5,000
Proposed Inflation Added to Base - Waste Allocation 2013/14								1,250	1,250	1,250	3,750
Proposed Inflation Added to Base - Waste Allocation 2014/15									1,250	1,250	2,500
Carry Forward Not Allocated in 2008/09			-1,021	1,021							-
Carry Forward Not Allocated in 2009/10				503	503						-
Allocations to Fund Waste Strategy 2010/11					-2,277	-2,277	-2,277	-2,277	-2,277	-2,277	-13,662
Allocations to Fund Waste Strategy 2011/12						-1,738	-1,738	-1,738	-1,738	-1,738	-8,690
Allocations to Fund Waste Strategy 2012/13							-3,364	-3,364	-3,364	-3,364	-13,456
Allocations to Fund Waste Strategy 2013/14								-882	-882	-882	-2,646
Allocations to Fund Waste Strategy 2014/15									-8,078	-8,078	-16,156
Allocations to Fund Waste Strategy 2015/16										-1,079	-1,079
Contribution from the Community Fund 2010/11					600						600
Contribution from the Community Fund 2011/12						400					400
Contribution from the Community Fund 2012/13							300				300
Contribution from the Community Fund - Carry forward Balance of Funds					277						277
Contribution from Insurance Reserve					3,000						3,000
Funding Available		(a)	2,524	9,023	17,853	13,385	11,171	11,239	4,411	3,332	72,938

APPENDIX D (PAGE 1 OF 2)

PENDING ISSUES PROVISION

Items	Directorate	Date Approved By Executive	2008-09	2009-10	2010-11	2011-12	2012/13	2013/14	2014/15	2015/16	Total
			£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
PROJECT ALLOCATIONS											
Schools Capital	CYPS	27/05/2008			0	-3,000	-3,000				-6,000
Radio Frequency Identification	ACS	02/09/2008	-418								-418
Library in a Box	ACS	02/09/2008	-75	-75							-150
Electronic Home Care Monitoring / Rostering System	ACS	02/09/2008		-200							-200
Swift Development Project	ACS	02/09/2008	-46	-99	-46						-191
Replacement of remaining concrete street lighting columns	BES	02/09/2008		-1,500	-1,500	-3,000					-6,000
ICT - Additional resources for system development	F&CS	02/09/2008	-100	-200	-150						-450
Data Encryption	F&CS	02/09/2008	-365								-365
Customer Service Centre	CEG	02/09/2008	-190	-10	-10						-210
Footways	BES	23/09/2008	-200	-800							-1,000
Northallerton - Bright Office Strategy	BOS (FCS)	02/12/2008	-240		-1,450						-1,690
Skipton - Bright Office Strategy	BOS (FCS)	02/12/2008		-500							-500
Library Stock Procurement	ACS	06/01/2009	-42								-42
HR (Systems Changes)	CEG	06/01/2009	-270	-562	-49						-881
Gypsy Site Refurbishment - grant top-up	F&CS	06/01/2009	-206								-206
Contribution to Citizen's Advice Bureaux	ACS	07/04/2009		-150							-150
STIC - Corporate Infrastructure, including Project Team	F&CS	08/09/2009		-504	-323	-510					-1,337
HR System	CEG	08/09/2009		-147	-427	-115					-689
STIC 2012-13 Provision	F&CS	08/09/2009				-525					-525
STIC 2013-14 Provision	F&CS	08/09/2009				-295					-295
Allocation to BES for Bedale Bypass - Fees I	BES	27/05/2008	-198								-198
Bedale Bypass - Fees II	BES	02/12/2008	-174	-1,778	-273						-2,225
Bedale Bypass - allocations to achieve conditional approval for the scheme	BES	29/09/2009				-259					-259
Bedale Bypass - Adjustments to Reflect Q3 2010/11 Projected Outturn Reports	BES	N/A			552	171	-723				0
WAN Allocations	F&CS	17/11/2009		-2,000	-600	-400	-200				-3,200
Self Issue Technology within Libraries (Equipment and Tagging of Books)	ACS	02/02/2010			-175	-95					-270
Transitional Workers	ACS	02/02/2010			-124	-124					-248
Brokerage Capacity	ACS	02/02/2010			-92	-92					-184
Telecare	ACS	02/02/2010			-300	0					-300
Harrogate Bright Office Strategy	BOS (FCS)	02/02/2010			-1,205						-1,205
Yorwaste Dividend Shortfall Allocation 09-10	BES	22/06/2010		-498							-498
Allocation to Offset Yorwaste Dividend Shortfall 10-11	BES	N/A			-1,573						-1,573
Winter Maintenance Reserve	BES	24/08/2010			-1,500						-1,500
Redundancy	Corp Miscellaneous	24/08/2010			-2,500	-2,500					-5,000
CYPS ICT Transformation Projects	CYPS	16/11/2010			-275	-240					-515
Reablement	ACS	02/02/2010			-3,678	* 2,783	^ -646				-7,107
Reablement - Adjustments to Reflect Q2 2010/11 Projected Outturn Reports	ACS	N/A			2,998	{ -1,525	{ -1,473				0
PROJECT ALLOCATIONS TO DATE		(b)	-2,524	-9,023	-12,700	-15,292	-6,042	0	0	0	-45,581
Remaining Allocation		(c = a - b)	-	0	5,153	-1,907	5,129	11,239	4,411	3,332	27,357
Provisional allocation for initial estimates of additional STIC-related projects and priorities						X -403					-403
STIC 2012-13 Provision						X -460					-460
STIC 2013-14 Provision						X -22					-22
ADJUSTED REMAINING ALLOCATION		(d)	0	0	5,153	-2,792	5,129	11,239	4,411	3,332	26,472
RECONCILE BACK TO CORPORATE MISCELLANEOUS BUDGETS											
REABLEMENT						* 4,308	^ 2,119				
STIC PROVISIONAL ALLOCATIONS STILL TO BE APPROVED BY EXECUTIVE						X 885					
09/10 PIP UNDERSPENDS CARRIED FORWARD					-503						
COMMUNITY FUND UNDERSPENDS CARRIED FORWARD AND REALLOCATED TO PIP					-277						
2010/11 PIP FUNDED SCHEMES WHERE BUDGET WAS TRANSFERRED IN REVISED ESTIMATE ONLY					7,872						
CORPORATE MISCELLANEOUS BASE BUDGET					12,245	2,401	7,248	11,239	4,411		

APPENDIX D (PAGE 2 OF 2)

APPENDIX E

CALCULATION OF COUNCIL TAX PRECEPT 2011/12

1. Based on the Government's Final Grant Settlement figures announced on 31 January 2011 and a Council Tax increase of zero, the Council Tax and Precept position is set out below:-

	£000s
Budget Requirement	368,670
- proceeds from Non Domestic Rates (NDR) and Revenue Support Grant (RSG) based on Final Settlement	
Non Domestic Rates	-93,386
RSG	-28,866
- County Council's share of Collection Fund surpluses notified by District Councils	- 464
= Council Tax Precept to be collected on the County Council's behalf by the North Yorkshire District Councils acting as billing authorities	245,954

2. To produce a Council Tax per property, the amount required to be levied has to be divided by a figure representing the 'relevant tax base'. For the County Council, this figure is the aggregate of the 'relevant tax bases' of each of the seven District Councils.
3. Each District Council prepares an estimate of its 'relevant tax base' expressed as the yield from a Council Tax levy of £1 as applied to an equivalent number of Band D properties. This calculation takes into account the number of properties eligible for a single person discount, reductions for the disabled, anticipated property changes during the year and the extent to which a 100% recovery rate may not be achieved.
4. The following information has been received from the District Councils:-

<i>Authority</i>	<i>Council Tax Base (equivalent number of Band D properties)</i>
Craven	22,342.33
Hambleton	36,118.76
Harrogate	62,221.99
Richmondshire	19,356.70
Ryedale	21,022.74
Scarborough	41,544.40
Selby	29,978.00
Total	232,584.92

5. Using the above information the County Council's equivalent Council Tax precept for a Band D property would be as follows:

<u>Council Tax Total Precept</u>		<u>£245,954k</u>
Relevant Tax Base		232,584.92
@ Band D	=	£1,057.48

6. Using the appropriate 'weightings' for other property bands as determined by statute, the Council Tax precept for each property would be as follows:-

Band	2010/11 £ p	2011/12 £ p
A	704.99	704.99
B	822.48	822.48
C	939.98	939.98
D	1,057.48	1,057.48
E	1,292.48	1,292.48
F	1,527.47	1,527.47
G	1,762.47	1,762.47
H	2,114.96	2,114.96
		= no increase

(All figures are rounded to the nearest penny).

31 January 2011

CORPORATE RISK REGISTER 2010 – ANALYSIS OF IMPACT OF MTFS / BUDGET PROPOSALS

RISK		
1	Failure to deliver the Waste Strategy	The MTFS includes funding sufficient to finance the Waste Strategy as the various components are implemented. The biggest single variable will be the cost of the PFI contract, but the funding referred to above does accommodate the Affordability Limit of that scheme.
2	Lack of adequate resources in the current MTFS period (2010/13) and beyond. In response, inability to pull together a budget reduction programme balanced to available resources and to deliver the budget reductions in necessary timescales. This results in failure to balance budget, potential distortion of priorities and public dissatisfaction.	The biggest financial challenge (and therefore risk) in the new MTFS is the need to achieve the savings targets, both in terms of their absolute value and their timing. Any shortfall in either will create a necessity to drawdown further on Reserves which, of themselves, will need to be subsequently reinstated (thereby creating the need for further savings).
3	Failure to plan or respond effectively to major emergencies in the community eg terrorist incidents/alerts, flooding, major transport network disruption resulting in ineffective response, citizen harm, waste of resources and public criticism.	The Emergency Planning Unit (EPU) continues to contribute, with partners, to the NYLRF framework that addresses emergencies in the Community. Much of this work also benefits the development of a comprehensive Service Continuity Plan within the County Council. Although initial emphasis has been on response plans for Services the work of the EPU is now concentrating on generic matters (eg failures of IT, property availability, etc) and meshing these with other initiatives in the County Council (eg the Bright Office Strategy).

RISK

4	Lack of capacity and focus on maintaining and/or enhancing service performance levels resulting in poorer service delivery, public dissatisfaction, criticism and lost opportunities.	The Management Board is acutely aware of the challenge that making spending cuts creates in terms of maintaining service performance levels, etc. An Organisational Change Programme is being initiated and resourced with the intention of streamlining the generic business processes within the County Council. Ensuring that performance levels are monitored, complaints addressed, etc, will be a key feature of this process.
5	Failure to adequately review existing partnership arrangements resulting in ineffective outcomes and/or missed opportunities to enhance service delivery and community benefits.	A thorough review of the purpose, governance, and performance contribution of Partnerships has been conducted. Management Board will continue to review the “status” of all Partnerships to ensure that the application of resources (particularly £ and staff time) are only continued if there is “value added” for the County Council.

STATUTORY REQUIREMENTS OF THE LOCAL GOVERNMENT ACT 2003 IN RELATION TO BUDGET SETTING

- 1.1 Sections 25 to 28 of Part 2 of the Local Government Act 2003 define a series of duties and powers that give statutory support to important aspects of good financial practice in local government. For the most part they require certain processes to be followed but leave the outcome of those processes to the judgement of individual local authorities. The following paragraphs explain these provisions and provide an analysis (*in italics*) of the current position in the County Council.
- 1.2 **Section 25** requires the Chief Financial Officer (CFO) to submit a formal report to the authority regarding the **robustness of the estimates** included in the Budget and the **adequacy of the reserves** for which the Budget provides.
- 1.3 Section 25 requires the report to be made to the authority when the decisions on the Council Tax Precept are formally being made. However, Members will appreciate that those decisions are taken at the conclusion of a detailed and prolonged process involving consideration of the draft Budget by various parts of the organisation including the Executive, Members and the Management Board. The CFO has to ensure that appropriate information and advice is given at all stages on what would be required to enable a positive opinion to be given in his formal report.
- 1.4 *The Budget process of the County Council has consistently been scored as a 3 out of 4 in the CPA/CAA Use of Resources assessments. This process has been further refined in recent years by:*
- (a) *incorporating detailed work on comparative unit costs etc to ensure that the County Council is achieving value for money*
 - (b) *establishing clear links between budget provision and the various performance indicators used in each service area*
 - (c) *the development of the Quarterly Performance and Budget Monitoring Report submitted to Executive to include not only financial but also performance data, HR statistics, data relating to progress on the LAA and VFM plans and Treasury Management*

1.5 *In addition all County Council Members receive (via reports, workshops, etc) full details of every aspect, at key stages, of the Budget process that concludes in the precept calculation – this continues. The Corporate Director – Finance and Central Services will report formally to the County Council in February 2011 (as he did in February 2010 regarding the 2010/11 Budget), regarding the **robustness of the estimates** and the **adequacy of balances** relating to the Budget 2011/12. Regarding robustness of the estimates this will be an opinion based on the detailed nature not only of the Budget preparation process but also the Budget monitoring work that goes on continuously throughout the year. The methodology for assessing the adequacy of balances is referred to in more detail in **Appendix H** whilst **Appendix I** demonstrates how these Best Practice principles have been applied in the County Council and the proposals that emerge for inclusion in the Budget report.*

1.6 **Section 26** gives the **Secretary of State the power to set a minimum level of reserves for which an authority must provide in setting its Budget**. The minimum would apply to “controlled reserves”, as defined in Regulations. The intention in defining controlled reserves would be to exclude reserves that are not under the authority’s control when setting its call on Council Tax, eg schools balances.

1.7 It was made clear throughout the Parliamentary consideration of these provisions that Section 26 would only be used where there were grounds for serious concern about an individual authority. The Minister said in the Commons Standing Committee debate on 30 January 2003:

“The provisions are a fallback against the circumstances in which an authority does not act prudently, disregards the advice of its CFO and is heading for serious financial difficulty. Only in such circumstances do we envisage any need for intervention.”

There is no intention to make permanent or blanket provision for minimum reserves under these provisions. Indeed, the Government has made no attempt to so far to define minimum reserves.

1.8 **Section 27** defines in more detail the responsibility of the CFO in reporting on the inadequacy of reserves in an authority where a Section 26 minimum requirement has been imposed.

1.9 *Provided the County Council acts prudently and takes into account the advice of the Corporate Director – Finance and Central Services regarding the level of reserves it is unlikely that the County Council will find itself in a position of being subject to a Section 26 determination. The examination of balances/reserves during the Budget process and the monitoring thereof that takes place (and is reported quarterly to the Executive) provides the County Council with every opportunity to take remedial action should any problems emerge that are likely to undermine the Medium Term Financial Strategy.*

1.10 **Sections 26/27 therefore have no direct relevance to the County Council at this time.**

- 1.11 **Section 28** concerns **Budget monitoring arrangements**. Essentially, an authority is required to review during the course of a financial year the planned levels of reserves incorporated in the earlier annual tax/precept setting calculations. If, as a result of such an in year review it appears that there is a deterioration in the financial position, the authority must take whatever action it considers appropriate to deal with the situation.
- 1.12 *As indicated above the Executive receives details of the position on reserves as part of the Quarterly Performance and Budget Monitoring Report. Provision also exists within the Financial Procedure Rules for further reports to be submitted if and when necessary should financial circumstances deteriorate between the quarterly reporting dates such that immediate action in relation to reserves, etc, is required.*

Balances/Reserves

- 1.13 One of the clear pointers from Sections 25/28 is the need for a transparent and formal assessment of the adequacy of balances/reserves.
- 1.14 *A full explanation of this requirement and a description of the work undertaken in the Budget process is provided in **Appendices H and I** respectively.*

BALANCES / RESERVES – RISK ASSESSMENT METHODOLOGY

Introduction

- 1.1 This Paper considers the Statutory requirements and Best Practice Guidance relating to Reserves/Balances published by CIPFA in 2003 and explains the methodology used to assess the adequacy of the current reserves now proposed as part of the Medium Term Financial Strategy, and Revenue Budget 2011/12.
- 1.2 The following paragraphs explain these considerations and provide an analysis (*in italics*) of the position in the County Council.

2.0 Specific Statutory Requirements

- 2.1 The requirement for financial reserves is acknowledged in statute. Sections 32 and 43 of the Local Government Finance Act 1992 require billing and **precepting authorities in England and Wales to have regard to the level of reserves needed for meeting estimated future expenditure when calculating their budget requirement.**
- 2.2 There are also a range of safeguards in place that militate against local authorities over-committing themselves financially. These include:
 - the requirement to set a balanced budget
 - s114 powers of the Chief Finance Officer (CFO)
 - the external auditor's responsibility to review and report on financial standing.
- 2.3 As evidenced by the Audit Commission's annual reports on external audits of local authorities in England and Wales the balanced budget requirement is sufficient discipline for the vast majority of local authorities. This requirement is reinforced by **section 114 of the Local Government Finance Act 1988 which requires the CFO to report to all the authority's councillors if there is, or is likely to be, unlawful expenditure or an unbalanced budget.** The issue of a section 114 notice cannot be taken lightly and has serious operational implications. Indeed, the authority's full council must meet within 21 days to consider an s114 notice issued by their CFO.
- 2.4 Whilst it is primarily the responsibility of the local authority and its CFO to maintain a sound financial position, external auditors have a responsibility to review the arrangements in place to ensure that financial standing is soundly based. In the course of their duties external auditors review and report on the level of reserves taking into account their local knowledge of the authority's financial performance over a period of time. However, it is **not the responsibility of auditors to prescribe the optimum or minimum level of reserves for individual authorities or authorities in general.**

- 2.5 *In relation to the 2011/12 Budget/MTFS proposals there may be concerns that the Revenue Budget for 2011/12 has been balanced by the use of contributions from Reserves; this situation is addressed in **paragraph 10.6 (b)** of the main report. All drawdowns of Reserves in previous years have been repaid in the subsequent Budget cycle. In addition **paragraph 11.1** of the main report refers to the pressure on the GWB in 2010/11 due to the spending needs in certain service areas and to the adverse weather conditions experienced in December 2010/ January 2011.*
- 2.6 The introduction of the **prudential approach to capital investment has reinforced these safeguards**. The Prudential Code requires the CFO to have full regard to affordability when presenting recommendations about a local authority's future Capital Plan. Such consideration will also include the level of long term revenue commitments. Indeed, in considering the affordability of its Capital Plan the authority will be required to consider all of the resources currently available to it, and estimated for the future, together with the totality of its capital expenditure and revenue forecasts for the forthcoming year and the following two years. The development of multi year revenue forecasts by local authorities will inevitably attract greater attention to the levels and application of balances and reserves.
- 2.7 *In relation to capital financing generated by Capital Plan expenditure, this is now subject to a local cap of 11% of the net Annual Revenue Budget. This cap can only be exceeded by a specific policy decision by Members to reset the level of the cap. This is fully explained in the separate but accompanying reports on Treasury Management and the Prudential Indicators.*
- 2.8 *The 4 year MTFS proposed includes projections of the impact on Reserves, over that period (see **Appendices J and K**).*
- 3.0 **The Role of the Chief Finance Officer**
- 3.1 Prior to the Local Government Act 2003, it was already the responsibility of the CFO to advise a local authority about the level of reserves it should hold and to ensure that there were clear protocols for the establishment and use thereof. Sections 25/28 (as described in **Appendix G**) now underline this responsibility and formalise the way in which **Members must consider reserves as part of the Budget process (and monitor their adequacy thereafter)**.
- 3.2 Local authorities, on the advice of their CFOs, must make their own judgements on such matters taking into account all the relevant local circumstances. Such circumstances vary. A well-managed authority, for example, with a prudent approach to budgeting should be able to operate with a relatively low level of general reserves. There is therefore a broad range within which authorities might reasonably operate depending on their particular circumstances - hence the reference in **paragraph 2.4** above as to the lack of any specific advice/guidance about optimum or minimum levels of reserves.
- 3.3 *All the comparative evidence that is available suggests that the County Council has a lower level of Reserves than most of authorities of its type.*

4.0 Types of Reserves

4.1 When reviewing its Medium Term Financial Strategy and preparing the annual Budget, a local authority should consider the establishment and maintenance of reserves. These are held for three main purposes:

- a working balance to help cushion the impact of uneven cash flows and avoid unnecessary temporary borrowing – this usually forms part of a **general reserve**
- a contingency to cushion the impact of unexpected events or emergencies – this may form part of the general reserve or be held as a specific **contingency fund** within the annual Budget.
- a means of building up funds, often referred to as **earmarked reserves**, to meet known or predicted liabilities.

4.2 The most commonly established earmarked reserves are listed below. In each case the NYCC position is referred to in italics.

Category of earmarked reserve	Rationale
Sums set aside for major schemes, such as capital developments or asset purchases, or to fund major reorganisations	Where expenditure is planned in future financial years, it is prudent to build up specific reserves in advance. <i>The Pending Issues Provision and its eventual use to fund the Waste Strategy.</i>
Insurance reserves	Self insurance is a mechanism used by many local authorities. In the absence of any statutory basis sums held to meet potential and contingent liabilities are reported as earmarked reserves. <i>The Self Insurance Fund is used to reduce the cost of external insurance by funding small claims and the larger excesses.</i>
Reserves of trading and business units	Surpluses arising from in-house trading may be retained to cover potential losses in future years, and/or to finance specific service improvements, re-equipping etc. <i>A number of services operate as trading units, particularly in relation to schools.</i>

Category of earmarked reserve	Rationale
Reserves retained for service use	<p>Increasingly authorities have internal protocols that permit year-end underspendings at service level to be carried forward.</p> <p><i>Specific reserves are permitted on a time limited and/or purpose specific basis.</i></p> <p><i>The year end under/over spending by a Directorate is allowed to be carried forward to the following year.</i></p>
School balances	<p>These are the unspent balances of budgets delegated to individual schools.</p> <p><i>Under LMS Regulations all schools have balances that are for practical purposes, not part of the County Council.</i></p>

4.3 For each reserve held by a local authority there should be a clear protocol setting out:

- the reason for/purpose of the reserve
- how and when the reserve can be used
- procedures for the management and control of the reserve
- a process and timescale for review of the reserve to ensure its continuing relevance and adequacy.

4.4 *As the table above shows, the County Council operates each of the types of reserve referred to in **paragraph 4.1** above – the protocols referred to in **paragraph 4.3** above are also in operation (see **Appendix I**).*

5.0 Principles to assess the adequacy of the General Reserve (= General Working Balance)

5.1 In order to assess the adequacy of the unallocated/general reserve when setting the Budget, a CFO should take account of the strategic, operational and financial risks facing the authority. The financial risks should be assessed in the context of the authority's overall approach to risk management.

5.2 Setting the level of the general reserve is just one of several related decisions in the formulation of the Medium Term Financial Strategy, and the Revenue Budget for a particular year. Account should be taken of the key financial assumptions underpinning the Budget alongside a consideration of the authority's financial management arrangements. In addition to the cash flow requirements of the authority the following factors should be considered:

Budget assumptions	Financial standing and management
The treatment of inflation and interest rates	The overall financial standing of the authority (level of borrowing, loan debt outstanding, debtor/creditor levels, net cash flows, contingent liabilities)
The treatment of demand led pressures on service budgets and/or address long term trends for additional funding	The authority's capacity to manage in-year budget pressures
The achievability and timing of planned savings / efficiency gains	The strength of the financial information and reporting arrangements as well as the viability of the Plan(s) designed to achieve the savings, etc
The financial risks inherent in any significant new partnerships, major outsourcing arrangements or major capital developments	The authority's virement and end of year procedures in relation to budget under/overspends at authority and service level
The availability of other funds to deal with major contingencies and the adequacy of provisions	The adequacy of the authority's insurance arrangements to cover major unforeseen risks
Estimates of the level and timing of capital receipts	The authority's track record in budget and financial management including the robustness of the medium term plans

- 5.3 These factors can only be assessed properly at local level. A considerable degree of professional judgement is required. The CFO may choose to provide advice on the level of balances in absolute terms (ie £x) and/or as a percentage of total (or net) budget so long as that advice is tailored to the circumstances of the authority for that particular year.
- 5.4 The advice should be set in the context of the authority's Medium Term Financial Strategy and should not focus exclusively on short-term considerations. Balancing the annual Budget by drawing on general reserves may be viewed as a legitimate short-term option. However, where reserves are to be deployed to finance recurrent expenditure this should be made explicit. Advice should therefore be given on the adequacy of reserves over the lifetime of the Medium Term Financial Strategy.
- 5.5 *The County Council has a longstanding target for its General Working Balance (GWB) of 2% of the net annual Budget – in current terms this equates to approximately £7m.*

- 5.6 *The main purpose of the GWB is to fund unforeseen, one-off events (eg floods, bad winters, unavoidable service overspends)). The target level of the GWB is set at 2% given the assessment of the adequacy of funds in the Revenue Budget and MTFs, as defined in **paragraphs 14.4 to 14.10 of the main report.***
- 5.7 *The County Council found itself in the unusual position of having to drawdown from the GWB in 2009/10 to balance the Revenue Budget. The position was rectified in 2010/11 when the Budget was fully funded by recurring resources. However, a combination of the economic recession, unforeseen service pressures and bad winters have placed additional demands on the GWB in 2009/10 and 2010/11 (see **Appendix I** for further details).*
- 5.8 *There is also an unfunded shortfall of recurring savings in the 2011/12 Revenue Budget that is addressed in **paragraph 10.6 (b) of the main report.***

6.0 **CAA Framework**

- 6.1 An added impetus to the process of formally assessing and monitoring the level of reserves was been provided by the Use of Resources (UoR) component of the CAA process.
- 6.2 Within the UoR assessment framework there was specific reference to the level of reserves held, their purpose and their materiality relative to such issues as overall levels of annual expenditure, provision of earmarked reserves, etc.
- 6.3 The CFO should, therefore, clearly have had regard to the CAA assessment criteria in relation to reserves when formulating his recommendation to the authority.
- 6.4 The subject of reserves has been part of the “Managing Finances” component of the CAA UoR assessment - the County Council scored 3 out of 4 for this component in the 2009 UoR assessment, and the Auditors feedback stated –
- “The Authority has a strong track record of maintaining spend within budgets, reserves are maintained in line with the risk based policy and there is no evidence of reliance on short term measures.”
- 6.5 *Although the CAA process has been discontinued it provided a momentum to ensure Best Practice was adopted. The adoption of the Best Practice referred to in this Paper and the ongoing transparency regarding the role of Reserves/Balances in the financial management of the County Council should continue to satisfy the Audit Commission on this particular matter.*

7.0 **Monitoring/Reporting Framework**

- 7.1 The CFO has a fiduciary duty to local taxpayers, and must be satisfied that the decisions taken on balances and reserves represent proper stewardship of public funds.

7.2 Under Sections 25/28 of the Local Government Act 2003 the level and utilisation of reserves will have to be determined formally by the Council, informed by the advice and judgement of the CFO (see **Appendix G**). To enable the Council to reach its decision, the CFO should report the factors that influenced his/her judgement (in accordance with **paragraph 5** above) and ensure that the advice given is recorded formally. Where the CFO's advice is not accepted this should be recorded formally in the minutes of the Council meeting.

7.3 CIPFA therefore recommends that:

- the Budget report to the Council should include a statement showing the estimated opening general reserve fund balance for the year ahead, the addition to/withdrawal from balances, and the estimated end of year balance. Reference should be made as to the extent to which such reserves are to be used to finance recurrent expenditure

*These matters are addressed in **Appendix J** of this report.*

- this should be accompanied by a statement from the CFO on the adequacy of the general reserves and provisions in respect of the forthcoming financial year and the authority's Medium Term Financial Strategy

*This opinion is provided in **paragraph 14.16** of the main report.*

- a statement reporting on the annual review of earmarked reserves (including schools' reserves) should also be made at the same time to the Council. The review itself should be undertaken as part of the Budget preparation process. The statement should list the various earmarked reserves, the purposes for which they are held and provide advice on the appropriate levels. It should also show the estimated opening balances for the year, planned additions/withdrawals and the estimated closing balances.

*This analysis is provided in the **Appendices J (General Working Balance) and K (other Balances/Reserves)**.*

REVIEW OF COUNTY COUNCIL BALANCES / RESERVES

1.0 Introduction

- 1.1 As part of the Budget process all balances and reserves have been reviewed as to their adequacy, appropriateness and management arrangements.
- 1.2 A schedule of the Reserves/Balances held at 31 March 2010 together with forecast movements over the four years 2010/11, 2011/12, 2012/13 and 2013/14 is attached as **Appendix K**.
- 1.3 All the Reserves/Balances listed in **Appendix K** are finally reviewed and monitored on a regular basis by the Service Accountant and/or the Corporate Director – Finance and Central Services. The level of the General Working Balance is specifically reported to the Executive as part of the Quarterly Performance and Budget Monitoring report.

2.0 Outcome of review process

- 2.1 Based on **Appendix K** the total value of Balances/Reserves held at 31 March 2010 was £74.825m. This figure is sub-divided into types of Balances/Reserves in **Appendix K** and these types are referred to in **paragraph 2.2** below.
- 2.2 The conclusions reached by the Corporate Director – Finance and Central Services, as a result of this review are as follows:
 - (a) that element of balances represented by the **underspendings at the year end by Service Directorates** (£10.175m) are actually a facet of prudent financial management across a financial year end rather than being a reserve or balance that can be allocated to another purpose. The County Council has agreed that these be carried forward into the current financial year (ie 2010/11)
 - (b) the balances of **Trading Units and those Business Units that “trade” with schools** (£2.853m) are linked to the Business Plans of those Units. These balances are therefore akin to the year end underspendings by Service Directorates (ie (a) above)
 - (c) **School balances** (£18.714m) belong to schools and although they appear in the County Council Balance Sheet, they cannot be regarded, for practical Budget purposes, as an NYCC asset

- (d) **Earmarked Reserves set aside for major items** (£25.337m) as detailed below -

Insurance Fund	£9.414m	This is needed to offset the cost of known and potential claims – the level of the Fund balance is significantly less than the potential maximum liability of claims so any withdrawal of cash from the Fund would increase the potential risk of a shortfall at some point in the MTFS period. However £3m was transferred to the PIP in 2010/11.
Schools Block/DSG	£9.513m	In the context of annual DSG of £328m this is unspent DSG at the year end. Furthermore within this item only £1.8m relates to a contingency balance. The remainder has been earmarked for a range of projects but not spent at 31 March 2010; this includes revenue support for 14/19 developments, ICT investments and the SEN and Behaviour Review.
Area Based Grant (ABG)	£4.351m	Accounting rules for ABG require the year end underspend (£4.351m in 2009/10) being rolled forward to the following year through an earmarked reserve. 2010/11 is the last year of ABG funding.
LAA Performance Reward Grant	£2.059m	PRG received under interim claim. Balance due in 2011/12. Process for allocation described in paragraph 12.10 et seq of main report.

- (e) there are 20 other reserves related to **specific initiatives** (£10.352m) 14 of which will be retained through 2010/11 to 2011/12. However, the number of these reserves then reduces in subsequent years as their specific purpose is fulfilled
- (f) the **General Working Balance** (£7.394m) - (see below).

General Working Balance (GWB)

- 2.3 The current MTFS policy is to achieve a level of GWB equivalent to 2% of the net Revenue Budget.
- 2.4 This policy was first established as part of the 2007/08 Revenue Budget, and was accompanied by a set of "good practice rules".

2.5 These “rules”, which still apply, are as follows:

- (a) that any underspending on the Corporate Miscellaneous budget at the year end will be allocated to the GWB
- (b) that should there be any call on the GWB during a year such that the Target level (as defined in the MTFs) will not be achieved at the respective year end then
 - (i) that shortfall be addressed in the next Budget cycle and/or
 - (ii) that revenue or capital expenditure reductions be effected in either the current or following financial year, in order to offset the shortfall.
- (c) that in order to implement (b) the Executive should review the position of the GWB on a regular basis as part of the Quarterly Performance and Budget Monitoring report process

2.6 The targets for the current MTFs period, approved in the 2010/11 Budget cycle, and the updated targets are as follows –

Year End Date	MTFS 2010/11		MTFS 2011/15	
	£000	% of Net Revenue Budget	£000	% of Net Revenue Budget
31 March 2010	7,394 °	2.2	7,394 °	2.2
31 March 2011	7,747 *	2.3	7,361 *	2.1
31 March 2012	7,747 *	2.2	7,361 *	2.0
31 March 2013	7,747 *	2.2	7,361 *	2.0
31 March 2014	N / A	N / A	7,361 *	2.0
31 March 2015	N / A	N / A	7,361 *	2.0

[Note : * projected ° actual]

2.7 Compared to the situation 12 months ago the balance held in the GWB has been maintained primarily due to underspends achieved in Corporate Miscellaneous offsetting overspends in Adult Social Care and Winter Maintenance.

2.8 The situation at 31 March 2010 was therefore that the GWB was broadly at its target level of 2%. Based on the information to be provided in the Quarter 3 Monitoring report to the Executive on 22 February 2011, the GWB will again be broadly at the target level. However the possible onset of another spell of bad weather before the financial year end will mean that additional funds will have to be allocated from the GWB as the Winter Maintenance budget in BES is effectively spent.

2.9 Notwithstanding the above, there is still a fundamental question - is a figure of c£7m still considered to be an appropriate target level for the GWB?

- 2.10 Historically the major items that the GWB has been required to offset are the costs of:
- ➔ demand led overspendings on Service budgets *
 - ➔ repairing flood damage (net of Bellwin Grant)
 - ➔ the winter maintenance budget provision being exceeded in a bad winter *
 - ➔ one off planning enquiries or legal cases

The items marked with a * will potentially impact in 2010/11 thereby demonstrating the need for a GWB at least at the current target (ie 2% level).

2.11 Given the fact that:

- (a) the projected level of the GWB now only marginally exceeds the policy target
- (b) if two or more of the issues referred to in **paragraph 2.10** arose again in any single year, the good practice rules (**see paragraph 2.5**) would determine what action should be taken by the Executive to address, and remedy, the position.

it is concluded that the current 2% policy level for the GWB is adequate.

2.12 However, in making the assessment in **paragraph 2.11** above, the cautionary note reflected in **paragraph 14.14** of the main report indicates that events such as those listed in **paragraph 2.10**, both in terms of their likelihood and magnitude, would now have a significant impact on the ongoing level of the GWB. Allied to the uncertainty surrounding levels of grant for Years 3 and 4 of the MTFs, the Executive will need to review the level of the GWB on an ongoing basis to ensure its sufficiency to meet any future events of the kind listed in **paragraph 2.10**.

2.13 **For practical purposes it is proposed that the target figure for the GWB be maintained @ 2% of the net Revenue Budget and that any short term funds above the 2% level be retained given the financial uncertainties attached to the Revenue Budget for 2011/12 and the MTFs period respectively.**

MTFS & REVENUE BUDGET 2011/12

PROJECTION of GENERAL WORKING BALANCE

	General Working Balance	% age of Revenue Budget	Target to achieve 2% of Revenue Budget	
	£000s	%	£000s	%
Balances at 31 March 2010				
Actual Balances 31 March 2009	17569			
- Directorate underspends c/fwd from 2009/10	-10175			
= free balances at 31 March 2009	<u>7394</u>	2.2	6720	
2010/11				
Corporate Miscellaneous underspend at Q2 (£1.967m)				
Net Treasury Management savings	813			
Inflation clawback from Directorate budgets	1099			
Other Corporate Miscellaneous	55			
Provisional potential overspend to be written off	-2000			
=forecast position at 31 March 2011	<u>7361</u>	2.1	7000	2.0
2011/12 (MTFS Year 1)				
Contribution to / from budget	0			
= forecast at 31 March 2012	<u>7361</u>	2.0	7370	2.0
2012/13 (MTFS Year 2)				
Contribution to / from budget	0			
= forecast at 31 March 2013	<u>7361</u>	2.0	7280	2.0
2013/14 (MTFS Year 3)				
Contribution to / from budget	0			
= forecast at 31 March 2014	<u>7361</u>	2.0	7370	2.0

02-Feb-11

SUMMARY OF BALANCES / RESERVES

Details	Direct- orate	2009/10 Actual			2010/11 Forecast		2011/12 Forecast		2012/13 Forecast		2013/14 Forecast		Comments
		Balance 31 March 2009 £000s	Actual Movement 2009/10	Actual Balance 31 March 2010 £000s	Planned Movement 2010/11 £000s	Estimated Balance 31 March 2011 £000s	Planned Movement 2011/12 £000s	Estimated Balance 31 March 2012 £000s	Planned Movement 2012/13 £000s	Estimated Balance 31 March 2013 £000s	Planned Movement 2013/14 £000s	Estimated Balance 31 March 2014 £000s	
WORKING BALANCES													
Retained for Service Use													
Children & Young Peoples	CYPS	306	390	696	1,610	2,306	-2,306	0	0	0	0	<p>£10,175k net underspend in 2009/10 carried forward to 2010/11 consisting mainly of savings to assist in 2010/11 and subsequent years budgets, planned savings to support developmental initiatives in 2010/11 and spending planned for 2009/10 being deferred until 2010/11 for a variety of reasons. Estimated underspend in 2010/11 to be carried forward to 2011/12 is £6,641k based on the Q2 Performance and Budget monitoring report and consists mainly of unspent PIP allocations.</p> <p>MTFS target is to maintain to 2% of net revenue spending which is £7m in 2010/11 and £7.4m in subsequent years. £7,361k forecast at 31/03/11 is based on Q2 monitoring report plus other potential overspends to be written off.</p>	
Adult & Community	ACS	175	295	470	-135	335	-335	0	0	0	0		
Business & Environment	BES	740	225	965	-302	663	-663	0	0	0	0		
Chief Executive	CE	1,098	-242	856	-332	524	-524	0	0	0	0		
Finance & Central Services	F&CS	3,566	657	4,223	-2,707	1,516	-1,516	0	0	0	0		
Corporate Miscellaneous	Corp	3,236	-271	2,965	-1,668	1,297	-1,297	0	0	0	0		
Sub Total		9,121	1,054	10,175	-3,534	6,641	-6,641	0	0	0	0		
General Working Balances		12,567	-5,173	7,394	-33	7,361	0	7,361	0	7,361	0		7,361
Total Working Balances		21,688	-4,119	17,569	-3,567	14,002	-6,641	7,361	0	7,361	0		7,361
EARMARKED RESERVES													
Reserves of Trading and Business Units													
FMS	CYPS	62	-32	30	-29	1	-1	0	0	0	0	In-year trading deficit intended to return the cumulative balance to break-even for financial services provided to schools	
Balance of Risks Insurance	CYPS	217	175	392	0	392	50	442	50	492	50	542	Anticipated real-terms increase in premiums to support preventative measures in line with actuarial and insurance service advice
Insurance Services to Schools	CYPS	-23	130	107	0	107	-107	0	0	0	0	0	Surplus arising from claims history but returning to a break-even position in 2011/12
School's ICT	CYPS	-28	88	60	25	85	-45	40	-20	20	-20	0	Balance of ICT trading with schools. Accumulated service taken into account in subsequent years.
Health & Safety Training	CYPS	13	11	24	-6	18	-12	6	-6	0	0	0	Accumulated surplus of providing a Health & Safety service to Schools.
Quality and Improvement	CYPS	333	-73	260	-219	41	-41	0	0	0	0	0	Traded Advisory/CPD service to schools
Outdoor Education	CYPS	391	-187	204	-59	145	-52	93	0	93	0	93	Accumulated position of the trading operation of the Outdoor Education Service.
Professional Clerking	CYPS	41	14	55	-3	52	-25	27	-27	0	0	0	Accumulated surplus of providing Professional Clerking services to Schools.
Staff Absence Insurance	CYPS	550	0	550	0	550	0	550	0	550	0	550	Balance reflects actuarial assumptions
School Balances (LMS Reserve)	CYPS	18,380	334	18,714	2,805	21,519	-2,872	18,647	-3,830	14,817	0	14,817	Reducing balance reflects falling pupil numbers, resource scarcity and provisional adjustments for school transfers to academy status
PREMISES Scheme	CYPS	-454	200	-254	254	0	0	0	0	0	0	0	Repairs and Maintenance Scheme of schools. Scheme closes on 31/03/11

SUMMARY OF BALANCES / RESERVES

Details	Direct- orate	2009/10 Actual			2010/11 Forecast		2011/12 Forecast		2012/13 Forecast		2013/14 Forecast		Comments
		Balance 31 March 2009 £000s	Actual Movement 2009/10	Actual Balance 31 March 2010 £000s	Planned Movement 2010/11 £000s	Estimated Balance 31 March 2011 £000s	Planned Movement 2011/12 £000s	Estimated Balance 31 March 2012 £000s	Planned Movement 2012/13 £000s	Estimated Balance 31 March 2013 £000s	Planned Movement 2013/14 £000s	Estimated Balance 31 March 2014 £000s	
Adult Learning	CYPS	-607	362	-245	145	-100	100	0	0	0	0	0	Phased reduction of Adult Learning deficit to return the cumulative balance to a break-even position by 2011/12
Catering	CYPS	274	499	773	150	923	-250	673	-250	423	-250	173	Surplus used against anticipated recurring in-year deficit.
School Library Service	ACS	65	-69	-4	-46	-50	25	-25	25	0	0	0	Accumulated position of the trading operation
Building Cleaning	F&CS	327	311	638	173	811	-210	601	0	601	0	601	Fund to be utilised for purchase of equipment and to fund a pilot to provide property related support in a number of schools in 2011/12. The level of reserve needs to be reviewed, applying the principal that the school surplus can only be used for schools.
Grounds Maintenance	F&CS	27	39	66	-35	31	-11	20	-10	10	-10	0	Fund to be utilised for purchase of equipment etc
Print Unit	F&CS	200	-29	171	-171	0	0	0	0	0	0	0	Surplus expected to be fully utilised in 2010/11 against anticipated traded deficit and no anticipated surpluses in future years. CPU is moving from FCS to CEG from 1st February 2011.
CYPS - HR Service	C Exe	24	2	26	16	42	-42	0	0	0	0	0	Accumulated position of the trading operation
Sub Total		19,792	1,775	21,567	3,000	24,567	-3,493	21,074	-4,068	17,006	-230	16,776	
Retained for Specific Initiatives and Major Schemes													
Asbestos	CYPS	80	-80	0	0	0	0	0	0	0	0	0	Closed
Teachers Severance	CYPS	1,600	898	2,498	-924	1,574	-700	874	-500	374	-374	0	To meet annual severance payments following Teacher's losing access to early pensions in 1996.
SEN	CYPS	1,230	824	2,054	-353	1,701	-530	1,171	-401	770	-270	500	Phased implementation of the SEN & Behaviour review
Children's Centre	CYPS	718	-461	257	90	347	-347	0	0	0	0	0	Utilisation of reserve in line with phased spending on Children's Centres
Schools Block / DSG	CYPS	9,628	-115	9,513	-1,028	8,485	-650	7,835	0	7,835	0	7,835	Balance of earmarked Schools Block resources for multiple programmes.
Management Information System (Catering)	CYPS	20	0	20	0	20	-20	0	0	0	0	0	Anticipated reserve closure by March 2012 given expected web-based module purchase for MIS
Building Schools for the Future	CYPS	0	110	110	0	110	0	110	0	110	-110	0	Available to support MTFS Strategy
Benefits	CYPS	0	10	10	30	40	30	70	30	100	0	100	Provision of phased bursary support for looked after children attending higher education
High Needs Prevention	CYPS	0	380	380	0	380	0	380	0	380	-380	0	High Needs Preventative Provision supporting MTFS strategy
Learning Difficulties & Disabilities	CYPS	0	395	395	-65	330	-165	165	-165	0	0	0	Phased implementation of the SEN-D (LDD) strategy required in line with the SEN Green Paper
Continuing Education	CYPS	668	0	668	0	668	0	668	0	668	-668	0	Provision for phased transfer of student responsibilities supporting MTFS
Gas Ventilation	CYPS	1,720	-1,720	0	0	0	0	0	0	0	0	0	Closed
16-19 Transfer (Machinery of Government)	CYPS	420	-7	413	0	413	0	413	0	413	0	413	Provision for the transfer of responsibilities from the LSC supporting MTFS strategy
Waste Disposal Trading Scheme	BES	0	0	0	0	0	0	0	0	0	0	0	No projected movements on this reserve until the 2010/11 outturn is known.

SUMMARY OF BALANCES / RESERVES

Details	Directorate	2009/10 Actual			2010/11 Forecast		2011/12 Forecast		2012/13 Forecast		2013/14 Forecast		Comments
		Balance 31 March 2009	Actual Movement 2009/10	Actual Balance 31 March 2010	Planned Movement 2010/11	Estimated Balance 31 March 2011	Planned Movement 2011/12	Estimated Balance 31 March 2012	Planned Movement 2012/13	Estimated Balance 31 March 2013	Planned Movement 2013/14	Estimated Balance 31 March 2014	
		£000s		£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	
Winter Maintenance	BES	250	-250	0	0	0	0	0	0	0	0	0	Based on the 2010/11 expenditure forecast for the winter service, it is expected that this reserve will be fully utilised by the end of this financial year.
Highways - Traffic Signals	BES	420	-132	288	-167	121	-121	0	0	0	0	0	This reserve funds essential maintenance works to traffic signals identified during 2008/09. Significant expenditure has taken place in 2009/10 and 2010/11 with the remainder forecast for 2011/12.
Local Development Framework / Minerals Core Strategy	BES	0	457	457	0	457	-215	242	-190	52	-52	0	This reserve funds work required to produce the LDF / Minerals Core strategy in line with new Government Guidelines.
BES Directorate Initiatives & Transformation	BES	0	977	977	-360	617	-343	274	-274	0	0	0	The BES Directorate has a number of initiatives and transformation projects for which this reserve has been established to fund. The movements on the reserve reflect the actual and projected profile of expenditure on this programme.
Selby Swing Bridge	BES	0	400	400	54	454	0	454	0	454	0	454	To meet future structural maintenance requirements of the Selby Swing Bridge which has become the responsibility of the County Council as part of the Highways Agency detrunking programme.
Proceeds of Crime Act	BES	0	122	122	3	125	0	125	0	125	0	125	Relates to income received under the Home Office incentive scheme for fraud cases involving Trading Standards as defined in the Proceeds of Crime Act; earmarked for future expenditure on such cases, potential enhancements, and coverage for exit costs if incentive scheme be withdrawn.
Yorkshire Dales & Harrogate Tourism Partnership	BES	0	25	25	0	25	-25	0	0	0	0	0	Used to fund final costs associated with the Partnership which has taken over by Welcome to Yorkshire. These will be resolved during 2011/12.
YDHTP Accountable Body	BES	0	26	26	0	26	-26	0	0	0	0	0	This reserve is earmarked to fund any exit costs related to the YDHTP that would be born by the County Council in its role as Accountable Body. These will be resolved during 2011/12.
Dunslow Road Industrial Units	BES	0	0	0	30	30	-30	0	0	0	0	0	Earmarked for maintenance required at Dunslow Road Industrial Units based on condition survey.
Job Evaluation / Equal Pay Costs	Corp	345	-345	0	0	0	0	0	0	0	0	0	Fully utilised in 2009/10
Boilers and Kitchens	Corp	435	-35	400	-400	0	0	0	0	0	0	0	Will be fully utilised in 2010/11
Area Based Grant	Corp	4,485	-134	4,351	-1,851	2,500	-2,500	0	0	0	0	0	Assume £2.5m ABG underspend in 2010/11 carried forward to 2011/12 via an earmarked reserve. No ABG after 2010/11.
LAA Performance Reward Grant	Corp	0	2,059	2,059	3,900	5,959	-1,986	3,973	-1,986	1,987	-1,987	0	Reflects PRG relating to audited interim PRG claim. There is likely to be approx. £6m PRG earned overall, depending on performance against stretch targets.

SUMMARY OF BALANCES / RESERVES

Details	Direct- orate	2009/10 Actual			2010/11 Forecast		2011/12 Forecast		2012/13 Forecast		2013/14 Forecast		Comments
		Balance 31 March 2009 £000s	Actual Movement 2009/10	Actual Balance 31 March 2010 £000s	Planned Movement 2010/11 £000s	Estimated Balance 31 March 2011 £000s	Planned Movement 2011/12 £000s	Estimated Balance 31 March 2012 £000s	Planned Movement 2012/13 £000s	Estimated Balance 31 March 2013 £000s	Planned Movement 2013/14 £000s	Estimated Balance 31 March 2014 £000s	
		Insurance Reserve	Corp	9,557	-143	9,414	-2,500	6,914	500	7,414	500	7,914	
Redundancy Reserve	Corp	0	0	0	2,000	2,000	-2,000	0		0		0	Required to provide Corporate Funding to help fund and cover Redundancy and Pension Strain Costs arising from likely Post Reductions during 2010/11 and 2011/12. £5 million has been set aside and put into a reserve which is PIP funded.
ICT Equipment / Future Development	F&CS	1,102	-464	638	-238	400	-200	200	-150	50	-50	0	Assume that Directorates will utilise this reserve over next three years, with limited resources to replenish reserve for future purchases
BDM / Contractors Residual Issues	F&CS	202	12	214	-214	0	0	0	0	0	0	0	To meet issues arising from property contractors entering into administration and residual issues from the transfer of property services to the Jacobs contract.
Sub Total		32,880	2,809	35,689	-1,993	33,696	-9,328	24,368	-3,136	21,232	-3,391	17,841	
Total Earmarked Reserves		52,672	4,584	57,256	1,007	58,263	-12,821	45,442	-7,204	38,238	-3,621	34,617	
TOTAL RESERVES		74,360	465	74,825	-2,560	72,265	-19,462	52,803	-7,204	45,599	-3,621	41,978	

8 February 2011

**SUPPLEMENTARY PAPERS TO
MEDIUM TERM FINANCIAL STRATEGY
AND REVENUE BUDGET 2011/12**

- I Adult and Community Services**
- II Business and Environmental Services**
- III Chief Executive's Group**
- IV Children and Young People's Service**
- V Finance and Central Services**
- VI Corporate Miscellaneous**

For each Directorate the following are provided

Paper A Contextual commentary by Corporate Director

Paper B Analysis of Savings Proposals

SUPPLEMENTARY PAPER I

ADULT AND COMMUNITY SERVICES

Paper A Contextual commentary by Corporate Director

Paper B Analysis of Savings Proposals

ADULT AND COMMUNITY SERVICES

CONTEXTUAL COMMENTARY BY CORPORATE DIRECTOR

The Directorate continues to face financial pressures as a result of the ageing population and increasing expectations.

Nationally it is understood that through medical interventions and healthy living people are living longer, in addition their expectations about the type and level of support to live at home have increased. We also know from national data that the number of people suffering from dementia will increase with proportionally greater numbers living within the County. In addition whilst people live longer the support required at the end of their life will be more intensive.

Over the past 3 years the number of people being supported by Social Care has increased from 12000 to 16000. We have also estimated, using national predictive tools and data that this will increase by a further 400 to 500 people per annum at an estimated cost of £3m rising to £3.5m by the end of 2014-15.

We also know that of the people currently being supported over 60% are at the critical and substantial level of care needs, which indicates the resources currently at our disposal are directed to those who are frail and require the most support.

In recognition of this trend and as part of the Local Government Financial Settlement nationally £1bn of additional resources was incorporated into the Formula Grant and this has been reflected at £3m per annum, within the current Medium Term Strategy.

However we are also doing all we possibly can to target resources, support more people at home and provide the best quality of care to those with the most need.

We continue to promote telecare equipment and have introduced re-ablement to encourage people to maintain their independence and receive as little ongoing support as is required. We are also seeking additional opportunities for further Extra Care accommodation schemes and to reduce our reliance on residential care. Philosophically these are the right things to do but they are also more cost effective options.

As a result of the reduced level of funding we will need to signpost more people so that they can support themselves and encourage entrepreneurial approaches such as social enterprises.

In addition we will be working closely with Health colleagues to ensure the collective design of community services which are more integrated, support people more effectively as they come out of hospital, and include night time arrangements.

In addition there are other significant resource pressures relating to those children with learning disabilities who leave school and require ongoing care and support. Over the forthcoming period we will need to work with families to manage expectations about the ongoing level of available support as well as actively seek avenues into mainstream employment. Given the level of resources committed to learning disabilities this is one of the biggest challenges facing the Directorate.

Furthermore we do not operate in a vacuum and the forthcoming changes to Welfare Benefits and employment arrangements will increase the number of people who require additional assistance to their existing care arrangements or who were previously able to support themselves requiring advice and direct support.

In order to ensure every penny is targeted to those who need it the most, we are embarking on a programme to review the care packages of up to 3000 people. It is essential to undertake a reassessment and review of service needs prior to any service changes which are detailed in the savings proposal outlined in the accompanying **Paper B**.

During this period of significant change it is equally important to remember our ongoing duty to ensure effective safeguarding is in place and resources maintained at an adequate level to prevent judicial reviews and compensation claims brought about by individuals who claim wrongful deprivation of liberty.

Libraries

After a number of years of modernising and making the service more efficient through extensive refurbishments, extending the customer offer and more lately through the introduction of self issue the Libraries service is experiencing unprecedented changes. In order to reduce the cost of the service by £2.1m consultation is currently taking place on the approach to maximise the available budget and offer value for money whilst meeting our obligation under the 1964 Public Libraries and Museums Act. Once the consultation stage finishes the final report and recommendations will be used to inform Members in April/May 2011, who will then decide what proposals will be taken forward.

DEREK LAW

Corporate Director – Adult and Community Services

ADULT AND COMMUNITY SERVICES SAVINGS PROPOSALS

Project No	Savings Project Area	Description	2011/12 £000	2012/13 £000	2013/14 £000	2014/15 £000	Total £000
1	Reablement (intensive home care)	Retraining of in-house domiciliary staff to provide intensive 6 week rehabilitation support to enable people to live at home longer. This will deliver savings by reducing the level of ongoing support required.	703	614			1,317
2	Natural reduction of in-house domiciliary care linked to the introduction of START.	Present proposal is to transform 80% of in-house domiciliary care provision to provide a reablement service, retaining a minimal amount of traditional domiciliary care provision. This proposal is to reduce the domiciliary care workforce and purchase the care within the independent sector. In later years the size of the reablement teams will be reduced.		1,102	1,500		2,602
3	Transitional workers	Working with young people aged 14+ to provide advice and information in their move to adulthood. Presently ACS become involved at year 11 reviews due to capacity issues. PIP funding is being used to target appropriate year 9 children to ensure that the most cost effective services are achieved in conjunction with parents and carers.		-124			-124
4	Brokerage.	Additional brokerage staff to undertake commercial discussions with care providers and maximise state benefits and client contribution to NYCC.	100	-92			8
5	Transforming Learning Disability Services.	There is a need to modernise services in line with the "Valuing People Now" agenda, and to make the service more efficient.	378		1,400		1,778
6	Reduce funding for the Learning Disability Partnership Board arrangements	Top slice funding for the four Partnership Boards by £100,000 per annum with a view to reducing Boards from 4 to 1.	100				100
7	EPH Closures linked to potential Extra Care programme.	Closure of 9 EPH's, and retention of 6 as Resource Centres, with the potential for Extra Care development, and at the same time modernising the delivery of day support.			360	160	520
8	Residential Placements.	Reduced reliance on residential and nursing home placements, supporting people where possible in their own homes for longer, and negotiation of fees.	2,600	2,600			5,200
9	Re-provision of night services.	Closure of the dedicated night time service currently located in Harrogate, Craven and Selby linked to the development of a county wide night responder service.		1,036			1,036

Project No	Savings Project Area	Description	2011/12 £000	2012/13 £000	2013/14 £000	2014/15 £000	Total £000
10	Reduced carers budgets.	Reduction in the level of funding in respect of carers grants and funding for the infrastructure and support arrangements.	257	200			457
11	End subsidised meals	NYCC will cease to contract for the delivery of meals and instead provide signposting to alternative providers such as WRVS.	136				136
12	Major procurement of services provided from the Voluntary Sector.	Following the cost reductions offered by the sector in 2010-11 to achieve this level of saving will require a fundamental shift in the services being purchased.	857	534			1,391
13	Restructuring of management and support arrangements and PWC review opportunities.	Reduction in the level of operational management by increasing spans of control, and in localised admin and support arrangements. Other organisational changes following the outcome of PWC Organisational Reviews.	800	3,300			4,100
14	Reducing the cost of staff cover.	Minimising the use of agency staffing and where still required to achieve savings through the new Agency Staff contract.	20				20
15	Reduction in Coroners budgets.	Budgets are currently being reviewed to establish where cost savings are possible.	25				25
16	Extending RFID.	Technology to support the automated recording of book issues to be rolled out to 15 additional sites.	30				30
17	Further reduction in static/mobile libraries, including proportionate reduction in management costs.	Consultation currently taking place on the approach to delivering the library service within the County.	994	500	500		1,994
TOTAL			7,000	9,670	3,760	160	20,590

SUPPLEMENTARY PAPER II

BUSINESS AND ENVIRONMENTAL SERVICES
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Paper A Contextual commentary by Corporate Director

Paper B Analysis of Savings Proposals

BUSINESS AND ENVIRONMENTAL SERVICES

CONTEXTUAL COMMENTARY BY CORPORATE DIRECTOR

The Directorate continues to face many challenges over the next four years, particularly given the severe reduction in government funding, and the impact of the second year of harsh winter conditions. The majority of services within BES are front-line and high profile. The significant challenges and priorities over the forthcoming three year period are as follows:-

Waste Management and Countryside Services

The MTFs includes the necessary investment in waste infrastructure in order to meet the challenge of the EU's requirements on diverting waste from landfill. It also includes the further increase in Landfill Tax of £8 per tonne which equates to £1.4 million in 2011/12 alone. Failure to comply with the EU Landfill Directive will result in significant financial penalties, potentially at £150 per tonne. The County Council approved entering into a Waste PFI Contract in December 2010 as part of an overall Waste Strategy which includes further work to minimise waste and encourage recycling initiatives including payment of recycling credits and incentives to the District Councils as Waste Collection Authorities. It is anticipated that the Waste PFI contract payments will commence in 2014/15.

BES is responsible for the maintenance of Public Rights of Way throughout the County. Part of this responsibility has been carried out by the National Parks, who in previous years have received some payment from the County Council for their work. However, this contribution will not be made in future years and the National Parks are currently considering the level of service they will be providing.

Highways and Transportation

The County Council has one of the largest Highways networks in England with 7,750 km of surfaced roads, 1,350 km of unsurfaced road, 4,200 km of footways and 47,000 street lighting columns. Highways issues are high profile for residents and there is therefore a constant need to ensure that the network is maintained to the best possible condition within the existing resources available. As Highway Authority the County Council has a duty to maintain the network in a safe and usable condition.

The County Council has responded to another harsh winter since November 2010. This has resulted in the winter reserve being exhausted and severe damage to the road and footway network, which will require early repair, and will therefore cause delay in planned road works across the network. In addition the Government has reduced the capital allocation for the Local Transport Plan; this will create additional pressures on the highways network.

The Government is introducing legislation in 2011 relating to Flood and Water Management. The County Council will be required to lead in setting a local strategy for flood risk management and producing surface water management plans for the County. In addition it will be required to create an asset register in relation to the highway drainage system, as responsibility for its maintenance will pass to the County Council wef April 2011.

Integrated Passenger Transport

The County Council faces significant challenges to maintain accessibility in a rural county by providing and retaining effective and adequate public transport services with a limited number of contractors and a constant upwards pressure on costs, particularly fuel. The challenge remains to increase bus patronage, work with partners and to promote the community sector in delivering viable transport so that the population of the County can access key services.

With effect from April 2011 the County Council is taking over responsibility for Concessionary Travel from the District and Borough Councils. Whilst this has good synergies with the subsidised bus services already offered the funding provided by the Government for 2011/12 creates a £5m funding shortfall for the County Council. The County Council is therefore allocating £10m to BES to reflect the costs currently incurred by the Districts and Borough Councils.

Economic and Rural Services

It is a particularly important time for the Economic Development service. It has a key role in supporting businesses through the present difficult economic circumstances. In addition the County Council has been given a new responsibility to carry out an economic assessment of the County.

The County Council is working with the other Local Authorities in the sub-region as well as engaging with private sector businesses to create a Local Enterprise Partnership (LEP) that is recognised by Government.

The Directorate is currently restructuring its Economic Development Service, by integrating with the Partnership Unit following the removal of funding from the soon to be extinct Yorkshire Forward, in order to provide a cost effective service that can support the LEP and develop opportunities for shared services with the other Local Authorities in the sub-region.

Trading Standards and Planning Services

The Trading Standards service continues to be responsible for enforcement for EU Animal Feed Hygiene, Food Hygiene, Copyright Licences and Home Improvement Packs. It will remain a challenge to the service to ensure that these duties are discharged and embedded alongside the traditional functions and the much valued work on No Cold Call Zones, with reduced resources.

The Planning service continues to be under pressure to determine planning applications within government targets and to deliver a local development framework for waste and minerals.

DAVID BOWE

Corporate Director – Business and Environmental Services

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BUSINESS AND ENVIRONMENTAL SERVICES SAVINGS PROPOSALS

Project No	Savings Project Area	Description	2011/12 £000	2012/13 £000	2013/14 £000	2014/15 £000	Total £000
	Highways and Transportation						
1	Cut in Highway Maintenance	<p>As a result of planning responsive highway work we have been able to save approximately £1.25m per annum. However the result is that works will not be done as quickly as previously. For example some works may have been done within a few days, however now if a defect is not classed as being hazardous it will be programmed, which will mean it is unlikely to be repaired for 12 weeks. This allows the contractor to better plan his work and consequently reduces the cost to the county council. However due to the high level of cuts now required by the CSR we will need to cut the basic maintenance budget to address the shortfall. The total reduction will be in the order of £3.83m. There will inevitably be a huge impact upon the work carried out on the ground and this will be a visible change to the public. We will be heavily focussed on emergency issues and hazards and it is likely that we will be criticised for not repairing defects that the public believe should be attended to, but which in truth do not pose an immediate hazard to the travelling public.</p> <p>There have been various smaller initiatives achieving savings in highway maintenance across different elements of the service, for example we have amended the contractual arrangements for the delivery of surface dressing that has moved the design and associated risk from the contractor to the client. This has resulted in the majority of the savings in this area which is in the order of £330k.</p>	2,450	70	1,000	310	3,830
2	Street Lighting Services reductions	Recent street lighting column replacement around the county which continues, has introduced lighting units that require lower levels of maintenance. This has resulted in a reduction in the cost of replacements etc.	150				150

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Project No	Savings Project Area	Description	2011/12 £000	2012/13 £000	2013/14 £000	2014/15 £000	Total £000
3	Income review across Highways and Transportation	Review existing charges and look at other areas where charges can be levied. Specifically a piece of work will be carried out to consider whether the council should enforce all on street improvements associated with developments (Section 278 agreements) to be carried out through the County Council.				150	150
4	Selby Swing Bridge	It is intended to review the operating requirements of Selby Swing Bridge; however this will require an Act of Parliament to trigger the change. This has been achieved in the past for Cawood Bridge.				100	100
5	Highways and Transportation staff savings	<p>As a result of various staff restructure reviews across the Directorate there will be savings totalling £2.22m over the 5 year period, with £0.8m in the 4 years of the MTFS. This will remove approximately 63 FTE posts from the Directorate structure. This will be achieved through both efficiencies and cuts to the level of service provided. Given the level of cuts it is inevitable that service reduction will occur as a result of job losses. Redundancies will be minimised by developing staff to cover more varied functions and create flexibility, and by seeking reductions through natural wastage.</p> <p>The first major restructure is currently under way within the Road Safety team as a result of the loss of the Road Safety Grant. This had been foreseen and the majority of staff associated with the grant are on fixed term contracts. The loss of this funding will result in the loss of about 20 FTE posts. Clearly road safety is vitally important and we are now looking at how we deliver road safety in a different way. For example we are developing road safety education that could sit within the current curriculum. The use of the 95 Alive Partnership will be crucial to the ongoing reduction in road casualties.</p>	550	100	80	70	800

Project No	Savings Project Area	Description	2011/12 £000	2012/13 £000	2013/14 £000	2014/15 £000	Total £000
	IPT						
6	Cuts in subsidised bus services.	Consultations have been undertaken on reductions in bus subsidies for evenings and Sundays, saving approximately £600k per year. There is clearly an impact on rural accessibility here but as with all services it is a matter of balancing one service against another. The Director of BES has given notice to the service providers of this reduction in bus subsidies subject to confirmation as part of this report.	600				600
7	Area review savings linked to Concessionary Travel	The County Council takes over responsibility for Concessionary Travel in April 2011. As a result of the Area review reported to Executive members in November 2010 it is anticipated that £150k savings per annum will be made as a result of the re-procurement of services.	150				150
8	IPT staff savings	See item 5 above	50	50			100
	Waste and Countryside services						
9	Close Household Waste Recycling Centres on 1 day per week	Reduce the opening hours of the HWRCs around the County, closing them one day a week. Once communicated to users it is considered that customers will rearrange their day for visiting the HWRC and that overall the impact will be minimal.	150	125			275
10	Support provided to National Parks for PROW work	Reduce the support to the National Parks for the public rights of way network. This has been raised with the Chief Executives of the Parks and they have expressed some concern as to service impact. We will work with the National Parks to ascertain the best way to provide the service that is required, however it must be acknowledged that there may well be a reduction in the level of service.	100				100
11	PFI procurement cost reduction	It is anticipated that a reduction of £400k savings can be made over the next two years in the delivery of the Waste PFI project, as a result of the procurement reaching Commercial Close.	200	200			400
12	Reduction in waste contract costs	As a result of re-negotiation and more efficient use of existing facilities it is anticipated that savings of almost £1.4m can be achieved by 2014/15.	1,100	200	70	20	1,390

Project No	Savings Project Area	Description	2011/12 £000	2012/13 £000	2013/14 £000	2014/15 £000	Total £000
13	Waste received at HWRCs, renegotiation with Districts and other partners/ contractors	Proposed savings through various waste initiatives, and procurements involving the renegotiation of various existing arrangements, in particular with the District Councils and around HWRC operations.		250	425	600	1,275
14	Capital programme - waste	Reduce the waste capital programme, which would remove three HWRCs from the current programme and would create an annual saving of around £450k per annum.			30	420	450
15	Waste and Countryside services staff savings	See Item 5 above	175	40	30	110	355
	Economic Development						
16	Cut in funding for Arts projects	Reduce the funding for Arts for example reducing the support to theatres etc.	75				75
17	Economic Development Initiatives	Reduction in support to economic related projects across the County; this will have implications in terms of ability to draw down match funding	50	50			100
18	Economic Development staff savings	See Item 5 above	120	25			145
	Trading Standards and Planning						
19	Trading Standards and Planning staff reductions.	See Item 5 above	200	40	30	80	350
	PFU and Support Services						
20	Miscellaneous and supplies and services	Efficiencies and better use of procurement to reduce costs	100	100			200
21	Mileage reductions	Reduction staff mileage across the Directorate	30				30
22	PFU & SS staff savings	See Item 5 above	70	150	25		245
		TOTAL	6,320	1,400	1,690	1,860	11,270

SUPPLEMENTARY PAPER III

CHIEF EXECUTIVE'S GROUP

Paper A Contextual commentary by Chief Executive

Paper B Analysis of Savings Proposals

CHIEF EXECUTIVE'S GROUP

CONTEXTUAL COMMENTARY BY CHIEF EXECUTIVE

The Chief Executive's Group (CEG) budget includes a range of corporate and support services (eg Policy and Performance; Emergency Planning; HR; Legal and Democratic; Access to Services) with an annual budget of £9m. In addition there are areas of frontline activity (eg Customer Services Centre) – annual budget £2m – plus areas of spend outside the direct control of CEG (eg Members, subscriptions) – annual budget £2m.

The key priorities/deliverables for the Chief Executive's Group during the MTFS period include:

- supporting managers and staff through the organisational change process and the budget cuts. During this period there is a higher risk of issues such as tribunals
- dealing with increased legal caseloads (eg older people, child protection, staff tribunals and planning), procurement, FOI and Data Protection, judicial review and other legal challenges and emerging legislation
- supporting change management across the County Council including the organisational change programme to deliver further budget savings
- working with communities to explore options on future service delivery. This approach is already being seen with libraries and the roll-out of broadband (with support from NYnet) will require further community work
- developing and supporting a revised performance management framework that is tailored for the County Council but also complies with the emerging national requirements on national indicators etc
- supporting the rationalisation of partnerships and managing a smooth transition where appropriate
- supporting the organisation to deal with new policies and changes particularly the requirements to develop Health & Wellbeing Boards and assuming responsibility for public health in North Yorkshire
- continue to ensure that the County Council conducts its business and decision making in a manner which is consistent with the principles of good governance and legal requirements
- support Members to discharge their responsibilities effectively and maintaining high standards of conduct

RICHARD FLINTON
Chief Executive

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CHIEF EXECUTIVE'S GROUP SAVINGS PROPOSALS

Project No	Savings Project Area	Description	2011/12 £000	2012/13 £000	2013/14 £000	2014/15 £000	Total £000
1	Chief Executives Office Staffing Restructure	<p>A new structure has been implemented from 1st January 2011 which has resulted in a reduction of 10.4 FTEs. This includes management, administration and a reduction in the number of corporate support staff.</p> <p>A review of Emergency Planning has removed one Emergency Planning Officer post and replaced 2 managerial posts with a single Manager post, thereby securing £100k of savings.</p>	490				490
2	Communications - shared services	Various public sector organisations all employ their own communications teams. Discussions have been held with a number of them to see if there is any wish to share resources. It is still too early to determine whether there may be the potential to generate income but a failure to secure the income will mean that staff numbers will be reduced.	30				30
3	Communications - Review of NY Times	The gross cost of producing NY Times is currently circa £470k based upon 10 editions per annum. A review is underway which is considering a range of options including cessation, reduction in frequency or alternative ways of communicating with the public. A saving of £200k is anticipated but this will need to be refined based upon the final preferred option.	200				200

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Project No	Savings Project Area	Description	2011/12 £000	2012/13 £000	2013/14 £000	2014/15 £000	Total £000
4	Customer Services post / Income generation	The Centre is effectively the front door for a large range of services which the public access. In recognition of its frontline nature the Centre has been prioritised within CEG and therefore does not take a saving in proportion to its share of the CEG budget. It is expected that a combination of external income and greater efficiencies will realise the savings target of £100k over the 4 year period (mostly through the deployment of new systems and enhanced performance management). Any simple "cut" in the Centre would be a last resort due to the impact it would have on frontline services.	25	75			100
5	HR Staffing Savings	HR Services are currently in the midst of fundamentally changing the way in which elements of the service are provided and the means by which managers and staff access HR functions (eg promotion of self-service). This approach has already helped to deliver VFM savings and as the project progresses it is possible to make further savings by reducing the level of adviser and administrative support.	270	62			332
6	People Strategy	This budget has been used to support a number of corporate staff initiatives. Whilst these have proved valuable, it is now considered appropriate that such initiatives are either ceased or mainstreamed.		50	150		200

Project No	Savings Project Area	Description	2011/12 £000	2012/13 £000	2013/14 £000	2014/15 £000	Total £000
7	Democratic Services Committee Administrator	A number of savings opportunities are being pursued within Legal and Democratic Services including - <ul style="list-style-type: none"> • rationalisation of administrative support by sharing the resource between Legal and Committee Services • abolition of the Standards Committee and lesser burden • implementation of new ICT based systems to automate processes • review of support arrangements to committees (eg Scrutiny reductions etc) • review of professional legal support requirements 	46	9			55
8	Legal and Democratic Services Admin and Support (various)	See item 7 above	51	14	24		89
9	Reorganisation of legal service	See item 7 above	8	78	11	15	112
10	Reduction in cost of practicing certificates	See item 7 above	11				11
11	Members	Various savings including reduced number of allowances and mileage savings. Many of the savings areas have already been achieved. However, circa £60k still requires further exploration.	19	69			88
12	CCfA Use new grant to support core activity in scrutiny function and partnership work.	Use new grant to support core activity in scrutiny function and partnership work.		15			15
13	Consultation savings	Investigate more efficient approach to consultations (across the Council)		25			25

Project No	Savings Project Area	Description	2011/12 £000	2012/13 £000	2013/14 £000	2014/15 £000	Total £000
14	Grants & Subscriptions	Whilst certain subscriptions have been reduced (notably LGYH and LGG), it is still expected that downwards pressure is applied on this budget heading. In addition, it is suggested that a review is carried out against each individual area of spend to ascertain the value for money.		50			50
15	LINKs funding	The County Council is obliged to support Local Independent Networks so that they can champion the users of health and social care. This saving assumes a 50% reduction in funding to support direct activity.	100				100
16	Community Safety	A cut of £58k was made to the Area Based Grant for Community Safety following the government announcement on 10 June 2010. This cut has simply been passported on to the Safer Communities Forum and the Community Safety Partnerships. In addition, it is anticipated that further recurring cuts of £50k will be made to support community safety.		50			50
17	Further savings in CEG	Miscellaneous savings including non-staffing and areas of other expenditure.		3	15	35	53
		TOTAL	1,250	500	200	50	2,000

SUPPLEMENTARY PAPER IV

CHILDREN AND YOUNG PEOPLE'S SERVICE
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Paper A Contextual commentary by Corporate Director

Paper B Analysis of Savings Proposals

CHILDREN & YOUNG PEOPLE'S SERVICE

CONTEXTUAL COMMENTARY BY CORPORATE DIRECTOR

DIRECTORATE BUDGETS

The Children and Young People's Service (CYPS) is funded by a combination of grants and resources from Council Tax. The net budget for the Directorate for 2010/11 after savings deductions of £7.4m is £79.9m from Council Tax plus a range of Department for Education grants, the largest of which have been Early Years and Sure Start Grant, Area Based Grant and some Standards Funds. These have been worth, in combination, around £28m.

Our approach to savings has involved radical review to enable a significantly reorganised Directorate to operate effectively across its universal, preventative, targeted and acute service responsibilities, in line with legislation.

The Savings and Transformation Strategy for the CYPS was approved in July by Executive Members and:

- covers every part of the service
- is prioritised
- removes expenditure from discretionary services
- involves fundamental review of what is done and how things are done; and
- is committed to a mixed economy approach to who provides services.

It gives highest priority to frontline statutory responsibilities, whilst recognising that total protection of the frontline is not possible. It addresses where increased income from charges can be used, but only against a background of low and further reducing costs in the Directorate itself.

It makes planned use of CYPS reserves to achieve cash savings targets and cashflow for the service through the MTFS period.

It provides a coherent and thorough strategy for delivering large savings. After the Comprehensive Spending Review in October, proposals to deliver higher savings, and potentially faster, were developed **within** the Strategy, rather than by changing the Strategy. At that stage the overall savings target for the service was £19.47m.

The delivery of savings is being managed through 18 projects which cover all parts of the service. A summary of the measures planned is provided as **Paper B**. In addition it will be possible to reduce expenditure to reflect grant loss (see **line 19 of Paper B**).

In setting targets for the 18 other projects we are taking a prioritised approach. A simple pro rata approach across the service is not possible because of the lumpy nature of our cost base. Two-thirds of CYPS expenditure (about £66 million) is dictated by two large, demand-led budgets – Home to School Transport and Children’s Social Care, from which it is not possible to make pro rata savings. Based on the proposals considered in July 2010, they would contribute about one-third of our savings. This means that two-thirds of the CYPS savings are having to be found from one-third of the service expenditure, which comprises everything other than transport and Children’s Social Care (universal, preventative and targeted services).

The percentage reductions in those other parts of the service average around 35%. Given the policy commitment to prioritise statutory functions and to remove discretionary expenditure, County Council funding for the latter is being reduced by 100% (**Projects 6, 7, 9, 10, 14**). This means that in responding to the challenge posed by the CSR to increase planned savings to £19.47m, and the further increases arising from the Settlement, this will need to be taken from a diminishing number of budgets.

The CYPS Strategy is committed to giving highest priority to frontline services, while acknowledging that the scale of savings needed means that they cannot be protected completely.

That commitment is reflected in the detailed savings proposals as they are being developed against the July target. In relation to staffing, for example, it is likely that the overall reduction in numbers will exceed 250, but weighted so that management and strategic support services would reduce by a significantly higher percentage (probably exceeding 30%) than the frontline (possibly around 8%). Of the £19.47m savings target, nearly £13m relates to Directorate services, including potentially over £9m savings on staffing, of which around 60% will come from posts paid at £30k or above per year.

Following the Settlement, it is clear that savings beyond the £19.47m will be required, though targets have not been revised as yet. A significant feature of the Settlement is the major loss, reduction or diversion of Department for Education grants. The group of grants simply discontinued was worth £5.1m, whilst others relating to vulnerable children have been reduced by up to 33% in the new Early Intervention Grant. Some of this had been anticipated in the CYPS strategy and action is being taken since the Settlement to eliminate a further £3.1m of previous expenditure linked to lost or reduced grants.

This saving is additional to the £19.47m, and is contributing to the Council-wide measures to reduce the increased funding gap caused by the Settlement.

Further savings required of CYPS beyond this will be pursued in line with the established strategy and priorities. It seems inescapable that this will include some further impact on frontline services.

Every effort is being made to maximise service levels by doing things differently, reviewing practice for greatest impact on outcomes and ensuring we use the most cost effective approaches. Any potential use of charging in new areas of provision (for example in relation to transport, Children’s Centres or some services for disabilities) would also be considered with careful attention to impact. Such changes would involve possible changes to legislation and significant consultation.

DEDICATED SCHOOLS GRANT (DSG)

The DSG has funded all Schools Block spending. This consists of delegated school budgets and some non-delegated central services including Special Educational Needs (SEN), Behaviour Support, Admissions and Early Years.

From 2011/12, the DSG will include grants formerly allocated to the Local Authority or to schools for specific purposes. These total £49.353m and consist of those shown in the table below. By a process known as “mainstreaming”, it will be up to the Local Authority, in consultation with the Schools Forum, how this additional funding will be allocated to individual schools, although the County Council is required to take account of the previous distribution method when allocating resources in 2011/12. There will also be a Minimum Funding Guarantee applied to school budgets which will ensure that there are no significant losses at school level due to any change in distribution method. In practice, this will operate as a maximum reduction guarantee.

	£000
DSG	327,999
SSG	16,294
SSG(P)	3,159
SDG – Main	13,136
Specialist Schools	4,999
HP Specialist Schools	1,098
School Lunch Grant	863
EMAG	136
1-2-1	2,668
Extended Schools Sustainability	2,405
Extended Schools Subsidy	1,573
National Strategies (Pri)	1,816
National Strategies (Sec)	930
Diplomas	277
Total Mainstreamed grants	49,353
Total new DSG	377,352

Table 1: Predecessor grants at 2010/11 values which are being mainstreamed into the new DSG

This increase to the DSG means that there will be an increase to the Guaranteed Unit of Funding (GUF) for each pupil in North Yorkshire which will then be used to calculate the total DSG. The GUF for 2011/12 will be £4,787 per pupil – this is the same cash level as 2010/11. (The Guaranteed Unit of Funding replaces the previous terminology of Age Weighted Pupil Unit, or AWPU).

Overall we expect the DSG for 5-16 year olds to reduce due to continuing falling pupil numbers, but this will be confirmed after the January census.

The new DSG will also have to absorb the costs of the extension to free nursery education to 15 hours for all three year olds. In 2010/11, North Yorkshire received a grant of £4.041m for this and this grant will not continue, effectively creating a pressure of £4m in the DSG. Some of this will be replaced by a new method of calculating the number of nursery-aged children within the overall DSG. At this stage it is very difficult to say how much this will be, although initial calculations show this to be around £1.8m. This will leave a net pressure in the DSG of £2.2m.

This figure excludes any reduction for pupil numbers.

It must also be noted that the DSG is receiving no uplift for inflation. For every 1% of inflation, this creates a further pressure of £3.8m.

Pupil Premium

In addition to funding allocated from the DSG, schools will be allocated £430 per pupil on Free School Meals under the new Pupil Premium. This applies to children from reception class to Year 11. There will be a similar allocation for children who have been looked after for more than six months and a smaller amount (£200) for service children.

The total will be based on numbers from the January Census, but it is estimated that the total allocation will be somewhere between £3m - £3.5m (equivalent to about 0.8% of DSG). Obviously this allocation will vary considerably from school to school.

Post-16 Funding

This is allocated to schools by the Young People's Learning Agency. No announcements have been made for next year's funding as yet, but the Comprehensive Spending Review made clear that funding for school sixth forms will reduce.

As will be clear, although the Settlement for schools is considerably better than for the rest of the County Council's funding, there remain pressures within the DSG for the majority of North Yorkshire schools, which for a number of schools (especially those with falling rolls) could be significant.

CYNTHIA WELBOURN

Corporate Director - Children & Young People's Service

CHILDREN AND YOUNG PEOPLE'S SERVICE SAVINGS PROPOSALS

Project No	Savings Project Area	Description	2011/12 £000	2012/13 £000	2013/14 £000	2014/15 £000	TOTAL
1	Business Support and Training	Review all aspects of whole Directorate Business Support, Admin and Training, which will create a single unit for the Directorate Workforce Initiative. A review of the various offices with professional staff and supporting administrative staff to look at the potential for home and flexible working and revised admin procedures taking advantage of new technology and savings on supplies and services.	400	100		100	600
2	Social Care Transformation	Rationalisation of properties within CYPS, including the potential for joint use with partners and greater use of Children's Centres ; also fundamental review of CSC workforce, processes and systems to maximise efficiency	250	245	240		735
3	Integrated Services & Children's Fund	Review of Integrated Services/Locality provision once the service network has been completed. This includes preventative work through Common Assessments, early intervention, children's centres and extended schools. Will also look at the Children's Fund projects (all service areas).	630	150			780
4	Integration of Youth and Youth Support	Integration of Youth & Youth Support Services and related LYS changes. This will include reductions in non-staffing support costs, premises costs, management numbers and costs.	705			250	955
5	School Improvement	Q&I: fundamental review and restructuring of School Improvement Services and of discretionary services to schools and pupils, taking account of changing national policy framework.	1,374	300			1,674
6	Music Service	Music Service - removal of County Council subsidy over a 2-year period by a combination of savings and increase in fees. Service also vulnerable to potential loss of grant funding – awaiting results of national review.	200	220			420
7	Home to School Transport	Home to School Transport - changes to policy, procurement and charges. Review includes discretionary items in the policy, including denominational transport, post 16 charges for young people with SEN, removal of "equivalent cost" payments. Review also to consider ability to charge a levy on all transport.	700	400	900	1,200	3,200
8	Procurement (incl Child Placements)	Procurement savings across all purchasing budgets. Areas for priority attention will including commissioning of placements for Looked After Children, children with Learning Difficulties and Disabilities, Specialist and Treatment Foster Care services, purchase of IT and savings on venue costs. These are in addition to other projects mentioned here.	100	100	100	450	750

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Project No	Savings Project Area	Description	2011/12 £000	2012/13 £000	2013/14 £000	2014/15 £000	TOTAL
9	Severance Scheme for School Teachers	Removal of Severance Scheme for School Teachers and budget for redundancy – will continue to meet statutory requirements only.	350				350
10	Outdoor Education	Outdoor Education - removal of County Council subsidy and review of service, including number of centres – supported by Schools Forum.	700	300			1,000
11	SEN/BESD Review	A number of savings in support services, projects and training arising from the roll out of an extended local network of specialist provision with outreach.		160		150	310
12	Staffing Efficiencies/Productivity	Staffing Efficiencies/Productivity (additional to other projects)	300	260			560
13	Management Productivity	Management Productivity (additional to other projects)	470	425			895
14	Decommissioning Local Projects	Review projects receiving small-scale financial support from CYPS. All identified savings so far in 2010/11					0
15	Maximising DSG Headroom	Our approach is to ensure that all relevant costs are correctly charged to the DSG but also to continue to maximise the funding in schools' directly-managed budgets. Subject to discussion and agreement with the Schools Forum, however, it might be possible to allocate some very limited funding within DSG to support a very small number of public/curriculum-related priorities in radically reconfigured arrangements, if these are seen as high priorities which add value.	260				260
16	Cross Project transformation	Cross Project co-location/systems and workforce change (Invest to Save). Specific savings still to be identified					0
17	Learning Difficulties and Disabilities (LDD) integration	A review of provision for care and support, including residential services, will be undertaken to achieve closer integration, increased flexibility, more even county coverage and greater flexibility. It will also consider residential placements in CYPS establishments, and preventative support to families.	175	100	100	250	625
18	Joint Services	Reduced Funding to Joint Services where the County Council is a statutory partner in a number of multi-agency services	200	200			400
19	Grant-related expenditure to be stopped	Expenditure funded by grants which have now gone or been reduced in the settlement	1,836				1,836
	TOTAL		8,650	2,960	1,340	2,400	15,350

SUPPLEMENTARY PAPER V

FINANCE AND CENTRAL SERVICES

Paper A Contextual commentary by Corporate Director

Paper B Analysis of Savings Proposals

FINANCE AND CENTRAL SERVICES

CONTEXTUAL COMMENTARY BY CORPORATE DIRECTOR

As well as providing a range of day to day financial and other support services, the Directorate is responsible for leading and / or involved in a wide range of corporate initiatives (eg Bright Office Strategy, Procurement, Corporate Governance, Information Governance, Health and Safety, Service Continuity). In service terms the MTFS essentially reflects a standstill position for the Directorate although the required contribution is made towards the savings target.

