

The Report of the Executive

The Executive met on Tuesday, 28 May 2013. County Councillor John Weighell in the Chair. County Councillors Gareth Dadd, Carl Les, Don MacKenzie, Chris Metcalfe, Tony Hall, and Clare Wood.

Also in attendance: County Councillors David Blades and Tim Swales.

The Executive met on Tuesday, 18 June 2013. County Councillor Carl Les in the Chair. County Councillors Arthur Barker, Gareth Dadd, Tony Hall, Don MacKenzie, Chris Metcalfe, and Clare Wood.

Also in attendance: County Councillors Liz Casling, David Jeffels and Tim Swales.

The Executive met on Tuesday, 9 July 2013. County Councillor John Weighell in the Chair. County Councillors Arthur Barker, Gareth Dadd, Tony Hall, Carl Les, Don MacKenzie, Chris Metcalfe and Clare Wood.

Also in attendance: County Councillors Val Arnold and John Savage.

1. Revenue Outturn 2012/13: The accounts of the County Council for 2012/13 have now been closed and are being finalised for external audit. The figures are therefore still provisional at this stage and it is possible that some amendments may have to be made before the statutory final accounts are signed off by the external auditor in September. However, it is not envisaged that any significant amendments will be required.

In considering the Revenue Budget and the key tables on pages 5.3 and 5.5/6 it is important to note that the overall 2012/13 budget brings together a number of different strands, each of which have their own dynamic. This includes:-

- ongoing Revenue Budget – the recurring amount allocated to each Directorate to deliver the day to day operations
- PIP – central funding is allocated to each Directorate's Revenue Budget for specific projects / initiatives. The nature of these projects / initiatives is that they span financial years. They therefore need to be considered over their lifespan
- carry forwards from 2011/12 – one-off underspends in 2011/12 that have been brought forward into Revenue Budgets in order to fund:-
 - cash shortfalls in Directorate savings programmes as a result of re-profiling and timings. It is proposed that such adjustments are done at corporate level in future
 - projects / initiatives funded from within Directorate underspends. These often span years so are often requested to be carried forward into further future years.

The final revised 2012/13 net expenditure budget is £386,220k (unchanged from Quarter 3) with the movement since the original net budget approved by Executive in February 2012 shown in **Appendix 1A** with a summary being:

| Item | £000 |
|--|----------------|
| net budget approved in February 2012 | 363,422 |
| less budgeted contribution to GWB | -2,501 |
| = initially approved net expenditure budget | 360,921 |
| approved carry forwards from 2011/12 | +22,899 |
| additional in year allocation re Economic Downturn | +2,400 |
| = final 2012/13 net expenditure budget | 386,220 |

A full analysis of this final 2012/13 Revenue Budget by Directorate is attached at **Appendix 1A** and shows for each Directorate:

- (i) the original Budgets approved by County Council in February 2012 (CEG and FCS were merged to become Central Services on 1 October 2012)
- (ii) carry forwards from 2011/12 approved by the County Council in July 2012
- (iii) allocation of Employee Terms and Conditions savings to Directorates
- (iv) additional spending approved in April 2013 in relation to the economic downturn (£2.4m)
- (v) the transfer of Business Support Services budgets from Directorates to Central Services
- (vi) the early achievement of One Council savings with these budget savings transferred to Corporate Miscellaneous
- (vii) allocations from the PIP in 2012/13
- (viii) various other budget transfers agreed during the year with key ones being as follows:
 - centralisation of certain IT budgets
 - centralisation of various other Directorate budgets into Central Services
- (ix) the final budgets for each Directorate for 2012/13

A breakdown of this £386,220k final 2012/13 Revenue Budget at Directorate level is-

| Item | HAS | BES | CYPS | Central Services | Corp Misc | Total |
|--|----------------|---------------|---------------|------------------|---------------|---------------|
| | £000 | £000 | £000 | £000 | £000 | £000 |
| Carry forward from 2011/12 some of which will be spent in future years | 2,911 | 2,555 | 3,147 | 4,635 | 9,651 | 2,899 |
| PIP funding including Corporate unallocated | 1,656 | 725 | 3,270 | 4,517 | 11,296 | 1,464 |
| Additional in year allocation re Economic Downturn | | 2,000 | | 400 | | ,400 |
| Sub-Total | 4,567 | 5,280 | 6,417 | 9,552 | 20,947 | 6,763 |
| Net residual in year base budget | 133,289 | 75,379 | 63,576 | 51,024 | 16,189 | 39,457 |
| Total budget (cash funding) available in 2012/13 | 137,856 | 80,659 | 69,993 | 60,576 | 37,136 | 86,220 |

The overall revenue outturn position of the County Council for 2012/13 is as follows:

| Item | £000 |
|--|---------------|
| = Revised Budget for 2012/13 | 386,220 |
| - Net expenditure outturn 2012/13 | 342,927 |
| = Total Saving | 43,293 |

Thus there is a bottom line overall net saving of £43,293k in 2012/13, of which £22,736k relates to projects and initiatives in future years, with a breakdown into Directorates (£13,271k for the 4 Directorates and a further £7,286k in Corporate Miscellaneous) and analysis into constituent components shown in **Appendix 1B**. Further analysis is also taking place in order to determine the scale of any further recurring savings which could be used to satisfy the outstanding savings requirements which are due to be considered as part of Budget 2, which will be considered by full Council on 24 July 2013. **Appendix 1B** also shows the proposed year end treatment of the £43,293k savings in terms of carry forwards to future years and variations remaining in 2012/13 as an addition to the General Working Balance (GWB). **Appendix 1B** can be summarised as:

| Item | HAS (App C) | BES (App D) | CYPS (App E) | CS (App F) | Corp Misc (App G) | Total |
|---|-------------------|-------------------|-----------------|---------------|-------------------------|----------------|
| | £000 | £000 | £000 | £000 | £000 | £000 |
| 2012/13 OUTTURN VARIATION | | | | | | |
| 2012/13 Revised Estimate | 137,856 | 80,659 | 69,993 | 60,576 | 37,136 | 386,220 |
| 2012/13 bottom line outturn | 128,012 | 76,685 | 65,502 | 54,855 | 17,873 | 342,927 |
| OUTTURN VARIATION (- = SAVING, + = OVERSPEND) | -9,844 | -3,974 | -4,491 | -5,721 | -19,263 | -43,293 |
| ANALYSIS AND TREATMENT OF YEAR END VARIATION | | | | | | |
| Earmarked for spending in future years and carried forward to future years | | | | | | |
| Projects and Initiatives for future years (a) | -447 | -1,946 | -413 | -1,504 | -681 | -4,991 |
| PIP funding allocations to be carried forward (£14,717k) | | | | | | |
| • allocations to be spent in future years (b) | | -694 | -211 | -2,516 | -2,150 | -5,571 |
| • unallocated funding to be carried forward to future financial years | | | | | -9,146 | -9,146 |
| Savings to be c/fwd and then paid back into the PIP | -28 | -1,077 | | | | -1,105 |
| Reprofiling of savings for future years (c) | -723 | | -1,200 | | | -1,923 |

| | | | | | | |
|---|---------------|---------------|---------------|---------------|----------------|----------------|
| Total proposed carry forward to future years | -1,198 | -3,717 | -1,824 | -4,020 | -11,977 | -22,736 |
| Savings & Overspends not to be carried forward to 2013/14 but added to the GWB | | | | | | |
| One-off windfalls and savings (including early One Council and Budget Matrix savings) | | | | | | |
| • proposed savings to be added to the GWB (d) | -6,999 | -257 | -2,667 | -1,701 | -7,286 | -18,910 |
| • demographic growth return (e) | -1,647 | | | | | -1,647 |
| Overspends to be written off against the GWB (f) | 0 | 0 | 0 | 0 | 0 | 0 |
| Total savings/overspends impacting on the GWB | -8,646 | -257 | -2,667 | -1,701 | -7,286 | -20,557 |
| | | | | | | |
| TOTAL YEAR END VARIATION | -9,844 | -3,974 | -4,491 | -5,721 | -19,263 | -43,293 |
| <i>Memo Item – Variation at Q3</i> | <i>-8,081</i> | <i>-2,666</i> | <i>-3,757</i> | <i>-5,750</i> | <i>-15,445</i> | <i>-35,699</i> |

- (a) Various projects and initiatives are proposed to be carried forward into 2013/14 and in some cases beyond. Expenditure may have been incurred on these projects / initiatives in the current year, but the nature of these is such that they span financial years. Details of the specific projects / initiatives for each Directorate can be found below and in **Appendix 1B**.
- (b) PIP funding is allocated to specific schemes which often span financial years. These sums are based on the current estimates that are due to be incurred in 2013/14 and beyond. Details of the specific schemes for each Directorate can be found below and in **Appendix 1B**.
- (c) HAS and CYPS have intentionally ensured that savings are made in 2012/13 and previous years to meet savings targets and recurring budget pressures in future years. These sums are to be earmarked for HAS and CYPS in 2013/14.
- (d) Directorates have generated and / or accelerated savings which are being transferred to the General Working Balance. The total sum of £11.6m (excluding demographic growth refund) equates to 3.3% of the total net revenue budget for the four Directorates. A significant part of these recurring savings has been “relinquished” as part of the savings requirement for 2013/14 and 2014/15 based on the budget savings package approved by County Council on 20 February 2013.
- (e) HAS were allocated £3m for the impact of demographic growth on the basis that any unused element of this funding (£1.7m) would be returned to Corporate Funds and thus transferred into the GWB. The Budget Savings proposals approved by the County Council on 20 February include £1m of savings against this budget head for 2013/14. The analysis of recurring savings addressed in (d) above also

includes an on-going assessment of the level of growth budget required

- (f) There are no Directorate net overspends which are being requested to be funded corporately and written off against the GWB.

In considering the 2012/13 Revenue Budget Outturn position, Members should note the following areas which make up the total year end variation of £43.3m against the 2012/13 Revenue Budget:-

- (a) £22.7m relates to the profiling of savings and/or projects and initiatives into future years with key element of this sum being
- £5.6m PIP allocations to Directorates which will be spent in future years
 - £9.1m unallocated PIP monies within Corporate Miscellaneous which will be available to fund future projects and initiatives
 - £1.1m of savings on PIP allocations to Directorates which will be carried forward and recycled to the PIP and thus will also be available to fund future projects and initiatives
 - £1.9m of reprofiling of Directorate savings required for future years
 - £5.0m for projects and initiatives that will be completed in future financial years.

This £22.7m is therefore proposed for carry forward to future years where it will be earmarked for the specific purpose. In the event that the need no longer arises then the funding will be relinquished and effectively added to GWB.

- (b) £20.6m relates to savings achieved in 2012/13 which are not proposed for carry forward to 2013/14 and are therefore being added to the GWB. The key elements of this sum are as follows:-
- Directorate savings of £11.6m which include both planned, one off and accelerated MTFs savings. This sum will therefore be available to help with cash flowing further savings requirements over the challenging years ahead. These savings also include a number of significant savings which were put forward as part of the budget savings proposals approved by County Council on 20 February 2013 such as BES Concessionary Fares and Winter Maintenance
 - £1.7m HAS demographic growth return out of the £3m initial allocation (see (e) above)
 - £7.3m within Corporate Miscellaneous which is accounted for by numerous factors, as shown in the table on page 5.11. The largest single item is an Academies top slice refund of £3.6m and there is also £1.8m accelerated one council savings that have been achieved by the four Directorates, £1.3m Treasury Management savings and £1.3m unspent contingencies. Any changes which impact in future years are automatically taken into account when identifying future MTFs needs.

Attached as **Appendices 1C to 1G** are statements prepared by each Corporate Director setting out the final outturn position for their Directorate compared with the final revised budgets for 2012/13 with the following paragraphs highlighting some of the key Directorate Budget Outturn issues.

Health and Adult Services: The year end cash saving is £9,844k (7% of the budget) as set out in **Appendix 1C**. This is an increase over the £8,081k forecast saving reported at Q3 because of the following:-

- A significant increase in health income including a decision in NYCC's favour on a long-standing dispute with Durham PCT. This was backdated a number of years giving one-off additional income of £386k
- A further three months of staff vacancies (annual figure over £3m)
- A significant reduction in net spend on residential services reflecting client number changes and an improved income position
- Reduced final cost of fleet transport
- Review of clients with learning disabilities led to real net cost reductions and improved accuracy of cost projections
- Budgets for 'lumpy' spend (e.g. adaptations) and some consumables budgets were still largely projected to spend at Q3

The proposed treatment of the year end saving of £9,844k is (also see **Appendix 1B**):-

| Item | £000 | £000 |
|--|------|--------------|
| EARMARKED FOR SPENDING IN FUTURE YEARS AND CARRIED FORWARD TO 2013/14 | | |
| Projects and initiatives for future years | 447 | |
| Reprofiling of learning disability savings for future years | 723 | 1,170 |
| Savings to be c/fwd and then paid back into the PIP Transitional Workers | | 28 |
| Total proposed carry forward | | 1,198 |
| SAVINGS TO BE ADDED TO THE GWB All other savings (see Appendix 1B) | | 8,646 |
| Total outturn cash variation (saving) | | 9,844 |

Business and Environmental Services: The final outturn position is a £3,974k saving as shown in **Appendix 1D**. This is an increased saving of £1.3m since Q3 which highlighted a forecast saving of £2,666k. The main reasons for the change since the Q3 forecast are as follows:

- £0.7m contractual disputes were resolved in the favour of the County Council – this is welcomed and was noted as a possibility in the Q3 report.
- £0.3m saving on concessionary travel predominantly due to fewer journeys probably as a result of poor weather.
- £0.2m lower than estimated revenue cost for dealing with flooding events (forecast at Q3 was £1.1m and the final cost was £0.9m).
- £0.8m landfill tax windfall saving. This is mostly offset by a £0.7m shortfall on the Yorwaste dividend against the budget held in BES.

The winter service budget was overspent by £0.9m in 2012/13; this was caused due to the poor weather conditions experienced predominantly in February and into March. An equivalent £0.9m has been drawn down from the winter service reserve to fund this expenditure leaving a reserve balance of £2.1m at the end of 2012/13.

The Q3 report noted the intention to request a corporate write off of £0.4m for costs incurred to deal with flooding events; given the financial outturn position of the Directorate this is no longer requested.

The proposed treatment of the year end saving of £3,974k is (also see **Appendix 1B**):

| Item | £000 | £000 |
|--|------|--------------|
| EARMARKED FOR SPENDING IN FUTURE YEARS AND CARRIED FORWARD TO 2013/14 | | |
| Projects and initiatives for future years | | |
| Completion of Leeming Bar Depot works | 390 | |
| Revenue contribution earmarked for waste capital programme | 410 | |
| Langbargh landfill restoration works | 230 | |
| Street lighting revenue contribution to capital not completed in 2012/13 | 260 | |
| Delayed HWRC maintenance works | 75 | |
| Deferred work on PROW footbridges | 40 | |
| Fleet account funding earmarked for vehicle tracking licences | 36 | |
| Waste procurement planning work | 50 | |
| Definitive maps | 40 | |
| Concessionary fares project | 50 | |
| Various other items earmarked for known pressures | 365 | |
| | | 1,946 |
| PIP Funding to be carried forward | | |
| Bedale – Aiskew – Leeming Bar Bypass Scheme | | 694 |
| Savings to be carried forward and paid into the PIP | | |
| Waste Management Strategy | | 1,077 |
| Total proposed carry forward | | 3,717 |
| SAVINGS TO BE ADDED TO THE GWB | | |
| Directorate net savings | | 257 |
| Total outturn cash variation (saving) | | 3,974 |

Children and Young People's Services: (see **Appendix E**)**Local Authority Block**

The final outturn position is a saving of £4,491k as shown in **Appendix 1E** compared to £3,757k at Q3.

This is an increased saving of £734k since Q3, and the main reason for this change is less use of the 2011/12 carried-forward underspend by £700k compared with the Q3 report. This fund consists of a number of projects delivered over the period 2012/16 and £700k has been re-profiled into later years.

The proposed treatment of the year end saving of £4,491k is (also see **Appendix 1B**):-

| Item | £000 | £000 |
|--|-------|--------------|
| EARMARKED FOR SPENDING IN FUTURE YEARS AND CARRIED FORWARD TO 2013/14 | | |
| Projects and initiatives for future years | | |
| Youth Justice Service | | 413 |
| PIP Funding to be carried forward | | |
| CYPS ICT Resilience | | 211 |
| Re-profiling of savings for future years | | 1,200 |
| Total proposed for carry forward | | 1,824 |
| SAVINGS TO BE ADDED TO THE GWB | | |
| Non recurring underspends | 1,486 | |
| Planned underspends | 696 | |
| Accelerated savings | 485 | 2,667 |
| Total outturn cash variation (saving) | | 4,491 |

Schools Block

Within the centrally-managed and targeted Schools Budget, the year-end unspent contingency is £1,937k (representing 0.56% of the total in-year Dedicated Schools Grant). This is higher than originally set – largely as a result of a one-off rates rebate of £787k.