Therefore, development in the areas referred to below has to be either self-financed or resourced by the re-prioritisation of staff time.

The key priorities / deliverables of the Directorate for the MTFS period include

- ➔ for ICT to establish a full Disaster Recovery facility, manage the transition from a Novell based to a Microsoft infrastructure platform, and implement e-data security / archiving / retention arrangements that meet the necessary ISO standard to support the Information Governance Framework of the County Council
- ➔ develop and implement that Information Governance Framework so that is compatible with the current governance and IT arrangements within the County Council
- ➔ in relation to property, address a range of process and performance issues particularly in relation to the delivery of maintenance and capital schemes
- ➔ complete the Bright Office Strategy review programme with an added requirement to achieve the further rationalisation of office requirements as staffing numbers across the County Council are reduced and flexible working methods are implemented more widely
- ➔ establish arrangements to address the Carbon Reduction Commitment and Sustainability Policy (particularly in relation to property and procurement)
- ➔ continue the development of the Health and Safety and Partnership Governance arrangements
- ➔ establish Service Continuity Planning across the County Council
- ➔ review the arrangements for financial management administration services to Directorates linked to the corporate Organisational Change programme

JOHN MOORE
Corporate Director – Finance and Central Services

FINANCE AND CENTRAL SERVICES SERVICE SAVINGS PROPOSALS

Project No	Savings Project Area	Description	2011/12 £000	2012/13 £000	2013/14 £000	2014/15 £000	Total £000
1	Assistant Director post not replaced	Reduction of Senior Management in Directorate by 1 Assistant Director (who retired in summer 2010 and was not replaced). Full year effect of saving arising from this restructuring and reallocation of duties.	34				34
2	Project officer (Seconded Officer)	Ending of secondment of an officer from the DfE in autumn 2010. Full year effect of savings. Duties have either been reallocated or discontinued.	77				77
3a	Review of the structure and budgets of Corporate & ACS Accountancy Teams	All four of the Accountancy Sections have been reviewed and a total of 7 posts will be removed by the end of 2011/12. A further review will then be undertaken once the impact of cuts in service areas on the workload of Accountancy staff in outposted Sections can be assessed.		18			18
3b	Review the structure and budgets of CYPs Accountancy Team	See above	180				180
3c	Review the structure and budgets of BES Accountancy Team	See above	30				30
3d	Accountancy Teams - Phase 2 Review	It is likely that as a result of the Phase 2 review the level of support to Budget Managers will be reduced – this is the only practical way that reduced staff numbers can be achieved without compromising the basic day to day accountancy work that must be carried out.		60	60		120
4	CIPFA/AAT Trainees	The FCS Directorate has actively recruited and supported professional training for finance staff for many years. This has ensured that there is a continuity of 'in-house-trained' staff to replace leavers, etc. This is the balance of savings commencing in 2010/11, and the mix of trainees will be reviewed as the current cohort complete their qualifications and move on to qualified posts.	13				13

PAPER B

Project No	Savings Project Area	Description	2011/12 £000	2012/13 £000	2013/14 £000	2014/15 £000	Total £000
5	Central Finance Service Unit	The Central Finance Service Unit undertakes all the transactional services provided by FCS ie payroll, pensions, accounts payable, account receivable, car allowances, etc. This saving is projected on the basis of reduced volumes of activity (e.g. fewer staff to pay or invoices to process, etc) allied to process efficiencies. Both of these will take time to materialise hence the phasing into 2012/13.		60			60
6	Internal Audit (via Veritau)	Reduction in 2 stages of audit days purchased from Veritau. Each £42k is equivalent to 1 auditor year. This will reduce the audit coverage available for the Annual Audit Plan. As with the reduction in support to Budget Managers this is a 'controlled' reduction based on a risk assessment of the possible consequences.	42		42		84
7a	CPM - staffing changes in CAM and CLU	Restructuring opportunity within Corporate Property Management (CPM) occasioned by recent staff departure. A further review will be undertaken following the retirement of the Assistant Director in 2011.	29				29
7b	CPM - Phase 2 review	See Item 7a above	50	70			120
7c	CPM - GPTA fees	Reduction in provision available for third party professional support	20				20
8a	ICT - Phase 1 review of vacancies & fixed term contracts	Staff reduction in ICT arising from rationalisation of functions/services provided etc. A two phase approach will be adopted. It is unlikely that any significant net savings can be made in infrastructure costs without reducing the resilience/robustness of the corporate ICT infrastructure. Therefore the savings in this area fall primarily against staff budgets. Phase 1 rationalises a number of posts that have either become vacant or are filled by temporary contracts that are due to end soon.	110				110
8b	ICT - Phase 2 review post Microsoft transition	Phase 2 will be dependent on the successful completion of the transition to Microsoft software (to replace Novell, etc). The business case for this project is due to be considered by Management Board and Executive shortly. If it does not proceed it is unlikely that staff savings of this magnitude can be made in ICT and alternative savings will have to be found elsewhere in the Directorate.			100	150	250

Project No	Savings Project Area	Description	2011/12 £000	2012/13 £000	2013/14 £000	2014/15 £000	Total £000
9	Review of property arrangements - Corporate accommodation operational costs	Budgets relating to corporate office accommodation will be reduced. This will be achieved by various economy measures (e.g. reduced cleaning) and fewer improvement works, etc.	25	50	25		100
10	Review of property arrangements - Budget for redeployed properties	Due to more efficient arrangements in relation to managing properties declared surplus it is possible to reduce this budget.	30				30
11	Review of property arrangements - Corporate R&M/Smallholdings	Funds will be removed from the corporate provisions for planned maintenance to the non-schools property portfolios and small holdings. This will be allied, where possible, to the closure of properties by Directorates.	50	200	50		300
12	Reduction in corporate funding for schools related property support and advice	A significant number of staff within Corporate Property Management are involved in oversight and landlord management of school premises. This work is currently funded by the County Council. It is proposed, with effect from April 2011, to charge this cost to the Direct Schools Grant budget in CYPS. This enables the County Council to maintain its 'landlord' responsibilities without paying for that part that relates to schools.	300	30			330
13	Procurement Support Service - review as part of re-tendering exercise	The Contract is to be retendered in 2012, and the scope of the service will be reviewed as part of this exercise		20			20
14	Jacobs - end of transition payment at end of primary contract period	Removal of a transition payment to Jacobs UK at the end of the primary contract period, which is no longer payable in the contract extension period.		60			60
15	Transactional activities/service areas that may generate marginal savings due to volume changes or process efficiency	Various minor savings expected to arise on supplies and services costs in view of volume reductions or the impact of process reviews		16	23	50	89
16	SDT recharges (based on 20 PCs)	Reduced staff leads to reduced PC requirement		6			6
17	Mileage savings	Implementation of 10% mileage reduction target	10	10			20
		TOTAL	1,000	600	300	200	2,100

SUPPLEMENTARY PAPER VI

CORPORATE MISCELLANEOUS

Paper A Contextual commentary

Paper B Details of Revenue Budget 2011/12 and MTFS

CORPORATE MISCELLANEOUS

CONTEXTUAL COMMENTARY

The Corporate Miscellaneous budget contains all those items that are most appropriately managed, or provided for, on a corporate basis. Examples include:

- precepts for outside bodies
- capital financing charges
- interest on working balances
- contingency fund

Whilst there are items within Corporate Miscellaneous that are impacted by the savings requirement within the MTFs period (see **paragraph 10.3** of main report), there are consequential variations to other budgets, principally

- **capital financing charges** – capital financing changes and interest paid variations resulting from a combination of factors including an additional year's borrowing requirements, an updated Capital Plan, supported borrowing approvals being replaced by grant, variations in the levels of cash balances and latest forecast interest rates for borrowing and investments
- **Interest earned** – the sharp reduction in interest rates due to the economic recession has reduced the income earned from lending cash balances to the market
- **Pension Fund contributions** - due to a change in the methodology used by the Actuary in the 2010 Triennial Valuation the basic employer contribution rate has not changed from the level paid in 2011/12. However, recognising that there is currently a pay freeze, and that payroll costs will decrease as staff are made redundant, the Actuary requires that any shortfall in contributions has to be made good by cash “top-ups”. Provision for these “top-ups” has therefore now been made in this budget

CORPORATE MISCELLANEOUS SAVINGS PROPOSALS

Corporate Miscellaneous Budgets

Budget	Latest Base Budget	2011/12		2012/13		2013/2014		2014/15	
		Updated Increase Required	Updated Budget Required	Updated Increase Required	Updated Budget Required	Increase Required	Budget Required	Increase Required	Budget Required
	£000	£000	£000	£000	£000	£000	£000	£000	£000
Contingency - General Provision	472.0	28.0	500.0	0.0	500.0	0.0	500.0	0.0	500.0
Contingency - Specific Inflation Provision	1,099.0	-599.0	500.0	0.0	500.0	0.0	500.0	0.0	500.0
Contribution to Pension Fund Deficit	0.0	300.0	300.0	150.0	450.0	300.0	750.0	0.0	750.0
Contributions from Insurance Fund Reserve	-3,000.0	3,000.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Contribution to Redundancy Reserve - Funded from PIP	0.0	2,500.0	2,500.0	-2,500.0	0.0	0.0	0.0	0.0	0.0
Capital Financing Charges	32,299.1	175.5	32,474.6	-631.5	31,843.1	-378.1	31,465.0	-200.0	31,265.0
Interest Earned	-1,695.0	32.0	-1,663.0	-964.0	-2,627.0	-1,184.0	-3,811.0	0.0	-3,811.0
Continuing Pension Liability	33.7	7.6	41.3	-3.0	38.3	-2.8	35.5	0.0	35.5
DLO Pension Fund Contributions	519.0	-519.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Audit Fees	293.2	-59.7	233.5	7.0	240.5	7.2	247.7	0.0	247.7
Bank Charges	78.0	-2.6	75.4	0.0	75.4	0.0	75.4	0.0	75.4
Discontinued Services	-5.1	0.3	-4.8	0.3	-4.5	0.3	-4.2	0.0	-4.2
Probation Loan Charges	19.4	-1.0	18.4	-0.9	17.5	-0.9	16.6	0.0	16.6
Magistrates Courts Loan Charges	61.0	-3.2	57.8	-2.9	54.9	-2.9	52.0	0.0	52.0
Transformation Fund	570.0	0.0	570.0	0.0	570.0	0.0	570.0	0.0	570.0
Financing Income	-255.8	0.0	-255.8	0.0	-255.8	0.0	-255.8	0.0	-255.8
Area Committees	357.0	-357.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Community Fund (Council Tax on second homes)	780.0	-400.0	380.0	100.0	480.0	25.0	505.0	0.0	505.0
Pay & Reward Initiatives	262.0	-521.0	-259.0	411.0	152.0	0.0	152.0	0.0	152.0
Employee Costs	0.0	-750.0	-750.0	-1,250.0	-2,000.0	0.0	-2,000.0	0.0	-2,000.0
DSG Contrib. to Corporate Overheads	-1,052.0	-21.0	-1,073.0	-22.0	-1,095.0	-22.0	-1,117.0	0.0	-1,117.0
YPO Dividend	-250.0	25.0	-225.0	0.0	-225.0	0.0	-225.0	0.0	-225.0
Flood Defence Levy	245.0	-5.0	240.0	38.0	278.0	40.0	318.0	0.0	318.0
Sea Fisheries Committee Levy	198.3	0.0	198.3	6.7	205.0	5.0	210.0	0.0	210.0
New Homes Bonus Grant	0.0	-200.0	-200.0	-200.0	-400.0	-200.0	-600.0	0.0	-600.0
Sub-Total	31,028.8	2,629.9	33,658.7	-4,861.3	28,797.4	-1,413.2	27,384.2	-200.0	27,184.2
Pending Issues Provision - non recurring (Note 1)	12,245.0	-9,844.0	2,401.0	4,847.0	7,248.0	3,991.0	11,239.0	-6,828.0	4,411.0
Corporate Miscellaneous Total	43,273.8	-7,214.1	36,059.7	-14.3	36,045.4	2,577.8	38,623.2	-7,028.0	31,595.2

Notes:

1) Pending Issues Provision	2010/11 £'000	2011/12 £'000	2011/12 £'000	2012/13 £'000	2012/13 £'000	2013/14 £'000	2013/14 £'000	2014/15 £'000	2014/15 £'000
Agreed Feb 08	14,394	0	14,394	0	14,394	0	14,394	0	14,394
Allocations agreed to November 2009									
9/10 one-off allocations	0	0							
10/11 one-off allocations	-4,828	4,828	0	0					
11/12 one-off allocations		-10,984	-10,984	10,984	0		0		0
12/13 one-off allocations				-3,923	-3,923	3,923	0		0
Base Allocations to Waste	-2,277	-1,738	-4,015	-3,364	-7,379	-882	-8,261	-8,078	-16,339
Budget Allocation Rounded Up	106		106		106		106		106
Contribution from/to Insurance Fund Reserve	3,000	-3,000	0	0					
Contribution from Community Fund	600	-200	400	-100	300	-300	0	0	0
Proposed Inflation Added to Base - Waste Allocations	1,250	1,250	2,500	1,250	3,750	1,250	5,000	1,250	6,250
Total	12,245	-9,844	2,401	4,847	7,248	3,991	11,239	-6,828	4,411



North

Yorkshire County Council

Equality Impact Assessment Template

If you would like this information in another language or format such as Braille, large print or audio, please contact the Communications Unit on 01609 53 2013 or email communications@northyorks.gov.uk.

যদি আপনি এই ডকুমেন্ট অন্য ভাষায় বা ফরমেটে চান, তাহলে দয়া করে আমাদেরকে বলুন।

如欲索取以另一語文印製或另一格式製作的資料，請與我們聯絡。

اگر آپ کو معلومات کسی دیگر زبان یا دیگر شکل میں درکار ہوں تو برائے مہربانی ہم سے پوچھئے۔



Undertaking an Equality Impact Assessment

Equality Impact Assessments (EIA) should be undertaken at the business case stage when:-

- You are developing a new service or policy
- You are reviewing an existing service or policy
- You are proposing a change to an existing service or policy
- You are reviewing a service or policy carried out on behalf of the council or another organisation
- Your service is re-organised.

They should be referenced in your final recommendations on the service changes so that decision makers can reach an informed decision on the service/policy.

An EIA should cover all the social identity characteristics protected by equality legislation – referred to as ‘**protected characteristics**’ or equality strands. These are;

- Sex
- Sexual orientation
- Religion or belief
- Race – this include ethnic or national origins, colour and nationality
- Disability – including carers
- Pregnancy and maternity
- Gender reassignment
- Age

There is a lot of information available to support you in completing this assessment on the EIA pages on the NYCC intranet

The Council must publish your equality impact assessment and a summary will be included on the NYCC website in line with statutory requirements. Please be aware that it will become a public document.

Name of the Directorate and Service Area	Business and Environmental Services, Economic and Rural Services		
Name of the service/policy being assessed	Arts Grants		
Is the area being impact assessed a	Policy & its implementation?	✓	Service?
	Function		Initiative?
	Project?		Procedure & its implementation?
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?		
	Proposed service or a policy and its implementation?		
	Change to an existing service or a policy and its implementation?		
	Service or Policy carried out by an organisation on behalf of NYCC?		
How will you undertake the EIA? Eg team meetings, working party, project team, individual Officer	Review of Arts Grants. This includes: <ul style="list-style-type: none"> • Meeting with grant recipients • Officer review • Review of information provided by grant recipients 		
Names and roles of people carrying out the Impact Assessment	Gillian Wall, Arts Officer		
Lead Officer and contact details	Gillian Wall. Ex 3579		
Date EIA started	6 th December 2010		
Date EIA Completed	10 th December 2010		
Sign off by Service Head/ Business Unit Head	N/A		
Sign off by Assistant Director (or equivalent)	Andrew Harper – Assistant Director, Economic & Rural Services		
Date of Publication of EIA	To be completed		
Monitoring and review process for EIA	Arts Development work plan 2010-11, Service Plans 2011-12, 2012-13.		

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **all** [protected characteristics](#) and show your evidence

1.1 Describe the service/policy

1.1.1 What does the service/policy do and how? How would you describe the policy to someone who knows very little about Council Services?

The Arts Grants budget provides annual grants for five organisations who deliver an arts programme with county-wide impact. Funding is allocated as part of a three-way approach between Arts Council England Yorkshire, district councils and the County Council. The organisations are small to medium size creative businesses operating at close margins and using a mix of income sources. Funding is allocated on the basis of the strategic importance of the organisation to partners and is managed by a contracted agreement.

Current levels of funding are as follows:

Blaize Theatre Company (not building-based)	£3,590
Georgian Theatre Royal, Richmond	£5,795
Harrogate Theatre	£63,000
Rural Arts, Thirsk (community arts, rural touring)	£8,760
Stephen Joseph Theatre, Scarborough:	£63,000
Total:	£144,145

A summary of the services provided by the organisations is as follows:

Blaize Performance Company

Touring theatre company (work also features music & dance); touring of new work to small rural venues; education and young people's programmes; family learning projects; film and new media projects. Specialises in working with small, isolated rural communities and "isolated" groups (in the broadest sense of the word).

The Georgian Theatre Royal, Richmond

Historically important theatre & working museum; 150-seat theatre & programme; studio space, exhibitions; archive IT suite; museum tours; volunteer programme; education programme; adult learning; youth

1.1.2 If there is a proposal to change the service or policy, describe what it looks like now and what it is intended to look like in the future. What are the drivers for this proposed change?

theatres; conferences & venue hire to community and businesses; shop and two bars/ café.

Harrogate (White Rose) Theatre

350 seat theatre; studio space; theatre programme; co-commissioning of new work; two bars; youth theatres; education programme; outreach projects (including adult learning with community groups and individuals); volunteer programme; rural touring; conferences & venue hire to community & businesses.

Rural Arts North Yorkshire

Major county-wide community arts programme (mainly, but not exclusively, visual arts, film, photography, new media) specialising in working with “isolated” groups and community organisations with little or no experience of the arts; adult learning; schools; county-wide performing arts touring scheme (into village halls etc). Venue/ base in Thirsk: IT/ new media centre; shop and café; performing arts, workshop and exhibition spaces; conferences & venue hire.

Stephen Joseph Theatre, Scarborough

400-seat theatre; theatre programme; commissioning & production of new work (by national playwright, Alan Ayckbourn, director Chris Monks and young writers); national/ international touring; 200-seat cinema & programme; exhibition space; shop; restaurant & two bars; youth theatres; education programme; outreach projects (including adult learning with community groups and individuals); rural touring; conferences & venue hire: community & business; hotel offers.

A review of Arts funding has been carried out in order to achieve the County Council’s budget reductions in the context of the Comprehensive Spending Review. This, and not accessibility or improvements to the service, is the driver.

See above for details of current service.

The new levels of annual grant that are proposed are –

Blaize Theatre Company

Nil

<p>1.1.3 Who does it benefit? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how?</p>	<table border="0"> <tr> <td>Georgian Theatre Royal, Richmond</td> <td>£5,000</td> </tr> <tr> <td>Harrogate Theatre</td> <td>£10,000</td> </tr> <tr> <td>Rural Arts, Thirsk (community arts, rural touring)</td> <td>£5,000</td> </tr> <tr> <td>Stephen Joseph Theatre, Scarborough:</td> <td>£10,000</td> </tr> <tr> <td style="text-align: right;">Total:</td> <td>£30,000</td> </tr> </table> <p>The current service benefits creative and non-creative businesses, residents of North Yorkshire and visitors.</p> <p>Overall outcome is to increase adult engagement in the arts. Specific outcomes, related to the cultural strategy, are agreed annually as part of the annual review process but as an example in 2009-10:</p>	Georgian Theatre Royal, Richmond	£5,000	Harrogate Theatre	£10,000	Rural Arts, Thirsk (community arts, rural touring)	£5,000	Stephen Joseph Theatre, Scarborough:	£10,000	Total:	£30,000
Georgian Theatre Royal, Richmond	£5,000										
Harrogate Theatre	£10,000										
Rural Arts, Thirsk (community arts, rural touring)	£5,000										
Stephen Joseph Theatre, Scarborough:	£10,000										
Total:	£30,000										
<p>1.1.4 Who are the stakeholders?</p>	<p><u>Blaize Performance Company</u> Cultural Strategy priorities: Learning, Inclusiveness, Infrastructure.</p> <p><u>The Georgian Theatre Royal, Richmond</u> Cultural Strategy priorities: Economy, Learning, Inclusiveness.</p> <p><u>Harrogate (White Rose) Theatre</u> Cultural Strategy priorities: Economy, Learning, Inclusiveness.</p> <p><u>Rural Arts North Yorkshire</u> Cultural Strategy priorities: Learning, Economy, Inclusiveness.</p> <p><u>Stephen Joseph Theatre, Scarborough</u> Cultural Strategy priorities: Economy, Learning, Inclusiveness.</p> <p>The stakeholders are other public funders (Arts Council England and District Councils) and a range of users including those who attend ticketed performances and take part in free programmes, volunteers and those who work for the organisations or provide goods & services.</p>										
<p>1.1.5 Identify those protected characteristics for which this service is likely to have an impact (positive or negative)</p>	<p>The information provided by the organisations for this review and other information made available to the County Council e.g. annual returns gives an indication of the range of people that the organisations work with and a review of this information suggests that the reduction in funding is likely to have a negative impact mainly on the following protected characteristics:</p> <ul style="list-style-type: none"> • Age • Disability 										

1.1.6 Are there any other policies or services which might be linked to this one? Have you reviewed the EIA for these policies/services? What do they tell you about the potential impact?

In addition it is likely that the following “isolated” groups are likely to be affected, depending on the option approved:

- Hard to reach and vulnerable children and young people
- People on low incomes
- Rural communities

These isolated groups will be affected because a reduction in funding will lead to fewer concessions and will impact on the organisations’ capacity to raise external income and create earned income which is the main source of funding for concessions, free events and outreach work.

Cultural Strategy, Framework for Economic Development, All our Future Lives, NY Children and Young People’s Plan. The following is a broad summary of the contribution:

i) Cultural Strategy and Arts Development

The funded organisations provide programmes to support the following priorities and these will be affected by the proposed reduction in funding: children young people, volunteering and access to the arts (includes isolated groups).

ii) Economic Development

Impact on protected groups is more likely to be direct through loss of volunteer opportunities (many volunteers are older people) and indirect through impact on local economy through e.g. detriment to tourism attractions, loss of jobs (particularly Options One and Three) and reduction in demand for goods and services. The Stephen Joseph is in Scarborough, a priority area.

iii) All our Future Lives

Most organisations impact to some degree on older people and policy to support independent living, through volunteer programmes and individual projects e.g. Georgian Theatre volunteer programme for 100 people (large number of over 50s); Rural Arts rural touring scheme.

iv) NY Children and Young People’s Plan

All organisations provide programmes for children and young people including hard to reach and vulnerable: school, extended schools and

<p>1.1.7 How will the policy be put into practice? Who is responsible for it?</p>	<p>work with a variety of young people's groups and agencies e.g. Surestart, Youth Offending Teams.</p> <p>The BES Assistant Director (Economic and Rural Services) and Arts Officer will implement the policy and it will be put into practice by the organisations as part of the annual agreement.</p>
<p>1.2 How do people use the policy/service?</p> <p>1.2.1 How is the policy/service delivered? How do people find out about the policy/service? Do they need specialist equipment or information in different formats? How do you meet customer needs through opening times/locations/facilities? Can customers contact your service in different ways? How do you demonstrate that your service/policy is welcoming to all groups within the community?</p> <p>1.2.2 Does the policy/service support customers to access other services? Do you charge for your services? Do these charges affect everyone equally? Do some customers incur greater costs or get 'less for their money'? Are there eligibility criteria for the service/policy?</p>	<p>The organisations (except Blaize) are venue-based but also work in community venues. Venues and working practices are all DDA compliant and all offer a variety of assisted performances. Organisations are also Arts Council England Regularly Funded Organisations (indication of quality and strategic importance) and must produce Equalities Plans as part of conditions of funding. Venues all have Customer Care policies or equivalent.</p> <p>Organisations offer both ticketed and free events/ programmes. All offer concessionary rates on ticketed events for young people under 16, retired people, anyone receiving unemployment or disability benefits.</p> <p>Free events (mainly through outreach projects) include some programmes specifically for "isolated groups" (in the broadest sense of the word): older people, disabled people, hard to reach young people. This work is normally carried out with established organisations who work with specific groups and access is usually supported via these agencies.</p> <p>The detail of this information is held with the organisations but, for example:</p> <ul style="list-style-type: none"> • Rural Arts programme to support young people not in education or training, work with Surestart and Youth Offending Teams; • Stephen Joseph Theatre outreach project with families and children who have communication problems, working with the <i>U-Turn</i> Youth Inclusion Project; • Launch of Harrogate Theatre's accessible performances

<p>1.2.3 How do you ensure that staff/volunteers delivering the service follow the Council's equality policies? Does the Council deliver this policy in partnership or through contracts with other organisations?</p> <p>1.2.4 How do you monitor that external bodies are complying with the Council's equality requirements?</p>	<p>initiative (working with the national <i>See a Voice</i> project);</p> <ul style="list-style-type: none"> • Blaize's skills project working with groups of young people and individuals, including the Asian community in Skipton; • Georgian Theatre's volunteer programme providing working with a broad age range but including high numbers of older people. <p>This work is often funded by external grants or cross-subsidy from earned income from other programmes.</p> <p>This is part of the contracted agreement and the annual monitoring arrangements which are tied to the schedule of payments. See also above 1.2.1: Arts Council England Equalities Plans.</p> <p>Monitoring is via reports, officer contact and data collection e.g. numbers of concessionary tickets.</p>
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2. Understanding the Impact (using both qualitative and quantitative data)

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

2.1 What information do you use to make sure the service meets the needs of all customers?

2.1.1 What data do we use now? Is it broken down across protected characteristics (and are these categories consistent across all data sets)? How current is the data? Where is it from? Is it relevant?

Annual monitoring form collects a range of data:

- Audiences and visitors;
- Participants (e.g. at workshops and training);
- Children and young people ;
- Concessions;
- Number of professionals employed;
- Number of workshops, performances, exhibitions, training days, new works;
- Total budget;
- Example of one qualitative evaluation;
- Annual accounts;

<p>2.1.2 What engagement work have you already done that can inform this impact assessment? Who did you talk to and how?</p> <p>2.1.3 What are the main findings?</p>	<ul style="list-style-type: none"> • Artistic programme details; • Arts Officer attendance at, at least one Board meeting and performance per year (although this is prioritised across the organisations if required). <p>An attempt is made to standardise the data collection (e.g. definitions are used) but the information is provided by the organisations. Concessions and numbers of children and young people are relevant to this EIA. Information about support programmes for other protected groups is contained within qualitative information supplied by the organisations as part of the review or as part of annual monitoring.</p> <p>A consultation meeting was held in July with the organisations and the Arts Officer has attended Board meetings. Arts Council England, Yorkshire and district councils were also consulted informally. Residents have been asked to attend workshops and complete an on-line survey as part of the overall budget reduction proposals.</p> <p>At the end of September 2010, the organisations provided information on the following three areas, taking into consideration the overall public funding situation:</p> <ol style="list-style-type: none"> 1) What would be the impact of withdrawing all NYCC grant support? 2) What is the minimum level of grant required to remain viable? 3) Are there any other areas where the organisation could achieve savings e.g. through collaborative working? <p>The responses from individual organisations have been collected. A summary of the impact on protected characteristics is as follows:</p> <p>Question One: complete withdrawal of funding</p> <ul style="list-style-type: none"> • Insolvency: Harrogate Theatre; • Reduction in number of concessions offered: all organisations (97,999 in 2009-10); • Closure of Education and Outreach (e.g. youth theatre, schools, disabled people, adult education, isolated groups): Stephen Joseph, Georgian, Rural Arts; • Rural touring to cease or affected: Stephen Joseph Theatre,
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<p>2.1.4 Can you analyse the results of this consultation across the protected characteristics? Are there differences in response between different groups? How has this changed the plans for the policy/service?</p>	<p>Rural Arts;</p> <ul style="list-style-type: none"> • Capacity for future fund-raising and earned income seriously impaired: all organisations (outreach projects which often benefit protected groups are funded mainly from external fund-raising, cross subsidy from earned income and public subsidy). <p>Question Two: minimum level required to remain viable Organisations have indicated that a reduction of less than 10% will have an impact on overall services, particularly concessions and outreach projects (see above/ Capacity for fund-raising).</p> <p>Question Three: evidence of research into shared services and partnerships.</p> <p>See 1.1.3, 2.2 and 3.1</p>
<p>2.2 What does the information tell you?</p> <p>2.2.1 Are there any differences in outcome for different groups e.g. differences in take up rates or satisfaction levels across groups?</p> <p>2.2.2 Does it identify the level of take-up of services by different groups of people?</p> <p>Please include data and analysis as an appendix</p>	<p>Information about satisfaction levels across groups is held by the organisations.</p> <p>The data and information provided by the organisations allows this EIA to broadly identify which groups are likely to be affected, as follows.</p> <p>Those who benefit from concessions: 97,999 people in 2009-10. These are offered to young people under 16, retired people, anyone receiving unemployment or disability benefits.</p> <p>Children and young people: annual data collected in relation to children and young people aggregates audience (at performances, exhibitions etc) and participants (workshops and training). The total in 2009-10 was 17,327. As well as impacting on budgets available to</p>

<p>2.2.3 Does it identify how potential changes in demand for services will be tracked over time, and the process for service change?</p>	<p>support concessions, the reduction in funding is also likely to lead to a reduction or end to participatory programmes such as youth theatre and special projects with e.g. Surestart, young people not in education or training etc. See 2.1.2/ Capacity for future fund-raising.</p> <p>Older people, disabled people and other isolated groups who currently benefit from outreach programmes are also likely to be affected in a similar way.</p> <p>The information available does not identify how potential changes in demand for services will be tracked over time: this will be monitored by the organisations.</p>
<p>2.3 Are there areas where we need more information? How could we get this information?</p> <p>What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately e.g. compliments and complaints? Are there national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?</p> <p>Do you need to do more engagement work to inform this impact assessment? Have you identified information in other sections of this EIA that you need to assess the impact on different groups of people? What do you want to find out? Which existing mechanisms can you use to get this information?</p> <p>Please refer to the Community Engagement toolkit on the NYCC intranet</p>	<p>Information is held by the funded organisations e.g. evaluation of individual projects, box office analysis, annual reports, customer comments.</p>
<p>2.4 How will you monitor progress on your policy/service, or take-up of your service?</p> <p>What monitoring techniques would be most effective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service? How often does the policy/service need to be reviewed? Who would be responsible for this?</p>	<p>We will work with the organisations and other public funders to review the impact of our collective funding decisions. The Arts Officer would be responsible for co-ordinating the review, reporting to the BES Assistant Director (Economic and Rural Services).</p>

3. Assessing the Impact

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence.

3.1 Has an adverse impact been identified for one or more groups?

3.1.1 Has this assessment shown anything in the policy, plan or service that results in (or has the potential for) disadvantage or discrimination towards people of different groups? Which groups?

3.1.2 Do some needs/ priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?

There will be a reduction in the capacity of organisations to support:

- Those benefiting from concessionary rates on ticketed events: young people under 16, retired people, anyone receiving unemployment or disability benefits;
- Children and young people, particularly hard to reach and vulnerable;
- Older people: reduction in opportunities to volunteer (through e.g. closure) and outreach projects
- Disabled people and other isolated groups: reduction in outreach projects.

Current delivery models present the best value for money and therefore most impact and best use of available funding. The driver for this policy is the requirement to reduce funding rather than accessibility. See 3.5.

3.2 How could the policy be changed to remove the impact?

Which options have been considered? What option has been chosen?

Policy is driven by the requirement to make budget reductions. See 3.5.

3.3 Can any adverse impact be justified?

If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?

Please seek legal advice on whether this can be justified.

This does not apply: there is no justification on these grounds.

3.4 Are you planning to consult people on the outcome of this impact assessment?

When and how will you do this? How will you incorporate your findings into the policy?

No – this impact assessment takes account of previous consultation.

3.5 How does the service/policy promote equality of opportunity and outcome?

Accessibility is not a factor in determining the requirement to reduce funding and it is recognised that there is the potential for an adverse

Does the new/revised policy/service improve access to services? Are resources focused on addressing differences in outcomes?	impact on some protected groups (mainly age) but also isolated and low income groups. In addition the Council will continue to develop opportunities through other arts programmes that benefit protected groups e.g. support for the voluntary arts (48% of members of voluntary arts groups are over 50 years), Connecting Youth Culture.
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Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

Action Plan					
What are you trying to change (outcome)?	Action	Officer responsible	Deadline	Other plans this action is referenced in (e.g. Service Performance Plan, work plan)	Performance monitoring
Reduction in Arts Grants Funding.	Implementation of proposed reductions.	Arts Officer	From April 2011	Service Plan, Arts Development work plan.	BES Assistant Director (Economic and Rural Services).



North

Yorkshire County Council

Equality Impact Assessment - Proposed Bus Service Reduction 2011

If you would like this information in another language or format such as Braille, large print or audio, please contact the Communications Unit on 01609 53 2013 or email communications@northyorks.gov.uk.



যদি আপনি এই ডকুমেন্ট অন্য ভাষায় বা ফরমেটে চান, তাহলে দয়া করে আমাদেরকে বলুন।

如欲索取以另一語文印製或另一格式製作的資料，請與我們聯絡。

اگر آپ کو معلومات کسی دیگر زبان یا دیگر شکل میں درکار ہوں تو برائے مہربانی ہم سے پوچھئے۔

Undertaking an Equality Impact Assessment

Equality Impact Assessments (EIA) should be undertaken at the business case stage when:-

- You are developing a new service or policy
- You are reviewing an existing service or policy
- You are proposing a change to an existing service or policy
- You are reviewing a service or policy carried out on behalf of the council or another organisation
- Your service is re-organised.

They should be referenced in your final recommendations on the service changes so that decision makers can reach an informed decision on the service/policy.

An EIA should cover all the social identity characteristics protected by equality legislation – referred to as ‘**protected characteristics**’ or equality strands. These are;

- Sex
- Sexual orientation
- Religion or belief
- Race – this include ethnic or national origins, colour and nationality
- Disability – including carers
- Pregnancy and maternity
- Gender reassignment
- Age

There is a lot of information available to support you in completing this assessment on the EIA pages on the NYCC intranet

The Council must publish your equality impact assessment and a summary will be included on the NYCC website in line with statutory requirements. Please be aware that it will become a public document.

Name of the Directorate and Service Area	Business and Environmental Services, Integrated Passenger Transport		
Name of the service/policy being assessed	Proposed Reduction in Bus Subsidy		
Is the area being impact assessed a	Policy & its implementation?		Service? ✓
	Function		Initiative?
	Project?		Procedure & its implementation?
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?		
	Proposed service or a policy and its implementation?		
	Change to an existing service or a policy and its implementation?		✓
	Service or Policy carried out by an organisation on behalf of NYCC?		
How will you undertake the EIA?	Individual Officer		
Names and roles of people carrying out the EIA	Chris Roberts - Team Leader, Public Transport		
Lead Officer and contact details	Chris Roberts, Tel: 01609 5355672, e-mail: chris.roberts@northyorks.gov.uk		
Date EIA started	26 July 2010		
Date EIA Completed	31 October 2010		
Sign off by Service Head/ Business Unit Head			
Sign off by Assistant Director (or equivalent)	Richard Owens, Assistant Director – Integrated Passenger Transport		
Date of Publication of EIA			
Monitoring and review process for EIA			

1. Operating Context

Please consider issues around impacts (positive or negative) raised for all [protected characteristics](#) and show your evidence

1.1 Describe the service

What does the service do and how? How would you describe the service to someone who knows very little about Council Services?

If there is a proposal to change the service, describe what it looks like now and what it is intended to look like in the future. What are the drivers for this proposed change?

Who does it benefit? What are its intended outcomes? Who is affected by the service? Who is intended to benefit from it and how? Who are the stakeholders? identify those protected characteristics for which this service is likely to have an impact (positive or negative)

Are there any other services which might be linked to this one? Have you reviewed the EIA for these services? What do they tell you about the potential impact?

How will the service change be put into practice? Who is responsible for it?

This EIA seeks to identify impact as the result of a proposed reduction in bus services that are funded/ subsidised by North Yorkshire County Council (NYCC). A full EIA was carried out on contracted local bus services in July 2009 and is available separately.

The Directorate has a budget which is available to provide local bus services which do not form part of the commercial network. In 2010/11 this budget is £6.12m. It is estimated that about 25% of our current bus network is funded by the Council and these services carry over four million passengers each year.

In the current economic climate NYCC has no choice but to reduce spending across the range of public services we provide and we need to consider the extent to which expenditure on bus services can be reduced to contribute to this. In the absence of detailed figures from the Government, the council established indicative budget reduction targets for each department and considered plans to achieve these. In relation to the total budget for Integrated Passenger Transport (IPT) the following table sets out the year on year savings requirement which was identified in July 2010.

Budget Reduction Guide from 1/7/10 in £'000s				
2011/12	2012/13	2013/14	2014/15	4 Yr Total
149	149	149	149	596

Proposed Change:

It is recognised that these figures will need to be updated in light of more recent information. In order to achieve this we propose that we will no longer provide funding for the [following journeys](#):

- Journeys which operate on Sundays and Bank Holidays.
- Journeys which operate Monday to Saturday in the evenings (generally after 7pm).

	<ul style="list-style-type: none"> ▪ Service 767 which operates between Harrogate and Leeds Bradford International Airport. ▪ Contribution to the Moors and Dales bus networks. <p>The total value of these contracts was estimated as £600,000 per annum. In making the above proposal reference was made to our criteria for supporting bus services (see 1.2 below) as set out in our Bus Strategy. We determined that our objectives are best met by maintaining a robust network of daytime services on Mondays to Saturdays which provides essential access for as many residents as possible.</p>
<p>1.2 How do people use the service?</p> <p>How is the service delivered? How do people find out about the service? Do they need specialist equipment or information in different formats? How do you meet customer needs through opening times/locations/facilities? Can customers contact your service in different ways? How do you demonstrate that your service is welcoming to all groups within the community?</p> <p>Does the service support customers to access other services? Do you charge for your services? Do these changes affect everyone equally? Do some customers incur greater costs or get 'less for their money'? Are there eligibility criteria for the service?</p> <p>How do you ensure that staff/volunteers delivering the service follow the Council's equality policies? Does the Council deliver this policy in partnership or through contracts with other organisations? How do you monitor that external bodies comply with the Council's equality requirements?</p>	<p><i>See EIA - Bus Network Management (July 2009) for detail.</i></p> <p>The bus strategy sets out the criteria used to determine which socially necessary bus services to support. The council will have regard to:</p> <ul style="list-style-type: none"> ▪ Passenger demand, the extent to which the following journey purposes are catered for: ▪ Access to work; education; health services; shopping facilities and leisure services. ▪ The availability of alternative services for example rail services, community transport or other bus services. ▪ The extent to which the service represents value for money for the Council. <p>It is important that an appropriate balance is struck between the need to address social exclusion by improving access and the need to secure value for money overall. Baseline value for money measures are:</p> <ul style="list-style-type: none"> ▪ We will not fund journeys which carry fewer than three passengers on a regular basis. ▪ We calculate the subsidy per passenger journey and work towards a situation where the maximum subsidy per passenger journey is £7.50

2. Understanding the Impact (using both qualitative and quantitative data)	
Please consider issues around impacts (positive or negative) raised for all protected characteristics and show your evidence	
<p>2.1 What information do you use to make sure the service meets the needs of all customers?</p> <p>What data do we use now? Is it broken down across protected characteristics (and are these categories consistent across all data sets)? How current is the data? Where is it from? Is it relevant?</p> <p>What engagement work have you already done that can inform this impact assessment? Who did you talk to and how? What are the main findings? Can you analyse the results of this consultation across the protected characteristics? Are there differences in response between different groups? How has this changed the plans for the policy/service?</p>	<p>In July 2010 NYCC embarked on a 3 month consultation exercise to establish the impact of withdrawing the identified services. The consultation detailed the process, timeframe and specific services which were affected. Comments were invited from stakeholders and the public as part of an extensive consultation process.</p> <p>Posters were displayed on affected bus services, and detailed on the County's website. The consultation was published in the NY Times which was distributed to all households in North Yorkshire, and additionally sent to:</p> <ul style="list-style-type: none"> ▪ All County Councillors ▪ 142 directly affected Parish Councils ▪ 87 bus and community transport providers ▪ 79 Stakeholders, including District Councils, surrounding local authorities, bus forum groups and others which included: <ul style="list-style-type: none"> - Age Concern - Harrogate Physical and Sensory Improvement Coordinator - Learning Disability Partnerships - Physical and Sensory Impairment Group - Older peoples forums (NYOP, NYFOP & Scarborough Forum for Older People)
<p>2.2 What does the information tell you?</p> <p>Are there any differences in outcome for different groups e.g. differences in take up rates or satisfaction levels across groups? Does it identify the level of take-up of services by different groups of people? Does it identify how potential changes in demand for services will be tracked over time, and the process for service change?</p>	<p>It is estimated that the proposal will affect approximately 280,000 passenger journeys each year.</p> <p>A total of 378 responses were received during and immediately after the consultation period, of which 8 were in the form of petitions totalling 1,946 signatures. Of the individual responses received (excluding petitions):</p> <ul style="list-style-type: none"> ▪ Disagreed with the proposal: 299 ▪ Agreed with the proposal: 9 ▪ Did not state: 4

<p>Please include data and analysis as an appendix</p>	<p><u>Reasons for disagreeing to the proposals included:</u></p> <ul style="list-style-type: none"> ▪ Access to leisure/tourism: 290 ▪ Access to work: 166 ▪ Access to shops: 124 ▪ Access to health: 47 ▪ Access to education: 31 <p>In addition, 24 comments referred directly to issues concerning protected characteristic groups:</p> <ul style="list-style-type: none"> ▪ Affected on grounds of age (young/old): 22 ▪ Affected on grounds of belief/religion: 1 ▪ Affected on grounds of disability: 1 <p>In the comments received from Members of Parliament, County Councillors, and District, Borough, Town and Parish Councils, a further 8 comments directly referred to issues concerning protected characteristic groups.</p> <p>See appendices 2, 3 and 4 of the <u>Proposed Reduction in Bus Subsidy report for detailed comments.</u></p>
<p>2.3 Are there areas where we need more information? How could we get this information?</p> <p>What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately e.g. compliments and complaints? Are there national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?</p> <p>Do you need to do more engagement work to inform this impact assessment? Have you identified information in other sections of this EIA that you need to assess the impact on different groups of people? What</p>	<p>The current consultation has been aimed at all residents of North Yorkshire; It is not expected that further information will be required.</p> <p>Comments received from the consultation suggested that there has not been sufficient investigation into individual services to gauge average usage and alternative measures. For example, one suggested that rather than removing all evening services from 7pm that selected evening services between 7 pm and the last service could be withdrawn which would still leave the last service to allow people to travel home. One said that withdrawing evening services Mon-Thurs could be taken but suggested that Fri – sun evening service be kept. Therefore should more information be sought first on each individual service and the impact to be cut? Or has this already been done (just to give some justification for cutting the service?)</p>

<p>do you want to find out? Which existing mechanisms can you use to get this information?</p> <p>Please refer to the Community Engagement toolkit on the NYCC intranet</p>	
<p>2.4 How will you monitor progress on your policy/service, or take-up of your service?</p> <p>What monitoring techniques would be most affective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service? How often does the policy/service need to be reviewed? Who would be responsible for this?</p>	<p>Correspondence will continue to be monitored after any decision is made.</p>

3. Assessing the Impact

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence.

3.1 Has an adverse impact been identified for one or more groups?

Has this assessment shown anything in the policy, plan or service that results in (or has the potential for) disadvantage or discrimination towards people of different groups? Which groups?

Do some needs/ priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?

An adverse impact in terms of disadvantage has been identified for those people who do not have access to alternative transport, this is likely to pose a particular issue for the young and old and disabled people who are less likely to have access to private transport.

The consultation also identified that there were also concerns regarding the perceived economic impact of particular areas, for example, withdrawing evening and weekend services to and from Whitby.

It must be noted that this proposal does not mean that all evening and Sunday bus services will be withdrawn, a number of bus services, mainly in Scarborough, Harrogate and Selby will continue to be provided on a commercial basis. In addition it should also be noted that due to the rurality of the county there are many areas that already do not have regular bus services and rely on their own private or community transport to access essential services.

3.2 How could the policy be changed to remove the impact?

Which options have been considered? What option has been chosen?

The current option has been chosen because it minimises the impact in comparison with the alternative withdrawal of daytime services.

An assessment of the implications of retaining all evening and Sunday services by increasing fares has been undertaken. This indicates that fares would have to increase by £3 per journey with no reduction in trips for the services to be retained without subsidy. It is unlikely that people would continue to travel in the face of such increases.

The implications for service 93 in particular have been assessed. The cost of the evening service between Whitby and Scarborough is £16,896 per annum, typically about 850 passenger journeys paying on average £1 (this includes concessionary passengers). In order for the service to be sustainable the fares paid would have to increase by £1.60 per passenger journey. On Sundays, the average fare per

	<p>passenger journey is £1 and this would need to increase by £2.47 for the service to be retained on the basis of fares paid.</p> <p>It is important to explore every opportunity to minimise the impact and in order to achieve this we will continue discussions with bus operators and community transport providers to identify any opportunities to retain services after April 2011.</p>
<p>3.3 Can any adverse impact be justified?</p> <p>If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?</p> <p>Please seek legal advice on whether this can be justified.</p>	<p>The proposed changes have been identified so as to maintain the integrity, wherever possible, of the Monday to Saturday day time network, and therefore preserve current conventional access to key services such as Education, Health, Food, and Employment.</p> <p>The Council recognises that valid concern were raised by the consultation but considers that the impact of the course of action proposed is less than available alternatives which would have affected the Monday to Saturday daytime network which provides essential access for as many residents as possible and increase the likelihood that some communities would be isolated.</p>
<p>3.4 Are you planning to consult people on the outcome of this impact assessment?</p> <p>When and how will you do this? How will you incorporate your findings into the policy?</p>	<p>The outcome of the public consultation will be published at the end of the decision making process. No specific consultation will be undertaken on this impact assessment.</p>
<p>3.5 How does the service/policy promote equality of opportunity and outcome?</p> <p>Does the new/revised policy/service improve access to services? Are resources focused on addressing differences in outcomes?</p>	<p>Whilst the proposed changes do not improve access to services, it aims to preserve key essential services wherever possible, whilst faced with a reduced and diminishing budget.</p>

Action Plan					
What are you trying to change (outcome)?	Action	Officer responsible	Deadline	Other plans this action is referenced in (e.g. Service Performance Plan, work plan)	Performance monitoring
	Explore every opportunity to minimise the impact and in order to achieve this we will continue discussions with bus operators and community transport providers to identify any opportunities to retain services after April 2011.				



North

Yorkshire County Council

Equality Impact Assessment Template

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Undertaking an Equality Impact Assessment

Equality Impact Assessments (EIA) should be undertaken at the business case stage when:-

- You are developing a new service or policy
- You are reviewing an existing service or policy
- You are proposing a change to an existing service or policy
- You are reviewing a service or policy carried out on behalf of the council or another organisation
- Your service is re-organised.

They should be referenced in your final recommendations on the service changes so that decision makers can reach an informed decision on the service/policy.

An EIA should cover all the social identity characteristics protected by equality legislation – referred to as ‘protected characteristics’ or equality strands. These are;

- Sex
- Sexual orientation
- Religion or belief
- Ethnicity
- Race – this include ethnic or national origins, colour and nationality
- Disability (including unpaid carers)
- Pregnancy and maternity
- Gender reassignment

There is a lot of information available to support you in completing this assessment on the EIA pages on the NYCC intranet

The Council must publish your equality impact assessment and a summary will be included on the NYCC website in line with statutory requirements. Please be aware that it will become a public document.

Name of the Directorate and Service Area	Children and Young People's Service		
Name of the service/policy being assessed	Integrated Services		
Is this the area being impact assessed a	Policy & its implementation?		Service? ✓
	Function		Initiative?
	Project?		Procedure & its implementation?
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?		
	Proposed service or a policy and its implementation?		
	Change to an existing service or a policy and its implementation?		✓
	Service or Policy carried out by an organisation on behalf of NYCC?		
How will you undertake the EIA? Eg team meetings, working party, project team, individual Officer	Individual officer		
Names and roles of people carrying out the Impact Assessment	Carolyn Bird Assistant Director, Strategic Services; Marc Mason, Strategic Development and Commissioning Manager, Julia Lowery, Integrated Service Manager		
Lead Officer and contact details	Carolyn Bird Assistant Director, Strategic Services 01609 53 2147		
Date EIA started			
Date EIA Completed			
Sign off by Service Head/ Business Unit Head			
Sign off by Assistant Director (or equivalent)			
Date of Publication of EIA			

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

1.1 Describe the service/policy

What does the service/policy do and how? Who does it benefit? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how? Who are the stakeholders? How would you describe the policy to someone who knows very little about Council Services?

How is the policy, plan or service linked to relevant legal frameworks (including equality legislation) and national and local performance targets? Are there any other policies or services which might be linked to this one? Have you reviewed the EIA for these policies/services? What do they tell you about the potential impact?

How will the policy be put into practice? Who is responsible for it?

Integrated Services covers a number of aspects. Firstly, it has direct responsibility for the delivery of preventative services for families with young children, though a network of Children's Centres.

It has responsibility for ensuring that across the directorate and across other agencies working with and for children, young people and their families, there is secure partnership working in order to develop and deliver services, and to address the needs of vulnerable children and families.

It has responsibility for ensuring, through the Common Assessment Process, individual children are supported in order to help them overcome specific difficulties.

It has responsibility for the provision of information advice and guidance for parents through the Family information Service, and for supporting providers of early education and childcare, in the independent, maintained and private sectors.

Provision of Children's Centres is encompassed in the 2008 Children Act. The information duty is within.##### The promotion of agencies working in partnership is enshrined in the Children Act 2004.

The proposed new structure aims to:

- Provide more family support work
- Enable greater numbers of common assessments (which bring together support for individual vulnerable children) to be handled
- Make sure that we can pay careful attention to making sure there is a secure interface between Integrated Services support for children and Children's Social Care

	<ul style="list-style-type: none"> ● Enable us to have thriving children’s centres, working in clusters, seeking out and reaching families in need, busy much of the time and involving parents and community volunteers ● Have fewer staff dealing with buildings, finance and data, and more helping parents directly and making sure the centres are open and accessible.
<p>1.2 How do people use the policy/service?</p> <p>How is the policy/service delivered? How do people find out about the policy/service? Do they need specialist equipment or information in different formats? How do you meet customer needs through opening times/locations/facilities? Can customers contact your service in different ways? How do you demonstrate that your service/policy is welcoming to all groups within the community?</p> <p>Does the policy/service support customers to access other services? Do you charge for your services? Do these charges affect everyone equally? Do some customers incur greater costs or get 'less for their money'? Are there eligibility criteria for the service/policy? Does the Council deliver this policy in partnership or through contracts with other organisations? How do you monitor that external bodies comply with the Council's equality requirements? How do you ensure that staff/volunteers delivering the service follow the Council's equality policies?</p>	<p>The service is delivered through a variety of settings. There are 37 Children’s Centres across North Yorkshire with a range of other buildings (eg village halls) that are used from time to time. The Family Information Service is a website, with a helpline attached. Support for individual vulnerable families comes from a range of staff, from parent support advisers working in people’s homes, through Children’s Centre staffing, to individual service managers working to co-ordinate others.</p> <p>No charges are made for services.</p> <p>Any family can become vulnerable, for a variety of reasons. This is a universal service, aspects of which are and should be targeted on the most vulnerable.</p> <p>In terms of individual support for vulnerable children, needs are assessed against the Vulnerability Checklist, agreed by the Children’s Trust and used widely.</p> <p>A limited number of services within the area of preventative work are delivered by the voluntary sector. Early Years and Childcare is delivered through schools, the voluntary sector and the private sector.</p> <p>The Children’s Trust encompasses a wide range of organisations working with children, young people and their families in North Yorkshire. As such, all organisations are expected to comply with appropriate equalities standards.</p>

2. Data (qualitative and quantitative) and monitoring

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

- Sex
- Sexual orientation
- Religion or belief
- Ethnicity
- Race – this include ethnic or national origins, colour and nationality
- Disability (including unpaid carers)
- Pregnancy and maternity
- Gender reassignment

2.1 Who is using the service?

What data do we use now? Is it broken down across protected characteristics (and are these categories consistent across all data sets)? How current is the data? Where is it from? Is it relevant?

Data is collected on individual young people who are receiving support through Common Assessment. Information on users of children's centres is similarly collected. There have been some inconsistencies in recording, but these have been addressed. These will cover Sex, ethnicity, race, disability, pregnancy and maternity. This is a relatively new service. Data is collected on live cases and specific centres.

2.2 Are there areas where we need more information? How could we get this information?

What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately e.g. compliments and complaints? Are there national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?

Data is used to inform service delivery. It is put with overarching data on population, achievement, health outcomes, youth justice data and other factors within the Children's Trust dataset to enable a detailed picture to be drawn of areas and appropriate targeting of services.

2.3 What does the data tell you?

Does the data show any differences in outcome for different groups e.g. differences in take up rates or satisfaction levels across groups? Does it identify the level of take-up of services by different groups of people? Does it identify how potential changes in demand for services will be tracked over time, and the process for service change?

It has always been the case that young fathers are less likely to access services for families. This is why working with young fathers has been, and will continue to be under the new structure – a priority.

Certain areas of the county show more vulnerability of families than others through a range of indicators. This has been taken account of in the proposed distribution of staff in the new structure.

Please include data and analysis as an appendix

<p>2.5 How will you monitor progress on your policy/service, or take-up of your service?</p> <p>What monitoring techniques would be most effective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service? How often does the policy/service need to be reviewed? Who would be responsible for this?</p>	<p>Reports are taken to the Children’s Trust. A dataset has been agreed and performance assessed against that.</p> <p>This is the first post-implementation review of integrated services. A further review will be carried out in 2011. The responsible officer would be the Assistant Director, Strategic Services.</p>
<p>2.6 How do you know whether your service meet the needs of all customers?</p> <p>What engagement work have you already done that can inform this impact assessment? Who did you talk to and how? What are the main findings? Can you analyse the results of this consultation across the protected characteristics? Are there differences in response between different groups? How did you feedback the findings of the engagement to those who were involved? How has this changed the plans for the policy/service?</p> <p>Please summarise the main findings from any engagement work.</p>	<p>The service is rooted in communities and services are tailored to the specific needs of communities. Children’s Centres have consultative groups.</p> <p>In terms of this review, staff across the county have been through SWOT analysis of our current work.</p> <p>None of the proposals seek to change any support for families. Indeed, they aim to increase that very support. The only areas of activity that will cease or reduce significantly are support for schools in developing an extended menu of opportunities for children, and a reduction in the intensity of centrally driven marketing of Sure Start and Children’s Centres. We are stopping that activity because, having developed the concept – it is now the schools’ responsibility to embed that practice in their daily management . They will be inspected by Ofsted on this. In terms of marketing activity, that will be taken forward at community level by Children’s Centres.</p>
<p>2.9 Do you need to do more engagement work to inform this impact assessment?</p> <p>Have you identified information in other sections of this EIA that you need to assess the impact on different groups of people? What do you want to find out? Which existing mechanisms can you use to get this information?</p> <p>Please refer to the Community Engagement toolkit on the NYCC intranet</p>	<p>Because we are not reducing or removing any service directly for vulnerable people – in any category, and in fact are increasing levels of support at the front line, it is considered that no further engagement work is required.</p>

3. Action Planning

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence.

3.1 Has an adverse impact been identified for one or more groups?

Has this assessment shown anything in the policy, plan or service that results in (or has the potential for) disadvantage or discrimination towards people of different groups? Which groups?

See 2.9 above

3.2 How could the policy be changed to remove the impact?

Which options have been considered and which one has been chosen?

See above. No adverse impact intended or anticipated.

3.3 Can any adverse impact be justified?

If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?

Please seek legal advice on whether this can be justified.

See above

3.4 Are you planning to consult people on the outcome of this impact assessment?

When and how will you do this? How will you incorporate your findings into the policy?

No

3.5 How does the service/policy promote equality of opportunity and outcome?

Does the new/revised policy/service improve access to Council services? Are resources focused on addressing differences in

The revised service should improve access in that it increases support for vulnerable children and families.

outcomes?	
3.6 Are there any other equality issues that haven't been covered through this impact assessment? Are there any other sections of the community that are affected? Why haven't these been included in the assessment? Are they picked up in other EIAs/services?	No.
Don't forget to transfer any issues you have identified in this section to the Equality Action Plan	

Action Plan				
Action	Officer responsible	Deadline	Other plans this action is referenced in (e.g. Service Performance Plan, work plan)	Performance monitoring arrangements

NYCC EIA

Name of the Directorate and Service Area	CYPS – Learning Youth & Skills – Integrated Youth Support		
Name of the service/policy being assessed	Proposed re-organisation of Integrated Youth Support		
Is this the area being impact assessed a	Policy & its implementation?		Service? yes
	Function		Initiative?
	Project?		Procedure & its implementation?
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?		
	Proposed service or a policy and its implementation?		
	Change to an existing service or a policy and its implementation?		Yes
	Service or Policy carried out by an organisation on behalf of NYCC?		
How will you undertake the EIA?	Individual Officer		
Names and roles of people carrying out the Impact Assessment	Louise Dunn, Principal Officer (Integrated Youth Support)		
Other officers involved in the assessment	Chris McGee, Assistant Director, LYS		
Lead Officer and contact details	Louise Dunn 01609 535770		
Date EIA started	Oct 2010		
Date EIA Completed	Oct 2010		
Sign off by Service Head/ Business Unit Head	Chris McGee		
Presented at Directorate Equality and Diversity Working Group			
Date and place of Publication of EIA			
Monitoring and review process for EIA			

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

1.1 Describe the service/policy

What does the service/policy do and how? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how? Who are the stakeholders? How would you describe the policy to someone who knows very little about Council Services?

Does the policy, plan or service reflect relevant legal frameworks (including equality legislation) and national and local performance targets? Does the service/policy adhere to the principles of the [social model of disability](#)?

Are there any other policies or services which might be linked to this one? Are they being impact assessed?

How will the policy be put into practice? Who is responsible for it?

Integrated Youth Support (IYS) was established in April 2008 and takes a lead or contributes to various national and local targets contained within the NYCC Children and Young People's Plan. In particular these relate to PSA 14 including:
Reduction of young people not in education employment or training (NEET)
Reduction of First Time Entrants to the youth criminal justice system
Reduction of teenage pregnancies
Reduction of substance misuse amongst young people
Increased participation in positive activities.

IYS works predominantly with young people aged 11 – 19 and up to 25 for those with Learning difficulties / disabilities (LDD)

IYS provides universal services for all young people through contracts with providers and directly through staff employed and managed by NYCC. It provides access to impartial information, advice and guidance to ensure all young people receive the information the need to make informed choices. It signposts young people to other services that can offer support and it offers a referral route into Targeted Youth Support (TYS) for those young people who receive additional targeted support due to their vulnerabilities. This service provides early intervention and support with the aim of preventing young people's problems from escalating.

The proposals within the service review are to ensure that IYS has can meet the challenge of making financial savings whilst retaining a structure that can continue to meet the priorities for the CYPS. The The restructure will conform to the NYCC policy for reorganisation.

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

1.2 Is the policy/service you are impact assessing physically accessible?

Is the policy/service delivered in the right locations? Are locations welcoming and appropriate for its function and customer needs? Are the opening times accessible? Have you carried out an [access audit](#)? Do you provide specialist equipment to help people access your services if it is needed?

Does the policy/service promote or further enable access to services?

IYS has 6 hubs across the county but these are not the only venues from which the service is delivered. Most of the work with young people takes place in universal settings such as schools and youth venues. TYS takes place where it is most appropriate for the young person including in their home or another social venue.

There are no standardised opening times for the hubs and depending on capacity these are opened for different lengths of time in each area. When open they provide a drop-in facility for young people who can obtain IAG on a range of issues including careers guidance.

As the majority of young people in North Yorkshire are in education, employment or training this facility is used predominantly by those who are NEET.

Service users views are regularly sought and used to inform further developments of the physical environment within the hubs including furniture and décor.

The proposed restructure will impact on the opening of the hubs but will not impact on the majority of IYS activity which takes place outside the hub.

1.3 Is the information and communication provided accessible to everyone?

Is information and correspondence [accessible](#) and does it use appropriate language? Do your documents include an Accessibility Statement ([link to Accessibility Statement](#)) and will you provide information in other formats on request? Remember to think about the needs of people who are disabled or people whose first language is not English. Can customers contact your service easily and accessibly in a range of different ways? Do people know how to contact you?

All materials used within IYS are subject to scrutiny by young people and therefore are in language and format suitable to their needs. All materials are available in different languages and large print where required and some materials are produced in a format and use symbols for young people with LDD.

This restructure will not impact on the accessibility of written / electronic materials.

Based on feedback and recommendations from young people the intention is to improve the electronic accessibility to IAG through the provision of a remote guidance service which will operate outside

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

<p>Does information avoid the use of stereotypical language, or negative images of different groups of people? Does the information adhere to the principles of the social model of disability?</p> <p>Do you consider customer needs when arranging the timing and venues of meetings or events?</p>	<p>normal working hours.</p>
<p>1.4 How is your service/policy delivered?</p> <p>Do you charge for your services? Do these changes affect everyone equally? Do some customers incur greater costs or get 'less for their money'?</p> <p>Are there eligibility criteria for the service/policy?</p> <p>Does the Council deliver this policy in partnership or through contracts with other organisations? How do you ensure that external bodies comply with the Council's equality requirements?</p> <p>Is the policy delivered with volunteers? Does this raise any implications e.g. training needs? Are volunteer opportunities available to all?</p>	<p>There is no charge for IYS.</p> <p>The proposals will not affect this policy.</p>

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

2.1 What data do we use now? Is it broken down by equality and diversity categories?

How current is the data? Where is it from? Is it relevant? Are the equality and diversity categories consistent across all the data used?

All data on young people is recorded on the Connexions Information System which is managed by the Performance and Outcomes team within CYPS.

As the Connexions staff currently working in the hubs do the majority of tracking of young people who are NEET there is the risk that this information will become less robust and impact on the NEET figures. Contingency plans are in place including the extension of the existing MIS to become an IYS system which will then capture interventions from partners. This should improve the range of information being gathered on young people and assist with tracking.

2.2 Are there areas where we need more information? How could we get this information?

What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately eg compliments and complaints? Are the national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?

See above comment on the extension of the MIS

2.3 What analysis have you carried out on the data?

Does the analysis include general demographic trends and local specific trends such as ageing, migration and the nature of minority

The MIS and data collected conforms to the national Connexions data management requirements.

Data is regularly used by IYS and partners to identify the cohort of young people, NEET figures etc. Data is used to plan interventions and

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

ethnic communities and other diverse groups eg lesbian, gay, transgender etc? Does it include trends about specific sectors as appropriate eg education, transport, housing, retail and business opportunities?

Does your policy or plan identify how changes in demand for services and potential demand will be tracked over time, and the process for influencing service change?

Does it identify the level of take-up of services by different groups of people?

Is it free of generalisations or stereotypical notions about people of different groups and does it reflect the diversity of people in North Yorkshire? Does it identify the equality profiles of users/beneficiaries and staff?

provision and to report against national targets.

The proposal will not affect this.

2.4 What does the analysis of the data show?

Does the data show any differences in outcome for different groups? Eg differences in take up rates or satisfaction levels across groups. Is it what you expected? Does it change earlier assumptions?

Please include data and analysis as an appendix

Data indicates the current status of young people. Individual records provide more detailed information on the support young people have received and progress made against goals.

The proposal will not affect this.

2.5 What are the mechanisms for the ongoing monitoring of progress on your policy/service, or monitoring take-up of your service?

Performance and Outcomes team in CYPS maintain the MIS and ensure that upgrades and data collection complies with national requirements.

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Given the information above do monitoring mechanisms need to be altered to make sure that all the required data is captured? What monitoring techniques would be most effective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service?

The proposal will not affect this.

How often does the policy/service need to be reviewed? Who would be responsible for this?

2.6 Does your service meet the needs of all customers?

How do you know? How do you check? Do some needs/priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?

The delivery model of IYS ensures that it meets its service objectives to provide a service that is accessible to all young people through its contracted provider delivering in schools/colleges, its direct delivery to enhance provision in the community and through partnership working with partners working with different groups of young people in different settings including those with LDD, marginalised groups such as LGBT and those living in vulnerable communities.

The proposal will have an impact on some of the direct delivery work of the service. This will be off-set by increased work through partners.

2.7 What consultation have you already done that you can use to inform this impact assessment? Please summarise the main findings from the consultation

Can you analyse the results of this consultation by social identity eg race, gender, age, disability, faith, Sexual orientation

Annual surveys of young people are used to inform the development of the hubs and the service delivered from them. IYS including external providers undertake user surveys to identify gaps in provision and quality of delivery.

Who did you consult and how? What are the main findings? Are there differences in response between different groups? Are there

These surveys show a high level of satisfaction with the services being provided and the quality of information and support being received.

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

more findings yet to come?

NB - if this is an update please say when this information has been added. Did you find that some groups felt that they were adversely affected by the policy/service? Did you feedback the findings of the consultation to those who were involved?

There may be some concerns raised by young people regarding the proposed changes but the intention is to maintain a high level of communication and involvement of youth groups to ensure that they are aware of changes.

2.8 What is the communication strategy to advertise and promote your plan, policy or service?

Once the final delivery model is known there will be communication events in each area with practitioners, partners and young people to notify them about the changes. Young people's views will be sought on how best to meet gaps in provision that may arise following the implementation of changes.

2.9 Is there any more consultation that you need to do to inform this impact assessment?

Have you identified in other sections of this impact assessment information that you need to assess the impact of the service/policy on different groups of people

The impact on equality will feature throughout the formal consultation phase of the reorganisation.

2.10 How and when you will consult service users about this policy/service in the future?

What do you want to find out? Who will you consult with? What method will you use? What are the potential or known barriers for different equality groups of your chosen method? How will you overcome this? Have you considered the accessibility of your consultation? (see [consultation toolkit](#))

When will findings be available? Will the consultation/involvement be ongoing, regular or a one-off?

Once the new structure is established the normal process for engaging young people and seeking feedback will resume.

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

2.11 Will you use existing consultation mechanisms?

Will consultation utilise existing NYCC communication, consultation and engagement mechanisms rather than setting up new mechanisms? Eg the [Citizens panel](#), disability reference groups, the employee equality forum? [\(link to mechanisms\)](#)

YES

If not please explain why

2.12 What do people from different groups want?

Have you asked people from different groups what they need or want? What was the outcome of this? Is this reflected in your policy/service

The proposal has been led by the need to make efficiency savings. The proposed model has attempted to include recommendations and suggestions made by service users in the past to improve accessibility and to respond to changing social and technological environments.

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

3. Best Practice

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

<p>3.1 Is there a Lead Officer at a senior level for this policy/function?</p> <p>Is the Lead Officer fully aware of equality and diversity issues generally and those specific to this policy? Are they regularly briefed/updated on equality and diversity? (more specific)</p>	<p>The reorganisation is being led by the Assistant Director (LYS) supported by the Principal Officer (IYS)</p>
<p>3.2 Are staff training needs identified?</p> <p>Do staff understand wider equality and diversity issues and the issues specific to this policy? Are staff sufficiently aware of equality and diversity issues to allow them to signpost to information about this and other policies, plans or services - to promote better customer care?</p> <p>If training needs identified contact your Directorate representative.</p>	<p>YES</p>
<p>3.3 Is the role of key partner organisations identified?</p> <p>Are key partners identified and their role in equality and diversity issues explained?</p>	<p>YES</p>
<p>3.4 Does the policy/service link with the support the Council's Social Inclusion Strategy?</p>	<p>YES</p>
<p>3.5 Does the policy contribution to better community cohesion?</p> <p>Does it promote good relations between different communities?</p>	<p>YES</p>

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

4. Action Planning

Please **consider issues** around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

4.1 Has an adverse impact been identified for one or more groups?

Has the consultation or data analysis shown anything in the policy, plan or service that results in disadvantage or discrimination towards people of different groups? Which groups?

The proposal may affect the universal access to the service for IAG and potentially could impact more on those young people who are NEET.

Those most vulnerable will continue to receive the same level of support.

Support for young people with LDD has been increased through the contract for the service delivered in schools and colleges.

4.2 How could the policy be changed to remove the impact?

Have you considered all the different options? If you feel that you don't have enough information to decide this, one of your actions may be around gathering more information.

Increase accessibility to IAG through a remote service operating outside normal office hours.

Working with partners to improve referral pathways and increase the use of appointments to ensure those requiring 1-1 support receive it.

4.3 Are you planning to consult people on the outcome of this impact assessment?

When and how will you do this? How will you incorporate your findings into the policy?

No. Once the proposal has been adopted the new delivery model will be communicated to all stakeholders including service users.

4.4 Can any adverse impact be justified?

If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?

Yes due to the unprecedented time of financial challenges requiring all service areas to meet financial constraints.

4.5 Are equality and diversity principles promoted and mainstreamed?

The proposal will not affect this criteria.

4. Action Planning

Please **consider issues** around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

Even if there isn't any adverse impact are there actions that could be undertaken to promote and mainstream equality and diversity principles? Is best practice being followed, and being disseminated to others?

4.6 Are there any other equality issues that haven't been covered through this impact assessment?

Are there any other sections of the community that are affected?

The proposal will not affect this criteria.

4.7 Service Performance Planning

Are equality issues addressed in your service performance plans?
How will the issues raised in this Impact Assessment be incorporated into your mainstream planning?

How will equality issues be monitored?

Yes

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

Equality Action Plan

Issue	Considerations	Objective	Action	Timescale & Lead Officer
What are the key equality issues identified from the assessment and consultation and data analysis phases?	Are there any legal considerations/ implications? Can less favourable treatment be justified? Are there any other changes that need to be considered? Have you sought advice? Who from?	What outcome would you want to achieve? Is it achievable?	<p>What improvements could you make to achieve this outcome? What resources will you require to achieve this outcome?</p> <p>All actions identified here should be included in your Service Action Plan/ Equality & Diversity Action Plan</p>	
Possibility of NEET young people being disproportionately affected by proposed changes.	Risk justified in light of the level of changes required to meet the financial challenges. Contingency plans in place to minimise the negative impact.	Maintaining the level of support for those who are NEET. This is achievable if able to improve the appointment system.	Improve appointment system. Improve remote access to IAG requiring investment in technology for use by advisers working remotely and out of office hours.	Principal Officer (IYS) March 2011.

5. Publicity and Communication of the Equality Impact Assessment

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

	<u>Evidence</u>
<p>5.1 How will these results be published?</p> <p>Include reference to how results will be made accessible, plain English, summary/key points, who is the audience eg staff, community, services user etc.</p>	



North

Yorkshire County Council

Equality Impact Assessment Template

If you would like this information in another language or format such as Braille, large print or audio, please contact the Communications Unit on 01609 53 2013 or email communications@northyorks.gov.uk.

যদি আপনি এই ডকুমেন্ট অন্য ভাষায় বা ফরমেটে চান, তাহলে দয়া করে আমাদেরকে বলুন।

如欲索取以另一語文印製或另一格式製作的資料，請與我們聯絡。

اگر آپ کو معلومات کسی دیگر زبان یا دیگر شکل میں درکار ہوں تو برائے مہربانی ہم سے پوچھئے۔



Undertaking an Equality Impact Assessment

Equality Impact Assessments (EIA) should be undertaken at the business case stage when:-

- You are developing a new service or policy
- You are reviewing an existing service or policy
- You are proposing a change to an existing service or policy
- You are reviewing a service or policy carried out on behalf of the council or another organisation
- Your service is re-organised.


They should be referenced in your final recommendations on the service changes so that decision makers can reach an informed decision on the service/policy.

An EIA should cover all the social identity characteristics protected by equality legislation – referred to as ‘**protected characteristics**’ or equality strands. These are;

- Sex
- Sexual orientation
- Religion or belief
- Race – this include ethnic or national origins, colour and nationality
- Disability – including carers
- Pregnancy and maternity
- Gender reassignment
- Age
- Marital/civil partnership status

There is a lot of information available to support you in completing this assessment on the EIA pages on the NYCC intranet

The Council must publish your equality impact assessment and a summary will be included on the NYCC website in line with statutory requirements. Please be aware that it will become a public document.

Name of the Directorate and Service Area	Children & Young People's Service / Quality & Improvement Service		
Name of the service/policy being assessed	Quality & Improvement Service		
Is this the area being impact assessed a	Policy & its implementation?		Service? ✓
	Function		Initiative?
	Project?		Procedure & its implementation?
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?		
	Proposed service or a policy and its implementation?		
	Change to an existing service or a policy and its implementation?		✓
	Service or Policy carried out by an organisation on behalf of NYCC?		
How will you undertake the EIA? Eg team meetings, working party, project team, individual Officer	Whole service meetings Team meetings Thematic workshops		
Names and roles of people carrying out the Impact Assessment			
Lead Officer and contact details	John Bell		
Date EIA started	30 November 2010		
Date EIA Completed	1 January 2011		
Sign off by Service Head/ Business Unit Head			
Sign off by Assistant Director (or equivalent)	John Bell		
Date of Publication of EIA	4 th February 2011		
Monitoring and review process for EIA	1 March 2011 then bi-annually		

1. Operating Context

Please consider issues around impacts (positive or negative) raised for all [protected characteristics](#) and show your evidence

1.1 Describe the service/policy

What does the service/policy do and how? How would you describe the policy to someone who knows very little about Council Services?

If there is a proposal to change the service or policy, describe what it looks like now and what it is intended to look like in the future. What are the drivers for this proposed change?

Who does it benefit? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how? Who are the stakeholders? identify those protected characteristics for which this service is likely to have an impact (positive or negative)

Are there any other policies or services which might be linked to this one? Have you reviewed the EIA for these policies/services? What do they tell you about the potential impact?

How will the policy be put into practice? Who is responsible for it?

Quality assurance service to schools and settings. Carrying out statutory school improvement functions on behalf of the Local Authority.

The proposal for change is to reduce the number of posts but to maintain its core function. The drivers for change are largely financial both nationally and locally as well as changes to functions proposed by the government.

The service in the future will be reduced by 31 staff. Its twin functions will be to maintain a working relationship with all schools and settings and to provide school improvement services particularly to schools in difficulty.

The changes do not really benefit anyone or any group in particular. Clearly the proposed changes will affect 31 individual members of staff. The restructuring of the service will probably have the greatest effect on consultants as this position will not be part of the structure. However, similar positions – Education Development Adviser posts will be available for appropriate candidates.

Another distinct group which will be potentially hit hardest by the proposals are those who work in 'Early Years'. There is a significant reduction in numbers directly linked to funding and function.

Great efforts are being made to maintain the integrity of the service in the restructure and enormous efforts have been made to protect those characteristics of service which are most valued by schools and settings.

Nonetheless the clear change in the national agenda does mean as a LA we will have to work in a formally differentiated way with schools. Meaning simply, we will be less involved with some schools. This will affect our influence.

The policy/new structure will be put in place over the following timeline:

November – February 2011 – 90-day consultation;

March – May 2011 – new structure interviews;

	<p>May – September – Policy and Planning; September 2011 – new service launched. The Assistant Director, Q&I and C&YPS Corporate Director are responsible.</p>
<p>1.2 How do people use the policy/service?</p> <p>How is the policy/service delivered? How do people find out about the policy/service? Do they need specialist equipment or information in different formats? How do you meet customer needs through opening times/locations/facilities? Can customers contact your service in different ways? How do you demonstrate that your service/policy is welcoming to all groups within the community?</p> <p>Does the policy/service support customers to access other services? Do you charge for your services? Do these changes affect everyone equally? Do some customers incur greater costs or get 'less for their money'? Are there eligibility criteria for the service/policy?</p> <p>How do you ensure that staff/volunteers delivering the service follow the Council's equality policies? Does the Council deliver this policy in partnership or through contracts with other organisations? How do you monitor that external bodies comply with the Council's equality requirements?</p>	<p>All potential changes to the service will be communicated to users formally through school improvement network meetings and other consultation groups. Changes will be communicated to staff throughout via team workshops, theme workshops, one-to-one meetings, weekly written updates. Our service is traditionally a universal service working with all schools and settings. This will continue to be the position. A major development in the new service will be the comprehensive charging system to schools – via a Service Level Agreement. These changes have been consulted on with schools and broadly there is agreement for this development. Charges will reflect size and phase of school. All schools who may be in difficulty will continue to receive a service from Q & I. Q & I abides by and uses the Corporate Equalities Policy. This has been developed and monitored by an internal working group. Equality schemes and supporting guidance has been sent to and promoted with all schools.</p>

2. Understanding the Impact (using both qualitative and quantitative data)

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

<p>2.1 What information do you use to make sure the service meets the needs of all customers?</p> <p>What data do we use now? Is it broken down across protected characteristics (and are these categories consistent across all data sets)? How current is the data? Where is it from? Is it relevant?</p>	<p>We use a wide range of data and information to ascertain the quality and quantity of service we provide to schools. This includes school profiles, FFT data, annual scores. None of this will be affected by the changes. Internally we have a strong culture and process of performance management which constantly informs of individual and service needs. Throughout this consultation exercise there has been and there are</p>
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<p>What engagement work have you already done that can inform this impact assessment? Who did you talk to and how? What are the main findings? Can you analyse the results of this consultation across the protected characteristics? Are there differences in response between different groups? How has this changed the plans for the policy/service?</p>	<p>planned whole-team meetings, workshops and individuals sessions. All are recorded and will have influence on the final structure. The weekly assembly or published questions is a running commentary on the process. Our process is transparent and based on regular and acknowledged communication. The plans for the restructure are undergoing a 90-day consultation period. Undoubtedly responses received will have a significant impact on the formal restructuring.</p>
<p>2.2 What does the information tell you?</p> <p>Are there any differences in outcome for different groups e.g. differences in take up rates or satisfaction levels across groups? Does it identify the level of take-up of services by different groups of people? Does it identify how potential changes in demand for services will be tracked over time, and the process for service change?</p> <p>Please include data and analysis as an appendix</p>	<p>The information received within the service so far is telling us/me a considerable amount about individual and group needs and levels of satisfaction or otherwise. This is being taken into account and regularly fed back to all staff. It will impact on what the service will finally look and feel like.</p>
<p>2.3 Are there areas where we need more information? How could we get this information?</p> <p>What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately e.g. compliments and complaints? Are there national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?</p> <p>Do you need to do more engagement work to inform this impact assessment? Have you identified information in other sections of this EIA that you need to assess the impact on different groups of people? What do you want to find out? Which existing mechanisms can you use to get this information?</p> <p>Please refer to the Community Engagement toolkit on the NYCC intranet</p>	<p>Internally: Information gathering is on-going and will not be complete until 13 February.</p> <p>Externally: Further information is required from schools re SLA. This is in hand. Schools will be sent formal proposals by the end of January and this will be followed up at the Spring SIN meetings.</p>

2.4 How will you monitor progress on your policy/service, or take-up of your service?

What monitoring techniques would be most effective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service? How often does the policy/service need to be reviewed? Who would be responsible for this?

Progress will be monitored during the consultation through a weekly update sheet and formal feedback sessions at the Q&I days in December and January.

Thereafter the structure and its development will be annotated in a business plan. The service will be reviewed on an on-going basis and formally on an annual basis. The Assistant Director will be responsible for this.

3. Assessing the Impact

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence.

3.1 Has an adverse impact been identified for one or more groups?

Has this assessment shown anything in the policy, plan or service that results in (or has the potential for) disadvantage or discrimination towards people of different groups? Which groups?

Do some needs/ priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?

Still under consultation.

Service delivery

Q&I roles currently make explicit support for schools in analysing outcomes for pupils with protected characteristics, and to develop policies, provision and practice to improve their attainment and achievement.

Within the proposed structure there will be reduced capacity for the service to provide support around these groups specifically:-

- pupils with special educational needs and disabilities (in mainstream and special schools)
- pupils from minority ethnic backgrounds, including those from Traveller communities
- lesbian, gay, bisexual and transgender young people
- young people who become pregnant before the age of 18

Workforce

- There could be potential for the new structure to have a disproportionate negative impact (displacement) on women due to their current part-time working arrangements (all part-time workers are women currently).
- Use of attendance data as part of the selection process could discriminate against a disabled employee if their absence had been related to their disability. There was also concern that the

	<p>preferencing process may not enable the workforce to disclose their disability.</p> <ul style="list-style-type: none"> • The new structure will have a disproportionate negative impact on women, particularly as displacement will only affect colleagues within the general adviser and consultant bands, which are predominantly women. <ul style="list-style-type: none"> - Of the current Q&I advisers and consultants 79% are female. - When considering general adviser and consultants only, this figure rises to 88% • The appointment of EYFS consultants to children centres has the potential to result in a number of negative impacts which could all disproportionately affect women, namely:- <ul style="list-style-type: none"> - pay and conditions - line management arrangements - required to travel to place of work some distance from home without remuneration for expenses and which may make meeting childcare commitments impractical or even impossible • the restructuring process could impact negatively on colleagues just below the threshold for retirement as their pension benefits will be significantly reduced if their position in the new structure is on a lower pay scale
<p>3.2 How could the policy be changed to remove the impact?</p> <p>Which options have been considered? What option has been chosen?</p>	<p>To be seen/unveiled after the 90-day consultation period.</p> <p>Service Delivery</p> <p>Options to be considered include:-</p> <ul style="list-style-type: none"> • Responsibility for promoting the participation and achievement of these groups will be embedded within the job descriptions of all LAs and EDAs within the new structure • Job descriptions for some roles could be made more specific to include remit for some/all of these areas of work • Equality action plan arising from the EIA could include an action to identify how these work strands will be covered once appointments have been made to the new structure <p>Workforce</p> <ul style="list-style-type: none"> • Part-time working will be protected under the new structure and will not be part of the criteria for appointment to the new structure • The workforce will be given the opportunity to self-certify as

	<p>disabled during the preferencing stage and a reasonable adjustment might be not to consider absences due to a disability when making appointments.</p> <ul style="list-style-type: none"> • General advisers have been given the option to preference for lead adviser posts in the new structure • The possibility of adjusting the EDA band upwards is being investigated.
<p>3.3 Can any adverse impact be justified?</p> <p>If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?</p> <p>Please seek legal advice on whether this can be justified.</p>	<p>Probably – given the prescribed changing role and powers of school improvement services laid down by government and impending statute.</p> <p>Workforce</p> <ul style="list-style-type: none"> • The decision to retain LAs at the proposed pay band has been justified for future recruitment and retention of appropriately qualified leadership staff from schools. • The decision to appoint EYFS consultants to QTS positions linked to Children’s Centres reflects changing government policy and associated funding for school improvement services. The negative impact will inevitably affect women disproportionately as they currently make up 96% of the current workforce (all but 1) • Any negative impact to the pensions of affected staff just below the retirement age will be determined by corporate policy in this respect.
<p>3.4 Are you planning to consult people on the outcome of this impact assessment?</p> <p>When and how will you do this? How will you incorporate your findings into the policy?</p>	<p>Yes initially in the January 2011 Q & I day. Following this there was a further specific consultation opportunity for all colleagues, including those from protected groups, to make representations for inclusion in the EIA. The final outcomes of the EIA are being circulated during the 90 day consultation period., and the EIA will be published according to corporate guidelines.</p>
<p>3.5 How does the service/policy promote equality of opportunity and outcome?</p> <p>Does the new/revised policy/service improve access to services? Are resources focused on addressing differences in outcomes?</p>	<p>Yes the absolute design of the service is focussed on addressing the difference in outcomes for individual schools/settings and children, including those from protected groups.</p>
<p>Don’t forget to transfer any issues you have identified in this section to the Equality Action Plan</p>	

Action Plan					
What are you trying to change (outcome)?	Action	Officer responsible	Deadline	Other plans this action is referenced in (e.g. Service Performance Plan, work plan)	Performance monitoring
See consultation/implementation timeline					
Service Delivery <ul style="list-style-type: none"> Ensure capacity to provide advice and support to schools around participation and achievement of protected groups is maintained 	<ul style="list-style-type: none"> Responsibility for promoting the participation and achievement of protected groups will be embedded within the job descriptions of all LAs and EDAs within the new structure Job descriptions for some roles to be made more specific to include remit for some/all of these areas of work Prior to implementation of new structure, map workstreams in relation to protected groups , provide appropriate support and training to 	<p>AD</p> <p>AD</p> <p>AD/ LA - VL</p>	<p>Feb 28 2011</p> <p>Feb 28 2011</p> <p>September 2011</p>		<p>Report to SLT/CYPLT</p>

	ensure the remit can be fulfilled, and ensure this is monitored through performance management				
Workforce Minimise negative impact on any protected groups of restructuring	<ul style="list-style-type: none"> • Confirm that part-time working arrangements will be protected and will not be part of the criteria for appointment to new structure • Give the workforce the opportunity to self-certify as disabled during the preferencing stage and make the reasonable adjustment to not consider absences due to a disability when making appointments. • General advisers have the option to preference for lead adviser posts in the new structure • Investigate the possibility of adjusting the EDA pay band upwards. • Issue clarification on pension protection 	AD/SHRA	Feb 2011		
		AD/SHRA	Mar 2011		
		Complete			
		AD	Feb 2011		
		AD	Feb 2011		



North

Yorkshire County Council

Equality Impact Assessment - Proposed Revisions to the Home to School and College Transport Policy

If you would like this information in another language or format such as Braille, large print or audio, please contact the Communications Unit on 01609 53 2013 or email communications@northyorks.gov.uk.

যদি আপনি এই ডকুমেন্ট অন্য ভাষায় বা ফরমেটে চান, তাহলে দয়া করে আমাদেরকে বলুন।

如欲索取以另一語文印製或另一格式製作的資料，請與我們聯絡。

اگر آپ کو معلومات کسی دیگر زبان یا دیگر شکل میں درکار ہوں تو برائے مہربانی ہم سے پوچھئے۔



Name of the Directorate and Service Area	Children and Young People's Service. Access and Inclusion		
Name of the service/policy being assessed	Home to school and college transport policy		
Is this the area being impact assessed a	Policy & its implementation?	✓	Service?
	Function		Initiative?
	Project?		Procedure & its implementation?
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?		
	Proposed service or a policy and its implementation?		
	Change to an existing service or a policy and its implementation?		
	Service or Policy carried out by an organisation on behalf of NYCC?		
How will you undertake the EIA? E.g. team meetings, working party, project team, individual Officer	A small group of officers from the Children and Young People's Service and Business and Environmental Services has developed this draft EIA. It will be published on the Council's consultation website and will be amended in light of the consultation on proposed revisions to the existing policy. It will be included as a completed document in the report to the Council's Executive on the outcomes of the consultation.		
Names and roles of people carrying out the Impact Assessment	Andrew Terry, Assistant Director, A&I Cindy Grundy, Client Transport Manager Phil Mellor, Access Manager Richard Owens, Assistant Director, IPT		
Lead Officer and contact details	Phil Mellor, Access Manager, tel. 01609 532163, e-mail - phil.mellor@northyorks.gov.uk		
Date EIA started	1 st September 2010		
Date EIA Completed	At the end of the consultation period i.e. 17 th January 2011		
Sign off by Service Head/ Business Unit Head			
Sign off by Assistant Director (or equivalent)			
Date of Publication of EIA	With the report to the Executive, 1 st February 2011.		
Monitoring and review process for EIA	Those carrying out the EIA will review the responses to consultation and make appropriate revisions to the draft before it is signed off and included with the report to the Council's Executive Committee in February 2011.		

1. Operating Context

1.1 Describe the service/policy

The home to school and college transport policy affects approximately 18,000 North Yorkshire pupils and students who travel to school or college each day. It explains who is entitled to free or assisted transport and also the quality standards which apply to the provision.

The local authority has discretionary powers to make arrangements for children who are not entitled to free home to school transport to facilitate their attendance at school. There is no requirement for those discretionary arrangements to be provided free of charge.

None of the proposed changes to which this EIA relates are affected by the Authority's duty to provide free transport for "eligible children" under Schedule 35B, Education Act 1996 (as amended). Pupils and students aged 16-19, including those with special educational needs, with or without a statement, are not classified as "eligible children" under the Act. The Authority is therefore permitted to make a charge.

The Equality Act 2010, Schedule 3, Part 2 provides an exemption to discrimination on the grounds of religion or belief in relation to transport to or from school. Local Authorities remain under a general duty to 'have regard' to the wish of a parent for their child to be provided with education at a particular establishment on the grounds of the parents' religion or belief. However, other than the statutory duty towards secondary school pupils who are from low income families, there is no duty to provide free transport to denominational schools for children generally.

The local authority has a statutory duty to have regard to the DfE "Home to School Travel and Transport Guidance" May 2007. Whilst the local authority has a duty to avoid unreasonable public expenditure this must be weighed against recommended good practice to phase in changes to come into effect as pupils start school.

	<p>Section 508A of the Education Act 1996 places a general duty on local authorities to promote the use of sustainable travel and transport.</p> <p>The policy contains a number of discretionary provisions. Discretionary arrangements do not have to be provided free of charge. Changes may apply to students with special education needs, but they must not be treated less favourably than other students.</p> <p>These include: denominational or faith transport; equivalent cost arrangements and remission from charging for students with special educational needs, aged 16-19. These 3 areas of discretionary provision are the subject of this EIA because the Council's Executive Members decided on 17 September 2010 to consult on proposed revisions which would have the effect of removing them from the policy. If adopted the revisions to the policy would come into effect from September 2012 (progressively so in the case of denominational transport). The revised policy would be implemented by the Harrogate Education Office in considering individual applications for free or assisted transport and by Integrated Passenger Transport in making the necessary arrangements.</p>
<p>1.2 How do people use the policy/service?</p>	<p>The current home to school and college transport policy is available on the Council's website (www.northyorks.gov.uk) and is published annually in the Guide for Parents which is sent to parents of children starting school or transferring to secondary school. The Guide for Parents is available in other formats on request.</p> <p>The 3 areas of discretionary provision give additional entitlements to some pupils that others do not enjoy. The proposed revisions to policy are targeted at these specific areas of provision which, if implemented, would bring greater fairness and equity to transport provision.</p> <p>Students 16-19 with special educational needs would be charged for transport to school or college (as is already the case for all other</p>

	<p>students 16-19), the provision of equivalent journeys where parents choose other than the local or nearer school would cease. As regards denominational transport, the proposals would involve the levying of a charge for provision and the progressive withdrawal of all provision by fixed dates.</p> <p>Transport arrangements are made through contracts with commercial operators. Their contracts are compliant with the Council's equality requirements. Checks are carried out on contactors to ensure contract compliance.</p>
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2. Data (qualitative and quantitative) and monitoring

<p>2.1 Who is using the service?</p>	<p>Denominational transport – 1137 pupils (11-16) and 517 (primary age) are provided with free or assisted transport. These pupils attend Voluntary Aided schools. Equivalent Cost - 56 primary and 272 secondary school children are provided with assistance under this section of the policy. 16-19 charges for students with special educational needs – 221 students are not currently charged (all figures July 2010)</p>
<p>2.2 Are there areas where we need more information? How could we get this information?</p>	<p>Data is also held on a school by school basis, which will enable a more detailed assessment of the potential impact of the proposals. This data is available on the consultation website as an appendix to the September 17th 2010 report to Executive Members.</p>
<p>2.3 What does the data tell you?</p>	<p>The data indicates the extent to which there may be a potential impact on place planning and admissions to denominational schools. The extent of this will depend upon the willingness / ability of parents to pay a charge where previously the provision was free. Any impact on denominational schools would have a 'ripple' effect on the admissions system locally to those schools. Students 16-19 with special educational needs would be treated as all other 16-19 students. There would be no impact on other identity characteristics protected by equality legislation. Whilst the primary reason for proposing revisions to the policy in these areas of discretionary provision is financial, the</p>

	changes would also bring greater fairness and equity in transport provision, as the current policy gives additional entitlements to some pupils that others do not enjoy.
2.4 How will you monitor progress on your policy/service, or take-up of your service?	Data on pupil destinations and take-up of discretionary passes would be monitored to track the impact of the proposed withdrawal of discretionary transport. The policy is kept under review and an annual monitoring report is provided for Executive Members. This would include data on the impact of the changes, if adopted.
2.5 How do you know whether your service meet the needs of all customers?	<p>Public consultation will be undertaken 4 October 2010 to 17 January 2011.</p> <p>Parents of existing users of the service and potential users will be consulted along with the head teachers and governors of NY schools, neighbouring LA's and diocesan schools, diocesan representatives, County and District Council Members. Other parents and members of the public will be invited to comment via website and NYtimes article alerting them to consultation. This will allow the identification of any additional concerns and identify any unforeseen adverse impact. This EIA will be amended to take into account issues arising from the consultation so that the Executive has the most complete analysis when making decisions.</p> <p>Responses to the consultation will be included in the report to the Executive in February 2011 and will be published on the Council's website.</p>
2.6 Do you need to do more engagement work to inform this impact assessment?	It is considered that the consultation process will be sufficiently broad and also targeted to ensure full engagement.

3. Action Planning

3.1 Has an adverse impact been identified for one or more groups?	There would be an impact on the families of pupils entitled to assisted or free transport on the grounds of their parents' or carers' denomination or faith. There would be an impact on the parents of students aged 16-19 with special educational needs. There would be no impact on other protected characteristics.
3.2 How could the policy be changed to remove the impact?	<p>The home to school transport policy is a general policy. Each request for transport is considered and individual circumstances are taken into account when deciding if children are entitled to free home to school transport.</p> <p>A robust appeals procedure is in place for parents to follow should they have cause for complaint or disagreement concerning the eligibility of their child for travel support. The details of appeals procedures are published in the Guide for Parents document and on the Council's website.</p> <p>Integrated Passenger Transport would offer support, advice and guidance (but not financial subsidy) to affected schools and local transport providers to make alternative arrangements, should this be requested. This would also assist the Council in promoting sustainable travel and transport.</p>
3.3 Can any adverse impact be justified?	<p>Parents have a right to express a preference for their child to be educated according to their religion or belief, but they do not have a right to free or assisted transport to facilitate this.</p> <p>The revised policy would bring greater fairness and equity in transport provision, as the current policy gives additional entitlements to some pupils and students that others do not enjoy.</p>
3.4 Are you planning to consult people on the outcome of this impact assessment?	The draft EIA will be posted on the Council's consultation website. Any comments would be welcomed as part of the consultation exercise.
3.5 How does the service/policy promote equality of opportunity and outcome?	See 3.3 above.

3.6 Are there any other equality issues that haven't been covered through this impact assessment?	No
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Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

Action Plan				
Action	Officer responsible	Deadline	Other plans this action is referenced in (e.g. Service Performance Plan, work plan)	Performance monitoring arrangements
Update Members on outcome of the consultation and determine final policy changes.	Andrew Terry	End January 2011	CYPS Savings and Transformation Strategy Sustainable Travel Strategy	
Update policy	Phil Mellor	End February 2011	CYPS Savings and Transformation Strategy	
Analyse impact of changes on transport loadings and admissions to schools	Phil Mellor Richard Owens	July 2013	CYPS Savings and Transformation Strategy Sustainable Transport and Travel Strategy.	Budget monitoring meetings. Annual Performance monitoring report to Executive Members.



North

Yorkshire County Council

Equality Impact Assessment Template

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如欲索取以另一語文印製或另一格式製作的資料，請與我們聯絡。

اگر آپ کو معلومات کسی دیگر زبان یا دیگر شکل میں درکار ہوں تو برائے مہربانی ہم سے پوچھئے۔



Undertaking an Equality Impact Assessment

Equality Impact Assessments (EIA) should be undertaken at the business case stage when:-

- You are developing a new service or policy
- You are reviewing an existing service or policy
- You are proposing a change to an existing service or policy
- You are reviewing a service or policy carried out on behalf of the council or another organisation
- Your service is re-organised.

They should be referenced in your final recommendations on the service changes so that decision makers can reach an informed decision on the service/policy.

An EIA should cover all the social identity characteristics protected by equality legislation – referred to as ‘**protected characteristics**’ or equality strands. These are;

- Sex
- Sexual orientation
- Religion or belief
- Race – this include ethnic or national origins, colour and nationality
- Disability – including carers
- Pregnancy and maternity
- Gender reassignment
- Age

There is a lot of information available to support you in completing this assessment on the EIA pages on the NYCC intranet

The Council must publish your equality impact assessment and a summary will be included on the NYCC website in line with statutory requirements. Please be aware that it will become a public document.

Name of the Directorate and Service Area	Business and Environmental Services, Economic and Rural Services		
Name of the service/policy being assessed	Arts Grants		
Is the area being impact assessed a	Policy & its implementation?	✓	Service?
	Function		Initiative?
	Project?		Procedure & its implementation?
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?		
	Proposed service or a policy and its implementation?		
	Change to an existing service or a policy and its implementation?		
	Service or Policy carried out by an organisation on behalf of NYCC?		
How will you undertake the EIA? Eg team meetings, working party, project team, individual Officer	Review of Arts Grants. This includes: <ul style="list-style-type: none"> • Meeting with grant recipients • Officer review • Review of information provided by grant recipients 		
Names and roles of people carrying out the Impact Assessment	Gillian Wall, Arts Officer		
Lead Officer and contact details	Gillian Wall. Ex 3579		
Date EIA started	6 th December 2010		
Date EIA Completed	10 th December 2010		
Sign off by Service Head/ Business Unit Head	N/A		
Sign off by Assistant Director (or equivalent)	Andrew Harper – Assistant Director, Economic & Rural Services		
Date of Publication of EIA	To be completed		
Monitoring and review process for EIA	Arts Development work plan 2010-11, Service Plans 2011-12, 2012-13.		

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

1.1 Describe the service/policy

1.1.1 What does the service/policy do and how? How would you describe the policy to someone who knows very little about Council Services?

The Arts Grants budget provides annual grants for five organisations who deliver an arts programme with county-wide impact. Funding is allocated as part of a three-way approach between Arts Council England Yorkshire, district councils and the County Council. The organisations are small to medium size creative businesses operating at close margins and using a mix of income sources. Funding is allocated on the basis of the strategic importance of the organisation to partners and is managed by a contracted agreement.

Current levels of funding are as follows:

Blaize Theatre Company (not building-based)	£3,590
Georgian Theatre Royal, Richmond	£5,795
Harrogate Theatre	£63,000
Rural Arts, Thirsk (community arts, rural touring)	£8,760
Stephen Joseph Theatre, Scarborough:	£63,000
Total:	£144,145

A summary of the services provided by the organisations is as follows:

Blaize Performance Company

Touring theatre company (work also features music & dance); touring of new work to small rural venues; education and young people's programmes; family learning projects; film and new media projects. Specialises in working with small, isolated rural communities and "isolated" groups (in the broadest sense of the word).

The Georgian Theatre Royal, Richmond

Historically important theatre & working museum; 150-seat theatre & programme; studio space, exhibitions; archive IT suite; museum tours; volunteer programme; education programme; adult learning; youth

1.1.2 If there is a proposal to change the service or policy, describe what it looks like now and what it is intended to look like in the future. What are the drivers for this proposed change?

theatres; conferences & venue hire to community and businesses; shop and two bars/ café.

Harrogate (White Rose) Theatre

350 seat theatre; studio space; theatre programme; co-commissioning of new work; two bars; youth theatres; education programme; outreach projects (including adult learning with community groups and individuals); volunteer programme; rural touring; conferences & venue hire to community & businesses.

Rural Arts North Yorkshire

Major county-wide community arts programme (mainly, but not exclusively, visual arts, film, photography, new media) specialising in working with “isolated” groups and community organisations with little or no experience of the arts; adult learning; schools; county-wide performing arts touring scheme (into village halls etc). Venue/ base in Thirsk: IT/ new media centre; shop and café; performing arts, workshop and exhibition spaces; conferences & venue hire.

Stephen Joseph Theatre, Scarborough

400-seat theatre; theatre programme; commissioning & production of new work (by national playwright, Alan Ayckbourn, director Chris Monks and young writers); national/ international touring; 200-seat cinema & programme; exhibition space; shop; restaurant & two bars; youth theatres; education programme; outreach projects (including adult learning with community groups and individuals); rural touring; conferences & venue hire: community & business; hotel offers.

A review of Arts funding has been carried out in order to achieve the County Council’s budget reductions in the context of the Comprehensive Spending Review. This, and not accessibility or improvements to the service, is the driver.

See above for details of current service.

The new levels of annual grant that are proposed are –

Blaize Theatre Company

Nil

<p>1.1.3 Who does it benefit? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how?</p>	<table border="0"> <tr> <td>Georgian Theatre Royal, Richmond</td> <td>£5,000</td> </tr> <tr> <td>Harrogate Theatre</td> <td>£10,000</td> </tr> <tr> <td>Rural Arts, Thirsk (community arts, rural touring)</td> <td>£5,000</td> </tr> <tr> <td>Stephen Joseph Theatre, Scarborough:</td> <td>£10,000</td> </tr> <tr> <td style="text-align: right;">Total:</td> <td>£30,000</td> </tr> </table> <p>The current service benefits creative and non-creative businesses, residents of North Yorkshire and visitors.</p> <p>Overall outcome is to increase adult engagement in the arts. Specific outcomes, related to the cultural strategy, are agreed annually as part of the annual review process but as an example in 2009-10:</p>	Georgian Theatre Royal, Richmond	£5,000	Harrogate Theatre	£10,000	Rural Arts, Thirsk (community arts, rural touring)	£5,000	Stephen Joseph Theatre, Scarborough:	£10,000	Total:	£30,000
Georgian Theatre Royal, Richmond	£5,000										
Harrogate Theatre	£10,000										
Rural Arts, Thirsk (community arts, rural touring)	£5,000										
Stephen Joseph Theatre, Scarborough:	£10,000										
Total:	£30,000										
<p>1.1.4 Who are the stakeholders?</p>	<p><u>Blaize Performance Company</u> Cultural Strategy priorities: Learning, Inclusiveness, Infrastructure.</p> <p><u>The Georgian Theatre Royal, Richmond</u> Cultural Strategy priorities: Economy, Learning, Inclusiveness.</p> <p><u>Harrogate (White Rose) Theatre</u> Cultural Strategy priorities: Economy, Learning, Inclusiveness.</p> <p><u>Rural Arts North Yorkshire</u> Cultural Strategy priorities: Learning, Economy, Inclusiveness.</p> <p><u>Stephen Joseph Theatre, Scarborough</u> Cultural Strategy priorities: Economy, Learning, Inclusiveness.</p> <p>The stakeholders are other public funders (Arts Council England and District Councils) and a range of users including those who attend ticketed performances and take part in free programmes, volunteers and those who work for the organisations or provide goods & services.</p>										
<p>1.1.5 Identify those protected characteristics for which this service is likely to have an impact (positive or negative)</p>	<p>The information provided by the organisations for this review and other information made available to the County Council e.g. annual returns gives an indication of the range of people that the organisations work with and a review of this information suggests that the reduction in funding is likely to have a negative impact mainly on the following protected characteristics:</p> <ul style="list-style-type: none"> • Age • Disability 										

1.1.6 Are there any other policies or services which might be linked to this one? Have you reviewed the EIA for these policies/services? What do they tell you about the potential impact?

In addition it is likely that the following “isolated” groups are likely to be affected, depending on the option approved:

- Hard to reach and vulnerable children and young people
- People on low incomes
- Rural communities

These isolated groups will be affected because a reduction in funding will lead to fewer concessions and will impact on the organisations’ capacity to raise external income and create earned income which is the main source of funding for concessions, free events and outreach work.

Cultural Strategy, Framework for Economic Development, All our Future Lives, NY Children and Young People’s Plan. The following is a broad summary of the contribution:

i) Cultural Strategy and Arts Development

The funded organisations provide programmes to support the following priorities and these will be affected by the proposed reduction in funding: children young people, volunteering and access to the arts (includes isolated groups).

ii) Economic Development

Impact on protected groups is more likely to be direct through loss of volunteer opportunities (many volunteers are older people) and indirect through impact on local economy through e.g. detriment to tourism attractions, loss of jobs (particularly Options One and Three) and reduction in demand for goods and services. The Stephen Joseph is in Scarborough, a priority area.

iii) All our Future Lives

Most organisations impact to some degree on older people and policy to support independent living, through volunteer programmes and individual projects e.g. Georgian Theatre volunteer programme for 100 people (large number of over 50s); Rural Arts rural touring scheme.

iv) NY Children and Young People’s Plan

All organisations provide programmes for children and young people including hard to reach and vulnerable: school, extended schools and

<p>1.1.7 How will the policy be put into practice? Who is responsible for it?</p>	<p>work with a variety of young people's groups and agencies e.g. Surestart, Youth Offending Teams.</p> <p>The BES Assistant Director (Economic and Rural Services) and Arts Officer will implement the policy and it will be put into practice by the organisations as part of the annual agreement.</p>
<p>1.2 How do people use the policy/service?</p> <p>1.2.1 How is the policy/service delivered? How do people find out about the policy/service? Do they need specialist equipment or information in different formats? How do you meet customer needs through opening times/locations/facilities? Can customers contact your service in different ways? How do you demonstrate that your service/policy is welcoming to all groups within the community?</p> <p>1.2.2 Does the policy/service support customers to access other services? Do you charge for your services? Do these charges affect everyone equally? Do some customers incur greater costs or get 'less for their money'? Are there eligibility criteria for the service/policy?</p>	<p>The organisations (except Blaize) are venue-based but also work in community venues. Venues and working practices are all DDA compliant and all offer a variety of assisted performances. Organisations are also Arts Council England Regularly Funded Organisations (indication of quality and strategic importance) and must produce Equalities Plans as part of conditions of funding. Venues all have Customer Care policies or equivalent.</p> <p>Organisations offer both ticketed and free events/ programmes. All offer concessionary rates on ticketed events for young people under 16, retired people, anyone receiving unemployment or disability benefits.</p> <p>Free events (mainly through outreach projects) include some programmes specifically for "isolated groups" (in the broadest sense of the word): older people, disabled people, hard to reach young people. This work is normally carried out with established organisations who work with specific groups and access is usually supported via these agencies.</p> <p>The detail of this information is held with the organisations but, for example:</p> <ul style="list-style-type: none"> • Rural Arts programme to support young people not in education or training, work with Surestart and Youth Offending Teams; • Stephen Joseph Theatre outreach project with families and children who have communication problems, working with the <i>U-Turn</i> Youth Inclusion Project; • Launch of Harrogate Theatre's accessible performances

<p>1.2.3 How do you ensure that staff/volunteers delivering the service follow the Council's equality policies? Does the Council deliver this policy in partnership or through contracts with other organisations?</p> <p>1.2.4 How do you monitor that external bodies are complying with the Council's equality requirements?</p>	<p>initiative (working with the national <i>See a Voice</i> project);</p> <ul style="list-style-type: none"> • Blaize's skills project working with groups of young people and individuals, including the Asian community in Skipton; • Georgian Theatre's volunteer programme providing working with a broad age range but including high numbers of older people. <p>This work is often funded by external grants or cross-subsidy from earned income from other programmes.</p> <p>This is part of the contracted agreement and the annual monitoring arrangements which are tied to the schedule of payments. See also above 1.2.1: Arts Council England Equalities Plans.</p> <p>Monitoring is via reports, officer contact and data collection e.g. numbers of concessionary tickets.</p>
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2. Understanding the Impact (using both qualitative and quantitative data)

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

2.1 What information do you use to make sure the service meets the needs of all customers?

2.1.1 What data do we use now? Is it broken down across protected characteristics (and are these categories consistent across all data sets)? How current is the data? Where is it from? Is it relevant?

Annual monitoring form collects a range of data:

- Audiences and visitors;
- Participants (e.g. at workshops and training);
- Children and young people ;
- Concessions;
- Number of professionals employed;
- Number of workshops, performances, exhibitions, training days, new works;
- Total budget;
- Example of one qualitative evaluation;
- Annual accounts;

<p>2.1.2 What engagement work have you already done that can inform this impact assessment? Who did you talk to and how?</p> <p>2.1.3 What are the main findings?</p>	<ul style="list-style-type: none"> • Artistic programme details; • Arts Officer attendance at, at least one Board meeting and performance per year (although this is prioritised across the organisations if required). <p>An attempt is made to standardise the data collection (e.g. definitions are used) but the information is provided by the organisations. Concessions and numbers of children and young people are relevant to this EIA. Information about support programmes for other protected groups is contained within qualitative information supplied by the organisations as part of the review or as part of annual monitoring.</p> <p>A consultation meeting was held in July with the organisations and the Arts Officer has attended Board meetings. Arts Council England, Yorkshire and district councils were also consulted informally. Residents have been asked to attend workshops and complete an on-line survey as part of the overall budget reduction proposals.</p> <p>At the end of September 2010, the organisations provided information on the following three areas, taking into consideration the overall public funding situation:</p> <ol style="list-style-type: none"> 1) What would be the impact of withdrawing all NYCC grant support? 2) What is the minimum level of grant required to remain viable? 3) Are there any other areas where the organisation could achieve savings e.g. through collaborative working? <p>The responses from individual organisations have been collected. A summary of the impact on protected characteristics is as follows:</p> <p>Question One: complete withdrawal of funding</p> <ul style="list-style-type: none"> • Insolvency: Harrogate Theatre; • Reduction in number of concessions offered: all organisations (97,999 in 2009-10); • Closure of Education and Outreach (e.g. youth theatre, schools, disabled people, adult education, isolated groups): Stephen Joseph, Georgian, Rural Arts; • Rural touring to cease or affected: Stephen Joseph Theatre,
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<p>2.1.4 Can you analyse the results of this consultation across the protected characteristics? Are there differences in response between different groups? How has this changed the plans for the policy/service?</p>	<p>Rural Arts;</p> <ul style="list-style-type: none"> • Capacity for future fund-raising and earned income seriously impaired: all organisations (outreach projects which often benefit protected groups are funded mainly from external fund-raising, cross subsidy from earned income and public subsidy). <p>Question Two: minimum level required to remain viable Organisations have indicated that a reduction of less than 10% will have an impact on overall services, particularly concessions and outreach projects (see above/ Capacity for fund-raising).</p> <p>Question Three: evidence of research into shared services and partnerships.</p> <p>See 1.1.3, 2.2 and 3.1</p>
<p>2.2 What does the information tell you?</p> <p>2.2.1 Are there any differences in outcome for different groups e.g. differences in take up rates or satisfaction levels across groups?</p> <p>2.2.2 Does it identify the level of take-up of services by different groups of people?</p> <p>Please include data and analysis as an appendix</p>	<p>Information about satisfaction levels across groups is held by the organisations.</p> <p>The data and information provided by the organisations allows this EIA to broadly identify which groups are likely to be affected, as follows.</p> <p>Those who benefit from concessions: 97,999 people in 2009-10. These are offered to young people under 16, retired people, anyone receiving unemployment or disability benefits.</p> <p>Children and young people: annual data collected in relation to children and young people aggregates audience (at performances, exhibitions etc) and participants (workshops and training). The total in 2009-10 was 17,327. As well as impacting on budgets available to</p>

<p>2.2.3 Does it identify how potential changes in demand for services will be tracked over time, and the process for service change?</p>	<p>support concessions, the reduction in funding is also likely to lead to a reduction or end to participatory programmes such as youth theatre and special projects with e.g. Surestart, young people not in education or training etc. See 2.1.2/ Capacity for future fund-raising.</p> <p>Older people, disabled people and other isolated groups who currently benefit from outreach programmes are also likely to be affected in a similar way.</p> <p>The information available does not identify how potential changes in demand for services will be tracked over time: this will be monitored by the organisations.</p>
<p>2.3 Are there areas where we need more information? How could we get this information?</p> <p>What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately e.g. compliments and complaints? Are there national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?</p> <p>Do you need to do more engagement work to inform this impact assessment? Have you identified information in other sections of this EIA that you need to assess the impact on different groups of people? What do you want to find out? Which existing mechanisms can you use to get this information?</p> <p>Please refer to the Community Engagement toolkit on the NYCC intranet</p>	<p>Information is held by the funded organisations e.g. evaluation of individual projects, box office analysis, annual reports, customer comments.</p>
<p>2.4 How will you monitor progress on your policy/service, or take-up of your service?</p> <p>What monitoring techniques would be most effective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service? How often does the policy/service need to be reviewed? Who would be responsible for this?</p>	<p>We will work with the organisations and other public funders to review the impact of our collective funding decisions. The Arts Officer would be responsible for co-ordinating the review, reporting to the BES Assistant Director (Economic and Rural Services).</p>

3. Assessing the Impact

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence.

3.1 Has an adverse impact been identified for one or more groups?

3.1.1 Has this assessment shown anything in the policy, plan or service that results in (or has the potential for) disadvantage or discrimination towards people of different groups? Which groups?

3.1.2 Do some needs/ priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?

There will be a reduction in the capacity of organisations to support:

- Those benefiting from concessionary rates on ticketed events: young people under 16, retired people, anyone receiving unemployment or disability benefits;
- Children and young people, particularly hard to reach and vulnerable;
- Older people: reduction in opportunities to volunteer (through e.g. closure) and outreach projects
- Disabled people and other isolated groups: reduction in outreach projects.

Current delivery models present the best value for money and therefore most impact and best use of available funding. The driver for this policy is the requirement to reduce funding rather than accessibility. See 3.5.

3.2 How could the policy be changed to remove the impact?

Which options have been considered? What option has been chosen?

Policy is driven by the requirement to make budget reductions. See 3.5.

3.3 Can any adverse impact be justified?

If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?

Please seek legal advice on whether this can be justified.

This does not apply: there is no justification on these grounds.

3.4 Are you planning to consult people on the outcome of this impact assessment?

When and how will you do this? How will you incorporate your findings into the policy?

No – this impact assessment takes account of previous consultation.

3.5 How does the service/policy promote equality of opportunity and outcome?

Accessibility is not a factor in determining the requirement to reduce funding and it is recognised that there is the potential for an adverse

Does the new/revised policy/service improve access to services? Are resources focused on addressing differences in outcomes?	impact on some protected groups (mainly age) but also isolated and low income groups. In addition the Council will continue to develop opportunities through other arts programmes that benefit protected groups e.g. support for the voluntary arts (48% of members of voluntary arts groups are over 50 years), Connecting Youth Culture.
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Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

Action Plan					
What are you trying to change (outcome)?	Action	Officer responsible	Deadline	Other plans this action is referenced in (e.g. Service Performance Plan, work plan)	Performance monitoring
Reduction in Arts Grants Funding.	Implementation of proposed reductions.	Arts Officer	From April 2011	Service Plan, Arts Development work plan.	BES Assistant Director (Economic and Rural Services).



North

Yorkshire County Council

Equality Impact Assessment - Proposed Bus Service Reduction 2011

If you would like this information in another language or format such as Braille, large print or audio, please contact the Communications Unit on 01609 53 2013 or email communications@northyorks.gov.uk.



যদি আপনি এই ডকুমেন্ট অন্য ভাষায় বা ফরমেটে চান, তাহলে দয়া করে আমাদেরকে বলুন।

如欲索取以另一語文印製或另一格式製作的資料，請與我們聯絡。

اگر آپ کو معلومات کسی دیگر زبان یا دیگر شکل میں درکار ہوں تو برائے مہربانی ہم سے پوچھئے۔

Undertaking an Equality Impact Assessment

Equality Impact Assessments (EIA) should be undertaken at the business case stage when:-

- You are developing a new service or policy
- You are reviewing an existing service or policy
- You are proposing a change to an existing service or policy
- You are reviewing a service or policy carried out on behalf of the council or another organisation
- Your service is re-organised.

They should be referenced in your final recommendations on the service changes so that decision makers can reach an informed decision on the service/policy.

An EIA should cover all the social identity characteristics protected by equality legislation – referred to as ‘**protected characteristics**’ or equality strands. These are;

- Sex
- Sexual orientation
- Religion or belief
- Race – this include ethnic or national origins, colour and nationality
- Disability – including carers
- Pregnancy and maternity
- Gender reassignment
- Age

There is a lot of information available to support you in completing this assessment on the EIA pages on the NYCC intranet

The Council must publish your equality impact assessment and a summary will be included on the NYCC website in line with statutory requirements. Please be aware that it will become a public document.

Name of the Directorate and Service Area	Business and Environmental Services, Integrated Passenger Transport		
Name of the service/policy being assessed	Proposed Reduction in Bus Subsidy		
Is the area being impact assessed a	Policy & its implementation?		Service? ✓
	Function		Initiative?
	Project?		Procedure & its implementation?
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?		
	Proposed service or a policy and its implementation?		
	Change to an existing service or a policy and its implementation?		✓
	Service or Policy carried out by an organisation on behalf of NYCC?		
How will you undertake the EIA?	Individual Officer		
Names and roles of people carrying out the EIA	Chris Roberts - Team Leader, Public Transport		
Lead Officer and contact details	Chris Roberts, Tel: 01609 5355672, e-mail: chris.roberts@northyorks.gov.uk		
Date EIA started	26 July 2010		
Date EIA Completed	31 October 2010		
Sign off by Service Head/ Business Unit Head			
Sign off by Assistant Director (or equivalent)	Richard Owens, Assistant Director – Integrated Passenger Transport		
Date of Publication of EIA			
Monitoring and review process for EIA			

1. Operating Context

Please consider issues around impacts (positive or negative) raised for all [protected characteristics](#) and show your evidence

1.1 Describe the service

What does the service do and how? How would you describe the service to someone who knows very little about Council Services?

If there is a proposal to change the service, describe what it looks like now and what it is intended to look like in the future. What are the drivers for this proposed change?

Who does it benefit? What are its intended outcomes? Who is affected by the service? Who is intended to benefit from it and how? Who are the stakeholders? identify those protected characteristics for which this service is likely to have an impact (positive or negative)

Are there any other services which might be linked to this one? Have you reviewed the EIA for these services? What do they tell you about the potential impact?

How will the service change be put into practice? Who is responsible for it?

This EIA seeks to identify impact as the result of a proposed reduction in bus services that are funded/ subsidised by North Yorkshire County Council (NYCC). A full EIA was carried out on contracted local bus services in July 2009 and is available separately.

The Directorate has a budget which is available to provide local bus services which do not form part of the commercial network. In 2010/11 this budget is £6.12m. It is estimated that about 25% of our current bus network is funded by the Council and these services carry over four million passengers each year.

In the current economic climate NYCC has no choice but to reduce spending across the range of public services we provide and we need to consider the extent to which expenditure on bus services can be reduced to contribute to this. In the absence of detailed figures from the Government, the council established indicative budget reduction targets for each department and considered plans to achieve these. In relation to the total budget for Integrated Passenger Transport (IPT) the following table sets out the year on year savings requirement which was identified in July 2010.

Budget Reduction Guide from 1/7/10 in £'000s				
2011/12	2012/13	2013/14	2014/15	4 Yr Total
149	149	149	149	596

Proposed Change:

It is recognised that these figures will need to be updated in light of more recent information. In order to achieve this we propose that we will no longer provide funding for the [following journeys](#):

- Journeys which operate on Sundays and Bank Holidays.
- Journeys which operate Monday to Saturday in the evenings (generally after 7pm).

	<ul style="list-style-type: none"> ▪ Service 767 which operates between Harrogate and Leeds Bradford International Airport. ▪ Contribution to the Moors and Dales bus networks. <p>The total value of these contracts was estimated as £600,000 per annum. In making the above proposal reference was made to our criteria for supporting bus services (see 1.2 below) as set out in our Bus Strategy. We determined that our objectives are best met by maintaining a robust network of daytime services on Mondays to Saturdays which provides essential access for as many residents as possible.</p>
<p>1.2 How do people use the service?</p> <p>How is the service delivered? How do people find out about the service? Do they need specialist equipment or information in different formats? How do you meet customer needs through opening times/locations/facilities? Can customers contact your service in different ways? How do you demonstrate that your service is welcoming to all groups within the community?</p> <p>Does the service support customers to access other services? Do you charge for your services? Do these changes affect everyone equally? Do some customers incur greater costs or get 'less for their money'? Are there eligibility criteria for the service?</p> <p>How do you ensure that staff/volunteers delivering the service follow the Council's equality policies? Does the Council deliver this policy in partnership or through contracts with other organisations? How do you monitor that external bodies comply with the Council's equality requirements?</p>	<p><i>See EIA - Bus Network Management (July 2009) for detail.</i></p> <p>The bus strategy sets out the criteria used to determine which socially necessary bus services to support. The council will have regard to:</p> <ul style="list-style-type: none"> ▪ Passenger demand, the extent to which the following journey purposes are catered for: ▪ Access to work; education; health services; shopping facilities and leisure services. ▪ The availability of alternative services for example rail services, community transport or other bus services. ▪ The extent to which the service represents value for money for the Council. <p>It is important that an appropriate balance is struck between the need to address social exclusion by improving access and the need to secure value for money overall. Baseline value for money measures are:</p> <ul style="list-style-type: none"> ▪ We will not fund journeys which carry fewer than three passengers on a regular basis. ▪ We calculate the subsidy per passenger journey and work towards a situation where the maximum subsidy per passenger journey is £7.50

2. Understanding the Impact (using both qualitative and quantitative data)	
Please consider issues around impacts (positive or negative) raised for all protected characteristics and show your evidence	
<p>2.1 What information do you use to make sure the service meets the needs of all customers?</p> <p>What data do we use now? Is it broken down across protected characteristics (and are these categories consistent across all data sets)? How current is the data? Where is it from? Is it relevant?</p> <p>What engagement work have you already done that can inform this impact assessment? Who did you talk to and how? What are the main findings? Can you analyse the results of this consultation across the protected characteristics? Are there differences in response between different groups? How has this changed the plans for the policy/service?</p>	<p>In July 2010 NYCC embarked on a 3 month consultation exercise to establish the impact of withdrawing the identified services. The consultation detailed the process, timeframe and specific services which were affected. Comments were invited from stakeholders and the public as part of an extensive consultation process.</p> <p>Posters were displayed on affected bus services, and detailed on the County's website. The consultation was published in the NY Times which was distributed to all households in North Yorkshire, and additionally sent to:</p> <ul style="list-style-type: none"> ▪ All County Councillors ▪ 142 directly affected Parish Councils ▪ 87 bus and community transport providers ▪ 79 Stakeholders, including District Councils, surrounding local authorities, bus forum groups and others which included: <ul style="list-style-type: none"> - Age Concern - Harrogate Physical and Sensory Improvement Coordinator - Learning Disability Partnerships - Physical and Sensory Impairment Group - Older peoples forums (NYOP, NYFOP & Scarborough Forum for Older People)
<p>2.2 What does the information tell you?</p> <p>Are there any differences in outcome for different groups e.g. differences in take up rates or satisfaction levels across groups? Does it identify the level of take-up of services by different groups of people? Does it identify how potential changes in demand for services will be tracked over time, and the process for service change?</p>	<p>It is estimated that the proposal will affect approximately 280,000 passenger journeys each year.</p> <p>A total of 378 responses were received during and immediately after the consultation period, of which 8 were in the form of petitions totalling 1,946 signatures. Of the individual responses received (excluding petitions):</p> <ul style="list-style-type: none"> ▪ Disagreed with the proposal: 299 ▪ Agreed with the proposal: 9 ▪ Did not state: 4

<p>Please include data and analysis as an appendix</p>	<p><u>Reasons for disagreeing to the proposals included:</u></p> <ul style="list-style-type: none"> ▪ Access to leisure/tourism: 290 ▪ Access to work: 166 ▪ Access to shops: 124 ▪ Access to health: 47 ▪ Access to education: 31 <p>In addition, 24 comments referred directly to issues concerning protected characteristic groups:</p> <ul style="list-style-type: none"> ▪ Affected on grounds of age (young/old): 22 ▪ Affected on grounds of belief/religion: 1 ▪ Affected on grounds of disability: 1 <p>In the comments received from Members of Parliament, County Councillors, and District, Borough, Town and Parish Councils, a further 8 comments directly referred to issues concerning protected characteristic groups.</p> <p>See appendices 2, 3 and 4 of the <u>Proposed Reduction in Bus Subsidy report for detailed comments.</u></p>
<p>2.3 Are there areas where we need more information? How could we get this information?</p> <p>What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately e.g. compliments and complaints? Are there national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?</p> <p>Do you need to do more engagement work to inform this impact assessment? Have you identified information in other sections of this EIA that you need to assess the impact on different groups of people? What</p>	<p>The current consultation has been aimed at all residents of North Yorkshire; It is not expected that further information will be required.</p> <p>Comments received from the consultation suggested that there has not been sufficient investigation into individual services to gauge average usage and alternative measures. For example, one suggested that rather than removing all evening services from 7pm that selected evening services between 7 pm and the last service could be withdrawn which would still leave the last service to allow people to travel home. One said that withdrawing evening services Mon-Thurs could be taken but suggested that Fri – sun evening service be kept. Therefore should more information be sought first on each individual service and the impact to be cut? Or has this already been done (just to give some justification for cutting the service?)</p>

<p>do you want to find out? Which existing mechanisms can you use to get this information?</p> <p>Please refer to the Community Engagement toolkit on the NYCC intranet</p>	
<p>2.4 How will you monitor progress on your policy/service, or take-up of your service?</p> <p>What monitoring techniques would be most affective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service? How often does the policy/service need to be reviewed? Who would be responsible for this?</p>	<p>Correspondence will continue to be monitored after any decision is made.</p>

3. Assessing the Impact

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence.

3.1 Has an adverse impact been identified for one or more groups?

Has this assessment shown anything in the policy, plan or service that results in (or has the potential for) disadvantage or discrimination towards people of different groups? Which groups?

Do some needs/ priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?

An adverse impact in terms of disadvantage has been identified for those people who do not have access to alternative transport, this is likely to pose a particular issue for the young and old and disabled people who are less likely to have access to private transport.

The consultation also identified that there were also concerns regarding the perceived economic impact of particular areas, for example, withdrawing evening and weekend services to and from Whitby.

It must be noted that this proposal does not mean that all evening and Sunday bus services will be withdrawn, a number of bus services, mainly in Scarborough, Harrogate and Selby will continue to be provided on a commercial basis. In addition it should also be noted that due to the rurality of the county there are many areas that already do not have regular bus services and rely on their own private or community transport to access essential services.

3.2 How could the policy be changed to remove the impact?

Which options have been considered? What option has been chosen?

The current option has been chosen because it minimises the impact in comparison with the alternative withdrawal of daytime services.

An assessment of the implications of retaining all evening and Sunday services by increasing fares has been undertaken. This indicates that fares would have to increase by £3 per journey with no reduction in trips for the services to be retained without subsidy. It is unlikely that people would continue to travel in the face of such increases.

The implications for service 93 in particular have been assessed. The cost of the evening service between Whitby and Scarborough is £16,896 per annum, typically about 850 passenger journeys paying on average £1 (this includes concessionary passengers). In order for the service to be sustainable the fares paid would have to increase by £1.60 per passenger journey. On Sundays, the average fare per

	<p>passenger journey is £1 and this would need to increase by £2.47 for the service to be retained on the basis of fares paid.</p> <p>It is important to explore every opportunity to minimise the impact and in order to achieve this we will continue discussions with bus operators and community transport providers to identify any opportunities to retain services after April 2011.</p>
<p>3.3 Can any adverse impact be justified?</p> <p>If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?</p> <p>Please seek legal advice on whether this can be justified.</p>	<p>The proposed changes have been identified so as to maintain the integrity, wherever possible, of the Monday to Saturday day time network, and therefore preserve current conventional access to key services such as Education, Health, Food, and Employment.</p> <p>The Council recognises that valid concern were raised by the consultation but considers that the impact of the course of action proposed is less than available alternatives which would have affected the Monday to Saturday daytime network which provides essential access for as many residents as possible and increase the likelihood that some communities would be isolated.</p>
<p>3.4 Are you planning to consult people on the outcome of this impact assessment?</p> <p>When and how will you do this? How will you incorporate your findings into the policy?</p>	<p>The outcome of the public consultation will be published at the end of the decision making process. No specific consultation will be undertaken on this impact assessment.</p>
<p>3.5 How does the service/policy promote equality of opportunity and outcome?</p> <p>Does the new/revised policy/service improve access to services? Are resources focused on addressing differences in outcomes?</p>	<p>Whilst the proposed changes do not improve access to services, it aims to preserve key essential services wherever possible, whilst faced with a reduced and diminishing budget.</p>

Action Plan					
What are you trying to change (outcome)?	Action	Officer responsible	Deadline	Other plans this action is referenced in (e.g. Service Performance Plan, work plan)	Performance monitoring
	Explore every opportunity to minimise the impact and in order to achieve this we will continue discussions with bus operators and community transport providers to identify any opportunities to retain services after April 2011.				

Name of the Directorate and Service Area	Adult & Community Services, Resources			
Name of the service/ policy being assessed	Brokerage Service			
Is this the area being impact assessed a	Policy & its implementation?		Service Outcomes?	X
	Function?	X	Initiative?	
	Project?		Procedure & its implementation?	X
Is this an Equality Impact Assessment for a (Note: The Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?			X
	Proposed service or a policy and its implementation?			
	Change to an existing service or a policy and its implementation?			
	Service or Policy carried out by an organisation on behalf of NYCC?			
How will you undertake the EIA? E.g. team meetings, working party, project team, individual officer	The EIA will be undertaken within Resources Management Team meetings and a sub group of appropriate officers.			
Names and roles of people carrying out the Impact Assessment	Linda Porritt, Dawn Barnett, Diane Lambert, Claudy Dixon			
Other officers involved in the assessment E.g. taking part in peer review, challenge, quality assurance	Brokerage Officers, Operations staff			
Lead Officer and contact details	Linda.porritt@northyorks.gov.uk			
Date EIA started	13/10/08			
Date EIA completed	30/06/09			

Sign off by Service Head/ Business Unit Head	Debbie Hogg (see e-mail from Linda Porritt, 3 July 2009)
Presented at Directorate Equality and Diversity Working Group	
Date and place of publication of EIA	
Monitoring and review process for EIA	

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

Describe the service / policy

What does the service / policy do and how? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how? Who are the stakeholders? How would you describe the policy to someone who knows very little about Council services?

Does it explicitly address equality and diversity issues? Is the policy relevant to equality and diversity target groups and the Council's duty to eliminate unlawful discrimination and promote equality?

Does the policy, plan or service reflect relevant legal frameworks (including equality legislation) and national and local performance targets? Does the service / policy adhere to the principles of the social model of disability?

Is it a public facing service or does it mainly deal with internal customers?

Are there any other policies or services which might be linked to this one? Are they being impact assessed?

How will the policy be put into practice? Who is responsible for it?

The Brokerage Service is not a public facing service. It deals mainly with internal customers & providers. The Brokerage Service is designed to identify and procure services from independent providers, mainly personal care at home and day care but also bed availability for residential care, in response to needs identified by an assessment which is completed by the Social Care Assessor.

The Brokerage Service is used for the majority of services commissioned from the independent sector. Customers who require social care services, internal colleagues and external providers are the main beneficiaries. The Brokerage Service speeds up the process of finding suitable care services for each individual and frees up time for social care assessors, so that they have more time to spend with people who access support.

Officers are required to understand the needs of clients and identify providers who can meet all specified needs, ensuring that equality and diversity issues are appropriately addressed. The Brokerage Service will have access to the care plan for each individual to ensure an appropriate service is purchased – the care plan will include information about specific cultural etc needs.

The Provider list is then used to identify suitable services/providers, in which each provider is categorised according to the needs they can / cannot meet. Very specific needs such as language requirements (eg a person who speaks a language other than English) or other communication needs eg BSL may not be captured on this list and Brokerage would then refer back to the Contracting Unit. The Provider list may need to be reviewed to ensure that there is sufficient detail about their ability to meet specific cultural and other (eg communication) needs.

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

	<p>There are links to the General Procedure Manual and the Social Care Operations Manual.</p> <p>The policy was put into practice in February 2008. Area Finance and Support Services Managers and Support Managers are the responsible officers.</p>
<p>Is the policy/ service you are impact assessing physically accessible?</p> <p>Is the building accessible? Is it in the right location? Is it welcoming and appropriate for its function and needs of the customer? Are the opening times accessible? Have you carried out an access audit? Do you provide specialist equipment to help people access your service if it is needed?</p>	<p>N/A – service is located in buildings which are covered by the corporate Office accommodation strategy and related policies and guidance.</p> <p>See above.</p> <p>Not relevant, this service is located in buildings which have already been subject to relevant accessibility checks and monitoring</p>
<p>Is the information and communication provided accessible to everyone?</p> <p>Is information and correspondence accessible and does it use appropriate language? Do your documents include an Accessibility Statement and will you provide information in other formats on request? Remember to think about the needs of people who are disabled or people whose first language is not English. Can customers contact your service easily and accessibly in a range of different ways? Do people know how to contact you?</p> <p>Does information avoid the use of stereotypical language, or negative images of different groups of people? Does the information adhere to the principles of the social model of</p>	<p>Large print, Braille + all other formats available on request. All Correspondence / documents have been subjected to formal consultation with providers and internal colleagues. NB the audience for documents will be providers and internal colleagues, rather than people who access support.</p> <p>Providers and internal customers are able to contact the relevant Brokerage Officer for their respective areas via a range of communication channels, including out of hours messaging and e-mail.</p>

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

disability?

Do you consider customer needs when arranging the timing and venues of meetings or events?

Does your service meet the needs of all customers? How do you know? How do you check? Do some needs / priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?

An internal survey will be carried out in September 09. Reviews of service provision are completed by the Social Care Assessors. Simplified forms and the electronic version of the standard contract will be used countywide.

How is your service / policy delivered?

Do you charge for your service? Do these charges affect everyone equally? Do some customers incur greater costs or get 'less for their money'?

Are there eligibility criteria for the service/policy?

Does the Council deliver this policy in partnership or through contracts with other organisations? How do you ensure that external bodies comply with the Council's equality requirements?

Is the policy delivered through the use of the voluntary sector or by volunteers?

No charge is made to the customer for the Brokerage Service itself and any charges to the individual for services procured by Brokerage are subject to NYCC's Charging Policy and financial assessment.

The Brokerage Service is available to colleagues working with all clients who receive Adult Social Care Services aged 18 and over.

The service depends on a good working relationship with registered providers which are regulated by CSCI. Providers are subject to NYCC's process for inclusion on the select list of approved contractors which includes compliance with equality requirements within the contract terms.

Social care services are delivered by both the statutory and independent (private and voluntary) sector.

2. Data and Monitoring

This section looks at the data you have about the service / policy and who uses it (and doesn't use it). What information do you have and where does it come from? Is there anything else that you need? Can you use information that other people already collect? Do you need quantitative or qualitative data or both? What would each type of data tell you? How accurate is the data? Are there informal processes taking place that are not accounted for?

When collecting information consider how you word that questions or categories so that you information is comparable over time or with other data sets – for example are the age categories you use consistent across the data sets you have?

Have you considered how demographics or trends may influence demands for your service over time, for example an increase in the percentage of older people and the possible impact on housing needs of those people should be considered in future planning policy. Another affect of the increase in older people may be a greater incidence of disabilities associated with older age. This increase in demand for associated services would need to be quantified and fed into plans for service delivery in the future.

2. Data and Monitoring

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

What data do we use now? Is it broken down by equality and diversity categories?

How current is the data? Where is it from? Is it relevant? Are the equality and diversity categories consistent across all the data used?

Swift Data Collection, Contract Unit monitoring process

The Brokerage Service collates information on type of service, provider and client. This information is added to client files and recorded on SWIFT. The data therefore forms part of SWIFT routine reporting.

Swift Data Collection captures a consistent equality profile for everyone in receipt of adult social care services in North Yorkshire.

Are there areas where we need more information? How could we get this information?

What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately e.g. compliments and complaints? Are the national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How

Additional data is accessible from Operational Service Unit colleagues supplemented by national datasets available through Management Information.

2. Data and Monitoring

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

could you do this?

What analysis have you carried out on the data?

Does the analysis include general demographic trends and local specific trends such as ageing, migration and the nature of minority ethnic communities and other diverse groups e.g. lesbian, gay, transgender etc? Does it include trends about specific sectors as appropriate e.g. education, transport, housing, retail and business opportunities?

Does your policy or plan identify how changes in demand for services and potential demand will be tracked over time, and the process for influencing service change?

Does it identify the level of take-up of services by different groups of people?

Is it free of generalisations or stereotypical notions about people of different groups and does it reflect the diversity of people in North Yorkshire?

Does it identify the equality profiles of users / beneficiaries and staff?

The proportion of BME people in North Yorkshire's population is projected to rise in next Census (2011). Selby's Asian population is expected to increase by 110% by 2030; Harrogate's black population will be 88% larger; and a general growth in residents of mixed heritage is expected. (*Regional Age & Ethnicity Projections 2005-2030; Yorkshire Futures, quoted in Labour Market Profile of North Yorkshire July 2007; Capita*).

We know from analysis of SWIFT data that we have a very small number of minority ethnic people accessing our services. Whilst the number is not disproportionate in comparison to the 201 Census data, we know that the number of BME people in North Yorkshire will have grown since then, and we think that it is likely that there is unmet need for social care among the BME population.

We also know from research carried out on behalf of the Strategic Housing Board that there is likely to be unmet need for social care amongst North Yorkshire's Gypsy and Traveller communities, which are the largest minority ethnic group in the County. In the most recent report, health care needs, mental health issues, disability-related issues, and support for older people were mentioned. *Gypsy and Traveller Accommodation Assessment North Yorkshire Sub-region – 2007/8, arc⁴*

Since 2004/5, there has been a significant increase in migrant worker numbers from the EU, most notably from Eastern Europe. Whilst this group does not yet significantly impact on adult social care services in terms of demand, this may change over time, and this group does form part of the social care workforce. There are indications from Citizens Advice Bureaux that there are a small but growing number of older people joining their families, who may have health and social care needs.

2. Data and Monitoring

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

The number and proportion of older people and disabled people is also projected to increase – detailed analysis is available in the Joint Strategic Needs Analysis and in 'Strategic Commissioning for Independence, Well-being and Choice 2007-2022'.

There are no statistics available for LGB people in North Yorkshire but a working estimate is 5-7%, in line with Stonewall's national estimates.

The Brokerage Service is an extension to the existing operational social care service. In order to meet the needs of diverse communities, it will need to have information on services that are able to meet those diverse needs, including specialist services where necessary. This is dependent on a) market development, procurement and contracting and b) sufficient information about each individual's needs, including those relating to diversity e.g. cultural (from the care plan). If a need cannot be met in-county, the Brokerage Service would consider accessing services from further afield. The Brokerage Service needs to be able to collate such incidents and report them to Contracting and Strategic Commissioning in order to inform Quality Assurance (QA) and market development.

A QA system is to be introduced in 09/10 which will gather and co-ordinate data on unmet need or provision of an Inappropriate service. The Brokerage service will contribute to the Implementation of the new QA system. Existing SWIFT data will also be utilised to identify trends & equality profiles.

Informal feedback from internal colleagues is that the service is much valued and appreciated because it frees up time for them to complete social care needs assessments in a more timely manner – so has clear benefit for people who access support

2. Data and Monitoring

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

What does the analysis of the data show?

Does that data show any differences in outcome for different groups? e.g. differences in take up rates or satisfaction levels across groups. Is it what you expected? Does it change earlier assumptions?

This will be monitored through the new Quality Assurance system and through the existing contracts monitoring processes.

What are the mechanisms for the ongoing monitoring of progress on your policy / service, or monitoring take-up of your service?

Given the information above do monitoring mechanisms need to be altered to make sure that all the required data is captured? What monitoring techniques would be most effective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service?

As per previous page

An internal Audit Review commenced in Selby on 11.10.2008. There is a plan to review the service once the result of this Audit inspection is compiled. Planned service enhancements will be subject to resource availability.

How often does the policy/service need to be reviewed? Who would be responsible for this?

3. Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

What consultation have you already done that you can use to inform this impact assessment? Please summarise the main findings from the consultation.

Can you analyse the results of this consultation by social identity e.g. race, gender, age, disability, faith, sexuality

Who did you consult and how? What are the main findings? Are there differences in responses between different groups? Are there more findings yet to come?

NB – if this is an update please say when this information has been added. Did you find that some groups felt that they were adversely affected by the policy / service? Did you feedback the findings of the consultation to those who were involved?

This service model was identified as best practice by the Care Services Efficiency Delivery programme (CSED).

The service is a component of the social care assessment process. This enhancement and extension is a process change not a service change and links with the overall Care Services process review which commenced in 2007. Introducing this service is one component of the overall Transformation programme within Adult & Community Services designed to modernise and streamline systems & processes and improve efficiencies & effectiveness

What is the communication strategy to advertise and promote your plan, policy or service?

Internal promotion via localities to Operational staff. External Social Care Providers were informed via existing newsletter circulated electronically & available in other formats by request.

Is there any more consultation that you need to do to inform this impact assessment?

Have you identified in other sections of this impact assessment information that you need to assess the impact of the service / policy on different groups of people.

See previous comments. Ongoing developments days for staff plus the use of the Local Management team meetings, to ensure all stakeholders are aware of ongoing developments plus day to day contact & attendance at relevant meetings.

How and when you will consult service users about this policy/service in the future?

What do you want to find out? Who will you consult with? What method will you use? What are the potential or known barriers for different equality groups of your chosen method? How will you overcome this? Have you considered the accessibility of

Consultation with Service Users will be further developed as part of the new Performance Agenda. This will be achieved through a variety of measures including surveys, service reviews & any issues / concerns relating to this element of the service will then be picked up

<p>your consultation (see consultation toolkit)</p> <p>When will the findings be available? Will the consultation / involvement be ongoing, regular or a one-off?</p>	
<p>Will you use existing consultation mechanisms?</p> <p>Will consultation utilise existing NYCC communication, consultation and engagement mechanisms rather than setting up new mechanisms? E.g. the Citizens panel, disability reference groups, the employee equality forum?</p> <p>If not please explain why.</p>	<p>Please see previous comment</p>
<p>What do people from different groups want?</p> <p>Have you asked people from different groups what they need or want? What was the outcome of this? Is this reflected in your policy / service?</p>	<p>Please see previous comment</p>

4. Best Practice

This section looks at the things that you can do to improve the equality and diversity of your service / policy. This might include considering how staff are made aware of the equality and diversity issues that affect their work and how senior manager's champion equality and diversity issues within their service. Are partners aware of our equality and diversity standards, do we make sure that partnerships that we are involved in consider equality and diversity issues appropriately?

4. Best Practice

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

Is there a Champion at a senior level for this policy / function?

Is the champion fully aware of equality and diversity issues generally and those specific to this policy? Are they regularly briefed /updated on equality and diversity?

Debbie Hogg, Assistant Director (Resources)

All ACSMB members have signed up to the NYCC Equalities policy. All members of staff undergo Equalities & Diversity training as a mandatory requirement.

Are staff training needs identified?

Do staff understand wider equality and diversity issues and the issues specific to this policy? Are staff sufficiently aware of equality and diversity issues to allow them to signpost to information about this and other policies, plans or services – to promote better customer care?

Training and development has been provided for all officers directly involved with and/or responsible for the service.

All staff have undergone the mandatory NYCC Equalities & Diversity training & are fully aware of their individual input & role.

Staff will receive further training as and when required.

Is the role of key partner organisations identified?

Are key partners identified and their role in equality and diversity issues explained?

Providers – contract monitoring process. Equalities form an integral part of the contractual obligation for all approved providers.

Are the contributions of different groups acknowledged and encouraged?

If appropriate, does the policy or plan identify the contribution of different groups of people to social, political and cultural life and does it identify mechanisms to develop this?

As above. This will be further monitored as part of the new Quality Assurance system.

4. Best Practice

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence.

Does the policy/ service link with and support the Council's Social Inclusion Strategy?

Link to intranet

The service is part of the provision of overall social care service for all Adults in North Yorkshire.

Does the policy contribute to better community cohesion?

Does it promote good relations between different communities?

Does your policy, plan or service promote or further enable access to services, information, buildings, specialist equipment, timing of meetings etc to reduce barriers?

The service is subject to further development to more people requiring social care services. Access to services has been widened through the relaxing of eligibility criteria. Future plans are to include people who pay in full for their care.

5. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence

Has an adverse impact been identified for one or more groups?

Has the consultation or data analysis shown anything in the policy, plan or service that results in disadvantage or discrimination towards people of different groups? Which groups?

No adverse impact identified. However, this will be kept under review with the implementation of the quality assurance system, and in light of any findings from the Internal Audit inspection of the Selby service.

The Contracting Unit will be asked to review the information included on the provider list to ensure that there is sufficient detail about providers' ability to meet needs of diverse communities.

How could the policy be changed to remove the impact?

Have you considered all the different options? If you feel that you don't have enough information to decide this, one of your actions may be around gathering more information.

N/A

5. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender** and show your evidence

<p>Are you planning to consult people on the outcome of this impact assessment? When and how will you do this? How will you incorporate your findings into the policy?</p>	<p>Further analysis will emanate from the Audit review and the new Quality Assurance System. Findings will be addressed by the Finance & Support Services Managers & Support Managers and any resulting revisions to the service implemented</p>
<p>Can any adverse impact be justified? If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?</p>	<p>None identified</p>
<p>Are equality and diversity principles promoted and mainstreamed? Even if there isn't an adverse impact are there actions that could be undertaken to promote and mainstream equality and diversity principles? Is best practice being followed, and being disseminated to others?</p>	<p>Equality & Diversity is a standing item in the monthly Resources Management Team Meetings. A programme of Equality Impact Assessments is underway & issues are addressed as part of ongoing service review</p>
<p>Are there any other equality issues that haven't been covered through this impact assessment? Are there any other sections of the community that are affected?</p>	<p>None identified</p>
<p>Service Performance Planning Are equality issues addressed in your service performance plans? How will the issues raised in this Impact Assessment be incorporated into your mainstream planning?</p>	<p>Equality issues will be embedded within the annual service performance plan which also includes details of any Equality Impact Assessments undertaken or planned.</p>

Issue	Considerations	Objective	Action	Timescale & Lead Officer
<p>What are the key equality issues identified from the assessment and consultation and data analysis phases?</p>	<p>Are there any legal considerations / implications? Can less favourable treatment be justified? Are there any other changes that need to be considered? Have you sought advice? Who from?</p>	<p>What outcome would you want to achieve? Is it achievable?</p>	<p>What improvements could you make to achieve this outcome? What resources will you require to achieve this outcome?</p>	
<p>More information is needed about quality of services and outcomes for individuals, including that services are meeting needs of diverse groups / individuals</p>		<p>Information gathered by Brokerage staff, relating to market data will contribute to a new QA system. Appropriate action can then be taken to address any deficiencies</p>	<p>Brokerage staff will carry out an internal survey in September 2009.</p> <p>A Quality Assurance (QA) process will be implemented within ACS during 2009.</p>	<p>September 2009. Assistant Director. Contracting & Quality & Assurance Finance and Support Services Managers Support Managers.</p>
<p>The Brokerage Service needs to have enough information about providers to be able to make sure that the needs of diverse groups can be met</p>		<p>The Brokerage Service will have access to sufficient information on providers' ability to meet needs of clients including cultural, communication etc to ensure that people receive services that meet their specific needs</p>	<p>Contracting Unit to consider expanding specification categories on provider list, to include ability to meet specific needs such as cultural and communication</p>	<p>September 2009 Janine Tranmer</p>

6. Publicity and Communication of the Impact Assessment

As a County Council we are working towards publishing all of our impact assessments on the internet in line with statutory requirements. It also demonstrates our commitment to promoting equality and diversity, and ensures that policies and services are clear and plain to the public. When carrying out your impact assessment please be aware that it will become a public document.

When you publish your Impact Assessments it should include:

- A description of the policy and a brief account of how you assessed its possible effects
- A summary of the results of the assessment, including the likely impact of the policy on equality (race, disability, gender etc)
- Any available technical reports, or how to access them
- A review of your policy (or policy options) in light of your assessment
- A statement of what you plan to do next

6. Publicity and Communication of the Impact Assessment

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexuality, Faith, Race and Gender**

	<u>Evidence</u>
How will the results be published? Include reference to how results will be made accessible, plain English, summary / key points, who is the audience e.g. staff, community, service users etc.	The EIA will be published in summary on the County Council's website.

Name of the Directorate and Service Area	Adult & Community Services			
Name of the service/policy being assessed	Re-ablement Service			
Is this the area being impact assessed a	Policy & its implementation?	X	Service?	X
	Function		Initiative?	
	Project?		Procedure & its implementation?	
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?			
	Proposed service or a policy and its implementation?			
	Change to an existing service or a policy and its implementation?			X
	Service or Policy carried out by an organisation on behalf of NYCC?			
How will you undertake the EIA? Eg team meetings, working party, project team, individual Officer	Through the START Project Core Group.			
Names and roles of people carrying out the Impact Assessment	Linda Denham Area Manager Tim Smith, Workforce Development Manager Amanda Whitehouse, Area Registered Manager Kirsty Haslam, SIOM Jan Cleary, Strategic Commissioning Manager Terry O'Brien, Quality Manager Geraldine Mahon, Change Implementation Officer Carol Johnson, Senior Change Implementation Officer Debbie Winstanley, Registered Manager Lisa Gallon, FASSM Dave Wheelhouse, Diane Thorpe, Registered Manager			

Other officers involved in the assessment Eg taking part in peer review, challenge, quality assurance	Shanna Carrell, Equality & Community Engagement Officer	
Lead Officer and contact details	Jan Cleary 01609 534711	
Date EIA started	3/9/09	
Date EIA Completed	15/5/10	

Sign off by Service Head/ Business Unit Head	Bev Maybury, 1 st September 2010	
Presented at Directorate Equality and Diversity Working Group		
Date and place of Publication of EIA		
Monitoring and review process for EIA		

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

1.1 Describe the service/policy

What does the service/policy do and how? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how? Who are the stakeholders? How would you describe the policy to someone who knows very little about Council Services?

Does the policy, plan or service reflect relevant legal frameworks (including equality legislation) and national and local performance targets? Does the service/policy adhere to the principles of the [social model of disability](#)?

Are there any other policies or services which might be linked to this one? Are they being impact assessed?

How will the policy be put into practice? Who is responsible for it?



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Reablement Work Se

The Service Specification is attached

The Service will be available for all adults over 18 years referred to ACS with physical disability, sensory impairment, learning disability and mental health issues, within registered managers' criteria for a reablement service. The START teams will offer a short term assessment and reablement service which aims to:-

1. maximise each individual's independence
2. Prevent/delay the need for domiciliary care
3. Reduce the level of domiciliary care required by those people who need ongoing support
4. Reduce the number of hospital/care home admissions
5. Facilitate timely hospital discharge.

Staff will work with the person to identify the outcomes they want to achieve, and explore assistive technology solutions along with the use of universal services. The assessment tool will reflect the learning from the recent consultation on the NAQ, and will include inclusive language and diversity "prompts"

Stakeholders include ACS and all possible referrers including the independent and voluntary sector, health staff, and people who (may) receive support and carers.

The changes for the ACS staff group will be as a result of a comprehensive consultation process which has included Unison. There will be no staff reductions and Job Evaluation has resulted in no changes to payscales. There will be a supportive approach to suitability interviews.

The service will reflect relevant legal frameworks including Care Standards Act 2000;

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Community Care Act; Chronically Sick & Disabled Act 1970; Mental Capacity Act 2005 ETC ETC

It also reflects the North Yorkshire County Council Community Engagement strategy 2008.

The national /local performance targets it responds to are:

NI 125 - Intermediate care - at home 3 months after discharge from hospital for over 65s.

NI 133 - timeliness of social care packages

NI 135 – No. carers receiving an assessment / review

NI 136 – No. adults supported to live independently

C28/L13 - No. households receiving intensive homecare packages

L18 and 19 - No. adults benefiting from Telecare (including those preventing admission to residential care)

C72 – No. adults over 65 admitted on a permanent basis to residential / nursing care

The service will reflect the Social Model of Disability as it runs as a “golden thread” throughout; enabling people to identify barriers to them managing their health condition and achieving their goals. The staff training package reflects this need.

The evaluation of the initial implementation phase will take place from July to November 2010, and will include detailed tracking of cases. The analysis of the tracking and the demographic data will include issues relating to equality and diversity.

There will be clear pathways in and out of START and it will be possible for people to have multiple episodes of START, depending on need.

Other services will be impacted by this new development including :

Intermediate care, PCT services, the existing PCAH service, social care assessment services. The personalisation agenda along with the role and functions of 3rd sector and independent community services will also be affected. Other EIA's need to be looked at.

The new service will be implemented on a roll-out programme scheduled over a two year

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

period.

Baseline data has been gathered across the county, recording the people who accessed a new personal care support package in the three month period from June to September 2009. This data has been analysed according to age, gender, religion, ethnicity, and main client category (ie dementia, sensory impairment, mental health, physical disability, frailty and/or temporary illness, learning disability, vulnerable person). The demographics of the 954 people were compared to the wider North Yorkshire population and an earlier analysis of access to services in general in NYCC (How Equal is Access to NYCC ACS Services).



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EQUALITIES\Data\09

Nearly 40% of all people receiving a PCAH service are aged 85 or over, compared to 3.3% of the general population. The age profile of those receiving a START service is not expected to be any different from the current PCAH service.

All under 18's are excluded from PCAH and START. This is a deliberate exclusion as ACS does not offer services to children.

The PCAH user satisfaction survey indicates a generally high level of satisfaction with the service, with little significant variation according to gender, age, ethnicity or area. It is anticipated that the START service, working within the same operating framework, will deliver similar ranges of user satisfaction in these categories. This will be monitored.

There are more women accessing the PCAH service than men. This is explained by the fact that women have a higher life expectancy.

The representation of different faith groups is broadly similar for those receiving a personal care service and those receiving services generally, as is the case with ethnicity.

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

The PCAH service currently offers its service mainly to people over the age of 65, resulting in the main client categories for the majority being physical disability (43.7%) and frailty/temporary illness (42.4%).

This is expected to change for the START service, as it is intended that it will offer a service to people with a learning disability and people with mental health problems. Currently all services for these groups are delivered by separate staff groups. There will be a joint approach between START and in-house specialist services.

There is currently no information gathered re sexual orientation, however, it is estimated that 5 to 7% of North Yorkshire's population will be LGB, in line with Stonewall estimates.

The EIA of Craven Initial Contact Team, which operates on a similar basis to START, indicates that there is low take up of this service from people from the Muslim community. This is being addressed via community engagement events in the localities. This service noted that the staff team had much to learn about the cultural needs of people from the Muslim community. This needs to be addressed in START training, and in ensuring that any community engagement events in localities include information about START. This EIA also identified that the workforce profile was almost entirely female, which may result in barriers for some client groups e.g. for some male clients due to culture / modesty. This needs to be part of the Directorate's workforce planning strategy.

Mapping, needs analysis and action planning to better meet social care needs of Gypsy and Traveller communities is underway, led by a small task group and building on work undertaken by the Supporting People Team.

For all communities the ethos of personalisation will mean that individuals will be supported to identify the issues and outcomes which are important to them, and the solutions to achieving the desired outcomes. This person centred approach, which is at the heart of reablement, should be more effective than current service led approaches in supporting people's individuality and diversity.

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

There is a planned evaluation of the initial implementation of START in November 2010. This analysis will be repeated and comparisons made, to ensure that any changes in usage patterns according to age, disability, ethnicity, sexual orientation, faith, or gender are identified.

The work is being led by Beverley Maybury, Head of Social Care, Provision and Regulation and developed by the ACS Project Group.

1.2 Is the policy/service you are impact assessing physically accessible?

Is the policy/service delivered in the right locations? Are locations welcoming and appropriate for its function and customer needs? Are the opening times accessible? Have you carried out an [access audit](#)? Do you provide specialist equipment to help people access your services if it is needed?

Does the policy/service promote or further enable access to services?

Please see the Service Specification in 1.1

Ultimately the Service will be provided 24 hours/7 days and available across the County. but during development and phased implementation there will be different levels of service and access to the service in the areas.

People who wish to receive the service will be assessed (as at present) with any specialist equipment necessary being provided. Individual service plans and delivery will be designed to meet individual customer needs. The service will be provided in people's own homes, so physical access should not be an issue (should individual's access needs in their own homes be an issue, OT assessment will be carried as required, as is currently the case).

The capacity of specialist services such as sensory needs to be audited as part of the evaluation, as it is currently uncertain whether these services will be able to provide the required intensive input in the initial 6 weeks.

FACS presents a barrier to people who may wish/need to receive support from this new service but who do not meet the eligibility criteria. This is no different for START than for other social care services. Self-funders are entitled to an assessment and signposting to services available from the independent sector.

The independent sector will need to change its approach and role in response to this new service development. Dialogues with the voluntary and independent sectors have recently

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

been completed, and work is ongoing to develop the markets to ensure that appropriate services are available, including the expectation that services work to a reablement ethos to ensure that gains through START are not lost if ongoing services are then provided.

1.3 Is the information and communication provided accessible to everyone?

Is information and correspondence [accessible](#) and does it use appropriate language? Do your documents include an Accessibility Statement ([link to Accessibility Statement](#)) and will you provide information in other formats on request? Remember to think about the needs of people who are disabled or people whose first language is not English. Can customers contact your service easily and accessibly in a range of different ways? Do people know how to contact you?

Does information avoid the use of stereotypical language, or negative images of different groups of people? Does the information adhere to the principles of the [social model of disability](#)?

Do you consider customer needs when arranging the timing and venues of meetings or events?

A communication plan is in place and some thought has been given to information leaflets such as a Guide to the Service for the public and Statement of Purpose to meet CQC requirements. START has been incorporated into the SDS leaflet, which has been widely consulted on.

The Working Group will monitor any changes in requirements of information for the public to ensure it meets National Minimum Standards for Health & Social Care.

Using information in the Equalities Impact Assessment of the Craven Initial Contact Team, correspondence with people accessing the service will be in large font. Information for people accessing the START service will also need to be made readily available in a range of accessible formats such as audio, easy-read, BSL DVD, rather than relying on people requesting such formats. This will help the Council to meet the anticipatory duty to make reasonable adjustments under the DDA 1995.

The working group is also aware of issues for staff training around the identified impact issues and potential staffing implications in meeting individual need sensitively and appropriately.

Person-held records and support plans also need to be accessible and meaningful to the person receiving support.

The service and all information will reflect the Social Model of Disability as it runs as a “golden thread” throughout; enabling people to identify barriers to them managing their health condition and achieving their goals.

Eligibility criteria is included in the Service Specification 1.1

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

1.4 How is your service/policy delivered?

Do you charge for your services? Do these changes affect everyone equally? Do some customers incur greater costs or get 'less for their money'?

Are there eligibility criteria for the service/policy?

Does the Council deliver this policy in partnership or through contracts with other organisations? How do you ensure that external bodies comply with the Council's equality requirements?

Is the policy delivered with volunteers? Does this raise any implications e.g. training needs? Are volunteer opportunities available to all?

Everyone who receives support will be charged in accordance with North Yorkshire County Council current charging policy. Intermediate care will continue to be free at the point of delivery – if the service does not form part of an intermediate care response then a financial assessment will be carried out and a charge made.

If the need for an interpreter leads to delays this will not affect the length of the START intervention. Where there are specialist needs eg LD, MH, PSI, START will in many cases work jointly with specialist workers to deliver the reablement service.

Existing service recipients will be reviewed and may be transferred to a different independent provider. This may result in a difference in the cost to the recipient.

Initially this is an altered internal service and at a later stage this will have an impact on partner agencies and their work with ACS. This will include the model of practice adopted by them. Agency staff will be expected to work to an enablement model if they are contracted to ACS. This EIA needs to link with the development of the Quality Assurance Framework and all Strategic Commissioning work to ensure that issues around equality and diversity and reablement ethos are built into contracting and contract monitoring, and market development.

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

2.1 What data do we use now? Is it broken down by equality and diversity categories?

How current is the data? Where is it from? Is it relevant? Are the equality and diversity categories consistent across all the data used?

The current PCAH baseline which was collected from June 2009 to September 2009 has been analysed.

There is no significant difference between the demographics of people accessing PCAH services and those accessing all services. There do not appear to be any particular barriers for entry to the service according to age. The evaluation will check out the hypothesis that the new service will be delivered to more younger people.

More women access PCAH than men, which can be explained by the difference in life expectancy.

The data relating to religion indicates that there is fairly even access to people of all religions/faiths and beliefs to PCAH services, and therefore to START services.

The ethnicity figures show that the numbers of people from minority ethnic groups are small, leading to difficulty drawing conclusions, but they do not suggest any particular discrimination on the grounds of ethnicity once people are on the care pathway. There is, however, a significant amount of “not stated” which might suggest training or recording issues, which will be picked up in the AIS training. In addition, the figures show fewer minority ethnic people accessing services than might be expected compared to the overall minority ethnic population – work in underway to actively engage with communities to ensure that they are aware of the services available from Adult Social Care.

The majority of people who receive a PCAH service have either a physical disability or frailty/temporary illness as their main client

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

	<p>category. At evaluation we would expect to see more learning disability and mental health main client categories.</p> <p>The PCAH user satisfaction survey is broken down by equality and diversity categories. No issues are highlighted by this.</p> <p>For the START service we will compare outcomes for the different groups, and to compare outcomes in rural and urban areas, as improved performance outcomes data will be collected, including quality of life information and functional assessment scores pre and post intervention.</p>
<p>2.2 Are there areas where we need more information? How could we get this information?</p> <p>What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately eg compliments and complaints? Are the national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?</p>	
<p>2.3 What analysis have you carried out on the data?</p> <p>Does the analysis include general demographic trends and local specific trends such as ageing, migration and the nature of minority ethnic communities and other diverse groups eg lesbian, gay, transgender etc? Does it include trends about specific sectors as appropriate eg education, transport, housing, retail and business opportunities?</p>	<p>See analysis of baseline data at 2.1 above.</p> <p>Demographic trends project an increase in the number & proportion of older people in North Yorkshire, and an increase within that of older people with more complex needs. There will also be growth in the number of adults with complex long-term conditions including those with a learning disability, and in older people with mental health problems. *</p>

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Does your policy or plan identify how changes in demand for services and potential demand will be tracked over time, and the process for influencing service change?

Does it identify the level of take-up of services by different groups of people?

Is it free of generalisations or stereotypical notions about people of different groups and does it reflect the diversity of people in North Yorkshire? Does it identify the equality profiles of users/beneficiaries and staff?

**Strategic Commissioning for Independence, Wellbeing and Choice 2007-2022*

Data will also be collected about the use of the new service by self-funders as this group should have equal access to the service.

The evaluation of the initial implementation phase will look at the demand for the service, and will determine the overall size of the service.

2.4 What does the analysis of the data show?

Does the data show any differences in outcome for different groups? Eg differences in take up rates or satisfaction levels across groups. Is it what you expected? Does it change earlier assumptions?

Please include data and analysis as an appendix

See analysis of baseline data at 2.1 above

2.5 What are the mechanisms for the ongoing monitoring of progress on your policy/service, or monitoring take-up of your service?

Given the information above do monitoring mechanisms need to be altered to make sure that all the required data is captured? What monitoring techniques would be most effective?

What performance indicators or targets would be used to monitor the effectiveness of the policy/service?

A performance framework is in place which will enable service take up by different groups and associated outcomes to be monitored.

A longitudinal study will take place, via the tracking of different cohorts of people using the new service. In addition there will be a series of staff focus groups, which will pick up interface issues. This will help us to track and compare outcomes.

The performance framework will shape this, recording the comparison between the outcomes achieved via START (functional assessment

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

<p>How often does the policy/service need to be reviewed? Who would be responsible for this?</p>	<p>scores, number of people no longer needing a service, number of people with a reduced service need, number of people with an increased service need, number of people using assistive technology) and those achieved by the control group of current PCAH users (baseline data group)</p> <p>Service complaints and compliments will be collated. There will be a quality monitoring framework in place. The Project Team will monitor the development and performance of the service on a quarterly basis.</p> <p>The Service will incorporate a Quality of Life self assessment tool.</p> <p>Comparisons will be made between the PCAH user satisfaction surveys.</p>
<p>2.6 Does your service meet the needs of all customers?</p> <p>How do you know? How do you check? Do some needs/priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?</p>	<p>See 2.1 and 2.5 above.</p>
<p>2.7 What consultation have you already done that you can use to inform this impact assessment? Please summarise the main findings from the consultation</p> <p>Can you analyse the results of this consultation by social identity e.g. race, gender, age, disability, faith, Sexual orientation</p> <p>Who did you consult and how? What are the main findings? Are there differences in response between different groups? Are there more findings yet to come?</p>	<p>Nationally the majority of people (some 80%) wish to live independently within their own homes as long as possible (DH 2006).</p> <p>In addition, people consistently tell us that they want to have practical and personal assistance that offers choice and control, promotes independence, treats them with respect, and preserves their dignity (CSCI 2006). This study states that many people receiving traditional home based personal care services find the task based approach inflexible and insensitive to their needs.</p> <p>NYCC's JSNA states that people of all ages place a high value on</p>

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

NB - if this is an update please say when this information has been added. Did you find that some groups felt that they were adversely affected by the policy/service? Did you feedback the findings of the consultation to those who were involved?

occupation, fitness, access to leisure and activity. A consistent message concerns the desire and willingness of people to be responsible for their own health and wellbeing and get on with their lives; they just need things to be put in place to enable this to happen. This ethos has directly fed into the service design.

The NYCC PCAH user satisfaction survey records some concerns about workers being in a rush, with a total of 59% of respondents saying that they are always, often, or sometimes in a rush. The additional capacity in the START service will enable workers to spend 50% more time in direct support time.

Feedback from the consultation on the NAQ indicates that some people found it difficult to engage with assessment process as they felt too poorly at the point at which assessment was carried out. The START assessment tool is designed as an ongoing assessment, which evolves over the course of the intervention. People should feel more able to engage with the NAQ after a period of reablement.

Prior to the development of the reablement service model, multiagency workshops took place in the 4 North Yorkshire areas. These workshops included BGOP representatives and carers' representatives. The aim of the workshop was to identify what was working well on the ground, deficiencies in pathways, and to consider more joined up ways of working. Similar discussions took place at the Easingwold BGOP group, and the county BGOP conference. The comments from the workshops fed into plans for integrated working, which in turn fed into the reablement service model.

2.8 What is the communication strategy to advertise and promote your plan, policy or service?

An article will go in the NY Times in June, giving a personal account of the positive impact of reablement. Information will be on the NYCC website. It will be in the self directed support leaflet and the general

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

	NYCC overview leaflet.
<p>2.9 Is there any more consultation that you need to do to inform this impact assessment?</p> <p>Have you identified in other sections of this impact assessment information that you need to assess the impact of the service/policy on different groups of people</p>	<p>The NY Times article will include the availability of an email address for comments on the new service.</p> <p>Information about START has been given to mental health staff, and they have been offered the opportunity to comment on the best ways for the service to engage with people with mental health issues.</p> <p>Reports will be taken to the PSI Partnership Board and the LD Partnership Boards with a view to seeking advice about the ways in which the service could be tailored to meet the needs of people with physical and sensory impairments and learning disability.</p> <p>Additional input is needed to Older Peoples Partnership Board, mental health reference groups, and carers' services.</p>
<p>2.10 How and when you will consult service users about this policy/service in the future?</p> <p>What do you want to find out? Who will you consult with? What method will you use? What are the potential or known barriers for different equality groups of your chosen method? How will you overcome this? Have you considered the accessibility of your consultation? (see consultation toolkit)</p> <p>When will findings be available? Will the consultation/involvement be ongoing, regular or a one-off?</p>	<p>The assessment process included questions about the perceived effectiveness of the service.</p> <p>There will be information on the NYCC website, with the opportunity for people to comment/ask questions.</p> <p>Further consultation and engagement will be considered once the evaluation has been completed and analysed.</p>
<p>2.11 Will you use existing consultation mechanisms?</p>	

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Will consultation utilise existing NYCC communication, consultation and engagement mechanisms rather than setting up new mechanisms? E.g. the [Citizens panel](#), disability reference groups, the employee equality forum? ([link to mechanisms](#))

Existing consultation mechanisms have already been used and will continue to be an important part of ongoing / future engagement plans.