(d) **Central Services** (see **Appendix F**)

The net saving for Central Services for 2012/13 is £5,721k as set out in **Appendix 1F**. Although this is an overall minor decrease of £29k saving, compared to the forecast saving of £5,750k at Q3, there are a number of more significant variations making up this sum:

- +£191k – acceleration of spend against corporate repairs and maintenance programme in final quarter;
- +£490k – changes to the phasing of the requirement of PIP funding for the Selby Brook Lodge scheme;
- -£142k – Legal and Democratic Services – mainly due to additional ad hoc income, plus reduced spend against supplies budgets;
- -£138k – HR services, mainly due to the timing of the delivery of a number of CYPS training courses;
- -£261k – slippage of PIP funded spend against ICT transformation projects into 2013/14;
- -£111k – other net additional savings across Central Services

The proposed treatment of the year end saving of £5,721k is (also see **Appendix 1B**):-

| Item | £000 | £000 |
|--|-------|--------------|
| EARMARKED FOR SPENDING IN FUTURE YEARS AND CARRIED FORWARD TO 2013/14 | | |
| Projects and initiatives for future years | | |
| Improvements to financial system | 433 | |
| ICT information security and One Council business intelligence | 55 | |
| Corporate property initiatives slippage | 63 | |
| Commendations and complaints system | 66 | |
| Legal Services procurement support and systems implementation | 168 | |
| HR one off projects | 206 | |
| Business Support one of projects and investments | 250 | |
| Apprenticeships and Employability projects | 263 | |
| | | 1,504 |
| PIP Funding to be carried forward | | |
| ICT resource for One Council Developments | 136 | |
| ICT Microsoft transition | 141 | |
| Strategic Transformation and Integration Capacity Project | 279 | |
| Bright Office Strategy projects | 1,820 | |
| Investments to underpin the achievement of library savings | 140 | |
| | | 2,516 |
| Total proposed for carry forward | | 4,020 |
| SAVINGS TO BE ADDED TO THE GWB | | |
| All other savings (see Appendix 1B) | | 1,701 |
| Total outturn cash variation (saving) | | 5,721 |

Corporate Miscellaneous: Corporate Miscellaneous consists of a mixture of budgets for recurring items (eg capital financing charges, interest earned, bank charges and External Audit fees) and “funds” of a non recurring nature such as the PIP. The final 2012/13 outturn position is a saving of £19,263k as set out in **Appendix 1G**. This outturn position represents an improvement of £3.8m compared with the £15,445k saving forecast at Q3, with the areas

of improvement being:-

| | £m |
|--|-------|
| • Additional early One Council savings achieved by Directorates in Q4 | 0.4 |
| • Approved contribution to NYnet not ultimately required | 0.5 |
| • DFE Academies top slice refund for 2012/13 higher than anticipated (from £2m to £2.4m) | 0.4 |
| • PIP funding | |
| → Slippage of Microsoft project | 0.4 |
| → No further allocations in 2012/13 of the balance of unallocated funding | 1.0 |
| → Underspend on HAS Reablement allocation | 0.6 |
| • Other variations since Q3 (net) | 0.5 |
| | <hr/> |
| = total additional savings since Q3 | 3.8 |

The proposed year end treatment of the £19,263k saving is (also see **Appendix 1B**):-

| Item | £000 | £000 |
|--|---------|---------------|
| EARMARKED FOR SPENDING IN FUTURE YEARS AND CARRIED FORWARD TO 2013/14 | | |
| Projects initiatives for future years | | |
| Community Fund | 513 | |
| Pay and Reward Fund | 168 | 681 |
| PIP Funding to be carried forward | | |
| Microsoft transition funding | 2,150 | |
| Unallocated funding | 9,146 | 11,296 |
| Total proposed for carry forward | | 11,977 |
| SAVINGS TO BE ADDED TO THE GWB | | |
| Academies top slicing grant refund | 3,589 | |
| Treasury Management savings | 1,327 | |
| Unspent central and inflation contingencies | 1,342 | |
| Contribution to self-insurance fund | (1,068) | |
| Contribution to Pickering Beck project | (300) | |
| Transformation Fund | 286 | |
| Accelerated Directorate One Council savings | 1,837 | |
| Other net savings | 273 | 7,286 |
| Total outturn cash variation (saving) | | 19,263 |

Appendix 1B and the table on pages 5.4 and 5.5 show, at Directorate level, the various components and proposed year end treatment making up the headline 2012/13 budget saving of £43,293k which are as follows:-

| Item | £000 | £000 |
|--|-------|---------------|
| Savings proposed for carry forward to future years | | |
| • projects and initiatives for future years | | 4,991 |
| • PIP funding allocations to be carried forward | | |
| - allocated funding | 5,571 | |
| - corporate unallocated funding | 9,146 | 14,717 |
| • savings to be carried forward and paid into the PIP in 2013/14 | | 1,105 |
| • reprofiling of savings for future years | | 1,923 |
| = Total proposed carry forward | | 22,736 |
| Savings not proposed to be carried forward and therefore transferred into the General Working Balance | | |
| • one-off windfalls and savings | | 18,910 |
| • demographic growth return from HAS | | 1,647 |
| = Total proposed net addition to GWB in 2012/13 | | 20,557 |
| Total Budget Outturn Saving in 2012/13 | | 43,293 |

The proposed net addition to the General Working Balance is referred to later in this report. The proposed carry forwards, analysed by Directorate, (also see **Appendix 1B**) are as follows:

| Directorate | £000 | £000 |
|---|--------|---------------|
| HAS | | |
| - Total | 1,198 | |
| - PIP underspend returned to Corp Misc | -28 | 1,170 |
| BES | | |
| - Total | 3,717 | |
| - PIP underspend returned to Corp Misc | -1,077 | 2,640 |
| CYPS | | 1,824 |
| CS | | 4,020 |
| Corporate Miscellaneous | | |
| - Total Corporate Miscellaneous Budgets | 11,977 | |
| - Returned to PIP from BES | 1,077 | |
| - Returned PIP from HAS | 28 | 13,082 |
| Total Proposed Carry Forward to future years | | 22,736 |

The net savings not to be carried forward to 2013/14 and, therefore, transferred into the GWB of £20,557k are referred to later in this report.

The Central Contingency Fund, which is a provision for unforeseen, unpredicted and/or emergency expenditure, is held as part of the overall Corporate Miscellaneous budget. The total fund for 2012/13 was agreed at £500k (reduced to £250k in 2013/14) with the outturn position being:-

| Item | £000 |
|----------------------------------|------------|
| Budget approved | 500 |
| Less allocations made in 2012/13 | 0 |
| Balance to GWB | 500 |

The year end saving of £500k is not proposed for carry forward to 2013/14 and therefore is added to the GWB at 31 March 2013 as part of the overall Corporate Miscellaneous savings.

The Pending Issues Provision (PIP) was set up in 2008/09 as part of the MTFs process, to underpin a financial strategy which would ensure sufficient recurring funds are available in future years to meet the predicted year on year additional costs of the Waste Strategy. In addition to providing long term funding for the Waste Strategy, the "cash" paid into the PIP, but not yet required by the Waste Strategy, is available to fund non-recurring items, with significant sums having been allocated to date by the Executive. Full details of the PIP were reported as part of the Revenue Budget 2013/14 and Medium Term Financial Strategy

2014/15 approved by Executive on 5 February 2013 and County Council on 20 February 2013. As mentioned in that report, since the PIP was first created its use has been widened both in terms of the sources of contributions paid in and the range of allocations paid out. In particular the PIP has been used recently to fund

- the introduction of reablement in HAS
- Bright Office schemes in Craven, Harrogate etc
- the transition of ICT systems to a Microsoft infrastructure
- top-up funding for the Bedale Bypass
- One Council initiative costs

In terms of the overall PIP, a summary of the current position reflecting allocations agreed by Executive to date, together with the last updated indicative sums required to fund the Waste Strategy is as follows:

| Item | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 | 2017/18 |
|--|---------------|--------------|--------------|--------------|--------------|--------------|
| | £000 | £000 | £000 | £000 | £000 | £000 |
| Funding Available | | | | | | |
| Initial budget allocations | 14,394 | 14,394 | 14,394 | 14,394 | 14,394 | 14,394 |
| + subsequent inflationary increases | 3,856 | 5,356 | 6,856 | 8,356 | 9,856 | 11,356 |
| - allocations to Waste Strategy | -7,367 | -10,392 | -12,432 | -17,932 | -21,477 | -24,077 |
| + transfer from Community Fund | 300 | | | | | |
| + funding carried forward from 2011/12 | 4,610 | | | | | |
| + HAS Reablement recycled in 2012/13 | 3,026 | | | | | |
| = funding available | 18,819 | 9,358 | 8,818 | 1,818 | 2,773 | 1,673 |
| - returned from BES Waste Strategy | | 1,077 | | | | |
| - returned from HAS | | 28 | | | | |
| - Allocations previously agreed by Executive including some re-phasing between years | -9,673 | -1,018 | -1,380 | -1,964 | -997 | 0 |
| = total PIP remaining to be allocated as at 2012/13 outturn | 9,146 | 9,445 | 7,438 | 2,854 | 1,776 | 1,673 |
| | | | | | | |

In considering the remaining PIP funding shown in the table above, the implications of the Government's decision in relation to the proposed PFI scheme will have to be taken into account. Following the Government's announcement on 21 February 2013 that previously promised PFI credits had been withdrawn, the project is currently being reviewed to ensure that value for money is achieved. Until that review is complete, however, the current PIP funding assumption remains unchanged.

In cash terms the remaining PIP budget in Corporate Miscellaneous at 2012/13 outturn is £11,296k consisting of £9,146k unallocated funding which will be carried forward into 2013/14 as part of the overall Corporate Miscellaneous savings to finance further future allocations together with £2,150k earmarked for Microsoft Transition funding which will be drawn down by Central Services as required. Based on the allocations and earmarked provisions set out in the table above, there is currently £32,332k available in future years for one-off issues with £18,591k of this sum being available in 2013/14. This is £1,655k higher than the £30,677k reported at Q3 and in the 2013/14 Revenue Budget / 2014/15 MTFS report as a result of:

| Item | £000 |
|---|--------------|
| underspend of allocations to BES for the Waste Management Strategy to be returned to the PIP | 1,077 |
| Underspend on HAS 'Transitional Workers' funding recycled back to the PIP | 28 |
| the final 2012/13 HAS reablement draw down of £1,502k is lower than the £2,052k estimated at Q3 | 550 |
| = Total Increase in PIP funding since Q3 | 1,655 |

The £32,332k remaining PIP funding is based on a longer term (to 2017/18) Waste Strategy forecast before the recent withdrawal of expected PFI support. **Appendix 1H** provides full details of the agreed allocations and their progress to date. For reasons that are explained in **Appendices 1C to 1G**, a number of these allocations are committed but underspent in 2012/13 and these funds are requested for carry forward. This net underspend totals £14,717k (including £9,146k unallocated funding within Corporate Miscellaneous (see **Appendix 1H** for full details). The Appendix also provides initial revised assumptions of expenditure on PIP approved projects up to 2016/17.

A key feature of the Revenue Budget 2013/14 and Medium Term Financial Strategy 2014/15, approved by the Executive and County Council in February 2013, is a policy to maintain the GWB at a defined minimum acceptable level. The policy target for the minimum level of the GWB has been set as 2% of the net Revenue Budget of the County Council and this target has been significantly exceeded at the end of the 2012/13 financial year. As identified in the Budget Report considered by the County Council on 20 February 2013, this policy is under review as part of a wider review of Reserves and Balances. The level of the GWB is directly affected by any year end under or overspending on the various Corporate Miscellaneous budgets which are not rolled forward between years, plus any unforeseen in-year factors arising on Service Budgets which need to be funded corporately. A statement of the GWB at 31 March 2013 reflecting the draft outturn position is attached as **Appendix 1I**. **Part 1 of Appendix 1I** shows that the year on year movement in balances is:


| Item | £000 |
|---|-----------------|
| Balance at 31 March 2012 | 36,107 |
| + Total funding income received in year | +363,422 |
| – net expenditure by Directorates in 2012/13 (Appendix 1B) | -342,927 |
| = General Working Balance at 31 March 2013 | £ 56,602 |

However this overall balance of £56,602k includes the Corporate/Directorate variations in 2012/13 proposed for carry forward. For financial planning purposes, it is assumed that the GWB will be reduced by the consumption of these carry forwards as they are, in effect, earmarked balances. The overall level of 'free' GWB at 31 March 2013 after adjusting for these proposed carry forwards is therefore as follows (see **Appendix 1I**):

| Item | £000 |
|--|-----------------|
| Total GWB at 31 March 2013 | 56,602 |
| Less: Proposed earmarked carry forwards from 2012/13 | -22,736 |
| = 'Free GWB' at 31 March 2013 | £ 33,866 |
| As a % of the net Revenue Budget | 9.3% |

This £33,866k level of 'free' GWB at 31 March 2013 represents an increase of £10,658k compared to the projected figures reported during the 2013/14 Budget/MTFS process (£23,208k) and an increase of £6,578k compared to the projection reported at Q3 (£27,288k). An analysis of the reasons for the increase, compared with Q3, are identified in **Part 3 of Appendix 11** with a summary as follows:

| Item | Q3 | Outturn | Difference |
|--|---------------|---------------|---------------|
| | £000 | £000 | £000 |
| Free GWB at 31 March 2012 | 13,208 | 13,208 | - |
| 2012/13 transactions impacting on the GWB | | | |
| Budgeted contribution in 2012/13 | +2,501 | +2,501 | - |
| Additional spending approved by Executive in April 2012 | -2,400 | -2,400 | - |
| 2012/13 outturn variations proposed to be added to the GWB | | | |
| Corporate Miscellaneous Savings | +5,635 | +7,286 | +1,651 |
| Directorate Savings | | | |
| CYPs | +1,689 | +2,667 | +978 |
| HAS | +3,678 | +6,999 | +3,321 |
| CS | +1,454 | +1,701 | +247 |
| BES | 0 | +257 | +257 |
| HAS utilised demographic growth | +1,632 | +1,647 | +15 |
| BES net overspend to be charged against the GWB | -109 | 0 | +109 |
| = Position at 31 March 2013 | 27,288 | 33,866 | +6,578 |

Forecast was £23,208k in 2013/14 Budget/MTFS report. 

Thus there have been significant improvements at outturn in Corporate Miscellaneous savings and Directorate savings that are being paid into the GWB.

Based on **Appendix 11**, the forecast level of the General Working Balance for the next four years is:

| Item | £000 | % of Net Revenue Budget |
|---|--------|-------------------------|
| • actual free balances at 31 March 2013 | 33,866 | 9.3 |
| • estimated at 31 March 2014 | 31,429 | 8.4 |
| • estimated at 31 March 2015 | 26,829 | 7.3 |
| • estimated at 31 March 2016 | 26,829 | 7.4 |

The 2012/13 outturn position on the GWB and forecasts up to 31 March 2016 as shown in **Appendix 11** and summarised in the table above, do show the GWB at a healthy level. The Revenue Budget 2013/14 and MTFS for 2014/15 approved in February, however, identify the need for the continuing healthy level of GWB in 2012/13 and subsequent years. In particular the following points should be borne in mind:

- (a) as shown in **Appendix 11**, the forecasts for 31 March 2014 and 31 March 2015 reflect contribution from the GWB of £2.4m and £4.6m respectively, which represent the shortfalls from the 2013/14 Budget and 2014/15 MTFS agreed on 20 February 2013. Further savings have, however, been identified as part of a further Budget report (set out below as item 3 in this report of the Executive) and it is intended that the full £4.6m recurring savings requirement will be achieved through savings in 2015/16, thus no further GWB contribution will be needed in that year. In addition, where possible, savings proposals from Budget 2 will also seek to reduce dependency on the GWB in 2013/14 and 2014/15 as indicated
- (b) the potential impact of further expected funding shortfalls after 2014/15 when the results of the next spending review period are known
- (c) uncertainties associated with the weather, particularly winter maintenance and flooding
- (d) other demands on the GWB, such as demand led overspendings, one-off planning enquiries or legal cases and additional priority spending pressures.

The County Council has adopted a set of 'good practice rules' as part of its MTFS which is to achieve and maintain a policy target of 2% of the net Revenue Budget of the County Council. These good practice rules are:

- (a) that any underspending on the Corporate Miscellaneous budget at the year end should be allocated to the GWB
- (b) that should there be any call on the GWB during a year such that the MTFS targets will not be achieved at the respective year ends 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 budget monitoring report process.

Following the 2013/14 MTFS and Revenue Budget report to Executive on 5 February 2013 and its approval by the County Council on 20 February 2013 the projected levels / targets referred to above are:

| Year | MTFS Projection £000 | % of Net Revenue Budget | 2% of Net Revenue Budget |
|---------------|-------------------------|----------------------------|--------------------------------|
| 31 March 2013 | 23,208 | 6.4 | £000 7,268 |
| 31 March 2014 | 20,771 | 5.5 | 7,489 |
| 31 March 2015 | 16,171 | 4.4 | 7,336 |
| 31 March 2016 | 16,171 | 4.4 | 7,282 |

In relation to the rules set out above:

- items (a) and (c) are reflected in this report
- in relation to (b), the 2013/14 Budget / MTFS projection for 31 March 2013 is £23,208k and the draft outturn position is £33,866k, which is £10,658k above the projection and represents 9.3% of the 2012/13 base net revenue budget.

In addition to the GWB and Directorate underspends carried forward, the County Council holds a number of other earmarked reserves and balances. These represent funds that have been set aside for a specific initiative or liability and, therefore, are not available to fund recurring costs that would otherwise be part of the Base Budget of a service. Since the introduction of International Financial Reporting Standards (IFRS) to Local Authority accounts in 2010/11, there is also a revenue income reserve, consisting mainly of grants and contributions which have to be fully recognised within the revenue account when any conditions attached to the grant/contribution have been generally met. This is different to the previous practice of carrying forward unspent grant/contributions income to the following year as income in advance. Accordingly this unspent grant and contribution income (where conditions attached to the income have in general been met) is now being carried forward as an earmarked reserve, rather than the previous treatment as income in advance (£18.8m at 31 March 2012 and £22.8m at 31 March 2013).

Appendix 1J shows the overall position of all the County Council Reserves and Balances (GWB + other earmarked reserves) both at the start and end of the 2012/13 financial year, together with the forecast submitted to Executive on 5 February 2013 as part of the 2013/14 Budget and MTFs report. A summary of the variation in reserves between 31 March 2012 and 31 March 2013 is as follows:

| Type of Reserve | 2011/12 | 2012/13 | Variation |
|-----------------------------------|--------------|--------------|--------------|
| | £m | £m | £m |
| GWB | 36.1 | 56.6 | +20.5 |
| Earmarked Reserves | | | |
| for Schools | 37.9 | 37.1 | -0.8 |
| NYCC | 34.6 | 41.4 | +6.8 |
| Sub-total | 108.6 | 135.1 | +26.5 |
| Unspent grant and income reserves | 18.8 | 22.8 | +4.0 |
| Total reserves at 31 March | 127.4 | 157.9 | +30.5 |

The 2012/13 increase in the level of reserves of £30.5m (from £127.4m to £157.9m) is due to a combination of factors with the main variations being as follows:-

| Reserve | 31 March 2012 | 31 March 2013 | 2012/13 Variation |
|--|---------------|---------------|-------------------|
| | £m | £m | £m |
| GWB | | | |
| Directorate underspends carried forward | 22.9 | 23.3 | +0.4 |
| Free General Working Balance | 13.2 | 33.3 | +20.1 |
| Sub-Total | 36.1 | 56.6 | +20.5 |
| Earmarked for Schools | | | |
| Schools balances (LMS reserve) | 25.4 | 26.3 | +0.9 |
| Schools Block / DSG | 12.5 | 10.8 | -1.7 |
| Sub-Total | 37.9 | 37.1 | -0.8 |
| Other Earmarked Reserves | | | |
| Winter Service | 2.0 | 2.1 | +0.1 |
| Insurance Reserve | 6.3 | 6.9 | +0.6 |
| Corporate Redundancy reserve | 2.3 | 1.3 | -1.0 |
| Redundancy costs in schools | 3.9 | 3.1 | -0.8 |
| CYPS Special Education needs | 1.3 | 1.4 | +0.1 |
| BES Initiatives and Transformation | 0.6 | 0.5 | -0.1 |
| BES Advance payments | 0.7 | 0.9 | +0.2 |
| ICT SDT/Directorate refresh | 2.0 | 2.7 | +0.7 |
| ICT – Strategy and Infrastructure | 0.7 | 2.6 | +1.9 |
| BES Local Development framework / minerals | 0.5 | 0.4 | -0.1 |
| BES Selby Swing Bridge | 0.8 | 0.9 | +0.1 |
| Trading Unit accumulated surpluses | 5.5 | 6.4 | +0.9 |
| Contractors Reserve | 0.7 | 0.3 | -0.4 |
| CYPS Service transformation | 1.7 | 1.6 | -0.1 |
| HAS Supporting People | 1.2 | 1.6 | +0.4 |

| Reserve | 31 March 2012 | 31 March 2013 | 2012/13 Variation |
|---|------------------|------------------|----------------------|
| BES Flood Risk Management | 0 | 0.5 | +0.5 |
| County Council Elections | 0.1 | 0.7 | +0.6 |
| Pension Fund Deficit contribution | 0 | 0.8 | +0.8 |
| BES Civil Parking Enforcement | 2.4 | 3.1 | +0.7 |
| CYPS transport | 0.3 | 0.5 | +0.2 |
| CYPS Earmarked projects | 0 | 0.5 | +0.5 |
| Other smaller reserves | 1.6 | 2.6 | +1.0 |
| Sub-total | 34.6 | 41.4 | +6.8 |
| Revenue Income Reserves (mainly grants and contributions) | | | |
| CYPS School Capital Grants | 0.5 | 0 | -0.5 |
| CYPS – Other Grants | 0.8 | 1.8 | +0.9 |
| BES Grants | 1.9 | 2.1 | +0.2 |
| HAS Grants | 1.7 | 1.8 | +0.1 |
| HAS Health Funding | 9.3 | 13.9 | +4.6 |
| CS Grants | 0.1 | 0.2 | +0.2 |
| LAA Performance Reward Grant | 4.5 | 3.0 | -1.5 |
| Sub-total | 18.8 | 22.8 | +4.0 |
| = Total Reserves (GWB + Earmarked) | 127.4 | 157.9 | +30.5 |

The Local Government Act 2003 and associated Guidance received from CIPFA requires a formal review, and regular report, as part of the budgetary control process, on the level and adequacy of reserves, balances and provisions. These requirements were incorporated into the 2013/14 Budget/MTFS report submitted to Executive on 5 February 2013. **Appendix 1J** continues this process. As mentioned in the 2013/14 Budget / 2014/15 MTFS report, all the reserves and balances listed in **Appendix 1J** are reviewed and monitored by the Service Accountant and / or the Corporate Director – Strategic Resources. The Corporate Director – Strategic Resources will, however, undertake a further in-depth review of each of the reserves during 2013/14 with a view to establishing:

- the current justification of the need for the reserve
- the likely value of any potential liability and whether the reserve is sufficient
- whether the liability is better met as part of a wider Council Reserve (ie whether as part of the GWB or another dedicated reserve).

The MTFS includes savings targets that are reflected in a matrix that identifies the savings to be achieved by Directorate / year / item. The 2011/12 budget included an MTFS savings target of £15.445m for 2012/13, but subsequent adjustments and re-phasing as part of the 2012/13 budget and 2011/12 outturn position increased this to £19.160m at Q1 2012/13. The increase relates to additional BES Concessionary Fares savings, CYPS accelerated MTFS savings and a shortfall against the HAS 2011/12 savings target being rolled forward to 2012/13. These updated MTFS savings targets for 2012/13 are reflected in Directorate 'final 2012/13 budget control totals' shown in the table on page 5.3. Similarly the outturn positions for each Directorate that are presented in this report reflect any net under or over achievement of these savings targets with relevant details being provided in **Appendices 1C to 1G**. Given the overall bottom line net saving of £43.3m in 2012/13, it is not considered necessary to comment further on any of the individual items making up the revised savings target of £19.160m referred to above. MTFS savings targets for years subsequent to 2012/13

have also been updated to reflect the factors indicated above, together with a shortfall of HAS savings in 2013/14 and 2014/15 as a result of the HAS Extra Care Housing Project (the Executive agreed at Quarter1 that this shortfall could be funded from the PIP), together with the new savings targets agreed in February 2013 as part of the 2013/14 Budget / 2014/15 MTFS.

The Budget savings referred to above include a target of £7.644m to be found from the One Council Change Programme. In the February 2012 Revenue Budget / MTFS this target was spread over the two year period 2013/14 (£3,596k) and 2014/15 (£4,048k). The 'One Council' Organisational Change Programme report submitted to Executive on 18 December 2012 set out the latest position in relation to the detailed work programme being undertaken, together with the latest predicted savings from each workstream over the period to 2014/15, in order to achieve the overall £7.644m savings target. It is apparent from this and earlier reports that some of the identified savings would be achieved in 2012/13 ahead of their requirement in 2013/14 and 2014/15. Such a situation is welcome as it has provided a one-off saving in 2012/13 that is being paid into the General Working Balance. Thus, based on savings declared and agreed to date, the current position is shown below. There are however further workstream savings in the pipeline but these have not been formally agreed and signed off yet. An update will continue to be provided to the Executive in future quarterly reports.

| Item | Achieved early in 2012/13 £000 (i) | 2013/14 (including achieved early in 2013/14) £000 (ii) | 2014/15 £000 (iii) | Total in 2013/14 and 2014/15 £000 (iv) |
|-------------------------------------|--|---|--------------------------|--|
| Declared and agreed to date | | | | |
| Procurement and Contract Management | 560 | 2,708 | - | 2,708 |
| Customer Access | 100 | 100 | - | 100 |
| Business Support | 311 | 443 | - | 443 |
| HR Training and Workforce Planning | 186 | 286 | - | 286 |
| Systems and Data | 100 | 100 | - | 100 |
| Financial Management | 76 | 133 | - | 133 |
| Strategic Core | 100 | 100 | - | 100 |
| Management and Supervision | 404 | 731 | 152 | 883 |
| = total savings agreed (a) | 1,837 | 4,601 | 152 | 4,753 |
| Balance still to be agreed (b) | NA | 0 | 2,891 | 2,891 |
| Revised Target (c) | 0 | 4,601 | 3,043 | 7,644 |
| <i>Original Target</i> | <i>0</i> | <i>3,596</i> | <i>4,048</i> | <i>7,644</i> |

The table above shows that £4.753m (**columns (ii) + (iii)**) of the overall £7.644m savings target has already been agreed (£4.118m at Q3). As indicated above, early progress by these workstream savings has also resulted in 'one-off' savings of £1,837k being achieved in 2012/13 (£1,452k at Q3). This £1,837k has been removed from relevant Directorate budgets to a single budget in Corporate Miscellaneous and the resulting one-off underspend has been transferred into the GWB. A split of this £1,837k at Directorate level is shown in **Appendix 1B (column (vi))**. Another point to note in relation to the table above is that the original target of £3,596k for 2013/14 has already been exceeded, thus reducing the sum required in 2014/15 as follows:

| Item | 2013/14 | 2014/15 | Total |
|---|---------|---------|-------|
| | £000 | £000 | £000 |
| Original target | 3,596 | 4,048 | 7,644 |
| Agreed and signed off at 2012/13 outturn | | | |
| - early achievement in 2012/13 | 1,837 | | 1,837 |
| - for 2013/14 | 2,764 | | 2,764 |
| - for 2014/15 | | 152 | 152 |
| | 4,601 | 152 | 4,753 |
| Savings still to be achieved and declared | (1,005) | 3,896 | 2,891 |

Thus savings already declared in 2012/13 and 2013/14 exceed the 2013/14 target by £1,005k, resulting in the residual requirement for 2014/15 being reduced by £1,005k (from £3,896k to £2,891k). Most of this 'one off' benefit of accelerated One Council savings in 2013/14 and 2014/15 is already reflected in the 2013/14 Revenue Budget / 2014/15 MTFS agreed in February 2013.

This Revenue Outturn report, together with the Capital Outturn and Treasury Management reports, are based on the County Council's organisational and budgetary management arrangements. However a comprehensive Statement of Final Accounts (SoFA), that conforms in format and content to the statutory Code of Practice on Local Authority Accounting is required to be formally approved by Members and certified by the External Auditor. The current statutory requirements (Accounts and Audit Regulations 2011) are that the SoFA is certified by the Section 151 (Chief Finance) Officer by 30 June each year and approved by Members in advance of the External Audit opinion and certificate and publication of the accounts by 30 September each year. Responsibility for considering and approving the County Council's SoFA rests with the Audit Committee. Following completion of the External Audit in July and August 2013, the final SoFA will therefore be submitted to the Audit Committee for approval on 26 September 2013, immediately before the External Auditor presents his opinion and certificate in relation to the SoFA. Although there is now no longer a requirement for the draft/unaudited SoFA to be approved by Members by 30 June each year, both the DCLG and CIPFA suggest that good practice would be for the draft SoFA still to be presented to Members for review and comment prior to External Audit. Thus, as in recent years, the County Council's draft SoFA for 2012/13 will be submitted to the Audit Committee on 18 July 2013, but this will be for review and comment only, not formal approval. As indicated above, the final SoFA, after external audit, will subsequently be resubmitted to the Audit Committee on 26 September 2013 for formal approval. The statutory SoFA that will be submitted to the Audit Committee for information on 18 July 2013 and for subsequent approval on 26 September 2013 after external audit, will be markedly different to the management accounts presented in this report (ie the service outturn figures reported above and in **Appendix 1B**). This is because of two key reasons

- (a) CIPFA's required service structure is very different to the County Council's organisational structure. The service structure in the SoFA must follow the Service Reporting Code of Practice (SeRCOP) – which was formally known as the Best Value Accounting Code of Practice (BVACOP)
- (b) the SoFA must comply with CIPFA's IFRS based Code of Practice on Local Authority Accounting (successor to the old SORP) thereby requiring many technical adjustments to our management accounts for such items as depreciation of assets and pensions costs and liabilities

Explanations as to the key differences between the two sets of figures will be provided to the Audit Committee.

The Budget / MTFS report considered in February 2013 made clear that future funding prospects are not favourable whilst issues arising in services will still need to be addressed; thus on the funding side there are uncertainties regarding:

- Potential further reductions to the 2014/15 indicative grant settlement
- Levels of funding reductions in 2015/16 and future years resulting from the next spending review announcements (26 June 2013 for 2015/16)
- Levels of Business rate growth in North Yorkshire
- Future years impact of the Localisation of Council Tax benefits from 1 April 2014
- Any further Council Tax Freeze grant offers from the Government
- The limits set in future years for Council Tax referendums (2% in 2013/14)
- Residual £3.8m funding gap from 2013/14 budget and 2014/15 MTFS to be considered in July 2013
- Delivery of existing savings programmes
- Potential erosion of the remaining specific government grants
- Impact of and changes to other funding streams such as New Homes Bonus

On the spending and income side, potential financial issues would include:

- Continuing demand pressure from an increasing elderly population
- Ultimate cost of the Waste strategy
- The risk of cost overrun on the BALB project
- A continuing low interest return on cash balances
- Levels of pay and price increases
- Impact of school funding reforms and the academies programme on local budgets
- Further transfer of duties and funding responsibilities from central government
- Introduction of new statutory duties and regulatory requirements
- Cost pressures from other agencies and bodies
- Impact on NYCC of District Council Community Infrastructure programmes which are funded (partly) from Community Infrastructure levies (CIL)
- Potential increased contribution to the Pension Fund from 1 April 2014
- Impact of changes to national taxation such as National Insurance
- Uncertainties associated with the weather, particularly winter maintenance and flooding
- Other cost pressures such as demand led, one off planning enquiries or legal cases and additional priority spending pressures

Recognising these pressures the Management Board has adopted an aggressive approach to budgetary control in 2012/13. This has achieved the 2012/13 MTFS savings target and also generated significant one off windfall and accelerated One Council savings that have been paid into the GWB. The resulting healthy GWB, together with the PIP, provides corporate 'cash' reserves that may be needed in future years to address issues such as those identified above on a one off basis, whilst consequential further savings requirements are identified and implemented.

The Executive RECOMMENDS:

That the unspent budgets at Corporate and Directorate level totalling £22,736k, as detailed on pages 5.12 and 5.13, be carried forward.

2. Capital expenditure outturn and finance 2012/13. The original Capital Plan for 2012/13 was submitted to and approved by Executive on 28 February 2012, as part of the 2011/12 Q3 Performance and Monitoring Report. The latest (ie revised and updated) 2012/13 Plan was submitted to and approved by Executive on 26 February 2013, as part of the 2012/13 Q3 Performance and Monitoring report. As reported at Q2 and implemented at Q3 2012/13 the Capital Plan no longer differentiates between the previously categorised Capital Programme and Capital Forecast Elements. A key purpose of this change was to simplify the reporting arrangements to Members.

The movement in the Capital Plan for 2012/13 between February 2012 and February 2013 can be analysed as follows:-

| Item | £m | £m |
|--|------|-------------|
| Gross Spend of Capital Plan approved on 28 February 2012 | | 97.6 |
| Rephasing of expenditure between years | | |
| (i) net underspend in 2011/12 rolled forward to 2012/13 | | |
| BES structural maintenance of roads | 1.5 | |
| Other | 1.2 | 2.7 |
| (ii) self funded variations in 2011/12 rolled forward to 2012/13 | | |
| BES structural maintenance of roads | 1.4 | |
| CYPS Devolved Capital Grants | 3.6 | |
| Other | -1.2 | 3.8 |
| (iii) 2012/13 rephasing which is self funded from grants and contributions | | |
| BES LEP growing places grant | -6.3 | |
| BES Structural maintenance of roads | -2.3 | |
| OCS Microsoft transition | -1.0 | |
| CYPS Devolved Capital Grant | -6.0 | |
| CYPS Primary School replacement | -1.1 | |
| CYPS Major capital projects | -1.0 | |
| Other | -6.1 | -23.8 |
| (iv) 2012/13 rephasing funded from borrowing and capital | | |
| BES Structural maintenance of roads | -2.8 | |
| OSC Bright Office Strategy | -1.5 | |
| CYPS Basic Need | -3.2 | |
| CYPS Major capital projects | -1.9 | |
| Other | -5.1 | -14.5 |
| Other variations in schemes self funded from grants and contributions | | |
| BES – Road lighting columns | 1.3 | |
| BES – Integrated Transport block provision | 1.5 | |
| Other | 2.0 | 4.8 |
| Other variations from Prudential Borrowing etc | | 0.5 |
| Total variations | | -26.5 |
| = latest Capital Plan approved by Executive on 26 February 2013 | | 71.1 |

Capital expenditure in 2012/13, compared to the Capital Plan figures referred to above is -

| | Gross Capital Spend | Less Capital Grants and Contributions | Net Capital Spend |
|--|---------------------|---------------------------------------|-------------------|
| | £m | £m | £m |
| Original Capital Plan (28 February 2012) (a) | 97.6 | 80.3 | 17.3 |
| Latest Capital Plan (28 February 2013) (b) | 71.0 | 65.1 | 5.9 |
| Outturn for 2012/13 (c) | 71.6 | 67.0 | 4.6 |
| Year End Variation compared | | | |
| Original (a – c) | -26.0 | -13.3 | -12.7 |
| Latest Plan (b – c) | +0.6 | +1.9 | -1.3 |

The 2012/13 gross capital spending of £71.6m represents a small £0.6m overspend compared with the last Q3 Capital Plan update of £71.0m.