If not please explain why

2.12 What do people from different groups want?

Have you asked people from different groups what they need or want? What was the outcome of this? Is this reflected in your policy/service

This has been and will continue to be addressed via consultation with user groups such as Partnership Boards. See 2.7 above.

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

3. Best Practice

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

3.1 Is there a Lead Officer at a senior level for this policy/function?

Bev Maybury, Assistant Director, Adult Social Care Operations is the lead officer, and is a member of the Directorate's Equality Strategy Development Group.

Is the Lead Officer fully aware of equality and diversity issues generally and those specific to this policy? Are they regularly briefed/updated on equality and diversity? **(more specific)**

3.2 Are staff training needs identified?

Equality and Diversity training is part of induction and NVQ training for resource workers, and will be part of the START training programme.

Do staff understand wider equality and diversity issues and the issues specific to this policy? Are staff sufficiently aware of equality and diversity issues to allow them to signpost to information about this and other policies, plans or services - to promote better customer care?

If training needs identified contact your [Directorate representative](#).

3.3 Is the role of key partner organisations identified?

Are key partners identified and their role in equality and diversity issues explained?

requested

One of the key elements of the service model is the promotion of the use of community resources. People will be encouraged and enabled to maintain/re-establish social contacts, and to use mainstream services such as libraries and leisure services. Locality information packs are currently being developed. Care Services Managers will be supported to ensure that a diverse range of social groups / networks etc are included (for example a social group for LGB people).

3. Best Practice

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

3.5 Does the policy contribute to better [community cohesion](#)?

Does it promote good relations between different communities?

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

4. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

<p>4.1 Has an adverse impact been identified for one or more groups?</p> <p>Has the consultation or data analysis shown anything in the policy, plan or service that results in disadvantage or discrimination towards people of different groups? Which groups?</p>	<p>The service is not yet in operation. Potential for adverse impact has been identified in the following areas.</p> <ol style="list-style-type: none"> 1. Rapid access to translators/interpreters (and requirement to have information about START readily available in range of alternative formats) 2. Capacity for specialist teams to work jointly at short notice. 3. Lack of engagement from wider service group resulting in potential for unidentified access issues for (e.g.) people with a learning disability, people with physical and sensory impairments 4. Training not adequately dealing with issues of equality and diversity, particularly practical application of cultural competency and social model of disability 5. Failure to apply equality and diversity standards in linked projects eg Zoning, charging
<p>4.2 How could the policy be changed to remove the impact?</p> <p>Have you considered all the different options? If you feel that you don't have enough information to decide this, one of your actions may be around gathering more information.</p>	<p>Information will need to be gathered as part of the evaluation and any adverse impacts acted upon.</p> <p>Relevant people in other workstreams to be made aware of this EIA</p>
<p>4.3 Are you planning to consult people on the outcome of this impact assessment?</p> <p>When and how will you do this? How will you incorporate your findings into the policy?</p>	<p>ACSMB Mental Health Social Care Leads Sensory and LD teams Strategic Commissioning Procurement, Contracting and Quality Assurance Unit</p>
<p>4.4 Can any adverse impact be justified?</p>	<p>Although potential for adverse impact has been identified, if we</p>

4. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

<p>If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?</p>	<p>address the issues (4.1) no adverse impact should remain. We will use the evaluation and ongoing monitoring to check.</p>
<p>4.5 Are equality and diversity principles promoted and mainstreamed?</p> <p>Even if there isn't any adverse impact are there actions that could be undertaken to promote and mainstream equality and diversity principles? Is best practice being followed, and being disseminated to others?</p>	<p>A Guidance Note for staff will be produced, to include prompts re equality and diversity, for example in the assessment stage.</p> <p>The letter for recipients of the service will ask them to think about any cultural/faith issues which are important in the delivery of a service to them, and discuss these with their assessor.</p> <p>The Implications Group will be in place to troubleshoot issues which arise during the implementation phase.</p>
<p>4.6 Are there any other equality issues that haven't been covered through this impact assessment?</p> <p>Are there any other sections of the community that are affected?</p>	<p>No</p>
<p>4.7 Service Performance Planning</p> <p>Are equality issues addressed in your service performance plans? How will the issues raised in this Impact Assessment be incorporated into your mainstream planning?</p> <p>How will equality issues be monitored?</p>	<ol style="list-style-type: none"> 1. Partial roll out in two areas. Further roll out will be based on the evaluation. 2. There could be potential impacts which are currently unforeseen owing to the many interfaces with wider aspects of service delivery, commissioning and contracting. These will be picked up during roll out and evaluation, and fed in to ongoing implementation.

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

Equality Action Plan				
Issue	Considerations	Objective	Action	Timescale & Lead Officer
What are the key equality issues identified from the assessment and consultation and data analysis phases?	Are there any legal considerations/ implications? Can less favourable treatment be justified? Are there any other changes that need to be considered? Have you sought advice? Who from?	What outcome would you want to achieve? Is it achievable?	What improvements could you make to achieve this outcome? What resources will your require to achieve this outcome? All actions identified here should be included in your Service Action Plan/ Equality & Diversity Action Plan	
Access to translators / interpreters delaying access to START	Disability Discrimination Act 1995 – duty to make reasonable adjustments / anticipatory duty Race Relations (Amendment) Act 2000		Identification of issues via the evaluation and development of an action plan	December 2010 Jan Cleary
Some disabled people will require information to be made available in other formats, including audio, Braille, easy read, BSL – in addition to large print	Anticipatory duty to make reasonable adjustments under the DDA 1995.	Information to be accessible to disabled people	Information for public to be made available in range of formats, in advance of any requests, including easy read, audio, Braille and BSL DVD.	
Capacity of specialist teams			As above	December 2010 Jan Cleary
Lack of engagement of main user groups	Disability Discrimination Act 2005 / Duty to Involve	Wider consultation with all user groups/wider public to	Capacity issue: requires wider involvement of	September 2010 Bev Maybury

	2009 (<u>section 138</u> of the Local Government and Public Involvement in Health Act)	ensure that new approach is fit for purpose	operational management group in the consultation process	
Impact of links with other policies and programmes which have not been EIA'd			Wide dissemination of the START EIA	June 2010 Jan Cleary
Full cost payers whose service is reprovided into the independent sector and who opt to purchase the service themselves via a personal budget, may have to pay more than the £16 per hour capped hourly rate for in house PCAH. Harrogate/Craven is likely to be the area which has the highest impact.		Removal of financial impact on full cost payers Minimisation of financial impact to ACS	Further work to identify the scale of the issue and any potential financial impacts for ACS. Link with Self Directed Support and Zoning projects. Report to Reablement Steering Group and ACSMB as necessary.	Lisa Gallon Jan Cleary September 2010

5. Publicity and Communication of the Equality Impact Assessment

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

	<u>Evidence</u>
5.1 How will these results be published? Include reference to how results will be made accessible, plain English, summary/key points, who is the audience e.g. staff, community, services user etc.	This equality impact assessment will be summarised and published on the County Council's website.





North

Yorkshire County Council

Equality Impact Assessment Template

If you would like this information in another language or format such as Braille, large print or audio, please contact the Communications Unit on 01609 53 2013 or email communications@northyorks.gov.uk.

যদি আপনি এই ডকুমেন্ট অন্য ভাষায় বা ফরমেটে চান, তাহলে দয়া করে আমাদেরকে বলুন।

如欲索取以另一語文印製或另一格式製作的資料，請與我們聯絡。

اگر آپ کو معلومات کسی دیگر زبان یا دیگر شکل میں درکار ہوں تو برائے مہربانی ہم سے پوچھئے۔



Undertaking an Equality Impact Assessment

Equality Impact Assessments (EIA) should be undertaken at the business case stage when:-

- You are developing a new service or policy
- You are reviewing an existing service or policy
- You are proposing a change to an existing service or policy
- You are reviewing a service or policy carried out on behalf of the council or another organisation
- Your service is re-organised.

They should be referenced in your final recommendations on the service changes so that decision makers can reach an informed decision on the service/policy.

An EIA should cover all the social identity characteristics protected by equality legislation – referred to as ‘protected characteristics’ or equality strands. These are;

- Sex
- Sexual orientation
- Religion or belief
- Ethnicity
- Race – this include ethnic or national origins, colour and nationality
- Disability (including unpaid carers)
- Pregnancy and maternity
- Gender reassignment

There is a lot of information available to support you in completing this assessment on the EIA pages on the NYCC intranet

The Council must publish your equality impact assessment and a summary will be included on the NYCC website in line with statutory requirements. Please be aware that it will become a public document.

Name of the Directorate and Service Area	Adult and Community Services (Performance and Change Management)			
Name of the service/policy being assessed	Reduction in services previously funded by Carers Grant across NYCC ACS.			
Is this the area being impact assessed a	Policy & its implementation?	<input type="checkbox"/>	Service?	X
	Function	<input type="checkbox"/>	Initiative?	
	Project?	<input type="checkbox"/>	Procedure & its implementation?	
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?			
	Proposed service or a policy and its implementation?			
	Change to an existing service or a policy and its implementation?			X
	Service or Policy carried out by an organisation on behalf of NYCC?			
How will you undertake the EIA? Eg team meetings, working party, project team, individual Officer	Project Team			
Names and roles of people carrying out the Impact Assessment	Sarah Wileman Carers Project Officer Mike Webster AD Contracting Procurement and Quality Control Anne-Marie Lubanski Head of Transformation			
Lead Officer and contact details	Sarah Wileman 01609 534940 sarah.wileman@northyorks.gov.uk			
Date EIA started	Oct 2010			
Date EIA Completed	Feb 2011			
Sign off by Service Head/ Business Unit Head				
Sign off by Assistant Director (or equivalent)	Mike Webster			
Date of Publication of EIA				
Monitoring and review process for EIA				

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

1.1 Describe the service/policy

What does the service/policy do and how? Who does it benefit? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how? Who are the stakeholders? How would you describe the policy to someone who knows very little about Council Services?

How is the policy, plan or service linked to relevant legal frameworks (including equality legislation) and national and local performance targets? Are there any other policies or services which might be linked to this one? Have you reviewed the EIA for these policies/services? What do they tell you about the potential impact?

How will the policy be put into practice? Who is responsible for it?

As part of the 1999 National Strategy for Carers the Government announced the creation of a Special Grant for Carers which was to be paid to local authorities 'for the enhancement of services to allow carers to take a break from caring'. A similar initiative followed in Wales. In England the underlying purpose of the Grant has been explained as to:

- *further develop innovative and high quality carers services in response to local needs*
 - *develop pragmatic, outcome focused approaches to the carer's assessment, integrated with the development of the Single Assessment Process by April 2004 and promotion of joint working with health services*
 - *focus on the needs of carers, which is often the most effective way to prevent loss of independence. In line with Fair Access to Care Services, local authorities should ensure no assumptions are made that caring roles can be sustained without assessment and the possibility of support for the carer. For further information Quality Standards for Local Carer Support Services was published by the Department of Health in February 2000*
 - *provide breaks for carers who provide substantial and regular care to a 'relevant adult' who lives at home and has been assessed under the NHS and Community Care Act 1990*
 - *provide breaks services for disabled children and their families under part 3 of the Children Act 1989*
 - *support children and young people (under 18) who are carers in having a break from caring; or*
 - *fund voluntary organisations to provide breaks directly on the basis of their own assessments.*
- Level of commissioning of voluntary organisations should be determined by local need and reflect stakeholders views*
- *fund administration relating to local carers strategies and consultation with carers*
 - *in line with good practice, councils are encouraged to agree a plan with stakeholders to ensure the grant is spent on locally agreed priorities.*

The carers grant ceased to be ring fenced in April 2004. However it remains the responsibility of the council to ensure that carers are being cared for. North Yorkshire County Council invested heavily in carers service through this allocated pot of money from 2000 through 3rd sector service providers and in house provision to carers.

The County Council remains committed to the principle of commissioning services that support carers, but has to reduce the funding available to such services in the financial year 2011/12 and in subsequent years due to the comprehensive spending reviews impact. This Equality Impact Assessment is being undertaken to look at the impact of these budget reductions on the range of services commissioned and to consider its impact on all the identity characteristics protected by equality legislation – referred to as ‘protected characteristics’ or equality strands. These are:

- Disability
- Age
- Sexual orientation
- Faith
- Race
- Gender (including Trans)

The EIA will consider the impact on carers.

A comprehensive analysis of carers services has taken place across the county to try to identify services that can be provided in a different way whilst still ensuring that carers continue to be supported. This includes the identification of underused services or those that can be provided in a more cost effective personalised way to the carer. As part of this analysis the core contract with the Carers Centres across the county has been reviewed, priorities identified and provision added. This added provision includes group work, carer involvement and carers supporting carers within their own communities. In addition to this the County Council is committed to the continued personalised support to carers through Direct Carers Support grants that promote carers taking a break from their caring role in innovative and personalised ways. The County Council also continues to provide both respite and sitting services through a range of in house and 3rd sector providers, these are currently in the process of having Value for Money reviews.

The impact of the reduction in central government grants to North Yorkshire will have a subsequent impact on carers spending plans

The Government has announced that there will be a Council Tax freeze in 2011/12 so there is little prospect of the County Council achieving a compensatory income from this source.

Although spend on carers continues to be a priority there will no longer be an identified carers grant from central government therefore carers spend is subject to the cuts that will be required across the whole of Adult Social Care. This has totalled 10% in year and plans of 10% for 11/12 and 12/13.

The services identified as being affected by the reduction in funding for 2011/12 are as follows:

Hambleton and Richmondshire:

Mental Health Support Sunday day centre

Mental Health Support Sunday drop in

Hambleton and Richmondshire Carers Centre Direct Services

Hambleton and Richmondshire Carers Centre Young Persons Group worker

Hambleton and Richmondshire Carers Centre Adult group worker

Hambleton and Richmondshire Consulting and identifying needs

Elmfield Holiday Cottage

Harrogate and Craven

Harrogate and Craven Carers Resource Side by Side Harrogate

Harrogate and Craven Carers Resource Side by Side Craven

Harrogate and Craven Carers Resource Side by Side EMI

Harrogate and Craven Carers Resource Something Good Craven

Harrogate and Craven Carers Resource Boroughbridge Brunch

Harrogate and Craven Carers Resource Pately Bridge Brunch

Harrogate and Craven Carers Resource Helping Hands Harrogate

Harrogate and Craven Carers Resource Helping Hands Craven

Harrogate and Craven Carers resource Consulting and identifying needs

Stroke Association Dyspasia support

Henshaws – Summer Scheme

Scarborough Whitby Ryedale

Scarborough and Ryedale Carers Resource Consulting and identifying needs

Scarborough and Ryedale Carers Resource Mental Health Worker

Scarborough and Ryedale Carers Resource MH Groups

These services offer additional support to carers in the form of groups, clubs, social

and leisure activities and a small number of additional respite services. The criteria for review of these services to carers are:

- Where services are duplicated and in particular are or should be being delivered through a core contract or by a statutory provider such as NYCC.
- Services that are not being used or are being underused.
- Services where carers have alternative methods of meeting the same need such as Direct Carers Support Grant.
- Services identified as being the responsibility of another statutory provider e.g. CYPS.
- In order to shift focus from a dependency on organisations to an enabling approach.

The council proposes to cease this provision and from 1st April 2011 replace it through core contract provision with the carers centres and Direct Payments to carers. Additional needs for respite will also be reviewed individually for those who have previously accessed both Henshaws and Elmfield Holiday Cottage. .

There are no other policies and services that would be directly linked to this one. These changes will be implemented from October 2010.

This reduction in funding and termination of specific contracts will be done with communication with the providers in line with contractual agreements and the voluntary sector compact. None of these specific terminations should affect the overall stability of the organisation however in the longer term if further cuts need to be made within the 3rd sector the viability of these organisations cannot be guaranteed.

The organisations will be asked for an exit strategy and any carers who were accessing this provision would be able to access a carers assessment either with the County Council (ACS) or their local Carers Centre to see what other services may be available to them. This provision is free of charge to all carers and available to carers even where the cared for person declines services.

The changes being proposed have been designed to create equity across localities by addressing over provision in some areas. However particular attention may need to

1.2 How do people use the policy/service?

How is the policy/service delivered? How do people find out about the policy/service? Do they need specialist equipment or information in different formats? How do you meet customer needs through opening times/locations/facilities? Can customers contact your service in different ways? How do you demonstrate that your service/policy is welcoming to all groups within the community?

Does the policy/service support customers to access other services? Do you charge for your services? Do these changes affect everyone equally? Do some customers incur greater costs or get 'less for their money'? Are there eligibility criteria for the service/policy? Does the Council deliver this policy in

partnership or through contracts with other organisations? How do you monitor that external bodies comply with the Council's equality requirements? How do you ensure that staff/volunteers delivering the service follow the Council's equality policies?

be made to ensure that people in rurally isolated areas are able to attend the additional provision which will be introduced such as group work.

We believe that the changes being made will improve the overall delivery of services in line with personalisation, information for carers equity of support for carers across the county.

2. Data (qualitative and quantitative) and monitoring

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

2.1 Who is using the service?

What data do we use now? Is it broken down across protected characteristics (and are these categories consistent across all data sets)? How current is the data? Where is it from? Is it relevant?

These projects have all been funded by Carers Grant. We do not request that returns are broken down by protected characteristics. The figures below were provided by the agencies for 2009/10 and detail the number of people supported by each project.

Area	Service	No. supported 2009-10
Hambleton Richmondshire	MH Support Sunday Day Centre	11
	MH Support Sunday Drop in	
	HR Carers Centre Young Person's Group worker	31
	HR Carers Centre Adult Group Worker	59
	HR Carers Centre Direct Services	0
	HR Consulting and Identifying Needs	
	Elmfield Holiday Cottage	
Harrogate Craven	HC Carers Resource Side by Side Harrogate	278*
	HC Carers Resource Side by Side Craven	141*
	HC Carers Resource Side by Side EMI	334*
	HC Carers Resource Something Good Craven	89*
	HC Carers Resource Boroughbridge Brunch	31*
	HC Carers Resource Pateley Bridge Brunch	30*
	HC Carers Resource Helping Hands Harrogate	0
	HC Carers Resource Helping Hands Craven	0
	HC Carers Resource Consulting and identifying need	0
	Stroke Association Dysphasia Support	20 **

	Henshaws Summer Scheme	11
Scarborough Whitby Ryedale	SR Carers Resource Consulting and identifying need	0
	SR carers Resource Mental Health worker	218
	SR Carers Resource Mental Health Groups	132

*It is unclear however how many people attend more than one of these services and if they refer to episodes rather than individuals. In addition to this any carers who were accessing these services will still be able to access the core provision provided by carers resource that we are continuing to fund.

** based on 08/09 figures

In addition to this we have the figures provided by the Carers Resources on the number of people in total that they are currently supporting.

Number of carers being supported by locality:

Carers Resource	18-64	65+			Total 65+	Total
		65-74	75-84	85+		
Hambleton Richmondshire	*159 (55.8%)	74	41	11	*126	285
Selby	*154 (63.6%)				*88	242
Harrogate District and Rural	**522 (25.8%)				**1501	2023
Craven	**262 (35%)				**486	748
Scarborough Ryedale	*2 212 (70.0%)				*1 043	3255

*Figures supplied by Carers resource Oct 2010

** Figures taken from H&C Contract monitoring form Nov 2010

Within NYCC ACS information on carers known to us is recorded on AIS. This currently shows that across the county carers between the age of 16 and 64 make up 48.2% of carers recorded. Carers are predominantly supporting people with a physical disability. When both the carer and cared for person are in the 18-64 age group there is a high number of people with a learning disability being supported. Numbers of people with Dementia being supported increases when the cared for person is over 75.

In addition to this we know from data and anecdotal evidence that current services struggle to reach some groups of carers, for example BME people, Gypsies and Travellers, older carers who are rurally isolated and younger adult carers.

	Harrogate Craven	Hambleton Richmondshire	Selby	Scarborough Whitby Ryedale	JSNA
Christian	76.4%	81.4%	75.2%	68.4%	80.3%
Non-Christian Faiths	2.1%	1.4%	1.9%	2.6%	0.8%
Non-Religious	7.6%	5.8%	9.6%	7.7%	12.0%
Not stated	13.9%	11.3%	13.3%	21.3%	-

Figures taken from AIS 4th Feb 2011 – all open carers and JSNA general population

NYCC supports a higher number of carers from non-Christian faiths than is indicated by the JSNA general population's breakdown of religion / faith. The Council has made a concerted effort to engage and meet the needs of the diverse population.

	Harrogate Craven	Hambleton Richmondshire	Selby	Scarborough Whitby Ryedale	JSNA
White	95.2%	98.0%	93.1%	90.0%	97.4%
Mixed				0.2%	0.7%
Asian	0.1%	0.1%	0.2%	0.4%	1%
Black	0.1%				0.4%
Chinese and other	0.6%			0.1%	0.6%
Not Stated	1.3%	0.5%	3.3%	4.0%	-

Figures taken from AIS 4th Feb 2011 – all open carers and JSNA general population

There is a higher proportion of carers who have not chosen to state their religion in the NYCC data than the JSNA – but it looks as though non-white ethnic minorities may be slightly under represented. This is something NYCC will continue to address via outreach, engagement and via Carers Resource core contracts.

	Harrogate Craven	Hambleton Richmondshire	Selby	Scarborough Whitby Ryedale	JSNA

Female	69.6%	69.9%	69.2%	68.2%	49.2%
Male	30.4%	30.1%	30.8%	31.8%	50.8%

Figures taken from AIS 4th Feb 2011 – all open carers and JSNA general population

NYCC supports a significantly higher number of female carers than male compared to the general population. To make any reasonable conclusions on whether or not this is representative of caring roles nationally, we need to make recourse to national carers data on gender splits which is currently unavailable (See action plan).

2.2 Are there areas where we need more information? How could we get this information?

What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately e.g. compliments and complaints? Are there national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?

As part of further work to evaluate carers services across the county contracted by ACS we are gathering more information about carers across the county who access a wider range of services. This work does not seem to be identifying any different trends to those outlined above.

It will also be useful to either gain national data or benchmark against other local authorities with regards gender, religious and ethnicity splits of carers to see how closely the demographics of carers match those of the general population.

2.3 What does the data tell you?

Does the data show any differences in outcome for different groups e.g. differences in take up rates or satisfaction levels across groups? Does it identify the level of take-up of services by different groups of people? Does it identify how potential changes in demand for services will be tracked over time, and the process for service change?

Please include data and analysis as an appendix

Given that the data provided on the services under review is not broken down into categories such as age, gender etc, we cannot identify whether or not people from any particular group are being disproportionately affected. We can only assume that the profile of carers accessing the services under review reflects the make-up of people as per monitoring data on the core contracts.

It seems that of the people supported through Carers Resource, 51% of carers supported are under the age of 65 compared to 48.2% of carers in North Yorkshire (41.9% of carers in England and 41.6% in Yorkshire and Humber). There are differences in this profile between the different Carers Resources, with Scarborough area supporting the highest number of working-age carers and Harrogate area the lowest.

15.8% of carers in England care for someone with a mental health issue. 10.8% of the total carers supported in the Scarborough area will be affected by this change. The specific Mental Health projects were put in place to identify carers from this area – this has now been successful and their support will continue through the ongoing work of

	<p>Carers Resource and the County Council in partnership with Tees Esk and Wear Valley NHS Foundation Trust (TEWV). This work includes a focus on hard to reach people.</p> <p>Given the information on current gender split of carers across North Yorkshire we can conclude that women are more likely to be carers and may therefore be more affected by these changes.</p>
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<p>2.5 How will you monitor progress on your policy/service, or take-up of your service?</p> <p>What monitoring techniques would be most effective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service? How often does the policy/service need to be reviewed? Who would be responsible for this?</p>	<p>We will review feedback from the providers when they receive notice of the termination of these contracts, we will address any issues that arise as a result of the exit strategies from these agencies and any feedback they receive from carers. We will also assess the information in the new core contract reviews to see what areas of this work are now being offered in line with the revised core contract. In addition to this increased numbers/requests for carers assessments can be monitored.</p> <p>Also through the establishment of the North Yorkshire Carers Forum (March 2011) we will be seeking the views of carers about the services that are on offer and seeking their involvement in the ongoing review and development of these services.</p>
<p>2.6 How do you know whether your service meet the needs of all customers?</p> <p>What engagement work have you already done that can inform this impact assessment? Who did you talk to and how? What are the main findings? Can you analyse the results of this consultation across the protected characteristics? Are there differences in response between different groups? How did you feedback the findings of the engagement to those who were involved? How has this changed the plans for the policy/service?</p> <p>Please summarise the main findings from any engagement work.</p>	<p>By reducing these services there is a potential that some of the carers who were accessing them may feel that their needs are not being met. However by re-provisioning services through Carers Centre core contract and offering those carers an assessment there is potential to provide a much more tailored personalised service to individual carers that is directed towards personal positive outcomes.</p> <p>The Caring with Confidence Programme that we are proposing to add into the Carers Centre core contract has had a great deal of positive feedback from carers around the county enabling them and helping them to form informal support networks. This reduces dependency on agencies and enables individuals to make the right choices for their own situation.</p> <p>No formal engagement work has taken place on these proposals however evidence exists locally from Carers outcomes forms (Forms completed by carers as a form of feedback after a carers assessment) that the most important services or support they have received are Respite breaks, Information and Advice and Direct Carers Support Grants.</p> <p>Engagement work with minority ethnic communities identified that in general they were</p>

	<p>not aware of support available to them as carers. However issues that were important to them were advice and support so that they could continue to play an active caring role.</p>
<p>2.9 Do you need to do more engagement work to inform this impact assessment?</p> <p>Have you identified information in other sections of this EIA that you need to assess the impact on different groups of people? What do you want to find out? Which existing mechanisms can you use to get this information?</p> <p>Please refer to the Community Engagement toolkit on the NYCC intranet</p>	<p>Not at this point however the soon to be established North Yorkshire Carers Forum (March 2011) will be involved in any future developments in Carers services and will also be asked how they feel the changes to date have effected them. In addition they will be asked to give priorities for services provision for carers in the current financial climate and encouraged to enter into co-production with NYCC. We will endeavour to ensure that the carers forum includes representation from people from diverse communities including male carers, BME and LGBT.</p>

3. Action Planning

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence.

3.1 Has an adverse impact been identified for one or more groups?

Has this assessment shown anything in the policy, plan or service that results in (or has the potential for) disadvantage or discrimination towards people of different groups? Which groups?

Given that there is a higher proportion of female carers than male it may be that there is a greater impact on female carers. However there is nothing to indicate that these services were more likely to meet the needs of female carers rather than males.

If we were to have removed these services with no plan for alternative provision there may have been some adverse impact on those carers accessing these services.

Whilst acknowledging that by removing services to carers we could potentially impact on a cared for disabled person the fact that we aim to still meet the carers needs through assessment and / or re-provision should remove this impact.

Due to the fact that we have provided interventions either through core contract or through Direct Carers Support grants to meet carers individual needs, the termination of these contracts may call for some carers to be directed towards alternative support but should not have any adverse impact.

However we intend to closely monitor this situation with both providers and care managers to act on any issues should they arise.

In addition to this there is still more work necessary to identify and engage currently under represented groups (see section 2.1). This is being addressed through the core contract with the Carers Resource and by outreach and engagement work by ACS. This will be part of performance monitoring (including the requirement to collect equality monitoring data on service users).

3.2 How could the policy be changed to remove the impact?

Due to the fact that we have provided interventions either through core contract or through Direct Carers Support grants to meet carers

<p>Which options have been considered and which one has been chosen?</p>	<p>individual needs, the termination of these contracts may call for some carers to be directed towards alternative support but should not have any adverse impact. However we intend to closely monitor this situation with both providers and carer managers to act on any issues should they arise.</p> <p>Also through the establishment of the North Yorkshire Carers Forum (March 2011) we will be seeking the views of carers about the services that are on offer and seeking their involvement in the ongoing review and development of future services.</p>
<p>3.3 Can any adverse impact be justified?</p> <p>If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?</p> <p>Please seek legal advice on whether this can be justified.</p>	<p>We do not believe any adverse impact will remain.</p>
<p>3.4 Are you planning to consult people on the outcome of this impact assessment?</p> <p>When and how will you do this? How will you incorporate your findings into the policy?</p>	<p>No. However we will continue to actively engage with both carers themselves and carers service providers and this equality impact assessment will be available to them.</p>
<p>3.5 How does the service/policy promote equality of opportunity and outcome?</p> <p>Does the new/revised policy/service improve access to Council services? Are resources focused on addressing differences in outcomes?</p>	<p>The proposals will improve equality of opportunity across the county by incorporating services into the core contract and promoting joint working between the providers to ensure the most cost effective provision. This will ensure effective comparisons between areas so no one area is advantaged over another.</p> <p>Also by promoting a carers assessment for any of those carers affected by the termination of these contracts we would be ensuring comparative provision and support between carers and recognition of any specific needs relating to a protected characteristic.</p> <p>In addition to this there is still more work necessary to identify and engage currently under represented groups (see section 2.1). This is</p>

	being addressed through the core contract with the Carers Resource and by outreach and engagement work by ACS. This will be part of performance monitoring (including the requirement to collect equality monitoring data on service users).
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<p>3.6 Are there any other equality issues that haven't been covered through this impact assessment?</p> <p>Are there any other sections of the community that are affected? Why haven't these been included in the assessment? Are they picked up in other EIAs/services?</p>	No.
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Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

Action Plan				
Action	Officer responsible	Deadline	Other plans this action is referenced in (e.g. Service Performance Plan, work plan)	Performance monitoring arrangements
To establish a North Yorkshire Carers Forum to ensure that any future service changes or redesign of services are done in	Sarah Wileman / Joss Harbron / Sue Lear	Launch 22 nd March 2011	Valuing People Now (ACS).	Sarah Wileman to monitor in line with Joss Harbron.

consultation with a wider group of carers.				
To ensure that the section in the Carers Resource core contract referring to engaging hard to reach and under represented carers is adhered to through regular performance reviews and support from NYCC.	Sarah Wileman and Contracting Officers relevant to the areas.	6 monthly contract reviews.	Sarah Wileman Work Plan re Contract monitoring of Carers Resource.	6 Monthly contract monitoring reviews.
Use Census 2011 data to inform local demographics on carers and compare our NYCC ACS information with the nationally held data set once it is available.	Sarah Wileman.	2012		Sarah Wileman to follow this up once the data is available and incorporate it into any local plans.
Monitor reprovision of services.	Sarah Wileman.	6 monthly	Sarah Wileman workplan	Sarah Wileman to follow this up via contract monitoring with Carers Resource and monthly figures re carers assessments and access to Direct Carers Support Grants. .

Equality Impact Assessment – Voluntary Sector Efficiencies

Function	Sub-Function (Function, Policy, Procedure, Project, Initiative, Service)	Relevance to Equality & Diversity (High, Medium, Low)	Evidence of relevance/action (legislation, anecdotal/ statistical evidence etc)
<p>Faith</p> <p>Is there any evidence – formal or otherwise – that specific religious groups/faiths may be affected by these proposals?</p>	<p>3% Efficiency saving – Reduction in funding</p>		<p>The proposal to reduce funding does not affect specific religious (Info as per spreadsheet) groups: however the spreadsheet of services that are funded by NYCC does not cover the scope of groups who may utilise other services.</p>
<p>Disability</p> <p>Is there any evidence – formal or otherwise – that people with learning/physical disabilities or sensory impairment may be affected by these proposals?</p>	<p>3% Efficiency saving – Reduction in funding</p>		<p>Yes (Info as per spreadsheet) –people with learning/physical and sensory impairments currently use the services of organisations that have been requested to identify efficiency savings. Provider front line services were asked to make efficiencies without impacting directly on service delivery and to advise ACS if this was not possible and a direct impact would ensue. Data regarding the impact of the reduction funding in these services to-date does not demonstrate an adverse outcome. Where the possibility arises discussion will ensure with said organisation. Some of these services may have already been identified as protected priority groups.</p>
<p>Sexual Orientation</p> <p>Is there any evidence – formal or otherwise – that issues relating to people’s sexual orientation may be affected by these proposals.</p>	<p>3% Efficiency saving – Reduction in funding</p>		<p>The proposal to reduce funding does not specifically affect people’s sexual orientation (Info as per spreadsheet) groups: and feedback has not raised this as an area of concern.</p>

<p>Age</p> <p>Is there any evidence – formal or otherwise – that issues relating to people’s ages may be affected by these proposals.</p>	<p>3% Efficiency saving – Reduction in funding</p>		<p>The issue of age was not used as a deciding factor in looking at cuts or efficiencies. However as more older people may experience dementia it is noted that –people with dementia and cognitive impairments currently use the services of some organisations that have been requested to identify efficiency savings. As is the case with disability no adverse effects have been recorded to-date. To ensure impact was minimised we identified some older people services specifically supporting people with dementia were categorised as protected.</p> <p>By the nature of the profile of the investment in the voluntary sector there are more services established offering support to older people. Any efficiency requirement will then by nature impact on this group. The task in establishing the decision framework was to ensure the impact did not have a disproportionate effect on older people. The absence of negative feedback suggests we may have achieved an equitable approach.</p>
<p>Gender</p> <p>Is there any evidence – formal or otherwise – that issues relating to people’s gender may be affected by these proposals.</p>	<p>3% Efficiency saving – Reduction in funding</p>		<p>Both male and females utilise voluntary and 3rd sector services across the county – none of the organisations who currently receive funding are specific to males or females.</p>
<p>Race</p> <p>Is there any evidence – formal or otherwise – that issues relating to people’s race may be affected by these proposals</p>	<p>3% Efficiency saving – Reduction in funding</p>		<p>The proposal to reduce funding does not affect specific ethnic groups (Info as per spreadsheet) groups: however the spreadsheet of services that are funded by NYCC does not cover the scope of groups who may utilise the services or facilities and this may be an area for consideration in the future.</p>
<p>Other identified factors.</p>			

Is there any evidence – formal or otherwise – that people with mental health problems may be affected by these proposals?	3% Efficiency saving – Reduction in funding		There are many voluntary and 3 rd sector organisations that provided support to people with Mental Health problems across the county. The level of investment in mental health services is relatively low and so the process recognised that to cut some services might have a disproportionate effect on this client group. The preliminary discussions and process therefore sought to offer a degree of protection where investments in services were already low.
Is there any evidence – formal or otherwise – that people with dementia cognitive impairments may be affected by these proposals?	3% Efficiency saving – Reduction in funding		Yes. This area was considered and the reader is referred to the section above on aging.
Is there any evidence – formal or otherwise – that people who use these services will be financially disadvantaged by these proposals.	3% Efficiency saving – Reduction in funding		People, who use the voluntary and 3 rd sector organisations for support, may be financially disadvantaged if they have to pay for travel to access services' in other locations or if they have to pay higher contributions for their support due the reduction in funding. However in this 1 st . stage of efficiencies there was no proposals about ending services solely related to this efficiency drive so in the main people continued on with their services and were not impacted upon inequitably. There were some services who had been offered short term funding with an expectation that they become self funding. Such services were being purchased directly by their customers. One such service in Catterick comes to mind. However this was not related to the efficiency but to self sustainability of low level prevention services.
Access to advice and information services and services related to those services.	3% Efficiency saving – Reduction in funding		Information and data feedback required for the impact on the reduction in funding to these services Reduction in funding may indirectly impact on access to these services by some of the protected groups.
Carers Support services	3% Efficiency saving – Reduction in funding		Information and data feedback required for the impact on the reduction in funding to these services.

			Reduction in funding to these organisations may indirectly impact on specified categories.
Is there any evidence of public concern, that this proposal will cause discrimination to specific groups of people?	3% Efficiency saving – Reduction in funding		None as yet – when people who use the services are advised that budgetary cuts may affect their service, we may receive communication or complaints regarding discrimination from them.

Note: Next stage of EIA on Voluntary Sector Efficiencies Proposals:

Post CSR there are proposals to achieve in excess of £1million worth of efficiencies in 2011-13.	This would broadly equate to a 25% cut in budget.		<p>Discussions with the sector representatives have resulted in a request to ACS that rather than have another approach to salami cuts we instead agree an investment framework outlining not the cuts in services but the levels of invest and the desired outcomes. This then would become a decision framework for the future. Action Agreed:</p> <ol style="list-style-type: none"> 1) ACS will develop a menu of critical services. 2) An outcomes framework to be developed to sit alongside the menu 3) Proposals to transform in house provision and the opportunities' for the voluntary sector 4) The launch of an 'innovation fund and the further opportunities for the sector <p>This will be initially outlined at a launch event on the 1st March 2011 and this will launch the second phase of the efficiency post CSR. There will be three months dialogue resulting in a refresh of the EIA during this period.</p>
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Equality Impact Assessment Voluntary Sector Efficiencies

If you would like this information in another language or format such as Braille, large print or audio, please contact the Communications Unit on 01609 53 2013 or email communications@northyorks.gov.uk.



যদি আপনি এই ডকুমেন্ট অন্য ভাষায় বা ফরমেটে চান, তাহলে দয়া করে আমাদেরকে বলুন।

如欲索取以另一語文印製或另一格式製作的資料，請與我們聯絡。

اگر آپ کو معلومات کسی دیگر زبان یا دیگر شکل میں درکار ہوں تو برائے مہربانی ہم سے پوچھئے۔

Template 2

Name of the Directorate and Service Area	Adult And Community Services, Commissioning and Partnerships		
Name of the service/policy being assessed	Reduction in financial support to third sector and voluntary organisations who provided community services		
Is this the area being impact assessed a	Policy & its implementation?	/	Service?
	Function		Initiative?
	Project?		Procedure & its implementation?
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?		
	Proposed service or a policy and its implementation?		
	Change to an existing service or a policy and its implementation?		/
	Service or Policy carried out by an organisation on behalf of NYCC?		
How will you undertake the EIA? E.g. team meetings, working party, project team, individual Officer	Project Team		
Names and roles of people carrying out the Impact Assessment	Naomi Garbutt - Strategic Commissioning Manager Harrogate / Craven (ACS) Michael Hunt –Strategic Commissioning Manager, Scarborough/Whitby/ Ryedale Rebecca Dukes – Project Officer ECH		
Other officers involved in the assessment E.g. taking part in peer review, challenge, quality assurance	Quality Assurance Process. Carers Resource Shanna Carrell Complaints Team Performance Team Strategic Commissioning of the 3 rd Sector group		

Lead Officer and contact details	Seamus Breen Assistant Director Commissioning & Partnerships 01609 533622 Seamus.breen@northyorks.gov.uk	
Date EIA started	13.09.2010	
Date EIA Completed	Feb 2011	

Sign off by Service Head/ Business Unit Head	Seamus Breen	
Presented at Directorate Equality and Diversity Working Group		
Date and place of Publication of EIA		
Monitoring and review process for EIA		

Template 3

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

1.1 Describe the service/policy

What does the service/policy do and how? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how? Who are the stakeholders? How would you describe the policy to someone who knows very little about Council Services?

Does the policy, plan or service reflect relevant legal frameworks (including equality legislation) and national and local performance targets? Does the service/policy adhere to the principles of the [social model of disability](#)?

Are there any other policies or services which might be linked to this one? Are they being impact assessed?

How will the policy be put into practice? Who is responsible for it?

Service Description

North Yorkshire County Council has a statutory duty to provide adult social care services to meet assessed needs of eligible people within the County. It discharges these functions through assessment of need, applying eligibility criteria and directly providing or commissioning services to meet these needs. A summary of the Council's legal duties in this regard are attached at Appendix 1.

In addition to these services, the County Council has a policy to make services available to people outside this statutory framework in order to provide support to potentially vulnerable people in the community. These services are intended to provide practical support to people, promote independence and well-being and prevent the need for statutory services, such as homecare and residential care in the future. An equally valid aim is to delay the onset of the need for such services in the future.

The County Council remains committed to the principle of commissioning services that promote independence, well being and prevention, but has to reduce the funding available to such services in the financial year 2010/11 and in subsequent years. This Equality Impact Assessment is being undertaken to look at the impact of these budget reductions on the range of services commissioned and to consider its impact on all the identity characteristics protected by equality legislation – referred to as 'protected characteristics' or equality strands. These are:

- Disability
- Age

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

- Sexual orientation
- Faith
- Race
- Gender (including Trans)

The EIA will also consider the impact on carers.

Current Pattern of Provision and Expenditure Profile

The County Council is planning to spend in the region of £11 million this financial year on services from the Third Sector that will support low level prevention and early intervention. It is proposed to reduce this year's expenditure by approximately £300,000 and to consider further reductions in 2011/12/13 and subsequent years, dependent on the outcome of the Coalition Government Autumn Spending Review.

At the time of writing the Autumn Spending Review talks about a real term cut of approximately 28% over the next 4/5 financial years (i.e.: 2011/12 – 2014/15) in Government spending in areas other than the NHS and overseas aid. Percentages of this magnitude, if applied, would suggest a reduction in annual net expenditure for the County Council of approximately £69 million over the five year period beginning in the current year. This figure is likely to be understated however, in that the impact of inflation, on goods and services, and the impact of volume demand, particularly for adult social care, will also have to be addressed over this 5 year period. In social care therefore, we might need to consider the possibility of a 30% cut.

The Government has announced that there will be a Council Tax freeze in 2011/12 so there is little prospect of the County Council achieving a

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

compensatory income from this source.

The County Council has a large number of contracts with voluntary and third sector organisations that cover a diverse range of service activity. These contracts range from relatively small amounts in the region of a few thousand pounds, to considerably more substantial ones as well. The range of services covered includes the following:-

- Advocacy
- Alzheimer's and Dementia
- Carers
- Stroke Services
- Information and Advice
- Age Concern and Help The Aged
- Local infrastructure organisations
- Carers Resource Centres
- Carers Services
- Drugs and Alcohol
- Welfare Benefits
- Home Improvement Agencies
- Training
- Mental Health Services
- Day Services
- Social Activities
- Befriending
- Visiting and Sitting
- Shopping
- Telecare
-

Information about the voluntary and 3rd sector organisation that receives

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

funding from NYCC is available; however some of the data around funding is confidential between the County Council and the Provider.

Policy and Legal Framework

The County Council has chosen to commission services that promote the health and well being of individuals and local communities in order to reduce or delay the need for statutory community care services. The evidence for this approach is set out in the County Council's commissioning strategy 'Strategic Commissioning for Independence, Well Being and Choice' which covers the period 2007 – 2022¹ and the multi agency document 'Putting People First in North Yorkshire²'. Evidence for the effectiveness of preventative services are described in the national evaluation of the Partnerships for Older People's Projects³ and 'That Little bit of Help'

The power to provide such services is obtained from the Local Government Act (2000)⁴ where Section 2 relates to the promotion of well being. The Act gives the Local Authority the power to 'do anything which they consider is likely to achieve one of the more following objects:

- (a) the promotion or improvement of economic well being of an area
- (b) the promotion or improvement of the social well being of their area and
- (c) The promotion or improvement of the environmental well being of their area.

This power may be exercised in relation to or for the benefit of

¹ Strategic Commissioning for Independence, Well being and Choice, NYCC, 2007

² Putting People First in North Yorkshire, NYCC, NHS North Yorkshire and partner agencies, 2008

³ National Evaluation of POPP programme, Second Interim Evaluation Report, PSSRU 2008

⁴ Local government Act 2000, HMSO, 2000

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

	<p>(a) the whole or any part of the Local Authority's area or (b) all or any persons resident or present in a Local Authority's area, The majority of individuals who access such preventative services will not have been the subject of a formal assessment of need under the relevant community care legislation (see Appendix 1 for details). However, for a small number of the services in question individuals may have received such an assessment and the services may be provided to some individuals on a different statutory basis to Section 2 of the Local Government Act. If this is the case then such individuals, should they be affected by any of the reductions in budget, would have their needs reviewed under relevant legislation that covers their circumstances and possible alternatives to be put in place according to need and eligibility.</p>
<p>1.2 Is the policy/service you are impact assessing physically accessible?</p> <p>Is the policy/service delivered in the right locations? Are locations welcoming and appropriate for its function and customer needs? Are the opening times accessible? Have you carried out an access audit? Do you provide specialist equipment to help people access your services if it is needed? Do you consider customer needs when arranging the timing and venues of meetings or events?</p> <p>Does the policy/service promote or further enable access to services?</p>	<p>The reduction of funding to some of the voluntary and 3rd sector organisations may have an impact on their ability to deliver the services in the same way that they are doing now. Evaluation of the current service may indicate the necessity to look at how services are provided with reduced funding, and in which locations those services can be delivered efficiently. This may specifically impact on people who live in rural locations and may have to travel further to access services.</p> <p>NYCC are currently appraising the equity of services across the county to minimise inequalities.</p>
<p>1.3 Is the information and communication provided accessible to everyone?</p> <p>Is information and correspondence accessible and does it use appropriate language? Do your documents include an Accessibility Statement (link to Accessibility Statement) and will you provide</p>	<p>If any adverse effects for people using services are identified, the information about the reduction in funding and the impact on their service will be distributed by the organisations, in a format appropriate to its service users.</p>

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

information in other formats on request (or prepared in advance where necessary)? Remember to think about the needs of people who are disabled or people whose first language is not English. Can customers contact your service easily and accessibly in a range of different ways? Do people know how to contact you?

Does information avoid the use of stereotypical language, or negative images of different groups of people? Does the information adhere to the principles of the [social model of disability](#)?

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

2.1 What data do we use now? Is it broken down by equality and diversity categories?

How current is the data? Where is it from? Is it relevant? Are the equality and diversity categories consistent across all the data used?

North Yorkshire: Population & Distribution of the population

At the time of the 2001 census, the population of North Yorkshire was 569,660.

The distribution of the population at the time of the census show that Harrogate has the highest proportion of the population at 151,336 (27%), followed by, Scarborough 106,243 (19%) Hambleton 84,111 (15%), Selby 76,468 (13%), Craven 53,620 (9%), Ryedale 50,872 (9%), and Richmondshire 47,010 (8%)

Harrogate and Scarborough have the highest proportion of the population.

Age

Of the total population approximately 40% were aged 0-34 years, 42% were aged 35-64 years and 18% were aged 65 years and over. Richmondshire having the highest proportion of people aged 0-34 years, Hambleton having the highest proportion of people aged 35-64 years and Craven, Ryedale and Scarborough having the highest proportion of people aged 65 years and over.

Hambleton has the highest proportion of the population aged 35-64 years. (43.6%)

Harrogate has the highest number of people aged 65+ years, however in proportion to the population, Scarborough (21.4) Ryedale (20.4%) and Craven (20.2%), % have the highest number of people aged 65+years.

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

The Scarborough ward of Filey has the highest number of people aged 65 + years.

The Ryedale ward of Malton has the highest number of people aged 65+ years.

The Craven ward of Settle and Ribblesbanks has the highest number of people aged 65+ years.

The Harrogate ward with the highest number of people aged 65 + years is Harlow Moor.

Services provided by the 3rd sector and voluntary organisations in these areas, to these specific age groups, should be considered in relation to reducing funding.

Selby (14.7%) and Richmondshire (15.2%) have the lowest proportion of people aged 65+years.

(See data book page 4 4, for population structure predictions by age).

The census shows that North Yorkshire has approximately 121,700 people aged 65 and over, just over 20% of the population, with 54,300 being male and 67,500 being female.(data from POPPI.Org)

Ethnicity

The census shows that just under 98% of the North Yorkshire population were White British, with 1.1% in Black and Minority Ethnic (BME) groups. (Considerably lower than the national average of 9.1%)

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Within the county, the proportion of population in BME groups was lowest in Ryedale (0.6%) and highest in Richmond shire (1.8%)

(See data book page 14, for full composition breakdown of the non white British population in the county.)

The Black Minority Ethnic population is largely clustered in a small number of wards across North Yorkshire. The highest being Scotton in Richmond, with 10.5% BME in population , followed by Skipton West in Craven, with 9.2% and Nidd Valley in Harrogate with 5.6%.

The impact of reduced funding to organisations supporting BME groups in these wards requires monitoring.

(See data book page 15, for the electoral wards with the highest proportion of BME group's resident.)

Religion

80.3% of North Yorkshire population are Christian.

Approximately 0.7% of the population are within minority religious groups. 12% stated no religion and 7% religion not stated. (figure taken from ONS online)

www.statistics.gov.uk/census2001/profiles/36-A.asp

(Data taken from, North Yorkshire County Council, Adult and Community Services, Strategic Commissioning for Independence Well-being and Choice, 2007-2022 Data Book)

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Disability

The estimated number of adults in North Yorkshire, between 25 and 85+ years, with moderate and serious disabilities at 2005 is 146,660.
(See data book, page 49 for full breakdown of the estimated number of adults with each type of disability by age, inc hearing and sight disability.)

The estimated number of people aged 20 having 1 or more disability (locomotor, personal care, sight, hearing or communication) in 2005 is 79,884 (18%)

Health Survey for England 2001; Disability, DOH 202

The estimated number of people with mild learning disabilities in 2005 is 11626 (2%)

The estimated number of people with severe learning disabilities in 2005 is 2325 (0.4%)

(LD from care to citizenship Kings Fund 1999)

Sexual Orientation:

There is a limited amount of data available regarding the sexual orientation of the population. The Office of National Statistics (ONS) suggests in the 2010 integrated household survey that approximately 1.5% of the population of North Yorkshire are lesbian, gay, bi sexual or trans gender. Locality specific data is not available in this survey, or through any equality or diversity monitoring data collated by NYCC.

www.statistics.gov.uk/statbase/Product.asp?vlnk=15381

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

There are support groups and help lines that offer services throughout North Yorkshire, some of which are locality specific, these include Yorkshire MESMAC, Scarborough & Ryedale Gay Community Network, OLGA (Scarborough & Ryedale), and however none of these groups receive funding through NYCC.

It is not known how many people in this diversity category, may use services that are funded by NYCC, as people are not asked to disclose their sexual orientation when they are wanting to access services. Only when NYCC receives feedback from organisation or individuals will we be aware if a reduction in funding will impact on these groups of people.

Dementia predications in North Yorkshire for 20011 :

Ages:

65-79 - 744

70-74 - 888

75-79 – 1,398

80-84 – 2,236

85+ (case level dementia) – 4,425

(Adult commission Forget me not)

Carers :

Total number of cares > 65 years: approx 11,538

Male: 5,397

Female: 6,141

17% of both male and females carers aged 65 years are not in good

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

health themselves.
(census 2001)

For locality specific data, people aged 18-64 years and 65 years and over, including gender, ethnicity, religion (65 years+) dementia, learning disability, physical disability, hearing impairment, sight impairment, age profiles, distribution of population by ward and long – term limiting illness by ward – see appendix 2

The number of people currently open NYCC who Voluntary organisation provide a service to 675. The breakdown of categories are as follows:

Age:

18-34	9
35-44	8
45-54	28
55-64	49
65-74	91
75-84	252
85+	230
No DOB	8

The highest proportion of people being supported are older people ages 75+

Client Group by main Category:

Carer (& not a service user in own right)	77
Dementia (RAP)	76
Dual Sensory Loss (RAP)	12

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Frailty and/or Temporary illness (RAP)	274
Hearing Impaired (RAP)	12
Learning Disabilities (RAP)	17
Learning Disabilities – Vulnerable Adults	1
Mental Health (RAP)	10
Physical Disability	82
Visual Impairment	111
Vulnerable Person	3

The highest proportion of people being supported are Frail and/or people with temporary illnesses.

Summary by Gender:

Female: 460
Male: 215

Summary by religion:

Agnostic :	1
Baptists:	6
Buddhism:	1
Christianity:	100
Jehovah Witnesses:	2
Judaism:	3
Methodist Church:	38
Non Conformist:	1
Non Religious:	22
Nor Recorded:	2
Not Stated:	61
Other:	9

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Pentecostal:	2
Quaker:	1
Roman Catholic:	35
Salvation Army:	1
Church of England	327
Church of Scotland:	3
Unitarians:	2
Withheld:	58

The highest proportion of people being Church of England.

Summary by Ethnicity:

White British:	659
White Irish:	3
Any other white Background:	4
Any Other Ethnic Group:	1
Not Stated (Adults only):	8

The highest proportion of people being supported are White British
From the figures supplied, it shows that voluntary organisations in North Yorkshire are supporting very few people from other ethnic backgrounds; therefore a reduction on funding will impact very little on these groups of people.

Figures for peoples sexual orientation not available, as not recorded.

(figures supplied by Performance & Change – Performance & Quality Assurance NYCC)

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Voluntary organisations provide Carer Sitting Services throughout North Yorkshire, including 92 places for people who care for older people, people with physical or sensory impairment and people with learning disabilities in Hambleton, 473 places in Scarborough, Whitby & Ryedale, predominantly for those who care for older people, 318 places for people who care for older people, people with physical or sensory impairment and people with learning disabilities in Harrogate & Craven.

Figures for Selby Carer Sitting Service not available.

Number of carers being supported by locality:

Hambleton / Richmondshire

Carers	Age Group
159	18 - 64
74	65 - 74
41	75 - 84
11	85+

Selby and District

Carers we are supporting over 65+ is 88 carers
Carers we are supporting 18 - 64 is 154 carers

Scarborough & Ryedale

Carers 65+ 1043

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Carers 18-64 2212

Harrogate and Craven

The figures for carers, aged 65 and over, currently being supported are:

Harrogate & Rural district - 926

Craven - 339

Scarborough & Ryedale have the highest number of carers being supported by 3rd sector and voluntary organisations with 2,212 carers aged 18-24 and 1,043 aged 65+.

(figures supplied by Carers resource)

The voluntary and 3rd sector organisations are required to provide monitoring information about the categories of people using its services.

The data monitoring process does not identify if the person using the service have themselves specified their ethnicity, or whether the organisation/service has specified the data, therefore the data may be less accurate if it is not based on self-reporting.

Data is collated from organisations, through a monitoring process, but it does not cover all of the specified categories. The data covers peoples ages, gender, ethnicity and within that data, main client group by disability. The monitoring process does not collate data related to people's religion or sexual orientation.

Other specific data is periodically requested through surveys; however compliance with the request is the choice of the person using the

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

service and does not supply NYCC with definitive figures.

2.2 Are there areas where we need more information? How could we get this information?

What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately e.g. compliments and complaints? Are there national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?

Recent correspondence to all the voluntary and 3rd sector organisations, stated that they 'work towards delivering a 3% cut in budget in the current year (2010 -2011) and that in line with the planned cuts in budgets to consider how they will best deliver the efficiency target with as little impact as possible on service users' the feedback from correspondence will be used to inform this EIA.

Organisations have been advised that NYCC are completing an 'Overarching equality impact assessment and would like their assistance with this. Therefore if there is a direct impact on front line service delivery rather than management and support costs NYCC have requested that they would like them to advise NYCC how they would deliver the efficiency in their service and of any impact on the users of their service, if they believe these to be more inequitably than other equally at risk groups. This will help NYCC to consider a more detailed overall service level equality impact assessment.' (*letter to 3rd Sector/voluntary organisations, DL Sept 2010*)
Organisations have been advised that feedback from this request will be used to inform this EIA.

More information is required to establish if there are any groups within the specified categories, who may be indirectly affected by the reduction in funding i.e. using facilities for meetings, advice/information services.

North Yorkshire County Council current spend per head, per annum, for people 65+, **from the 3rd sector budget is:**

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Craven £18	Richmond £25
Harrogate £35	Ryedale £13
Hambleton £31	Scarborough £16
Selby £26	

Average spend : £24

North Yorkshire County Council current spend per head, per annum, for people 85+, **from the 3rd sector budget is:**

Craven £115	Richmond £184
Harrogate £230	Ryedale £90
Hambleton £262	Scarborough £206
Selby £206	

Average spend : £175

2.3 What analysis have you carried out on the data?

Does analysis include general demographic and local specific trends such as ageing, migration and the nature of minority ethnic communities and other diverse groups? Does it include trends about specific sectors as appropriate e.g. education, transport, housing, retail and business opportunities?

Does it identify the level of take-up of services by different groups of people? Does it identify how potential changes in demand for services will be tracked over time, and the process for service change?

Locality specific data:

For locality specific data, people aged 18-64 years and 65 years and over, including gender, ethnicity, religion (65 years+) dementia, learning disability, physical disability, hearing impairment, sight impairment, age profiles, distribution of population by ward and long – term limiting illness by ward – see appendix 2

NYCC are currently appraising the equity of services across the county to minimise inequalities. Not all of services are available equally across the county; services required should be relative to the needs of that locality. The appraisal will identify which type of services are

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Is it free of generalisations or stereotypical notions about people of different groups? Does it reflect the diversity of North Yorkshire? Does it identify the equality profiles of users/beneficiaries and staff?

required in each locality so that accessibility to service is fair, equal and relevant to people wanting to use the services in specific areas.

2.4 What does the analysis of the data show?

Does the data show any differences in outcome for different groups? E.g. differences in take up rates or satisfaction levels across groups. Is it what you expected? Does it change earlier assumptions?

Please include data and analysis as an appendix

Craven Data: Total Population : 53,620 (2001 census)

The Organisation for Economic Co-operation and Development defines rurality as 1.5 persons/hectare or less; Craven has 0.5 person/hectare and is ranked as having the 12th lowest population density (of 375 local authorities), therefore the logistics of providing services in this locality will be challenging, in terms of people being able to access/ travel to services, if the reduction in funding means that some services are reduced.

See appendix 2 for Craven Locality Data.

Hambleton Data: Total Population : 84,111(2001 census)

The Organisation for Economic Co-operation and Development defines rurality as 1.5 persons/hectare or less; Hambleton has 0.64 person/hectare and is ranked as having the 16th lowest population density (of 375 local authorities), therefore the logistics of providing services in this locality will be challenging, in terms of people being able to access/ travel to services, if the reduction in funding means that some services are reduced.

See appendix 2 for Hambleton Locality Data.

Harrogate Data: Total Population : 151,336(2001 census)

The Organisation for Economic Co-operation and Development

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

defines rurality as 1.5 persons/hectare or less; Harrogate has 1.6 person/hectare and is ranked as having the 57th lowest population density (of 375 local authorities).

See appendix 2 for Harrogate Locality Data.

Richmond Data: Total Population: 47,010(2001 Census)

The Organisation for Economic Co-operation and Development defines rurality as 1.5 persons/hectare or less; Richmond has 0.36 person/hectare and is ranked as having the 8th lowest population density (of 375 local authorities).

Richmond has one of the lowest population density in North Yorkshire therefore the logistics of providing services in this locality will be challenging, in terms of people being able to access/ travel to services, if the reduction in funding means that some services are reduced.

See appendix 2 for Richmond Locality Data.

Ryedale Data: Total Population: 50,872(2001 Census)

The Organisation for Economic Co-operation and Development defines rurality as 1.5 persons/hectare or less; Ryedale has 0.34 person/hectare and is ranked as having the 7th lowest population density (of 375 local authorities).

Ryedale has the lowest population density in North Yorkshire therefore the logistics of providing services in this locality will be challenging, in terms of people being able to access/ travel to services, if the reduction in funding means that some services are reduced.

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

See appendix 2 for Ryedale Locality Data.

Scarborough Data: Total Population; 106,243 (2001 Census)

The Organisation for Economic Co-operation and Development defines rurality as 1.5 persons/hectare or less; Ryedale has 1.3 person/hectare and is ranked as having the 67th lowest population density (of 375 local authorities).

See appendix 2 for Scarborough Locality data

Selby Data: Total Population; 76,468 (2001 Census)

The Organisation for Economic Co-operation and Development defines rurality as 1.5 persons/hectare or less; Ryedale has 1.5 person/hectare and is ranked as having the 63rd lowest population density (of 375 local authorities).

See appendix 2 for Selby Locality data

On the whole, North Yorkshire has relatively low population densities, therefore the planning and provision of services across the whole county presents challenges. A reduction in funding could impact on some organisation in some areas.

2.5 What are the mechanisms for the ongoing monitoring of progress on your policy/service, or monitoring take-up of your service?

The monitoring of the services includes quarterly report returns, by the organisation, which are collate by NYCC.

NYCC's Contracting, Procurement & Quality Assurance Team's

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Given the information above do monitoring mechanisms need to be altered to make sure that all the required data is captured? What monitoring techniques would be most effective?

What performance indicators or targets would be used to monitor the effectiveness of the policy/service?

How often does the policy/service need to be reviewed? Who would be responsible for this?

Performance Monitoring & Review form for Community Care Agreements, which captures some, but not all, equality and diversity data, inc ethnicity and main client group by disability. It also captures information relating to the number of people using the service and monitors standards & policies which include equality and diversity, ensuring that organisations have systems in place to monitor the support given to minority groups.

The management Information team are able to pull off data from AIS and swift, but this information does not cover all categories.

2.6 Does your service meet the needs of all customers?

How do you know? How do you check?

Do some needs/priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?

Due to the rural nature of the county North Yorkshire, it is difficult to provide all services in all areas. Some people do have to travel, to access certain services, older people and people with disabilities who live in rural areas rely on specialist and subsidised transport to access their services; however the evaluation of services may help identify how these people can access services, if they were provided in a different way, which is more cost effective. Under the personalisation agenda, the assessment teams should be looking at more person centred ways of meeting outcomes for the people of North Yorkshire, rather than the traditional approach to day care/ day services, however this approach is not necessarily suitable for all of the people in all of the specified categories, as some of them require specialist support and equipment.

Many of the services provided through 3rd sector and voluntary organisations are provided for specific strand groups.

A proposal for no reduction in funding has been identified for some of the 3rd sector and voluntary organisations, as they provide protected priority services, this is based on national and local priorities for

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

delivery of services or because the level of funding is already minimal and may impact on the organisation being able to deliver that service at all.

North Yorkshire County Council have identified their protected area as:

- Keeping people at home
- Befriending
- Information/ Advice/ Advocacy
- Carers (are not being counted into this round of 3% savings, however they are being considered as part of a detailed analysis to identify approximately 10% savings for 11/12.
- Dementia

(minutes Strategic Commissioning of The Third Sector Meeting 10.08.2010)

North Yorkshire County Council need to be reassured that services in these areas are not duplicates by a number of organisations.

Other considerations include combining contracts and/or funding for some services. Protecting where possible, services where there are limited services in that locality. Looking at collective working practise with the view to delivering efficiency savings as well as entering into a county wide exercise to evaluate the equity of services across the county. Further information and work is required for these considerations.

2.7 What consultation have you already done that you can use to inform this impact assessment? Please summarise the main findings from the consultation

3rd Sector dialogue events – ‘*securing the future*’

Locality events with providers.

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Can you analyse the results of this consultation by social identity e.g. race, gender, age, disability, faith, Sexual orientation. Who did you consult and how? What are the main findings? Are there differences in response between different groups? Are more findings to come?

If this is an update please say when this information has been added. Did you find that some groups felt that they were adversely affected by the policy/service? Did you feedback the findings of the consultation to those who were involved?

Individual consultation with services that have been commissioned and procured in North Yorkshire.

Communication through North Yorkshire Forum for Voluntary Organisations (NYFVO) and Local Infrastructure Organisations – explaining the decision making process and to make voluntary services aware of the need to deliver efficiency savings. Requested that voluntary sector organisations put forward proposals on how efficiencies could be delivered. The correspondence highlighted further decisions required and explained what organisation should do as a result of the notification.

Communication by letter to all 3rd sector and voluntary organisations requesting that they identify specific groups that may be affected by reduction in funding.

NYCC are awaiting responses/feedback from the correspondence with the 3rd sector and voluntary organisations regarding specific groups that may be affected by funding reductions.

Contact with Carers resource regarding data collation

Contact with NYCC Performance & Change/Quality Assurance re data collation.

Internet research regarding statistics for people's sexual orientation.

POPPI/ PANSI website data.

2.8 What is the communication strategy to advertise and promote your plan, policy or service?

Written and verbal communication through the organisations - organisations has been requested to identify the impact on specific

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

groups through consultation with its service users and feedback information to NYCC to inform the impact assessment.

Dialogue and consultation events have taken place across North Yorkshire, as well as locality events and consultations with individual providers.

NYCC awaited responses/feedback from the 3rd sector and voluntary organisations regarding specific groups that may be affected by funding reductions.

Organisation will, ideally, liaise with its services users to identify how people think a reduction in funding will impact on them, or if a specific group within the categories will be affected, and carry this consultation out in a format appropriate to its service users.

Feedback suggested all organisations were concerned about the impact of any efficiencies on their services but 1) there was no evidence of any sector being disproportionately being effected in comparison to others and 2) most agencies who responded underlined their commitment to find solutions which did not impact directly on service delivery

2.9 Is there any more consultation that you need to do to inform this impact assessment?

Have you identified information in other sections of this EIA that you need to assess the impact on different groups of people?

Some of the organisations provide services to people who required specific consideration, as to how the impact will affect them i.e. Dementia, Mental Health, Financial issues, Carers and information and advice services that offer support to all people. As the exercise progressed feedback was expected about any inequity in approaches but it seemed the exercise had taken most concerns into account.

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

2.10 How and when you will consult service users about this policy/service in the future?

What do you want to find out? Who will you consult with? What method will you use; what are the potential or known barriers of your chosen method? How will you overcome this? Have you considered the accessibility of your consultation? (see [consultation toolkit](#))

When will findings be available? Will the consultation/involvement be ongoing, regular or a one-off?

Each voluntary organisation affected, will, ideally, liaise with its services users to identify how people think a reduction in funding will impact on them, or if a specific group within the categories will be affected, and carry this consultation out in a format appropriate to its service users.

The Older Persons Reference Group, PSI Group and LD Partnership Board have already been made aware of the requirement to deliver efficiency and the potential reduction in funding to some services.

2.11 Will you use existing consultation mechanisms?

Will consultation utilise existing NYCC communication, consultation and engagement mechanisms rather than setting up new mechanisms? E.g. the [Citizens panel](#), disability reference groups, the employee equality forum?

If not please explain why

Yes as in 2.7

2.12 What do people from different groups want?

Have you asked people from different groups what they need or want? What was the outcome of this? Is this reflected in your policy/service

Not known at present awaiting feedback re impact on the users of services.

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

3. Best Practice

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

<p>3.1 Is there a Lead Officer at a senior level for this policy/function?</p> <p>Is the Lead Officer fully aware of equality and diversity issues generally and those specific to this policy? Are they regularly briefed/updated on equality and diversity?</p>	<p>Seamus Breen – Assistant Director- Commissioning and Partnerships</p> <p>Naomi Garbutt - Strategic Commissioning Manager Harrogate / Craven (ACS)</p> <p>Michael Hunt –Strategic Commissioning Manager, Scarborough/Whitby/ Ryedale (ACS)</p> <p>Yes all are fully aware of the equality and diversity issues related to this EIA.</p>
<p>3.2 Are staff training needs identified?</p> <p>Do staff understand wider equality and diversity issues and the issues specific to this policy? Are staff sufficiently aware of equality and diversity issues to allow them to signpost to information about this and other policies, plans or services - to promote better customer care?</p> <p>If training needs identified contact your Directorate representative.</p>	<p>N/A</p>
<p>3.3 Is the role of key partner organisations identified?</p> <p>Are key partners identified and their role in equality and diversity issues explained?</p>	<p>Organisations are obliged to have an equality and diversity policy which is in line with NYCC policies. A provider bulletin was distributed to all preferred providers stating that organisations can not adopt NYCC’s policy for its own use due to litigation issues.</p> <p>If organisation are tendering for new services, NYCC will request a copy of their equality and diversity policy, any issues identified regarding the policy will be challenged during the tendering process.</p> <p>NYCC’s Health partners will be responsible for completing their own Equality Impact Assessment for the reduction in funding.</p>
<p>3.4 Does the policy/service link with and support the Council's Social Inclusion Strategy?</p>	

3. Best Practice

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

3.5 Does the policy contribution to better [community cohesion](#)?

Does it promote good relations between different communities?

Yes, references' to

- Access to services and opportunities
- Encouraging consultation to secure community involvement
- Physical and Sensory impairment Strategy
- Sparsely populated areas
- Supporting Voluntary and Community Sector
- Ensuring the views of Black & Minority Ethnic groups are sought and acted upon
- Effective engagement with 'hard to reach' BME community and Disabled groups

Are included in NYCC's Community Cohesion Strategy 2008-2010

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

4. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

4.1 Has an adverse impact been identified for one or more groups?

Has the consultation or data analysis shown anything in the policy, plan or service that results in (or has the potential for) disadvantage or discrimination towards people of different groups? Which groups?

Not known at present awaiting feedback re impact on the users of services.

4.2 How could the policy be changed to remove the impact?

Have you considered all the different options? If you feel that you don't have enough information to decide this, one of your actions may be around gathering more information.

Evaluating current service provided to establish if they can be delivered in a more cost effective way and by reviewing the equity of services across the county and ensuring that services are not being duplicated.

4.3 Are you planning to consult people on the outcome of this impact assessment?

When and how will you do this? How will you incorporate your findings into the policy?

When the feedback from organisations is collated, regarding how the reduction in funding will impact on their services, NYCC will consult with organisations or individuals and will use that information to inform this EIA inc if any people from specific equality categories are affected.

4.4 Can any adverse impact be justified?

If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?

All Councils will be required under spending review to deliver efficiency savings across all services where appropriate. In this context County Councils will seek to ensure that the impact of these savings are minimised.

4.5 Are equality and diversity principles promoted and mainstreamed?

Even if there isn't any adverse impact could action be undertaken to promote and mainstream equality and diversity principles? Is best practice being followed, and being disseminated to others?

Organisations are obliged to have an equality and diversity policy which is in line with NYCC policies. A provider bulletin was distributed to all preferred providers stating that organisation can not adopt NYCC's policy for its own use due to litigation issues.

If organisation are tendering for new services, NYCC will request a copy of their equality and diversity policy, any issues identified regarding the policy will be challenged during the tendering process

4. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

4.6 Are there any other equality issues that haven't been covered through this impact assessment?

Are there any other sections of the community that are affected?

Some of the organisations provide services to people not necessarily directly covered in the equality and diversity categories i.e. Dementia, Mental Health, Financial issues, Carers and information and advice services that offer support to all people. Consideration as to how a reduction in funding may impact these service is required.

4.7 Service Performance Planning

Are equality issues addressed in your service performance plans?
How will the issues raised in this Impact Assessment be incorporated into your mainstream planning?

How will equality issues be monitored?

NYCC is committed to ensuring that equality and diversity issues are central to their work.

Equality and Diversity is embedded in policy making, commissioning, community engagement, partnership working, service delivery, scrutiny and audit and references to this is included in Adult and Community Directorate Service Performance Plans.

NYCC have an Annual Forward plan of EIA's and has employed a Community Engagement Officer to coordinate activity and drive forward good practices.

EIA's now have to be approved through a quality assurance process.

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

Equality Action Plan					
Issue	Considerations	Objective	Action	Timescale & Lead Officer	Action completed
<p>What are the key equality issues identified from the assessment and consultation and data analysis phases?</p> <p>All Categories</p> <p>Identify from the feed back if any of the specific categories will be affected by the reduction in funding to 3rd sector and voluntary organisations</p>	<p>Are there any legal considerations/ implications? Can less favourable treatment be justified? Are there any other changes that need to be considered? Have you sought advice? Who from?</p> <p>Protected priority groups. The powers and duties of Adult and Community Services.</p>	<p>What outcome would you want to achieve? Is it achievable?</p> <p>To provide equitable services across the county to the people who need it, in specified localities in a cost effective way, to support organisations to minimise the impact to minority groups.</p>	<p>What improvements could you make to achieve this outcome? What resources will your require to achieve this outcome?</p> <p>All actions identified here should be included in your Service Action Plan/ Equality & Diversity Action Plan</p> <p>In the first instance, collate feed back information from 3rd sector and voluntary organisations.</p> <p>Establish if organisations have identified impacts on minority groups Mitigate the impact on those groups of people where practicable.</p> <p>Carryout evaluation exercise of the services provided.</p> <p>Consider collective working practices.</p> <p>Consider the combining of contracts and funding.</p>		

<p><u>All Categories</u></p> <p>Communicate with organisations about the feed back received, funding and the future proposals to reduce funding.</p>		<p>To provide equitable services across the county to the people who need it, in specified localities in a cost effective way, to support organisations to minimise the impact to minority groups.</p>	<p>Regular correspondence/information provided where appropriate.</p>		
<p><u>Faith</u></p> <p>Identify if specific religious groups/faiths use the services or use the facilities of the organisations listed on spreadsheets of services funded by NYCC. The predominant religion across North Yorkshire, for people aged 65+ is Christian, making up approx 70-75% of the population very few people from other religions.(data not available for people aged 18-64 years)</p>	<p>Protected priority groups. The powers and duties of Adult and Community Services.</p> <p>Consideration about how the current services are provided to people and how the same outcomes could be achieved by delivering the service in a more cost effect way.</p> <p>Organisations have been requested to identify the impact on its services users and feed back issues to NYCC.</p>	<p>To identify and mitigate any adverse effects specifically related to peoples:</p> <ul style="list-style-type: none"> • Religion or belief • Ethnicity • Race – This includes ethnic or national origins, colour and nationality 	<p>Collate data where practicable to either Identify or dismiss adverse effects.</p> <p>Identify if other service provision is available in localities where an impact is identified.</p>		
<p><u>Disability</u></p> <p>Collate data regarding the impact of the reduction in funding, for organisation's</p>	<p>Protected priority groups. The powers and duties of Adult and Community Services.</p>	<p>To identify and mitigate any adverse effects, specifically related to the reduction in funding</p>	<p>Collate data regarding the impact, where practicable from organisations providing this type of service.</p>		

<p>providing services to people with learning/physical disabilities or sensory impairment</p>	<p>Consideration about how the current services are provided to people and how the same outcomes could be achieved by delivering the service in a more cost effect way. Organisations have been requested to identify the impact on its services users and feed back issues to NYCC.</p>	<p>for services, to people with learning/physical disabilities or sensory impairment</p>	<p>Identify if other service provision is available in localities where an impact is identified Resources to complete task</p>		
<p>Provision of service to people with learning and physical disabilities in Harrogate locality.</p>	<p>Harrogate locality support the highest number of people with Learning and Physical disabilities, however, in proportion to the population they are equal with other localities.</p>	<p>To identify and mitigate any adverse effects, specifically related to the reduction in funding for services, to people with learning/physical disabilities or sensory impairment.</p>	<p>Collate data regarding the impact, where practicable from organisations providing this type of service.</p> <p>Identify if other service provision is available in localities where an impact is identified</p>		
<p><u>Disability</u></p> <p>Collate data regarding the impact of the reduction in funding, for organisation's providing services to people with dementia and cognitive impairments.</p>	<p>Protected priority groups. The powers and duties of Adult and Community Services.</p> <p>Consideration about how the current services are provided to people and how the same outcomes could</p>	<p>To identify and mitigate any adverse effects, specifically related to the reduction in funding, for services to people with dementia and cognitive impairments.</p>	<p>Collate data regarding the impact, where practicable from organisations providing this type of service.</p> <p>Identify if other service provision is available in localities where an impact is identified.</p>		

	<p>be achieved by delivering the service in a more cost effect way.</p> <p>Organisations have been requested to identify the impact on its services users and feed back issues to NYCC.</p> <p>Carers services are currently considered a protected area.</p>				
<p><u>Disability</u></p> <p>Collate data to identify people with mental health problems that may be affected by these proposals.</p>	<p>Protected priority groups. The powers and duties of Adult and Community Services.</p> <p>Consideration about how the current services are provided to people and how the same outcomes could be achieved by delivering the service in a more cost effect way.</p> <p>Organisations have been requested to identify the impact on its services users and feed back issues to NYCC.</p>	<p>To identify and mitigate any adverse effects specifically related to people with mental health problems.</p>	<p>Collate data regarding the impact, where practicable from organisations providing services.</p> <p>Identify if other service provision is available in localities where an impact is identified.</p>		

<p><u>Sexual Orientation</u> Identify if specific groups, relating to sexual orientation, use the services or the facilities of the organisations listed on spreadsheets of services funded by NYCC</p>	<p>Protected priority groups. The powers and duties of Adult and Community Services.</p> <p>Consideration about how the current services are provided to people and how the same outcomes could be achieved by delivering the service in a more cost effect way.</p> <p>Organisations have been requested to identify the impact on its services users and feed back issues to NYCC.</p>	<p>To identify and mitigate any adverse effects specifically related to peoples sexual orientation.</p>	<p>Collate data where practicable to either Identify or dismiss adverse effects.</p> <p>Identify if other service provision is available in localities where an impact is identified.</p>		
<p><u>Race</u> Identify if specific groups relating to different races/cultural groups use the services or the facilities of the organisations listed on spreadsheets of services funded by NYCC in all localities.</p>	<p>Protected priority groups. The powers and duties of Adult and Community Services.</p> <p>Consideration about how the current services are provided to people and how the same outcomes could be achieved by delivering the service in a more cost effect way.</p>	<p>To identify and mitigate any adverse effects specifically related to different races/cultural groups.</p>	<p>Collate data where practicable to either Identify or dismiss adverse effects.</p> <p>Identify if other service provision is available in localities where an impact effect is identified.</p>		

	Organisations have been requested to identify the impact on its services users and feed back issues to NYCC				
<u>Race</u> Consider the impact, on the Asian population in Skipton West Ward, Craven, where the highest concentration of a BME group is located. See locality data appendix 2.	Protected priority groups. The powers and duties of Adult and Community Services.	Identify if a reduction to funding to organisation in this area specifically affects the local Asian population.	Collate data where practicable to either Identify or dismiss adverse effects.		
<u>Race</u> Consider the impact, on the Asian population in Osmotherly ward, Hambleton where the highest concentration of a BME group is located. See locality data –appendix 2	Protected priority groups. The powers and duties of Adult and Community Services.	Identify if a reduction to funding to organisation in this area specifically affects the local Asian population.	Collate data where practicable to either Identify or dismiss adverse effects.		
<u>Race</u> Consider the impact, on the Asian population in Harlow Moor ward, Harrogate, where the highest concentration of a BME group is located. See locality data – appendix 2.	Protected priority groups. The powers and duties of Adult and Community Services.	Identify if a reduction to funding to organisation in this area specifically affects the local Asian population.	Collate data where practicable to either Identify or dismiss adverse effects.		

Harrogate also has a high population of people of Chinese ethnicity.					
<p><u>Race</u> Consider the impact, on the Asian population in Scotton ward, Richmond where the highest concentration of a BME group is located. Richmond has the highest concentration of people in BME groups in North Yorkshire. See locality data –appendix 2</p>	Protected priority groups. The powers and duties of Adult and Community Services.	Identify if a reduction to funding to organisation in this area specifically affects the local Asian population.	Collate data where practicable to either Identify or dismiss adverse effects.		
<p><u>Race</u> Consider the impact, on the Asian population in Woodlands ward, Scarborough where the highest concentration of a BME group is located. See locality data – appendix 2</p>	Protected priority groups. The powers and duties of Adult and Community Services.	Identify if a reduction to funding to organisation in this area specifically affects the local Asian population.	Collate data where practicable to either Identify or dismiss adverse effects.		
<p><u>Age</u> Collate data regarding the impact of the</p>	Protected priority groups. The powers and duties of Adult and	To identify and mitigate any adverse effects specifically related to age.	Collate data where practicable to either Identify or dismiss adverse effects.		

<p>reduction in funding, for organisation's providing services to older people.</p>	<p>Community Services.</p> <p>Consideration about how the current services are provided to people and how the same outcomes could be achieved by delivering the service in a more cost effect way.</p> <p>Organisations have been requested to identify the impact on its services users and feed back issues to NYCC.</p>		<p>Identify if other service provision is available in localities where an impact is identified.</p>		
<p><u>Age/ Disability</u></p> <p>Collate data regarding the impact of the reduction in funding, for organisation's providing services to younger disabled people. Particularly around the Catterick area where there is a growing group of younger disabled people associated with Catterick – returning disabled from injury in action.</p>	<p>Protected priority groups. The powers and duties of Adult and Community Services.</p> <p>Consideration about how the current services are provided to people and how the same outcomes could be achieved by delivering the service in a more cost effect way.</p> <p>Organisations have been requested to identify the impact on its services users and feed back issues to</p>	<p>To identify and mitigate any adverse effects specifically related to age.</p>	<p>Collate data where practicable to either Identify or dismiss adverse effects.</p> <p>Identify if other service provision is available in localities where an impact is identified.</p>		

	NYCC				
<u>Age</u> Consider the implication of reducing funding in specific wards where there are a high proportion of older people as identified in locality data – appendix 2.	To establish if services, currently provided, are meeting outcomes for people in these wards, in a person centred manner. To establish if current services are providing value for money for its service users and for NYCC, who are providing funding.	To identify and mitigate any adverse effects, specifically related to the reduction in funding to areas that have a high proportion of older people.	Collate information, data and feedback from correspondence, paying particular attention where problems are highlighted in identified wards.		
<u>Gender</u> The gender distribution across North Yorkshire and localities is fairly equal	To establish if there are any genders related issues.	To identify and mitigate any adverse effects, specifically related to peoples gender and the reduction in funding.	Collate information, data and feedback from correspondence.		
Collate data to identify people who may be financially disadvantaged by the proposals.	Consideration about how the current services are provided to people and how the same outcomes could be achieved by delivering the service in a more cost effect way. Organisations have been requested to identify the impact on its services users and feed back issues to NYCC.	To identify and mitigate any adverse effects specifically related to peoples financial status.	Collate data regarding the impact, where practicable from organisations providing services. Identify if other service provision is available in localities where an impact is identified. Review of people's financial status' and referrals to B&A teams to ensure people are maximising their income.		

<p>Access to information and advice services.</p>	<p>Consideration about how the current services are provided to people and how the same outcomes could be achieved by delivering the service in a more cost effect way. Organisations have been requested to identify the impact on its services users and feed back issues to NYCC.</p> <p>It is difficult to collate data about people who use these services as people are not required to complete data monitoring information to access the service and may only be on a 'drop in' basis.</p> <p>Information and advice services are currently considered a protected area.</p>	<p>To identify and mitigate any adverse effects, specifically related to the reduction in funding to information and advice services.</p>	<p>Collate data regarding the impact, where practicable from organisations providing this type of service.</p> <p>Identify if other service provision is available in localities where an impact is identified.</p>		
<p>Cares Support Services</p>	<p>Consideration about how the current services are provided to people and how the same outcomes could be achieved by delivering the service in</p>	<p>To identify and mitigate any adverse effects, specifically related to the reduction in funding to carers support services.</p>	<p>Collate data regarding the impact, where practicable from organisations providing this type of service.</p> <p>Identify if other service</p>		

	<p>a more cost effect way.</p> <p>Organisations have been requested to identify the impact on its services users and feed back issues to NYCC.</p>		<p>provision is available in localities where an impact is identified.</p>		
<p>Provision of service to carers in Scarborough and Ryedale localities</p>	<p>Scarborough & Ryedale locality support the highest number of carers.</p>	<p>To identify and mitigate any adverse effects, specifically related to the reduction in funding for services, to carers in Scarborough & Ryedale localities.</p>	<p>Collate data regarding the impact, where practicable from organisations providing this type of service.</p> <p>Identify if other service provision is available in localities where an impact is identified</p>		
<p>Carry out evaluation, county wide, to establish the equity of service provided inc the reassurance that services are not duplicated by a number of organisations.</p>	<p>To ascertain if service are delivered fairly across the county, and to identify if there are specific requirements for services in certain areas.</p>	<p>To identify and mitigate any adverse effects, specifically related to the reduction in funding to organisations across the county</p>	<p>Collate information, data and feedback from correspondence.</p>		
<p>Carry out review of how services are currently provided to establish if services can be delivered in a more person centred</p>	<p>To establish if services, currently provided, are meeting outcomes for people with a person centred approach. To establish if current</p>	<p>To identify and mitigate any adverse effects, specifically related to the reduction in funding to organisations across</p>	<p>Collate information, data and feedback from correspondence.</p>		

and cost effective way.	services are providing value for money for its service users and for NYCC, who are providing funding.	the county			
Consider the implication of reducing funding in localities where the population is expected to rise considerably over the next 10 years, and how the reduction in funding may affect people using services in the future. See locality data – appendix 2.	To establish if services, currently provided in these localities, are meeting outcomes for people in a person centred manner. To establish if current services are providing value for money, and how services will be provided to future population.	To identify and mitigate any adverse effects, specifically related to the reduction in funding to areas where the population is expected to rise considerably.	Collate information, data and feedback from correspondence, paying particular attention where the population is expected to rise considerably.		
Any other issues to be included in EIA, highlighted from feedback from organisations.	To be included in EIA	To ensure that all categories of people are represented and that any reduction in funding to organisations takes into account equality and diversity issues.	Collate information, data and feedback from correspondence.		
Agree timescales and strategy for completions of actions in plan.		To identify timescales, lead person and priorities for actions.			