A summary of the outturn position is set out below for gross capital spend at Directorate level, with a more detailed summary being provided in **Appendix 2A** and an individual statement for each Directorate at **Appendices 2B to 2E**. These Appendices also show the outturn position for related capital income from grants, contributions and revenue contribution, and a net spend, which is funded principally from capital receipts and borrowing.

| Service | Appendix | Gross Latest Plan (Feb 2013) | Gross Outturn | Variation to Latest Plan |
|-------------------------------------|----------|------------------------------|---------------|--------------------------|
| | | £m | £m | £m |
| Health and Adult Services | B | 4.4 | 2 | -0.2 |
| Business and Environmental Services | C | 37.8 | 6.0 | -1.8 |
| Children and Young People's Service | D | 23.1 | 7.3 | +4.2 |
| Other County Services | E | 5.7 | 1 | -1.6 |
| Total | | 71.0 | 1.6 | +0.6 |

A summary of the main outturn variations are shown in the table below, however, in terms of

- (a) a gross capital overspend of £0.6m (Capital Plan of £71.0m/outturn of £71.6m) (first column of the table below)

- (b) additional Directorate capital income of £1.9m (Capital Plan of £65.1m/outurn of £67.0m) (second column of the table below)
- (c) the resulting £1.3m net capital underspend, which effectively means there is less funding required than planned from capital receipts and borrowing (third column of the table below)

| Item | Gross Spend Variation | Grant/Contribution Variation | Net Spend Variation |
|---|-----------------------|------------------------------|---------------------|
| | £m | £m | £m |
| Health and Adult Services | | | |
| <i>Valuing People Day Service Provision</i> – Slippage and reduced programme costs on Selby & Skipton schemes offset by faster than anticipated progress on the Elder Street scheme | -0.3 | 0 | -0.3 |
| <i>Other Schemes</i> | +0.1 | 0 | +0.1 |
| | -0.2 | 0 | -0.2 |
| Business and Environmental Services | | | |
| <i>New and Replacement Road Lighting</i> – Programme progression slower than anticipated | -0.2 | +0.2 | 0 |
| <i>Rationalisation of Depots</i> - Combination of creditor provision no longer required after contractor went into administration and slippage of expenditure relating to Leeming Bar Depot | -0.2 | 0 | -0.2 |
| <i>Local Transport Plan</i> – Net effect of slippage and savings achieved on the programme | -1.5 | +1.6 | +0.1 |
| <i>Other Schemes</i> | +0.1 | -0.2 | -0.1 |
| | -1.8 | +1.6 | -0.2 |
| Children and Young People's Service | | | |
| CYPS Management Projects | | | |
| <i>Basic Need</i> – Scheme finished ahead of schedule, resulting in expenditure being brought forward from 2013/14 | +0.3 | -0.4 | -0.1 |
| <i>Building Schools for Future</i> – List creditor provision for 2011/12 was over-estimated resulting saving | -0.1 | 0 | -0.1 |
| <i>Primary Capital Programme</i> – Savings on reduced programme costs to be carried forward to cover additional fees in future years | -0.2 | +0.2 | 0 |
| <i>Capitalised Repairs & Maintenance</i> – Expenditure brought forward due to programme progressing well in 2012/13 | +0.2 | +0.2 | +0.3 |
| <i>Catering Equipment</i> – Expenditure was higher than anticipated for 2012/13 | +0.1 | -0.1 | 0 |
| <i>Suitable for Purpose</i> – 2012/13 programme has progressed ahead of schedule resulting in expenditure being brought forward from 2013/14 | +0.1 | +0.1 | +0.3 |
| <i>Other Schemes</i> | +0.2 | -0.7 | -0.5 |
| | +0.6 | -0.7 | -0.1 |

| Item | Gross Spend Variation | Grant/Contribution Variation | Net Spend Variation |
|---|-----------------------|------------------------------|---------------------|
| | £m | £m | £m |
| School Managed Projects | | | |
| <i>Devolved Capital Grant</i> – Spending by schools was higher than anticipated for 2012/13 | +1.8 | -1.8 | +0.0 |
| <i>Self Help Schemes</i> – Spending by schools in 2012/13 was higher than expected | +1.8 | -1.8 | +0.0 |
| | +3.6 | -3.6 | +0.0 |
| CYPS Total | +4.2 | -4.3 | -0.1 |
| Other County Services | | | |
| <i>Affordable Housing Fund</i> – Delays on completion on one scheme resulted in rephasing of final payment in early 2013/14 | -0.6 | 0 | -0.6 |
| <i>Microsoft Project</i> – Reduced programme costs and rephasing of some expenditure to 2013/14 | -0.6 | +0.6 | 0 |
| <i>Superfast Broadband</i> – Rephasing due to implementing procurement framework for community internet providers | -0.4 | +0.4 | 0 |
| <i>Other Schemes</i> | 0 | -0.2 | -0.2 |
| | -1.6 | +0.8 | -0.8 |
| = Total Variation in 2012/13 compared with the last Capital Q3 Plan update in February 2013 | +0.6 | -1.9 | -1.3 |

The County Council's Financial Procedure Rules incorporate a carry forward facility for under/overspends both for approved capital expenditure and scheme specific capital income. As indicated above, there was a £0.6m gross overspend compared with the latest Capital Plan for 2012/13 (approved by the Executive in February 2013); however, after accounting for Directorate grants and contributions income, there is a net bottom line underspend of £1.3m. The various components of this net £1.3m underspend and the proposed carry forward to 2013/14 are as follows:-

| Item | £000 |
|---|--------------|
| Latest Q3 Capital Plan update (gross spend) | 71,061 |
| 2012/13 outturn | 71,626 |
| = gross capital overspend | -565 |
| + increased grants and contributions (£65,117k to £67,057k) | 1,940 |
| = net capital underspend | 1,375 |
| 'Corporate' Capital Plan variations not proposed for carry forward to 2013/14 | -72 |
| = adjusted net underspend proposed for carry forward to 2013/14 | 1,303 |

The split of the proposed £1,303k carry forward underspend between Directorates is:-

| Directorate | £000 underspend |
|---|-----------------|
| Health and Adult Services | 236 |
| Children and Young People's Service | 128 |
| Business and Environmental Services | 215 |
| Other County Services | 724 |
| Total net underspend carried forward | 1,303 |

This proposed carry forward will not impact on the long term capital financing arrangements for the Capital Plan, as borrowing and use of capital receipts can be used flexibly between years.

Total capital expenditure of £71,626k in 2012/13 has been financed as follows:-

| Item | £000 | £000 |
|--|--------|---------------|
| New borrowing | | |
| • external sources as adjusted for debt repayment and statutory charges to revenue | 0 | |
| • internal capital borrowing | -1,203 | -1,203 |
| Capital Grants and Contributions | | 54,989 |
| Schemes financed from Revenue | | |
| • Directorate revenue contributions | 11,343 | |
| • Credit Unit Loan write off – revenue provision in 2011/12 | 200 | 11,543 |
| Capital Receipts | | |
| • receipts received in 2012/13 from property sales | 3,132 | |
| • company loan repayments | 2,441 | |
| • BES vehicle sales | 724 | 6,297 |
| = Total capital spending to be financed in 2012/13 | | 71,626 |

The balancing figure in the above table is effectively the reduced level of borrowing for capital purposes from internal sources of £1,203k. This unusual situation has arisen because of the year end position of the NYnet 'loan sweep arrangement' which impacts on capital financing. This is because increases in the level of the loan outstanding are funded from Prudential Borrowing and a reduced level reduces Prudential Borrowing. The NYnet loan balance at 31 March 2013 of £4.6m was £2.5m lower than the £7.1m outstanding at 1 April 2012. This significant reduction has the impact of both generating a loan repayment which is classed as a capital receipt (see £2,441k in above table) and reducing in year 'Prudential Borrowing' (which was originally increased when the loan was made). The year end NYnet loan balance did however reflect a grant receipt of £2.6m very late in the year which will be paid out early in 2013/14. Thus the year end balance of £4.6m was therefore 'artificially depressed' by this grant receipt and the impact of the capital financing entries in 2012/13 will be substantially reversed during 2013/14. This is also considered in the Annual Treasury Management and Prudential Indicators section of this report. A more detailed comparison of the above funding package with that underlying the original Capital Plan approved on 28 February 2012 and the last update approved on 26 February 2013 is provided at **Appendix 2F**.

The table above shows that negative new borrowing of £1,203k was needed to finance capital spending in 2012/13. This had the impact of reducing internal borrowing from cash balances, with no external borrowing being taken in 2012/13 or premature loan repayments being made. In considering this figure, the following points should be noted:

- (i) a breakdown of the total negative capital borrowing requirement of £1,203k into constituent elements and compared with the original and latest Capital Plan is as follows:-

| Item | Original Estimate (Feb 2012) | Latest Estimate (Feb 2013) | 2012/13 Outturn |
|---|------------------------------|----------------------------|-----------------|
| | £m | £m | £m |
| Prudential Borrowing approved by the County Council | -1.0 | 1.1 | -1.6 |
| Slippage of net capital expenditure and capital receipts between years | 7.3 | 6.7 | 6.8 |
| Temporary use of surplus capital resources (mainly capital receipts) and other financing arrangements | -1.1 | -6.0 | -6.4 |
| Total Capital Borrowing requirement | 5.2 | 1.8 | -1.2 |

- (ii) no new external borrowing was taken in 2012/13 and this was considered in more detail in the Annual Treasury Management section of the Q4 report to the Executive.

The County Council's policy on capital receipts is that essentially all such receipts shall be used to finance capital expenditure in the year in which the receipts are generated. The position relating to County Farms is explained further below. The outturn position on Capital Receipts is as follows:

| Item | £000 |
|--|----------|
| Receipts achieved in 2012/13 | |
| • sale of County Farms | 803 |
| • sale of other land and buildings | 2,329 |
| | 3,132 |
| Used to fund capital expenditure in 2012/13 | -3,132 |
| Capital Receipts carried forward to 2013/14 | 0 |

Points to mention in relation to the above table are:-

- (i) total capital receipts from the sale of land and property achieved of £3.1m compares with an estimate of £4.2m used for the last updated Capital Plan submitted to Executive on 26 February 2013. The shortfall of £1.1m relates mainly to the slippage into 2013/14 of some receipts expected in the latter part of 2012/13.
- (ii) the £3.1m is however considerably less than the forecast at the start of the financial year as a result of several factors, but principally
 - six sites were delayed by issues around obtaining planning permission
 - one site was added into the Extra Care procurement exercise – resulting in a delayed and reduced receipt – and two sites were delayed due to other directorates' decisions on projects
 - four school disposals were delayed by the process of securing consent for disposal from the Secretary of State for Education

The result is that several significant receipts have moved into future years. Several 'windfall' receipts helped to offset some of the effects.
- (iii) all available Capital Receipts at 31 March 2013 (£3.1m) have been used to fund capital spending in the year. This approach is advantageous in terms of treasury management activities and reducing capital financing costs in 2013/14
- (iv) a reduction in the NYnet loan balance during 2012/13 of £2,441k (from £7,067k at 1 April 2012 to £4,626k at 31 March 2013) is classed technically as a loan repayment and capital receipt for capital financing purposes. However, this is not included in the table above, where the figures relate solely to the sale of surplus land and properties

- (v) the table showing financing of capital expenditure also identifies a capital receipt of £724k from BES vehicle sales. This results from the change in provider of the Highways Maintenance contract when fleet vehicles were purchased from the previous contractor Balfour Beatty. These vehicles together with some NYCC owned plant and equipment were then sold on to Ringway, the new contract provider, resulting in a capital receipt of £724k. This receipt has been substantially used to fund the initial purchase from Balfour Beatty.

The County Council agreed, on 15 May 2002, a flexible policy on the utilisation of capital receipts. This policy was to use receipts, as appropriate, either to finance the Capital Plan, to reduce debt or for other purposes, in accordance with the financial demands on the County Council, and with its policies, at the time when the receipts became available. Following a review of the County Farms Sales Policy the Executive agreed, on 6 May 2008, that this policy should remain unchanged. The Capital Plan approved by Executive on 26 February 2013 therefore utilises all expected County Farms receipts achieved in the financial years 2012/13 to 2015/16 to fund capital spending rather than for debt repayment or other purposes. Therefore all such receipts in 2012/13 totalling £803k have been treated accordingly and used for the funding of capital spending.

The property market remains uncertain and any improvements to values and / or speed of sales are dependent on improvements to the overall state of the economy. This situation is expected to continue into 2014/15. The outcome of the next Comprehensive Spending Review may result in the current conditions continuing for an even longer period. Despite the state of the market, properties continue to sell in the right circumstances and at the right price. The County Council will increase its use of auctions to dispose of property because this has proved to be the more successful approach in recent years. The flow of surplus property from the County Council's property portfolio should continue, as a result of service reviews and the property reviews under the One Council Property Management workstream. The quantity of property that will be released and the rate of flow is uncertain at the moment and, combined with the state of the market, this makes it difficult to predict the level of capital receipts that will be achieved over the next few years with any degree of certainty.

The Q3 Capital Plan update report submitted to Executive on 26 February 2013 identified a potential £9.2m of unallocated capital funding that might become available in the four year period to 2015/16. This sum arose mainly from additional capital receipts that had been identified, net of additional capital funding allocations approved by Executive. As a result of the 2012/13 outturn position and a more recent updated forecast of capital receipts up to 2015/16, this surplus capital resources forecast has now increased to £9.9m. This increase is principally due to the net impact of variations in the expected value of existing surplus land and properties and additional land and properties being identified for sale. As indicated above, it is currently difficult to predict the level of capital receipts that will be achieved over the next few years with any degree of certainty. Given this scenario the current £9.9m forecast of surplus corporate capital funding does include some fairly significant potential receipts that are very uncertain in terms of timing and amount. As a result a review of the current forecast levels of capital receipts is currently being undertaken. This is likely to result in a lower level of forecast corporate capital resources up to 2015/16 and the outcome will be reflected in the 2013/14 Q1 Capital report.

The surplus corporate capital resources could be made available for either:

- (i) new capital investment (ie additional schemes), or
- (ii) reducing prudential borrowing in 2013/14 or subsequent years and therefore achieving debt financing cost savings in the Revenue Budget/MFTS or
- (iii) holding for the time being with no immediate decision to either spend or reduce borrowing. This course of action would result in additional short-term interest being earned within Corporate Miscellaneous.

The Executive has again agreed to adopt option (iii) above and retain any surplus capital funding in reserve for the time being. Another factor that influenced this decision was that the forecast funding levels include a capital receipts risk in terms of both forecast receipts slipping into a future year and/or not achieving their estimate.

The One Council Vision envisages a singular co-ordinated approach to the management of property assets. It also implies a 'whole life costing' approach to the use of funds (revenue or capital) to maintain/improve/refurbish the asset portfolio. As part of this approach, it has previously been reported that officers will review a number of distinct areas in order to improve the way in which the County Council works. This review which is scheduled to take place in the summer will cover:-

- (a) assess the scope for property rationalisation across the County Council in order to reduce existing and future property costs. This work has already been initiated by the Strategic Property Group
- (b) all uncommitted schemes in the Capital Plan as referred to above
- (c) the Gateway approach to Capital project management and how each part of the Council plays a constituent part. This will be required through the ongoing work of the Strategic Property Group in line with other areas of work identified above.

The Executive RECOMMENDS:

That the net capital underspend totalling £1,303k, as set out on page 5.30 of in the report, be carried forward to 2013/14.

3. Revenue Budget 2013-14 and Medium Term Financial Strategy: On 20 February 2013 the County Council approved a budget for 2013/14 and a Medium Term Financial Strategy for 2014/15. A recurring shortfall of £4,600k was identified over the period 2013/14 to 2014/15 although this was subsequently reduced to £3,800k by 2015/16. As part of the Budget report considered by County Council on 20 February 2013 the Corporate Director, Strategic Resources offered an opinion in accordance with Section 25 Local Government Act 2003 which stated that –

“the s.151 Officer would expect to see steps taken during the remainder of 2013 to ensure that the necessary level of additional recurring savings are produced and implemented within 2015/16 at the latest.”

This report considers a range of proposals which seeks to fulfil that savings requirement (Budget 2). It does not, however, impact upon the key budget and council tax requirements approved on 20 February 2013.

The Chancellor of the Exchequer announced his Budget on 20 March 2013. Part of that announcement included a further 1% cut in Government Funding. Whilst detail on the impact on Local Government was unclear, a 1% additional cut in Government Grant has been assumed at this stage. The Government also announced its Spending Review for 2015/16 on 26 June 2013. The impact is considered in greater detail in this report.

A number of other budget related issues are also brought together in this report including proposals to provide funding to support delivery of some of the savings proposals.

The net position facing the County Council for 2013/14 and 2014/15 following the County Council decisions on 20 February 2013 is set out in the Table below. The Table also includes an estimated £1.5m of additional savings requirement as a direct result of the Chancellor’s Budget announcement on 20 March 2013. The actual savings requirement will not be known until late November / early December 2013 when the Provisional Local Government Financial Settlement is expected.

| | 2013/14 £000 | 2014/15 £000 | 2015/16 £000 | On-going impact £000 |
|---|-----------------|-----------------|-----------------|----------------------------|
| Shortfall to be funded from GWB following County Council 20 February 2013 | 2,437 | 2,163 | | 4,600 |
| Supporting People savings – 2015/16 full year effect | - | - | (800) | (800) |
| | 2,437 | 2,163 | (800) | 3,800 |
| Additional 1% grant loss assumed from Chancellors Budget March 2013 | - | 1,500 | - | 1,500 |
| Revised Savings Shortfall | 2,437 | 3,663 | (800) | (5,300) |

As reported to County Council on 20 February 2013, the above includes the assumption that council tax will be increased by 2% with effect from April 2014. This issue is identified as a key risk later in this report.

An exercise has been undertaken in order to determine the level of recurrent savings within 2012/13 that are not already committed to future savings commitments. A sum of £2,000k has been identified from across Directorates and is made up of a number of areas of spending –

- Managing demand in Adult Social Care (£1,000k)
- Reviewing assumptions around staffing budgets (across the Council) (£300k)
- Further savings from the new highways maintenance contract for revenue works (£200k)
- Higher and sustainable levels of highways income predominantly from the streetworks function and development fees (£200k)
- Home to School Transport savings (£200k)
- A range of other smaller areas across the Council.

The savings of £2,000k are such that they can be delivered entirely within 2013/14. This therefore helps to reduce reliance upon the use of balances. A residual recurring shortfall of £3,300k remains, however, during 2013/14 and 2014/15. Further savings proposals are therefore submitted to address this on-going shortfall.

| | 2013/14 | 2014/15 | 2015/16 | 2016/17 | On-going impact |
|---|------------|--------------|---------------|---------------|-----------------|
| | £000 | £000 | £000 | £000 | £000 |
| <u>Savings shortfall</u> | 2,437 | 3,663 | (800) | - | 5,300 |
| <u>Budget 2 Savings</u> | | | | | |
| Savings generated from review of 2012/13 underspend | (2,000) | - | - | - | (2,000) |
| <u>Additional Savings proposals</u> | | | | | |
| Review of FACS criteria | - | (600) | (800) | | (1,400) |
| Review of Fairer Contributions Policy | - | (640) | (100) | | (740) |
| Review of Post 16 Transport arrangements | - | (120) | (200) | (80) | (400) |
| Review of Public Transport Subsidy | - | (600) | (500) | | (1,100) |
| HWRC Charging | - | (240) | - | | (240) |
| | (2,000) | (2,200) | (1,600) | (80) | (5,880) |
| Revised Savings Shortfall | 437 | 1,463 | (2,400) | (80) | (580) |
| ADD Estimated Net Shortfall beyond 2014/15 | | | 16,300 | 18,200 | 34,500 |
| <u>Net year on year savings requirement</u> | 437 | 1,463 | 13,900 | 18,120 | 33,920 |
| Cumulative impact | 437 | 1,900 | 15,800 | 33,920 | ↑ |

From GWB

Additional savings required

Details of the additional savings proposals are provided below.

Eligibility for a social care service is determined by the application of the Fair Access to Care Services (FACS) criteria. Each local authority with responsibility for adult social care services determines at which level it chooses to provide services following an assessment of need. There are four bands of need: Critical, Substantial, Moderate and Low. At present this Council provides services to people assessed as being at FACS Moderate and above, and is now in the minority of local authorities operating at FACS Moderate or below. The ADASS budget survey 2013 analysis confirmed that 87% of councils provide services at Substantial or above.

At the end of March 2013 there were just over 10,000 adults receiving support from this Council. 2,600 of those people were at FACS Moderate or below. Just over half of these people were in receipt of services that it is proposed are retained as part of the County's preventative strategy, including Telecare, simple equipment and professional advice. Subject to approval from County Council to proceed, the intention is to conduct a public consultation on the proposal to raise the FACS eligibility threshold from Moderate and above to Substantial and above, and report back accordingly. A draft Equalities Impact Assessment (EIA) is attached as **Appendix 3a**. Raising the eligibility threshold would remove a range of other services from the remainder of the people at Moderate or below thereby delivering a potential saving of £1,400k per annum by 2015-16. Raising the eligibility threshold under FACS would require additional short-term staff capacity to undertake the required number of individual community care and financial reassessments. This issue is addressed later in this report.

The Care Bill is on its passage through Parliament and will bring about changes to the care system described in the government's [Caring for Our Future White Paper](#). Draft regulations were released by Care and Support Minister Norman Lamb on 28 June 2013 which provide outline changes to the proposed eligibility for care services. The key announcements are:

- a national threshold beyond which local authorities will not be able to reduce their eligibility;
- a national threshold for people who use care at a level which would in practice be **equivalent to "substantial" in the current system**. This is the level currently operated by the vast majority of local authorities;
- consistent eligibility level for carers, which has never existed before, to support their new rights to get help and support; and
- clarity and reassurance to people who are looking to move home and live in another local authority area about the level of services that the new authority will provide.

The statement acknowledges that these proposals are at an early stage of development and consultation will take place September to November 2013 with a view to publishing the final regulations in 2014. Following further consultation, the intention is to lay these before Parliament in Autumn 2014 with a view to being implemented in April 2015.

Means tested financial assessments are undertaken to determine the amount that people should pay towards the cost of their community based service. These assessments operate within specific parameters, and some services are provided at no cost. It is proposed that consideration is given to a series of changes to the charging calculations, including extending the scope of the policy to those services currently not charged for, which would

have the effect of generating additional income to the Council. From the information that we have available there would be in the order of 9,000 people affected by this proposal. It is estimated that the effect of these changes, if enacted, could realise recurrent savings of £740k per annum by 2015-16. It is also clear that in order to deliver the changes additional short-term staff capacity will be required to undertake the number of financial reassessments. This issue is again addressed later in this report.

Subject to approval from County Council to proceed, the intention is to conduct a public consultation on the above proposals, both eligibility and charging. This public consultation would last for 12 weeks commencing in September 2013, using a range of consultation methods including a number of events for people who access support and carers. The findings of the public consultation will be taken into account in presenting recommendations for the decisions to be taken on each of the proposals; it is anticipated that consultation findings and recommendations will be made available to the Executive in early 2014. A draft EIA is attached as **Appendix 3b**.

80% of all bus journeys in North Yorkshire are delivered through the commercial network. The County Council assesses what additional services are needed and what it might pay for, taking into account its statutory duty – under the Transport Act 1985 the County Council has a duty to “*secure the provision of such public passenger transport services as the council consider it appropriate to secure to meet any public transport requirements within the county which would not in their view be met apart from any action taken by them for that purpose*”. This forms the contract network and currently equates to £4,400k per annum. Based on current provision, options are available for additional savings of up to £1,100k per annum. A review of services will take a view from a community perspective recognising that where the contract network operates it is, by and large, the only bus service in the area; withdrawal of whole services can therefore lead to isolation of communities. In assessing options for savings a strategy will be adopted to ensure that as many communities as possible retain a basic service to their nearest Market Town (including Harrogate and Scarborough) and that an “inter urban” network with a set minimum frequency is maintained.

It is suggested that a formal consultation period could commence from August 2013. Consultation would include the public, all bus and community transport providers and a wide range of other stakeholders and groups as part of an extensive open consultation process. Information about the Council’s proposals will be sent to those who subscribe to North Yorkshire Now, those who subscribe to our timetables by post service and will be uploaded to our website. Posters will be displayed on buses and in bus stations and libraries. The outcomes will be analysed with a view to considering an implementation date from April 2014 onwards as relevant to the outcome of the consultation. An Equalities Impact Assessment was completed in 2013 that covered the priorities regarding how we support bus services. This is being further developed to determine impacts including the consultation process.

Council policy is to allow limited free access for disposal of construction and demolition material, including soil and rubble. Charges can be made, or restrictions imposed, for the receipt and disposal of waste which is not household waste, such as soil and rubble, delivered by a resident of the area. The cost of disposal of soil and rubble is £240k per annum. Charges or restrictions could be introduced to recoup this cost / make the activity cost neutral. As a change in policy, it is suggested that a formal consultation takes place for a period of 3 months. Details of the consultation would be drawn up and commenced as soon as practicable. The consultation will include a wider stakeholder group, including users and operators and also communities, parishes and stakeholder groups. The outcomes would be analysed with a view to considering an implementation date as soon as possible during

2014/15 and as relevant to the outcome of the consultation.

The Council is looking at various options to reduce the discretionary cost of Post-16 Transport to schools and colleges by £400k per annum, ultimately by implementing changes over a 3 year period. Students can currently purchase a subsidised pass (paying no more than £350) and the Council is looking at working with schools and colleges to continue a subsidy but reducing the net cost to the Council. Any change in the funding arrangements would be subject to consultation with users and this would be aligned with the proposal on savings in the public transport subsidy. Timing would mean implementation for September 2014, with a phasing in of the arrangements in that and the following year.

The savings proposals above are unlikely to yield cash savings until 2014/15 and, in some cases, the full year effect is not expected until 2016/17. The table on page 5.36 sets out the profile of these savings proposals, alongside the £2,000k generated from review of the 2012/13 underspend and the subsequent net impact upon the budget shortfall. These savings proposals will involve consultation and in some cases this is prescribed. Further detail is set out later in this report and is reflected in the recommendations.

Section 11 of the Revenue Budget 2013/14 Medium Term Financial Strategy Report considered by County Council on 20 February 2013 included a comprehensive assessment of risks. This risk assessment remains relevant and rather than repeat that information, this report identifies the most pertinent risks associated with this latest Budget / MTFs update.

- a) The assessment of the savings shortfall is predicated on an assumed 2% council tax increase for 2014/15. The Spending Review announced on 26 June 2013 indicates that the government is to make “funding available for local authorities that choose to freeze their council tax in 2014/15 and 2015/16 (equivalent to a 1% council tax increase), and planning to set a council tax referendum threshold in each of these years that gives local people a say if their council tax rises by more than 2 per cent”. Each 1% reduction in council tax equates to £2,300K per annum and would simply increase the savings shortfall identified within this report.
- b) A revaluation is taking place in 2013/14 of the North Yorkshire Pension Fund. As a result, there may well be a requirement to increase employer’s pension fund contributions. Any increase would come into effect from 1 April 2014 and a 1% increase would equate to broadly £1,100k per annum.
- c) The savings proposals identified above are subject to consultation and further consideration. The proposals therefore represent best estimates.
- d) The uncertain economic climate makes it increasingly difficult to predict future price pressures. Assumptions about inflation and pay awards will therefore need to be kept under constant review including the outcome of legal challenges such as the Judicial Review mounted by independent residential care providers.
- e) The identification of recurring savings from Directorate budgets referred to above means that there is reduced flexibility within Directorates to respond to unforeseen pressures. This is likely to result in more frequent calls upon the Council’s balances and reserves should such issues arise.

As set out in the 2012/13 Revenue Budget Outturn Report considered by the Executive on 18 June 2013, which forms item 1 in this report of the Executive, there has been a deliberate approach of increasing the contributions from across the council to General Working Balances (GWB) rather than Directorates / services retaining sums for potential future projects or pressures. As a result, the level of GWB has exceeded that predicted in the report considered by County Council on 20 February 2013. The table below sets out the revised position of GWB should the proposals included within this report be accepted. In addition, it compares the position with that as set out in the report to County Council on 20 February 2013.

| Item | As @ Feb 2013 £000 | Latest Position £000 |
|--|-----------------------|-------------------------|
| Balance at 31 March 2012 | 13,208 | 13,208 |
| Budgeted contribution 2012/13 | 2,501 | 2,501 |
| Additional spending – Executive (April 2012) | (2,400) | (2,400) |
| Net savings to GWB at 2012/13 outturn | 9,899 | 20,557 |
| Balance at 31 March 2013 | 23,208 | 33,866 |
| Required in 2013/14 to support Budget | (2,437) | (437) |
| Forecast at 31 March 2014 | 20,771 | 33,429 |
| Required in 2014/15 to support Budget | (4,600) | (1,900) |
| Forecast GWB at 31 March 2015 | 16,171 | 31,529 |

The above table clearly demonstrates that the projected level of GWB by 31 March 2015 has increased by £15,358k (from £16,171k to £31,529k) when compared to the position as reported to County Council in February 2013. As identified in the table above, this is principally as a result of increased contributions at the outturn for 2012/13 and delivery of the savings proposals before 2015/16 reduces the dependency on balances. As reported to County Council in February 2013, the Corporate Director, Strategic Resources intends to carry out a review of reserves and balances during 2013/14. This review has not yet been concluded, but it is clear that the level of risk facing the County Council in the current climate is far greater than in recent decades and a healthy level of reserves will be critical in helping to manage the finances throughout the period of austerity. Whilst there is no formal proposal, at this stage, to amend the County Council's policy on GWB, it should be noted that a policy of holding 2% of net revenue expenditure (currently about £7.4m) does not necessarily sit well with a reducing base budget (i.e. 2% of a smaller sum) whilst facing unprecedented levels of risk. No formal proposal is put forward at this stage, given that the level of GWB is comfortably in excess of the existing policy. This position cannot be guaranteed in the future, so proposals will be brought forward, if considered appropriate following a review.

As set out earlier in this report, the review of FACS and the charging regime within HAS would require significant resource. It is estimated that £1,150k would be required in order to ensure that adequate resource is in place to help with the relevant assessment processes. It is proposed that funding is released from the Pending Issues Provision (PIP), to support this activity over the next 2 financial years. Given the scale of savings required over the next 5 years, plus, there are likely to be further areas where investment is sought. The scale of the financial challenge beyond 2014/15 is such that more creative approaches will be required and the necessary pump priming will be required. Any such requests will be brought to the Executive for consideration as a separate agenda item or as part of the regular quarterly reporting regime. The balance of PIP funding available to fund further areas of investment was reported in the 2012/13 Revenue Outturn report with a summarised up to date position being:-

| Years available | £m |
|--|-------------|
| 2013/14 | |
| – Brought forward from 2012/13 | 9.1 |
| – Available in 2013/14 | 9.5 |
| – Total available in 2013/14 | 18.6 |
| 2014/15 | 7.4 |
| 2015/16 | 2.8 |
| 2016/17 | 1.8 |
| 2017/18 | 1.7 |
| Total PIP remaining to be allocated up to 2017/18 | 32.3 |

As part of the initial savings proposals approved by County Council on 8 February 2011, there was an intention to deliver savings through closing the dedicated night time service located in Harrogate, Craven and Selby and developing a county-wide responder service. An assessment has been carried out of the services being provided and discussions have taken place with the PCT and shadow CCGs to understand their service plans and commissioning intentions. Both of these exercises are taking longer and proving more complex than we expected. There is still a commitment, however, to decommission the long term care aspect of the service and to commission a county-wide responder service but it is clear that it will take significantly longer to manage the transition and work with partners. As a result it is proposed that up to £1,036k (i.e. the full value of the initial proposed saving) is vired from recurring underspend from within the HAS revenue budget to offset these savings on a recurrent basis. At some future point further savings will result from decommissioning of the programmed night time care, but this is expected to be significantly less than the £1,036k originally estimated.

The Chancellor's 2015/16 Spending Review (SR) announcement on 26 June 2013 has an impact on the County Council's longer term MTFs projections from 2015/16 onwards with the key areas likely to impact on the County Council being as follows:

- Local authority core funding (the total of revenue support grant and localised business rates) will be reduced by 10% in real terms in 2015/16 which equates to

just over 8% in cash terms. This is equivalent to £11.2m per annum for this Council.

- Further Government support to freeze council tax for 2014/15, which will be equivalent to a 1% council tax increase and will be paid in 2014/15 and 2015/16. Clarification is being sought from DCLG on whether there will be a further council tax freeze in 2015/16 – whilst there have been positive statements that the offer does extend to 2015/16, there are other potentially contradicting statements which require research.
- In 2015/16 councils will continue to receive funding for the 2011/12 council tax freeze grant and the 2013/14 freeze grant.
- The council tax referendum limit will be 2% in 2014/15 and 2015/16.
- A £3.8bn pooled budget for health and social care services, shared between the NHS and local authorities, to deliver better outcomes and greater efficiencies through more integrated services. This includes an additional £2bn from the NHS, building on the current transfer from NHS to Social Care. On the surface this is encouraging, but initial details suggest that there may be some form of “panel of peers” which will need to approve any plans. The terms and conditions will be of critical importance.
- £200m additional funding from the NHS in 2014/15 to ensure that closer integration between health and social care can start immediately.
- £335m for councils to prepare for reforms to the system of care funding, including the care cap and universal deferred payments.
- Local Government will be fully funded for the transfer of Independent Living Fund to the local authority social care system.
- A two year local government funding settlement for 2014/15 and 2015/16. (This is expected to result in provisional 2015/16 figures later this year, when the 2014/15 settlement is announced).
- The Government will consult on the Local Government Finance settlement for 2015/16 in the normal way, recognising that some local authorities are more dependent on central government funding.
- A further £200m will be invested into the Troubled Families programme.
- £2bn allocated to the creation of a Single Growth Fund, in response to Lord Heseltine’s recommendation for growth related funds to be devolved to the Local LEPs through a single pot. The Fund is expected to be operational in April 2015.
- The York, North Yorkshire and East Riding Enterprise Partnership EU funding allocation for 2014 to 2020 is €97.5m, which is approximately £83m. The funding is likely to commence from 2015 and assuming a 5 year period for budgeting purposes that equates to about £16.6m per annum. Further guidance will be issued in July 2013.
- School funding and the pupil premium will be protected in real terms and there will be consultation on how best to introduce a fair national funding formula for schools in 2015/16.
- £100bn capital infrastructure investment (Investing in Britain’s future) with £50bn in 2015/16 and £50bn for 2016 to 2020. This includes £39bn rail investment, £28bn for road improvements (including £10bn for essential maintenance),

£10bn to clear a backlog of school building repairs, £3bn for 165,000 new affordable homes. Smaller sums for broadband in rural areas, flood defences and other initiatives.