5. Publicity and Communication of the Equality Impact Assessment

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

	<u>Evidence</u>
5.1 How will these results be published? Include reference to how results will be made accessible, plain English, summary/key points, who is the audience, e.g. staff, community, service user etc.	

Name of the Directorate and Service Area	Adult and Community Services - Library and Community Services		
Name of the service/policy being assessed	Introduction of self-service technology into libraries		
Is this the area being impact assessed a	Policy & its implementation?		Service? ✓
	Function		Initiative?
	Project?		Procedure & its implementation?
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?		
	Proposed service or a policy and its implementation?		
	Change to an existing service or a policy and its implementation?		✓
	Service or Policy carried out by an organisation on behalf of NYCC?		
How will you undertake the EIA? E.g. team meetings, working party, project team, individual Officer	A draft will be produced for circulation to members of the team involved with the delivery of self-service/RFID technologies. Where necessary, individual meetings will be held to discuss aspects of this assessment.		
Names and roles of people carrying out the Impact Assessment	<ul style="list-style-type: none"> ▪ Chris Riley, Finance and Support Services Manager (Resources) - assigned to Library and Community Services ▪ Julie Blaisdale, Assistant Director (Library & Community Services) ▪ Chrys Mellor, General Manager, Libraries 		
Other officers involved in the assessment E.g. taking part in peer review, challenge, quality assurance	<ul style="list-style-type: none"> ▪ David Tanner, Manager Stock and Systems ▪ Management Co-ordinator 		
Lead Officer and contact details	Chris Riley, Finance and Support Services Manager (Resources)		
Date EIA started	July 2009		
Date EIA Completed	November 2009		
Sign off by Service Head/ Business Unit Head	Chrys Mellor		
Presented at Directorate Equality and Diversity Working Group			
Date and place of Publication of EIA			
Monitoring and review process for EIA			

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

1.1 Describe the service/policy	<p>To introduce RFID technology based self-service machines to enable library users to borrow and return stock. The concept is very similar to self-service machines in supermarkets and ATL machines used by high street banks.</p> <p>The benefits are varied, ranging from reducing the amount of involvement in low level transactions by library staff, through to enhanced library user experience.</p> <p>The work is very much part of North Yorkshire's Transformation approach to service delivery to its residents.</p>
1.2 Is the policy/service you are impact assessing physically accessible?	<p>As well as releasing front facing library staff to more direct assistance to individuals using library services and facilities, the introduction of the technology will help meet the County Council's efficiency targets through reducing the overall staffing requirement within the service. This aspect of service delivery will be made within a number of public libraries, all of which are established service delivery points with a level of access and ability that meets the current DDA etc. requirements.</p>
1.3 Is the information and communication provided accessible to everyone?	<p>In addition to using the equipment to help with existing pattern of opening hours - the use of self-service equipment will help enable an extension of opening hours availability at a number of sites. The self-service kiosks have been sourced specifically with the needs of as many current and potential library user's accessibility requirements in mind. The units have been assessed for DDA compliance and are in use at a number of other library authorities. The equipment has been designed with maximum accessibility in mind. Screen resolution can be altered, language settings can be amended and audio alarms have been incorporated into the technology.</p> <p>It is also intended that library staff will act as "helpers" for all our borrowers in using this new service delivery method. Staff will be collating information to establish any difficulties that are experienced by any particular user groups.</p> <p>On the basis of the information attained from the North Yorkshire Strategic Partnership Strategy Review - their ethnicity survey confirmed that the main language groups required were Chinese, Polish and Urdu. The individual self-service machines can be adapted accordingly, for instance the most common alternative language requirement for Skipton is Urdu, whereas in Harrogate Polish etc. Although there is not a BSL video option available, the equipment screen does provide graphic illustrations of the operation to assist users.</p>
1.4 How is your service/policy delivered?	<p>The principles of a free library service accessible to all is embraced within the use of this service delivery change, although there is a charged element to some services, NYCC will continue to allow free access for those who qualify e.g. use of audio books free to those with visual impairment etc.</p>

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

<p>2.1 What data do we use now? Is it broken down by equality and diversity categories?</p>	<p>Extensive evaluation is carried out of library use across all service points. The new self-check kiosks will be able to be monitored in exactly the same method as at the existing traditional library issue counters.</p> <p>We have had a series of extensive site visits and consultations with the following library authorities, most of which have a far wider ethnic mix and experience than within North Yorkshire. The authorities are:-</p> <p>Haringey, Bolton, Leeds, Newcastle and Liverpool.</p> <p>At all sites the first priority was to establish how the equipment was being accepted and to confirm whether or not there were any difficulties for any user groups. Secondly we were looking at the staff relations aspect of introduction.</p>
<p>2.2 Are there areas where we need more information? How could we get this information?</p>	<p>A trial/pilot site using the new style kiosks will be introduced in Catterick. This will allow approximately three months lead in before the remaining equipment is supplied and will thus provide an opportunity to modify / develop policies, strategies and equipment in the light of experiences from these groups. During the course of the pilot members of local groups e.g. Disabled Living Alliance Group will be invited to let us have their comments on any aspects of self-service.</p>
<p>2.3 What analysis have you carried out on the data?</p>	<p>The extensive performance data that is captured to monitor library service delivery will be extended to cover the use of self-issue machines. Additionally, the annual Public Library User Survey (PLUS) will be adjusted to incorporate questions to promote library user comment on the new equipment.</p> <p>Additionally, at each site where the technology is introduced customers will be invited to comment, complain or submit advice as appropriate.</p>
<p>2.4 What does the analysis of the data show?</p>	<p>Experience from other authorities shows that in excess of 90% of library users very soon make use of self-service. Work is in progress within the project to promote the use of the self-service equipment and encourage customer take up.</p>

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

<p>2.5 What are the mechanisms for the ongoing monitoring of progress on your policy/service, or monitoring take-up of your service?</p>	<p>The monitoring of take-up and use of the self serves will be a very high priority within our service delivery analysis over the next year.</p> <p>The library management system, Talis, will enable detailed statistics to be maintained of take up rates of the new self issue terminals.</p> <p>We will also be using all the information received to work with our suppliers to develop and improve the equipment from an accessibility and functionality point of view.</p>
<p>2.6 Does your service meet the needs of all customers?</p>	<p>The 90% plus usage in other library authorities indicates a nation wide acceptance of the technology. We will be using our own library staff to monitor use and assist our users and to also highlight any non take-up of the use of the machines.</p> <p>At all sites staff are being assigned to work on or around the self issue terminals to help customers not able to use the units. The smaller counters, i.e., PODs, have equipment to issue and discharge stock.</p>
<p>2.7 What consultation have you already done that you can use to inform this impact assessment? Please summarise the main findings from the consultation</p>	<p>Communications with other library authorities, visit to trade fairs, visit to national conferences.</p> <p>Information gathered from formal and informal national groups e.g. Society of County Librarians, Talis and Netloan User Groups.</p> <p>Information from the specific Library and Trade Press.</p> <p>General networking across different library authorities - this is very well developed within library services.</p> <p>The overall impact on those libraries where self issue has already been introduced was to help make the library service more useable and also, through the use of self service enable borrowers to take out and return stock without staff intervention. This can help remove a barrier to a member of staff receiving self help information etc that they otherwise might not have chosen to use. The age group that have been most vocal in their comment have been the age group 35-50 where they, surprisingly, have had more concern about adapting to a self service environment. From our earliest visits to other sites we noticed quickly that the retired population very soon grasp the use of the equipment and frequently pass this on to their peer group. Similarly, the younger age group are very keen to try out the new technology.</p>

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

<p>2.8 What is the communication strategy to advertise and promote your plan, policy or service?</p>	<p>Communication Strategy to be developed during the roll out project.</p>
<p>2.9 Is there any more consultation that you need to do to inform this impact assessment?</p>	<p>We will very much use Catterick Library to carry out trails to find out the best way of obtaining public response to the new service, with a view to learning the lessons for future installations. We have already trialled similar equipment at a pilot site - Whitby; even with very low promotion of the service, we found a sizable take up and appreciation of the service.</p> <p>The main issues that have been experienced to date at Catterick have been problems associated with the self issue machines not being able to handle stock returned from other branches. We are now adopting a programme of introducing tagging to all library stock. This will help overcome this initial problem.</p> <p>As we are proceeding with the roll out we are also consulting with groups with whom we are already working on library matters to seek their comment, advice etc., on the self issue equipment as it is installed across the county. Two specific groups which will very much be using this will be the Friends of Scarborough Library and the teams involved with the Harrogate new library project.</p>
<p>2.10 How and when you will consult service users about this policy/service in the future?</p>	<p>The use of self-service will feature in our consultation exercises with our users.</p>
<p>2.11 Will you use existing consultation mechanisms?</p>	<p>Certain information can be obtained from the Talis library borrower database e.g. any user who has registered with having visual impairment. Use by juniors and in the main, age and gender can be determined from our existing resources.</p> <p>From time to time we may carry out ad-hoc surveys to review usage. And fill in any gaps in our analysis.</p> <p>The feedback from staff who will be actively assisting borrowers with using the self issue equipment will be used to review, monitor and improve our self service facilities.</p>
<p>2.12 What do people from different groups want?</p>	<p>Not at this stage - will be reviewed as part of the continuing improvement forums operated across the Business Unit.</p>

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

3. Best Practice

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

3.1 Is there a Lead Officer at a senior level for this policy/function?	Our Assistant Director is currently the directorate lead on the County Council's Corporate Equalities and Diversity Working Group.
3.2 Are staff training needs identified?	In addition to the actual training of the equipment we are employing an external trainer to help staff embrace the service changes that the use of self-issue will bring.
3.3 Is the role of key partner organisations identified?	Suppliers, local action groups will be involved throughout the process.
3.4 Does the policy/service link with and support the Council's Social Inclusion Strategy?	
3.5 Does the policy contribution to better community cohesion?	

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

4. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

4.1 Has an adverse impact been identified for one or more groups?

As opening hours are adjusted following the implementation of self-issue, it will be necessary to ensure that service users are not disadvantaged by the non availability of library staff at times when the service is self-service reliant.

At this stage it is intended that all sites will be operated when staff are in attendance. It will only be once all initial issues have been addressed that we will be looking to leaving the equipment unattended.

4.2 How could the policy be changed to remove the impact?

If problems are created, the balance between staffed and un-staffed hours can be reviewed to ensure optimum use of resources within the financial constraints.

4.3 Are you planning to consult people on the outcome of this impact assessment?

The impact will be reviewed through the County Council's formal scrutiny mechanisms. We will be seeking feedback from all the appropriate partnerships working within the County Council as a whole, and specifically within the library and community services. For instance, working with all library user groups and making full use of both the customer comments arrangements and the annual Public Library User Survey. We will ensure that this process is inclusive of people who may have specific accessibility requirements.

4.4 Can any adverse impact be justified?

The financial constraints of service delivery do mean that this is a transformational improvement that cannot be ignored.

4.5 Are equality and diversity principles promoted and mainstreamed?

With the library and community services equality and diversity principles are paramount. The whole service ethos is to promote accessible services for all and we actively address how we can improve and enhance access. Recent examples include the vast expansion of the Home Library Service which provides borrowing services for those unable to physically visit our libraries.

4.6 Are there any other equality issues that haven't been covered through this impact assessment?

4.7 Service Performance Planning

The actions identified through this equality impact assessment will be incorporated into the project planning and ongoing implementation and evaluation of this project, and referenced in the Library and Community Services' service performance plan.

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

Equality Action Plan

Issue What are the key equality issues identified from the assessment and consultation and data analysis phases?	Considerations Are there any legal considerations/ implications? Can less favourable treatment be justified? Are there any other changes that need to be considered? Have you sought advice? Who from?	Objective What outcome would you want to achieve? Is it achievable?	Action What improvements could you make to achieve this outcome? What resources will your require to achieve this outcome? All actions identified here should be included in your Service Action Plan/ Equality & Diversity Action Plan	Timescale & Lead Officer
To ensure that all negative impacts of the introduction of self-issue library services within North Yorkshire are kept to a minimum with a view to their elimination.	It is a service necessity to reduce low level transitional work from library staff to both, release staff for more direct public facing work or enable existing staffing levels to be supported and to allow the potential for increased opening hours without further significant staff implications. Continue to improve the customer experience when visiting our libraries	To improve library usage to further eliminate any barriers to using the service and to allow self-serving by individuals to promote their greater involvement with service delivery. From the detailed information we have received from our supplier, i.e., Intellident, it has indicated that we should expect more than 90% of all issues to be made through the self issue terminals. We shall be monitoring this very closely and looking at all issues made out from the staff counters to establish what prevented the business being made through the self issue terminals. This will hopefully any potential areas where equality of access need to be addressed. It was through this initial monitoring that we realised the problems with lower take up rate at Catterick were a cause for concern.	Use monitoring, feedback and consultation to evaluate all impacts to service users and to ensure that the model of Social Inclusion is embodied in the process. Address issues as they arise through the above process of review and evaluation Will seek to modify any current customer consultation methods, namely customer complaints/comments, procedure and the Public Library User Survey, to capture as much information on usage. We will also be using the information provided by our own staff who will be helping our library users with this change. The third area will be through the use of our partners, e.g., Friends of Scarborough Library and the Harrogate Project Team, plus the teams that will be established to work with the new library provision at Starbeck to again help constantly improve and update our self service facilities.	Works to be carried out during the period July 2009-31 March 2011. Chris Riley: Finance and Support Services Manager.

5. Publicity and Communication of the Equality Impact Assessment

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

	<u>Evidence</u>
<p>5.1 How will these results be published?</p> <p>Include reference to how results will be made accessible, plain English, summary/key points, who is the audience e.g. staff, community, service user etc.</p>	<p>Where appropriate and relevant the results of this Impact Assessment will be published on the website and used across the service unit and directorate to help promote further assessments.</p>



North

Yorkshire County Council

Equality Impact Assessment

Future Delivery of Library and Information Services in North Yorkshire (draft)

If you would like this information in another language or format such as Braille, large print or audio, please contact the Communications Unit on 01609 53 2013 or email communications@northyorks.gov.uk.

যদি আপনি এই ডকুমেন্ট অন্য ভাষায় বা ফরমেটে চান, তাহলে দয়া করে আমাদেরকে বলুন।

如欲索取以另一語文印製或另一格式製作的資料，請與我們聯絡。

اگر آپ کو معلومات کسی دیگر زبان یا دیگر شکل میں درکار ہوں تو برائے مہربانی ہم سے پوچھئے۔



Name of the Directorate and Service Area	Adult and Community Services – Library and Information Service		
Name of the service/policy being assessed	Future delivery of Library and Information services in North Yorkshire		
Is this the area being impact assessed a	Policy & its implementation?	/	Service?
	Function		Initiative?
	Project?		Procedure & its implementation?
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?		
	Proposed service or a policy and its implementation?		
	Change to an existing service or a policy and its implementation?		/
	Service or Policy carried out by an organisation on behalf of NYCC?		
How will you undertake the EIA? Eg team meetings, working party, project team, individual Officer	Discussions with Project team		
Names and roles of people carrying out the Impact Assessment	Juliet Pudney, Change and Outcomes Manager; Iris Maynard, Service Improvement and Outcomes Manager; Lee Taylor, Barbara Poole, Judith Walsh – Management Coordinators;		
Lead Officer and contact details	Chrys Mellor, Library HQ, Grammar School Lane, Northallerton		
Date EIA started	August 2010		
Date EIA Completed			
Sign off by Service Head/ Business Unit Head			
Sign off by Assistant Director (or equivalent)			
Date of Publication of EIA			
Monitoring and review process for EIA			

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **all** [protected characteristics](#) and show your evidence

1.1 Describe the service/policy

What does the service/policy do and how? How would you describe the policy to someone who knows very little about Council Services?

If there is a proposal to change the service or policy, describe what it looks like now and what it is intended to look like in the future. What are the drivers for this proposed change?

Who does it benefit? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how? Who are the stakeholders? identify those protected characteristics for which this service is likely to have an impact (positive or negative)

Are there any other policies or services which might be linked to this one? Have you reviewed the EIA for these policies/services? What do they tell you about the potential impact?

How will the policy be put into practice? Who is responsible for it?

The Library and Information Service delivers a library service to the communities of North Yorkshire in accordance with the Public Libraries and Museums Act 1964. In addition to access to fiction, non-fiction and reference materials, the Library service provides access to computers and the internet, learning activities, adult education, events and activities that support literacy for children, families and adults, family research, signposting to advice, a gateway to a wide range of other services, community information and meeting spaces. Libraries promote social interaction and community cohesion, and reduce social isolation.

Currently the Library and Information service is delivered through 42 branch libraries, 10 mobile libraries, one “super” mobile and the Home Library and Information Service (HLIS). Some libraries are quite close to other, larger libraries, some are less well used, some are in smaller communities. The 10 mobile libraries visit both rural and urban communities for a minimum of 10 minutes every 3 weeks. Some stops just serve one person. Other stops serve larger numbers of people. Some villages have several short stops.

The proposed future service would be delivered through 18 core libraries, geographically spread across the county. 2 “super” mobiles would serve the larger rural/ more remote communities, providing a better quality service than the existing mobiles for those communities that receive the new service. These would be supplemented by the Home Library and Information Service (HLIS) and a network of community libraries run by local communities with professional support from the County Council. The proposed 18 core libraries would be Pickering, Malton, Harrogate, Knaresborough, Ripon, Scarborough, Whitby, Filey, Selby, Sherburn, Richmond, Catterick, Thirsk, Northallerton, Stokesely, Skipton, Settle, and Crosshills.

The libraries which would either close or be available for community solutions are Ayton, Barlby, Bedale, Bentham, Bilton, Boroughbridge, Colburn, Easingwold, Eastfield, Embsay, Gargrave, Great Ayton, Helmsley, Hunmanby, Ingleton, Kirkbymoorside, Leyburn, Masham, Pateley Bridge, Scalby, Starbeck and Tadcaster.

The main driver for the proposed change is financial, ie a £2.3million reduction in the Library and Community Services budget, which means the library service can no longer afford to directly provide the spread of services it provides now. The proposals aim to make maximum use of the reduced budget so that it offers good value for money by benefiting as many people as possible. Our first priority in the context of having to make the savings is to ensure that we retain good quality library services.

People most affected by the change in policy are staff and current and potential users of mobile libraries and libraries that could close or be replaced by community run facilities.

People who could benefit are those who are able to make use of one of the 18 core libraries, as resources will be focused there and a good quality service will continue to be provided. Those communities receiving a service from a “super” mobile will also receive a high quality service.

Where communities choose to develop alternative provision, local people will have more control over their service. It would provide local opportunities to get involved in voluntary work, which national research has shown to have both health and social benefits for individuals as well as benefitting the community. There is potential for positive impact on a number of groups, for example older people (reducing social isolation) and young people not in employment, education or training (opportunity to gain work experience).

Community run libraries and HLIS and other community run options will help to mitigate the impact.

The library service is consulting on the proposals until 28 February 2011. Responses to the consultation and this EIA will be used to inform a report to Members or appropriate delegated decision makers, who will then decide what proposals will be taken forward.

1.2 How do people use the policy/service?

How is the policy/service delivered? How do people find out about the policy/service? Do they need specialist equipment or information in different formats? How do you meet customer needs through opening times/locations/facilities? Can customers contact your service in different ways? How do you demonstrate that your service/policy is

The Library service is a universal service, open to all and providing free access to books and information and limited free access to computers. Anybody can join the library and their library card then entitles them to use any library in North Yorkshire. Having a pin number also enables people to access some library services on-line.

Local Communities are being asked if they are interested in developing alternative provision. Library users are being consulted prior to any decisions being made, and will then be informed of any changes agreed. Changes to the service will be publicised on

<p>welcoming to all groups within the community?</p> <p>Does the policy/service support customers to access other services? Do you charge for your services? Do these changes affect everyone equally? Do some customers incur greater costs or get 'less for their money'? Are there eligibility criteria for the service/policy?</p> <p>How do you ensure that staff/volunteers delivering the service follow the Council's equality policies? Does the Council deliver this policy in partnership or through contracts with other organisations? How do you monitor that external bodies comply with the Council's equality requirements?</p>	<p>the County Council web-site and in libraries.</p> <p>Libraries generally are regarded as neutral, welcoming and safe venues for all groups in society. An example of this is their use as Hate Crime Reporting Centres and as "Safe Places" for people with learning disabilities. The Police Service leads on third party hate crime reporting. Although there hasn't been much use of libraries for this purpose to date, core libraries will continue to play this role. The North Yorkshire Strategic Partnership Hate Crime Task Group is looking at both a communication strategy for hate crime reporting and the development of additional third party reporting centres to supplement those already in place.</p> <p>The library service provides information about and helps people to access other services. The proposed changes may affect people's access to the service, depending on the response of local communities to the suggestion of taking their library on. No longer having trained staff in the library also has a potentially negative impact, as it is unlikely that volunteers will have the same range of knowledge. There is also the potential issue of privacy. For example, individuals may be reluctant to take out a book on a "sensitive" matter because they wouldn't want the volunteer to know.</p> <p>If the community is not in a position to develop alternative provision, the service would be withdrawn, so people would have further to travel to physically access a library, and thus incur greater cost.</p> <p>The proposed changes to services would mean that some library services would be run by local communities. If any resources were to be given to a local community our agreement with them would include the requirement that the service must be accessible to everyone in the community. Professional library staff would provide training and support to those groups running their own service.</p>
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2. Understanding the Impact (using both qualitative and quantitative data)

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

<p>2.1 What information do you use to make sure the service meets the needs of all customers?</p>	<p>The library service collects a range of data about its users on an ongoing basis, much of which can be broken down by equality and diversity categories. It also conducts a triennial Public Library User Survey (PLUS) which addresses all areas of diversity. This all gives</p>
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<p>What data do we use now? Is it broken down across protected characteristics (and are these categories consistent across all data sets)? How current is the data? Where is it from? Is it relevant?</p> <p>What engagement work have you already done that can inform this impact assessment? Who did you talk to and how? What are the main findings? Can you analyse the results of this consultation across the protected characteristics? Are there differences in response between different groups? How has this changed the plans for the policy/service?</p>	<p>us a good picture of the people who use our service and the patterns of use. The latest survey of adults was in 2009, so is very recent.</p> <p>We have used census data to identify the number of people in the catchment areas of the different libraries and also when we looked at access to branch libraries by public transport. Currently 86% of households without access to a car or van can get to a library within 30 minutes on a Saturday morning. This percentage reduces to 79% if the number of libraries were to reduce from 42 to 18. (This analysis is based on current availability of public transport. Proposed reductions to public transport subsidy should not affect the analysis substantially, as in the main the changes would affect evening and Sunday / bank holiday services.)</p> <p>We did consult on our strategy “New Look, No Shush” which said we would “review where we provide the service and look at how we can provide access to services through ways other than using our own buildings or vehicles, actively seeking out alternative delivery methods”</p> <p>We talked to staff, area and scrutiny committees, user groups etc and invited comments in NYTimes and on the website. We had responses from a range of ages, and from groups representing people with learning disabilities, people with a hearing impairment and lesbian, gay and bi-sexual people. The strategy was welcomed overall. However, the consultation on the strategy was carried out in a more positive economic climate from the one we are in now, and people’s responses may be different if we asked them now.</p> <p>We were also invited to talk to two parish councils and the North York Moors National Park Northern Area Parish Forum about the mobile service. These meetings were attended by parish councillors and some local people. The key comments were that people didn’t want any change to the mobile service, and feel that any change would impact most on older people, disadvantaged and unemployed. In the main people were talking on behalf of others, so it is not possible to analyse across the protected characteristics.</p> <p>This impact assessment will also be informed by the responses to the consultation on the Future Delivery of Library and Information Services in North Yorkshire.</p>
<p>2.2 What does the information tell you?</p> <p>Are there any differences in outcome for different</p>	<p>The 18 proposed core libraries are used by 80% of library users, and 70% of the overall library “business” is delivered through these sites.</p>

groups e.g. differences in take up rates or satisfaction levels across groups? Does it identify the level of take-up of services by different groups of people? Does it identify how potential changes in demand for services will be tracked over time, and the process for service change?

Please include data and analysis as an appendix

The Public Library Users Survey (PLUS) told us that the majority of people who use the libraries are satisfied with the service. More than half are 'economically inactive' (not in paid employment or self-employed), mostly retired, but there is a very small percentage of unemployed people using the service. It is probable that the numbers of unemployed people using the service is now slightly higher. The headline unemployment figure is approximately 6%. In terms of the count of people claiming unemployment benefits, there was a peak in February 2010. The count has since decreased and is currently circa 8,000 (2.2%), which is about 3,000 higher than historic levels.

There is considerable variation between libraries, but our membership database shows us that 27% of our membership is aged 0-15 and 27% are aged over 55. For the mobile service, 23% of our membership is aged 0-15 and 55% are aged over 55. (On mobiles we often find it is the parents coming in to borrow books for their children rather than children actually visiting the mobile themselves).

In 2009/10 19% of all 11-19 year olds and 18% of all over 50s in North Yorkshire were library users. 25% of books issued were children's books.

PLUS confirmed that in general *adult* library users tend to be in the older age groups (34% aged over 65). This percentage increases to 70% for mobile library users. Part of the reason for this could be that mobile libraries stop for very short periods of time when most of the working age adults are at work. 23% of adult users reported some form of disability or health problem. Again this is greater for mobile library users – 36%.

The library service overall does not appear to be reaching people from different ethnic backgrounds, although we know that the service in Skipton is being used by some people of Asian background, particularly children. Children from this community also make use of the mobile library. We also know from anecdotal information from staff and community groups that the library service is well used by recent arrivals including Eastern European migrant workers – this tends to be more in the urban areas than rural, as that is where new arrivals are more likely to live and work. Ethnic minority communities in North Yorkshire tend to be relatively dispersed, however, there are more likely to be greater numbers living in urban areas.

The number of older people in the population is increasing and consequently it is likely that there will be larger numbers of people with physical or sensory impairments in the future.

2.3 Are there areas where we need more information? How could we get this information?

What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately e.g. compliments and complaints? Are there national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?

Do you need to do more engagement work to inform this impact assessment? Have you identified information in other sections of this EIA that you need to assess the impact on different groups of people? What do you want to find out? Which existing mechanisms can you use to get this information?

Please refer to the Community Engagement toolkit on the NYCC intranet

We need to use people's local community knowledge to identify groups to work in partnership with. To this end we are linking in with the corporate Policy and Partnerships team, North Yorkshire Forum for Voluntary Organisations and Rural Action Yorkshire, who have links with local communities. The current consultation is also giving us a good deal of information, which we will be analysing. We are consulting on this EIA at the same time as we consult on the overall proposals for the future delivery of the library service.

We have consulted the Our Future Lives Task Group about this EIA. They have helped us to look at the impacts of the proposals on diverse groups of older people. We will also ask the Physical and Sensory Impairment Partnership Board, Learning Disability advocacy groups etc.

We do want to find out if people have other ideas of ways to mitigate any negative impact

Some communities / community groups may need more support in order to form a group to investigate community-led libraries, for example communities less experienced in community activity or active citizenship. Local Support and Development Organisations can provide support and guidance to local community and voluntary groups, including funding advice, getting the group properly constituted, advice on managing volunteers etc. The Library service would provide ongoing professional advice and support, eg a monthly visit from a member of the professional team.

2.4 How will you monitor progress on your policy/service, or take-up of your service?

What monitoring techniques would be most effective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service? How often does the policy/service need to be reviewed? Who would be responsible for this?

We will continue to collect statistics from all libraries and the Home Library and Information Service and will monitor the number of people using libraries and number of book issues and if there is any change in these.

3. Assessing the Impact

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence.

3.1 Has an adverse impact been identified for one or more groups?

Has this assessment shown anything in the policy, plan or service that results in (or has the potential for) disadvantage or discrimination towards people of different groups? Which groups?

Do some needs/ priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?

The changes potentially have an adverse impact on everyone who has to travel further to reach a library, though the remaining larger libraries will provide greater choice and more services. There is also a potentially negative impact on staff as staffing numbers would reduce. Staff will be supported through the Authority's redeployment policy.

In terms of adverse impact on protected characteristics

- Disability – including carers - yes
- Pregnancy and maternity - possibly
- Age – yes

At this stage we do not know what response we will get from communities about taking on their local library, so it is hard to assess what the impact will be. If communities respond positively, the impact could also be positive. If communities are not able to sustain a community led library, the 2 groups where there could be an adverse impact are disability, including carers, and age, particularly in those communities outside the larger urban areas and market towns. If individuals have further to go to a library service, there may be an adverse impact on them, particularly children and some older and disabled people, if they have impaired mobility or are on low incomes and without access to their own transport. This also applies to other groups on low incomes and without access to transport, eg some people with young families, unemployed people and young people not in education, employment or training.

We also need to consider how we will meet the needs of customers with other forms of impairments or multiple impairments, in addition to those with mobility impairments, for example people with sensory impairments.

3.2 How could the policy be changed to remove the impact?

Which options have been considered? What option has been chosen?

Various options are being considered to mitigate the effect of adverse changes. These include providing a service from super-mobiles in the larger/more remote rural communities; supporting local communities to develop alternative solutions; expanding the Home Library Service.; library on-line (e-books and audio books via website); exploring other ways to make audio and large print books available; working with partners to help make sure that computer and internet

	provision includes assistive technology.
<p>3.3 Can any adverse impact be justified?</p> <p>If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?</p> <p>Please seek legal advice on whether this can be justified.</p>	
<p>3.4 Are you planning to consult people on the outcome of this impact assessment?</p> <p>When and how will you do this? How will you incorporate your findings into the policy?</p>	<p>Consultation on this draft EIA is part of the consultation on the overall proposals for the future delivery of the library service in North Yorkshire.</p> <p>All the information and comments received will be analysed and used to inform the final report and recommendations to Members (or appropriate delegated decision makers) who will then decide what proposals will be taken forward.</p>
<p>3.5 How does the service/policy promote equality of opportunity and outcome?</p> <p>Does the new/revised policy/service improve access to services? Are resources focused on addressing differences in outcomes?</p>	<p>The proposals could improve access to services if communities are interested in running a local library service and make it available for more hours than currently provided. Also it is hoped that the larger libraries run by the county council will provide greater choice and more services which will improve the quality of people's experience.</p>
<p>Don't forget to transfer any issues you have identified in this section to the Equality Action Plan</p>	

Action Plan					
What are you trying to change (outcome)?	Action	Officer responsible	Deadline	Other plans this action is referenced in (e.g. Service Performance Plan, work plan)	Performance monitoring
Change the method of delivering the library and information service so that it comes within the reduced budget	<p>Introduce a 2nd supermobile.</p> <p>Support local communities to develop alternative solutions</p> <p>Expand HLIS</p> <p>Continue to develop the library on-line</p> <p>Explore other ways of making large print and audio books available.</p>	<p>Julie Blaisdale</p> <p>Management Coordinators, Policy and partnership team</p> <p>Chrys Mellor</p> <p>David Tanner</p> <p>Chrys Mellor</p>			

Section Three: Equality Impact Assessment Templates

Template 1

Function	Sub-Function (Function, Policy, Procedure, Project, Initiative, Service)	Relevance to Equality & Diversity (High, Medium, Low)	Evidence of relevance (legislation, anecdotal/statistical evidence etc)	Priority (high = 1, Low = 3)	Timescale (Date for completion)
Is there any evidence – formal or otherwise – that religious groups will be affected by the closure process	Planned Closure of a Residential Home (Adults) Procedure	M	<p>The implementation of this procedure should not adversely affect residents specifically in terms of their ethnicity, gender, financial status or ability as everyone is assessed under the same ‘Fair Access to Care Policy’ and their choices and opinions will be included in any re assessments, where closures of Elderly Persons Home’s (EPH) are proposed.</p> <p>At present there is no statutory legislation regarding the planned closure of a residential home, however, existing guidance produced by The Department of</p>	2	As identified in Project Plan and Communication Strategy

			<p>Health states: The responsibility of local authorities to assess vulnerable people; Advice that it is sensible for local authorities to draw up plans and protocols in the event that a nursing home closes or a resident is evicted.</p> <p>The requirement that care home providers apply to the Care Quality Commission (CQC) to close and should do so not less than three months before the proposed closure date. Notification to service users should be not more than seven days after application to the Commission; The requirement that residents should be given a written contract that includes a period of notice, and the opportunity of trial visits to new homes.</p>		
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<p>Is there any evidence – formal or otherwise – that people with dementia or cognitive impairments will be affected by the closure process inc those who may require support under the Mental Capacity Act 2005</p>	<p>Planned Closure of a Residential Home (Adults) Procedure Mental Capacity Act 2005</p>	<p>H</p>	<p>As above</p> <p>Specialist advice or advocacy services should be sought regarding the consultation process to ensure that people with dementia, limited capacity or cognitive impairments are fully included in the process and understand what is being proposed – consideration to providing information in different formats should be given.</p> <p>Residents who have dementia could be adversely affected due to the limited numbers of establishments who offer dementia services.</p> <p>In rural areas identifying suitable placements may be more difficult than in urban areas, meaning that the residents may have to move away from the local community in which they live at present as well as</p>	<p>1</p>	<p>As identified in Project Plan and Communication Strategy</p>
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			<p>relatives of these people having to travel further distances to visit their relative.</p> <p>Brokerage services collate data regarding vacancies in their localities as well as having a central data base for vacancies across the county – this data is regularly updated and can support care assessors/coordinators to identify suitable placements.</p>		
Is there any evidence – formal or otherwise – that people’s sexual orientation will be affected by the closure process	Planned Closure of a Residential Home (Adults) Procedure	M	As above	2	As identified in Project Plan and Communication Strategy
Is there any evidence – formal or otherwise – that people with accommodation and care needs will be adversely affected by the closure process	Planned Closure of a Residential Home (Adults) Procedure	H	<p>As above</p> <p>Anecdotally–opinions suggest that moving older people into other accommodation and closing a care home is particularly stressful at their time of life, however experience from projects where Extra Care Housing (ECH) has directly replaced an EPH</p>	1	As identified in Project Plan and Communication Strategy

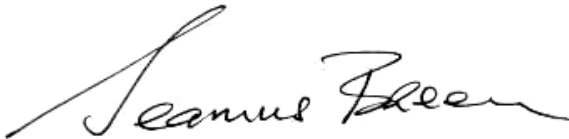
			<p>suggests this is not always the case, For example: ECH scheme opened in 2004 – 10 of the 13 residents transferred from an EPH, lived on average 3 years after moving.(The age ranges being 73-99 years- One lady residing in ECH for 4 years, living to 103 years.)</p> <p>People living in the EPH could be disadvantaged by the limited availability of alternative placements in the local community.</p>		
Is there any evidence – formal or otherwise – that people’s financial status will be adversely affected by the closure process	Planned Closure of a Residential Home (Adults) Procedure	H	<p>As above</p> <p>There could be financial implication both for the County Council and self funders, who may have to pay more for private residential care, if no alternative North Yorkshire County Council (NYCC) accommodation is available. Residents will under go a full financial assessment prior to Decision’s being made about future</p>	1	As identified in Project Plan and Communication Strategy

			accommodation.		
Is there any evidence of public concern that the closure process will cause discrimination?	Planned Closure of a Residential Home (Adults) Procedure	H	As above	1	As identified in Project Plan and Communication Strategy
Is there any evidence formal or otherwise that the staff team will be adversely affected by the closure process	Planned Closure of a Residential Home (Adults) Procedure	H	<p>As above</p> <p>The implementation of this policy may adversely affect staff in terms of loss of employment.</p> <p>Members of staff in redeployment situations will be treated equally regardless of their gender, age, race, disability etc .Normal HR and unison consultation will take place to minimise impact.</p> <p>The EPH's staff group are predominantly made up of women of all age groups</p> <p>NYCC, Human Resources and Workforce Development will support staff to find alternative employment and staff will be given the opportunity of</p>	1	As identified in Project Plan and Communication Strategy

			participating in interview skills training to enhance their opportunities.		
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Template 2

Name of the Directorate and Service Area	Adult & Community Services/ Adult Social Care			
Name of the service/policy being assessed	Planned Closure of a Residential Home(Adults)			
Is this the area being impact assessed a	Policy & its implementation?	/	Service	
	Function		Initiative	
	Project?		Procedure & its implementation?	√
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the Procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?			
	Proposed service or a policy and its implementation?			
	Change to an existing service or a policy and its implementation?			
	Service or Policy carried out by an organisation on behalf of NYCC?			
How will you undertake the EIA? Eg team meetings, working party, project team, individual Officer	Individual Officer/ Input from other colleagues			
Names and roles of people carrying out the Impact Assessment	Rebecca Dukes – Project Officer – Extra Care Housing			
Other officers involved in the assessment Eg taking part in peer review, challenge, quality assurance	Juliette Daniel/ Jackie Bradfield/ Shanna Carrel / Norma Sutton			
Lead Officer and contact details	Rebecca Dukes – Project Officer – Extra Care Housing rebecca.dukes@northyorks.gov.uk Tel 01609 535173			
Date EIA started	June 2010			
Date EIA Completed	July 2010			

Sign off by Service Head/ Business Unit Head	
	Seamus Breen, Assistant Director - Commissioning and Partnerships
Date	21 st October 2010
Presented at Directorate Equality and Diversity Working Group	Via e mail 13.9.2010
Date and place of Publication of EIA	
Monitoring and review process for EIA	

Template 3

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

1.1 Describe the service/policy

What does the service/policy do and how? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how? Who are the stakeholders? How would you describe the policy to someone who knows very little about Council Services?

Does the policy, plan or service reflect relevant legal frameworks (including equality legislation) and national and local performance targets? Does the service/policy adhere to the principles of the [social model of disability](#)?

Are there any other policies or services which might be linked to this one? Are they being impact assessed?

How will the policy be put into practice? Who is responsible for it?

The purpose of the proposed procedure is to cover all aspects which may occur or require addressing during the planned closure of a North Yorkshire County Council (NYCC) Residential Home (Adults).

The process will address planned closures by the local authority, and will include relevant documentation to highlight and demonstrate the need to follow a clear project plan, communication plan in order to promote understanding and minimise distress with the people affected by the closure.

The procedure aims to provide a consistent and structured approach to planned local authority residential home closures, to develop and improve the consultation process and to promote involvement with people affected by the closure.

The procedure aims to actively involve residents, their relatives, people who receive a service from the home and people in the local community, in both the consultation process prior to any decisions being made to close an Elderly Persons Home (EPH), and throughout the closure process, as well as identify any specialist support that people may require through these processes.

“At present there is no statutory legislation regarding the closure of a residential home, however, existing guidance produced by The Department of Health states:

- The responsibility of local authorities to assess vulnerable people;

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

- Advice that it is sensible for local authorities to draw up plans and protocols in the event that a nursing home closes or a resident is evicted.
- The requirement that care home providers apply to the Care Quality Commission (CQC) to close and should do so not less than three months before the proposed closure date. Notification to service users should be not more than seven days after application to the Commission; The requirement that residents should be given a written contract that includes a period of notice, and the opportunity of trial visits to new homes.

Recommended principles for good practice include:

- Taking residents' social and personal needs into account (existing friendships with residents, preferred geographical location,
- Ability of family and friends to visit); maximising residents' ability to make an informed choice. “

(Ref Jacquetta Williams and Ann Netten PSSRU Discussion Paper 1861/2 October 2003)

“On the first of April 2009 a new Duty to Involve and Engagement Strategy came into force for local authorities and other best value organisations across England.”

This means that North Yorkshire County Council “has a duty to consult on ‘routine functions, as well as significant one-off decisions’;

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

in short this means that there are few areas where the duty does not apply. Statutory guidance also makes it clear that 'Appropriate engagement and empowerment should be embedded as standard practice throughout authorities, central to service delivery, policy and decision making.'

North Yorkshire County Council "will need to demonstrate to regulators:

- That NYCC understand community interests
- That information, consultation and involvement opportunities are accessible and well targeted
- That NYCC coordinate engagement activities with partners where appropriate
- That local people know how to get involved and feel that you provide good engagement opportunities."

(Ref <http://www.involve.org.uk/assets/Docs-2/20090424-Duty-to-Involve-pager.pdf>)

The implementation of this procedure should not specifically affect residents in terms of their ethnicity, gender, financial status or abilities as everyone is assessed under the same 'Fair Access to Care Policy' and their choices and opinions will be included in any re assessments, where closures of EPH's are proposed.

The current residents affected by this procedure will be vulnerable older people living in the residential homes, usually aged 65+. They may include people who are from minority ethnic groups, people with disabilities and people who require support under The Mental capacity Act 2005.

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

North Yorkshire County Council need to ensure that people with diverse backgrounds maintain their social networks, particularly where this may be challenging due to rurality or lack of access.

The implementation of this procedure may adversely affect staff in terms of re deployment opportunities. The EPH's staff group are predominantly made up of women of all age groups.

Members of staff in redeployment situations will be treated equally regardless of their gender, age, race, disability etc. A full review of the staff team will be carried out by HR and Operational Management as required, if an EPH is identified to close. Other options may have to be considered including redundancy options.

Residents who have dementia could be adversely affected due to the limited numbers of establishments who offer dementia services.

In rural areas identifying suitable placements may be more difficult than in urban areas, meaning that the residents may have to move away from the local community in which they live at present as well as relatives of these people having to travel further distances to visit their relative. Some of these relatives may themselves have difficulties in travelling; therefore consideration will be given during the assessment processes when arranging alternative placements.

NYCC's brokerage services collate data regarding current vacancies in their localities as well as holding a central data base to monitor vacancies across the county, this data will support care assessors/coordinators to identify suitable alternative placements,

<p><u>1. Operating Context</u></p> <p>Please consider issues around impacts (positive or negative) raised for Disability, Age, Sexual orientation, Faith, Race and Gender and show your evidence</p>	
	<p>Specialist advice will be sought during the consultation processes to ensure that people with dementia, cognitive impairments or those who require support under The Mental capacity Act 2005, have input into the consultation process, and if the decision is made to close an EPH, that they understand, as far as practicable, the processes involved, and that they are involved in decisions regarding alternative placements.</p>
<p>1.2 Is the policy/service you are impact assessing physically accessible?</p> <p>Is the policy/service delivered in the right locations? Are locations welcoming and appropriate for its function and customer needs? Are the opening times accessible? Have you carried out an access audit? Do you provide specialist equipment to help people access your services if it is needed? Do you consider customer needs when arranging the timing and venues of meetings or events?</p> <p>Does the policy/service promote or further enable access to services?</p>	<p>N/A</p>
<p>1.3 Is the information and communication provided accessible to everyone?</p> <p>Is information and correspondence accessible and does it use appropriate language? Do your documents include an Accessibility Statement (link to Accessibility Statement) and will you provide information in other formats on request (or prepared in advance where necessary)? Remember to think about the needs of people who are disabled or people whose first language is not English. Can customers contact your service easily and accessibly in a range of different ways? Do people know how to contact you?</p>	<p>The procedure highlights the necessity to seek specialist advice for people with dementia, cognitive impairments and people with limited capacity, to ensure they receive the information in formats appropriate to their needs, and to ensure that they are fully included in the consultation process and during any proposed closure processes.</p> <p>The procedure and corresponding documents identifies the need to provided information in both written and verbal formats, where consultation is taking place, as well as giving people the opportunity to respond electronically to a designated email address – consideration should be given to other available formats in which people may be</p>

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Does information avoid the use of stereotypical language, or negative images of different groups of people? Does the information adhere to the principles of the [social model of disability](#)?

able to respond.

Other methods of communication are available and examples of this can be illustrated in the following document <G:\data\Shared\Extra Care\closedown Procedures\Duty To Involve Docs\armchair20involvement20guide2.pdf>

1.4 How is your service/policy delivered?

Do you charge for your services? Do these charges affect everyone equally? Do some customers incur greater costs or get 'less for their money'? Are there eligibility criteria for the service/policy?

N/A

Does the Council deliver this policy in partnership or through contracts with other organisations? How do you ensure that external bodies comply with the Council's equality requirements?

N/A

Is the policy delivered with volunteers? Does this raise any implications eg training needs? Are volunteer opportunities available to all?

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

2.1 What data do we use now? Is it broken down by equality and diversity categories?

How current is the data? Where is it from? Is it relevant? Are the equality and diversity categories consistent across all the data used?

None at present.

Consideration could be given to commencing this data collection from EPH's as soon as possible to establish the breakdown of diversity and equality categories within the EPH's and to establish the breakdown of the staff group.

2.2 Are there areas where we need more information? How could we get this information?

What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately eg compliments and complaints? Are there national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?

Information regarding the abilities of the residents from the EPH will be required to ascertain peoples ability to participate in the consultation processes – this information will be collated from the Registered Manager's/Assessment Team when required.

Information regarding the staff group will be required to identify which staff may be affected by the proposed closure ie Age ranges, genders etc.

NYCC's brokerage services collate data regarding current vacancies in their localities as well as holding a central data base to monitor vacancies across the county, this data will support care assessors/coordinators to identify suitable alternative placements. This data is regularly updated and may be beneficial to residents who are wishing to locate to alternative accommodation to be nearer to family or friends.

2.3 What analysis have you carried out on the data?

Does analysis include general demographic and local specific trends such as ageing, migration and the nature of minority ethnic communities and other diverse groups? Does it include trends about specific sectors as appropriate eg education, transport, housing, retail and business opportunities?

None at present – action in plan to collate data.

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Does it identify the level of take-up of services by different groups of people? Does it identify how potential changes in demand for services will be tracked over time, and the process for service change?

Is it free of generalisations or stereotypical notions about people of different groups? Does it reflect the diversity of North Yorkshire? Does it identify the equality profiles of users/beneficiaries and staff?

2.4 What does the analysis of the data show?

Does the data show any differences in outcome for different groups? Eg differences in take up rates or satisfaction levels across groups. Is it what you expected? Does it change earlier assumptions?

Please include data and analysis as an Appendix

Not at present – action in plan to collate data

2.5 What are the mechanisms for the ongoing monitoring of progress on your policy/service, or monitoring take-up of your service?

Given the information above do monitoring mechanisms need to be altered to make sure that all the required data is captured? What monitoring techniques would be most effective?

What performance indicators or targets would be used to monitor the effectiveness of the policy/service?

How often does the policy/service need to be reviewed? Who would be responsible for this?

The project plan (see Appendix 1) includes the opportunity to evaluate and create a Lesson's Learned log (see Appendix 16) to capture how the process was handled and what can be done to improve the process for future closures.

Review of this procedure should be ongoing to ascertain if any amendments are required after its implementation.

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

2.6 Does your service meet the needs of all customers?

How do you know? How do you check?

Do some needs/priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?

N/A

2.7 What consultation have you already done that you can use to inform this impact assessment? Please summarise the main findings from the consultation

Can you analyse the results of this consultation by social identity eg race, gender, age, disability, faith, Sexual orientation. Who did you consult and how? What are the main findings? Are there differences in response between different groups? Are more findings to come?

If this is an update please say when this information has been added. Did you find that some groups felt that they were adversely affected by the policy/service? Did you feedback the findings of the consultation to those who were involved?

None at present

2.8 What is the Communication Strategy to advertise and promote your plan, policy or service?

A full communication plan has been developed to support the proposed closure process and includes robust consultation suggestions with all parties affected by the potential EPH closures. (see Appendix 3)

2.9 Is there any more consultation that you need to do to inform this impact assessment?

Have you identified information in other sections of this EIA that you need to assess the impact on different groups of people?

The whole of voluntary closure of an EPH Policy including the appendices have been presented to and adopted by ACSMB on 8.9.2010.

Consultation with Equality and Diversity Group representatives was carried out and feedback collated via e mail.

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

2.10 How and when you will consult service users about this policy/service in the future?

What do you want to find out? Who will you consult with? What method will you use; what are the potential or known barriers of your chosen method? How will you overcome this? Have you considered the accessibility of your consultation? (see [consultation toolkit](#))

When will findings be available? Will the consultation/involvement be ongoing, regular or a one-off?

Consultation with the people who live in the EPH's, as well as their relatives, the local community and the staff could cause distress to them, by the nature of the policy; we would be consulting with them regarding the closure of their home or place of work.. However any information or good/bad would be collated during the process, and utilised to manage future home closures.

2.11 Will you use existing consultation mechanisms?

Will consultation utilise existing NYCC communication, consultation and engagement mechanisms rather than setting up new mechanisms? Eg the [Citizens panel](#), disability reference groups, the employee equality forum?

If not please explain why

Yes will take into account legislation around duty to involve.

2.12 What do people from different groups want?

Have you asked people from different groups what they need or want? What was the outcome of this? Is this reflected in your policy/service

If the residents of the elderly persons homes were to be asked what they want, the likely answer would be that they wished to remain in their current accommodation: however this may not be viable, therefore comprehensive assessment would take place prior to closure to ensure that appropriate accommodation is found for all residents, the assessments will take into account any issues around equality and diversity as well as personal choices.

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

<u>3. Best Practice</u>	
Please consider issues around impacts (positive or negative) raised for Disability, Age, Sexual orientation, Faith, Race and Gender and show your evidence.	
3.1 Is there a Lead Officer at a senior level for this policy/function? Is the Lead Officer fully aware of equality and diversity issues generally and those specific to this policy? Are they regularly briefed/ updated on equality and diversity?	Juliette Daniel – Strategic Manager, Accommodation with Care
3.2 Are staff training needs identified? Do staffs understand wider equality and diversity issues and the issues specific to this policy? Are staffs sufficiently aware of equality and diversity issues to allow them to signpost to information about this and other policies, plans or services - to promote better customer care? If training needs identified contact your Directorate representative .	N/A
3.3 Is the role of key partner organisations identified? Are key partners identified and their role in equality and diversity issues explained?	N/A
3.4 Does the policy/service link with and support the Council's Social Inclusion Strategy?	Yes: Examples include <ul style="list-style-type: none"> • Duty To Involve • Regeneration of Communities • Develop a range of well designed, accessible and affordable housing for older people, including extra care provision

3. Best Practice

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

- Providing access to suitable and safe accommodation: Increase the availability of specialist accommodation for older and disabled people and their carers.
- Meeting the challenges associated with an ageing population by improving the quality of life for older people
- Ensure the County Council prioritises target audiences to increase engagement.
- Encourage appropriate consultation to secure community involvement and implementation of key objectives.
- Maintaining personal dignity: Improve disability Equipment services (including electronic assistive technology/telecare)

3.5 Does the policy contribution to better [community cohesion](#)?

Does it promote good relations between different communities?

N/A

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

4. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

4.1 Has an adverse impact been identified for one or more groups?

Has the consultation or data analysis shown anything in the policy, plan or service that results in (or has the potential for) disadvantage or discrimination towards people of different groups? Which groups?

The proposed procedure does not directly impact on specific groups of people, however the methods in which information is provide to people both during and after the consultation process, may have an impact on people's inclusion in the processes. If the consultation process is carried out without providing different methods and levels of communication, people with dementia, cognitive impairment or limited capacity may not fully comprehend the proposals.

There could be financial implication both for the County Council and self funders, who may have to pay more for private residential care, if no alternative NYCC accommodation is available

Residents who have dementia could be adversely affected due to the limited numbers of establishments who offer dementia services.

In rural areas identifying suitable placements may be more difficult than in urban areas, meaning that the residents may have to move away from the local community in which they live at present as well as relatives of these people having to travel further distances to visit their relative.

The implementation of this policy may adversely affect staff in terms of re deployment opportunities. The EPH's staff group are predominantly made up of women of all age groups.

4.2 How could the policy be changed to remove the impact?

Have you considered all the different options? If you feel that you don't have enough information to decide this, one of your actions may be around gathering more information.

The procedure itself cannot be changed, however if guidance suggested in the procedure/Communication Strategy and Project Plan is followed, the impact on the people involved may be less than anticipated inc the following examples:

4. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

- Provision of information in formats suitable to peoples needs.
- Using specialist advisors to support people with dementia, cognitive impairments or limited capacity.
- Robust financial assessments during the process to identify which people may be financially disadvantaged by the proposed closure process
- Inclusion of people living in the EPH's, in the full consultation process and following good practice guidance suggested by the DH and Duty to Involve Guidance.
- Comprehensive assessments of staff teams to identify which staff may be affected by the closure process – in terms of redeployment opportunities.
- Comprehensive assessments of the residents living in and receiving services from the EPH's to identify which people may be affected by the closure process – in terms of choices about future accommodation.

4.3 Are you planning to consult people on the outcome of this impact assessment?

When and how will you do this? How will you incorporate your findings into the policy?

Due to the sensitive nature of this procedure, No

4. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

4.4 Can any adverse impact be justified?

If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?

Identified and mitigated for adverse impact from the application of this procedure – however this procedure is likely to be applied in the implementation of a wider strategy aimed at replacing NYCC residential homes with extra care housing, which is aimed at maximising independence for people who require this type of accommodation.

4.5 Are equality and diversity principles promoted and mainstreamed?

Even if there isn't any adverse impact could action be undertaken to promote and mainstream equality and diversity principles? Is best practice being followed, and being disseminated to others?

Alongside this EIA a general ECH EIA has been completed, which covers equality and diversity issues related to the provision of ECH

4.6 Are there any other equality issues that haven't been covered through this impact assessment?

Are there any other sections of the community that are affected?

N/A

4.7 Service Performance Planning

Are equality issues addressed in your service performance plans?
How will the issues raised in this Impact Assessment be incorporated into your mainstream planning?

How will equality issues be monitored?

Alongside this EIA a general ECH EIA has been completed, which covers equality and diversity issues related to the provision of ECH

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

Equality Action Plan				
Issue	Considerations	Objective	Action	Timescale & Lead Officer
What are the key equality issues identified from the assessment and consultation and data analysis phases?	Are there any legal considerations/ implications? Can less favourable treatment be justified? Are there any other changes that need to be considered? Have you sought advice? Who from?	What outcome would you want to achieve? Is it achievable?	What improvements could you make to achieve this outcome? What resources will you require to achieve this outcome? All actions identified here should be included in your Service Action Plan/ Equality & Diversity Action Plan	
Provision of information in formats suitable to peoples needs.	No	Everyone affected by the proposed closure is provided with information in formats suitable to their needs.	Seek specialist advice Active involvement from the Steering Group established to manage projects.	As directed in Project Plan/Communication Strategy
Using specialist advisors to support people with dementia, cognitive impairments or limited capacity	Yes Mental capacity Act 2005	The Project Plan identifies the need to seek specialist advise for people with dementia, cognitive impairments or limited capacity	Identification of suitable advisors. Active involvement from the Steering Group established to manage projects.	As directed in Project Plan/Communication Strategy
Robust financial assessments during the process to identify which people may be financially disadvantaged by the proposed closure process	No	Minimal disadvantage is achieved related to people financial status	Sufficient time allocated to Assessment Teams to carry out the level of assessments expected	As directed in Project Plan/Communication Strategy

Inclusion of people living in, and using the service's provided in the EPH's, in the full consultation process and following good practice guidance suggested by the DH and Duty to Involve Guidance.	Yes	People feel that they have been consulted with throughout the consultation process	Active involvement from the Steering Group established to manage projects.	As directed in Project Plan/Communication Strategy
Ensuring people with diverse backgrounds maintain their social networks, particularly where there is limited access due to rurality.	No	North Yorkshire County Council need to ensure that people with diverse backgrounds maintain their social networks, particularly where this may be challenging due to rurality or lack of access.	Comprehensive assessments to ensure issue are picked up and acted upon.	Care Assessors/CSM
Comprehensive assessments of residents and people receiving services from the EPH to identify future accommodation and care needs.	No	To ensure that residents contribute to their assessments and have choices about their future accommodation	Comprehensive assessment to ensure that people are consulted with and that their options and choices are taken into consideration.	As directed in Project Plan/Communication Strategy
Use of brokerage services data to support care assessors/coordinators identify suitable placements.	No	To ensure that resident's choices are considered and that the placements are suitable for their accommodation and care needs.	Use of data through brokerage services.	As directed in Project Plan/Communication Strategy

Evaluation of staff teams to identify which staff may be affected by the closure process – in terms of redeployment opportunities.	Yes	To ensure that all staff regardless of equality or diversity categories, are given the same opportunities for alternative employment or other options.	Commence data collation of staff group.	As directed in Project Plan/Communication Strategy
Following the Communication Strategy to ensure that all those affected by the policy are included in the consultation process	Yes	To ensure a consistent approach with the consultation process across all localities, when an EPH has been identified for closure.	Active involvement from the Steering Group established to manage projects.	As directed in Project Plan/Communication Strategy
Following the Project Plan to ensure that a consistent approach is maintained when an EPH is identified for closure.	No	To ensure a consistent approach with the across all localities, when an EPH has been identified for closure.	Active involvement from the Steering Group established to manage projects.	As directed in Project Plan/Communication Strategy
Collating data about the equality and diversity categories of the resident and staff groups	Yes	To ascertain which people may be affected by the closure processes.	Active involvement from the Steering Group established to manage projects.	As directed in Project Plan/Communication Strategy
Evaluation of process and completion of Lessons learned log at the end of each closure process.	No	To capture ways of improving future home closure processes.	Active involvement from the Steering Group established to manage projects.	As directed in Project Plan/Communication Strategy
Collating Information regarding the abilities of the residents from the EPH, will be required to ascertain people's ability	No	To establish who may require specialist support to engage them in the consultation process.	Active involvement from the Steering Group established to manage projects.	As directed in Project Plan/Communication Strategy

to participate in the consultation processes as well as their physical ability to transfer to alternative accommodation.				
The whole of voluntary closure of an EPH Policy including the appendices require consultation with ACSMB, General Managers and operational Management.	No	To ensure that everyone is happy with the proposed Procedure and whether any amendments or additions to the policy are required.	Ratification of policy through ACSMB Completed 8.9.2010.	As directed in Project Plan/Communication Strategy

5. Publicity and Communication of the Equality Impact Assessment

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

	<u>Evidence</u>
<p>5.1 How will these results be published?</p> <p>Include reference to how results will be made accessible, plain English, summary/key points, who is the audience, eg staff, community, service user etc.</p>	<p>Through Implementation and distribution of the policy through usual Procedures, after ratification by ACSMB.</p> <p>Inclusion in General Procedure available on intranet</p> <p>Publication of Procedure & EIA on internet.</p>

Section Three: Equality Impact Assessment Templates

Template 1

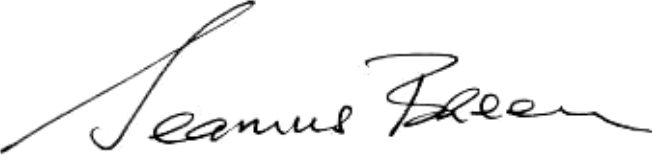
Function	Sub-Function (Function, Policy, Procedure, Project, Initiative, Service)	Relevance to Equality & Diversity (High, Medium, Low)	Evidence of relevance (legislation, anecdotal/statistical evidence etc)	Priority (high = 1, Low = 3)	Timescale (Date for completion)
Is there any evidence – formal or otherwise – that religious groups are affected by these developments	Extra Care Programme Delivery	Low	Anecdotal – the current facilities in extra care housing schemes do not proactively encourage applicants from ethnic religious groups	3	Jan 2011
Is there any evidence – formal or otherwise – that people with learning/physical, sensory impairment or disabilities are affected by these developments	Extra Care Programme Delivery	High	Anecdotal – through the mapping exercise a need has been identified for accommodation and support for people with physical and learning disabilities. Current eligibility criteria disadvantage these groups where people are under 55.	1	Jan 2011
Is there any evidence – formal or otherwise – that people’s sexual orientation is affected by these developments	Extra Care Programme Delivery	Med	The current information available i.e. leaflet and DVD does not actively encourage applicants from gay or lesbian couples.	2	Jan 2011

<p>Is there any evidence – formal or otherwise – that people with accommodation and care needs are affected by these developments?</p>	<p>Extra Care Programme Delivery</p>	<p>High</p>	<p>Evidence in the mapping exercise identifies that there are not enough extra care housing units countywide and these are required because people’s opportunities are enhanced by the delivery of extra care housing. As peoples care needs develop – assessment teams are responsible for reviewing care packages and arranging higher support as required. ECH in theory, can support high dependency levels.</p>	<p>1</p>	<p>Jan 2011</p>
<p>Is there any evidence – formal or otherwise – that people’s financial status is adversely affected by these developments?</p>	<p>Extra Care Programme Delivery</p>	<p>High</p>	<p>North Yorkshire County Council has identified there is insufficient opportunities for self funders to access advice and information on housing care and support services. The opportunity to purchase extra care housing units has diminished due to the current economic downturn as people are unable to sell their properties to purchase extra care housing accommodation. However, once in extra care housing, there is</p>	<p>1</p>	<p>Jan 2011</p>

			evidence to say that people's financial status is enhanced as they are not required to utilise as much of their savings as they would have done by purchasing a residential place as well as their care.		
Is there any evidence of public concern that this programme of delivery is causing discrimination?	Extra Care Programme Delivery	Med	Anecdotal – through the referral and allocations process. It has been identified that younger people with physical and learning disabilities are not able to apply for extra care housing due to the limitations of most of the eligibility criteria which currently specify 55+. Evidence to support the need for younger people being able to access ECH is based on experience of applications in the past as well as one direct communication from a lady of 40 yrs with cerebral palsy who felt she is discriminated against because of her age.	2	Jan 2011

Template 2

Name of the Directorate and Service Area	Adult And Community Services		
Name of the service being assessed	Delivery of Extra Care Housing in North Yorkshire		
Is this the area being impact assessed a	Policy & its implementation?		Service? ✓
	Function		Initiative?
	Project?		Procedure & its implementation?
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?		✓
	Proposed service or a policy and its implementation?		
	Change to an existing service or a policy and its implementation?		
	Service or Policy carried out by an organisation on behalf of NYCC?		
How will you undertake the EIA? Eg team meetings, working party, project team, individual Officer	EIA to be completed by individual officers, discussions with project team in team meetings,		
Names and roles of people carrying out the Impact Assessment	Rebecca Dukes – Project Officer ECH Marion Dennis – Project Support Officer ECH		
Other officers involved in the assessment Eg taking part in peer review, challenge, quality assurance	Quality Assurance Group.		
Lead Officer and contact details	Rebecca Dukes – Project Officer ECH – 01609 535173 Marion Dennis – Project Support Officer ECH – 01609 532600		
Date EIA started	Jan 2010		
Date EIA Completed	19.5.10		

Sign off by Service Head/ Business Unit Head	 Seamus Breen, Assistant Director - Commissioning and Partnerships
Date:	21 st October 2010
Presented at Directorate Equality and Diversity Working Group	July 2010
Date and place of Publication of EIA	
Monitoring and review process for EIA	ECH Team – ongoing review process.

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

1.1 Describe the service/policy

What does the service/policy do and how? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how? Who are the stakeholders? How would you describe the policy to someone who knows very little about Council Services?

Does the policy, plan or service reflect relevant legal frameworks (including equality legislation) and national and local performance targets? Does the service/policy adhere to the principles of the [social model of disability](#)?

Are there any other policies or services which might be linked to this one? Are they being impact assessed?

How will the policy be put into practice? Who is responsible for it?

The national drivers for developing Extra Care Housing are

- Our Health Our Care Our Say
- Putting People First
- Our Future Lives
- Strategic Commissioning Strategy for independence, wellbeing and choice
- Dignity in care agenda
- Lifetime Homes Lifetime Neighbourhoods

North Yorkshire County Councils strategy for developing ECH dates back to 1999. The development of ECH provides opportunities for all adults in need of care and support to live an independent lifestyle in a non institutionalised setting.

ECH offers people who need accommodation with support and/or care options to meet their changing needs by promoting personalisation, independence and choice

ECH is a housing solution to a care need which includes:

- Private apartments for rent or sale for people aged 55 and over
- Each apartment has its own front door with letterbox and doorbell and residents have security of tenure
- Each extra care housing scheme will have a range of facilities on site such as shop, hair/beauty salon, café/restaurant, lounge, hobbies room, library etc
- The building will be staffed 24 hrs/7 days by housing management, care and support staff
- Care and support will be delivered to individual residents according to assessed needs and in line with a written and

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

- agreed care and support plan
- Enables independent living

The delivery of extra care housing in North Yorkshire is linked to the replacement of Elderly Persons Homes. (EPH)

Existing residents of North Yorkshire's EPH's are directly affected due to the replacement of their current accommodation with extra care housing. When an existing EPH is earmarked for closure, residents are either given the option of transferring over to ECH or to be placed in another residential establishment.

The Extra Care Housing Team within Adult and Community Services works in partnership to deliver accommodation and services to a variety of partners. The team will be able to influence the inclusion of equality and diversity issues, but we cannot direct policy or procedure, as the schemes will be managed by other outside agencies. However, these agencies have the same responsibilities under equalities legislation as the North Yorkshire County Council's (NYCC) and service level agreements are currently being drawn up which include equality and diversity issues.

The service will be developed by the Extra Care Housing team working alongside selected partners to expand the extra care provision, where there is an identified need. The overall responsibility for developing the service and delivering future schemes lies with the Strategic Development Manager, Accommodation with Care.

Although current residents in EPH's are directly affected they also benefit in terms of having the opportunity to move into more appropriate accommodation with facilities and support to suit their

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

needs as well as giving security of tenure and the opportunity to maximise their financial status. Extra care housing is able to support people with changing care and support needs, in partnership with health and housing partners. Due to the design layout of the schemes and the use of telecare technology, people with very high support needs are able to stay in their accommodation for longer.

People living in the local community benefit from being given the opportunity of an alternative housing option with care support rather than institutional type residential care. Extra care housing enables couples (including same sex couples) where one has a care need, to stay together rather than being separated under current practices.

The local community benefits by the provision of the facilities within the scheme with the opportunity to utilise the communal space for social events and activities. This also benefits the people living in the scheme and enables them to continue to feel part of their local community.

The service will be proposing to introduce a training solutions document to support training within extra care housing facilities. The document highlights the necessity to reflect the Directorate's strategies relating to equality and diversity.

1.2 Is the policy/service you are impact assessing physically accessible?

Is the policy/service delivered in the right locations? Are locations welcoming and appropriate for its function and customer needs? Are the opening times accessible? Have you carried out an [access audit](#)? Do you provide specialist equipment to help people access your services if it is needed? Do you consider customer needs when arranging the timing and venues of meetings or events?

Historically extra care housing schemes have been built where an opportunity has arisen rather than where there is an identified need.

The schemes are designed to comply with the Habinteg 2nd Edition 2006 Wheelchair Design Guide and to full wheelchair accessibility standards.

Consideration is given to appropriate signage and colour schemes to support orientation of the people living in and visiting ECH schemes.

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Does the policy/service promote or further enable access to services?

Consideration is given to the location of the scheme and being able to access local facilities or to provide local facilities where these don't exist.

The physical design and the environment within the building is designed to support a range of needs ie mobility, sensory, cognitive impairment etc.

Access to services and facilities is a key priority, when considering the development of ECH schemes. Design options and inclusion of technology to support accessing facilities, for all groups of people, are included in the early planning of the scheme.

The extra care housing team is in the process of developing a Design and Ethos Guide which focuses on the physical environment to ensure that the schemes meets the needs of the people hoping to live there. In addition the ECH team is developing a process for reviewing extra care housing schemes, which includes a physical walk round with the housing partner to ensure that the environment is designed and built to NYCC's recommended Design and Ethos Guide.

A diverse range of events are organised within the schemes throughout the week, which includes evening and weekends to allow opportunity for people to access social events. Previous ECH developments have identified and fed back some concerns regarding access and participation in social events. Residents ultimately have the choice in what social events they participate in, however some people are reliant on staff to support them to do this and staffing levels do impact on residents being able to participate in some activities. There is also concern amongst some residents who feel they are being charged to "use the lift" because if they can't attend a social event without escort from their apartment to the activity space, it is

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

included as a need in their care plan and they are charged for it (subject to the Fairer Charging Policy). The move to personalisation and indicative budgets will potentially help to solve some of these issues. The issue of isolation has been raised up on several occasions, particularly where people do not want to participate in group type social activities: again personalisation and indicative budgets could resolve some of these issues, by enabling staff to carry out one to one activities more suited to the individual.

Most ECH schemes operate resident committees, who are involved in arranging and deciding on the type of activities provided; however there are examples where the more vocal residents have played a bigger part in making decisions. This requires careful monitoring by all partners involved, to ensure that decisions about social events include all residents' opinions and suggestions.

Recent scheme reviews undertaken, indicated that extra care housing schemes do not have diverse religious services, although they do provide a non-denominational type service. If this was identified as a need for specific individuals, arrangements could be put in place to support access to faith-based activities e.g. via community liaison. For some individuals, this might form part of their support plan.

People and groups from local communities are actively encouraged to utilise the facilities and to participate in events or social activities organised in the scheme. There are many examples where community social groups utilise the facilities for events, clubs or other activities, which the residents can then join in with, supporting the ethos of enabling residents to feel like active members of their local community.

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

Extra care housing facilities support applications from people, regardless of their disability, faith, sexual orientation, race or gender. NYCC is an equal opportunity organisation and has a Fair Access to Care Policy. The current eligibility criterion is usually 55 and over which is often linked to agreed planning applications. Any decisions to change the eligibility criteria for a particular scheme would be on an individual basis and would be included in the planning stages. Any changes to existing eligibility agreements would have to be discussed and agreed with the housing providers and district/borough Council partners.

Partner organisations will have their own equality and diversity policies and procedures in place, which are monitored through the Quality Assessment Framework documentation (QAF) managed by Supporting People.

Standard C1.4.1 of the Quality Assessment Framework states “Fair access, fair exit, diversity and inclusion are embedded within the culture of the service and there is demonstrable promotion and implementation of the policies.” The evidence listed in this section is detailed by breaking it down into Level A/B/C requirements. Level A/B meaning indicative evidence and Level C meaning an essential requirement. These requirements includes the collection of equalities data on successful and unsuccessful applicants, reviews the equalities data, sets targets to address gaps or weaknesses and monitors performance against these.

Equality and Diversity procedures are covered in staff induction programmes and integrated into staff management practices. And are reviewed on a regular basis. The evidence in this documentation also highlights whether equality access targets are set for under represented groups and how these targets will be monitored and

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

	actioned. Section C1.4.2 of the QAF investigates the procedures and processes that monitor the allocation and eligibility criteria for access ECH schemes and how the information and decisions are communicated to applicants, and whether under represented groups are identified and relevant information is actively distributed to these groups.
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1.3 Is the information and communication provided accessible to everyone?

Is information and correspondence [accessible](#) and does it use appropriate language? Do your documents include an Accessibility Statement ([link to Accessibility Statement](#)) and will you provide information in other formats on request (or prepared in advance where necessary)? Remember to think about the needs of people who are disabled or people whose first language is not English. Can customers contact your service easily and accessibly in a range of different ways? Do people know how to contact you?

Does information avoid the use of stereotypical language, or negative images of different groups of people? Does the information adhere to the principles of the [social model of disability](#)?

NYCC Information related to ECH is provided in several formats inc leaflets (large print copy available), DVD, information cards. We are in the process of developing a web page on the NYCC website. The team has discussed providing easy read versions of our written information – this work is ongoing. Usually alternative formats would be available on request, however we do have a small amount of large print copies of our information available if required.

All literature contains reference to contact NYCC Customer Service Centre, by either telephone or online. Literature available in other languages such as Braille, Large print or audio on request. – tel number and email address contact details on reverse of leaflet.

Literature pictures do focus on images of older people which does tend to suggest that extra care housing is a service predominantly for older people. However we are in the process of developing an updated version our leaflet which will include images which are not specifically focussed on older people. The team's vision is to open up ECH to all vulnerable people; therefore the literature would require updating to incorporate images of other groups of people, to raise awareness to all vulnerable people, that ECH is available to them.

1.4 How is your service/policy delivered?

Do you charge for your services? Do these charges affect everyone equally? Do some customers incur greater costs or get 'less for their

The Council delivers the service in partnership with housing associations and district/borough councils. Housing associations allocate the extra care housing units under eligibility criteria which is

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

money'? Are there eligibility criteria for the service/policy?

Does the Council deliver this policy in partnership or through contracts with other organisations? How do you ensure that external bodies comply with the Council's equality requirements?

Is the policy delivered with volunteers? Does this raise any implications e.g. training needs? Are volunteer opportunities available to all?

agreed by steering groups who manage the projects.

All people are assessed with a Needs Assessment Questionnaire – under Fair Access to Care – and their contributions for services are calculated through a financial assessment which is stipulated by government legislation.

The charges relate to the accommodation and care services. The rent, service charge and lease, if purchased, relate to the property and not the person living in that property. The charges for individual properties are set by the housing providers based on affordable housing guidelines. The ratio of rental and purchase units is dependent on the size of the scheme to be built, typically there would be 5-15 to purchase units in a 40-50 unit scheme, giving people the option of the type of tenure they require. Often there is an expression of interest register with people waiting to move into properties with all the tenure types. The ECH team has recently identified an organisation that supports people with physical and learning disabilities that are reliant on state benefits, to purchase properties, and have now extended this service to older people looking to purchase ECH units. This would enable people, regardless of their financial circumstances, to either purchase or rent an ECH unit, depending on their preference

The care costs are dependent upon financial assessments. People who are more financially secure may end up paying higher rates for care services. People's financial circumstances, may impact on participation in activities, as some organised events may involve payment. The Partners involved in the scheme ensure there is a variety of social events and activities to suit everyone's needs. This may involve liaising with voluntary and community groups to support unpaid activities within the scheme. The ECH team and its partners

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

are very keen to ensure there is a programme of activities set up, from the opening of the scheme. Community engagement work is already underway regarding activity provision for a scheme due to be opened spring 2011.

2. Data, Monitoring, Consultation and User Involvement

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence

2.1 What data do we use now? Is it broken down by equality and diversity categories?

How current is the data? Where is it from? Is it relevant? Are the equality and diversity categories consistent across all the data used?

Strategic Commissioning for Independence, Wellbeing and Choice Databook 2007 – 2022 shows the breakdown in population of BME communities as a whole for North Yorkshire and also for the 7 individual District/Boroughs within North Yorkshire. It is also broken down into age, gender and disability profiles. The data is available relating to BME communities however there are no statistics relating to sexual orientation.

The mapping exercise highlights the need for additional extra care housing schemes across the county. There is a need to cross reference identified accommodation needs with the data relating to BME communities to establish if there is a need to actively market this type of accommodation to minority groups in specific areas.

Between June and September 2009 reviews of existing Extra Care Housing schemes were carried out. Information regarding ethnicity was captured and highlighted that there are no tenants from BME groups living in extra care housing schemes at present.

There are a large number of different groups across the County which cater for specific client group's ie older people, physical and sensory etc. These can be difficult to access at the right time to discuss the relevant issues for each scheme. Currently schemes are designed taking into account best practice guidelines and national experiences of what works and doesn't work in ECH. The Housing Learning Improvement Network (Housing LIN) provides information collated from all council/housing and other organisation regarding best practice in ECH, including fact sheets on specific issues. However we acknowledge that consultation and service user involvement needs improvement and we will address these issues in the future. Surveys and questionnaires are carried out with current residents regarding all

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	<p>the services and facilities available to them and the ECH will be introducing an evaluation process with schemes, 6-8 months after they have opened. This evaluation process will include residents, their relatives, staff and management as well as other partners involved in the scheme i.e. health professionals. It will also include the design layout and the facilities available. This evaluation process is being piloted in April 2010 for a scheme that opened in October 2009.</p> <p>The ECH Team acknowledges that there is a statutory requirement to consult with all groups of people and this will be imbedded in the decision-making process and a robust Consultation Procedure is currently being researched and written.</p>
<p>2.2 Are there areas where we need more information? How could we get this information?</p> <p>What data is available? Do other directorates, partners or other organisations hold relevant information? Is there relevant information held corporately eg compliments and complaints? Are there national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?</p>	<p>At present the extra care housing team does not have information relating to the sexual orientation of the population of North Yorkshire.</p> <p>The assumption is that it will be between 5-7% of the county's population, in line with national / Stonewall estimates: for more info – www.stonewalll.org.uk</p>
<p>2.3 What analysis have you carried out on the data?</p> <p>Does analysis include general demographic and local specific trends such as ageing, migration and the nature of minority ethnic communities and other diverse groups? Does it include trends about specific sectors as appropriate eg education, transport, housing, retail and business opportunities?</p>	<p>Census information shows that just under 98% of the population of North Yorkshire is white British with only 1.1% of people in BME groups which is considerably lower than the national average of 9.1%. Within the County the proportion of the population within BME groups is lowest in Ryedale and highest in Richmondshire. The individual District/Borough profiles indicate that the percentage of BME groups compared to the overall population is very low which may therefore make it difficult for extra care housing to target specific groups or</p>

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provide specific facilities for BME groups. However more emphasis on marketing to BME groups may result in them applying for ECH.

All ECH units - except some specialist dementia apartments - are now built with 2 bedrooms, to allow for family or visitors to stay with their relative, they also provide guest suites for hire at a nominal charge. The option to extend the size of the properties further would create higher rental and service charges for the residents as well as additional build costs for the organisations involved, the sustainability of the scheme is very much dependent on the amount of units being built, which is dependent on the land available. Larger apartments would usually mean fewer units available, which in turn might question the sustainability of the scheme and the affordability of the properties, to keep them in line with affordable housing guidelines.

In terms of extended family members, any persons applying to live in the scheme would have to meet the agreed eligibility criteria, most eligibility criteria for ECH suggest the applicant has some care/support needs; this may cause issues where extended family members live with their relatives. When the original applicant dies, the family member may not be eligible to remain in the property and they would not be issued with a tenancy agreement for that property. Currently partners are able to remain in the properties as long as they meet the age criteria.

Demographic data indicates that the population of people aged 65+ is expected to increase in all Districts/Boroughs across North Yorkshire. The largest percentage increases are expected to increase in Hambleton, Richmondshire and Selby. The mapping exercise has identified further need for accommodation, with support for all vulnerable adults in these specific areas as well as generally across North Yorkshire.

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Does it identify the level of take-up of services by different groups of people? Does it identify how potential changes in demand for services will be tracked over time, and the process for service change?

Is it free of generalisations or stereotypical notions about people of different groups? Does it reflect the diversity of North Yorkshire? Does it identify the equality profiles of users/beneficiaries and staff?

The mapping exercise has indicated the need to review and redirect the way in which services are delivered.

The Extra Care Housing Team's Programme Delivery Register captures and predicts current and future need for accommodation, facilities and services within a locality. Once a scheme has been in management for at least 6 months the proposed evaluation tool will help to capture data relating to the residents' disability, age, faith, race and gender and sexual orientation. This will help us to evaluate which groups of people are applying for the schemes and where and how we might need to provide additional services or facilities or support people to access out in the wider community to ensure all their needs are being met.

2.4 What does the analysis of the data show?

Does the data show any differences in outcome for different groups? Eg differences in take up rates or satisfaction levels across groups. Is it what you expected? Does it change earlier assumptions?

Please include data and analysis as an appendix

The mapping exercise shows evidence that there is a need for future extra care housing to meet a range of needs and ages rather than concentrating on supporting one particular client group. Evidence from current. ECH allocation groups across North Yorkshire, suggests there is a need to expand the eligibility criteria to include other groups of people. Often people below the age criteria apply, and although applicants are discussed on an individual basis, there are concerns about placing younger adults in predominantly older people's facilities, particularly where the type of social activities are generally decided by the residents, who would be, at this moment, an older age group and with probably a different type of social life to a younger adult.

There are schemes in other parts of the country that are for younger adults with learning and physical disabilities. The ECH team's vision is to provide our ECH services to a mixed group of people. Anecdotal evidence also shows that North Yorkshire County Council's own assessments teams often refer younger applicants for ECH, unaware of the full eligibility criteria, which support the suggestion that there is a need for this type of accommodation for younger adults.

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	<p>The market has recognised the need to provide extra care housing for other vulnerable people within the last 2-3 years and this has been considered in the design guide for the future.</p>
<p>2.5 What are the mechanisms for the ongoing monitoring of progress on your policy/service, or monitoring take-up of your service?</p> <p>Given the information above do monitoring mechanisms need to be altered to make sure that all the required data is captured? What monitoring techniques would be most effective?</p> <p>What performance indicators or targets would be used to monitor the effectiveness of the policy/service?</p> <p>How often does the policy/service need to be reviewed? Who would be responsible for this?</p>	<p>The Extra Care Housing Team's Programme Delivery Register captures and predicts current and future need for accommodation facilities and services within a locality.</p> <p>The proposed evaluation tool will support NYCC and our housing providers to identify issues with the service. The tool includes consultation with residents, relatives and other people involved in the services provided within the scheme. The piloting of the evaluation tool is due to take place at a scheme which opened September 2009. The outcome of this evaluation will influence the final documentation for this process.</p>
<p>2.6 Does your service meet the needs of all customers?</p> <p>How do you know? How do you check?</p> <p>Do some needs/priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?</p>	<p>At present extra care housing is primarily focussed on accommodation for older people usually 55 plus.</p> <p>The need for accommodation with care for people with learning and physical disabilities has also been identified through the mapping and nomination and allocation process. The current nomination and allocation process is based on the panel members considering whether the applicant's physical, emotional and social wellbeing would be met by moving into the scheme. It is sometimes deemed not appropriate for a younger person to move into a scheme which is fully occupied by older people even though the physical layout of the building is appropriate to their needs.</p> <p>Our future vision is to give all vulnerable adults the opportunity to access extra care housing where it is their wish to do so. It is</p>

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	<p>acknowledged that a range of housing options needs to be available to people. It is intended that the extra care housing programme be delivered without Homes & Communities Agency grant, thereby enabling any available grant to be used to fund other housing types. A need has been identified through the mapping process for accommodation for other groups and consideration will need to be given to consultation with these people.</p>
<p>2.7 What consultation have you already done that you can use to inform this impact assessment? Please summarise the main findings from the consultation</p> <p>Can you analyse the results of this consultation by social identity eg race, gender, age, disability, faith, Sexual orientation. Who did you consult and how? What are the main findings? Are there differences in response between different groups? Are more findings to come?</p> <p>If this is an update please say when this information has been added. Did you find that some groups felt that they were adversely affected by the policy/service? Did you feedback the findings of the consultation to those who were involved?</p>	<p>Some reviews of current schemes were carried out in mid 2009. The questionnaire identified people's race, gender, ethnicity and the level of support they required, however it did not identify people's sexual orientation. The questionnaire was designed for people already living in an extra care schemes, it was not broken down into different social identities and was not distributed to a wider community.</p> <p>In Jan 2008 a report called "A Measure of Success" was produced by the Care Services Improvement Partnership in conjunction with The Housing Learning and Improvement Network. The report entailed an evaluation of housing for people with learning disabilities. The report focuses on the lessons learnt from 10 projects to provide extra care housing specifically for people with a learning disability and was linked to measures stipulated in the "Valuing people, Independence Well-being and Choice, and Our health Our Care, Our Say" papers. The main points of these strategic papers state that local authorities should extend the range of housing choices to people with learning and physical disabilities and highlighted the key issues as being:</p> <ul style="list-style-type: none"> • Housing was important – the aim is for a choice of where and how you live • The Government wants people living with their families to be able to plan for a home of their own

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- People with learning disabilities can live successfully in many types of housing from individual self-contained properties, housing networks, group homes and shared accommodation schemes, through to village and other forms of intentional community. They can cope with the full range of tenures, including ownership.
- Local authorities should expand the range and choice of housing, care and support services, and
- Draw up a housing strategy by 2003 addressing the aims of Valuing People.