- The £10bn for essential road maintenance includes £6bn to help local authorities repair the local road network. No further details are currently available but initial calculations suggest that NYCC's Local Transport Plan allocation could increase by circa £4m per annum.
- The Education Services Grant will be reduced by £200m (about 20%) in 2015/16. The DfE will consult this year on the implementation of the reduction, through realising efficiencies and enabling authorities to focus on their care role on schools. NYCC will receive nearly £10m of this grant in 2013/14 – a further top slice is therefore very possible.
- Greater flexibility for local government over the use of assets – potential to use proceeds from asset sales to fund the on-off revenue costs of reforming services.
- £100m collaboration and efficiency fund to support upfront costs of local authorities working together and encourage better ways of operating such as for new IT systems.
- Continued roll out of academies and funding for up to 180 new Free Schools.
- £400m nationally of New Homes Bonus allocations will be required to be pooled with the LEP from 2015/16 to support strategic housing and economic development priorities. This, again, looks like a top slice of Council funding which we will need to understand in more detail for the County Council's position.

In February 2013, a high level assessment of the budget shortfall was provided which indicated a cumulative shortfall of about £57.5m between 2015/16 and 2018/19. A number of the Spending Review announcements indicated above will impact on this projection and these will be worked up in more detail, as further information becomes available, and will be reflected in the forthcoming budget / MTFS update later this year, likely to be February 2014.

The key initial impact of the Spending Review, however, is the 10% in real terms (8.2% in cash terms) reduction in core funding in 2015/16. Ignoring any potential re-distributional impact between individual councils and further top slicing of the national pot to pay for other things, this would result in reduced funding of £11.2m to NYCC in 2015/16, compared to an assumed £9m in the February 2013 high level assessment. Based on previous Government announcements that reductions to local government and other public services funding after 2015/16 would continue at similar levels, the modelling of this latest predicted additional loss of funding to NYCC of £2.2m in 2015/16 (£11.2m - £9m) continuing in 2017/18 and 2018/19 is shown below:-

| Item | 2015/16 £m | 2016/17 £m | 2017/18 £m | 2018/19 £m | On-going £m |
|--|---------------|---------------|---------------|---------------|----------------|
| Additional Costs | | | | | |
| Inflation | 6.7 | 6.9 | 6.9 | 5.4 | |
| 2% pay awards provision | 2.8 | 2.9 | 3.0 | 3.0 | |
| Increased employers NI costs re contracted out | | | 2.3 | | |
| HAS Adult Care | 3.0 | 3.0 | 3.0 | 3.0 | |
| Other | -1.0 | -1.4 | -0.5 | -0.5 | |
| | 11.5 | 11.4 | 14.7 | 10.9 | |
| Additional Funding | | | | | |
| 2% Council Tax increase each year + taxbase | 5.2 | 5.3 | 5.4 | 5.5 | |
| Localisation of Business Rates | 1.6 | 1.7 | 1.8 | 1.8 | |
| Loss of Government Grant | -9.0 | -9.0 | -9.0 | -9.0 | |
| Other | -0.4 | -0.3 | -0.3 | -0.3 | |
| | -2.6 | -2.3 | -2.1 | -2.0 | |
| Net shortfall as at 20 Feb 2013 | 14.1 | 13.7 | 16.8 | 12.9 | 57.5 |
| Additional loss of Government Grant following Spending Review | -2.2 | -2.2 | -2.2 | -2.2 | -8.8 |
| NI costs – early introduction (March 2013 budget) | - | -2.3 | 2.3 | - | - |
| Revised net shortfall | 16.3 | 18.2 | 16.7 | 15.1 | 66.3 |

The table identifies an estimated further recurring shortfall of circa £66.3m over that 4 year period. Clearly the accuracy of this cannot be determined until firm figures are received from Government for 2015/16 in November / December 2014, (although indicative figures are expected in November / December 2013), and information for 2016/17 and beyond will not be available until after the General Election in May 2015. It is considered prudent for the Council to use the above for planning assumptions until more refined information is available. The County Council will be well placed to address this challenge once it has secured the necessary recurring savings for 2013/14 and 2014/15. The period between now and April 2015 will provide a valuable opportunity to set out how the Council operates within these constraining financial parameters.

When developing its budget and policies and in its decision-making processes, the County Council must demonstrate that it pays due regard to the need to eliminate discrimination and to advance equality of opportunity, and foster good relations between different people who share a relevant protected characteristic (age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex (gender) and sexual orientation) and those who do not. This includes compounding factors such as the rural nature of the county and the cumulative impact of proposals on groups with protected characteristics across the range of services. The impact of a decision on the County Council's

activities as a service provider and an employer must be considered. At the earliest possible opportunity, significant proposed changes in service provision and budget are screened to identify whether there are likely to be any equality implications. If equality implications are identified, the County Council uses an Equality Impact Assessment (EIA) process to support the collection of data and analysis of impacts and to provide a way of demonstrating due regard. EIAs are developed alongside savings proposals, with equalities considerations worked into the proposals from the beginning. If a draft EIA suggests that the proposed changes are likely to result in adverse impacts upon service users, further detailed investigation and consultations are undertaken as the detailed proposals are developed. Proposed changes will only be implemented after due regard to the implications has been paid in both the development process and the formal decision-making process.

Where the potential for adverse impact is identified in an EIA, services will seek 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 savings proposals identified above are considered likely to have equality implications. Draft EIAs have been produced as part of the on-going development of the savings proposals. A copy of each is attached as follows:-

- Appendix 3a** Review of Fair Access to Care Standard
- Appendix 3b** Review of Fairer Contributions Policy
- Appendix 3c** Review of Public Transport Subsidy
- Appendix 3d** Review of Post 16 Transport arrangements

It should be noted that the consideration of equality issues is dynamic and the draft EIAs will be updated, as and when appropriate, particularly following consultation processes.

Each of the savings proposals identified requires formal consultation with the public and / or defined stakeholders. Such consultation exercises have been factored into timelines in determining the timing of delivery of the budget savings and the outcome of the consultation exercise will be brought back to the Executive at the appropriate time.

The requirement to set a balanced budget is established in s93 (3) of the Local Government Finance Act 1992. The Council set its budget in accordance with those requirements on 20 February 2013.

The Executive has approved the release of £1,150k from the Pending Issues Provision in order to support delivery of the savings proposals relating to Review of Fair Access to Care Standard and Review of Fairer Contributions Policy and a virement of up to £1,036k from existing recurring underspends within the HAS revenue budget, in lieu of delivering the full value of savings proposed by ending provision of night care services.

The Executive RECOMMENDS:

a) That the revised net Revenue Budget for 2013/14 and 2014/15 MTFs be allocated to each Directorate, net of savings as detailed in **Appendix 3**.

b) That the Corporate Director, Health and Adult Services be authorised to begin a consultation exercise on Fair Access to Care Standard as set out in the report, which could potentially realise savings of £1,400k.

c) That the Corporate Director, Health and Adult Services be authorised to begin a consultation exercise on the Fairer Contributions Policy as set out in the report, which could potentially realise savings of £740k.

d) That the Corporate Director, Business and Environmental Services be authorised to begin a consultation exercise on public transport subsidy as set out in the report, which could potentially realise savings of £1,100k.

e) That the Corporate Director, Business and Environmental Services be authorised to begin a consultation exercise on the disposal of construction and demolition material, including soil and rubble waste as set out in the report, which could potentially realise savings of £240k.

f) That the Corporate Director, Children and Young Person's Service be authorised to begin a consultation exercise on Post 16 Transport arrangements as set out in the report, which could potentially realise savings of £400k.

and that in each case the outcome of the consultation and any proposals in relation to savings affecting these services following that process be reported back to the Executive for approval.

4. Youth Justice Strategic Plan 2013-14: Under Section 40 of the Crime and Disorder Act 1998 it is a statutory requirement to have an annual Youth Justice Plan. The Youth Justice Board issues guidance for completing the plan which, in addition to requiring committee approval, must be signed by members of the Youth Justice Service Management Board and be submitted to the Regional Youth Justice Board Manager by 30th June 2013. The final draft North Yorkshire's Youth Justice Service Strategic Plan 2013-14 is attached as Appendix 4.

The costs of delivering the Youth Justice Service (YJS), as outlined in the Youth Justice Strategic Plan (page 10), will be met from within the existing budget which includes contributions from the County Council and other partners.

In preparing the Plan there has been consultation across the YJS, with senior managers in Children's Social Care, with Children and Young People's Leadership Team members, and with key partners through the Youth Justice Services Management Board. As a service we actively consult with children, young people, parents and carers in respect of

services delivered by the Youth Justice Service. Whilst there has been no direct consultation exercise about the Plan itself, the views and feedback received previously have influenced the content of the Plan. Looking ahead the Children and Young People's Service has commissioned Viewpoint, an interactive web-based tool for eliciting children and young people's views. The Youth Justice Service is the first service to pilot Viewpoint which will enable young people's views to further influence the strategic direction of the service in the future.

The Executive RECOMMENDS:

That the Youth Justice Service Strategic Plan 2013-14, a copy of which is attached to this report as Appendix 4, be approved.

5. Appointments to Committees and Outside Bodies. The Executive makes below the usual recommendation that any proposals for the re-allocation of seats, if necessary to achieve political proportionality, or for changes to memberships or substitute memberships of committees, or other bodies to which the Council makes appointments, put forward by the relevant political group, prior to or at the meeting of the Council, be agreed.

The Executive also recommends, in Appendix 5, the creation of seats for co-opted members on Area Committees and their retention on the Care and Independence Overview and Scrutiny Committee and the Young People Overview and Scrutiny Committee, together with nominations for appointments to a number of Committees. The Executive also recommends that an appointment be made to the Independent Members' Remuneration Panel.

The Executive RECOMMENDS:

That any proposals for the re-allocation of seats, if necessary to achieve political proportionality, or for changes to memberships or substitute memberships of committees, or other bodies to which the Council makes appointments, put forward by the relevant political group, prior to or at the meeting of the Council, be agreed.

That the seats for co-opted members on Area Committees and Overview and Scrutiny Committees set out in Appendix 5 be approved and that those nominated for appointment to Committees set out in that Appendix be appointed.

That an appointment to the Independent Members' Remuneration Panel be made, if a nomination is put forward at the meeting.

CARL LES
In the Chair on 18 June 2013

JOHN WEIGHELL
Chairman

County Hall,
NORTHALLERTON.
16 July 2013

2012/13 FINAL REVISED ESTIMATE REVENUE BUDGETS 31 MARCH 2013

| | Original Budgets agreed by Cty Cncl on 15-Feb-12 £000s (i) | Approved carry forwards from 2011/12 £000s (ii) | Terms & Conditions Savings £000s (iii) | Response to Economic Downturn Allocations £000s (iv) | Business Support Services Transfers £000s (v) | One Council Savings £000s (vi) | Pending Issues Provision Allocations £000s (vii) | Other agreed transfers and adjustments £000s (viii) | Final Revised Budgets £000s (ix) |
|--|--|---|--|---|--|---|---|---|--|
| DIRECTORATE | | | | | | | | | |
| Children & Young Peoples' Service | 75,261 | 3,147 | -367 | | -6,322 | -350 | | -1,376 | 69,993 |
| Business & Environmental Services | 77,377 | 2,555 | -183 | 2,000 | -689 | -16 | | -385 | 80,659 |
| Health & Adult Services | 140,448 | 2,911 | -358 | | -4,201 | -224 | 1,502 | -2,222 | 137,856 |
| Central Services Directorate | 40,483 | 4,635 | -228 | 400 | 11,212 | -1,246 | 986 | 4,334 | 60,576 |
| Corporate Miscellaneous | | | | | | | | | |
| Contingency - general provision | 500 | | | | | | | | 500 |
| Contingency - Special Inflation Provision | 1,000 | | | | | | | -159 | 842 |
| Contribution to Pension Fund Deficit | 720 | 300 | | | | | | | 1,020 |
| Pending Issues Provision | 5,265 | 8,519 | | | | | -2,488 | | 11,296 |
| Capital Financing charges | 30,225 | | | | | | | 106 | 30,332 |
| Interest earned | -1,338 | | | | | | | -111 | -1,449 |
| Community Fund | 450 | 672 | | | | | | | 1,122 |
| Transformation Fund | 299 | | | | | | | | 299 |
| DSG Contribution to Corporate Overheads | -1,560 | | | | | | | -150 | -1,710 |
| Pay & Reward Initiative | 99 | 137 | | | | | | -44 | 192 |
| Employee Cost Terms & Conditions Savings | -1,275 | | 1,136 | | | | | 44 | -95 |
| Carbon Reduction Initiative | 179 | | | | | | | | 179 |
| Council Tax Freeze Grant | -6,162 | | | | | | | | -6,162 |
| New Homes Bonus | -849 | | | | | | | | -849 |
| One-Council Savings | 0 | | | | | 1,837 | | | 1,837 |
| Other (net) | -202 | 23 | | | | | | -38 | -216 |
| | 27,352 | 9,651 | 1,136 | 0 | 0 | 1,837 | -2,488 | -351 | 37,136 |
| Total Directorate Spending | 360,921 | 22,899 | 0 | 2,400 | 0 | 0 | 0 | 0 | 386,220 |
| Contribution To/From (-) General Working Balances | 2,501 | -22,899 | | -2,400 | | | | | -22,798 |
| Net Revenue Budget Requirement | 363,422 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 363,422 |
| FINANCING | | | | | | | | | |
| Externally | | | | | | | | | |
| Revenue support grant | 2,221 | | | | | | | | 2,221 |
| National non domestic rates | 114,567 | | | | | | | | 114,567 |
| Precept on District Councils | | | | | | | | | 0 |
| current year | 246,556 | | | | | | | | 246,556 |
| previous years arrears | 79 | | | | | | | | 79 |
| =Net Budget Requirement | 363,422 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 363,422 |

APPENDIX 1A

2012/13 OUTTURN POSITION

| | HAS | BES | CYPS | CS | Corp Mis | Total |
|--|---------------|---------------|---------------|---------------|----------------|----------------|
| | £000s | £000s | £000s | £000s | £000s | £000s |
| 1 2012/13 OUTTURN VARIATION | | | | | | |
| 2012/13 Revised Estimate | 137,856 | 80,659 | 69,993 | 60,576 | 37,136 | 386,220 |
| 2012/13 bottom line outturn | 128,012 | 76,685 | 65,502 | 54,855 | 17,873 | 342,927 |
| outturn variation (- = saving, + = overspend) | -9,844 | -3,974 | -4,491 | -5,721 | -19,263 | -43,293 |
| <i>Memo item variation at Q3</i> | -8,081 | -2,666 | -3,757 | -5,750 | -15,445 | -35,699 |
| 2 ANALYSIS & TREATMENT of YEAR END VARIATION | | | | | | |
| a EARMARKED FOR SPENDING IN FUTURE YEARS & CARRIED FORWARD TO 2013/14 | | | | | | |
| Projects and Initiatives for future years | | | | | | |
| Community Fund | | | | | -513 | -513 |
| Pay and Reward Fund | | | | | -168 | -168 |
| Pay protection & other costs linked to budget savings | -248 | | | | | -248 |
| Short term funding for specific projects | -499 | | | | | -499 |
| START Project - drop out of PIP funding | -1,200 | | | | | -1,200 |
| Less one off funding from Social Care Reform Grant | 1,500 | | | | | 1,500 |
| Improvements to financial system | | | | -433 | | -433 |
| ICT information security and one council business intelligence | | | | -55 | | -55 |
| Corporate property initiatives slippage | | | | -63 | | -63 |
| Commendations and complaints system | | | | -66 | | -66 |
| Legal Services fixed term support | | | | -100 | | -100 |
| Legal Services procurement projects | | | | -68 | | -68 |
| HR one off projects | | | | -206 | | -206 |
| Business Support one off projects and investments | | | | -250 | | -250 |
| Apprenticeships and Employability projects | | | | -263 | | -263 |
| Youth Justice service | | | -413 | | | -413 |
| Completion of Leeming Bar Depot works | | -390 | | | | -390 |
| Revenue contrib earmarked for waste capital programme | | -410 | | | | -410 |
| Langbargh landfill restoration works | | -230 | | | | -230 |
| Street lighting rev cont to capital not completed in 2012/13 | | -260 | | | | -260 |
| Delayed HWRC maintenance works | | -75 | | | | -75 |
| Deferred work on PROW footbridges | | -40 | | | | -40 |
| Fleet account funding earmarked for vehicle tracking licences | | -36 | | | | -36 |
| Waste procurment planning work | | -50 | | | | -50 |
| Definitive maps | | -40 | | | | -40 |
| Concessionary fares project | | -50 | | | | -50 |
| Various other items earmarked for known pressures | | -365 | | | | -365 |
| | -447 | -1,946 | -413 | -1,504 | -681 | -4,991 |
| PIP Funding allocations to be carried forward | | | | | | |
| Microsoft transition funding | | | | | -2,150 | -2,150 |
| Unallocated funding | | | | | -9,146 | -9,146 |
| ICT resourve for One Council Developments | | | | -136 | | -136 |
| ICT Microsoft transition | | | | -141 | | -141 |
| Strategic Transformation and IntegrationCapability Project | | | | -279 | | -279 |
| Selby Brook Lodge BOS project | | | | -980 | | -980 |
| Harrogate BOS project | | | | -840 | | -840 |
| Investments to underpin the achievement of library savings | | | | -140 | | -140 |
| CYPS ICT Resilience | | | -211 | | | -211 |
| Bedale - Aiskew- Leeming Bar Bypass Scheme | | -694 | | | | -694 |
| | 0 | -694 | -211 | -2,516 | -11,296 | -14,717 |
| Savings to be c/fwd and then paid back into the PIP | | | | | | |
| HAS Transitional workers | -28 | | | | | -28 |
| Waste management Strategy | | -1,077 | | | | -1,077 |
| | -28 | -1,077 | 0 | 0 | 0 | -1,105 |

| | HAS £000s | BES £000s | CYPS £000s | CS £000s | Corp Mis £000s | Total £000s |
|---|---------------|---------------|---------------|---------------|-------------------|----------------|
| Reprofiling of savings for future years | | | | | | |
| HAS Learning Disability savings | -723 | | | | | -723 |
| Carry forward from 2011/12 earmarked for future years | | | -1,200 | | | -1,200 |
| | | | | | | 0 |
| | -723 | 0 | -1,200 | 0 | 0 | -1,923 |
| Total proposed carry forward to 2013/14 | -1,198 | -3,717 | -1,824 | -4,020 | -11,977 | -22,736 |

b SAVINGS & OVERSPENDS NOT TO BE CARRIED FORWARD TO 2013/14 BUT ADDED TO THE GWB

One off windfalls & savings (including early one council & budget matrix savings)

list main items (categories)

| | | | | | | |
|---|---------------|-------------|---------------|---------------|---------------|----------------|
| Academies top slicing grant refund | | | | | -3,589 | -3,589 |
| Treasury Management savings | | | | | -1,327 | -1,327 |
| Unspent central and inflation contingencies | | | | | -1,342 | -1,342 |
| Contribution to self insurance fund | | | | | 1,068 | 1,068 |
| Contribution to Pickering Beck Flooding project | | | | | 300 | 300 |
| Transformation Fund | | | | | -286 | -286 |
| Accelerated Directorate one council savings | | | | | -1,837 | -1,837 |
| Other net savings | | | | | -273 | -273 |
| Carry forward of 2011/12 net underspend | -2,850 | | | | | -2,850 |
| Reduced in year requirement for demographic growth | -1,647 | | | | | -1,647 |
| One off additional health funding | -901 | | | | | -901 |
| Staff vacancies, cost reductions, service reviews etc | -3,248 | | | | | -3,248 |
| Corporate Accommodation | | | | -277 | | -277 |
| Corpe Asset Man, Corp Landlord Serv and H&S | | | | -530 | | -530 |
| Communications unit | | | | -128 | | -128 |
| Legal and Democratic services | | | | -203 | | -203 |
| HR Services | | | | -313 | | -313 |
| Business Support services | | | | -285 | | -285 |
| Members services and chairmans fund | | | | -159 | | -159 |
| Corporate R & M overspend | | | | 111 | | 111 |
| Legal expenses overspend | | | | 141 | | 141 |
| Elections otherspend | | | | 500 | | 500 |
| MTFS advance savings | | | | -350 | | -350 |
| Other Central Services savings | | | | -208 | | -208 |
| CYPS non recurring underspend | | | -1,486 | | | -1,486 |
| CYPS planned underspends | | | -696 | | | -696 |
| CYPS accelerated MTFS savings | | | -485 | | | -485 |
| Various BES net savings | | -257 | | | | -257 |
| | -8,646 | -257 | -2,667 | -1,701 | -7,286 | -20,557 |

Overspends to be written off against the GWB

none identified

0 0 0 0 0 0

Total savings / overspends impacting on the GWB

-8,646 -257 -2,667 -1,701 -7,286 -20,557

c TOTAL YEAR END VARIATION (a + b)

-9,844 -3,974 -4,491 -5,721 -19,263 -43,293

24-May-13

HEALTH AND ADULT SERVICES

2012/13 REVENUE BUDGET OUTTURN POSITION - 31 MARCH 2013

| SERVICE UNIT | REVISED BUDGET | ACTUAL OUTTURN | VARIANCE | COMMENTS |
|--|-------------------|-------------------|---------------------|--|
| | 2012/13 | 2012/13 | (- = underspend) | |
| | £000 | £000 | £000 | |
| Social Care Operations | | | | |
| - Area Budgets | | | | |
| Central | 36,656 | 35,573 | -1,083 | The underspends on the area operations budgets have arisen from a combination of factors, the most significant of these have been:- a) Staff vacancies in care management teams b) Reduction in client numbers c) Contract savings and other cost reductions as services were reviewed d) Increased client income as a proportion of spend e) Improved position in terms of external funding including one-off backdated health payments and f) significant underspends on in-house home care as the service switched to focus on reablement. All of these were partially offset by continuing demand pressures on services for people |
| Harrogate/Craven | 43,811 | 41,788 | -2,023 | |
| Scarborough/Whitby/Ryedale | 33,925 | 32,398 | -1,526 | |
| Mental Health | 6,125 | 5,967 | -158 | |
| Telecare | 504 | 359 | -145 | |
| Assistant Director/Cross-area budgets | -208 | -862 | -653 | |
| | | | | |
| SUB-TOTAL * | 120,811 | 115,223 | -5,588 | |
| Procurement, Partnerships & QA | 966 | 912 | -54 | Staff vacancies |
| Supporting People | 14,405 | 14,405 | 0 | |
| Strategic Commissioning & P'ships | 275 | 220 | -55 | Staff vacancies following service restructures |
| Resources Unit | | | | |
| - Area support teams/office bases | 3,139 | 3,048 | -91 | Principally staff vacancy savings as posts were held ahead of the transfer to BSS offset by higher IT costs |
| Performance & Change Management | 1,626 | 1,551 | -75 | Staff vacancy savings held against restructures and saving proposals |
| Director & Cross-Directorate | -197 | 416 | 613 | Night Service savings not yet achieved offset by contingency fund and reduced inflation allocation for some budgets |
| One-off Savings | 2,652 | -266 | -2,918 | C/fwd underspend from 2011-12 & one-off health monies partially offset by some short term additional costs. |
| Government Grants & LD transfer | -9,124 | -9,124 | 0 | |
| Demographic Growth Balance | 1,647 | 0 | -1,647 | Unutilised balance of £3m provision for additional demand pressures reflecting, in part, the delays in the full cost of ordinary residence clients impacting in the current financial year. As indicated in previous Q reports this unused element will be returned to the General Working Balance. |
| Total Allocations before PIP | 136,199 | 126,384 | -9,815 | |
| PIP allocations | 1,656 | 1,628 | -28 | |
| TOTAL | 137,856 | 128,012 | -9,844 | |
| Projected Variance at Q3 | | | -8,081 | |

BUSINESS & ENVIRONMENTAL SERVICES

2012/13 REVENUE BUDGET OUTTURN POSITION - 31 MARCH 2013

| BUDGET HEAD | HIGH RISK? | REVISED BUDGET 2012/13 £000 | ACTUAL OUTTURN 2012/13 £000 | VARIANCE (-) = under spend £000 | COMMENTS |
|---|------------|--------------------------------|--------------------------------|------------------------------------|---|
| Highways | | 30,089 | 31,412 | 1,323 | Utilising savings within the highways service (£0.7m) and elsewhere in the BES Directorate additional works were undertaken to resolve certain maintenance issues; this included £0.5m contribution for additional street lighting capital works and £1.0m additional revenue maintenance works. The flooding events experienced in September and then to a lesser extent in November and December cost £0.9m in direct revenue costs, excluding staff time; this is £0.2m lower than forecast in the Q3 report. Given the overall financial position in the Directorate the £0.4m corporate write off for these costs is no longer requested. The winter service budget was overspent by £0.9m in 2012/13; this was caused due to the poor weather conditions experienced predominantly in February and into March; £0.9m has been drawn down from the winter service reserve to fund this expenditure leaving £2.1m remaining. Additional income of £0.3m over the budgeted level accounts for the remainder of the variance. |
| Integrated Passenger Transport (IPT) | | 15,990 | 14,300 | -1,690 | Savings on passenger transport have predominantly accrued from the removal of specific services from the concessionary travel scheme and from area review on other services. Additional savings to that forecast at Q3 for concessionary travel appears to relate to poor weather. As such the outturn position does not necessarily reflect the recurring position but nevertheless provides confidence that existing savings targets will be achieved. |
| Trading Standards & Planning Services | | 2,989 | 2,709 | -280 | The underspend reflects staff vacancy net savings of £0.3m. |
| Economic & Partnership Unit | | 534 | 453 | -81 | Various minor savings account for the underspend. |
| Waste Management & Countryside Services | | 28,160 | 26,177 | -1,983 | One-off revenue savings have been earmarked for contribution to the waste capital programme as reported previously - this amounts to £0.4m of the underspend forecast. Any surplus on PIP funded waste budgets is returned to the PIP fund at the end of each financial year and this amounts to £0.4m in 2012/13. Investigations on the Langbaugh site have progressed and assessments are being made on required works and cost; as previously reported there is a carry forward requirement into 2013/14; this amounts to £0.2m. Included in the outturn is a landfill tax windfall of £0.8m; this is requested for carry forward into general working balances. |
| Resources, Performance & Improvement | | 2,172 | 1,603 | -569 | The Directorate's contingency fund was used along with savings on vacancies, ICT and insurance costs to fund additional expenditure elsewhere in the Directorate as detailed above. |
| Total before PIP Allocations | | 79,934 | 76,654 | -3,280 | |
| PIP Allocations | | 725 | 31 | -694 | Net expenditure remains on the profile for the usage of the PIP fund to progress the BALB scheme as per the report to the Executive on 17 January 2012. |
| TOTAL | | 80,659 | 76,685 | -3,974 | |
| Projected Variance at Q3 | | | | -2,666 | |

APPENDIX 1D

CHILDREN & YOUNG PEOPLE'S SERVICE

2012/13 REVENUE BUDGET OUTURN POSITION - 31 MARCH 2013

| BUDGET HEAD | HIGH RISK? | REVISED BUDGET 2012/13 £000 | ACTUAL OUTTURN 2012/13 £000 | VARIANCE (- = underspend) £000 | COMMENTS |
|---|------------|--------------------------------|--------------------------------|--------------------------------------|---|
| LEA BLOCK | | | | | |
| Strategic Management | | | | | |
| Strategic Capacity | | 2,194 | 241 | -1,954 | (See Note 1) |
| Strategic Services | | 1,866 | 1,700 | -166 | Staffing vacancies have led to a non-recurring underspend in the Performance & Outcomes Team. |
| Quality & Improvement | | 5,923 | 5,923 | 0 | |
| Severance / Pensions / Benefits | | 1,029 | 1,064 | 35 | |
| Early Years - PVI | | 1,247 | 795 | -452 | Underspending linked to course cancellations and decreased activity during the Workforce Development restructure. |
| Director's Duties | | 95 | 95 | 0 | |
| e-Government Services | | 153 | 460 | 307 | Centralisation of the cost of Standard Desktop recharges |
| Psychological Service | | 1,787 | 1,766 | -22 | |
| Other Children's Services & Corporate overheads | | 529 | -43 | -572 | The Directorate has achieved savings over and above the MTFS savings target in order meet recurring Directorate budget pressures including the cost of Family & Friends Care, the transfer of YPLA responsibilities and the transfer of the cost of secure remands. In addition, income from trading with academies has resulted in an underspend position. |
| TOTAL | | 14,823 | 11,999 | -2,824 | |
| Retained LEA Services | | | | | |
| Music Service | | 293 | 293 | 0 | |
| Integrated Services | | 6,996 | 6,553 | -443 | Delays in recruitment of Early Years Workers within Children's Centres has led to a non-recurring underspend. Management action to introduce centrally commissioned services will address this in 2013/14. |
| Youth Support Services | | 7,101 | 6,927 | -174 | The Youth Support Service undertook a significant reorganisation during 2011/12. Held vacancies and a thorough review of service delivery and projects have contributed towards a non-recurring underspend of £174k. |
| 14-19 Strategy & Commissioning | | 83 | 63 | -20 | |
| TOTAL | | 14,473 | 13,836 | -637 | |
| Access | | | | | |
| Home to School Transport | Y | 20,910 | 20,910 | 0 | There is a projected net nil variance for 2012/13 after taking into account the use MTFS reserves to meet the in-year cash savings target in line with the CYPs transformation savings plan. |
| SEN Management | | 540 | 565 | 25 | |
| 2-Year Old Funding | | 952 | 952 | 0 | |
| TOTAL | | 22,401 | 22,426 | 25 | |

CHILDREN & YOUNG PEOPLE'S SERVICE

2012/13 REVENUE BUDGET OUTURN POSITION - 31 MARCH 2013

| BUDGET HEAD | HIGH RISK? | REVISED BUDGET 2012/13 £000 | ACTUAL OUTTURN 2012/13 £000 | VARIANCE (- = underspend) £000 | COMMENTS |
|----------------------------------|------------|--------------------------------|--------------------------------|--------------------------------------|---|
| SEN & Behaviour (LEA) | | | | | |
| Welfare Service | | 3,215 | 2,929 | -286 | Staffing vacancies have led to a non-recurring under-spend. (See Note 2) |
| LEA-Schools Block Adjustment | | -4,236 | -3,751 | 485 | |
| TOTAL | | -1,021 | -822 | 199 | |
| LEA BLOCK TOTAL | | 50,677 | 47,441 | -3,236 | |
| CYPS Funding | | | | | |
| Early Intervention Grant | | -20,630 | -20,671 | -41 | |
| Local Services Support Grant | | -703 | -700 | 3 | |
| | | -21,333 | -21,371 | -38 | |

CHILDREN & YOUNG PEOPLE'S SERVICE

2012/13 REVENUE BUDGET OUTTURN POSITION - 31 MARCH 2013

| BUDGET HEAD | HIGH RISK? | REVISED BUDGET 2012/13 £000 | ACTUAL OUTTURN 2012/13 £000 | VARIANCE (- = underspend) £000 | COMMENTS |
|---|------------|--------------------------------|--------------------------------|--------------------------------------|--|
| SOCIAL CARE BLOCK | | | | | |
| Services for Children and Families | | | | | |
| Child Placement | Y | 18,105 | 17,956 | -149 | At the end of March 2013, there were 489 Looked After Children and a further 296 paid-for arrangements. This compares with 465 and 251 respectively, at the start of the year. Higher numbers of referrals have continued to increase the pressure on this budget although management action to contain costs within the funding envelope available has targeted cost reductions where it safe to do so. The trend for children placed into 'family and friends care' arrangements has also continued. |
| Safeguarding | | 9,202 | 9,102 | -100 | Underspending on section 17 (Children in Need) budgets and LAC transport costs have resulted in a non-recurring under-spend, although spend in these areas remains volatile. |
| Disabled Children's Services | | 4,071 | 4,059 | -12 | |
| Effective Practice & Quality Assurance | | 2,870 | 2,687 | -183 | The continued effect of vacancies in the new Family Intervention Team, coupled with lower than anticipated expenditure on sessional workers and costs associated with direct work with families. |
| General | | 1,683 | 1,604 | -79 | Costs arising from the post-implementation review of the transformation of Children's Social Care will not be required during 2012-13 |
| Youth Justice | | 1,376 | 963 | -412 | The Youth Justice Service carried forward a small surplus of £123k from 2011/12. The Youth Justice Service budget sits outside the normal cost centre management in the sense that it is a ring fenced multi-agency budget which cannot be used for CYPS or other purposes. |
| SOCIAL CARE BLOCK TOTAL | | 37,307 | 36,372 | -935 | |
| Savings Proposals not yet allocated to Service Lines | Y | -413 | 0 | 413 | These savings will be allocated to relevant budget lines in line with anticipated savings |
| Accelerated Savings | | 485 | 0 | -485 | This consists of accelerated savings from 2011-12, plus additional accelerated savings in 2012-13, principally on Youth Support and staffing budgets |
| Total Before PIP Funding Against 2012/13 VFM Targets | | 66,723 | 62,442 | -4,280 | The savings target for 2012/13 includes efficiency proposals aimed at achieving £2,960K savings. |
| Pending Issues Provision | | 3,270 | 3,059 | -211 | |
| TOTAL | | 69,993 | 65,502 | -4,491 | |
| Position at Q3 | | | | -3,757 | |

Notes:

1. Earmarked Carry Forwards

There are previously agreed earmarked carry forwards totalling £3,147K. Most of this has been allocated to fund specific issues in 2012-13 although the balance of £1,200K will be carried-forward to support identified budget pressures in 2013-14.

2. Technical Note

The figures include a reallocation adjustment between DCSF defined blocks. This is a technical reallocation intended to reflect the most appropriate analysis of expenditure where the budget heading falls in more than one block.