The report suggests that *“Housing Needs surveys commissioned by local authorities could be stronger in their measurement of the housing requirements of disabled people and quite possibly other, numerically smaller, vulnerable needs groups.”*

Section 1.1 of the “Socially excluded adults Public Service Agreement (PSA 16) states that *“In October, as part of the Comprehensive Spending Review, the Government announced a new single set of 198 national indicators for English local authorities and local authority partnerships. These indicators, which flow from the priorities identified in Public Service Agreements (PSAs) and Departmental Strategic Objectives (DSOs), include eight indicators which underpin the socially excluded adults PSA (PSA 16).*

Section 3.1 states *“The socially excluded adults PSA aims to ensure that the most socially excluded adults are offered the chance to get back on a path to a more successful life, by increasing the proportion of*

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at-risk individuals in:

- *settled accommodation; and*
- *Employment, education or training.*

Settled accommodation: Refers to accommodation arrangements where the occupier has security of tenure/residence in their usual accommodation in the medium- to long-term, or is part of a household whose head holds such security of tenure/residence. The accommodation types that represent settled accommodation for the purpose of this indicator are:

- Owner Occupier / Shared ownership scheme (where tenant purchases percentage of home value from landlord)
- Tenant – Local Authority / Arms Length Management Organisation / Registered Social Landlord / Housing Association
- Tenant – Private Landlord
- Settled mainstream housing with family/friends (including flat-sharing)
- Supported accommodation / Supported lodgings / Supported group home (accommodation supported by staff or resident caretaker)
- Approved premises for offenders released from prison or under probation supervision (e.g., Probation Hostel)
- Sheltered Housing / Extra care sheltered housing / Other sheltered housing
- Mobile accommodation for Gypsy/Roma and Traveller community

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The 2001 Government White paper 'Valuing People' -

States that "each individual should have the support and opportunity to be the person he or she wants to be; " and they shall have:-

1. EQUAL RIGHTS
2. INDEPENDENCE
3. CHOICE
4. THE RIGHT TO BE INCLUDED

To make this happen, North Yorkshire and the City of York developed 4 Partnership boards. The Government said it is they who should agree any future plans which could affect people with a learning disability.

The 4 boards are:

Craven and Harrogate
Scarborough, Whitby and Ryedale
Hambleton and Richmondshire
York and Selby

One of the key points is to update the list of accommodation needs to identify future supported accommodation requirements in partnership with housing providers and Supporting People.

Based on the recommendations in these strategic papers, evidence suggests that extra care housing is suited to people with learning and physical disabilities and that although more consultation is required between local authorities and these groups of people, that extra care housing is a viable option for them. The Extra Care team will be pursuing this option through its service level agreements with housing providers and recommending the use of the Design and Ethos Guide when developing future schemes.

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2.8 What is the communication strategy to advertise and promote your plan, policy or service?

Due to the proposed changes in the delivery of this service the Extra Care Housing team has arranged for a stakeholder launch event to inform partners of our future vision for extra care housing, and our expectations and recommendations for providing services in schemes in the future. This will form the basis of our future communication strategy.

We have produced an Extra Care Design and Ethos Guide which focuses on the expected specification for future schemes; the design and ethos guide illustrates our minimum requirements and will be shared with potential partners. The design and ethos guide has been developed from good practice recommendations collated nationally. This is a living document that will evolve as schemes are developed and we will in future ensure that the focus group has involvement in the development of the Guide.

2.9 Is there any more consultation that you need to do to inform this impact assessment?

Have you identified information in other sections of this EIA that you need to assess the impact on different groups of people?

We acknowledge that we need to carry out further consultation with all vulnerable people, specifically minority groups, to understand why we do not receive applications for extra care housing from these people, and to consult with younger disabled people to establish the type of housing options available to them and if ECH is what they want.

At present we do not have sufficient information relating to the gay or lesbian community in North Yorkshire to understand why we do not receive applications from same sex couples. We are aware that there are some schemes specific to these groups of people in other areas and further investigation regarding the ethos and facilities provided in these schemes may help us to support our North Yorkshire gay and lesbian community to access extra care housing. The paperwork regarding the application process inc North Yorkshire's Needs Assessment Questionnaire (NAQ) and the housing providers'

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application forms, do not directly capture information regarding a person's sexuality therefore we are currently not aware of the percentage of applicants from this group. All we know is that currently there are no same sex couples living in our extra care housing schemes.

Due to the limited concentration of people with different faiths it is difficult for extra care housing in North Yorkshire to provide facilities specific to one faith however we do acknowledge the need for multi-faith facilities to be provided within the schemes to enable people to continue practising their own faith when moving into one of our extra care housing schemes. There would also be a need to provide training to the staff in the schemes, so that they can be informed and prepared to support people of different faiths to live in extra care housing.

Catering for different faiths in extra care housing is included in the specification for the catering providers The specification states that provision for all medical and cultural needs should be met, however this does not mean that the majority of schemes would build features such as two kitchens into the schemes, but that management processes would be put in place to facilitate different catering requirements, such as storage and preparation of food, unless a specialist scheme, particularly catering for a specific faith, was being developed.

Now that our future schemes will be needs led rather than opportunity led it will allow us to consult more robustly with the local communities prior to the schemes being developed. This will allow us to identify at an early stage if there are specific faith or gender issues within that locality which we will need to incorporate into our development.

North Yorkshire County Council need to develop the opportunity for people with dementia to be supported in ECH. Plans are already in

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	<p>place for a 'flagship' development in North Craven which will include a specialist dementia unit. North Yorkshire County Council is working closely with partners and Dementia Voice to ensure that the facilities to be provided in this unit are fit for purpose and suitable to the needs of the people who will be supported there.</p>
<p>2.10 How and when you will consult service users about this policy/service in the future?</p> <p>What do you want to find out? Who will you consult with? What method will you use; what are the potential or known barriers of your chosen method? How will you overcome this? Have you considered the accessibility of your consultation? (see consultation toolkit)</p> <p>When will findings be available? Will the consultation/involvement be ongoing, regular or a one-off?</p>	<p>We need to establish that the proposals for future schemes are suitably located and that the facilities incorporated in the schemes meet the needs of the local people. Some localities have identified the need for accommodation with care for other groups of vulnerable people other than older people. These needs have been identified through a mapping exercise carried out by the extra care housing, Strategic Development Manager (Accommodation with Care) in conjunction with management from all business units across North Yorkshire. The development of further units would give all vulnerable people wider choices about where they live when they are in need of support or care services to enable them to live independently. The extra care facilities would not become their only option, but would be another option open to them. Through recent research, the extra care housing team has identified an organisation that supports older people and people with physical disabilities, who are reliant on state benefits for their income to obtain mortgages to purchase their own properties, both in extra care housing facilities and out in the community, giving people even more choices about either renting or purchasing their accommodation.</p> <p>We carried out some reviews of our current extra housing schemes in 2009. The data from these reviews indicates that there is no-one from any BME groups currently living in extra care housing schemes in North Yorkshire. This highlights the need for further work/consultation to establish why people from BME groups are not applying for extra care housing or if there is a need to target specific areas for extra care housing which might be appropriate for specific BME groups.</p>

2. Data, Monitoring, Consultation and User Involvement

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We are currently putting together protocols for reviewing extra care housing schemes once they are up and running – outcomes and recommendations from these reviews will feed into future extra care housing schemes and will feedback into the schemes being evaluated, to improve services or review any problems or issues.

In the future we need to consult further with people living in the scheme, relatives or representatives, court managers, care providers, partner organisations and any other persons involved in the delivery of the service. Most of the schemes do have residents' committees and forums that participate in making decisions related to the schemes. Regular committee meetings are held in each scheme, which gives the residents the opportunity to express any concerns or to make suggestions about the activity programmes. They are also consulted about any changes that may occur within the scheme. Some housing providers also have elected representatives from each scheme that attend area liaison meetings.

People with limited communication capacity could have difficulty participating in consultation exercises. Consideration should be given to how the review process is carried out and in what formats it would be provide

The review process will be ongoing as more extra care schemes are developed.

2.11 Will you use existing consultation mechanisms?

Will consultation utilise existing NYCC communication, consultation and engagement mechanisms rather than setting up new mechanisms? Eg the [Citizens panel](#), disability reference groups, the employee equality forum?

If not please explain why

The extra care housing team has considered the option of developing a forum specifically related to the provision of extra care housing; however the logistics of this could be a challenge, given the size of the county, as we would want to include the views/opinions of people across the whole of the county. Further consideration is required to develop this option.

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2.12 What do people from different groups want?

Have you asked people from different groups what they need or want?
What was the outcome of this? Is this reflected in your policy/service

At present extra care housing is primarily focussed on accommodation for older people. However our future vision is to give all vulnerable adults the opportunity to access extra care housing.

A need has been identified through the mapping process for accommodation for other groups and consideration will need to be given to consultation with these people. The decision to expand the extra care delivery programme has been agreed with the Adult And Community Services Management Board, however consultation regarding the facilities and services provided within a scheme, will be carried out with the local community prior to the planning process.

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

3. Best Practice

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

3.1 Is there a Lead Officer at a senior level for this service ?

Is the Lead Officer fully aware of equality and diversity issues generally and those specific to this service? Are they regularly briefed/updated on equality and diversity?

The Strategic Development Manager (Accommodation with Care) is fully aware of equality and diversity issues specifically relating to the delivery of extra care housing. Regular briefings and updates are provided for senior managers.

3.2 Are staff training needs identified?

Do staff understand wider equality and diversity issues and the issues specific to this policy? Are staff sufficiently aware of equality and diversity issues to allow them to signpost to information about this and other policies, plans or services - to promote better customer care?

If training needs identified contact your [Directorate representative](#).

Taking into consideration that extra care housing is primarily for older people at present, if other groups have the opportunity to access extra care housing there would be training needs for staff, and awareness raising for some of the residents, to enable people from diverse groups to live comfortably in extra care housing. The training would possibly need to focus more on faith and gender issues and the need to provide facilities for these groups of people within our schemes Training on social model of disability would also be required within the schemes. We would also need to consider whether our staff has sufficient knowledge to signpost people to the information and services available to those groups of people.

We will also ensure that the Age Concern resource guide 'The Whole of Me' is rolled out to social care staff working in extra care schemes. This resource is aimed at developing awareness of older LGB people in residential and Extra Care accommodation, and has been shared with Registered Managers. We will make sure that it is part of ongoing staff training and supervision, and we will make housing association partners aware of it. We will also make sure scheme managers are aware of the Rainbow Sticker project, which is a visible symbol that a scheme is LGBT aware / friendly.

3.3 Is the role of key partner organisations identified?

Are key partners identified and their role in equality and diversity issues explained?

Due to the proposed changes in the delivery of this service the Extra Care Housing team has arranged for a stakeholder launch event to inform partners of our future vision for extra care housing. The outcome of this process will hopefully provide us with key partners who we will then be able to develop equality and diversity strategies with which may then be included within our Service Level Agreements.

3. Best Practice

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3.4 Does the policy/service link with and support the Council's Social Inclusion Strategy?	Yes
3.5 Does the policy contribution to better community cohesion? Does it promote good relations between different communities?	Yes. The ethos of extra care housing is to encourage community engagement and support community groups to utilise the facilities and to integrate people who live in the scheme into the local community.

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

4. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

4.1 Has an adverse impact been identified for one or more groups?

Has the consultation or data analysis shown anything in the policy, plan or service that results in (or has the potential for) disadvantage or discrimination towards people of different groups? Which groups?

The information available does not identify direct discrimination towards any minority ethnic groups; however, what our current data shows is that there are no residents currently living in NYCC's extra care housing from BME groups. The data and information available does not capture whether there are any GLBT residents.

The eligibility criteria for current extra care housing schemes does eliminate people less than 55 years of age from applying, which would include people with physical and learning disabilities, who require accommodation with support. Current practice would be to assess people on an individual basis, through the allocation panel, to ascertain a person's suitability to live in the scheme. This process does not encourage younger people to submit applications.

4.2 How could the policy be changed to remove the impact?

Have you considered all the different options? If you feel that you don't have enough information to decide this, one of your actions may be around gathering more information.

As part of the launch of NYCC extra care delivery programme, a Design and Ethos Guide has been produced along with service level agreements, which includes the changing of the eligibility criteria to enable any person with care or support needs to apply.

Further information is required regarding why people from BME groups are not living in extra care housing in North Yorkshire. There is a need to consult with these groups of people to establish whether the facilities and service provided in extra care housing can support their cultural and religious beliefs.

Further data capturing methods are required to ascertain if people from GLBT groups are living in extra care housing in North Yorkshire and whether this information is appropriate to be including on applications for housing or support services. Unless we are aware and consult with these groups of people, we do not know that NYCC's extra care housing will support their needs and if people from these groups feel comfortable living within the extra care environment.

4. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

4.3 Are you planning to consult people on the outcome of this impact assessment?

When and how will you do this? How will you incorporate your findings into the policy?

The intention is to consult with people regarding the outcome of this EIA, however, corporately, NYCC needs to improve its consultation process. If as a result of this EIA, something of significance is identified – it would trigger the need for consultation. This would be tailored to individual events.

4.4 Can any adverse impact be justified?

If the adverse impact will remain, can this be justified in relation to the wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?

None identified.

4.5 Are equality and diversity principles promoted and mainstreamed?

Even if there isn't any adverse impact could action be undertaken to promote and mainstream equality and diversity principles? Is best practice being followed, and being disseminated to others?

The Extra Care Housing Team within Adult and Community Services works in partnership to deliver accommodation and services to a variety of partners and will therefore be able to influence the acknowledgement of equality and diversity issues, but we cannot instruct, as the schemes will be managed by other outside agencies. However, these agencies have the same responsibilities under equalities legislation as the County Council and service level agreements are currently being written which include equality and diversity issues.

Extra care housing facilities support applications from people, regardless of their disability, faith, sexual orientation, race or gender. NYCC is an equal opportunity organisation and everyone has fair access to services however the current eligibility criteria is usually 55 and over which is often linked to agreed planning applications. Any decisions to change the eligibility criteria for a particular scheme would be on an individual basis and would be included in the planning stages. Any changes to exiting eligibility agreements would have to be discussed and agreed with the housing providers and district/borough Council partners.

4. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

	<p>The organisations that we work with will have their own equality and diversity policies and procedures in place which are monitored through the Quality Assessment Framework documentation (QAF) managed by Supporting People.</p> <p>The extra care housing team is proposing to introduce a training solutions document to support training within extra care housing facilities. The document highlights the necessity to reflect the Directorate’s strategies relating to equality and diversity.</p>
<p>4.6 Are there any other equality issues that haven't been covered through this impact assessment?</p> <p>Are there any other sections of the community that are affected?</p>	<p>No</p>
<p>4.7 Service Performance Planning</p> <p>Are equality issues addressed in your service performance plans? How will the issues raised in this Impact Assessment be incorporated into your mainstream planning?</p> <p>How will equality issues be monitored?</p>	<p>The extra care housing team is proposing to introduce a training solutions document to support training within extra care housing facilities. The document highlights the necessity to reflect the Directorate’s strategies relating to equality and diversity and will be rolled out to all staff who will be involved in delivery support services to people in extra care housing.</p> <p>We will also ensure that the Age Concern resource guide ‘The Whole of Me’ is rolled out to social care staff working in extra care schemes. This resource is aimed at developing awareness of older LGB people in residential and extra care accommodation.</p> <p>Equality and Diversity procedures are covered in staff induction programmes and integrated into staff management practices, and are reviewed on a regular basis.</p>

Don't forget to transfer any issues you have identified in this section to the [Equality Action Plan](#)

4. Action Planning

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

Equality Action Plan

Issue What are the key equality issues identified from the assessment and consultation and data analysis phases?	Considerations Are there any legal considerations/ implications? Can less favourable treatment be justified? Are there any other changes that need to be considered? Have you sought advice? Who from?	Objective What outcome would you want to achieve? Is it achievable?	Action What improvements could you make to achieve this outcome? What resources will your require to achieve this outcome? All actions identified here should be included in your Service Action Plan/ Equality & Diversity Action Plan	Timescale & Lead Officer
Changes required to the eligibility criteria for extra care housing	Yes – current eligibility criteria is often linked to agreed planning applications. Any decisions to change the eligibility criteria for a particular scheme would be on an individual basis and would be included in the planning stages. Any changes to existing eligibility agreements would have to be discussed and agreed with the housing providers and district/borough Council partners.	Any vulnerable person would be eligible to apply for extra care housing as long as they are an adult ie over 18 years of age.	Design and Ethos Guide along with Service Level Agreements with housing providers, to support applicants from all vulnerable groups. Training and solution document to include thorough training on equality and diversity issues. Continue to monitor partner agencies equality and diversity date through the quality assessment framework	Extra Care Housing Team by January 2012 Extra Care Housing Team by January 2012 Extra Care Housing Team by January 2012

<p>Data capturing and marketing of extra care housing to minority groups</p>	<p>Further consultation with minority groups inc setting up an extra care housing Focus group.</p> <p>Identify where dedicated facilities to support different cultural and religious beliefs may be required when developing schemes.</p>	<p>To discuss with people from minority groups, how extra care housing can assist with their housing and care options.</p> <p>To discuss how extra care housing can support people with different cultural and religious beliefs.</p>	<p>Set up Extra Care Housing focus group.</p> <p>Link into other minority support groups.</p> <p>Local consultation when developing proposed schemes.</p>	<p>ECH Team Jan 2012</p>
<p>Develop training and awareness with extra care housing staff and partners to help support applicants from minority groups.</p>	<p>Social Model of Disability Training incorporated in mandatory training during the development of an extra care housing scheme.</p>	<p>Enable staff to have the required skills and knowledge to support people from minority groups to live in Extra Care Housing</p>	<p>Implement training solution document. Ensure that the Age Concern resource guide 'The Whole of Me' is rolled out to social care staff working in extra care schemes. This resource is aimed at developing awareness of older LGB people in residential and extra care accommodation.</p> <p>Promote message to partners via the ECH Providers' Forum</p>	<p>In partnership with Operations and Workforce Development January 2012</p>
<p>Rollout of the Extra Care Housing Design and Ethos Guide alongside the Service Level Agreement</p>		<p>To ensure consistency of design with partner agencies when developing extra care housing schemes.</p>	<p>Launch/Publicise design and Ethos Guide./Service Level Agreement.</p>	<p>ECH Team January 2012</p>

Insufficient data relating to some minority groups.	How / If data can be captured by current paperwork. Ensure that communication plans capture local minority groups – liaise with Equality and Community Engagement Officer about specific groups in localities.	Which / if any, minority groups are being supported in extra care housing. Is extra care housing what they want?, If it is, how can we support them better, if not, what can we do better to encourage them to feel comfortable in the extra care environment?	Investigate data capturing methods available.	ECH Team Jan 2012
We need to establish that the proposals for future schemes are suitably located and that the facilities incorporated in the schemes meet the needs of the local people.	Local consultation prior to developing schemes. How we consult with people with limited capacity ie hearing/sight impairments. Consider Duty To Involve Legislation	Ensure that the facilities provided within the schemes meet the needs of people living there as well as the local community.	Community consultation events. Consultation through focus group. Consultation with minority groups.	ECH Team - ongoing
Literature relating to extra care housing.	How and in what format literature can be provided	All people have access to extra care housing in a format to suit their needs.	Revision of current literature and formats. Development of the extra care web site.	ECH Team - ongoing
Evaluation process	data collection	Ensure that we are meeting the needs of local communities, the people living in the schemes and to identify if and where ECH accommodation is required by people with learning and physical disabilities.		ECH Team - ongoing

5. Publicity and Communication of the Equality Impact Assessment

Please consider issues around impacts (positive or negative) raised for **Disability, Age, Sexual orientation, Faith, Race and Gender** and show your evidence.

	<u>Evidence</u>
5.1 How will these results be published? Include reference to how results will be made accessible, plain English, summary/key points, who is the audience eg staff, community, service user etc.	Via the Internet



North

Yorkshire County Council

Equality Impact Assessment Template

If you would like this information in another language or format such as Braille, large print or audio, please contact the Communications Unit on 01609 53 2013 or email communications@northyorks.gov.uk.

যদি আপনি এই ডকুমেন্ট অন্য ভাষায় বা ফরমেটে চান, তাহলে দয়া করে আমাদেরকে বলুন।

如欲索取以另一語文印製或另一格式製作的資料，請與我們聯絡。

اگر آپ کو معلومات کسی دیگر زبان یا دیگر شکل میں درکار ہوں تو برائے مہربانی ہم سے پوچھئے۔



Undertaking an Equality Impact Assessment

Equality Impact Assessments (EIA) should be undertaken at the business case stage when:-

- You are developing a new service or policy
- You are reviewing an existing service or policy
- You are proposing a change to an existing service or policy
- You are reviewing a service or policy carried out on behalf of the council or another organisation
- Your service is re-organised.

They should be referenced in your final recommendations on the service changes so that decision makers can reach an informed decision on the service/policy.

An EIA should cover all the social identity characteristics protected by equality legislation – referred to as ‘**protected characteristics**’ or equality strands. These are;

- Sex
- Sexual orientation
- Religion or belief
- Race – this include ethnic or national origins, colour and nationality
- Disability – including carers
- Pregnancy and maternity
- Gender reassignment
- Age
- Marital/civil partnership status

There is a lot of information available to support you in completing this assessment on the EIA pages on the NYCC intranet

The Council must publish your equality impact assessment and a summary will be included on the NYCC website in line with statutory requirements. Please be aware that it will become a public document.

Name of the Directorate and Service Area	Policy, Performance & Partnerships		
Name of the service/policy being assessed	Funding for North Yorkshire Local Involvement Network		
Is this the area being impact assessed a	Policy & its implementation?		Service?
	Function		Initiative? Yes
	Project?		Procedure & its implementation?
Is this an Equality Impact Assessment for a (Note: the Equality Impact Assessment (EIA) is concerned with the policy itself, the procedures or guidelines which control its implementation and the impact on the users)	Existing service or a policy and its implementation?		
	Proposed service or a policy and its implementation?		
	Change to an existing service or a policy and its implementation?		Yes
	Service or Policy carried out by an organisation on behalf of NYCC?		Yes
How will you undertake the EIA? Eg team meetings, working party, project team, individual Officer	Individual officer but in consultation with Assistant Chief Executive.		
Names and roles of people carrying out the Impact Assessment	Bryon Hunter, Scrutiny Team Leader		
Lead Officer and contact details	Bryon Hunter, Scrutiny Team Leader Tel. 01609/532898 Email: bryon.hunter@northyorks.gov.uk		
Date EIA started	4 February 2011		
Date EIA Completed	4 February 2011		
Sign off by Service Head/ Business Unit Head	Gary Fielding, Assistant Chief Executive (Policy, Performance & Partnerships)		
Sign off by Assistant Director (or equivalent)	N/A		

Date of Publication of EIA	7 February 2011
Monitoring and review process for EIA	This will be undertaken as part of the quarterly contract monitoring meetings with the host organisation supporting the LINK.

DRAFT

1. Operating Context

Please consider issues around impacts (positive or negative) raised for **all [protected characteristics](#)** and show your evidence

1.1 Describe the service/policy

What does the service/policy do and how? How would you describe the policy to someone who knows very little about Council Services?

If there is a proposal to change the service or policy, describe what it looks like now and what it is intended to look like in the future. What are the drivers for this proposed change?

Who does it benefit? What are its intended outcomes? Who is affected by the policy? Who is intended to benefit from it and how? Who are the stakeholders? identify those protected characteristics for which this service is likely to have an impact (positive or negative)

Are there any other policies or services which might be linked to this one? Have you reviewed the EIA for these policies/services? What do they tell you about the potential impact?

How will the policy be put into practice? Who is responsible for it?

Under the Local Government and Public Involvement in Health Act 2007 the County Council has a statutory duty to make contractual arrangements with a host organisation to support a Local Involvement Network (LINK) for health and social care on receipt of money from the Secretary of State for Health. In accordance with its contract with the local authority, the host is responsible for the establishment, maintenance and support of a LINK in the local authority area to carry out the following activities:

- promoting and supporting the involvement of people in the commissioning, provision and scrutiny of local health and social care services
- enabling people to monitor and review the commissioning and provision of care services
- obtaining the views of people about their needs for, and their experiences of, local health and social care services
- making their views known to those responsible for commissioning, providing, managing and scrutinising those services.

In March 2008 following a competitive tendering process the County Council awarded a contract to North Bank Forum (NBF) for Voluntary Organisation based in Hull to be the Host to the North Yorkshire LINK. The term of the contract was for three years (2008/09, 2009/10 and 2010/11). The value of the contract was £200k for each of the three years and covered NBF's costs such as staffing, premises and IT equipment and also reimbursing expenses of LINK members.

In 2011/12, the last year of the LINKs initiative, the value of the contract will be £100K. From 31 March 2012 it is anticipated that LINKs will come to an end and a new patient champion,

	HealthWatch, will come into being as per proposals in the Health and Social Care Bill 2011.
<p>1.2 How do people use the policy/service?</p> <p>How is the policy/service delivered? How do people find out about the policy/service? Do they need specialist equipment or information in different formats? How do you meet customer needs through opening times/locations/facilities? Can customers contact your service in different ways? How do you demonstrate that your service/policy is welcoming to all groups within the community?</p> <p>Does the policy/service support customers to access other services? Do you charge for your services? Do these charges affect everyone equally? Do some customers incur greater costs or get 'less for their money'? Are there eligibility criteria for the service/policy?</p> <p>How do you ensure that staff/volunteers delivering the service follow the Council's equality policies? Does the Council deliver this policy in partnership or through contracts with other organisations? How do you monitor that external bodies comply with the Council's equality requirements?</p>	<p>The service provided is one of facilitating people's involvement in health and social care issues and developments locally so that their views can be fed back to commissioners and providers of care.</p> <p>At the time of being awarded the contract to support a LINK in North Yorkshire NBF was able to demonstrate that it complied with relevant Equalities legislation at that time, such as the Sex Discrimination Act 1975 and the Race Relations Act 1976. The organisation now complies with the Equalities Act 2010, for instance in terms of terms of recruitment, premises and community engagement.</p> <p>LINKs are not the only route through which people can get involved and influence commissioners of health and social care. NHS Trusts have a duty to consult and involve patients and public, the County Council carries out regular consultation exercises and there is a vibrant and active community and voluntary sector involved in health and social care issues such as Citizens Advice Bureaux, Age Concern, local patient groups, branches of national organisations such as the Alzheimer's Society. In North Yorkshire many of these organisations are affiliated to Local Infrastructure Organisations (CVSs) and to the North Yorkshire Forum for Voluntary Organisations.</p> <p>As a County Council we have had concerns about the effectiveness of the NY LINK for some time. The County Council's assessment is that the current arrangements appear to have been more focussed on matters of procedure and resolving complaints between members of the LINK than ensuring that the interests and views of health and social care services are championed. This view has been expressed on several occasions yet little progress appears to have been made. It remains the view of the County Council that the NY LINK has not adequately met customer needs and a funding reduction is unlikely to materially affect that position.</p>

2. Understanding the Impact (using both qualitative and quantitative data)

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence

2.1 What information do you use to make sure the service meets the needs of all customers?

What data do we use now? Is it broken down across protected characteristics (and are these categories consistent across all data sets)? How current is the data? Where is it from? Is it relevant?

What engagement work have you already done that can inform this impact assessment? Who did you talk to and how? What are the main findings? Can you analyse the results of this consultation across the protected characteristics? Are there differences in response between different groups? How has this changed the plans for the policy/service?

The number of people who are members of the LINK and how they are involved in its activities is monitored on a quarterly basis.

The role of the County Council is to ensure that the LINK is supported. It is not, however, to closely monitor the day to day work of the LINK; this responsibility rests with NBF and the LINK itself. The LINK produces an annual report and has a plan for its work programme in 2010/11.

2.2 What does the information tell you?

Are there any differences in outcome for different groups e.g. differences in take up rates or satisfaction levels across groups? Does it identify the level of take-up of services by different groups of people? Does it identify how potential changes in demand for services will be tracked over time, and the process for service change?

Please include data and analysis as an appendix

The LINK has produced outputs such as policy advice to commissioners and providers of health and social care and has held various events. Evidence provided to the County Council demonstrates that attendance from the wider public is highly variable at LINK sponsored events. Engagement with commissioners is possible on an on-going basis without any significant expense. It is very difficult to assess the extent to which outcomes have been directly affected by such work.

2.3 Are there areas where we need more information? How could we get this information?

What data is available? Do other directorates, partners or other

As described above, there are various other groups who are involved in health and social care.

There is very little data that has been made available that demonstrates

organisations hold relevant information? Is there relevant information held corporately e.g. compliments and complaints? Are there national datasets that would be useful? Is there relevant census data? Do you need to collect more data? How could you do this?

Do you need to do more engagement work to inform this impact assessment? Have you identified information in other sections of this EIA that you need to assess the impact on different groups of people? What do you want to find out? Which existing mechanisms can you use to get this information?

Please refer to the Community Engagement toolkit on the NYCC intranet

the difference that the NY LINK has made. This EIA addresses the extent to which a reduction in funding for the NY LINK will impact directly upon those who use health and social care, not the extent to which spending reductions per se impact upon those groups.

2.4 How will you monitor progress on your policy/service, or take-up of your service?

What monitoring techniques would be most effective? What performance indicators or targets would be used to monitor the effectiveness of the policy/service? How often does the policy/service need to be reviewed? Who would be responsible for this?

We would seek to monitor:-

- Numbers of people engaging in LINK activity
- Numbers of people joining the LINK
- Views of stakeholders as to the impact and effectiveness of the NY LINK (including commissioners, Scrutiny Committees and the wide voluntary and community sector
- Views of the public (eg JSNA)

3. Assessing the Impact

Please consider issues around impacts (positive or negative) raised for **all protected characteristics** and show your evidence.

3.1 Has an adverse impact been identified for one or more groups?

Has this assessment shown anything in the policy, plan or service that results in (or has the potential for) disadvantage or discrimination towards people of different groups? Which groups?

Do some needs/ priorities 'miss out' because they are a minority not the majority? Is there a better way to provide the service to all sections of the community?

Reduced funding for LINKs will reduce the opportunities for individuals and groups involved in influencing commissioners and providers which in turn could impact on service users which will tend to be people suffering from ill health and the elderly. It should be noted, however, that the NY LINK has not always been effective in this role and a reduction in funding alone is seen as unlikely to make a material difference.

Representing the views of disadvantaged and vulnerable groups is an integral part of the LINK's activities. So whilst in absolute terms funding will be reduced nevertheless the views of these groups will continue to be brought to the attention of commissioners and providers of health and social care – the issue is therefore one of scale rather than a change in the nature of the service.

3.2 How could the policy be changed to remove the impact?

Which options have been considered? What option has been chosen?

There is potential for the LINK to work "smarter" by building up a network of networks and linking in more effectively with existing voluntary and community groups using their consultation mechanisms rather than always seeking to do something separate. Indeed this was the original intention as to how LINK should work in national guidance published in 2007. To date LINK has not placed sufficient emphasis on this way of working.

The Health and Social Care Bill has also indicated that changes are due very shortly to this area of work indicating that current arrangements are not necessarily optimal. There is also a high probability that transition and succession planning detracts from much of the direct purpose of LINKs in the interim.

3.3 Can any adverse impact be justified?

If the adverse impact will remain, can this be justified in relation to the

The County Council's view (taking into account the views of other stakeholders) is that the LINK has struggled to demonstrate effectiveness and value for money.

<p>wider aims of the policy or on the grounds of promoting equality of opportunity for one target group?</p> <p>Please seek legal advice on whether this can be justified.</p>	<p>The funding used to support the LINKs initiative during the first 3 years of the contract (2008/09/, 2009/10 and 2010/11) was part of the Area Based Grant and was not ring fenced. Similarly in 2011/12 funding coming into the DCLG from the DoH has been rolled into general formula grant and subject to cuts and its identity lost – it is no longer specific LINKs funding. Indeed the DCLG has not associated themselves with any attempt to analyse general formula grant into specific elements.</p>
<p>3.4 Are you planning to consult people on the outcome of this impact assessment?</p> <p>When and how will you do this? How will you incorporate your findings into the policy?</p>	<p>This area will be monitored on an on-going basis as part of the monitoring of the contract with the host and will involve consultation with:-</p> <ul style="list-style-type: none"> • Commissioners (including the emerging GP consortia under which people will be more involved in decisions about their care) • Providers • The wider voluntary and community sector and particularly those with direct involvement in health and social care • Overview & Scrutiny Committees • Wider public through refresh of the Joint Strategic Needs Assessment
<p>3.5 How does the service/policy promote equality of opportunity and outcome?</p> <p>Does the new/revised policy/service improve access to services? Are resources focused on addressing differences in outcomes?</p>	<p>As mentioned above there is every opportunity for the LINK to be more effective and to improve its services almost regardless of available budget.</p>
<p style="text-align: center;">Don't forget to transfer any issues you have identified in this section to the Equality Action Plan</p>	

Action Plan

What are you trying to change (outcome)?	Action	Officer responsible	Deadline	Other plans this action is referenced in (e.g. Service Performance Plan, work plan)	Performance monitoring
<p>A more effective organisation that delivers good value for money. Whilst a financial saving is sought, it is anticipated that a reduction in funding will accelerate changes to the way in which the NY LINK works.</p>	<p>1. Budget for NY LINK to be set at £100k for 2011/12. (Proposal consulted with County Councillor Carl Les)</p> <p>2. On-going discussions with NBF to assess effectiveness</p> <p>3. Monitoring views and outcomes of LINK activity by consulting with key stakeholders</p> <p>4. Prepare for revised arrangements (Local Healthwatch) in line with emerging legislation</p>	<p>Bryon Hunter</p>	<p>End of Feb 2011</p> <p>On-going</p> <p>On-going</p> <p>As per legislation</p>		<p>Via the quarterly contract performance monitoring meetings</p>

B Hunter
07 February 2011

**PRUDENTIAL INDICATORS FOR PERIOD 2011/12 to 2013/14
(EXECUTIVE – 1 FEBRUARY 2011)**

CAPITAL EXPENDITURE & EXTERNAL DEBT INDICATORS	Comment																		
<p>1 Estimated Ratio of capital financing costs to the net Revenue Budget</p> <p>(a) <i>Formally Required Indicator</i></p> <p>This reflects capital financing costs (principal plus interest) on external debt less interest earned on the temporary investments of surplus cash balances.</p> <p>The estimated ratios of financing costs to the net Revenue Budget for the current and future years, and the actual figure for 2009/10 are as follows:</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-bottom: 10px;"> <thead> <tr> <th style="text-align: center;">Year</th> <th style="text-align: center;">Executive 24 Aug 2010 Basis %</th> <th style="text-align: center;">Update for 2011/12 Basis %</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">2009/10</td> <td style="text-align: center;">7.8</td> <td style="text-align: center;">actual 7.8</td> </tr> <tr> <td style="text-align: center;">2010/11</td> <td style="text-align: center;">8.2</td> <td style="text-align: center;">probable 8.1</td> </tr> <tr> <td style="text-align: center;">2011/12</td> <td style="text-align: center;">8.7</td> <td style="text-align: center;">estimate 8.8</td> </tr> <tr> <td style="text-align: center;">2012/13</td> <td style="text-align: center;">9.1</td> <td style="text-align: center;">estimate 8.6</td> </tr> <tr> <td style="text-align: center;">2013/14</td> <td style="text-align: center;">na</td> <td style="text-align: center;">estimate 8.1</td> </tr> </tbody> </table>	Year	Executive 24 Aug 2010 Basis %	Update for 2011/12 Basis %	2009/10	7.8	actual 7.8	2010/11	8.2	probable 8.1	2011/12	8.7	estimate 8.8	2012/13	9.1	estimate 8.6	2013/14	na	estimate 8.1	<p>The estimates of financing costs include current Capital Plan commitments based on the latest Capital Plan, and are as reflected in the 2011/12 Revenue Budget and MTFS.</p> <p>The updated Indicator figures up to 2013/14 reflect the net effect of a range of factors, principally</p> <p>(a) All Government capital approvals from 2011/12 being funded from Capital Grants rather than the previous mix of Grants and Borrowing Approvals, as announced on 13 December 2010 as part of the Provisional Local Government Finance settlement for 2011/12 and 2012/13. This reduces annual capital borrowing by about £33m and consequential capital financing costs.</p> <p>(b) Updates to the 'net revenue' budget element of this calculation to reflect the implications of the Provisional Local Government Finance Settlement for 2011/12 and 2012/13. The two significant changes that impact on this figure are:</p> <ul style="list-style-type: none"> • the many former specific grants that have now been rolled into general formula grant which increases the 'net budget requirement' • the grant cuts and consequential reduced 'net revenue budget' resulting from the CSR and Local Government Finance Settlement.
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CAPITAL EXPENDITURE & EXTERNAL DEBT INDICATORS	Comment																																								
<p>(b) <i>Local Indicator</i></p> <p>This Local Indicator reflects a policy decision to cap capital financing costs to 11% of the net annual Revenue Budget. The Indicator is different to the formally required Indicator at (a) above in that it only reflects the cost components of interest on external debt plus lost interest on internally financed capital expenditure, together with a revenue provision for debt repayment. Unlike the formally required PI it does not reflect interest earned on surplus cash balance</p> <table border="1" data-bbox="580 1899 831 2029"> <thead> <tr> <th>Year</th> <th></th> </tr> </thead> <tbody> <tr> <td>2009/10</td> <td>9.0</td> </tr> <tr> <td>2010/11</td> <td>9.4</td> </tr> <tr> <td>2011/12</td> <td>10.1</td> </tr> <tr> <td>2012/13</td> <td>10.7</td> </tr> <tr> <td>2013/14</td> <td>na</td> </tr> </tbody> </table> <table border="1" data-bbox="580 1525 831 1845"> <thead> <tr> <th colspan="2">Executive 24 Aug 2010</th> </tr> <tr> <th>Basis</th> <th>%</th> </tr> </thead> <tbody> <tr> <td>actual</td> <td>9.0</td> </tr> <tr> <td>estimate</td> <td>9.4</td> </tr> <tr> <td>estimate</td> <td>10.1</td> </tr> <tr> <td>estimate</td> <td>10.7</td> </tr> <tr> <td>estimate</td> <td>na</td> </tr> </tbody> </table> <table border="1" data-bbox="580 1133 831 1469"> <thead> <tr> <th colspan="2">Update for 2011/12</th> </tr> <tr> <th>Basis</th> <th>%</th> </tr> </thead> <tbody> <tr> <td>actual</td> <td>9.0</td> </tr> <tr> <td>probable</td> <td>9.4</td> </tr> <tr> <td>estimate</td> <td>9.2</td> </tr> <tr> <td>estimate</td> <td>9.3</td> </tr> <tr> <td>estimate</td> <td>9.1</td> </tr> </tbody> </table>	Year		2009/10	9.0	2010/11	9.4	2011/12	10.1	2012/13	10.7	2013/14	na	Executive 24 Aug 2010		Basis	%	actual	9.0	estimate	9.4	estimate	10.1	estimate	10.7	estimate	na	Update for 2011/12		Basis	%	actual	9.0	probable	9.4	estimate	9.2	estimate	9.3	estimate	9.1	<p>(c) variations in borrowing costs (interest plus a revenue provision for debt repayment) from</p> <ul style="list-style-type: none"> • there being no Government borrowing approvals from 2011/12 ((a) above) • capital expenditure and capital receipts rephasing /slippage • addition of 2013/14 to the Capital Plan • various other refinements and approvals in relation to the Capital Plan • ongoing savings from the premature repayment and subsequent refinancing of external debt (£94.1m) • increased projected borrowing costs (interest rates) resulting from the PWLB pushing up rates as reflected in the CSR on 20 October 2010. <p>(d) reductions in interest earned on surplus cash balances resulting from the continuing current historically low interest rates but offset by continuing higher levels of surplus cash balances (formal indicator only).</p>
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Prudential Indicator	Comment												
<p>2 Estimates of the incremental impact of capital investment decisions on the Council Tax</p> <p>In considering its programme for future capital investment, the County Council is required within the Prudential Code to have regard to:</p> <ul style="list-style-type: none"> ➔ affordability (eg implications for Council Tax) ➔ prudence and sustainability (eg implications for external borrowing) ➔ value for money (eg option appraisal) ➔ stewardship of assets (eg asset management planning) ➔ service objectives (eg strategic planning for the authority) ➔ practicality (eg achievability of the Capital Plan) <p>A key measure of affordability is the incremental impact on Council Tax. The County Council can consider different options for its capital investment programme based on their differential impact on the Council Tax.</p> <p>The estimate of the incremental impact on Council Tax (at Band D) of past capital investment decisions which are reflected in the latest Capital Plan and also in the Revenue Budget for 2011/12, compared with the 2010/11 Council Tax are:</p> <table border="1" data-bbox="1034 1153 1225 1438"> <thead> <tr> <th>Year</th> <th>Executive 24 Aug 2010 Basis £ - p</th> <th>Update for 2011/12 Basis £ - p</th> </tr> </thead> <tbody> <tr> <td>2011/12</td> <td>estimate + 1.44</td> <td>estimate + 2.51</td> </tr> <tr> <td>2012/13</td> <td>estimate + 3.73</td> <td>estimate + 4.77</td> </tr> <tr> <td>2013/14</td> <td>estimate n/a</td> <td>estimate + 6.01</td> </tr> </tbody> </table>	Year	Executive 24 Aug 2010 Basis £ - p	Update for 2011/12 Basis £ - p	2011/12	estimate + 1.44	estimate + 2.51	2012/13	estimate + 3.73	estimate + 4.77	2013/14	estimate n/a	estimate + 6.01	<p>This Indicator shows the incremental impact on Band D Council Tax of the capital financing costs resulting from unsupported prudential borrowing required to fund the forecast Capital Plan. This borrowing includes the funding shortfall of Capital Bids approved by Executive on 3 February 2004, as part of the 10 year Capital Forecast projection, together with a number of subsequent funding approvals. The 10 year Capital Forecast is due to be reviewed during the 2011/12 financial year using a new capital prioritisation methodology.</p> <p>Debt charges resulting from Invest to Save schemes and certain other capital provisions are, however, excluded as these are deemed to be self financed from within Directorate revenue budgets and thus do not impact on Council Tax levels.</p> <p>As indicated above, all debt charges resulting from borrowing approvals issued by the Government are also excluded from this calculation.</p> <p>The updated figures differ from those previously reported as a result of</p> <p>(a) capital training cost variations as a result of new Prudential Borrowing approvals, capital expenditure slippage between years and variations in the cost of borrowing</p> <p>(b) the 2011/12 figures are compared with the 2010/11 Council Tax whereas the previous ones are compared with 2009/10 Council Tax levels</p>
Year	Executive 24 Aug 2010 Basis £ - p	Update for 2011/12 Basis £ - p											
2011/12	estimate + 1.44	estimate + 2.51											
2012/13	estimate + 3.73	estimate + 4.77											
2013/14	estimate n/a	estimate + 6.01											

Prudential Indicator	Comment																		
<p>3 Capital Expenditure - Actual and Forecasts</p> <p>The actual capital expenditure that was incurred in 2009/10 and the estimates of capital expenditure to be incurred for the current and future years are:</p> <table border="1" data-bbox="472 1899 746 2029"> <thead> <tr> <th>Year</th> <th>Executive 24 Aug 2010 Basis £m</th> <th>Update for 2011/12 Basis £m</th> </tr> </thead> <tbody> <tr> <td>2009/10</td> <td>actual 114.9</td> <td>actual 114.9</td> </tr> <tr> <td>2010/11</td> <td>estimate 141.7</td> <td>probable 125.4</td> </tr> <tr> <td>2011/12</td> <td>estimate 114.7</td> <td>estimate 106.1</td> </tr> <tr> <td>2012/13</td> <td>estimate 71.0</td> <td>estimate 82.6</td> </tr> <tr> <td>2013/14</td> <td>estimate n/a</td> <td>estimate 77.3</td> </tr> </tbody> </table> <p>The above estimates and those for certain other Prudential Indicators incorporate a number of figures that are based on:-</p> <ul style="list-style-type: none"> (a) the latest Capital Plan approved by Executive on 16 November 2010 (b) expenditure on fixed assets funded directly from the Revenue Budget and not included in the Capital Plan (c) other known self funded variations (d) identified expenditure slippage between years (e) various other refinements 	Year	Executive 24 Aug 2010 Basis £m	Update for 2011/12 Basis £m	2009/10	actual 114.9	actual 114.9	2010/11	estimate 141.7	probable 125.4	2011/12	estimate 114.7	estimate 106.1	2012/13	estimate 71.0	estimate 82.6	2013/14	estimate n/a	estimate 77.3	<p>The updated figures for 2010/11 to 2013/14 reflect the following significant variations compared with the figures submitted to Executive on 24 August 2010.</p> <ul style="list-style-type: none"> (a) the Government's Capital allocations for the Highways LTP and Education schemes announced as part of the Provisional Local Government Settlement on 13 December 2010 (b) addition of a further year 2013/14 which includes bids approved in 2004 as part of the ten year capital forecast. (c) a number of additional provisions and variations to existing provisions which are self funded from capital grants and contributions and revenue contributions (including the Pending Issues Provision) (d) capital expenditure rephasing between years (e) various other approvals and refinements to the Capital Plan.
Year	Executive 24 Aug 2010 Basis £m	Update for 2011/12 Basis £m																	
2009/10	actual 114.9	actual 114.9																	
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	Prudential Indicator	Comment																																																											
<p>4 Capital Financing Requirement</p> <p>Actuals and estimates of the Capital Financing Requirement (CFR) at the defined year ends are as follows:</p> <table border="1" data-bbox="391 772 821 2072"> <thead> <tr> <th rowspan="2">Date</th> <th colspan="3">Executive 24 Aug 2010</th> <th colspan="3">Update for 2011/12</th> </tr> <tr> <th>Basis</th> <th>Borrowing</th> <th>Other Long Term Liabilities (PFI etc)</th> <th>Total</th> <th>Basis</th> <th>Borrowing</th> <th>Other Long Term Liabilities (PFI etc)</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>31 Mar 10</td> <td>actual</td> <td>380.4</td> <td>5.5</td> <td>385.9</td> <td>actual</td> <td>380.4</td> <td>5.5</td> <td>385.9</td> </tr> <tr> <td>31 Mar 11</td> <td>estimate</td> <td>415.4</td> <td>6.5</td> <td>421.9</td> <td>probable</td> <td>414.5</td> <td>6.5</td> <td>421.0</td> </tr> <tr> <td>31 Mar 12</td> <td>estimate</td> <td>446.4</td> <td>6.3</td> <td>452.7</td> <td>estimate</td> <td>410.0</td> <td>6.2</td> <td>416.2</td> </tr> <tr> <td>31 Mar 13</td> <td>estimate</td> <td>475.5</td> <td>6.0</td> <td>481.5</td> <td>estimate</td> <td>401.7</td> <td>6.0</td> <td>407.7</td> </tr> <tr> <td>31 Mar 14</td> <td>estimate</td> <td>n/a</td> <td>n/a</td> <td>n/a</td> <td>estimate</td> <td>399.7</td> <td>5.8</td> <td>405.5</td> </tr> </tbody> </table> <p>The CFR measures the underlying need for the County Council to borrow for capital purposes. In accordance with best professional practice, the County Council does not earmark borrowing to specific items or types of expenditure. The County Council has an integrated treasury management approach and has adopted the CIPFA Code of Practice for Treasury Management. The County Council has, at any point in time, a number of cashflows, both positive and negative, and manages its treasury position in terms of its overall borrowings and investments in accordance with its approved Annual Treasury Management Strategy. In day to day cash management, no distinction is made between revenue and capital cash. External borrowing arises as a consequence of all the financial transactions of the County Council as a whole and not simply those arising from capital spending. In contrast, the CFR Indicator reflects the County Council's underlying need to borrow for capital purposes only.</p>	Date	Executive 24 Aug 2010			Update for 2011/12			Basis	Borrowing	Other Long Term Liabilities (PFI etc)	Total	Basis	Borrowing	Other Long Term Liabilities (PFI etc)	Total	31 Mar 10	actual	380.4	5.5	385.9	actual	380.4	5.5	385.9	31 Mar 11	estimate	415.4	6.5	421.9	probable	414.5	6.5	421.0	31 Mar 12	estimate	446.4	6.3	452.7	estimate	410.0	6.2	416.2	31 Mar 13	estimate	475.5	6.0	481.5	estimate	401.7	6.0	407.7	31 Mar 14	estimate	n/a	n/a	n/a	estimate	399.7	5.8	405.5	<p>The updated figures recommended for approval as part of the 2011/12 Budget process reflect the following main variations compared with the previous figures approved by the Executive on 24 August 2010.</p> <p>(a) the estimates for the years after 31 March 2011 are noticeably lower than previously reported. The main reason for this is the implications of all Government Capital approvals from 2011/12 now being in the form of Capital Grants rather than the previous mix of grants and borrowing approvals. This has the impact of reducing annual Capital borrowing requirements (and consequential debt levels) by about £33m – the previous level of annual Supported Borrowing approvals.</p> <p>(b) Other factors reflected in this latest update include</p> <ul style="list-style-type: none"> capital expenditure re-phasing between years that is funded from borrowing a significant level of capital receipts re-phasing between years (including Company Loan repayments) that affects year on year borrowing requirements addition of 2013/14 for forecast new Prudential borrowing for bids previously agreed various other approvals and refinements that impact on annual capital borrowing requirements.
Date		Executive 24 Aug 2010			Update for 2011/12																																																								
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Prudential Indicator	Comment																		
<p>5 Net Borrowing Requirement</p> <p>The revised Prudential Code issued in 2009 emphasises that in order to ensure that over the medium term net borrowing will only be for a capital purpose, the County Council should ensure that net external borrowing does not, except in the short term, exceed the total of the capital financing requirement in the preceding year, plus the estimate of any additional capital financing requirement for the current and next two financial years.</p> <p>This Prudential Indicator is referred to as net borrowing requirement and its comparison with the capital financing requirement is a key indicator of prudence.</p> <p>For transparency purposes this net borrowing requirement is therefore now being reported separately to Members for the first time with the figures being compared as described in the first paragraph above, with the Capital Financing Requirement figures shown at Indicator 4 above.</p> <table border="1" data-bbox="842 1848 1118 2016"> <thead> <tr> <th>Date</th> <th>Executive 24 Aug 2010 Basis</th> <th>Update for 2011/12 Basis</th> </tr> </thead> <tbody> <tr> <td>31 Mar 10</td> <td>248.0</td> <td>actual 248.0</td> </tr> <tr> <td>31 Mar 11</td> <td>299.2</td> <td>probable 295.1</td> </tr> <tr> <td>31 Mar 12</td> <td>342.9</td> <td>estimate 311.2</td> </tr> <tr> <td>31 Mar 13</td> <td>384.1</td> <td>estimate 307.6</td> </tr> <tr> <td>31 Mar 14</td> <td>n/a</td> <td>estimate 308.9</td> </tr> </tbody> </table> <p>The Corporate Director – Finance and Central Services has previously reported that the County Council had no difficulty in meeting this requirement up to 2009/10 nor are any difficulties envisaged for the current or future years of the Medium Term Financial Strategy. This opinion takes into account spending commitments, existing and proposed Capital Plans and the proposals in the separate Revenue Budget 2011/12 and Medium Term Financial Strategy report.</p>	Date	Executive 24 Aug 2010 Basis	Update for 2011/12 Basis	31 Mar 10	248.0	actual 248.0	31 Mar 11	299.2	probable 295.1	31 Mar 12	342.9	estimate 311.2	31 Mar 13	384.1	estimate 307.6	31 Mar 14	n/a	estimate 308.9	<p>These net borrowing figures (external borrowing net of investments) are significantly below the Capital Financing Requirement (CFR) figures shown in Indicator 4 for three main reasons:</p> <ul style="list-style-type: none"> (a) a significant level of investments (surplus cash balances – core cash plus cash flow generated). (b) internally funded capital expenditure which is included in the CFR (this is covered in more detail in paragraphs 8.4 to 8.12 of the Annual Treasury Management and Investment Strategy). (c) other long term liabilities (PFI and finance leases) being reflected in the CFR from 2009/10 onwards (IFRS related) but not included in this definition of net borrowing. <p>The Prudential Code requires that where there is a significant difference between the net borrowing figure and the gross borrowing requirement, as demonstrated by the CFR, then the risks and benefits associated with this strategy should be clearly stated in the annual Treasury Management Strategy. This is covered in paragraphs 8.4 to 8.12 of the Annual Treasury Management and Investment Strategy.</p> <p>The updated figures differ from those previously approved on 24 August 2010 as a result of:</p> <ul style="list-style-type: none"> (a) refinements which are also common to the Capital Financing Requirement (see Indicator 4) (b) the current high level of cash balances available for investment being forecast to reduce in future years
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	Prudential Indicator	Comment																																																
<p>6 Authorised Limit for External Debt</p> <p>In respect of external debt, it is recommended that the County Council specifically approves the following Authorised Limits for its total external debt for the next three financial years.</p> <p>The Prudential Code requires external borrowing and other long term liabilities to be identified separately.</p> <p>The authorised limit for 2011/12 will be the statutory limit determined under section 3(1) of the Local Government Act 2003.</p> <table border="1" data-bbox="628 1921 951 2072"> <thead> <tr> <th>Year</th> <th colspan="3">Executive 24 Aug 2010</th> <th colspan="3">Update for 2011/12</th> </tr> <tr> <th></th> <th>External Borrowing</th> <th>Other Long Term Liabilities</th> <th>Total Borrowing Limit</th> <th>External Borrowing</th> <th>Other Long Term Liabilities</th> <th>Total Borrowing Limit</th> </tr> <tr> <th></th> <th>£m</th> <th>£m</th> <th>£m</th> <th>£m</th> <th>£m</th> <th>£m</th> </tr> </thead> <tbody> <tr> <td>2010/11</td> <td>458.8</td> <td>6.5</td> <td>465.3</td> <td>450.3</td> <td>6.5</td> <td>456.8</td> </tr> <tr> <td>2011/12</td> <td>499.1</td> <td>6.3</td> <td>505.4</td> <td>460.4</td> <td>6.2</td> <td>466.6</td> </tr> <tr> <td>2012/13</td> <td>531.4</td> <td>6.0</td> <td>537.4</td> <td>457.3</td> <td>6.0</td> <td>463.3</td> </tr> <tr> <td>2013/14</td> <td>n/a</td> <td>n/a</td> <td>n/a</td> <td>437.4</td> <td>5.8</td> <td>443.2</td> </tr> </tbody> </table>	Year	Executive 24 Aug 2010			Update for 2011/12				External Borrowing	Other Long Term Liabilities	Total Borrowing Limit	External Borrowing	Other Long Term Liabilities	Total Borrowing Limit		£m	£m	£m	£m	£m	£m	2010/11	458.8	6.5	465.3	450.3	6.5	456.8	2011/12	499.1	6.3	505.4	460.4	6.2	466.6	2012/13	531.4	6.0	537.4	457.3	6.0	463.3	2013/14	n/a	n/a	n/a	437.4	5.8	443.2	<p>The Corporate Director - Finance and Central Services confirms that these authorised limits are consistent with the County Council's current commitments, existing Capital Plan and the financing thereof, the proposals in the respective 2011/12 Revenue Budget and Medium Term Financial Strategy, and with its approved Treasury Management Policy Statement.</p> <p>The Corporate Director - Finance and Central Services also confirms that the limits are based on the estimate of the most likely, prudent, but not worst case, scenario with sufficient headroom over and above this to allow for operational issues (eg unusual cash movements). To derive these limits a risk analysis has been applied to the Capital Plan, estimates of the capital financing requirement and estimates of cashflow requirements for all purposes.</p> <p>The updated figures reflect a number of refinements which are common to the Capital Financing Requirement (see Indicator 4 above) and Operational Boundary for External Debt (see Indicator 7). Explanations for these changes are provided under Indicators 4 and 7 respectively.</p> <p>The most significant factor reflected in this update which results in the figures reducing year on year in future is the removal of Government Supported Borrowing approvals from 2011/12 (see item (b) for Indicator 4)</p>
Year	Executive 24 Aug 2010			Update for 2011/12																																														
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Prudential Indicator		Comment																																									
7	<p>Operational Boundary for External Debt</p> <p>It is recommended that the County Council approves the following Operational Boundary for external debt for the same period.</p> <p>The proposed operational boundary for external debt is based on the same estimates as the Authorised Limit (ie Indicator 6 above) but reflects an estimate of the most likely prudent, but not worst case, scenario without the additional headroom included within the Authorised Limit (to allow for eg unusual cash flows).</p> <table border="1"> <thead> <tr> <th rowspan="2">Year</th> <th colspan="3">Executive 24 Aug 2010</th> <th colspan="3">Update for 2011/12</th> </tr> <tr> <th>External Borrowing</th> <th>Other Long Term Liabilities</th> <th>Total Borrowing</th> <th>External Borrowing</th> <th>Other Long Term Liabilities</th> <th>Total Borrowing Limit</th> </tr> </thead> <tbody> <tr> <td>2010/11</td> <td>£m 438.8</td> <td>£m 6.5</td> <td>£m 445.3</td> <td>£m 430.3</td> <td>£m 6.5</td> <td>£m 436.8</td> </tr> <tr> <td>2011/12</td> <td>479.1</td> <td>6.3</td> <td>485.4</td> <td>440.4</td> <td>6.2</td> <td>446.6</td> </tr> <tr> <td>2012/13</td> <td>511.4</td> <td>6.0</td> <td>517.4</td> <td>437.3</td> <td>6.0</td> <td>443.3</td> </tr> <tr> <td>2013/14</td> <td>n/a</td> <td>n/a</td> <td>n/a</td> <td>417.4</td> <td>5.8</td> <td>423.2</td> </tr> </tbody> </table>	Year	Executive 24 Aug 2010			Update for 2011/12			External Borrowing	Other Long Term Liabilities	Total Borrowing	External Borrowing	Other Long Term Liabilities	Total Borrowing Limit	2010/11	£m 438.8	£m 6.5	£m 445.3	£m 430.3	£m 6.5	£m 436.8	2011/12	479.1	6.3	485.4	440.4	6.2	446.6	2012/13	511.4	6.0	517.4	437.3	6.0	443.3	2013/14	n/a	n/a	n/a	417.4	5.8	423.2	<p>The Operational Boundary represents a key management tool for the in year monitoring of external debt by the Corporate Director - Finance and Central Services.</p> <p>The updated figures reflect refinements which are common to the Capital Financing Requirement (see Indicator 4 above) together with</p> <p>(a) relative levels of capital expenditure funded from surplus internal cash balances rather than taking external debt</p> <p>(b) loan repayment cover arrangements and the timing of such arrangements</p> <p>These two financing transactions affect external debt levels at any one point of time during the financial year but do not impact on the Capital Financing requirement.</p> <p>As described under Indicator 4 – comment (b), the most significant factor reflected in this update which results in the figures reducing year on year in future is the removal of Government Supported Borrowing Approvals from 2011/12.</p>
Year	Executive 24 Aug 2010			Update for 2011/12																																							
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Prudential Indicator		Comment																																																												
<p>8 Actual External Debt</p>	<p>The County Council's actual external debt is set out below and consists of external borrowing plus other long term liabilities such as PFI and finance leases which are classified as external debt for this purpose.</p> <table border="1" data-bbox="402 564 798 2016"> <thead> <tr> <th rowspan="2">Year</th> <th colspan="3">Executive 24 Aug 2010</th> <th colspan="3">Update for 2011/12</th> </tr> <tr> <th>Basis</th> <th>Borrowing £m</th> <th>Other Long Term Liabilities (PFI etc) £m</th> <th>Total £m</th> <th>Basis</th> <th>Borrowing £m</th> <th>Other Long Term Liabilities (PFI etc) £m</th> <th>Total £m</th> </tr> </thead> <tbody> <tr> <td>31 March 2010</td> <td>actual</td> <td>323.9</td> <td>5.5</td> <td>329.4</td> <td>actual</td> <td>323.9</td> <td>5.5</td> <td>329.4</td> </tr> <tr> <td>31 March 2011</td> <td>estimate</td> <td>405.0</td> <td>6.5</td> <td>411.5</td> <td>probable</td> <td>401.5</td> <td>6.5</td> <td>408.0</td> </tr> <tr> <td>31 March 2012</td> <td>estimate</td> <td>435.8</td> <td>6.3</td> <td>442.1</td> <td>estimate</td> <td>397.0</td> <td>6.2</td> <td>403.2</td> </tr> <tr> <td>31 March 2013</td> <td>estimate</td> <td>464.7</td> <td>6.0</td> <td>470.7</td> <td>estimate</td> <td>390.6</td> <td>6.0</td> <td>396.6</td> </tr> <tr> <td>31 March 2014</td> <td>estimate</td> <td>n/a</td> <td>n/a</td> <td>n/a</td> <td>estimate</td> <td>391.9</td> <td>5.8</td> <td>397.7</td> </tr> </tbody> </table> <p>It should be noted that actual external debt is not directly comparable to the Authorised Limit (Indicator 6 above) and operational boundary (Indicator 7 above) since the actual external debt reflects a position at one point in time (ie at the end of each financial year).</p>	Year	Executive 24 Aug 2010			Update for 2011/12			Basis	Borrowing £m	Other Long Term Liabilities (PFI etc) £m	Total £m	Basis	Borrowing £m	Other Long Term Liabilities (PFI etc) £m	Total £m	31 March 2010	actual	323.9	5.5	329.4	actual	323.9	5.5	329.4	31 March 2011	estimate	405.0	6.5	411.5	probable	401.5	6.5	408.0	31 March 2012	estimate	435.8	6.3	442.1	estimate	397.0	6.2	403.2	31 March 2013	estimate	464.7	6.0	470.7	estimate	390.6	6.0	396.6	31 March 2014	estimate	n/a	n/a	n/a	estimate	391.9	5.8	397.7	<p>The move to International Financial Reporting Standards (IFRS) involves PFI contracts (from 2009/10) and some leases (being classified as finance leases instead of operating leases from 2010/11) coming onto local authority balance sheets as long term liabilities. These items are therefore now being regarded as 'external debt' for Prudential Indicator purposes.</p> <p>The updated estimates reflect refinements which are common to the Capital Financing Requirement (see indicator 4 above), together with the relative levels of capital expenditure internally funded from cash balance rather than taking external debt.</p>
Year	Executive 24 Aug 2010			Update for 2011/12																																																										
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31 March 2013	estimate	464.7	6.0	470.7	estimate	390.6	6.0	396.6																																																						
31 March 2014	estimate	n/a	n/a	n/a	estimate	391.9	5.8	397.7																																																						
<p>9 Limit of Money Market Loans (Local Indicator)</p>	<p>Borrowing from the money market for capital purposes is to be limited to 30% of the County Council's total external debt outstanding at any one point in time.</p> <p>The actual position at 31 March 2010 was 6% against the upper limit of 30%</p>	<p>This limit was introduced as a new Local Prudential Indicator in 2009/10, although the 30% limit has featured as part of the Borrowing Policy section of the Annual Treasury Management and Investment Strategy for several years.</p>																																																												

Prudential Indicator	Comment																														
TREASURY MANAGEMENT INDICATORS																															
<p>10 Adoption of CIPFA Code of Practice for Treasury Management</p>	<p>The County Council originally formally adopted the CIPFA Code of Practice for Treasury Management in the Public Service at its meeting on 15 May 2002 and subsequently adopted the revised 2009 Code on 17 February 2010.</p>																														
<p>11 Interest Rate Exposures</p> <p>In accordance with the Code of Practice the County Council sets upper and lower limits on its fixed and variable interest rate exposures as a percentage of outstanding principals sums for 2011/12, 2012/13 and 2013/14 as set out below –</p> <table border="1" data-bbox="699 1034 1093 2101"> <thead> <tr> <th></th> <th>Lower %</th> <th>Upper %</th> </tr> </thead> <tbody> <tr> <td>Borrowing</td> <td></td> <td></td> </tr> <tr> <td>- Fixed</td> <td>60</td> <td>100</td> </tr> <tr> <td>- Variable</td> <td>0</td> <td>40</td> </tr> <tr> <td>Investments</td> <td></td> <td></td> </tr> <tr> <td>- Fixed</td> <td>0</td> <td>30</td> </tr> <tr> <td>- Variable</td> <td>70</td> <td>100</td> </tr> <tr> <td>Combined Net Borrowing and Investments</td> <td></td> <td></td> </tr> <tr> <td>- Fixed</td> <td>110</td> <td>150</td> </tr> <tr> <td>- Variable</td> <td>- 10</td> <td>- 50</td> </tr> </tbody> </table>		Lower %	Upper %	Borrowing			- Fixed	60	100	- Variable	0	40	Investments			- Fixed	0	30	- Variable	70	100	Combined Net Borrowing and Investments			- Fixed	110	150	- Variable	- 10	- 50	<p>No changes are being proposed to these limits for 2011/12.</p> <p>This means that the Corporate Director – Finance and Central Services, will</p> <p>for borrowing manage fixed interest rate exposure within the range 60% to 100% of outstanding principal and variable interest rate exposure within the range 0% to 40% of outstanding principal</p> <p>for investments will manage fixed interest rate exposure within the range 0% to 30% of outstanding principal and variable rate exposure within the range 70% to 100% of outstanding principal. The split of investments between fixed and variable rates is based on the market convention that investments up to 365 days are regarded as being at variable rates.</p> <p>The combined net borrowing and investment position represents the formal Prudential Indicator for Interest Rate Exposures. On its own however it does not show clearly how borrowing and investments will be managed, hence the two separate 'local indicators' shown above.</p>
	Lower %	Upper %																													
Borrowing																															
- Fixed	60	100																													
- Variable	0	40																													
Investments																															
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- Variable	- 10	- 50																													

Prudential Indicator	Comment																																								
<p>12 Maturity Structure of Borrowing</p> <p>In accordance with the Code of Practice, the County Council sets upper and lower limits for the maturity structure of County Council borrowings as follows -</p> <p>The amount of projected borrowing maturing in each period as a percentage of total projected borrowing that is fixed rate:</p> <table border="1" data-bbox="564 1070 1007 2011"> <thead> <tr> <th>Period</th> <th>Lower Limit %</th> <th>Upper Limit %</th> <th>Memo item - actual at 1 April 09 %</th> <th>actual at 1 April 10 %</th> </tr> </thead> <tbody> <tr> <td>under 12 months</td> <td>0</td> <td>50</td> <td>4</td> <td>4</td> </tr> <tr> <td>12 months & within 24 months</td> <td>0</td> <td>15</td> <td>4</td> <td>7</td> </tr> <tr> <td>24 months & within 5 years</td> <td>0</td> <td>45</td> <td>17</td> <td>16</td> </tr> <tr> <td>5 years & within 10 years</td> <td>0</td> <td>75</td> <td>5</td> <td>13</td> </tr> <tr> <td>10 years & within 25 years</td> <td>10</td> <td>100</td> <td>19</td> <td>18</td> </tr> <tr> <td>25 years & within 50 years</td> <td>10</td> <td>100</td> <td>51</td> <td>42</td> </tr> <tr> <td></td> <td></td> <td></td> <td>100</td> <td>100</td> </tr> </tbody> </table>	Period	Lower Limit %	Upper Limit %	Memo item - actual at 1 April 09 %	actual at 1 April 10 %	under 12 months	0	50	4	4	12 months & within 24 months	0	15	4	7	24 months & within 5 years	0	45	17	16	5 years & within 10 years	0	75	5	13	10 years & within 25 years	10	100	19	18	25 years & within 50 years	10	100	51	42				100	100	<p>No changes to these limits approved by Executive on 2 February 2010 and reconfirmed on 24 August 2010 are proposed.</p> <p>The lower limits of 10% for the periods 10 to 25 years and 25 to 50 years is designed to ensure that the County Council does not have the risk of having to repay all debt within a ten year period.</p>
Period	Lower Limit %	Upper Limit %	Memo item - actual at 1 April 09 %	actual at 1 April 10 %																																					
under 12 months	0	50	4	4																																					
12 months & within 24 months	0	15	4	7																																					
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5 years & within 10 years	0	75	5	13																																					
10 years & within 25 years	10	100	19	18																																					
25 years & within 50 years	10	100	51	42																																					
			100	100																																					

Prudential Indicator	Comment
<p>13 Total Principal Sums Invested for periods longer than 364 days</p> <p>The 2010/11 aggregate limit of £12m for 'non specified' investments longer than 364 days is based on a maximum of 20% of 'core cash funds' being made available for such investments.</p> <p>As a result of forecast reductions in core cash funds (reserves, provisions and balances etc) over the next three years, however, the current £12m limit is likely to exceed the 20% maximum level previously agreed. However, given the overall forecasts for cash balances over the next three years, the need for liquidity and day to day cash flow requirements, it is still forecast that £12m can be prudently committed to longer term investments over 365 days.</p> <p>The purpose of this prudential limit for principal sums invested for longer than 364 days is for the County Council to contain its exposure to the possibility of loss that might arise as a result of its having to seek early repayment or redemption of principal sums invested.</p>	<p>The maximum sum of £12m proposed for investments longer than 364 days is the same as for 2010/11.</p> <p>The County Council currently has no such investments that fall into this category.</p> <p>Prior to 1 April 2004, regulations generally prevented local authorities from investing for longer than 365 days. As a result of the new Prudential Regime however, these prescriptive regulations were abolished and replaced with Government Guidance from April 2004.</p> <p>This Guidance gives authorities more freedom in their choice of investments (including investing for periods longer than 364 days) and recognises that a potentially higher return can be achieved by taking a higher (ie longer term) risk.</p> <p>The new flexibility requires authorities to produce an Annual Investment Strategy that classifies investments as either Specified (liquid, secure, high credit rating & less than 365 days) or Non Specified (other investments of a higher risk). Non Specified investments are perfectly allowable but the criteria and risks involved must be vigorously assessed, including professional advice, where appropriate. Therefore investments for 365 days+ are now allowable as a Non Specified investment under Government Guidance. The use of such investments is therefore now incorporated into the County Council's Annual Treasury Management and Investment Strategy.</p> <p>The original Government Investment Guidance issued in 2004 was updated from 1 April 2010 with the required changes being incorporated into the County Council's Annual Treasury Management and Investment Strategy from 2010/11.</p>

NORTH YORKSHIRE COUNTY COUNCIL

TREASURY MANAGEMENT POLICY STATEMENT

1.0 BACKGROUND

- 1.1 The County Council has adopted the **CIPFA Code of Practice on Treasury Management in the Public Services** as updated in 2009. This Code sets out a framework of operating procedures to reduce treasury risk and improve understanding and accountability regarding the Treasury position of the County Council.
- 1.2 The CIPFA Code of Practice on Treasury Management requires the County Council to adopt the following four clauses of intent:
- (a) the County Council will create and maintain as the cornerstone for effective Treasury Management
 - (i) a strategic **Treasury Management Policy Statement** (TMPS) stating the County Council's policies, objectives and approach to risk management of its treasury management activities
 - (ii) a framework of suitable **Treasury Management Practices** (TMPs) setting out the manner in which the County Council will seek to achieve those policies and objectives, and prescribing how it will manage and control those activities. The Code recommends 12 TMPs
 - (b) the County Council (full Council and/or Executive) will receive reports on its Treasury Management policies, practices and activities including, as a minimum, an annual strategy and plan in advance of the year, a mid year review and an annual report after its close, in the form prescribed in the TMPs
 - (c) the County Council delegates responsibility for the implementation and regular monitoring of its Treasury Management policies and practices to the Executive and for the execution and administration of Treasury Management decisions to the Corporate Director – Finance and Central Services who will act in accordance with the Council's TMPS, TMPs, as well as CIPFA's Standard of Professional Practice on Treasury Management
 - (d) the County Council nominates the Audit Committee to be responsible for ensuring effective scrutiny of the Treasury Management Strategy and Policies
- 1.3 The **CIPFA Prudential Code for Capital Finance in Local Authorities** (updated in 2009) and the terms of the **Local Government Act 2003**, together with 'statutory' Government Guidance, establish further requirements in relation to treasury management matters, namely
- (a) the approval, on an annual basis, of a set of **Prudential Indicators**

- (b) the approval, on an annual basis, of an **Annual Treasury Management Strategy**, an **Annual Investment Strategy**, and an annual **Minimum Revenue Provision (MRP)** policy statement with an associated requirement that each is monitored on a regular basis with a provision to report as necessary both in-year and at the financial year end

1.4 This current Treasury Management Policy Statement (TMPS) was approved by County Council on 17 February 2010.

2.0 **TREASURY MANAGEMENT POLICY STATEMENT (TMPS)**

2.1 Based on the requirements detailed in **paragraph 1.2 (a) (i)** above a TMPS stating the County Council's policies and objectives of its treasury management activities is set out below.

2.2 The County Council defines the policies and objectives of its treasury management activities as follows:

- (a) treasury management is the management of the County Council's investments and cash flows, its banking, money market and capital market transactions, the effective control of the risks associated with those activities, and the pursuit of optimum performance consistent with those risks
- (b) the successful identification, monitoring and control of risk will be the prime criteria by which the effectiveness of the treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications for the County Council
- (c) effective treasury management will provide support towards the achievement of the business and service objectives of the County Council as expressed in the Council Plan. The County Council is committed to the principles of achieving best value in treasury management, and to employing suitable comprehensive performance measurement techniques, within the context of effective risk management

2.3 As emphasised in the revised 2009 Treasury Management Code of Practice, responsibility for risk management and control of Treasury Management activities lies wholly with the County Council and all officers involved in Treasury Management activities are explicitly required to follow Treasury Management policies and procedures.

3.0 **TREASURY MANAGEMENT PRACTICES (TMPs)**

3.1 As referred to in **paragraph 1.2 (a) (ii)** above the CIPFA Code of Practice on Treasury Management requires a framework of Treasury Management Practices (TMPs) which:

- (a) set out the manner in which the County Council will seek to achieve the policies and objectives set out in **paragraph 2.2** above; and
- (b) prescribe how the County Council will manage and control those activities

3.2 The CIPFA Code of Practice recommends 12 TMPs. These were originally approved by Members on 23 March 2004 and have recently been updated in the light of new Codes from CIPFA and Statutory Guidance from the Government. The updated documents will be submitted to Members early in 2011/12.

3.3 A list of the 12 TMPs is as follows:

- TMP 1 Risk management
- TMP 2 Performance measurement
- TMP 3 Decision-making and analysis
- TMP 4 Approved instruments, methods and techniques
- TMP 5 Organisation, clarity and segregation of responsibilities, and dealing arrangements
- TMP 6 Reporting requirements and management information arrangements
- TMP 7 Budgeting, accounting and audit arrangements
- TMP 8 Cash and cash flow management
- TMP 9 Money Laundering
- TMP 10 Training and qualifications
- TMP 11 Use of external service providers
- TMP 12 Corporate governance

4.0 PRUDENTIAL INDICATORS

4.1 The Local Government Act 2003 underpins the Capital Finance system introduced on 1 April 2004 and requires the County Council to “have regard to” the **CIPFA Prudential Code for Capital Finance in Local Authorities**. This Code, as revised in 2009, requires the County Council to set a range of Prudential Indicators for the next three years

- (a) as part of the annual Budget process, and
- (b) before the start of the financial year

to ensure that capital spending plans are affordable, prudent and sustainable.

4.2 The Prudential Code also requires appropriate arrangements to be in place for the monitoring, reporting and revision of Prudential Indicators previously set. These arrangements were agreed by the County Council on 18 February 2004.

4.3 The required Prudential Indicators are as follows

- Estimated ratio of capital financing costs to the Net Revenue Budget
- Estimates of the incremental impact of capital investment decisions on the Council Tax
- Capital Expenditure - Actual and Forecasts
- Capital Financing Requirement
- Net Borrowing Requirement
- Authorised Limit for External Debt
- Operational Boundary for External Debt
- Actual External Debt
- Adoption of the CIPFA Code of Practice for Treasury Management
- Interest Rate Exposures
- Maturity Structure of Borrowing
- Total Principal Sums Invested for periods longer than 364 days

4.4 The County Council will approve the Prudential Indicators for a further three year period alongside the annual Revenue Budget/Medium Term Financial Strategy at its February meeting each year.

4.5 In addition to the above formally required Prudential Indicators, the County Council has also set two local ones as follows:

- (a) a policy decision to cap Capital Financing costs to 11% of the net annual revenue budget; and
- (b) a 30% limit on money market borrowing as opposed to borrowing from the Public Works Loan Board.

5.0 **ANNUAL TREASURY MANAGEMENT AND INVESTMENT STRATEGY**

5.1 A further implication of the Local Government Act 2003 is the requirement for the County Council to set out its Treasury Management Strategy for borrowing and to approve an Annual Investment Strategy (which sets out the County Council's policies for managing its investments and for giving priority to the security and liquidity of those investments).

5.2 The Government's guidance on Annual Investment Strategies, updated in 2009, states that authorities can combine the Treasury Management Strategy Statement and Annual Investment Strategy into one report. The County Council has adopted this combined approach.

5.3 Further statutory Government guidance was issued in February 2008 and updated in November 2009 in relation to an authority's charge to Revenue each year for debt repayment. A Minimum Revenue Provision (MRP) policy statement must be prepared each year and submitted to the full Council for approval before the start of the financial year.

5.4 The County Council's Annual Treasury Management and Investment Strategy will therefore cover the following matters:

- treasury limits in force which will limit the treasury risk and activities of the County Council
- Prudential Indicators
- the current treasury position
- the Borrowing Requirement and Borrowing Limits
- Borrowing Policy
- prospects for interest rates
- Borrowing Strategy
- capping of capital financing costs
- review of long term debt
- Minimum Revenue Provision Policy
- Annual Investment Strategy
- other treasury management issues
- arrangements for monitoring / reporting to Members

5.5 The County Council will approve this combined Annual Strategy alongside the annual Revenue Budget/Medium Term Financial Strategy at its February meeting each year.

6.0 **REVIEW OF THIS POLICY STATEMENT**

6.1 Under Financial Procedure Rule 15, the Corporate Director – Finance and Central Services is required to periodically review this Policy Statement and all associated documentation. A review of this Statement, together with the associated annual strategies, will therefore be undertaken annually as part of the Revenue Budget process, together with a mid year review as part of the Quarterly Treasury Management reporting process and at such other times during the financial year as considered necessary by the Corporate Director – Finance and Central Services.

Approved by County Council 17 February 2010

NORTH YORKSHIRE COUNTY COUNCIL

ANNUAL TREASURY MANAGEMENT AND INVESTMENT STRATEGY 2011/12

1.0 INTRODUCTION

1.1 Treasury Management is defined as

“The management of the County Council’s investments and cash flows, its banking, money market and capital market transactions, the effective control of the risks associated with those activities, and the pursuit of optimum performance consistent with those risks”.

1.2 The Local Government Act 2003, and supporting regulations, require the County Council to have regard to the CIPFA Prudential Code and the CIPFA Treasury Management Code of Practice to set Prudential and Treasury Indicators for the next three years to ensure that the County Council’s capital investment plans are affordable, prudent and sustainable.

1.3 The Act therefore requires the County Council to set out its **Annual Treasury Management Strategy** for borrowing and to prepare an **Annual Investment Strategy** (as required by Investment Guidance issued subsequent to the Act) which sets out the County Council’s policies for managing its investments and for giving priority to the security and liquidity of those investments. For practical purposes these two strategies are combined in this document.

1.4 This Strategy document for 2011/12 therefore covers the following

- Treasury Limits in force which will limit the treasury risk and activities of the County Council (**paragraph 2**)
- Prudential and Treasury Indicators (**paragraph 3**)
- current treasury position (**paragraph 4**)
- Borrowing Requirement and Borrowing Limits (**paragraph 5**)
- Borrowing Policy (**paragraph 6**)
- prospects for interest rates (**paragraph 7**)
- Borrowing Strategy (**paragraph 8**)
- capping of capital financing costs (**paragraph 9**)
- review of long term debt and debt rescheduling (**paragraph 10**)
- Minimum Revenue Provision Policy (**paragraph 11**)
- Annual Investment Strategy (**paragraph 12**)
- other treasury management issues (**paragraph 13**)
- arrangements for monitoring/reporting to Members (**paragraph 14**)

- summary of key elements of this Strategy (**paragraph 15**)
- Specified Investments (**Schedule A**)
- Non-Specified Investments (**Schedule B**)
- Approved Lending List (**Schedule C**)
- Approved Countries for Investments (**Schedule D**)

1.5 It is a statutory requirement under Section 33 of the Local Government Finance Act 1992, for the County Council to produce a balanced Annual Revenue Budget. In particular, Section 32 requires a local authority to calculate its Budget requirement for each financial year to include the revenue costs that flow from capital financing decisions. This means that increases in capital expenditure must be limited to a level whereby additional charges to the Revenue Budget arising from:-

- (a) increases in interest and principal charges caused by increased borrowing to finance additional capital expenditure, and/or
- (b) any increases in running costs from new capital projects are affordable within the projected revenue income of the County Council for the foreseeable future.

1.6 These issues are addressed and the necessary assurances provided by the Section 151 officer (the Corporate Director – Finance and Central Services) in the 2011/12 Revenue Budget and Medium Term Financial Strategy report considered by the Executive on 1 February 2011 and approved by the County Council on 16 February 2011.

1.7 This Strategy document was approved by the County Council on 16 February 2011.

2.0 **TREASURY LIMITS FOR 2011/12 TO 2013/14**

2.1 It is a statutory duty under Section 3 of the Local Government Act 2003 and supporting regulations for the County Council to determine and keep under review how much it can afford to borrow. The amount so determined is termed the **Affordable Borrowing Limit**.

2.2 The County Council must have regard to the Prudential Code when setting the Affordable Borrowing Limit, which essentially requires it to ensure that total capital investment remains within sustainable limits and, in particular, that the impact upon future Council Tax levels is acceptable. In practice, it is equivalent to the Authorised Limit as defined for the Prudential Indicators (therefore see **paragraph 3** below).

2.3 Whilst termed an Affordable Borrowing Limit, the spending plans to be considered for inclusion incorporate financing by both external borrowing and other forms of liability such as credit arrangements. The Affordable Borrowing Limit has to be set on a rolling basis for the forthcoming financial year and two successive financial years.

3.0 PRUDENTIAL AND TREASURY INDICATORS FOR 2011/12 TO 2013/14

- 3.1 A separate Report incorporating an updated set of Prudential Indicators for the three year period to 31 March 2014, as required by the CIPFA Prudential Code for Capital Finance in Local Authorities, was also approved by the County Council on 16 February 2011.
- 3.2 These Prudential Indicators include a number relating to external debt and treasury management that are appropriately incorporated into this Annual Treasury Management Strategy for 2011/12.
- 3.3 Full details of the Prudential Indicators listed below are contained in the separate **Revision of Prudential Indicators** report referred to in **paragraph 3.1** above.
- 3.4 The following Prudential Indicators are relevant for the purposes of setting an integrated Annual Treasury Management Strategy.

(a) **Estimated ratio of capital financing costs to the Net Revenue Budget**

- (i) formally required indicator net of interest earned

2009/10 actual	7.8%
2010/11 probable	8.1%
2011/12 estimate	8.8%
2012/13 estimate	8.6%
2013/14 estimate	8.1%

- (ii) Local Indicator capping capital financing costs to 11% of the annual Net Revenue Budget

2009/10 actual	9.0%
2010/11 probable	9.4%
2011/12 estimate	9.2%
2012/13 estimate	9.3%
2013/14 estimate	9.1%

(b) **Estimates of the incremental impact of capital investment decisions on the Council Tax requirement**

For a Band D Council Tax	
	£ p
2011/12 estimate	+2.51
2012/13 estimate	+4.77
2013/14 estimate	+6.01

(c) **Capital Expenditure - Actual and Forecasts**

	£m
2009/10 actual	114.9
2010/11 probable	125.4
2011/12 estimate	106.1
2012/13 estimate	82.6
2013/14 estimate	77.3

(d) **Capital Financing Requirement (as at 31 March)**

	Borrowing £m	Other Long Term Liabilities £m	Total £m
31 March 2010 actual	380.4	5.5	385.9
31 March 2011 probable	414.5	6.5	421.0
31 March 2012 estimate	410.0	6.2	416.2
31 March 2013 estimate	401.7	6.0	407.7
31 March 2014 estimate	399.7	5.8	405.5

(e) **Net Borrowing Requirement** (external borrowing net of investments)

	£m
As at 31 March 2010 actual	248.0
As at 31 March 2011 probable	295.1
As at 31 March 2012 estimate	311.2
As at 31 March 2013 estimate	307.6
As at 31 March 2014 estimate	308.9

(f) **Authorised Limit for external debt**

	External Borrowing £m	Other Long Term Liabilities £m	Total Borrowing Limit £m
2010/11	450.3	6.5	456.8
2011/12	460.4	6.2	466.6
2012/13	457.3	6.0	463.3
2013/14	437.4	5.8	443.2

(g) **Operational Boundary for external debt**

	External Borrowing £m	Other Long Term Liabilities £m	Total Borrowing £m
2010/11	430.3	6.5	436.8
2011/12	440.4	6.2	446.6
2012/13	437.3	6.0	443.3
2013/14	417.4	5.8	423.2

(h) **Actual External Debt**

	Borrowing £m	Other Long Term Liabilities £m	Total £m
at 31 March 2010 actual	323.9	5.5	329.4
at 31 March 2011 probable	401.5	6.5	408.0
at 31 March 2012 estimate	397.0	6.2	403.2
at 31 March 2013 estimate	390.6	6.0	396.6
at 31 March 2014 estimate	391.9	5.8	397.7

(i) **Limit of Money Market Loans** (Local Indicator)

Borrowing from the money market for capital purposes is to be limited to 30% of the County Council's total external debt outstanding at any one point in time.

(j) **Adoption of CIPFA Code of Practice for Treasury Management in the Public Services**

The County Council agreed to adopt the original Code at its meeting on 15 May 2002 with the updated Code issued in November 2009 being adopted on 17 February 2010.

(k) **Interest Rate exposures**

	%age of outstanding principal sums
Borrowing	
Limits on fixed interest rate exposures	60 to 100
Limits on variable interest rate exposures	0 to 40
Investing	
Limits on fixed interest rate exposures	0 to 30
Limits on variable interest rate exposures	70 to 100
Combined net borrowing/investment position	
Limits on fixed interest rate exposures	110 to 150
Limits on variable interest rate exposures	-10 to -50

(l) **Maturity Structure of borrowing**

The amount of projected borrowing maturing in each period as a percentage of total projected borrowing that is fixed rate.

	Lower Limit	Upper Limit
	%	%
under 12 months	0	50
12 months and within 24 months	0	15
24 months and within 5 years	0	45
5 years and within 10 years	0	75
10 years and within 25 years	10	100
25 years and within 50 years	10	100

(m) **Total principal sums invested for periods longer than 364 days**

Based on estimated levels of funds and balances over the next three years, the need for liquidity and day-to-day cash flow requirements, it is forecast that a maximum of £12m of 'core cash funds' available for investment can be held in aggregate in Non-Specified Investments over 364 days.

4.0 **CURRENT TREASURY POSITION**

4.1 The County Council's treasury portfolio position at 31 March 2010 consisted of:

Item	Principal £m	Average Rate at 31 March 2010 %
Debt Outstanding		
Fixed Rate funding		
PWLB	303.9	4.97
Variable Rate funding		
Market LOBO's	20.0	3.95
Total Debt Outstanding	323.9	4.91
Investments		
Managed in house	103.9	1.23

5.0 **BORROWING REQUIREMENT AND BORROWING LIMITS**

5.1 The County Council's annual borrowing requirement consists of the capital financing requirement plus replacement borrowing for debt repaid less a prudent Minimum Revenue Provision charged to revenue for debt payment. These borrowing requirements are set out below.

Year	Basis	£m	Comment
2009/10	actual	70.0	This is the actual sum borrowed in 2009/10. Total requirement was £118m (£94.1m prematurely repaid debt and £23.9m in year requirement) with £48m being rolled forward to 2010/11
2010/11	probable	86.4	includes £48m borrowing rolled over from 2009/10 (£24.1m premature repaid debt plus £23.9m 2009/10 borrowing requirement)
2011/12	estimate	18.9	} see paragraphs 5.7 and 5.8
2012/13	estimate	20.3	
2013/14	estimate	6.8	

- 5.2 The Prudential Indicators set out in **paragraph 3.4** above include an Authorised Limit and Operational Boundary for external debt for each of the three years to 2013/14. These figures are referenced at **paragraphs 3.4(f) and 3.4(g)** respectively of this Strategy.
- 5.3 The **Operational Boundary** reflects an estimate of the most likely, prudent but not worst case scenario of external debt during the course of the financial year. The **Authorised Limit** is based on the same estimate as the **Operational Boundary** but allows sufficient headroom (£20m) over this figure to allow for unusual cash movements.
- 5.4 The **Authorised Limit** therefore represents the maximum amount of external debt which the County Council approves can be incurred at any time during the financial year and includes both capital and revenue requirements. It is not, however, expected that the County Council will have to borrow up to the Limit agreed.

5.5 The agreed **Operational Boundary** and **Authorised Limits** for external debt up to 2013/14 are derived as follows:

Item	2010/11 probable £m	2011/12 estimate £m	2012/13 estimate £m	2013/14 estimate £m
Debt outstanding at start of year				
PWLB	303.9	} 401.5	} 397.0	} 390.6
Other Institutions	20.0			
Sub-total	323.9	401.5	397.0	390.6
+ External borrowing requirements				
Capital financing requirement	49.1	11.7	7.9	13.9
Replacement borrowing	8.8	23.4	26.7	5.5
MRP charged to Revenue etc	-15.3	-16.4	-16.3	-16.2
Borrowing rolled over from 2009/10	48.0	0	0	0
Internally funded variations	-4.2	0.2	2.0	3.6
Sub-total	86.4	18.9	20.3	6.8
- External debt repayment	-8.8	-23.4	-26.7	-5.5
= Forecast debt outstanding at end of year	401.5	397.0	390.6	391.9
+ Other 'IFRS' long term liabilities which are regarded as debt outstanding for Pls				
PFI	5.3	5.1	4.9	4.7
Leases	1.2	1.1	1.1	1.1
= Total debt outstanding including 'other long term liabilities'	408.0	403.2	396.6	397.7
+ Provision for				
Debt rescheduling	15.0	15.0	15.0	15.0
Potential capital receipts slippage	5.0	5.0	5.0	5.0
New borrowing taking place before principal repayments made	8.8	23.4	26.7	5.5
= Operational Boundary for year	436.8	446.6	443.3	423.2
+ Provision to cover unusual cash movements	20.0	20.0	20.0	20.0
= Authorised Limit for year	456.8	466.6	463.3	443.2

5.6 Therefore the 2011/12 Limits are as follows:

	£m
Operational Boundary for external debt	446.6
+ provision to cover unusual cash movements during the year	20.0
= Authorised Limit for 2011/12	466.6

- 5.7 The future annual borrowing requirements reported in the tables in **paragraphs 5.1 and 5.5** above (£18.9m in 2011/12, £20.3m in 2012/13 and £6.8m in 2013/14) are much lower than previous forecasts of about £50m per annum. This is because the 2011/12 Provisional Local Government Finance Settlement announcement on 13 December 2010 reflected all Government Capital approvals from 2011/12 being funded from Capital Grants rather than the previous mix of grants and borrowing approvals.
- 5.8 The change has significant implications on the County Council's future Treasury Management operations and consequential Prudential Indicators in terms of
- reduced annual borrowing requirement and consequential debt levels from 2011/12 by about £33m per annum, which was the approximate total of such borrowing approvals in recent years
 - the potential for the annual Minimum Revenue Provision (MRP) for debt repayment in the year resulting in a net debt repayment required with potential early repayments penalties (premiums)
 - reduced capital financing costs (interest + MRP) which have been built into the 2011/12 Revenue Budget/MTFS
 - significant impact on many Prudential Indicators

6.0 **BORROWING POLICY**

- 6.1 The policy of the County Council for the financing of capital expenditure is set out in Treasury Management Practice Note 3 which supports the Treasury Management Policy Statement.
- 6.2 In practical terms the policy is to finance capital expenditure by borrowing from the Public Works Loan Board (over periods up to 50 years) or the money markets (over periods up to 70 years) whichever reflects the best possible value to the County Council. Individual loans are taken out over varying periods depending on the perceived relative value of interest rates at the time of borrowing need and to avoid a distorted loan repayment profile; individual loans are not linked to the cost of specific capital assets or their useful life span. Decisions to borrow are made in consultation with the County Council's Treasury Management Advisor (Sector).
- 6.3 Access to PWLB loans since 1 April 2004 is based on the Prudential Indicators and approved 'borrowing requirements' of individual authorities. Loans from the PWLB have previously been very competitive with other forms of borrowing as they reflect prices on the gilt market for Government securities. They become less competitive however after 20 October 2010 following the Chancellor announcing the Government's spending review actions and ambitions which included asking the PWLB to increase the margin above the Government's cost of borrowing to an average of 1% with immediate effect. Borrowing costs from the PWLB thus rose by about 0.7% across all periods.

- 6.4 In addition to the PWLB the County Council can borrow from the money market (principally banks and building societies) and the financial instrument generally used for this purpose is a LOBO (Lender Option, Borrower Option). Such loans feature an initial fixed interest period followed by a specified series of calls when the lender has the option to request an interest rate increase. The borrower then has the option of repaying the loan (at no penalty) or accepting the higher rate.
- 6.5 The time period for LOBO borrowing by the County Council was increased to a maximum of 70 years (from 50 years) as part of the 2008/09 Strategy update. In reality borrowing for 70 years is little different to taking a 50 year loan. The risk of taking such long period loans is that the County Council could potentially be locked into paying current interest rates on a loan for up to 70 years which would be disadvantageous if medium/long term rates subsequently fell below current rates at some point in the future. In practice, however, it is highly unlikely that such loans would ever run the full period because at some point interest rates are likely to rise above the fixed rate agreed at which point the lender would request an increase and the County Council would have the option of repaying the loan.
- 6.6 Borrowing from the money market for capital purposes is limited to 30% of the County Council's total external debt outstanding at any one point in time (per **Prudential Indicator 9**).
- 6.7 The County Council will always look to borrow from the PWLB and money markets at the most advantageous rate. The Corporate Director – Finance and Central Services will monitor this situation closely throughout the year to determine whether at any stage, money market loans are more appropriate and advantageous to the County Council than PWLB loans.
- 6.8 At present all County Council long term borrowing is from the PWLB or via equally advantageous money market loans. However some short term money market borrowing may take place during the financial year in order to take advantage of low interest rates or to facilitate any debt restructuring exercise (see **paragraph 10** below).
- 6.9 Depending on the relationship between short term variable interest rates and the fixed term PWLB or LOBO rates for longer periods, some capital expenditure may be financed by short term borrowing from either the County Council's revenue cash balances or outside sources (see **paragraphs 8.4 to 8.12**).

Policy on borrowing in advance of need

- 6.10 The Prudential Code allows external 'borrowing for capital purposes' in advance of need within the constraints of relevant approved Prudential Indicators. Thus taking estimated capital borrowing requirements up to 31 March 2014 any time after 1 April 2011 is allowable under the Prudential Code. There are risks, however, in such borrowing in advance of need and the County Council has not taken any such borrowing to date and there are no current plans to do so. Furthermore the County Council will not borrow more than or in advance of its needs purely in order to profit from the investment back into the market of the extra sums borrowed.

6.11 Any decision to borrow in advance of need will only be considered where there is a clear business case for doing so for the current Capital Plan or to finance future debt maturity repayments, value for money can be demonstrated and the County Council can ensure the security of such funds which are subsequently invested.

6.12 Thus in any future consideration of whether borrowing will be undertaken in advance of need the County Council will:

- ensure that there is a clear link between the Capital Plan and maturity of the existing debt portfolio which supports the need to take funding in advance of need
- ensure the ongoing revenue liabilities created, and the implications for the future plans and budgets have been considered
- evaluate the economic and market factors that might influence the manner and timing of any decision to borrow
- consider the merits and demerits of alternative forms of funding
- consider the alternative interest rate bases available, the most appropriate periods to fund and repayment profiles to use.
- consider the impact of borrowing in advance on temporarily (until required to finance capital expenditure) increasing investment cash balances and the consequent increase in exposure to counter party risk and other risks, and the level of such risks given the controls in place to minimise them.

7.0 PROSPECTS FOR INTEREST RATES

7.1 Whilst recognising the continuing volatility and turbulence in the financial markets, the following paragraphs present a pragmatic and measured assessment of key economic factors as they are likely to impact on interest rates over the next three years.

7.2 In terms of the key economic background and forecasts, looking ahead the current position is as follows:

(a) Global Economy background

- the sovereign debt crisis peaked in May 2010 prompted, in the first place, by major concerns over the size of the Greek government's total debt and annual deficit. However, any default or write down of Greek debt would have substantial impact on other countries, in particular, Portugal, Spain and Ireland. This crisis culminated in the EU and IMF putting together a €750bn support package in mid May.

- a second crisis, this time over Ireland, in late 2010 resulted in the Irish Government accepting a £85bn rescue package from the EU and IMF. As part of this package the Irish Government has produced a detailed programme of tax rises and spending cuts over the next four years. The Irish Government has also affirmed its intention to restructure its banking system, left with huge debts following the collapse of the country's property market. The three rating agencies have all downgraded their Sovereign Rating for Ireland over the past year.
- in January 2011 there is major concern that Portugal will also shortly need to take a bail out. That in turn would then stoke major concerns as to whether the current size of the bail out facility put together by the EU and IMF would be big enough to cope with any crisis that then blew up over Spanish Government debt.
- the unexpectedly high rate of growth in the June and September quarters of 2010 in the UK and the Euro zone in Q2 were driven by strong growth in the construction sector catching up from inclement weather earlier in the year and by other short term factors not expected to be enduring. Preliminary growth figures for the December quarter showed the economy contracting by 0.5%.
- general expectations are for a flat (but not negative) growth in 2011 in the western world.

(b) UK economy background

- following the General Election in May 2010, the Coalition Government has put in place an austerity plan to reduce the public sector deficit over the next five years. The inevitable result of fiscal contraction on the scale proposed will be major job losses during this period, in particular in public sector services. This will have a knock on effect on consumer and business confidence and appears to have also hit the housing market as house prices started on a negative trend in mid-2010. Mortgage approvals are also at very weak levels and declining, all of which indicates that the housing market is likely to be weak in 2011.
- **Economic Growth** – GDP growth is likely to have peaked in the current period of recovery at 1.2% in the June quarter of 2010. Growth in the September quarter at +0.7% was also unexpectedly high. After these two positive quarters, preliminary growth figures for the December quarter were somewhat of a surprise showing the economy contracting by 0.5%. The outlook is for flat growth in 2011/12 although the Bank of England and the Office for Budget Responsibility are forecasting near trend growth (2.5%) – this is above what most forecasters are currently expecting.
- **Unemployment** – the trend of falling unemployment (on the benefit claimant count) has now been replaced since July 2010 with small increases which are likely to be the start of a new trend for some years ahead of rising unemployment.
- **Inflation and Bank Rate** – CPI has remained high during 2010. Reaching 3.7% in April it then gradually declined to 3.1% in September (RPI 4.6%). However, the outlook from there is a rising trend (3.3% in November and

3.7% in December) which could reach 4% in early 2011 before starting to subside again. Although inflation has remained stubbornly above the MPC's 2% target, the MPC is confident that inflation will fall back under the target over the next two years.

- The Bank of England finished its programme of quantitative easing (QE) with a total of £200bn in November 2009. Market expectations that there could be a second round of QE in late 2010 or early 2011, to help support economic growth, have evaporated after the surprises of the September quarter GDP figure of +0.7% and the November Inflation Report revising the forecast for short term inflation sharply upwards.
- a common view is that there is unlikely to be any increase in Bank Rate until the end of 2011.
- **AAA rating** – prior to the General Election, credit rating agencies had been issuing repeated warnings that unless there was a major fiscal contraction, then the AAA sovereign rating of the UK was at significant risk of being downgraded. Sterling was also under major pressure during the first half of the year. However, after the Chancellor's budget on 22 June, Sterling strengthened against the US dollar and confidence has returned that the UK will retain its AAA rating. In addition, international investors now view UK government gilts as being a safe haven from EU government debt. The consequent increase in demand for gilts helped to add downward pressure on gilt yields and PWLB rates.

(c) A forward view

- it is currently difficult to have confidence as to exactly how strong the UK economic growth is likely to be during 2011/12, and there are a range of views in the financial market. There are huge uncertainties in all forecasts due to the major difficulties of forecasting the following areas:
 - ➔ the strength / weakness of economic recovery in the UK's major trading partners - the US and EU
 - ➔ the danger of a currency war and resort to protectionism and tariff barriers if China does not address the issue of its huge trade surplus due to its undervalued currency
 - ➔ the degree to which Government austerity programmes will dampen economic growth and undermine consumer confidence
 - ➔ changes in the consumer savings ratio
 - ➔ the speed of rebalancing of the UK economy towards exporting and substituting imports
 - ➔ the potential in the US for more quantitative easing, and the timing of this, and its subsequent reversal in both the US and UK
 - ➔ the speed of recovery of banks' profitability and balance sheet imbalances and the consequent implications for the availability of credit to borrowers
 - ➔ the potential for a major EU sovereign debt crisis which could have a significant impact on financial markets and the global and UK economy

→ political risks in the Middle East and Korea

- the overall balance of risks is therefore weighted to the downside and there is some risk of a double dip recession and slowdown in the recovery, creating a downward spiral of falling demand, falling jobs and falling prices, although this is currently viewed as being a small risk.
- it is forecast that the longer run trend is for gilt yields and PWLB rates to rise due to the high volume of gilt issuance in the UK, and the high volume of debt issuance in other major western countries.

7.3 The County Council has appointed Sector Treasury Services as its treasury management advisor and part of their service is to assist in formulating a view on interest rates. By drawing together a number of current city forecasts for short term (Bank rate) and longer fixed interest rates a consensus view for bank rate and PWLB borrowing rates is as follows:-

	Bank Rate %	5 year PWLB %	10 year PWLB %	25 year PWLB %	50 year PWLB %
Current	0.50	3.55	4.79	5.44	5.39
Mar 2011	0.50	3.30	4.40	5.20	5.20
June 2011	0.50	3.30	4.40	5.20	5.20
Sept 2011	0.50	3.40	4.40	5.20	5.20
Dec 2011	0.75	3.50	4.50	5.30	5.30
Mar 2012	1.00	3.60	4.70	5.30	5.30
June 2012	1.25	3.80	4.80	5.40	5.40
Sept 2012	1.50	3.90	4.90	5.40	5.40
Dec 2012	1.75	4.10	5.00	5.40	5.40
Mar 2013	2.25	4.30	5.10	5.50	5.50
June 2013	2.75	4.60	5.20	5.50	5.50
Sept 2013	3.00	4.80	5.30	5.60	5.60
Dec 2013	3.25	4.90	5.40	5.70	5.70
Mar 2014	3.25	5.00	5.40	5.70	5.70

7.4 Thus based on **paragraphs 7.2 and 7.3** above

Bank Rate

- will remain 0.5% until Q3 (December 2011) but with forecast improved economic recovery there will then be a small increase to 0.75%
- it will then continue to rise along with economic recovery reaching 1% at March 2012, 2.25% at March 2013 and 3.25% by March 2014

- there is a downside to these forecasts if recovery from the recession proves to be weaker and slower than expected

PWLB Rates

- PWLB rates are forecast to rise gradually throughout the next three years in all the periods as follows:

Period	March 2011 %	March 2014 %	Increase %
5 years	3.30	5.00	1.70
10 years	4.40	5.50	1.10
25 years	5.20	5.70	0.50
50 years	5.20	5.70	0.50

8.0 BORROWING STRATEGY

8.1 Based on the interest rate forecast outlined in **paragraph 7** above, there is a range of potential options available for the Borrowing Strategy for 2011/12. Consideration will therefore be given to the following:

- the cheapest borrowing will be internal borrowing by running down cash balances and foregoing interest earned at historically low rates (see **paragraphs 8.4 to 8.12**). However in view of the overall forecast for long term borrowing rates to increase over the next few years, consideration will also be given to weighting the short term advantage of internal borrowing against potential long term costs if the opportunity is missed for taking market loans at long term rates which will be higher in future years.
- variable rate borrowing for PWLB loans for up to 10 years is expected to be cheaper than long fixed term borrowing and will therefore be attractive throughout the year compared to simply taking long fixed term rate borrowing.
- long term fixed market loans at rates significantly below PWLB rates for the equivalent maturity period (where available) and to maintaining an appropriate balance between PWLB and market debt in the debt portfolio.
- PWLB borrowing for periods under 10 years where rates are expected to be significantly lower than rates for longer periods. This offers a range of options for new borrowing which will spread debt maturities away from a concentration in longer dated debt. The downside of such shorter term borrowing is the loss of long term stability in interest payments that longer term fixed interest rate borrowing provides.
- consideration will be given to PWLB borrowing by annuity and Equal Instalments of Principal (EIP) in addition to maturity loans, which have been preferred in recent years.
- rates are expected to gradually increase during the year so it should therefore be advantageous to time new borrowing towards the start of the year.

(g) consideration will also be given to borrowing fixed rate market loans at 0.25% to 0.5% below the PWLB target rates, subject to maintaining an appropriate balance between PWLB and market debt in the debt portfolio.

8.2 Based on the PWLB rates set out in **paragraphs 7.3 and 7.4**, suitable trigger rates for considering new fixed rate PWLB or equivalent money market borrowing will be:

	%
– 5 year period	3.3
– 10 year period	4.4
– 25 year period	5.2
– 50 year period	5.2

The aim however will be to secure loans at rates below these levels if available.

8.3 The forecast rates and trigger points for new borrowing will be continually reviewed in the light of movements in the slope of the yield curve, the spread between PWLB new borrowing and early repayment rates, and any further changes that the PWLB may introduce to their lending policy and operations.

External -v- internal borrowing

8.4 The County Council's net borrowing figures (external borrowing net of investments) are significantly below the defined Capital Financing Requirements (CFR) because of two main reasons

(a) a significant level of investments (surplus cash borrowing – core cash plus cash flow generated) (**paragraph 8.7**)

(b) internally funded capital expenditure (**paragraph 8.5**).

The relative figures are shown in **paragraphs 3.4 (d) and 3.4 (e)** of this report and covered in more detail in Prudential Indicators 4 and 5 in the separate Prudential Indicators report.

8.5 Such internal borrowing stood at £57.7m at 31 March 2010, principally as a result of prematurely repaying £94.1m PWLB debt during 2008/09 and 2009/10 and not borrowing during the year to fund any of the 2009/10 capital borrowing requirement. This £57.7m will however be significantly reduced by 31 March 2011 as a result of £75m borrowed from the PWLB during 2010/11.

8.6 The County Council continues to examine the potential for undertaking further early repayment of some external debt in order to reduce the difference between the gross and net debt position. However the introduction by the PWLB of significantly lower repayment rates than new borrowing rates in November 2007 which has now been compounded since 20 October 2010 by a considerable further widening of the difference between new borrowing and repayment rates, has meant that large premiums would be incurred by such actions which could not be justified on value for money grounds. This situation will be monitored closely in case the differential is narrowed by the PWLB at some future dates.

- 8.7 This internal capital borrowing option is possible because of the County Council's surplus cash balance with the daily average being £137m in 2009/10. This consisted of cash flow generated (creditors etc), core cash (reserves balances and provisions etc) and cash managed on behalf of other organisations. Consideration does therefore need to be given to the potential merits of internal borrowing.
- 8.8 As 2011/12 is expected to continue as a year of historically low bank interest rates, this extends the current opportunity for the County Council fundamentally to review its strategy of undertaking new external borrowing.
- 8.9 Over the next three years investment rates are expected to be below long term borrowing rates. A value for money consideration would therefore indicate that value could be obtained by avoiding/delaying some or all new external borrowing and by using internal cash balances to finance new capital expenditure or to replace maturing external debt. This would maximise short term savings but is not risk free.
- 8.10 The use of such internal borrowing, which runs down investments, also has the benefit of reducing exposure to low interest rates on investments, and the credit risk of counterparties.
- 8.11 In considering this option however, two significant risks to take into account are
- (a) the implications of day to day cash flow constraints, and
 - (b) short term savings by avoiding/delaying new long external borrowing in 2011/12 must be weighed against the loss of longer term interest rate stability. Thus there is the potential for incurring long term extra costs by delaying unavoidable new external borrowing until later years by which time PWLB long term rates are forecast to be significantly higher.
- 8.12 **The general strategy for this “Internal Capital Financing” strategy will therefore be to continue to actively consider and pursue this approach on an ongoing basis in order to reduce the difference between the gross and net debts levels (paragraph 8.4) together with achieving short term savings and reduce the credit risk incurred by holding investments.** However measures taken in the last year or so have already substantially reduced the level of credit risk so a significant factor which will be considered carefully is the difference between borrowing rates and investment rates (both current and future forecasts) to ensure the County Council obtains value for money once an appropriate level of risk management has been attained to ensure the security of investments.

Overall Approach to Borrowing in 2011/12

- 8.13 Given the market conditions, economic background and interest rate forecasts set out in **paragraphs 7.1 to 7.4** above, caution will be paramount within the County Council's 2011/12 Treasury Management operations. The Corporate Director – Finance and Central Services will monitor the interest rate market closely and adopt a pragmatic approach to changing circumstances – any key strategic decision that deviates from the Borrowing Strategy outlined above will be reported to the Executive at the next available opportunity.

Sensitivity of the Strategy

- 8.14 In normal circumstances the main sensitivities of the Strategy are likely to be the two scenarios below. The Corporate Director - Finance and Central Services will, in conjunction with the County Council's Treasury Management Advisor, continually monitor both the prevailing interest rates and the market forecasts, adopting the following responses to a significant change of market view:
- (a) *if it is felt that there was a significant risk of a sharp fall in both long and short term rates, (eg due to a marked increase of risks around the relapse into recession or of risks of deflation), then long term borrowing will be postponed, and potential rescheduling from fixed rate funding into short term borrowing will be considered.*
 - (b) *if it were felt that there was a significant risk of a much sharper rise in long and short term rates than that currently forecast (perhaps arising from a greater than expected increase in world economic activity or a sudden increase in inflation risks), then the portfolio position will be reappraised with the likely action that fixed rate funding will be taken whilst interest rates are still relatively cheap.*
- 8.15 As mentioned, however, in **paragraphs 8.4 to 8.12**, consideration will be given to delaying external borrowing in 2011/12 and funding part or even all of the year's borrowing requirement from internal sources (ie running down the investment of surplus cash balances). This has the potential for achieving short term revenue savings in 2011/12 and also has the benefit of reducing investment exposure to credit risk.

9.0 CAPPING OF CAPITAL FINANCING COSTS

- 9.1 During the preparation of the Revenue Budget/Medium Term Financial Strategy 2008/09 concerns were expressed about the possible ongoing impact on the annual Net Revenue Budget of capital expenditure generated either by government borrowing approvals or approved locally under the Prudential Borrowing regime.
- 9.2 As a result Members approved a local policy to cap capital financing charges as a proportion of the annual Net Revenue Budget. This cap was set at 11% which accommodated existing Capital Plan requirements and will act as a regulator if Members are considering expanding the Capital Plan using Prudential Borrowing. Members do of course have the ability to review the cap at any time but this would have to be done in the light of its explicit impact on the Revenue Budget/Medium Term Financial Strategy.
- 9.3 The relationship between levels of capital expenditure and the consequential capital financing costs that they generate is demonstrated in the following table.

Year	Forecast Annual Net Budget (ANB) £m	Budgeted Capital Financing Costs £m	Costs as a %age of ANB %	1% of ANB £m	Potential Capital Spend from 1% on ANB £m
	(a)	(b)	(c)	(d)	(e)
2010/11	350.0	32.8	9.4	3.5	} 39.0
2011/12	368.6	34.0	9.2	3.7	
2012/13	364.0	33.7	9.3	3.6	
2013/14	368.4	33.4	9.1	3.7	

(b÷a) (a/100)

9.4 The above table reflects the following

- an updated 'forecast annual net budget' element of this calculation to reflect the implications of the Provisional Local Government Finance Settlement for 2011/12 and 2012/13. Two significant changes are the many former specific grants that have now been rolled into general formula grant and have the effect of increasing the 'net budget requirement' and grant cuts which result in a reduced 'net revenue budget'.
- significantly reduced borrowing requirements and consequential reduced capital financing costs resulting from all future Government capital approvals being funded from grants rather than the previous mix of grant and supported borrowing approvals (**paragraphs 5.7 and 5.8**)
- budgeted capital financing costs include interest on external debt plus lost interest earned on internally financed capital expenditure, together with a prudent minimum revenue provision for debt repayment

9.5 In addition to showing explicitly the direct link between the level of capital spend and impact on the Revenue Budget to date, the table also includes an estimate of the impact that planned levels of future capital expenditure (based on the current Capital Plan) will have on the proportion of the Annual Revenue Budget that will be required to meet the consequential capital financing costs (see **column (c)**).

9.6 The table also shows, at **column (e)**, how much additional capital spend a 1% increase in the annual Budget (**column (d)**) will support.

9.7 On the basis of the above table, the 11% cap set in 2008/09 is being retained for the 2011/12 Revenue Budget and MTFs up to 2013/14.

10.0 REVIEW OF LONG TERM DEBT AND DEBT RESCHEDULING

- 10.1 The long term debt of the County Council is under continuous review.
- 10.2 Discussions with the County Council's Treasury Management Advisor about the long term financing strategy are ongoing and any debt rescheduling opportunity will be fully explored.
- 10.3 The introduction by the PWLB in 2007 of a spread between the rates applied to new borrowing and repayment of debt, which has now been compounded since 20 October 2010 by a considerable further widening of the difference between new borrowing and repayment rates, has meant that PWLB to PWLB debt restructuring is now much less attractive than it was before both of these events. In particular, consideration would have to be given to the large premiums which would be incurred by prematurely repaying existing PWLB loans and it is very unlikely that these could be justified on value for money grounds if using replacement PWLB refinancing. However, some interest savings might still be achievable through using LOBO (Lenders Option Borrowers Option) loans and other market loans, in rescheduling exercises rather than using PWLB borrowing as the source of replacement financing. An issue in relation to such PWLB/LOBO rescheduling however is that only a proportion of the County Council's debt portfolio should consist of money market loans (30% of total debt outstanding – see **paragraph 6.6**) which limits the extent of such rescheduling. Also unlike PWLB loans which can be rescheduled at regular intervals, once a LOBO loan has been taken, future rescheduling opportunities are more limited.
- 10.4 Due to short term borrowing rates being expected to be considerably cheaper than longer term rates throughout 2011/12, there may be potential for some opportunities to generate savings by switching from long term debt to short term debt. However, these savings will need to be considered in the light of the size of the premiums incurred, their short term nature and the likely costs of refinancing those short term loans once they mature, compared to the current rates of longer term debt in the existing debt portfolio. Any such rescheduling and repayment of debt will contribute towards a flattening of the debt maturity profile as in recent years there has been a skew towards longer dated PWLB and Money Market LOBO loans.
- 10.5 Consideration will also be given to identify if there is any residual potential left for making savings by running down investment balances by repaying debt prematurely as short term rates on investments are likely to be lower than rates paid on currently held debt. However, this will need careful consideration in light of the debt repayment premiums that may be incurred by such a course of action and other financial considerations.
- 10.6 The reasons for undertaking any rescheduling will include:
- (a) the generation of cash savings at minimum risk
 - (b) in order to help fulfil the Borrowing Strategy outlined in **paragraph 8** above, and
 - (c) in order to enhance the balance of the long term portfolio (ie amend the maturity profile and/or the balance of volatility)

- 10.7 Members will appreciate that with long term debt forecast to be £398m by the end of 2011/12 (see **paragraph 5.5**) and with an annual interest cost (net) to the Revenue Budget of about £18m the savings or additional costs, attached to even a small interest rate variation can be significant. To put this into context for every 0.1% that the interest rate can be reduced it saves £0.4m on interest charges in the Revenue Budget. Any proposals to restructure debt or change the policy laid out earlier in this Strategy, therefore demand careful attention. Any debt rescheduling will, however, be in accordance with the Borrowing Strategy position outlined in **paragraph 8** above.
- 10.8 No new debt rescheduling activities have been undertaken by the County Council in 2010/11 although the subsequent refinancing of debt repaid prematurely in 2009/10 has taken place. Full details of this activity will be reported in the Annual Treasury Management Outturn report.
- 10.9 The rescheduling of debt involves the early repayment of existing debt and its replacement with new borrowing. This can result in one-off costs or benefits called, respectively, premiums and discounts. These occur where the rate of the loan repaid varies from comparative current rates. Where the interest rate of the loan to be repaid is higher than the current rates, a premium is charged by the PWLB for repayment. Where the interest rate of the loan to be repaid is lower than the current rate, a discount on repayment is paid by the PWLB.
- 11.0 MINIMUM REVENUE PROVISION (MRP) POLICY STATEMENT 2011/12**
- 11.1 The statutory requirement for local authorities to charge the Revenue Account each year with a specific sum for debt repayment was replaced in February 2008 with more flexible statutory guidance which came into effect from 2008/09.
- 11.2 The new, and simpler, statutory duty (Statutory Instrument 2008) is that a local authority shall determine for the financial year an amount of minimum revenue provision (MRP) that it considers to be prudent. This replaces the previous prescriptive requirement that the minimum sum should be 4% of the Capital Financing Requirement (CFR); the CFR consists of external debt plus capital expenditure financed by borrowing from internal sources (surplus cash balances).
- 11.3 To support the statutory duty the Government also issued fresh guidance in February 2008 which requires that a Statement on the County Council's policy for its annual MRP should be submitted to the full Council for approval before the start of the financial year to which the provision will relate. The County Council are therefore legally obliged to have regard to this MRP guidance in the same way as applies to other statutory guidance such as the CIPFA Prudential Code, the CIPFA Treasury Management Code and the CLG guidance on Investments.
- 11.4 The MRP guidance offers four options under which MRP might be made, with an overriding recommendation that the County Council should make prudent provision to redeem its debt liability over a period which is reasonably commensurate with that over which the capital expenditure is estimated to provide benefits (ie estimated useful life of the asset being financed). The previous system of 4% MRP did not necessarily provide that link.

- 11.5 The guidance also requires an annual review of MRP policy being undertaken and it is appropriate that this is done as part of this Annual Treasury Management Strategy.
- 11.6 The move to International Financial Reporting Standards (IFRS) from 2010/11 involves Private Finance Initiative (PFI) contracts and some leases (being reclassified as finance leases instead of operating leases) coming onto Local Authority Balance Sheets as long term liabilities. This new accounting treatment impacts on the CFR mentioned in **paragraph 11.2** above with the result that an annual MRP provision is required for PFI contracts and certain leases.

To ensure that this change has no overall financial impact on local authority budgets, the Government updated their "Statutory MRP Guidance" with effect from 31 March 2010. This updated Guidance allows MRP to be equivalent to the existing lease rental payments and "capital repayment element" of annual payments to PFI Operators and the implications of these changes are reflected in the County Council's MRP policy for 2011/12 as set out in **paragraph 11.7** below.

- 11.7 The County Council's MRP policy up to 2009/10 was based on the Statutory Guidance issued in February 2008 and for 2010/11 was changed to reflect the IFRS changes referred to in **paragraph 11.6** and the consequential updated Government Guidance. Following a review of this policy, no changes are considered necessary and the policy for 2011/12 is therefore as follows:-

- (a) for all **capital expenditure incurred before 1 April 2008**, MRP will be based on 4% of the Capital Financing Requirement (CFR) at that date. This will include expenditure supported by Government borrowing approvals and locally agreed Prudential Borrowing up to 31 March 2008. This is in effect a continuation of the old MRP regulations for all capital expenditure up to 31 March 2008 that has been financed from borrowing
- (b) for **capital expenditure incurred after 1 April 2008 which is supported by Government Borrowing approvals**, MRP to be based on 4% of such sums as reflected in subsequent CFR updates. This reflects the fact that the Revenue Support Grant formula for supported borrowing approvals will still be calculated on this basis. It should be noted however that as part of the recent Provisional Local Government Finance Settlement for 2011/12, no supported borrowing approvals have been issued for the period after 2010/11 (**paragraphs 5.7 and 5.8**)
- (c) for **locally agreed Prudential Borrowing on capital expenditure incurred after 1 April 2008**, MRP will be calculated based on equal annual instalments over the estimated useful life of the asset for which the borrowing is undertaken. This method is a simpler alternative to depreciation accounting

In view of the variety of different types of capital expenditure incurred by the County Council, which is not in all cases capable of being related to an individual asset, asset lives will be assessed on a basis which most reasonably reflects the anticipated period of benefit that arises from the expenditure. Also whatever type of expenditure is involved, it will be grouped together in a manner which reflects the nature of the main component of expenditure, and will only be divided up in cases where there are two or more major components with substantially different useful economic lives.

The estimated life of relevant assets will be assessed each year based on types of capital expenditure incurred but in general will be 25 years for buildings, 50 years for land, and 5 to 7 years for vehicles, plant and equipment. To the extent that the expenditure does not create a physical asset (eg capital grants and loans), and is of a type that is subject to estimated life periods that are referred to in the guidance, these periods will generally be adopted by the County Council.

However in the case of long term debtors arising from loans or other types of capital expenditures incurred by the County Council which will be repaid under separate arrangements (eg loans to NYnet and Yorwaste), there will be no MRP made. The County Council is satisfied that a prudent provision will be achieved after exclusion of these capital expenditure items.

This approach also allows the County Council to defer the introduction of an MRP charge for new capital projects/land purchases until the year after the new asset becomes operational rather than in the year borrowing is required to finance the capital spending. This approach is beneficial for projects that take more than one year to complete and is therefore included as part of the MRP policy.

- (d) for “**on balance sheet**” **PFI schemes**, MRP will be equivalent to the “capital repayment element” of the annual service charge payable to the PFI Operator and for **finance leases**, MRP will be equivalent to the annual rental payable under the lease agreement.

11.8 Therefore the County Council’s total MRP provision from 1 April 2011, will be the sum of (a) + (b) + (c) + (d) (as defined above) which is considered to satisfy the prudent provision requirement. Based on this policy, total MRP in 2011/12 will be about £16.7m (including £0.3m PFI and finance leases).

11.9 An annual review of the County Council’s MRP Policy will be undertaken and reported to Members as part of this Annual Treasury Management Strategy.

12.0 ANNUAL INVESTMENT STRATEGY

Background

- 12.1 Under the Local Government Act 2003 the County Council is required to have regard to Government Guidance in respect of the investment of its cash funds. This Guidance was revised in 2009. The Guidance leaves local authorities free to make their own investment decisions, subject to the fundamental requirement of an Annual Investment Strategy being approved by the County Council before the start of the financial year.
- 12.2 This Annual Investment Strategy must state the investments the County Council has approved for prudent management of its cash balances during the financial year under the headings of **specified investments** and **non specified investments**.
- 12.3 This Annual Investment Strategy therefore sets out
- revisions to the Annual Investment Strategy (**paragraph 12.4**)
 - the Investment Policy (**paragraph 12.5**)
 - the policy regarding loans to companies in which the County Council has an interest (**paragraph 12.6**)
 - specified and non specified investments (**paragraph 12.7**)
 - Creditworthiness Policy - security of capital and the use of credit ratings (**paragraph 12.8**)
 - the Investment Strategy to be followed for 2011/12 (**paragraph 12.9**)
 - investment reports to members (**paragraph 12.10**)
 - investment of money borrowed in advance of need (**paragraph 12.11**)
 - investment training (**paragraph 12.12**)

Revisions to the Annual Investment Strategy

- 12.4 In addition to this initial **Investment Strategy**, which requires approval before the start of the financial year, a revised Strategy will be submitted to County Council for consideration and approval under the following circumstances:
- (a) significant changes in the risk assessment of a significant proportion of the County Council's investments
 - (b) any other significant development that might impact on the County Council investments and the existing strategy for managing those investments during 2011/12.

Investment Policy

- 12.5 The parameters of the Policy are as follows:

- (a) the County Council will have regard to the Government's Guidance on Local Government Investments as revised with effect from 1 April 2010, and the 2009 revised CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes.
- (b) the County Council's investment policy has two fundamental objectives
 - the security of capital (protecting the capital sum from loss); and then
 - the liquidity of its investments (keeping the money readily available for expenditure when needed)
- (c) the County Council will also aim to seek the highest return (yield) on its investments provided that proper levels of security and liquidity are achieved. The risk appetite of the County Council is low in order to give priority to the security of its investments
- (d) the borrowing of monies purely to invest or lend and make a return is unlawful and the County Council will not engage in such activity
- (e) investment instruments for use in the financial year listed under **specified** and **non-specified investment** categories (see **paragraph 12.7**)
- (f) counterparty limits will be set through the County Council's Treasury Management Practices Schedules.

Policy regarding loans to companies in which the County Council has an interest

- 12.6
- (a) the County Council's general investment powers under this Annual Treasury Management and Investment Strategy come from the Local Government Act 2003 (Section 12). Under this Act a local authority has the power to invest for any purpose relevant to its functions or for the purpose of the prudent management of its financial affairs
 - (b) in addition to investment, the County Council has the power to provide loans and financial assistance to Limited Companies under the Local Government Act 2000 which introduced general powers for a local authority to do anything which it considers likely to achieve the promotion or improvement of the economy, social or environmental well being of its area. This well being power includes a power for a local authority to incur expenditure, give financial assistance to any person and to enter into arrangements with any person
 - (c) any such loans to limited companies by the County Council, will therefore be made under these 'well being powers'. They will not however be classed as investments made by the County Council and will not impact on this Investment Strategy. Instead they will be classed as capital expenditure by the County Council under the Local Authorities (Capital Finance and Accounting) Regulations 2003, and will be approved, financed and accounted for accordingly

- (d) at present the County Council has made loans to two companies in which it has an equity investment (ie Yorwaste and NYnet). In both cases loan limits are set, and reviewed periodically, by the Executive.

Specified and non-specified Investments

12.7 Based on Government Guidance as updated from 1 April 2010.

- (a) investment Instruments identified for use in the forthcoming financial year are listed in the Schedules attached to this Strategy under the **specified** and **non-specified** Investment categories
- (b) all **specified** Investments (**see Schedule A**) are defined by the Government as options with “relatively high security and high liquidity” requiring minimal reference in investment strategies. In this context, the County Council has defined Specified Investments as being sterling denominated, with maturities up to a maximum of 1 year meeting the minimum high credit quality
- (c) **Non-specified** investments (**see Schedule B**) attract a greater potential of risk. As a result, a maximum limit of 20% of “core cash” funds available for investment has been set which can be held in aggregate in such investments
- (d) for both **specified** and **non-specified** investments, the attached Schedules indicate for each type of investment :-
- the investment category
 - minimum credit criteria
 - circumstances of use
 - why use the investment and associated risks
 - maximum % age of total investments
 - maximum maturity period
- } (Non-Specified only)
- (e) there are other instruments available as Specified and Non-Specified investments which the County Council will NOT currently use. Examples of such investments are :-

Specified Investments - Commercial Paper
 - Gilt funds and other Bond Funds
 - Treasury Bills

Non-Specified Investments - Sovereign Bond issues
 - Corporate Bonds
 - Floating Rate notes
 - Equities
 - Open Ended Investment Companies
 - Derivatives

A proposal to use any of these instruments would require detailed assessment and be subject to approval by Members as part of this Strategy. Under existing scrutiny arrangements, the County Council’s Audit Committee will also look at any proposals to use the instruments referred to above.

Creditworthiness Policy - Security of Capital and the Use of Credit Ratings

- 12.8 The financial markets have experienced a period of considerable turmoil since 2008 and as a result attention has been focused on credit standings of counterparties with whom the County Council can invest funds.

It is paramount that the County Council's money is managed in a way that balances risk with return, but with the overriding consideration being given to the security of the invested capital sum followed by the liquidity of the investment. The Approved Lending List will, therefore, reflect a prudent attitude towards organisations with whom funds may be deposited.

The rationale and purpose of distinguishing specified and non-specified investments is detailed in **paragraph 12.7** above. Part of the definition for a Specified investment is that it is an investment made with a body

- which has been awarded a high credit rating
- with maturities of not longer than 364 days

It is, therefore, necessary to define what the County Council considers to be a "high" credit rating in order to maintain the security of the invested capital sum.

The methodology and its application in practice will, therefore, be as follows:-

- (a) the County Council will rely on credit ratings published by the three credit rating agencies (Fitch, Moody's and Standard & Poor) to establish the credit quality (ability to meet financial commitments) of counterparties (to whom the County Council lends) and investment schemes. Each agency has its own credit rating components to complete their rating assessments. These are as follows:

Fitch Ratings

- | | |
|------------|---|
| Long Term | - generally cover maturities of up to five years and act as a measure of the capacity to service and repay debt obligations punctually. Ratings range from AAA (highest credit quality) to D (indicating an entity has defaulted on all of its financial obligations) |
| Short Term | - cover obligations which have an original maturity not exceeding one year and place greater emphasis on the liquidity necessary to meet financial commitments. The ratings range from F1+ (the highest credit quality) to D (indicating an entity has defaulted on all of its financial obligations) |

- Individual - a measure of an institution's intrinsic safety and soundness on a stand-alone basis. This rating is designed to assess an institution's exposure to risk and, as a result, represents Fitch's view on the likelihood that it would run into difficulties which would require support. These ratings are graded from A (very strong) to F (an institution that has either defaulted or, in Fitch's opinion, would have defaulted if it had not received external support).
- Support - a view of the likely presence of a lender of last resort, either government or parent, with the willingness and the resources to aid a failing financial institution. The rating is graded from 1 (a bank with an extremely high probability of external support) to 5 (external support cannot be relied on).

Moody's Ratings

- Long Term - an opinion of the relative credit risk of obligations with an original maturity of one year or more. They address the possibility that a financial obligation will not be honoured as promised. Ratings range from Aaa (highest quality, with minimal credit risk) to C (typically in default, with little prospect for recovery of principal or interest)
- Short Term - an opinion of the ability of issuers to honour short-term financial obligations. Ratings range from P-1 (a superior ability to repay short-term debt obligations) to P-3 (an acceptable ability to repay short-term obligations)
- Financial Strength - an opinion of a bank's intrinsic safety and soundness. This rating measures how likely an institution is to need assistance from third parties and range from A (highest level, showing intrinsic financial strength) to E (very modest strength, with a higher likelihood of periodic outside support).

Standard & Poor Ratings

- Long Term - considers the likelihood of payment. Ratings range from AAA (best quality borrowers, reliable and stable) to D (has defaulted on obligations)
- Short Term - generally assigned to those obligations considered short-term in the relevant market. Ratings range from A-1 (capacity to meet financial commitment is strong) to D (used upon the filing of a bankruptcy petition).

In addition, all three credit rating agencies produce a Sovereign Rating which assesses a country's ability to support a financial institution should they get into difficulty. The ratings are the same as those used to measure long term credit.

- (b) the County Council will review the "ratings watch" and "outlook" notices issued by the credit rating agencies referred to above. An agency will issue a "watch", (relating to a short term scenario), or "outlook", (relating to a long term scenario), when it anticipates that a change to a credit rating may occur in the forthcoming 6 to 24 months. The "watch" or "outlook" could reflect either a positive (increase in credit rating), negative (decrease in credit rating) or developing (uncertain whether a rating may go up or down) outcome.
- (c) no combination of ratings can be viewed as entirely fail safe and all credit ratings, watches and outlooks are monitored on a daily basis. This is achieved through the use of Sector's creditworthiness service. This service has been progressively enhanced and uses a sophisticated modelling approach with credit ratings from all three rating agencies forming the core element. This modelling approach combines the credit ratings, credit watches and credit outlooks into a weighted scoring system which is then combined with an overlay of CDS spreads for which the end product is a series of colour codes which indicate the relative creditworthiness of counterparties. These colour codes are also used by the County Council to determine the duration for investments and are therefore referred to as durational bands.

The table below shows the relationship between the credit ratings and the scores allocated by Sector's model

Score	Fitch				Moody's			S & P	
	Long Term	Short Term	Individual	Support	Long Term	Short Term	Financial Strength	Long Term	Short Term
0.5							A+		
1.0	AAA	F1+	A	1	Aaa	-	A	AAA	A-1+
1.5							A-		
2.0	AA+	F1	A/B	2	Aa1	P-1	B+	AA+	A-1
3.0	AA	F2	B	3	Aa2	P-2	B	AA	A-2
3.5							B-		
4.0	AA-	F3	B/C	4	Aa3	P-3	C+	AA-	A-3
5.0	A+		C	5	A1		C	A+	
5.5							C-		
6.0	A		C/D		A2		D+	A	
7.0	A-		D		A3		D	A-	
7.5							D-		
8.0	BBB+		D/E		Baa1		E+	BBB+	
9.0	BBB		E		Baa2		E	BBB	
9.5							E-		
10.0	BBB-		F		Baa3		F	BBB-	



The average of these scores produces an overall score for an organisation. This score is then adjusted to take into account any credit watches or outlooks issued by the credit rating agencies with points being added for negative watches / outlooks and points deducted for positive watches / outlooks.

Final scores will, therefore, reflect the credit quality of an organisation – the lower the score, the higher the credit quality. As only low scoring organisations will be included on the Approved Lending List, this should ensure that investments are made with high quality credit rated organisations. In broad terms, an organisation would need to achieve, for example, a minimum Long Term rating of A to achieve an overall score that would allow inclusion on the County Council’s Lending List.

- (d) final scores are then applied to colour boundaries which are used to determine the duration of investment – the higher the credit quality, the longer the investment duration.

The score boundaries and consequential colour duration bands are currently as follows:

Current Score Boundaries		Colour	Maximum Investment Duration
N/A	N/A	Blue	1 Year (UK nationalised / semi nationalised banks only)
4.00	8.50	Purple	2 Years
8.50	10.50	Orange	1 Year
10.50	12.50	Red	6 Months
12.50	14.50	Green	3 Months
14.50	30.00	No colour	No investments to be made

- (e) the County Council will also take into account the Sovereign Rating for the country in which an organisation is domiciled. As a result, only institutions which are domiciled in a country with a minimum Sovereign Rating of AA- from Fitch would be considered for inclusion on the County Council’s Approved Lending List (subject to them meeting the criteria above). Organisations which are domiciled in a Country whose Sovereign Rating has fallen below the minimum criteria will be suspended, regardless of their own individual score/colour. The list of countries that currently qualify using this credit criteria are shown in **Schedule D**. This list will be added to or deducted from should ratings change, in accordance with this policy.

- (f) in order to reflect current market sentiment regarding the credit worthiness of an institution the County Council will also take into account trends within the Credit Default Swap (CDS) Market. Since they are a traded instrument they reflect the market perception of an institution's credit quality unlike credit ratings which often focus on a longer term view. CDS contracts can be compared with insurance, as a buyer of a CDS pays a premium for effectively insuring against a debt default. These trends will be monitored through the use of Sector's creditworthiness service which compares the CDS Market position for each institution to the average for the market. Should the deviation be great, then market sentiment suggests that there is a fear that an institution's credit quality will fall. Organisations with such deviations will be monitored and their standing reduced by one colour band (**paragraph 12.8 (d)**) as a precaution. Where the deviation is great, the organisation will be awarded 'no colour' until market sentiment improves.
- (g) fully and part nationalised banks within the UK currently have credit ratings which are not as high as other institutions. This is the result of the banks having to have accept external support from the UK Government and, consequently, being awarded low Individual, Support and Financial Strength ratings. However, due to this Central Government involvement, these institutions now effectively take on the credit worthiness of the Government itself (ie deposits made with them are effectively being made to the Government). This position is expected to take a number of years to unwind and would certainly not be done so without a considerable notice period. As a result, institutions which are significantly or fully owned by the UK Government will be assessed to have a high level of credit worthiness.
- (h) the County Council will not use the approach suggested by CIPFA of using the lowest rating from all three rating agencies to determine creditworthy counterparties as Moodys tend to be more aggressive in giving low ratings than the other two agencies. This would therefore be unworkable and leave the County Council with few banks on its Approved Lending List. The Sector creditworthiness service does though, use ratings from all three agencies, but by using a risk weighted scoring system, does not give undue weighting to just one agency's ratings.
- (i) to summarise, therefore, the County Council will consider all the following areas when assessing the credit quality of organisations to be included on the Approved Lending List:-
- the overall score obtained by an organisation after reviewing current credit ratings / publication of "Watch" / Outlook" notices (**paragraphs 12.8(a) to (d)**)
 - the sovereign rating for the country the organisation is domiciled (**paragraph 12.8(e)**)
 - the current CDS position of an organisation compared to the market benchmark (**paragraph 12.8(f)**)
 - any known Central Government involvement or specific guarantees issued for an organisation (**paragraph 12.8(g)**)

- all of the above will be monitored on a weekly basis through Sector's creditworthiness service with additional information being received and monitored on a daily basis should credit ratings change and/or watch/outlook notices be issued
 - sole reliance will not be placed on the information provided by Sector. In addition the County Council will also use market data and information available from other sources such as the financial press and other agencies and organisations.
- (j) in addition, the County Council will set maximum investment limits for each organisation which also reflect that institutions credit worthiness – the higher the credit quality, the greater the investment limit. These limits also reflect UK Government involvement (ie Government ownership or being part of the UK Government guarantee of liquidity). These limits are as follows:-

Maximum Investment Limit	Criteria
£50m	UK "Nationalised" banks / UK banks with UK Central Government involvement
£40m	Selected UK "Clearing Banks" and organisations covered by the UK Government guarantee of liquidity
£30m	Other UK "Clearing Banks" and organisations covered by the UK Government guarantee of liquidity
£20m	Other UK based banks and high quality Foreign Banks
£10m	Other UK Building Societies

- (k) should a score/colour awarded to a counterparty or investment scheme be amended during the year due to rating changes, market sentiment etc, the County Council will take the following action:-
- reduce or increase the maximum investment term for an organisation dependent on the revised score / colour awarded (in line with the boundaries and colours set in **paragraph 12.8(d)**)
 - temporarily suspend the organisation from the Approved Lending List should their score fall outside boundary limits and not be awarded a colour
 - seek to withdraw an investment as soon as possible, within the terms and conditions of the investment made, should an organisation be suspended from the Approved Lending List
- (l) if a counterparty / investment scheme, not currently included on the Approved Lending List is subsequently upgraded, (resulting in a score which would fulfil the County Council's minimum criteria), the Corporate Director – Finance & Central Services has the delegated authority to include it on the County Council's Approved Lending List with immediate effect,

- (m) a copy of the current Approved Lending List, showing maximum investment and time limits is attached at **Schedule C**. The Approved Lending List will be monitored on an ongoing daily basis and changes made as appropriate. Given current market conditions, there continues to be a very limited number of organisations which fulfil the criteria for non specified investments. This situation will be monitored on an ongoing basis with additional organisations added as appropriate with the approval of the Corporate Director – Finance and Central Services.

The Investment Strategy to be followed for 2011/12

12.9 Recognising the categories of investment available and the rating criteria detailed above

- (a) the County Council currently manages all its cash balances internally
- (b) ongoing discussions are held with the County Council's Treasury Management Advisor on whether to consider the appointment of a external fund manager(s) or continue investing in-house – any decision to appoint an external fund manager will be subject to Member approval
- (c) the County Council's cash balances consist of two basic elements. The first element is **cash flow derived** (debtors/creditors/timing of income compared to expenditure profile). The second, **core element**, relates to specific funds (reserves, provisions, balances, capital receipts, funds held on behalf of other organisations etc)
- (d) having given due consideration to the County Council's estimated level of funds and balances over the next three financial years, the need for liquidity and day to day cash flow requirements it is forecast that a maximum of £12m of the overall balances can be prudently committed to longer term investments (eg between 1 and 3 years)
- (e) investments will accordingly be made with reference to this core element and the County Council's ongoing cash flow requirements (which may change over time) and the outlook for short term interest rates (ie rates for investments up to 12 months)
- (f) the County Council currently has no non-specified investments over 364 days
- (g) bank rate has been unchanged at 0.5% since March 2009 but is forecast to commence rising in the December quarter of 2011 and then to rise steadily thereafter, being 0.5% at 31 March 2011, 1.0% at 31 March 2012, 2.25% at 31 March 2013 and 3.25% at 31 March 2014. There is however a downside risk to these forecasts if recovery from recession proves to be weaker and slower than currently expected. There is also a risk that the MPC could decide to start raising Bank Rate earlier in 2011 if it feels it needs to defend its credibility in containing inflation and the inflation expectations of the public.

The County Council will, therefore, avoid locking into long term deals while investment rates are down at historically low levels unless attractive rates are available with counterparties of particularly high creditworthiness which make longer term deals worthwhile and within a 'low risk' parameter. Thus no trigger rates will be set for longer term deposits (two or three years) but this position will be kept under constant review and discussed with the Treasury Management Advisor on a regular basis.

Based on current bank rate forecasts, as outlined above, an overall investment return of about 1.2% is likely in 2011/12 which includes the impact of previously locking into some investments during 2010/11 at rates above 1.2%.

- (h) for its cash flow generated balances the County Council will seek to utilise 'business reserve accounts' (deposits with certain banks and building societies), 15 and 30 day accounts and short dated deposits (overnight to three months) in order to benefit from the compounding of interest

Investment Reports to Members

12.10 Reporting to Members on investment matters will be as follows:

- (a) in-year investment reports will be submitted to the Executive as part of the Quarterly Performance Monitoring reports
- (b) at the end of the financial year a comprehensive report on the County Council's investment activity will be submitted to Members (Executive) as part of the Annual Treasury Management Outturn report
- (c) the monthly meetings between the Corporate Director – Finance and Central Services, the Corporate Affairs Portfolio Holder and the Deputy Leader which provide an opportunity to consider and discuss issues arising from the day to day management of Treasury Management activities.

(see **paragraph 14** for full details).

Investment of Money Borrowed in Advance of Need

12.11 The Borrowing Policy covers the County Council's policy on Borrowing in Advance of Spending Needs (**paragraph 6.10**).

Although the County Council has not borrowed in advance of need to date and has no current plans to do so in the immediate future, any such future borrowing would impact on investment levels for the period between borrowing and capital spending.

Any such investments would, therefore, be made within the constraints of the County Council's current Annual Investment Strategy, together with a maximum investment period related to when expenditure was expected to be incurred.

Investment Training

12.12 The training needs of the County Council's staff involved in investment management (within the Corporate Accountancy Service Unit of Finance and Central Services) are monitored, reviewed and addressed on an ongoing basis. In practice most training needs are addressed through attendance at courses and seminars provided by CIPFA, the LGA and others on a regular ongoing basis.

These training arrangements will also be available to Members as referred to in **paragraph 14** below.

13.0 OTHER TREASURY MANAGEMENT ISSUES

Policy on the use of External Treasury Management Service Providers

13.1 The County Council uses Sector Treasury Services as its external treasury management adviser. Sector provide a source of contemporary information, advice and assistance over a wide range of Treasury Management areas but particularly in relation to investments and debt administration.

13.2 Whilst the County Council recognises that there is value in employing external providers of treasury management services in order to acquire access to specialist skills and resources, it fully accepts that responsibility for Treasury Management decisions remain with the authority at all times and will ensure that undue reliance is not placed upon the external service provider.

13.3 Sector were reappointed in July 2009 for three years, following a full tender exercise with the terms of appointment being documented. The value and quality of the services they provide are monitored and assessed on an ongoing basis.

The scheme of delegation and role of the section 151 officer in relation to Treasury Management

13.4 The Government's Investment Guidance (**paragraph 12.1**) requires that a local authority includes details of the Treasury Management schemes of delegation and the role of the Section 151 officer in the Annual Treasury Management/Investment Strategy.

13.5 The key elements of delegation in relation to Treasury Management are set out in the following Financial Procedure Rules (FPR):-

(a) FPR 15.1 – the Council adopts CIPFA's "Treasury Management in the Public Services Code of Practice 2009" (as amended) as described in Section 5 of the Code and will have regard to the associated guidance notes

(b) FPR 15.2 – the County Council will create and maintain as the cornerstone for effective Treasury Management

(i) a strategic Treasury Management Policy Statement (TMPS) stating the County Council's policies, objectives and approach to risk management of its treasury management activities

- (ii) a framework of suitable Treasury Management Practices (TMPs) setting out the manner in which the County Council will seek to achieve those policies and objectives, and prescribing how it will manage and control those activities. The Code recommends 12 TMPs
- (c) FPR 15.3 – the full Council and/or Executive will receive reports on its Treasury Management policies, practices and activities including, as a minimum, an Annual Treasury Management and Investment Strategy and associated report on Prudential Indicators in advance of the year, a mid year review of Treasury Management Activities and an Annual report after its close, in the form prescribed in the TMPs
- (d) FRP 15.4 – the County Council delegates responsibility for the implementation and regular monitoring of its Treasury Management policies and practices to the Executive and for the execution and administration of Treasury Management decisions to the Corporate Director – Finance and Central Services who will act in accordance with the Council’s TMPs, as well as CIPFA’s Standard of Professional Practice on Treasury Management
- (e) FPR 15.5 – the Audit Committee shall be responsible for ensuring effective scrutiny of the Treasury Management Strategy and Policies
- (f) FPR 15.6 – the Corporate Director – Finance and Central Services shall periodically review the Treasury Management Policy Statement and associated documentation and report to the Executive on any necessary changes, and the Executive shall make recommendations accordingly to the County Council
- (g) FPR 15.7 – all money in the possession of the Council shall be under the control of the officer designated for the purposes of Section 151 of the Local Government Act 1972 (ie the Corporate Director of Finance and Central Services)

13.6 The Treasury Management reporting arrangements in relation to the above are covered in more detail in **section 14**.

13.7 In terms of the Treasury Management role of the Section 151 officer (the Corporate Director – Finance and Central Services), the key areas of delegated responsibility are as follows

- recommending clauses, treasury management policy/practices for approval, reviewing the same regularly, and monitoring compliance
- submitting regular treasury management policy reports to Members
- submitting budgets and budget variations to Members
- receiving and reviewing management information reports
- reviewing the performance of the treasury management function

- ensuring the adequacy of treasury management resources and skills, and the effective division of responsibilities within the treasury management function
- ensuring the adequacy of internal audit, and liaising with external audit
- recommending the appointment of external service providers

Operational Leasing

- 13.8 Up to 2004/05 the County Council used operational leasing to acquire plant and vehicles. The main reason was that such financing did not impact on the level of capital resources (capital receipts and Government borrowing approvals) otherwise available to the County Council. However because this rationale no longer applies under the Prudential Code there is now the option of undertaking additional unsupported borrowing to finance such items.
- 13.9 The option to finance by operational leasing is, of course, still available and therefore the use of leasing for periods greater than one year is approved within the schedule of Treasury Management Practices which support the County Council's Treasury Management Policy Statement. Furthermore the Financial Procedure Rules of the County Council require that the Corporate Director – Finance and Central Services shall undertake the negotiation of all leasing arrangements.
- 13.10 A detailed option appraisal on whether to operationally lease, finance lease or fund from borrowing is undertaken each year as it may be the case that the best value option will change over time (eg as market conditions fluctuate). Between 2004/05 and 2009/10 this option appraisal has resulted in all such plant and vehicle purchases being financed from Prudential borrowing with consequential financing costs being recharged to Directorates in lieu of lease rentals. For 2010/11 however acquisitions totalling £1m were funded from an operational lease, following a full option appraisal.
- 13.11 The capital value of plant, equipment and vehicles to be purchased in 2011/12 is estimated to be approximately £1m (£1.1m in 2010/11) and a further option appraisal will be carried out during the year to determine whether financing should be through leasing or Prudential borrowing.

Other Issues

- 13.12 The County Council continues to monitor potential PFI opportunities and assess other innovative methods of funding.
- 13.13 The County Council has agreed to award the Waste Private Finance Initiative (PFI) contract to AmeyCespa for the service operation of 25 years with an option to extend for up to 5 years. The project is intended to be debt funded by AmeyCespa, however various funding options may be considered should debt funding ultimately prove not to provide value for money at the point of financial close; the financing costs of the debt will be recovered by the contractor through the unitary charge to the County Council. The Corporate Director – Finance and Central Services will monitor the position as it progresses through the year and report as and when necessary to the Executive.

13.14 Opportunities to progress investment for Extra Care and Affordable Housing will also be pursued during 2011/12 which may involve funding methods not currently approved under this Strategy. As with the Waste PFI the Corporate Director – Finance and Central Services will report to Members as and when necessary.

14.0 ARRANGEMENTS FOR MONITORING / REPORTING TO MEMBERS

14.1 Taking into account the matters referred to in this Strategy, the monitoring and reporting arrangements in place relating to Treasury Management activities are now as follows:

- (a) an annual report to Executive and County Council as part of the Budget process that sets out the County Council's **Treasury Management Strategy and Policy** for the forthcoming financial year.
- (b) an annual report to Executive and County Council as part of the Budget process that sets the various **Prudential Indicators**, together with a mid year update of these indicators as part of the Q1 Performance Monitoring report submitted to the Executive (see **(d)** below).
- (c) **annual outturn reports** to the Executive for both Treasury Management and Prudential Indicators setting out full details of activities and performance during the preceding financial year.
- (d) a quarterly report on Treasury Matters to Executive as part of the **Quarterly Performance Monitoring** report.
- (e) **monthly meetings** between the Corporate Director – Finance and Central Services, the Corporate Affairs Portfolio Holder and the Deputy Leader to discuss issues arising from the day to day management of Treasury Management activities.
- (f) reports on proposed changes to the County Council's Treasury Management activities are submitted as required to the **Audit Committee** for consideration and comment.

15.0 SUMMARY OF KEY ELEMENTS OF THIS STRATEGY

15.1 For the financial year 2011/12 the County Council approves the following:-

- (a) an Authorised Limit for external debt of £466.6m in 2011/12
- (b) an Operational Boundary for external debt of £446.6m in 2011/12
- (c) a borrowing limit on fixed interest exposures of between 60% to 100% of outstanding principal sums and a limit on variable interest rate exposures of between 0 to 40% of outstanding principal sums
- (d) borrowing from the money market for capital purposes is to be limited to 30% of external debt outstanding at any one point in time

- (e) an investment limit on fixed interest exposures of 0 to 30% of outstanding principal sums and a limit on variable interest rate exposure of between 70% to 100% of outstanding principal sums
- (f) a limit of £12m of the total 'core' cash sums available for investment (both in house and externally managed) to be invested in Non-Specified investments over 364 days
- (g) a 11% cap on capital financing costs as a proportion of the annual Net Revenue Budget
- (h) a Minimum Revenue Provision (MRP) policy for debt repayment to be charged to Revenue in 2010/11 as set out in **paragraph 11**
- (i) the Corporate Director - Finance and Central Services to report to the County Council if and when necessary during the year on any changes to this Strategy arising from the use of operational leasing, PFI or other innovative methods of funding

JOHN MOORE
Corporate Director – Finance and Central Services

31 January 2011

**NORTH YORKSHIRE COUNTY COUNCIL
ANNUAL INVESTMENT STRATEGY 2011/12
SPECIFIED INVESTMENTS**

Investment	Security / Minimum Credit Rating	Circumstances of use
Term Deposits with the UK Government or with UK Local Authorities (as per Local Government Act 2003) with maturities up to 1 year	High security as backed by UK Government	In-house
Term Deposits with credit rated deposit takers (banks & building societies), including callable deposits with maturities less than 1 year	Organisations assessed as having "high credit quality" plus a minimum Sovereign rating of AA- for the country in which an organisation is domiciled	In-house
Certificates of Deposits issued by credit rated deposit takers (banks & building societies) up to 1 year		Fund Manager or In-house buy & hold after consultation from Treasury Management Advisor
Forward deals with credit rated banks & building societies less than 1 year (i.e. negotiated deal plus period of deposit)		In-house via a broker or direct
Money Market Funds i.e. collective investment scheme as defined in SI 2004 No 534 <i>These funds have no maturity date</i>	Fund must be AAA rated	In-house limited to £20m but as yet not used
Gilts (with maturities of up to 1 year) <i>Custodial arrangements prior to purchase</i>	Government backed	Fund Manager or In-house buy & hold after consultation from Treasury Management Advisor
Bonds issued by a financial institution that is guaranteed by the UK Government (as defined in SI 2004 No 534) with maturities under 12 months <i>Custodial arrangements required prior to purchase</i>		After consultation with Treasury Management Advisor

**NORTH YORKSHIRE COUNTY COUNCIL
ANNUAL INVESTMENT STRATEGY 2011/12
NON-SPECIFIED INVESTMENTS**

Investment	A) Why use it ? B) Associated risks ?	Security / Minimum Credit Rating	Circumstances of use	Max % of overall investments or cash limits in each category	Maximum investment with any one counterparty	Maximum Maturity Period
Term Deposit with credit rated deposit takers (banks & building societies), UK Government and other Local Authorities with maturities greater than 1 year	A) Certainty of return over period invested which would be useful for budget purposes B) i) Not Liquid, cannot be traded or repaid prior to maturity ii) Return will be lower if interest rates rise after making deposit iii) Credit risk as potential for greater deterioration of credit quality over a longer period	Organisations assessed as having "high credit quality" Plus a minimum Sovereign rating of AA- for the country in which an organisation is domiciled	In-house via money market broker or direct	100% of agreed proportion (20%) of core cash balance that can be invested for more than 1 year (£12m based on estimate for 2011/12)	£5m	2 years subject to potential future review with a maximum of no longer than 5 years
Certificates of Deposit with credit rated deposit takers (banks & building societies) with maturities greater than 1 year <i>Custodial arrangement prior to purchase</i>	A) Attractive rates of return over period invested and in theory tradable B) Market or "interest rate" risk; the yield is subject to movement during life of CD which could negatively impact on its price		Fund Manager or in-house buy & hold after consultation with Treasury Management Advisor	25% of agreed proportion (20%) of core cash balance that can be invested for more than 1 year (£3m)	£3m	
Callable Deposits with credit rated deposit takers (banks & building societies) with maturities greater than 1 year	A) Enhanced Income - potentially higher return than using a term deposit with a similar maturity B) i) Not Liquid - only borrower has the right to pay back the deposit; the lender does not have a similar call period over which the investment will actually be held is not known at the outset ii) Interest rate risk; borrower will not pay back deposit if interest rates rise after the deposit is made		To be used in-house after consultation with Treasury Management Advisor	50% of agreed proportion (20%) of core cash balance that can be invested for more than 1 year (£6m)	£5m	

SCHEDULE B

**NORTH YORKSHIRE COUNTY COUNCIL
ANNUAL INVESTMENT STRATEGY 2011/12
NON-SPECIFIED INVESTMENTS**

Investment	A) Why use it ? B) Associated risks ?	Security / Minimum Credit Rating	Circumstances of use	Max % of overall investments or cash limits in each category	Maximum investment with any one counterparty	Maximum Maturity Period
Forward Deposits with a credit rated bank or building society > 1 year (i.e. negotiated deal period plus period of deposits)	A) Known rate of return over the period the monies are invested - aids forward planning B) i) Credit risk is over the whole period not just when monies are invested ii) Cannot renege on making the investment if credit quality falls or interest rates rise in the interim period	Organisations assessed as having "high credit quality" Plus a minimum Sovereign rating of AA- for the country in which an organisation is domiciled	To be used in-house after consultation with Treasury Management Advisor	25% of agreed proportion (20%) of core cash balance that can be invested for more than 1 year (£3m)	£3m	
Bonds issued by a financial institution that is guaranteed by the UK Government (as defined in SI 2004 No 534) with maturities in excess of 1 year <i>Custodial arrangements required prior to purchase</i>	A) i) Excellent credit quality ii) Relatively Liquid iii) If held to maturity, yield is known in advance iv) Enhanced rate in comparison to gilts B) Market or "interest rate" risk; yield subject to movement during life off bond which could impact on price	AA or Government backed	In-house on a "buy and hold" basis after consultation with Treasury Management Advisor or use by Fund Managers	25% of agreed proportion (20%) of core cash balance that can be invested for more than 1 year (£3m)	N/A	2 years subject to potential future review with a maximum of no longer than 5 years
Bonds issued by Multilateral development banks (as defined in SI 2004 No 534) with maturities in excess of 1 year <i>Custodial arrangements required prior to purchase</i>	A) i) Excellent credit quality ii) Relatively Liquid iii) If held to maturity, yield is known in advance iv) Enhanced rate in comparison to gilts B) Market or "interest rate" risk; yield subject to movement during life off bond which could negatively impact on price	AA or Government backed	In-house on a "buy and hold" basis after consultation with Treasury Management Advisor	25% of agreed proportion (20%) of core cash balance that can be invested for more than 1 year (£3m)	£3m	

**NORTH YORKSHIRE COUNTY COUNCIL
ANNUAL INVESTMENT STRATEGY 2011/12
NON-SPECIFIED INVESTMENTS**

Investment	A) Why use it ? B) Associated risks ?	Security / Minimum Credit Rating	Circumstances of use	Max % of overall investments or cash limits in each category	Maximum investment with any one counterparty	Maximum Maturity Period
UK Government Gilts with maturities in excess of 1 year <i>Custodial arrangement required prior to purchase</i>	A) i) Excellent credit quality ii) Liquid iii) If held to maturity, yield is known in advance iv) If traded, potential for capital appreciation B) Market or "interest rate" risk: yield subject to movement during life of the bond which could impact on price	Government backed	Fund Manager	25% of agreed proportion (20%) of core cash balance that can be invested for more than 1 year (£3m)	N/A	2 years subject to potential future review with a maximum of no longer than 5 years
Collateralised Deposit	A) Excellent credit quality B) i) Not Liquid, cannot be traded or repaid prior to maturity ii) Credit risk as potential for greater deterioration of credit quality over a longer period	Backed by collateral of AAA rated local authority LOBO's	In-house via money market broker or direct	100% of agreed proportion (20%) of core cash balance that can be invested for more than 1 year (£12m based on estimate for 2011/12)	£5m	

APPROVED LENDING LIST FOR 2011/12

Maximum sum invested at any time (The overall total exposure figure covers both Specified and Non-Specified investments)

	Country	Specified Investments (up to 1 year)		Non-Specified Investments (over 1 year)	
		Total Exposure £m	Time Limit *	Total Exposure £m	Time Limit *
UK "Nationalised" banks / UK banks with UK Central Government involvement					
Royal Bank of Scotland	GBR	50.0	364 days	-	-
Natwest Bank	GBR				
Ulster Bank Ltd	GBR				
Bank of Scotland	GBR	50.0	364 days	-	-
Lloyds TSB	GBR				
UK "Clearing Banks" and organisations covered by the UK Government guarantee of liquidity					
Santander UK plc (includes Cater Allen)	GBR	40.0	6 months	-	-
Barclays Bank	GBR	40.0	6 months	-	-
HSBC	GBR	30.0	364 days	-	-
Clydesdale Bank (trading as Yorkshire Bank)	GBR	30.0	3 months	-	-
Nationwide Building Society	GBR	30.0	6 months	-	-
Other UK based banks and high quality Foreign Banks					
National Australia Bank	AUS	See Clydesdale above		5.0	2 years
Canadian Imperial Bank of Commerce	CAN	20.0	364 days	-	-
Deutsche Bank	DEU	20.0	6 months	-	-
Nordea Bank Finland	FIN	20.0	364 days	-	-
Credit Industriel et Commercial	FRA	20.0	6 months	-	-
Credit Agricole	FRA	20.0	364 days	-	-
Societe Generale	FRA	20.0	6 months	-	-
BNP Paribas Fortis	FRA	20.0	364 days	-	-
Intesa Sanpaolo Spa	ITA	20.0	364 days	-	-
Nordea Bank AB	SWE	20.0	364 days	-	-
Svenska Handelsbanken	SWE	20.0	364 days	-	-
Local Authorities					
County / Unitary / Metropolitan / District Councils		20.0	364 days	5.0	2 years
Police / Fire Authorities		20.0	364 days	5.0	2 years
National Park Authorities		20.0	364 days	5.0	2 years
Other Deposit Takers					
Money Market Funds		20.0	364 days	5.0	2 years
UK Debt Management Account		100.0	364 days	5.0	2 years

* Based on data as at 24th December 2010

APPROVED COUNTRIES FOR INVESTMENTS

Sovereign Rating	Country
AAA	Canada Denmark Finland France Germany Luxembourg Netherlands Norway Sweden Singapore Switzerland U.K. U.S.A.
AA+	Australia Belgium Hong Kong
AA	Japan Kuwait Qatar UAE
AA-	Italy Saudi Arabia

ADMISSIONS POLICY FOR COMMUNITY AND VOLUNTARY CONTROLLED SCHOOLS FOR THE ACADEMIC YEAR 2012/13

All governing bodies are required by section 324 of the Education Act 1996 to admit to the school a child with a statement of special needs that names the school. This is not an oversubscription criterion. This relates only to children who have undergone statutory assessment and for whom a final statement of special educational needs (SEN) has been issued.

If the number of applications exceeds the Published Admission Number (PAN), after the admission of children where the school is named in the statement of special educational needs (SEN) the following oversubscription criteria will apply:

ORDER OF PRIORITY:	Notes:
	.
<p><u>Priority Group 1:</u></p> <p>Children and young people in Public Care for whom the school has been expressed as a preference.</p>	<p><i>This applies to all looked-after children, including those who are in the care of another local authority.</i></p>
<p><u>Priority Group 2 :</u></p> <p>Children the Authority believes have special social or medical reasons for admission.</p>	<p><i>We will only consider applications on social or medical grounds if they are supported by a professional recommendation from a doctor, social worker, or other appropriate professional. The supporting evidence should set out the particular social or medical reason(s) why the school in question is the most suitable school and the difficulties that would be caused if the child had to attend another school.</i></p> <p><i>Panels of professionally qualified people will consider all applications made under priority group 2.</i></p>
<p><u>Priority Group 3 :</u></p> <p>Children living within the normal area of the school.</p>	
<p><u>Priority Group 4:</u></p> <p>Children living outside the normal area of the school.</p>	

Children in higher numbered priority groups will be offered places ahead of those in lower numbered priority groups. All applications within each priority group will be considered equally (i.e. all applications, regardless of order of preference).

Tie break:

If there are not enough places for all the children in one of these priority groups, we will give priority first to those with a sibling at the school in September 2012 (in all cases sibling refers to brother or sister, half brother or sister, adopted brother or sister, step brother or sister, or the child of the parent / carer's partner where the child for whom the school place is sought is living in the same family unit at the same address as that sibling) and then to those living nearest the school.

If within a priority group there are not enough places for all those with a sibling at the school in September 2011, we will give priority to those children with a sibling living nearest the school.

All distance measurements are based on the nearest route recognised by the County Councils electronic mapping system from a child's home address to school. The measurement is made from a fixed point within the dwelling, as identified by Ordnance Survey, to the nearest school entrance using footpaths and roads. The routes measured to determine the allocation of school places will be those recognised by the electronic mapping system used by the school admissions team.

We may be able to meet your preference for a place at a school that does not serve the local area you live in. In this case, you will normally be responsible for travel arrangements and the costs of your child's travel to and from school.

Local arrangements:

Scarborough area

Graham School and Raincliffe School - For priority group 3 applications (that is, children living within the normal area covering both schools), priority will be given as follows:

- a) Children living in the area normally served by East Ayton Community Primary School and the area west of Scalby Road from Lady Edith's Drive to Scalby Beck.
- b) Children who will have an older sibling at the school of their choice.
- c) Children who live nearest to the school of their choice.

Scalby School - For priority group 4 applications (that is, children living outside the normal area of the school), priority will be given to children who live in the areas normally served by East Ayton Community Primary School and the area west of Scalby Road from Lady Edith's Drive to Scalby Beck and who:

- a) will have an older sibling at Scalby School at the start of the term when the younger sibling starts school; or
- b) would have to make the longest journey to another school without them becoming eligible for help with travel costs from us under the local authority transport policy.

Selby area

Brayton College and Selby High School – For the purposes of admissions for priority group 3 children a distinction is drawn between those who live in Selby rural area and Selby town area. Each school, Brayton College and Selby High, has its own designated rural area and the two schools are jointly the normal schools for the Selby town area. Places will be offered, within priority group 3, to children from the individual rural area associated with each school before those in the town area, using the tie break elements of the Admissions policy for community and voluntary controlled schools for the academic year 2012/13 where necessary.

Appendix 4b

**ADMISSIONS POLICY FOR COMMUNITY AND VOLUNTARY CONTROLLED
NURSERY SCHOOLS, NURSERY CLASSES AND PRE-RECEPTION
CLASSES FOR THE ACADEMIC YEAR 2012/13**

ORDER OF PRIORITY:	<i>Notes</i>
<p><u>First priority:</u></p> <p>Children with a statement of special educational needs naming the school concerned.</p>	
<p><u>Second priority:</u></p> <p>Children who are recommended by the Director of Children and Young Peoples Service, including children in the care of a local authority, or by the appropriate designated medical officer.</p>	<p><i>Note: we will only consider applications in this category if they are supported by a recommendation from a doctor, social worker or other appropriate professional which sets out the particular reason(s) why the school in question is the most suitable school and the difficulties that would be caused if the child had to attend another school.</i></p>
<p><u>Third priority:</u></p> <p>Children from homes with poor housing conditions or overcrowding, or from a background which could affect the child's normal educational development.</p>	<p><i>Note: this should be supported by the recommendation of a doctor, social worker or other appropriate professional.</i></p>
<p><u>Fourth priority:</u></p> <p>Children within the normal area of the school, giving priority to the oldest children first.</p>	
<p><u>Fifth priority:</u></p> <p>Children from outside the school's normal area, giving priority to those whose home is nearest to school first.</p>	

ADMISSIONS CRITERIA FOR HARROGATE HIGH SCHOOL, HARROGATE GRAMMAR SCHOOL AND ROSSETT SCHOOL – 2012/2013

Children with a statement of special educational need naming that school will be allocated a place in line with section 324 of the Education Act 1996

Priority 1	Children and young people in public care for whom the school has been expressed as a preference
Priority 2	Children the Authority believes have special social or medical reasons for admission
Priority 3	Children living in the Harrogate rural zone and Harrogate town zone
Priority 4	Children living outside the Harrogate rural and Harrogate town zones

If there are not enough places for all children in Priority 3 at any of the three community secondary schools in Harrogate places will be allocated on the following basis:

Once places have been allocated to those with a statement of special education need and those in priority groups 1 and 2, the remaining places will be allocated on the basis of 21% of places being available to children living in the Harrogate rural zone and 79% of places being available to children living in the Harrogate town zone.

Unallocated places in either of the Priority 3 zones would be assigned to the other zone before giving priority to children from outside the Harrogate zones.

Tie break:

If there are not enough places for all of the children in one of these priority groups we will give priority first to those with a sibling at the school in September 2012.

Within Priority 3, town children with a sibling will have highest priority for town places and rural children with a sibling will have highest priority for rural places.

If, within each zone there are not enough places for all those with a sibling at the school in September 2012, we will give priority within that zone to those children living nearest the school.

All distance measurements are based on the nearest route recognised by the County Councils electronic mapping system from a child's home address to school. The measurement is made from a fixed point within the dwelling, as identified by Ordnance Survey, to the nearest school entrance using footpaths and roads. The routes measured to determine the allocation of school places will be those recognised by the electronic mapping system used by the school admissions team.

Priority will then be given within each zone to Priority 3 children without a sibling at the school but who live nearest to the school.

If, within Priority 4, there are not enough places for all those with a sibling at the school in September 2012, we will give priority to those children living nearest the school. Priority will then be given to Priority 4 children without a sibling at the school but who live nearest to the school.

**2012/13
CO-ORDINATED ADMISSION
ARRANGEMENTS**

Introduction

The aim of the North Yorkshire Coordinated Primary and Secondary School Admissions Scheme is to provide a fair and appropriate way for considering parental preferences for admission to schools. Our scheme complies with current legislation relating to school admissions and with advice contained in the Department for Education formerly known as the Department for Children, Schools and Families, 2009 School Admissions Code.

The content, including key dates, of the North Yorkshire Co-ordinated Primary and Secondary School Admissions Scheme for 2012/13 has been reviewed and amended in the light of the 2009 School Admissions Code. This requires the introduction of the co-ordination of in-year applications for school places in North Yorkshire.

Our co-ordination arrangements apply as follows:

The primary and secondary arrangements involve our 13 neighbouring Local Authorities as well as all schools within North Yorkshire which are their own Admission Authority.

The secondary scheme enables parents living within North Yorkshire whose children are transferring to secondary school to complete a single application either on-line or in paper form listing up to five preferences for admission to any maintained school, both within North Yorkshire and neighbouring Local Authority areas. The primary scheme enables parents living within North Yorkshire whose children are starting school to complete a single application. We will co-ordinate with our neighbouring authorities in 2012/13.

After consideration of all parental preferences for all schools without reference to the order in which these are ranked, the Local Authority will notify parents living within North Yorkshire of the offer of one school place on behalf of all admission authorities operating within the co-ordinated admissions scheme.

Our scheme will ensure that parents only receive one offer of a school place from the admission authorities who participate in the co-ordination arrangements. Our scheme aims to ensure that each parental preference is considered equally and parents receive a school place in accordance with their highest ranked preference which is available.

The detailed arrangements and timetable for secondary, in-year primary and secondary and primary co-ordinated schemes can be found at Appendix A, B and C respectively of this co-ordination document and in the Local Authority's published Secondary and Primary Guides for Parents as well as on our website at www.northyorks.gov.uk.

The Primary and Secondary Guides for Parents include information about

- a) The operation of our admissions scheme for all North Yorkshire maintained schools;
- b) The timescales and timetable for each admission process;
- c) Information about the number of allocations made at each school in the previous academic year;
- d) Information about the number of schools which were oversubscribed resulting in parental appeals and the numbers and outcome of these appeals;

This information about allocations and appeals should help parents to assess realistically their likelihood of obtaining a place at their preferred school(s).

Late Applications

Any Common Application Form for school places received after the closing date of 31 October 2011 for secondary schools and 15 January 2012 for primary schools will be considered as a late application unless a genuine reason for lateness is provided. Late applications will be considered after other parents' applications which have been received on time have been processed.

Applications received after 1 March 2012 for secondary schools or 23 April 2012 for primary schools will be co-ordinated using the same arrangements and criteria as previous applications. The offer of a school place will be made in accordance with our agreed and published scheme. If none of a parents' preferences can be met, the local or nearest school with a place available will be offered and appeals information provided to parents as necessary. Waiting lists for oversubscribed schools contain the names of children whose preference could not be complied with. The waiting list is compiled using the Local Authority's published oversubscription criteria. Waiting lists will be maintained until 31 December 2012.

Admissions Co-ordination 2012/13

Synopsis

North Yorkshire's co-ordinated admissions scheme applies to its 6 Voluntary Aided Secondary Schools, 1 Foundation Primary, 49 Voluntary Aided Primary Schools, 3 Foundation and 1 Trust Secondary, 13 neighbouring Local Authorities, 6 Diocesan Authorities and 273 Voluntary Controlled and Community Primary and 40 Community Secondary Schools including 5 middle schools deemed secondary.

The current Department for Education (DfE) formerly known as the Department for Children, Schools and Families (DCFS), School Admissions Code came into force in February 2009. This document complies with its recommendations and requirements.

On line applications for school places can be made by logging on to our website at www.northyorks.gov.uk/primaryadmissions or www.northyorks.gov.uk/secondaryadmissions.

Secondary Schools

In June 2011 parents of Year 5 children who will be Year 6 in September 2011 will be provided with a Common Application Form, on which they can express up to 5 preferences for admission to secondary schools, including Voluntary Aided, Foundation and Trust schools. Voluntary Aided, Foundation and Trust schools may also require the completion of a supplementary information form. This form should be requested from the school and is also available from the Local Authority.

Parents must return their applications by the closing date of 31 October 2011. Every effort is made by the Local Authority to ensure that applications are received by the closing date.

All applications will be processed in accordance with North Yorkshire's Co-ordinated Admissions Scheme for Secondary Schools. The Local Authority will issue letters to parents offering school places on 1 March 2012.

The timetable for secondary school admissions is attached as *Annex 1 to Appendix A* of the Co-ordinated Admissions Arrangements, Secondary Transfer 2012/13.

Selection

There are within the Local Authority area 3 selective grammar schools; one of which is a Voluntary Aided boys' school, one a mixed co-educational school and one a girls' school which has Foundation status. In addition there are 3 non selective schools in the selective areas of the County.

Skipton Selection

Places will normally be provided at Ermysted's Grammar School and Skipton Girls' High School for children who are deemed suitable for a grammar school education in accordance with the Local Authority's selection scheme and who live in the area served by the primary schools in Arncliffe, Beamsley, Bradley, Burnsall, Carleton, Cracoe, Embsay, Gargrave, Grassington, Kettlewell, Kirkby-in-Malhamdale, Skipton, Thornton-in-Craven and Threshfield. Ermysted's Grammar School and Skipton Girl's High School offer education to children aged 11 to 18.

Children can only be admitted to Skipton Girls' High School and Ermysted's Grammar School School if they have been deemed suitable for a grammar school education, in accordance with the local authority selection scheme. The local authority administers the published selection scheme in the Skipton area.

All children living within the area served by the Skipton schools and attending schools in the selective area will be tested, unless parents write to the education office saying that they do not want their child to be tested.

The governing bodies of Ermysted's Grammar School (Voluntary Aided) and Skipton Girls' High School (Foundation School) are responsible for applying their own admissions policies and the Local Authority applies its published co-ordinated admissions arrangements on behalf of these schools.

Aireville School and Upper Wharfedale School are non-selective secondary schools in a selective area offering education for children aged 11 to 16.

Selective Area Ripon

Places will normally be provided at Ripon College and Ripon Grammar School for children who live in the City of Ripon together with the parishes of Aldfield, Azerley, Bishop Monkton, Bridge Hewick, Burton Leonard, Copt Hewick, Eavestone, Givendale, Grantley, Grewelthorpe, Hutton Conyers, Kirkby Malzeard, Laverton, Lindrick, with Studley Royal and Fountains, Littlethorpe, Markenfield Hall, Markington-with-Wallerthwaite, Newby-with-Mulwith, North Stainley with Sleningfird, Sawley, Sharow, Skelding, Skelton, Studley Roger and Winksley.

Ripon Grammar School is a selective school that offers an education for children aged 11 to 18. Children can only be admitted to Ripon Grammar School if they have been deemed suitable for a grammar school education, in accordance with the local authority selection scheme. The local authority administers both the published selection scheme and the allocation of school places at Ripon Grammar School as it is a Community School.

All children living within the area served by the Ripon and attending schools in the selective area schools will be tested, unless parents write to the education office saying that they do not want their child to be tested.

Ripon College is a non-selective secondary school in a selective area offering education for children aged 11 to 18.

Selection tests.

Tests are produced for the Local Authority by GL Assessment. These are standardised against the local cohort.

The results of these selection tests are used to identify the highest scoring 28% (or as close as possible) of Year 6 children who live in their local selective area. This procedure sets the cut-off mark in each selective area and sets the standard which children must reach, to be deemed suitable for a grammar school education in their local selective area.

For us to consider children who live outside the selective area to be deemed suitable for a grammar school education, they must meet the cut-off mark which is set by the performance of the children who live in the area, as explained above.

There is a non statutory review which parents can utilise if their child(ren) are not deemed suitable for selective school education. There is also the statutory appeal process available if parents cannot access a place at their preferred selective school because it is oversubscribed.

The School Admissions Code states that local authorities should ensure that parents are informed of the outcome of selection tests before they make their applications for other schools.

The Local Authority's scheme incorporates the relevant Disability Discrimination Act requirements to ensure adequate, appropriate and suitable adjustment(s) can be made for qualifying children taking selection tests.

In Year Fair Access Protocol

The Local Authority has agreed an In Year Fair Access protocol with its schools. This protocol is in accordance with the Government's 5 Year Strategy for Pupils and Learners and the Behaviour Improvement Programme and the Department for Education (DfE) formerly known as the Department for Children, Schools and Families (DCSF) , School Admissions Code requirement. This strategy and programme relates particularly to managing the admission of hard to place children into schools. Details of the scheme are available from the North Yorkshire website www.northyorks.gov.uk

Primary Schools

Admissions

The application procedures for admission to reception classes in Primary schools are in accordance with North Yorkshire's Co-ordinated Admissions Scheme for Primary Schools and are similar to those for Secondary Schools, but with a different timetable for the completion of this process.

Parents of children eligible for admission to reception classes of primary schools will be provided with a common application form by mid September 2011 with a closing date for their return of 15 January 2012.

Parents will be offered a place for their children on 23 April 2012.

- Admission arrangements do not apply to those being admitted for nursery provision including nursery provision delivered in a co-located children's centre.
- Parents of children who are admitted for Nursery provision **must** apply for a place at the school if they want their children to transfer to the Reception class. Attendance at the nursery or co-located children's centre does not guarantee admission to the school.

Arrangements will be made for parents to make on line admissions in a similar way to secondary admissions. Details of the exact timing of admission within an academic year can be obtained from each school. The Local Authority has delegated this responsibility and as such it may vary from school to school. Admissions to schools could be phased during 2012/13 academic year ie in Autumn term 2012, Spring term 2013 or Summer term 2013, dependent on each school's arrangements.

The Local Authority will co-ordinate admissions to the reception year as described in the timetable attached as *Annex 1 to Appendix C* for all schools including Voluntary Aided, Community, Voluntary Controlled and Foundation primary schools.

Appendix A

CO-ORDINATED ADMISSION ARRANGEMENTS

Secondary Transfer
2012/13

Introduction

1. The co-ordinated admission scheme is reviewed annually by the North Yorkshire Admission Forum and is designed to ensure that every child living in North Yorkshire, who is due to transfer to secondary school, is offered a single school place on National offer day. This scheme applies to admissions in the normal round but not those that take place in-year. In-year admissions are those which occur after the closing of the waiting list on 31 December 2012.
2. The offer of a single school place will be made on 1 March 2012 and allocation letters will be posted to parents/carers on that date.
3. The scheme does not affect the duty of the governing bodies of Voluntary Aided, Foundation and Trust schools to determine their own admissions policies.
4. The scheme does not apply to children who have a statement of Special Educational Needs naming a particular school as the timetable for admission of these children is determined by the current SEN Code of Practice
5. Parents who do not wish to accept a place at a school offered to them must notify the admission authority within 2 weeks of the offer being made.
6. North Yorkshire Local Authority will work with other admission authorities, including our thirteen neighbouring Local Authorities, Voluntary Aided, Community, Foundation and Trust schools within North Yorkshire, to ensure the co-ordinated scheme operates as smoothly as possible for parents. Our thirteen neighbouring admission authorities, six Voluntary Aided, three Foundation and Trust secondary schools are listed below:

Foundation / Trust Secondary Schools:

Skipton Girls' High School
Gargrave Road
Skipton
North Yorkshire, BD23 1QL Tel. 01756 707600

South Craven School
The Technology & Engineering College
Holme Lane
Cross Hills, Keighley
West Yorkshire, BD20 7RL Tel. 01535 632861

George Pindar Community Sports College
Eastfield,
Scarborough
YO11 3LX Tel. 01723 582194

Voluntary Aided Secondary Schools

Holy Family Catholic High School
Longhedge Lane,
CARLTON
Goole
East Yorkshire
DN14 9 NS
Tel No. 01405 860276

St Aidan's C of E High School
Oatlands Drive
HARROGATE
North Yorkshire
HG2 8JR
Tel No. 01423 885814

St Augustine's RC School
Sandybed Lane
Off Stepney Hill
Scarborough
North Yorkshire
YO12 5LH
Tel No. 01723 363280

St Francis Xavier School
Darlington Road
RICHMOND
North Yorkshire
DL10 7DA
Tel No. 01748 823414

St John Fisher Catholic High
School
Hookstone Drive
HARROGATE
North Yorkshire
HG2 8PT
Tel No. 01423 887254

Ermysted's Grammar School
Gargrave Road
SKIPTON
North Yorkshire
BD23 1PL
Tel No. 01756 792186

Neighbouring Local Authorities

Bradford

Pupil Access Manager
Education Bradford
Future House, Bolling Road
BRADFORD
BD4 7EB
Tel No: 01274 385604

Cumbria

Corporate Director – Pupils Services
5 Portland Square
CARLISLE
CA1 1PU
Tel No. 01228 606877

Darlington

Pupils's Information Service
Town Hall,
Feethams
DARLINGTON
DL1 5QT
Tel No. 01325 380651

Doncaster

Director of Education and Culture
Admissions and Pupil Services
The Council House
College Road
DONCASTER DN1 3AD
Tel No. 01302 737204/727234

Durham

School Admissions
Education Offices
County Hall
DURHAM
DH1 5UJ
Tel No. 0191 383 3115

East Riding of Yorkshire

Admissions Team
Pupils, Family & Adult Services
County Hall,
BEVERLEY
HU17 9BA
Tel No.01482 392130/392131/392132

Lancashire

Director of Education
PO Box 61,
County Hall
PRESTON
PR1 0LD
Tel No. 01772 254868

Leeds

Admissions & Transport Team
Leeds Education
10th Floor West
Merrion House
LEEDS LS2 8DT
Tel No. 0113 2475729

Middlesbrough

Corporate Director, Families and
Learning
Middlesbrough Council
PO Box 69, First Floor
Vancouver House
Gurney Street
MIDDLESBROUGH
TS1 1 EL
Tel No. 01642 728092

Redcar and Cleveland

School Admissions
Redcar and Cleveland Borough
Council, Council Offices
PO Box 83, Kirkleatham Street
REDCAR
TS10 1YA
Tel No. 01642 444108

Stockton on Tees

School Admissions
Stockton-on-Tees Borough
Council
PO Box 228,
Municipal Buildings, Church Road
STOCKTON ON TEES
TS18 1XE
Tel No. 01642 526605

Wakefield

School Admissions
County Hall,
WAKEFIELD
WF1 2QL
Tel No. 01924 305616/305617

York

Education Access Team
Learning, Culture and Pupils's
Services
City of York Council
Mill House
North Street
YORK YO1 6JD
Tel No. 01904 554248/554239

Applying for a school place

7. Details of our admission scheme and policy can be found in the 2012/13 Guide for Parents. Parents of North Yorkshire Year 5 children who will be in Year 6 in September 2011 will receive a common application form and a 2012/13 Guide for Parents explaining our procedures in early June 2011. This will enable them to express a preference for a school or schools and to give reasons for their preferences. They will be informed that supplementary information may also be requested by the school if it is a Voluntary Aided or non North Yorkshire school, in order for the school to apply their oversubscription criteria. A copy of the supplementary information form is available from the school and is also available from the Local Authority.
8. Common application forms will be required for all transfers at Year 7 as well as those to Middle (deemed Secondary) Schools who admit children in Year 9 or 10. We will have regard to reasons given by parents for their preferences when applying our oversubscription criteria.
9. Parents who wish their children to attend independent schools will be encouraged to tell us. However independent schools are not included in the co-ordinated arrangements. These parents may also wish to apply for a place at a North Yorkshire school.
10. Common Application Forms and literature will be distributed through North Yorkshire primary schools. Literature (but not Common Application Forms) will also be sent direct to parents from outside the county at the request of parents, neighbouring Local Authorities or other admissions authorities. Parents will be advised to complete a common application form for their home authority.
11. Parents must complete common application forms and return them to the Local Authority or apply on-line by the deadline of 31 October 2011. On this form parents will need to provide their child's name and residential address. The address provided must be where the child lives permanently. If residency is split between two parents, the address used must be the address of the parent who receives the Child Benefit.

School Preferences

- Parents should list up to 5 schools in order of preference.
- We will try to offer places according to the highest ranked preference, for which a place may be available.
- Parents may want to include their local school as one of their preferences because if we are unable to meet a higher preference and their normal area school is oversubscribed, we will give children a place at the nearest school with places available which may be some distance from their home.

- We will offer a place at a North Yorkshire school even if parents have not named one on the common application form because we have a duty to ensure a school place is available for every North Yorkshire child.
 - If a child is entered for selection testing, parents must make sure they name the selective school they would like them to go to on the common application form. Parents cannot be offered a place at a selective school unless they have named the school on their form.
 - If parents name a school other than their normal area school, they will normally be responsible for transport.
12. Parents requesting literature on Voluntary Aided, Foundation or Trust schools or non North Yorkshire schools will be referred to the appropriate school or admissions authority. Where non North Yorkshire parents complete our form in error we will forward it to their home authority.
 13. The closing date for receipt of Common Application Forms will be the 31 October 2011.
 14. In accordance with the requirements of the School Admissions Code we will maintain a waiting list until 31 December 2012. Children will be ranked on the waiting list in the same order as the published over subscription criteria.

Late Applications

15. If a common application form is received after the closing date of 31 October 2011, without a genuine reason, we will consider it to be a late application and will process it after we have considered all other applications received by the published deadline.

Change of Preference

16. Parents will not be allowed to change their preferences after 31 October 2011 without a genuine reason for doing so. Learning that the child is suitable or not suitable for a selective school will not be considered as a genuine reason for a change of preference.

Allocation of Places

17. Selection testing will take place during early September 2011 and the results of selection testing will be sent out to parents on 14 October 2011.
18. After the closing date of 31 October 2011 we will send details of children who have expressed preferences for schools for whom we are not the admissions authority, to those authorities for consideration.

This will include Voluntary Aided, Foundation and Trust schools within North Yorkshire and neighbouring Local Authorities.

19. Preferences for schools within another Local Authority's boundary will be sent to that Local Authority for them to administer according to their co-ordinated scheme.
20. Voluntary Aided, Foundation or Trust schools and other Local Authorities will be responsible for collecting from parents whatever additional information they need in order to apply their oversubscription criteria. They should therefore ensure supplementary information forms are sent to all parents who express a preference for their school.
21. We will receive, from neighbouring Local Authorities, information of children expressing preferences for our Community, Voluntary Controlled, Voluntary Aided, Foundation and Trust Schools which we will process as part of our co-ordinated arrangements along with those for North Yorkshire children.
22. All admission authorities will then apply their oversubscription criteria, if there are more applications than places available. They will identify which oversubscription criteria children fall into and will produce a list showing the position of each pupil, indicating those who can be offered a place. The list will also show the position of other children who have expressed a preference for that school who cannot be allocated a place.
23. We will inform our neighbouring Local Authorities which of their children can and cannot be offered places at any of our schools.
24. We must receive a list from North Yorkshire Voluntary Aided, Foundation and Trust schools and neighbouring Local Authorities which ranks all children whose parents have expressed a preference for their school on a common application form regardless of whether they have completed a supplementary information form. We will produce lists of children to whom we can offer places at our Community and Voluntary Controlled Schools.
25. Where we cannot meet any of the parental preferences expressed for a North Yorkshire child we will allocate a place at an alternative school with places available. This may or may not be the local school. The same will apply to children for whom no preferences have been received. These applications will be processed after all those for whom common application forms have been received on time. We will liaise with all admission authorities and schools to identify children for whom we have not received a common application form.
26. We will communicate the results of this initial allocation to enable other Local Authorities to operate their own co-ordinated schemes.
27. Once all adjustments have been made, a final allocation of places will take place, based on the highest ranked preference we are able to offer. We will obtain from other Local Authorities and admissions authorities,

information enabling us to give reasons why a child has not been allocated a place at their school of preference, as this information will be included in the letter allocating them a lower preference school.

The offer of a place

28. No places will be held in reserve for any school.
29. We will write to all parents of North Yorkshire children on 1 March 2012 notifying them of the single school place allocated to their child or children.
30. The place offered could be at one of our Community or Voluntary Controlled schools, one of the Voluntary Aided, Foundation or Trust schools within North Yorkshire or a school in an area served by another Local Authority.
31. We will send all North Yorkshire secondary schools details of the children who have been allocated a place at the school on 1 March 2012.

Appeals

32. Where we have been unable to offer a school place listed as a higher preference, parents will be offered the statutory right of appeal against the decision.
33. In such circumstances the offer letter will give the reason why we have been unable to allocate their other stated preferences. Where the statutory right of appeal is the responsibility of North Yorkshire Local Authority we will enclose appeal papers. Where the responsibility is that of another admissions authority, we will advise parents to contact them to confirm appeal arrangements.
34. Places accepted as a result of successful admission appeals which take place after the allocation date, will lead to further modifications to the original allocation. These changes must again be communicated to other admission authorities (and theirs to us) to enable all authorities to make final adjustments to the allocation.
35. Once appeals have been completed we will communicate with all the schools within our boundary to ensure that they have a correct and up-to-date allocation list. We will exchange final allocation details with our neighbouring Local Authorities to check for North Yorkshire children who will be attending other authorities' schools and other authorities' children who will be attending North Yorkshire schools.
36. Appeals will usually be heard for secondary school transfer between April and June 2012.

Waiting Lists

37. A waiting list will be maintained for all oversubscribed North Yorkshire Community, Voluntary Controlled, Voluntary Aided, Foundation and Trust Schools until 31 December 2012.
38. The Local Authority requires the governing body of each Voluntary Aided, Foundation and Trust School to provide us with a copy of their waiting list and to update us when places become available. The Admissions Code states that any offer of a school place must always be made by the Local Authority.
39. Where places become available they will be allocated from the waiting list in accordance with the published oversubscription criteria.
40. Where we are able to offer a place to a non North Yorkshire child from the waiting list we will liaise with their home authority.

Annex 1 to Appendix A

North Yorkshire Local Authority

Secondary, Community, Voluntary Controlled, Aided, Foundation and Trust Schools Timetable 2012/2013

Date	Activity
Mid June 2011	Literature and Common Application Forms to North Yorkshire parents.
19 August 2011	Closing date for withdrawal of children who are automatically entered for selection testing. Closing date for applications for children who are not automatically entered for selection.
6 September 2011	Familiarisation selection test in selective areas.
9 September 2011	First actual selection test for both in and out-of-area children.
13 September 2011	Second actual selection test for both in and out-of-area children.
14 October 2011	Results of selection testing posted to all parents.
31 October 2011	Closing date for return of Common Application Forms.
11 November 2011	Neighbouring Local Authorities to send us details of children in their area who have expressed preferences for schools in North Yorkshire. We send details of children expressing preferences for schools in other Local Authority areas to those authorities for consideration.
18 November 2011	Details of all children who have expressed preferences for North Yorkshire Voluntary Aided, Foundation and Trust schools to the schools for consideration.
6 January 2012	Information to be returned to us by Voluntary Aided, Foundation and Trust schools on which places they can allocate.
9 January 2012	Non statutory selection reviews commence.
16 January 2012	Send first round of allocation information to other authorities identifying potential offer(s).
23 January 2012	Confirmation of allocations with neighbouring admission authorities including Voluntary Aided, Foundation and Trust schools.
30 January 2012	Input information from first cycle of exchange of allocation information.
6 February 2012	Second allocation cycle preference information sent to other authorities
10 February 2012	Input allocation information from second cycle and send final allocation information to other authorities of school place offers to be made
16 February 2012	Input final allocation preference information and produce final allocation letters.
1 March 2012	Allocation Day. Send out allocation letters to all parents applying for a school place. Inform schools of final allocation.
W/C 2 April 2012 to 8 June 2012	Statutory admission appeals.
W/C 2 April 2012 to 31 December 2012	Manual adjustments to allocation and communicating those results to other authorities.
31 December 2012	Closure of waiting lists.

Appendix B

CO-ORDINATED ADMISSION ARRANGEMENTS

PRIMARY & SECONDARY IN-YEAR ADMISSIONS 2012/13

Introduction

1. From the 2010/2011 academic year, Local Authorities amended schemes for co-ordinating applications made during the academic year and admissions to age groups other than the normal year of entry (“in-year applications”). Details of the North Yorkshire in-year co-ordinated admissions scheme can be found on the North Yorkshire website. www.northyorks.gov.uk
2. The co-ordinated admission scheme is reviewed annually by the North Yorkshire Admission Forum. In determining applications for school places outside the normal admissions round, whether in-year or at the start of a school year which is not the normal year of entry to the school, admission authorities must comply with parental preference unless our published oversubscription criteria or one of the statutory reasons for refusing admission applies.
3. All applications outside of the normal admissions round for primary and secondary schools must be co-ordinated by the home authority. In order for this aspect of co-ordination to be effective, schools that are their own admission authority must communicate the availability of places to the Local Authority when requested.
4. The offer of a school place must be made by North Yorkshire Local Authority on behalf of all Voluntary Aided, Foundation and Trust primary and secondary schools.
5. The scheme does not affect the duty of Voluntary Aided, Foundation and Trust schools to determine their own admissions policies.
6. The scheme does not apply to children who have a statement of Special Educational Needs naming a particular school as the timetable for admission of these children is determined by the current SEN Code of Practice.
7. Parents who do not wish to accept a place at a school offered to them must notify the admission authority within 2 weeks of the offer being made.

North Yorkshire Local Authority will work with other admission authorities, including our thirteen neighbouring Local Authorities, Voluntary Aided, Community, Foundation and Trust schools within North Yorkshire, to ensure the co-ordinated scheme operates as smoothly as possible for parents.

Applying for a school place

8. North Yorkshire Local Authority in-year preference forms should be completed by parents living within North Yorkshire requesting a place at any North Yorkshire primary or secondary school.
9. When North Yorkshire Local Authority is contacted by a parent who will be moving to North Yorkshire or is currently living outside of North Yorkshire and would like to apply for a North Yorkshire school we will inform them that they need to contact their home authority and complete their home authority's in-year preference form. We will find out when they are moving into North Yorkshire and if they have a residence within North Yorkshire to move into. If parents have already moved to North Yorkshire we will treat their application as an in-year North Yorkshire application on receipt of proof of residency.
10. When we receive an in-year preference form from a parent living in North Yorkshire requesting any North Yorkshire school, we will process the form by attempting to comply with the parents highest ranked preference of school. We will contact the school listed as the highest preference.
11. If we are able to allocate the highest ranked preference on the form we will send an offer of that school place to the parent. If we are unable to allocate a place we will offer the statutory right of appeal.
12. If we can comply with other schools listed in order of preference we will offer a place at a school listed as a lower preference. If we are unable to do so we will again offer parents the statutory right of appeal or ask that the governors of Voluntary Aided, Foundation or Trust schools do so.
13. When we receive a request for a place in the normal year of entry, if the school is oversubscribed a waiting list will be maintained by the relevant admission authority until 31 December 2012.
14. We require a reply within 5 working days from schools informing us if they are able to accommodate additional children. If they are oversubscribed we will offer parents the statutory right of appeal.
15. Voluntary Aided schools may require parents to complete a supplementary information form available from the school before a school place can be considered. These forms can also be obtained from the Local Authority.
16. If we are able to offer a school place the allocation letter will be sent to the parents by North Yorkshire Local Authority on behalf of the Voluntary Aided, Foundation or Trust school. Should the school be unable to offer a place we will offer parents the statutory right of appeal after we have considered the other schools on the in-year preference form.

17. We would then request that the parents contact the Voluntary Aided, Foundation or Trust school to obtain an appeal form so the school in question can arrange to hear any appeal made under their agreed published admission appeal arrangements.
18. If parents name a school other than their normal area school, they will normally be responsible for transport.

Appendix C

CO-ORDINATED ADMISSION ARRANGEMENTS

ADMISSION TO PRIMARY SCHOOL 2012/2013

Primary Schools Introduction

1. The co-ordinated admission scheme is reviewed annually by North Yorkshire Admission Forum and is designed to ensure that every child living in North Yorkshire, who is due to start at a North Yorkshire primary school, is offered a single school place on the same day. This scheme applies to admissions in the normal round but not those that take place in-year. In-year admissions are those made during the academic year and applications for admission to age groups other than the normal year of entry.
2. The offer of a single school place in a North Yorkshire primary school to North Yorkshire children will be made by us on 23 April 2012.
3. The scheme does not affect the duty of the governing bodies of Voluntary Aided, Foundation and Trust schools to determine their own admissions policies.
4. The scheme does not apply to children who have a Statement of Special Educational Needs naming a particular school as the timetable for admission of these children is determined by the current SEN Code of Practice.
5. Parents who do not wish to accept a place at a school offered to them must notify the admission authority within 2 weeks of the offer being made.
6. North Yorkshire Local Authority will work with Voluntary Aided, Foundation and Trust schools within North Yorkshire, to ensure the co-ordinated scheme operates as smoothly as possible for parents and we will work closely with our thirteen neighbouring authorities to ensure admission arrangements are as closely co-ordinated as possible. Our 13 neighbouring admission authorities, one Foundation, and 49 Voluntary Aided infant and primary schools are listed below:

Neighbouring Local Authorities

Bradford

Pupil Access Manager
Education Bradford
Future House, Bolling Road
BRADFORD
BD4 7EB
Tel No: 01274 385604

Cumbria

Corporate Director – Pupils
Services
5 Portland Square
CARLISLE
CA1 1PU
Tel No. 01228 606877

Darlington

Pupils' Information Service
Town Hall,
Feethams
DARLINGTON
DL1 5QT
Tel No. 01325 380651

Doncaster

Director of Education & Culture
The Council House
College Road
DONCASTER
DN1 3AD
Tel No. 01302 737204/727234

Durham

School Admissions
Education Offices
County Hall
DURHAM
DH1 5UJ
Tel No. 0191 383 3115

East Riding of Yorkshire

Admissions Team
Pupils, Family & Adult Services
East Riding of Yorkshire Council
County Hall,
BEVERLEY
HU17 9BA
Tel No.01482 392130/392131/
392132

Lancashire

Director of Education
PO Box 61,
County Hall
PRESTON
PR1 0LD
Tel No. 01772 254868

Leeds

Admission and Transport Team
Leeds Education
10th Floor West
Merrion Centre
LEEDS
LS2 8DT
Tel No. 0113 2475729

Middlesbrough

Corporate Director Pupils, Families
and Learning
Middlesbrough Council
PO Box 69, First Floor
Vancouver House
Gurney Street
MIDDLESBROUGH
TS1 1 EL
Tel No. 01642 728092

Redcar and Cleveland

School Admissions
Redcar and Cleveland Borough
Council, Council Offices
PO Box 83, Kirkleatham Street
REDCAR
TS10 1YA
Tel No. 01642 444108

Stockton on Tees

School Admissions
Stockton on Tees Borough Council
PO Box 228,
Municipal Buildings, Church Road
STOCKTON ON TEES
TS18 1XE
Tel No. 01642 3526605

Wakefield

School Admissions
County Hall,
WAKEFIELD
WF1 2QL
Tel No. 01924 305616/305617

York

Education Access Team
Learning, Culture and Pupils's Service
City of York Council
Mill House, North Street,
YORK YO1 6JD
Tel No. 01904 554248/554239

Foundation School

Nun Monkton Foundation
Primary School
The Green
NUN MONKTON
York
YO26 8ER
Tel No: 01423 330313

Voluntary Aided Primary Schools

All Saints C of E Primary
School
Kirkby Overblow
HARROGATE
North Yorkshire
HG3 1HD
Tel No.01423 872491

All Saints RC Primary School
Green Lane East
THIRSK
North Yorkshire
YO7 1NB
Tel No. 01845 523058

Austwick C of E (VA) Primary
School
AUSTWICK
Lancaster
LA2 8BN
Tel No. 015242 51366

Barkston Ash Catholic Primary
School
London Road
Barkston Ash
TADCASTER
North Yorkshire
LS24 9PS
Tel No 01937 557373

St Mary's C of E Primary
School
Bolton-on-Swale
Scorton
RICHMOND
North Yorkshire
Tel No. 01748 818401

Burneston C of E (VA) Primary
School
BURNESTON
Bedale
North Yorkshire
DL8 6BP
Tel No. 01677 423183

Burnsall VA Primary School
BURNSALL
Skipton
North Yorkshire
BD23 6BP
Tel No. 01756 720273

Burnt Yates C of E Primary School
Burnt Yates
HARROGATE
North Yorkshire
HG3 3RW
Tel No. 01423 770586

Carleton Endowed School
Carleton
SKIPTON
North Yorkshire
BD23 3DE
Tel No. 01756 792910

Carlton and Faceby C of E VA
Primary School
CARLTON-IN-CELEVELAND
Middlesbrough
Cleveland TS9 7BB
Tel No. 01642 712340

Cawood C of E VA Primary
School
Broad Lane
CAWOOD
Selby
North Yorkshire
YO8 3SQ
Tel No. 01757 268368

Dacre Braithwaite C of E Primary
School
BRAITHWAITE
Harrogate
North Yorkshire
HG3 4AN
Tel No. 01423 780285

Egton C of E VA Primary School
EGTON
Whitby
North Yorkshire
YO21 1UT
Tel No. 01947 895369

Farnley C of E VA Primary School
Farnley Lane
FARNLEY
Otley
West Yorkshire
LS21 2QJ
Tel No. 01943 463306

Horton in Ribblesdale C of E VA
Primary School
HORTON-IN-RIBBLESDALE
Settle
North Yorkshire
BD24 0EX
Tel No. 01729 860282

Ingleby Arncliffe C of E VA Primary
School
INGLEBY ARNCLIFFE
Northallerton
North Yorkshire
DL6 3NA
Tel No. 01609 882432

Kirkby in Malhamdale United VA
Primary School
KIRKBY MALHAM
Skipton
North Yorkshire
Tel No. 01729 830214

Kirkby & Great Broughton C of E VA
Primary School
KIRKBY-IN-CLEVELAND
Middlesbrough
TS9 7AL
Tel No. 01642 714707

Long Preston Endowed VA Primary School
School Lane
LONG PRESTON
Skipton
North Yorkshire
BD23 4PN
Tel No. 01729 840377

Marton cum Grafton C of E VA
Primary School
Reas Lane
MARTON-CUM-GRAFTON
York
YO51 9QB
Tel No. 01423 322355

Masham C of E VA Primary School
1 Millgate
MASHAM
Ripon
North Yorkshire
HG4 4EG
Tel No. 01765 689200

Michael Syddall C of E (Aided)
Primary School
Mowbray Road
CATTERICK VILLAGE
Richmond
North Yorkshire
DL10 7LH
Tel No. 01748 818485

Middleham C of E Aided School
Park Lane
MIDDLEHAM
Leyburn
North Yorkshire
DL8 4QX
Tel No. 01969 623592

Rathmell C of E (VA) Primary School
Hesley Lane
RATHMELL
Settle
North Yorkshire
BD24 0LA
Tel No. 01729 840360

Richard Taylor C of E Primary School
Bilton Lane
HARROGATE
North Yorkshire
HG1 3DT
Tel No. 01423 563078

Richard Thornton's C of E (VA)
Primary School
BURTON IN LONSDALE
Via Carnforth
Lancashire
LA6 3JZ
Tel No. 015242 61414

Sacred Heart RC Primary School
Broomfield Avenue
NORTHALLERTON
North Yorkshire
DL7 8UL
Tel No. 01609 780971

St Benedict's RC Primary School
Back Lane
AMPLEFORTH
York
YO62 4DE
Tel No. 01439 788340

St George's RC Primary School
Overdale Road
Eastfield
SCARBOROUGH
North Yorkshire
YO11 3RE
Tel No. 01723 58353

St Hedda's RC Primary School
EGTON BRIDGE
Whitby
North Yorkshire
YO21 1UX
Tel No. 01947 895361

St Hilda's RC Primary School
Waterstead Lane
WHITBY
North Yorkshire
YO21 1PZ
Tel No. 01947 603901

St Joseph's Catholic Primary School
Colber lane
BISHOP THORNTON
Harrogate
North Yorkshire
HG3 3JR
Tel No. 01423 770083

St Joseph's Catholic Primary School
Coppice Rise
HARROGATE
North Yorkshire
HG1 2DP
Tel No. 01423 562650

St Joseph's Catholic Primary School
Swainsea Lane
PICKERING
North Yorkshire
YO18 8AR
Tel No. 01751 473102

St Joseph's Catholic Primary School
Station Road
TADCASTER
North Yorkshire
LS24 9JG
Tel No. 01937 832344

St Martin's C of E VA Primary School
Holbeck Hill
SCARBOROUGH
North Yorkshire
YO11 3BW
Tel No. 01723 360239

St Mary's Catholic Primary School
Tentergate Road
KNARESBOROUGH
North Yorkshire
HG5 9BG
Tel No. 01423 867038

St Mary's RC Primary School
Highfield Road
MALTON
North Yorkshire
YO17 7DB
Tel No. 01653 692274

St Mary's RC Primary School
Cross Lanes
RICHMOND
North Yorkshire
DL1 7DZ
Tel No. 01748 821124

St Mary's Catholic Primary School
Baffam lane
SELBY
North Yorkshire
YO8 9AX
Tel No. 01757 706616

St Peter's C of E VA Primary School
BRAFFERTON
Helperby
York
YO61 2PA
Tel No. 01423 360250

St Peter & St Paul RC Primary School
Richmond Road
LEYBURN
North Yorkshire
DL8 5DL
Tel No. 01969 622351

St Peter's RC Primary School
North Leas Avenue
SCARBOROUGH
North Yorkshire
YO12 6LX
Tel No. 01723 372720

St Robert's Catholic Primary School
Ainsty Road
HARROGATE
North Yorkshire
HG1 4AP
Tel No. 01423 504730

St Stephen's Catholic Primary School
Gargrave Road
SKIPTON
North Yorkshire
BD23 1PJ
Tel No. 01756 793787

St Wilfrid's Catholic Primary School
Church lane
RIPON
North Yorkshire
HG4 2ES
Tel No. 01765 603232

Swainby and Potto C of E VA Primary
School
Claver Close
SWAINBY
Northallerton
North Yorkshire DL6 3DH
Tel No. 01642 700518

Terrington C of E VA Primary School
TERRINGTON
York
YO60 6NS
Tel No. 01653 6483340

The Boyle & Petyt Primary School
Harrogate Road
BEAMSLEY
Skipton
North Yorkshire
BD23 6HE
Tel No. 01756 710378

Applying for a school place

7. Details of our admission scheme and policy can be found in the 2012/13 Guide for Parents. Parents of North Yorkshire children will complete a common application form listing up to 5 schools, giving reasons for their preferences. If they list an Aided school as a preference the school may request supplementary information in order for them to apply their oversubscription criteria. A copy of the supplementary information form is available from the school and is also available from the Local Authority.
8. Common Application Forms and the 2012/2013 Guide for Parents will be available through North Yorkshire primary schools and the Local Authority. Information will also be sent direct to parents living outside the local authority at their request. These parents will be advised to complete a common application form for their home authority.
9. Parents requesting information on Voluntary Aided, Foundation or Trust schools or non-North Yorkshire schools will be referred to the appropriate admissions authority. Where non North Yorkshire parents complete our form in error we will forward it to their home authority.
10. Parents must complete common application forms and return them to the Local Authority or apply on-line by the deadline of 15 January 2012. On this form parents will need to provide their child's name and residential address. The address provided must be where the child lives permanently. If residency is split between two parents, the address used must be the address of the parent who receives the Child Benefit.
11. School Preferences
 - Parents should list up to 5 schools in order of preference.
 - We try to offer places according to the highest ranked preference, for which a place may be available.
 - Parents may want to include their local school as one of their preferences because if we are not able to meet a higher preference and their normal area school is oversubscribed, we will give a child a place at the nearest school with places available.
 - If parents name a school other than their normal area school, they will normally be responsible for transport.
12. The closing date for submission of Common Application Forms will be Sunday, 15 January 2012.
13. In accordance with the requirements of the School Admissions Code we will maintain a waiting list until 31 December 2012. Children will be ranked on the waiting list in the same order as the published oversubscription criteria.

Late Applications

14. If a common application form is received after the closing date of Sunday, 15 January 2012, without a genuine reason, we will consider it to be a late application and will process it after we have considered all other applications received by the published deadline.

Change of Preference

15. Parents will not be allowed to change their preferences after Sunday, 15 January 2012 without a genuine reason for doing so.

Allocation of Places

16. After the closing date of 15 January 2012 we will send details of children who have expressed preferences for schools for whom we are not the admissions authority, to those authorities for consideration. This will include Voluntary Aided, Foundation and Trust schools within North Yorkshire and neighbouring Local Authorities.
17. Preferences for schools within another Local Authority's boundary will be sent to that Local Authority for them to administer according to their co-ordinated scheme.
18. Voluntary Aided, Foundation and Trust Schools and other Local Authorities will be responsible for collecting from parents whatever additional information they need in order to apply their oversubscription criteria. They should therefore ensure supplementary information forms are sent to all parents who express a preference for their school.
19. We will receive, from neighbouring Local Authorities information of children expressing preferences for North Yorkshire Voluntary Aided, Foundation and Trust schools which we will process as part of our co-ordinated arrangements along with those for North Yorkshire children. The exchange of information dates specified at Annex 1 to Appendix C will apply.
20. All admission authorities will then apply their oversubscription criteria, if there are more applications than places available. They will identify which oversubscription criteria children fall into and will produce a list showing the position of each pupil, indicating those who can be offered a place. The list will also show the position of other children who have expressed a preference for that school who cannot be allocated a place.
21. We will inform our neighbouring Local Authorities which of their children can and cannot be offered places at any of our schools.

22. We must receive a list from North Yorkshire Voluntary Aided, Foundation and Trust schools and neighbouring Local Authorities which ranks all children whose parents have expressed a preference for their school on common application form regardless of whether they have completed a supplementary information form. We will produce lists of children to whom we can offer places at our Community and Voluntary Aided Schools.
23. Where we cannot meet any parental preference expressed for a North Yorkshire child we will allocate a place at an alternative school with places available. This may or may not be the local school.
24. We will communicate the results of this initial allocation to enable other authorities to operate their own co-ordinated schemes.
25. Once all the final adjustments have been made, a final allocation of places will take place, based on the highest ranked preference place we are able to offer. We will obtain from other Local and Admission Authorities information enabling us to give reasons why the child has not been allocated a place at their school of preference as this information will be included in the letter allocating them a lower preference school.

The Offer of a Place

26. No places will be held in reserve for any school.
27. We will write to all parents of North Yorkshire children on Monday, 23 April 2012, notifying them of the single school place allocated to their child or children.
28. The place offered could be at one of our Community or Voluntary Controlled schools, one of the Voluntary Aided, Foundation or Trust schools within North Yorkshire or a school in an area served by another Local Authority.
29. We will send all Primary schools in North Yorkshire on Monday, 23 April 2012, details of the children who have been allocated a place at the school.

Appeals

30. Where we have been unable to offer a school place listed as a higher preference, parents will be offered the statutory right of appeal against the decision.
31. In such circumstances the offer letter will give the reason why we have been unable to allocate their other stated preferences. Where the statutory right of appeal is the responsibility of North Yorkshire Local Authority to administer we will enclose appeal papers. Where the

responsibility is that of another admissions authority, we will advise parents to contact them to confirm appeal arrangements.

32. Places accepted as a result of successful admission appeals, which take place after the allocation date, will lead to further changes to the original allocation. These changes must again be communicated to other admission authorities (and theirs to us) to enable all authorities to make final adjustments to the allocation.
33. Once appeals have been completed we will communicate with all the schools within our boundary to ensure that they have a correct and up-to-date allocation list. We will exchange final allocation details with our neighbouring local authorities to check for North Yorkshire children who will be attending other authorities' schools and other authorities' children who will be attending North Yorkshire schools.
34. Appeals will usually be heard for first admission to schools in June and July of 2012.

Waiting Lists

35. A waiting list will be maintained for all oversubscribed North Yorkshire Community, Voluntary Controlled, Voluntary Aided, Foundation and Trust schools until 31 December 2012.
36. The Local Authority requires the governing body of each Voluntary Aided, Foundation and Trust School to provide us with a copy of their waiting list and to update us when places become available. The Admissions Code states that any offer of a school place must always be made by the Local Authority.
18. Where places become available they will be allocated from the waiting list in accordance with the published oversubscription criteria.
19. Where we are able to offer a place to a non North Yorkshire child from the waiting list we will liaise with their home Authority.

Annex 1 to Appendix C

North Yorkshire Local Authority

*Primary for Aided, Community, Voluntary Controlled
and Foundation Schools Timetable 2012/13*

Date	Activity
September 2011	Literature and Common Application Forms to North Yorkshire parents.
15 January 2012	Closing date for the submission of Common Application Forms.
20 January 2012	Neighbouring Local Authorities to send us details of children in their area who have expressed preferences for schools in North Yorkshire (depending on their timetables). We send details of children expressing preferences for schools in other Local Authority areas to those authorities for consideration.
20 January 2012	The education office send out details of all children who have expressed preferences for North Yorkshire Voluntary Aided, Foundation and Trust schools to the schools for consideration.
10 February 2012	Information to be returned to us by Voluntary Aided, Foundation and Trust schools on which places they can allocate.
12 March 2012	Send first round of allocation information to other authorities identifying potential offer(s).
19 March 2012	Input information from first cycle of parental preferences.
26 March 2012	Send second allocation cycle information to other authorities
2 April 2012	Input preference information from second cycle and send final allocation information to other authorities.
23 April 2012	Send out allocation letters to all North Yorkshire parents. Inform schools of final allocations.
June and July 2012	Statutory admission appeals.
11 June 2012 to 31 December 2012	Manual adjustments to allocation and communicating those results to other authorities.
31 December 2012	Closure of waiting list.

NORTH YORKSHIRE COUNTY COUNCIL

CHILDREN AND YOUNG PEOPLE'S SERVICE

CORPORATE DIRECTOR MEETING WITH EXECUTIVE MEMBERS

27 November 2009

IN YEAR FAIR ACCESS PROTOCOL

1.0 PURPOSE OF REPORT

- 1.1 To consider the enclosed redraft of the 2007 In Year Fair Access Protocol following publication of the latest School Admissions Code by DCSF in February this year.

2.0 BACKGROUND

- 2.1 The current In Year Fair Access Protocol has been in operation since 2005
- 2.2 This latest redrafted In Year Fair Access Protocol is aligned to current legislation and the latest Admissions Code of Practice, issued by the DfES and operational from February 2009.
- 2.3 Consultation with secondary schools will also be sought as part of the 2011-12 general coordination admission arrangements from this redrafted protocol.
- 2.4 The Local Authorities Admission Forum will also be consulted in relation to this redraft protocol as part of the 2011-12 coordination process.
- 3.0 The main issues raised by the New Schools Admission Code relating to the In Year Fair Access Protocols are:
- 3.1 All Local Authorities are required to have in place each year a scheme for coordinating admission arrangements for maintained schools within their area. As part of this scheme they must have a Fair Access Protocol and all schools and Academies must participate in their Local Authorities Protocol. A home Local Authority should contact a neighbouring authority to help secure a school place in that authority under the protocol, if appropriate.
- 3.2 Fair Access Protocols exist to ensure their access to education is secured quickly for children who have no school place but for whom a place at a mainstream school or alternative provision is appropriate. Protocols also have to ensure that all schools in an admissions authority area admit their fair share of children with challenging behaviour including children excluded from other schools.
- 3.3 An agreed protocol must include timescales for considering and resolving individual cases that are to best serve the interest of parents and children. The protocol must also describe who will take part in the process, how children will be allocated, how decisions will be taken and who will be ultimately accountable for them. Admission Forums must ensure that no school including those with places available are asked to take a disproportionate number of excluded / or pupils with challenging behaviour.

- 3.4 When a child moves from one school to another in England, the governing body of the school the child moves from must transfer their educational record to the new school no later than 15 school days after the child ceases to be registered there.
- 3.5 Children without a school place must take precedence over children on a waiting list attending another school. Local Authorities must not require undersubscribed schools to admit a greater proportion of children with a recent history of challenging behaviour than other schools.
- 3.7 The new School Admission Code identifies the key requirements of any Published In Year Fair Access Protocol. These are:
- Local authorities, working with parents, **should** draw up reintegration plans for permanently excluded pupils at an early stage, but it is not expected that all permanently excluded pupils are to be reintegrated to a mainstream school.
 - Local authorities must ensure that all vulnerable children seeking a school place outside of the normal admissions round (In Year admissions) are included in these arrangements.
 - In general, pupils **should not** be reintegrated to mainstream schools unless they are ready and schools **should not** be required or pressured into taking a pupil until their behavioural problems have been assessed, suitably addressed and they are ready to take the step back into a mainstream setting. In addition some pupils may benefit from an early start in a further education college or other setting.
 - Local authorities **should** offer schools additional help to reintegrate some pupils, for example, Pupil Referral Unit (PRU) teachers continuing to work with the pupil when they have returned to mainstream school or a dual registration arrangement where, for a short time, the pupil spends part of the week in a PRU and part in the school, to ensure a smooth transition.
 - Local authorities **must** consider the circumstance of the individual pupil, in terms of what is best for them, whether they are ready for mainstream schooling and, if so, which mainstream school will be best able to meet their needs. This principle **should** also guide the operation of Fair Access Protocols. Protocols **should** avoid an inflexible approach, where schools are routinely expected to admit the next child in line without any consideration of other factors. The allocation of pupils should be equitable with no one school or Academy being required to take a disproportionate number of challenging children.
 - Schools cannot cite oversubscription as a reason for not admitting a pupil under a Fair Access Protocol. Hard to place pupils **should** be given priority for admission over others on a waiting list or awaiting an appeal. Schools must respond quickly to requests for admission so that the admission of the pupil is not delayed and should not insist on an appeal being heard before admitting a child under a Protocol. Schools should not refuse to admit a pupil who has been denied a place at that school on appeal, if the Protocol identifies that school as the one to admit the child.
 - As part of assessing the suitability of a placement for a pupil, the local authority (or Collaborative panel) **must** take account of any genuine concerns about the admission, for example a previous serious breakdown in the relationship between the school and the family, or a strong views about the religious ethos of a school.
 - Wherever possible, pupils with a religious affiliation **should** be matched to a suitable school, but this **should not** override the individual school's

protocol if the school is unable to take the pupil, or if the pupil identified for the school does not have the affiliation.

- Protocols **must** include, as a minimum, children of compulsory school age in the following (eighteen) categories:
 - Children attending PRUs who need to be reintegrated back into mainstream education;
 - Children who have been out of education for longer than one school term including those returning to mainstream education following a period of elective home education;
 - Children whose parents have unable to find them a place after moving to the area, because of a shortage of places;
 - Children withdrawn from schools by their family, following fixed term exclusions and are unable to find another place;
 - Children of refugees and asylum seekers;
 - Homeless children including children being accommodated in refuge settings;
 - Looked After Children;
 - Children with unsupportive family backgrounds, where a place has not been sought;
 - Children known to the police or other agencies;
 - Children without a school place and with a history of **serious** attendance problems (i.e. less than 50%);
 - Traveller children;
 - Children who are carers;
 - Children with special educational needs (but without a statement);
 - Children with disabilities of medical conditions;
 - Children returning from the criminal justice system;
 - Children of UK service personnel and other Crown Servants
 - Children permanently excluded from other schools and
 - Children with fixed term exclusions exceeding 15 days in the current academic year;
- Local Authorities can also include in these protocol arrangements particular categories of pupils which take account of local issues or circumstances pertinent to them.
- Local Authorities must monitor how well protocols are working by including an assessment of their effectiveness and operation including numbers of children admitted to schools in their report to the Schools Adjudicator.
- When a child moves from one school to another in England the governing body of the school the child moves from must transfer their educational record to the new school no later than 15 school days after the child ceases to be registered there. If the new school is unknown, it is imperative to find out this information about them by telephone or writing to the parents. The Governing body of the school should send a common transfer file via the Secure Data Transfer (S2S) web site identifying the pupils destination as “unknown” if the child’s future educational provision is not known. The information is posted on the host Pupil Database where admission authorities can search files for pupils.
- The LA has also agreed that a Year 11 PRS/PRU roll should exist. Recommendations as to which individual pupils should be placed on the PRS/PRU roll must be made by the local Collaborative at a Collaborative Panel meeting and confirmed by the PRS/PRU Head teacher (Teacher in charge in the Selby Centre) and the Local Authority Lead Officer for Out of School Provision following assessment and parent/carer approval.

- The Year 11 PRS/PRU roll could include:
- i.) pupils with a Statement of SEN who have previously attended a BESD Special School.
 - ii.) pupils who have been twice permanently excluded.
 - iii.) pupils released from secure estate.
 - iv.) Permanently excluded pupils who are new to the area.
 - v.) Pupils who are substantially or wholly educated by the PRS/PRU.

It is only under exceptional circumstances that pupils from other year groups, who have been permanently excluded from two schools, including other local authority schools, may be considered for placement on the PRS/PRU roll.

- 3.8 Children with special educational needs but without statements must be treated in at least the same way as all other applicants.

Protocols must include arrangements for ensuring that, where there is a prior need for particular support or reasonable adjustment for children with special education needs, they are progressed quickly.

Children with statements of special educational needs or where a child is in care that name a school and arrive outside the named admission record **must** be admitted to the school even if the school is full unless an appeal made to the school adjudicator or Secretary of State, is successful.

4.0 RECOMMENDATION

- 4.1 That the enclosed In Year Fair Access Protocol be approved for implementation in January 2010.

CYNTHIA WELBOURN
Corporate Director – Children and Young People’s Service

*Report prepared by Nigel Ogle, Behaviour, Emotional, Social Difficulties Network
Coordinator Access and Inclusion*

Consulted: Executive Member

Date: January 2010

Consulted: Executive Member

Date: January 2010

Agreed: Corporate Director - CYPS

Date: January 2010

In Year Fair Access Protocol

1.0 Purpose of Protocol

- 1.1 To ensure that for in year admissions (i.e. outside of the normal admissions round) specified groups of vulnerable children are admitted to a suitable school as quickly as possible.
- 1.2 To encourage the equitable distribution of vulnerable pupils needing to be admitted in year so that no school is overburdened.

2.0 To Which Groups of Children does the Protocol Apply?

2.1 The in year admission to school of the following groups of children will be managed under this protocol:

- Children attending PRUs who need to be reintegrated back into mainstream education;
- Children who have been out of education for longer than one school term including those returning to mainstream education following a period of elective home education;
- Children whose parents have unable to find them a place after moving to the area, because of a shortage of places;
- Children withdrawn from schools by their family, following fixed term exclusions and are unable to find another place;
- Children of refugees and asylum seekers;
- Homeless children including children being accommodated in refuge settings;
- Looked After Children;
- Children with unsupportive family backgrounds, where a place has not been sought;
- Children known to the police or other agencies;
- Children without a school place and with a history of **serious** attendance problems (i.e. less than 50%);
- Traveller children;
- Children who are carers;
- Children with special educational needs (but without a statement);
- Children with disabilities or medical conditions;
- Children returning from the criminal justice system;
- Children of UK service personnel and other Crown Servants
- Children permanently excluded from other schools and
- Children with fixed term exclusions exceeding 15 days in the current academic year;

3.0 Other Admissions

- 3.1 It is important to emphasise that, in the vast majority of cases, children requiring a school place will continue to be admitted in accordance with the usual admission procedures, rather than through the protocol.
- 3.2 Mid-year admissions where a child is not considered hard to place, will be managed through the usual admission procedure in line with parental preference.

- 3.3 Schools will continue to admit local pupils who apply for an available place under normal admission arrangements i.e. up to the Maximum Admission Limit for the year group.
- 3.4 The protocol does not cover the admission of children with statements of SEN which will continue to be managed through the statutory assessment and statementing process.

General Application of the Protocol

- In each of the 7 areas of the County, a local partnership panel including secondary Headteachers or their representatives will meet on a regular basis. All 7 behaviour and attendance partnerships known as Collaboratives in North Yorkshire LA meet regularly: Craven, Hambleton and Richmondshire, Harrogate, Ryedale, Scarborough and Selby meet every fortnight and Whitby meet once a month. All secondary schools in the area must agree to take part even where they are their own admissions authority.
- A key purpose of the panel will be to manage in year admissions where the protocol criteria apply
- The number of scheme places per school year group will increase from 1 to 2, if and when the number of admissions through the protocol has reached over 1 per year group across the schools in the local partnership.
- Hard to place pupils will be given priority for admission over others on a waiting list or awaiting an appeal
- All local partnership schools, including those who are VA or who are their own admissions authority, will agree to admit 1 hard to place pupil in each year group. Local school partnership panels will consider a 'weighting' for small secondary schools where the impact on small year groups may be considerable.
- Schools will not insist on an appeal being heard before admitting a child under this protocol
- Schools will not refuse to admit a pupil who has been denied a place at that school at appeal, if the protocol identifies that school as the one to admit the child
- The panel must take account of any genuine concerns about the admission, for example a previous serious breakdown in the relationship between the school and the family, or a strong aversion to, or desire for the religious ethos of a school
- Parental rights to preference a school that has places below Maximum Admission Limit may still override the protocol. However local panels will work in partnership with parents to identify a local school as the one most appropriate to meet the pupil's needs.
- For a pupil to be placed at a North Yorkshire Grammar School in line with the In Year Fair Access criteria, he or she must also meet the academic criteria for that school.
- Schools must respond within the timescales specified in this protocol, to requests for admission, so that the admission of the pupil is not delayed.
- Wherever possible, pupils with a religious affiliation should be matched to a suitable school. If the school with a religious affiliation has already taken a pupil under the protocol in that year group, then the pupil may be offered a place at a different school that doesn't have the religious affiliation.

- When a child to whom this protocol applies moves into North Yorkshire, the local authority will collate background information and complete a referral to the panel.
- Admissions agreed between schools under the Scheme of Managed Moves do not count as places allocated under this protocol. The local authority will collate data on the two schemes separately and make the data available to panels on a regular basis.

5.0 Suspension of arrangements

5.1 Consideration will be given to suspending this protocol in line with guidance and criteria in the Admissions Code of Practice where a school has a particularly high proportion of children with challenging behaviour or previously excluded children and one or more of the following exceptional circumstances exists, namely that the school:

- a) Required special measures or has recently come out of them (within the last two years);
- b) Has been identified by Ofsted as having serious weaknesses or requiring significant improvement and therefore given 'notice to improve';
- c) Is subject to a formal warning notice;
- d) Is a Fresh Start school or Academy open for less than two years; or
- e) Is a secondary school where less than 20% of children are achieving 5 or more GCSEs at grades A*-C (including English and Mathematics), or a primary school where fewer than 55% of pupils achieve level 4 or above at Key Stage 2 in both English and mathematics for four or more consecutive years.

Or temporary suspension of the policy is strongly recommended for a school from the local authority Link Advisor or School Improvement Partner (SIP).

f) The LA has also agreed that a Year 11 PRS/PRU roll should exist. Recommendations as to which individual pupils should be placed on the PRS/PRU roll must be made by the local Collaborative and confirmed by the PRS/PRU Head teacher (Teacher in charge in the Selby Centre) and the Local Authority Lead Officer for Out of School Provision following assessment and parent/carer approval.

The Year 11 PRS/PRU roll could include:

- i) pupils with a Statement of SEN who have previously attended a BESD Special School.
- ii) pupils who have been twice permanently excluded.
- iii) pupils released from secure estate.
- iv) permanently excluded pupils who are new to the area.
- v) pupils who are substantially or wholly educated by the PRS/PRU.

It is only under exceptional circumstances that pupils from other year groups, who have been permanently excluded from two schools, including other local authority school, may be considered for placement on the PRS/PRU roll.

6.0 Local Flexibility

Whilst working within the spirit of the protocol a local panel must use discretion and judgement to achieve the best outcome for the child concerned and other children. For instance, one school may have compelling reasons (agreed by the panel) for not admitting to a particular year group at that time. The school might therefore agree to make 2 places available in a different year group.

7.0 Monitoring Arrangements

- All mid-year admissions under the protocol will be monitored by the local authority and the local panel.
- Regular monitoring reports will be made available to the Admissions Forum on the implementation of the Protocol
- A local authority officer will attend all Collaborative Panels wherever possible usually the Lead for Out of School Provision and/or a colleague from the Admissions team.

8.0 Additional Support

Additional advice for schools admitting children under this protocol may be available from the local authority e.g. from the Education of Looked After Children team. This should be discussed at the meeting of the panel.

9.0 Timescales

- All referrals under this protocol should be considered at the following Collaborative panel.
- Within 10 working days of the panel meeting, a panel representative will discuss admission and potential school(s) with parent and pupil
- Within 15 days of a panel meeting, the identified school will invite the parent and the young person for an admissions meeting with the opportunity to view the school and formulate an integration plan
- Within 20 days the child should be admitted on roll and start attending the identified school.

10.0 Actions by Schools that Contravene the Agreement

Schools in the local partnership agree not to advise parents to:

- remove their child from school and find another school
- remove their child from the roll of the school and voluntarily educate at home.

11.0 Transport

Free or assisted transport will be provided to enable a pupil to attend the school agreed by the panel if it is over three miles from home. This arrangement currently applies to pupils permanently excluded from school.

12.0 Financial Procedures

Where a pupil is permanently excluded the excluding school must return any remaining Age-Weighted Pupil Unit (AWPU) for that particular pupil to the local authority for transfer to the receiving school.

13.0 Cross Border Issues

The local authority will consult with neighbouring authorities over financial support and equity for pupils who meet the In Year Fair Access Protocol, and who attend school in one authority, and live in another.

Appendix 4e

Appendix 5

DfE No. 815-	School	Published Admission Limit 2011/2012	Proposed Published Admission Limit 2012/2013	Nursery places	Pre reception
3000	Ainderby Steeple Church of England Primary School	15	15		
3001	Aiskew, Leeming Bar Church of England Primary School	14	14		
2150	Alanbrooke School	15	15		
3616	All Saints Roman Catholic Primary School, Thirsk	14	14		
3361	All Saints, Church of England School, Kirkby Overblow	12	12		
2245	Alne Primary School	15	15		
2242	Alverton Infant School	30	30	26	
2246	Amotherby Community Primary School	25	25		
2080	Applegarth Primary School	40	40		
2301	Appleton Roebuck Primary School	12	12		6
2247	Appleton Wiske Community Primary School	12	12		
3006	Arkengarthdale Church of England Primary School	8	8		
3221	Arncliffe Church of England Voluntary Controlled Primary School	7	7		
3289	Askrigg Voluntary Controlled Primary School	14	14		
2302	Askwith Community Primary School	13	13		2
3350	Austwick Church of England (V.A.) Primary School	10	10	13	
3008	Bainbridge Church of England Primary and Nursery School	9	9	6.5	
3009	Baldersby St. James Church of England Voluntary Controlled Primary School	8	8		
3369	Barkston Ash Catholic Primary School	20	20		
2400	Barlby Bridge Community Primary School	22	22	13	
2401	Barlby Community Primary School	42	45	26	
3223	Barlow Church of England Voluntary Controlled Primary School	15	15		
2108	Barrowcliff Nursery & Infant School	60	60	19.5	
3133	Barton Church of England Primary School	11	11		
2348	Beckwithshaw Community Primary School	9	12		
3010	Bedale Church of England Primary School	54	54		
3012	Bilsdale Midcable Chop Gate Church of England Voluntary Controlled Primary School	6	6		
3226	Birstwith Church of England Primary School	12	12		
3227	Bishop Monkton Church of England Primary School	18	18		
3228	Bishop Thornton Church of England Primary School	8	8		
3301	Bolton-on-Swale St Mary's Church of England Primary School	14	14		
2309	Boroughbridge Primary School	36	30		
2310	Bradleys Both Community Primary School	19	19		
3231	Brayton Church of England Voluntary Controlled Infant School	60	60		15
2379	Brayton Community Junior School	60	60		
2250	Brompton & Sawdon Community Primary School	10	10		
2249	Brompton Community Primary School	20	22	10	
3015	Brompton-on-Swale Church of England Primary School	25	25		
2225	Broomfield School	35	35		
2311	Brotherton & Byram Community Primary School	30	30	26	
2218	Bullamoor Junior School	30	30		
3337	Burneston Church of England (Voluntary Aided) Primary School	19	19		
3352	Burnsall Voluntary Aided Primary School	12	12		
3356	Burnt Yates Church of England Primary School	8	8		
3232	Burton Leonard Church of England Primary School	10	10		
2312	Burton Salmon Community Primary School	7	7		
2387	Camblesforth Community Primary School	17	17		
3354	Carleton Endowed School	20	20		
3306	Carlton and Faceby Church of England Voluntary Aided Primary School	11	11		
2252	Carlton Miniott Community Primary School	27	27		
2314	Carlton-in-Snaith Community Primary School	28	28		
2256	Castleton Community Primary School	8	8		
2212	Catterick Garrison, Carnagill Community Primary School	30	30	13	
2173	Catterick Garrison, Le Cateau Community Primary School	60	60	39	
2189	Catterick Garrison, Wavell Community Infant School	72	72	23	
2188	Catterick Garrison, Wavell Community Junior School	60	60		
3355	Cawood Church of England Voluntary Aided Primary School	25	30	13	
2224	Cayton Community Primary School	30	30		7.5
3233	Chapel Haddlesey Church of England Voluntary Controlled Primary School	7	7		
3273	Christ Church Church of England Voluntary (Controlled) Primary School	20	20		
3234	Clapham Church of England Voluntary Controlled Primary School	10	10		

DfE No.	School	Published Admission Limit 2011/2012	Proposed Admission Limit 2012/2013	Nursery places	Pre reception
3150	Cliffe Voluntary Controlled Primary School	16	16		
2167	Colburn Community Primary School	30	30	39	
2316	Cononley Community Primary School	21	21		
2317	Cowling Community Primary School	19	19		
3235	Cracoe and Rylstone Voluntary Controlled Church of England Primary School	7	7		
3020	Crakehall Church of England Primary School	14	14		
3021	Crayke Church of England Voluntary Controlled Primary School	13	13		
3022	Croft Church of England Primary School	15	15	6.5	
3357	Dacre Braithwaite Church of England Primary School	10	10		
3025	Danby Church of England Voluntary Controlled School	10	10		
2347	Darley Community Primary School	20	20		
2165	Dishforth Airfield Community Primary School	15	15		
3027	Dishforth Church of England Voluntary Controlled Primary School	10	10		
2318	Drax Community Primary School	10	10		
2164	Easingwold Community Primary School	45	45		
2257	East Ayton Community Primary School	30	30		
3030	East Cowton Church of England Primary School	8	8		
3308	Egton Church of England Voluntary Aided Primary School	8	8		
3236	Embsay Church of England Voluntary Controlled Primary School	28	30		
3034	Eppleby Forcett Church of England Primary School	8	8		
3153	Escrick Church of England Voluntary Controlled Primary School	17	17		
2320	Fairburn Community Primary School	8	8		
3632	Farnley Church of England Voluntary Aided Primary School	15	15		
3154	Filey Church of England Voluntary Controlled Infant and Nursery School	76	76	26	
2413	Filey Junior School	85	85		
3237	Follifoot Church of England Primary School	9	9		
3288	Forest of Galtres Anglican/Methodist Primary School	27	27		
3039	Foston Church of England Voluntary Controlled Primary School	3	3		
3266	Fountains Church of England Primary School	15	15		
3238	Fountains Earth, Lofthouse Church of England Endowed Primary School	6	6		
3139	Fylingdales Church of England Voluntary Controlled Primary School	8	8		
3285	Gargrave Church of England Voluntary Controlled Primary School	20	20		
2324	Giggleswick Primary School	13	13		
3040	Gillamoor Church of England Voluntary Controlled Primary School	7	7		
2117	Gladstone Road Infant School	117	117		
2116	Gladstone Road Junior School	117	117		
2041	Glaisdale Primary School	8	8		
2338	Glasshouses Community Primary School	10	10		
2393	Glusburn Community Primary School	48	48	26	
2043	Goathland Primary School	7	7		
3240	Goldsborough Church of England Primary School	12	12		
3241	Grassington Church of England (Voluntary Controlled) Primary School	12	12		
2426	Great Ayton, Roseberry Community Primary School	30/21	30/21		
2327	Great Ouseburn Community Primary School	15	15		7.5
2047	Great Smeaton Community Primary School	10	10		
3242	Green Hammerton Church of England Primary School	17	17		
3243	Grewelthorpe Church of England Primary School	10	10		
3207	Gunnerside Methodist Primary School	7	7		
3045	Hackforth and Hornby Church of England Primary School	7	7		
3046	Hackness Church of England Voluntary Controlled Primary School	8	8		
3244	Hambleton Church of England Voluntary Controlled Primary School	25	25		
3245	Hampsthwaite Church of England Primary School	15	15	6.5	
2328	Harrogate, Bilton Grange Community Primary School	48	48		
2383	Harrogate, Coppice Valley Community Primary School	35	35		
2329	Harrogate, Grove Road Community Primary School	40	40	26	
2368	Harrogate, Hookstone Chase Community Primary School	40	40		
2330	Harrogate, New Park Community Primary School	40	40		
2376	Harrogate, Oatlands Community Junior School	75	75		
2372	Harrogate, Pannal Community Primary School	45	45		
2424	Harrogate, Saltergate Community Junior School	60	60		
3247	Harrogate, St. Peter's Church of England Primary School	40	40		

DfE No. 815-	School	Published Admission Limit 2011/2012	Proposed Admission Limit 2012/2013	Nursery places	Pre reception
2332	Harrogate, Starbeck Community Primary School	50	50	26	
2364	Harrogate, Willow Tree Community Primary School (<i>Wedderburn Infant/Woodlands Junior amalgamation</i>)		75	39	
2334	Harrogate, Woodlands Community Junior School	90	See Harrogate, Willow Tree CP		
2056	Hawes Community Primary School	15	15	7	
3050	Hawsker cum Stainsacre Church of England Voluntary Controlled Primary School	12	12		
2336	Hellifield Community Primary School	15	15		
2236	Helmsley Community Primary School	24	24	13	
2402	Hemingbrough Community Primary School	30	30		
2337	Hensall Community Primary School	17	18		
3155	Hertford Vale Church of England Voluntary Controlled Primary School, Staxton	18	18		6.5
2305	High Bentham Community Primary School	25	25	13	
3053	Hipswell Church of England Primary School	24	24		
2340	Hirst Courtney & Temple Hirst Community Primary School	7	7		
3284	Holy Trinity Church of England Infant School	60	60	26	
3263	Holy Trinity Church of England Junior School	74	74		
3358	Horton-in-Ribblesdale Church of England Voluntary Aided Primary School	10	10	6.5	
3054	Hovingham Church of England Voluntary Controlled Primary School	8	8		
3055	Huby Church of England Voluntary Controlled Primary School	14	14		
2403	Hunmanby Primary School	30	30	26	
2063	Hunton and Arrathorne Community Primary School	10	10		
3057	Husthwaite Church of England Voluntary Controlled Primary School	20	20		
2228	Hutton Rudby Primary School	30	30		
3336	Ingleby Arncliffe Church of England Voluntary Aided Primary School	11	11		
3060	Ingleby Greenhow Church of England Voluntary Controlled Primary School	10	10		
2391	Ingleton Primary School	28	28	26	
3076	Kell Bank Church of England Primary School	5	5		
2422	Kellington Primary School	19	19	13	
2321	Kettlesing Felliscliffe Community Primary School	8	8		
2343	Kettlewell Primary School	7	7		
3287	Kildwick Church of England (Voluntary Controlled) Primary School	17	17		
3248	Killinghall Church of England Primary School	15	15		
3062	Kirby Hill Church of England Primary School	17	17	13	
3251	Kirk Fenton Parochial Church of England Voluntary Controlled Primary School	27	27	13	
3252	Kirk Hammerton Church of England Primary School	12	12		
3253	Kirk Smeaton Church of England (Voluntary Controlled) Primary School	12	12		
3315	Kirkby & Great Broughton Church of England Voluntary Aided Primary School	18	18		
3065	Kirkby Fleetham Church of England Primary School	9	9		
3360	Kirkby in Malhamdale United Voluntary Aided Primary School	12	12		
3249	Kirkby Malzeard Church of England Primary School	15	15		
2064	Kirkbymoorside Community Primary School	30	30	13	
2377	Knareborough, Aspin Park Community Primary School	60	60		
2389	Knareborough, Meadowside Community Primary School	30	30		
3068	Knayton Church of England Voluntary Controlled Primary School	15	15		
2404	Langton Primary School	15	15		
2042	Lealholm Primary School	8	8		
2405	Leavening Community Primary School	10	10		
2040	Leeming and Londonderry Community Primary School	8	8		
2166	Leeming RAF Community Primary School	40	40		
2065	Leyburn Community Primary School	30	30		
2233	Lindhead School	30	30		
2171	Linton-on-Ouse Primary School	15	15		
3255	Long Marston Church of England Voluntary Controlled Primary School	8	8		
3362	Long Preston Endowed Voluntary Aided Primary School	13	13		
2346	Lothersdale Community Primary School	15	15		
2406	Luttons Community Primary School	8	8		
3069	Lythe Church of England Voluntary Controlled Primary School	15	15		
2074	Malton Community Primary School	42	42	13	
3256	Markington Church of England Primary School	12	12		
3363	Marton-cum-Grafton Church of England Voluntary Aided Primary School	14	14		6.5

DfE No. 815-	School	Published Admission Limit 2011/2012	Proposed Admission Limit 2012/2013	Nursery places	Pre reception
3042	Marwood Church of England Voluntary Controlled Infant School, Great Ayton	21	21		
3319	Masham Church of England VA Primary School	20	20		
3208	Melsonby Methodist Primary School	10	10		
3307	Michael Syddall Church of England (Aided) Primary School	36	36		
3320	Middleham Church of England Aided School	13	13		
3079	Middleton Tyas Church of England Primary School	19	19		
3257	Monk Fryston Church of England Voluntary Controlled Primary School	30	30		
2366	Moorside Infant School	36	36		
2367	Moorside Junior School	36	36		
2075	Nawton Community Primary School	15	15		
2076	Newby and Scalby Primary School	60	60		
2081	North & South Cowton Community Primary School	7	7		
2407	North Duffield Community Primary School	25	25		
3260	North Rigton Church of England (C) Primary School	13	13		
3258	North Stainley Church of England Primary School	8	8		
2163	Northhallerton, Mill Hill Community Primary School	30	30		
2408	Norton Community Primary School	60	60	26	
5200	Nun Monkton Primary School	4	4		
2060	Oakridge Community Primary School	10	10	6.5	
2331	Oatlands Infant School	75	75		
2083	Osmotherley Primary School	10	10		
2235	Pickering Community Infant School	75	75		
2222	Pickering Community Junior School	75	75		
3088	Pickhill Church of England Primary School	9	9		
3365	Rathmell Church of England (Voluntary Aided) Primary School	10	10		5
3090	Ravensworth Church of England Primary School	13	13		
2096	Reeth Community Primary School	8	8	13	
2410	Riccall Community Primary School	30	30		
3368	Richard Taylor Church of England Primary School	39	39		
3353	Richard Thornton's Church of England (Voluntary Aided) Primary School	15	15		
3092	Richmond Church of England Primary School	45	45	26	
3210	Richmond Methodist Primary School	45	45		
2411	Rillington Community Primary School	20	20		
3261	Ripley Endowed (Church of England) School.	13	13		
3262	Ripon Cathedral Church of England Primary School	30	30	26	
2388	Ripon, Greystone Community Primary School	28	28	26	
3264	Roecliffe Church of England Primary School	12	12		2.5
2097	Romanby Primary School	40	40		
2098	Rosedale Abbey Community Primary School	7	7		
2382	Rossett Acre Primary School	60	60		
3126	Ruswarp Church of England Voluntary Controlled Primary School	15	15		
3902	Sacred Heart RC Primary, Northhallerton	13	13		
2425	Saltergate Infant School	58	58	42	
3099	Sand Hutton Church of England Voluntary Controlled Primary School	11	11		
3267	Saxton Church of England Voluntary Controlled Primary School	10	10		
2109	Scarborough, Barrowcliff Community Junior School	60	60		
2161	Scarborough, Braeburn Community Junior School	60	60		
2112	Scarborough, Braeburn Infant & Nursery School	60	60		
2114	Scarborough, Friarage Community Primary School	45	45	26	
2118	Scarborough, Hinderwell Community Primary School	30	30	26	
2120	Scarborough, Northstead Community Primary School	87	87		
2170	Scarborough, Overdale Community Primary School	30	30		
2350	Scotton Lingerfield Community Primary School	10	10		
2223	Seamer & Irton Community Primary School	56	56		
3268	Selby Abbey Church of England Voluntary Controlled Primary School	51	55		
2351	Selby Community Primary School	48	48	26	
2390	Selby, Barwic Parade Community Primary School	35	35	26	
2418	Selby, Longman's Hill Community Primary School	29	29		
3101	Sessay Church of England Voluntary Controlled Primary School	15	15		
3270	Settle Church of England Voluntary Controlled Primary School	30	30		

DfE No. 815-	School	Published Admission Limit 2011/2012	Proposed Admission Limit 2012/2013	Nursery places	Pre reception
3160	Settrington All Saints' Church of England Voluntary Controlled Primary School	9	9		
3271	Sharow Church of England Primary School	9	9		
3161	Sherburn Church of England Voluntary Controlled Primary School	8	8		11+
2421	Sherburn in Elmet, Athelstan Community Primary School	39	29	26	
2380	Sherburn in Elmet, Hungate Community Primary School	30	42	13	
2186	Sheriff Hutton Primary School	15	15		
2354	Sicklinghall Community Primary School	9	9		
2221	Sinnington Community Primary School	12	12		
3272	Skelton Newby Hall Church of England Primary School	6	6		
3274	Skipton Parish Church Church of England Voluntary Controlled Primary School	50	50		
2365	Skipton, Greatwood Community Primary School	30	30	20	
2355	Skipton, Ings Community Primary and Nursery School	15	12	6.5	
2356	Skipton, Water Street Community Primary School	30	30		
3035	Sleights Church of England Voluntary Controlled Primary School	15	15	6.5	
2132	Slingsby Community Primary School	7	7		
3108	Snainton Church of England Voluntary Controlled Primary School	10	10		
2133	Snape Community Primary School	7	7		
3109	South Kilvington Church of England Voluntary Controlled Primary School	10	10		
2357	South Milford Community Primary School	30	30		
3291	South Otterington Church of England Voluntary Controlled Primary School	20	20		
2183	Sowerby Community Primary School	45	45		
3110	Spennithorne Church of England Primary School	12	12		
3275	Spofforth Church of England (Controlled) Primary School	15	15	6.5	
3903	St John's CE Primary School, Knaresborough	40	50		
3600	St. Benedict's Roman Catholic Primary School, Ampleforth	15	15		
3225	St. Cuthbert's Church of England Primary School, Pateley Bridge	21	21	6.5	
3631	St. George's Roman Catholic Primary School, Scarborough	14	14	26	
3602	St. Hedda's Roman Catholic Primary School	7	7		
3005	St. Hilda's Ampleforth Church of England Voluntary Controlled Primary School	7	7		
3620	St. Hilda's Roman Catholic Primary School	15	15		
3370	St. Joseph's Catholic Primary School, Bishop Thornton	8	8		
3378	St. Joseph's Catholic Primary School, Harrogate	30	30		
3376	St. Joseph's Catholic Primary School, Tadcaster	10	10		
3610	St. Joseph's Roman Catholic Primary School, Pickering	15	15	13	
3326	St. Martin's Church of England Voluntary Aided Primary School, Scarborough	40	40		
3371	St. Mary's Catholic Primary School, Knaresborough	30	30		
3373	St. Mary's Catholic Primary School, Selby	26	26		
3609	St. Mary's Roman Catholic Primary School, Malton	14	15		
3614	St. Mary's Roman Catholic Primary School, Richmond	30	30		
3124	St. Nicholas Church of England Primary School, West Tanfield	7	7		
3607	St. Peter & St. Paul Roman Catholic Primary School, Leyburn	8	8		
3304	St. Peter's Brafferton Church of England Voluntary Aided Primary School	10	10		
3615	St. Peter's Roman Catholic Primary School	30	30		
3377	St. Robert's Catholic Primary School, Harrogate	40	40		
3375	St. Stephen's Catholic Primary School, Skipton	28	28	13	
3372	St. Wilfrid's Catholic Primary School, Ripon	20	20		
2061	Staithe, Seton Community Primary School	15	15	13	
2358	Staveley Community Primary School	10	10		
2138	Stillington Primary School	12	12		
2139	Stokesley Community Primary School	65	65	39	
2335	Summerbridge Community Primary School	10	10		
3276	Sutton in Craven Church of England Voluntary Controlled Primary School	15	15		
2359	Sutton in Craven Community Primary School	29	25		
3113	Sutton on the Forest Church of England Voluntary Controlled Primary School	13	13		
3335	Swainby and Potto Church of England Voluntary Aided Primary School	12	12		
2392	Tadcaster East Community Primary School	30	30	13	
2427	Tadcaster, Riverside Community Primary School	54	54	26	
3331	Terrington Church of England Voluntary Aided Primary School	9	9		
3351	The Boyle & Petyt Primary School	8	8		
2237	Thirsk Community Primary School	45	45	26	
3117	Thornton Dale Church of England Voluntary Controlled Primary School	28	28		

DFE No. 815-	School	Published Admission Limit 2011/2012	Proposed Admission Limit 2012/2013	Nursery places	Pre reception
2360	Thornton in Craven Community Primary School	10	10		
3119	Thornton Watlass Church of England Primary School	7	7		
2381	Thorpe Willoughby Community Primary School	40	41		
3277	Threshfield School	17	17		
3278	Tockwith Church of England Voluntary Controlled Primary School	30	30		
3120	Topcliffe Church of England Voluntary Controlled Primary School	19	19		
3122	Warthill Church of England Voluntary Controlled Primary School	6	6		
3163	Weaverthorpe Church of England Voluntary Controlled Primary School	9	9	6.5	
			See Harrogate, Willow Tree CP		
2364	Wedderburn Infant and Nursery School	68			
2151	Welburn Community Primary School	12	12		
3016	West Burton Church of England Primary School	7	7		
2197	West Cliff Primary School	30	30		
3165	West Heslerton Church of England Voluntary Controlled Primary School	8	8		7
2333	Western Primary School	52	52	52	
2206	Wheatcroft Community Primary School	36	30		
2190	Whitby, Airy Hill Community Primary School	30	30		
2154	Whitby, East Whitby Community Primary School	45	45	39	
2217	Whitby, Stakesby Community Primary School	34	34		
2363	Whitley & Eggborough Community Primary School	36	36		
3282	Wistow Parochial Church of England Voluntary Controlled Primary School	20	20		
2430	Woodfield Primary School	30	30		
3130	Wykeham Church of England Voluntary Controlled Primary School	8	8		

Appendix 4f

Appendix 6

DfE number [815-]	School	Publish Admission Number 2011/2012	Published Sixth Form Limit 2011/2012	Proposed Published Admission Number 2012/2013	Proposed Sixth Form Limit 2012/2013
4208	Aireville School	167		167	
4074	Allertonshire School	315		280	
4232	Barlby High School	165		150	
4052	Bedale High School	189		150	
4221	Boroughbridge High School	128	15	128	15
4224	Brayton High School	240		240	
4059	Caedmon School	184		150	
4005	Easingwold School	210	75	210	75
4608	Ermysted's Grammar School	112	20	112	20
4041	Eskdale School	146		146	
4150	Filey School, A Technology College	150		120	
4069	George Pindar Community Sports College	200		185	
4070	Graham School Science College	260		260	
4200	Harrogate Grammar School	256	30	256	30
4219	Harrogate High School	257	10	257	10
4610	Holy Family RC High School	90		90	
4201	Ingleton Middle School	86		86	
4202	King James's School	248	35	253	35
4054	Lady Lumley's School	162	30	140	30
4077	Malton School	125	80	125	80
4223	Nidderdale High School & Community College	94		94	
4503	Northallerton College	300	65	300	65
4152	Norton College	145	30	145	30
4071	Raincliffe School	173		173	
4076	Richmond School	245	80	245	80
4203	Ripon College	125	15	131	15
4215	Ripon Grammar School	117 inc 14 boarders	20	117 inc 14 boarders	20
4004	Risedale Sports and Community College	180		180	
4217	Rossett School	235	15	235	15
4022	Ryedale School	122		110	
4073	Scalby School	212		212	
4225	Selby High School	243		237	
4205	Settle College	165	5	165	5
4220	Settle Middle School	97		97	
4216	Sherburn High School Specialist Science College	205	0	205	0
4518	Skipton Girls' High School	112	20	112	20
4210	South Craven School, The Technology & Engineering College	270	42	270	42
4611	St Aidans Church of England High School	226	100	226	100
4604	St Augustines Catholic School	96		96	
4605	St Francis Xavier School	90		90	
4609	St John Fisher Catholic High School	196	30	196	30
4047	Stokesley School	222	20	180	20
4211	Tadcaster Grammar School Business and Enterprise College	262	10	262	10
4035	Thirsk School & Sixth Form College	210	10	210	10
4206	Upper Wharfedale School - A Specialist Sports College	58		58	
4075	The Wensleydale School	85	20	85	20
4039	Whitby Community College	295	20	295	20