CHILDREN & YOUNG PEOPLE'S SERVICE

2012/13 REVENUE BUDGET OUTURN POSITION - 31 MARCH 2013

| BUDGET HEAD | HIGH RISK? | REVISED BUDGET 2012/13 £000 | ACTUAL OUTTURN 2012/13 £000 | VARIANCE (- = underspend) £000 | COMMENTS |
|--|------------|--------------------------------|--------------------------------|--------------------------------------|--|
| SCHOOLS BLOCK/ DEDICATED SCHOOLS GRANT | | | | | |
| SEN & Behaviour (Schools) | | | | | |
| Independent Fees & Recoupment | | 2,022 | 2,134 | 112 | |
| SEN Support & Outreach | | 1,127 | 1,033 | -94 | |
| Access Strategy, E-LAC, EMA | | 1,672 | 1,362 | -310 | Non-recurring under-spend arising through the impact of held staffing vacancies linked to restructuring of service areas. |
| TOTAL | | 4,821 | 4,529 | -292 | |
| Access & Networks | | | | | |
| Behavioural, Emotional & Social Difficulties | Y | 5,448 | 5,389 | -58 | |
| Sensory, Physical and Medical | | 1,149 | 1,195 | 46 | |
| Personalisation & Transitions | | 217 | 225 | 8 | |
| TOTAL | | 6,814 | 6,810 | -5 | |
| Schools & Early Years | | | | | |
| ISB & LMS Contingency | | 301,346 | 302,157 | 811 | |
| Mainstream Early Years | | 6,441 | 6,336 | -105 | |
| Private, Voluntary and Independent Early Years Funding | | 11,765 | 11,217 | -548 | The outturn reflects the actual headcount for the Autumn term. |
| Enhanced Mainstream Schools | | 3,394 | 3,394 | 0 | |
| Minority Ethnic Achievement Hub Schools | | 504 | 508 | 4 | |
| Learning Platforms - Broadband | | 807 | 807 | 0 | |
| TOTAL | | 324,257 | 324,418 | 161 | |
| Strategic Services | | | | | |
| Strategic Capacity | | 226 | 208 | -18 | |
| Catering Service | | 1,295 | 1,295 | 0 | |
| TU Duties and Legal Fees | | 95 | 125 | 31 | |
| Outdoor Education | | 400 | 450 | 50 | |
| Carbon Reduction Tax | | 404 | 381 | -23 | |
| DSG Overheads | | 1,586 | 1,586 | 0 | |
| Rent Rebate | | 0 | -787 | -787 | |
| LEA-Schools Block Adjustment | | 4,236 | 3,751 | -485 | |
| TOTAL | | 8,241 | 7,008 | -1,233 | |
| Total | | 344,134 | 342,765 | -1,369 | |
| Dedicated Schools Grant | | -344,786 | -344,786 | 0 | The final DSG allocation in support of the Schools Block is £344,786k. |
| Unallocated DSG | | 653 | 2,021 | 1,368 | The forecast unallocated grant represents the net impact of projected spending. Based on the assessment of spending against the provisional DSG, £1,938K represents a projected under-spend against the grant. |
| TOTAL | | 0 | 0 | 0 | |

CHILDREN & YOUNG PEOPLE'S SERVICE

2012/13 REVENUE BUDGET OUTTURN POSITION - 31 MARCH 2013

| TRADED SERVICE | High Risk? | Traded Surplus/Deficit (-) B/fwd from 2011/12 £000 | In year surplus/deficit 2012/13 | | | Traded Balance C/fwd to 2013/14 £000 | COMMENTS |
|--------------------------------|------------|---|---------------------------------|------------------|--------------------------|---|----------|
| | | | Turnover £000 | Expenditure £000 | Surplus/deficit (-) £000 | | |
| Catering | Y | 989 | 14,570 | 14,228 | 341 | 1,330 | |
| MASS | | 239 | 3,484 | 3,651 | -166 | 73 | |
| Staff Absence Insurance Scheme | | 1,042 | 3,736 | 4,390 | -654 | 388 | |
| School's ICT | | 190 | 4,105 | 4,040 | 65 | 255 | |
| Outdoor Education | Y | 260 | 2,270 | 2,269 | 1 | 260 | |
| FMS | | 76 | 1,309 | 1,250 | 60 | 136 | |
| Other Traded Services | | 1,240 | 3,039 | 2,545 | 493 | 1,734 | |
| GRAND TOTAL | | 4,035 | 32,513 | 32,373 | 141 | 4,175 | |

* Turnover consists of real income of £1,870K together with a contribution of £400K from the Outdoor Education Budget in CYPS.

** Includes £133K brought forward from Premises Scheme which closed as at 31st March 2011

CENTRAL SERVICES

2012/13 REVENUE BUDGET OUTTURN POSITION - 31 MARCH 2013

| BUDGET HEAD | HIGH RISK | REVISED BUDGET 2012/13 £000 | OUTTURN 2012/13 £000 | VARIANCE (-) = under spend £000 | COMMENTS |
|---|-----------|--------------------------------|-------------------------|------------------------------------|---|
| RECURRING BUDGETS | | | | | |
| Financial Services | | 4,602 | 4,361 | -241 | Savings relate predominantly to staff vacancies, other running costs and one-off income. An estimated £114k of this is on-going savings that will contribute to savings targets in 2013/14. The full sum is requested for carry-forward to fund financial system developments to underpin One Council modernisation. Since Q2, this Service Unit has transferred £100k of One Council Savings achieved one year early in 2012/13 to Corporate Miscellaneous (in excess of the £114k mentioned above). |
| Corporate Procurement | | 484 | 471 | -13 | |
| ICT Services | | 8,603 | 8,548 | -55 | One-off savings mainly due to vacancies and after the transfer of recurring budget related to ICT strategy into a reserve. £55k to be requested for carry forward to fund improvements to information security and to help develop One Council working on business intelligence. |
| Cleaning and Grounds Client | | 147 | 104 | -43 | Reduced LGPS membership by staff and additional funding, the level of which is dependent on demand from schools. This variance will be a contribution to GWB. |
| Corporate Repairs & Maintenance | Y | 2,475 | 2,586 | 111 | Responsive (£182k) and Preventative Maintenance (£20k) budgets overspent in year, offset by an underspend on Planned Maintenance (£91k). Planned and Preventative Maintenance expenditure accelerated in the final quarter of the year (£191k in excess of that forecast at Q3). |
| Corporate Accommodation | | 3,073 | 2,733 | -340 | £63k due to slippage of a number of specific minor improvement items, this is requested for carry-forward. A variance of £256k is due to savings in advance of target and the remaining £21k is due to a one-off corporate windfall (grant income), it is planned that this will be a contribution to GWB. |
| Corporate Asset Management, Corporate Landlord Services and Health & Safety | | 3,230 | 2,700 | -530 | £530k comprises of: savings on £150k one-off funding for Procurement support not required due to higher level of support provided in-house or from 'core' NPG/YPO service; £50k one off windfall from savings on the corporate gas contract and; £330k from vacancies and other savings in running costs, of which approx. £130k are 2013/14 savings in advance. The £530k variance is a planned contribution to GWB. |
| Libraries | | 6,802 | 6,763 | -39 | The variance has been used to offset other variances in LCS. |
| School Library Service | Y | 0 | 33 | 33 | |
| Registrars | | -61 | -74 | -13 | |
| Archives & Record Management | | 285 | 298 | 13 | |
| Coroners | Y | 696 | 700 | 4 | Spend is lower than forecast at Q3 due to the timing of a number of long inquests which are now expected to take place in 2013/14. |
| Customer Service Centre | | 1,624 | 1,619 | -5 | |
| Chief Exec's Office | | 2,841 | 2,727 | -114 | £66k of the saving relates to ear-marked funding for the Complaints & Commendations system and will be carried forward. The remaining sum mainly relates to additional external income (Police & Crime Panel and Emergency Planning) which will contribute to savings in 13/14. The saving in the current year will be surrendered to GWB. |

CENTRAL SERVICES

2012/13 REVENUE BUDGET OUTFURN POSITION - 31 MARCH 2013

| BUDGET HEAD | HIGH RISK | REVISED BUDGET 2012/13 £000 | OUTTURN 2012/13 £000 | VARIANCE (-) = under spend £000 | COMMENTS |
|---|-----------|--------------------------------|-------------------------|------------------------------------|--|
| Communications | | 757 | 629 | -128 | £92k of the saving relates to carry-forwards from 2011/12 to fund the staff survey, intranet & website development, which were not undertaken in 12/13. It is likely some of these will arise in 13/14 and funding will be explored as appropriate. In the meantime this saving will be surrendered to GWB |
| Grants & Subscriptions | | 184 | 181 | -3 | |
| Legal & Democratic Services | | 1,927 | 1,556 | -371 | Saving relates to temporary vacancies in senior posts, income from external clients achieved in excess of target and slippage of procurement into early 2014. The service is currently experiencing a heavy workload, especially around major procurement projects, which will continue throughout 2013/14, therefore £100k is requested to be carried forward to fund fixed term support. The unspent £68k of brought forward funds for the slipped procurement project, which was concluded in early 13/14, is also requested. The remaining £203k will be surrendered to GWB. |
| Legal Expenses | Y | 682 | 823 | 141 | This is a volatile budget. This overspend is largely attributable to an unexpected backdated demand for court fees from York Courts in relation to some child care proceedings brought by the Council since 2008. A similar demand is likely to be received from Scarborough Courts, but it is as yet not finalised. Work is being undertaken with the courts to ensure a similar scenario is avoided in future. |
| HR Services | | 3,880 | 3,361 | -519 | £206k relates to a number of one-off or multi year funded items that are requested for carry-forward (including Young People's initiatives). £100k relates to Training & Learning savings in advance of One Council target, and £90k to other HR 2013/14 savings targets achieved in advance. The remaining sum relates to one-off savings from vacancies etc. The £313k not required for carry-forward will be surrendered to GWB. |
| Business Support Services | | 10,168 | 9,633 | -535 | The saving is mainly due to the early achievement of BSS One Council targets from vacancies and supplies and services across the BSS teams that have recently transferred in from Directorates. £250k is requested for carry-forward to fund one-off investments such as systems developments that will enable One Council modernisation and future efficiencies, the remaining £285k will contribute to the GWB. |
| Members' Services & Chairman's Fund | | 1,301 | 1,142 | -159 | The saving is across a number of budget headings as a result of a prudent approach to expenditure. £70k of this has already been earmarked as an additional saving in 2013/14, the scope for increasing this sum based on the outturn position is being investigated.. In 2012/13 the in-year saving will be a contribution to GWB. |
| Elections | | 79 | 579 | 500 | The variance relates to an additional contribution of £500k to the elections reserve in advance of the May 2013 election, the costs of which are forecast to be significantly higher than in recent elections since it is not a 'shared' election. The outturn includes costs of a by-election in the Central Richmondshire seat. |
| Budget Savings Scorecard - savings in advance of target | | 350 | 0 | -350 | 2013/14 savings realised in advance - one-off sum to be surrender to GWB in 2012/13. |
| TOTAL RECURRING BUDGETS | | 54,129 | 51,473 | -2,656 | |

CENTRAL SERVICES

2012/13 REVENUE BUDGET OUTTURN POSITION - 31 MARCH 2013

| BUDGET HEAD | HIGH RISK | REVISED BUDGET 2012/13 £000 | OUTTURN 2012/13 £000 | VARIANCE (-) = under spend £000 | COMMENTS |
|---|------------------|------------------------------------|-----------------------------|--|---|
| PIP ALLOCATIONS | | | | | |
| ICT Services - One Council Resource | | 136 | 0 | -136 | Request to slip all this PIP allocation into 2013/14 to better match when One Council resource will be needed within ICT. |
| ICT Developments | | 200 | 200 | 0 | |
| Microsoft Transition | | 750 | 609 | -141 | Slippage due to the timing of the final stages of the project, this sum is requested to be carried forward to complete the transition project (any sum not required will be passed back into General Working Balances) |
| Strategic Transformation and Integration Capability | | 849 | 570 | -279 | Variance is the 12/13 contingency to be carried forward into 13/14 to fund the remaining phases of the project (any sum not required will be passed back to General Working Balances). |
| Bright Office Strategy schemes | | 2,310 | 490 | -1,820 | £1,820k to be carried forward to fund the remainder of Brook Lodge scheme due for completion in November 2013 together with a wider review of council property. |
| Library & Community Services - projects to underpin savings programme | | 172 | 32 | -140 | £140k to carry forward to 13/14 to fund Super-mobile replacement. |
| One-Council Programme Director | | 100 | 100 | 0 | |
| TOTAL PIP ALLOCATIONS | | 4,517 | 2,001 | -2516 | |
| OTHER NON-RECURRING BUDGETS | | | | | |
| Financial Services - financial ledger developments | | 225 | 33 | -192 | Funds ear-marked for contribution towards one-off Capital development projects on Oracle, Business Objects & other financial systems during 2013/14 and 2014/15 which will generate savings through the One Council Financial Management Work-stream. |
| ICT Services - Developments | | 1,142 | 1,142 | 0 | This represents funding set aside to pay for the ICT Strategy when it is approved and has been put in a reserve to be drawn down over the next 5 years of the strategy. |
| CPM One-off project cost provision | | 163 | 69 | -94 | The £94k variation is due to £26k air conditioning works less than original estimate and rephasing of CPM one-off projects (£68k). The full sum will be given up to General Working Balances. |
| Apprenticeships & Employability Projects | | 400 | 137 | -263 | The variance is due to the timing of the Apprenticeship scheme meaning that the costs fall in 2012/13 and 2013/14. The £263k will be ear-marked for carry-forward. |
| TOTAL OTHER NON-RECURRING BUDGETS | | 1,930 | 1,381 | -549 | |
| CENTRAL SERVICES TOTAL | | 60,576 | 54,855 | -5,721 | |
| Projected Variance at Q3 | | | | -5,750 | |

CENTRAL SERVICES

2012/13 REVENUE BUDGET OUTTURN POSITION AS AT 31 MARCH 2013

| | High Risk? | Surplus B/fwd from 2011/12 | In year surplus (+) /deficit (-) 2012/13 | | | Surplus/ Deficit(-) C/fwd to 2013/14 | COMMENTS |
|---|------------|----------------------------|--|---------------|------------------|--------------------------------------|--|
| | | | Income | Expenditure | Surplus/ deficit | | |
| | | £000 | £000 | £000 | £000 | £000 | |
| Building Cleaning Services - Schools | Y | | | | | | |
| In Year | | | 6,898 | 6,634 | 264 | 264 | Due to additional income and savings on staffing costs linked to CPM restructure. |
| Business Initiatives/Equipment Fund | | 556 | | 254 | -254 | 302 | Part of the surplus has been used to fund a pilot to provide property related support to business support staff in a number of schools (£25k) as well as for the replacement of equipment and the final loyalty based rebate scheme expenditure (£77k). Intend to give a refund to schools in 2013/14. |
| TOTAL | | 556 | 6,898 | 6,888 | 9 | 565 | |
| Building Cleaning Services - Non Schools | | | | | | | |
| In Year | | | 1,603 | 1,501 | 101 | 101 | Due to income earned over and above the budget assumptions (Park and Ride Scarborough no longer closing in winter months in 2011/12 £21k) and savings on staffing costs linked to CPM restructure. |
| Business Initiatives/Equipment Fund | | 139 | | 6 | -6 | 133 | The surplus will be used to fund the replacement of equipment (£30k) |
| TOTAL | | 139 | 1,603 | 1,507 | 95 | 234 | |
| Grounds Maintenance | Y | | | | | | |
| In Year | | | 686 | 657 | 29 | 29 | Surplus due mainly to the under spend on staffing linked to Topcliffe restructure |
| Equipment Fund | | 31 | | 21 | -21 | 10 | and reprofiling of planned asset purchases. |
| TOTAL | | 31 | 686 | 678 | 8 | 39 | Propose to retain surplus for equipment replacement in 2013/14 onwards. |
| County Print Unit: | | | | | | | |
| In Year | | | 611 | 549 | 62 | 62 | Surplus generated by increased volumes of work. |
| Equipment Fund | | 106 | 0 | 5 | -5 | 101 | |
| TOTAL | | 106 | 611 | 554 | 57 | 163 | Surplus is usually utilised for investment and maintenance of equipment over next year. Plans are being developed for investment in the new Document Management Centre and print unit which will use some of this surplus, and some of this carry forward will be utilised to fund the design team in 2013/14. |
| HR Traded | | 113 | 1,162 | 1,109 | 53 | 166 | Surplus will be utilised for future years service provision & re-shaping, and a possible rebate to schools within 2013/14 |
| BSS Traded (in relation to schools HR admin) | | 0 | 95 | 70 | 25 | 25 | |
| School Library Service | Y | 0 | 488 | 488 | 0 | 0 | Schools are reducing the level of service they are taking up resulting in less income coming into the SLS. A deficit of £33k has been funded from the main Libraries budget in 2012/13. The service has been reviewed and is in a phase of monitoring/further review in light of take-up rates. |
| CENTRAL SERVICES TRADED TOTAL | | 945 | 11,542 | 11,295 | 247 | 1,192 | |

CORPORATE MISCELLANEOUS

2012/13 REVENUE BUDGET - OUTTURN POSITION - 31 MARCH 2013

| BUDGET HEAD | High Risk ? | REVISED BUDGET 2012/13 £000 | ACTUAL OUTTURN £000 | VARIANCE (-) = under spend £000 | COMMENTS |
|---------------------------------------|-------------|--------------------------------|------------------------|------------------------------------|--|
| ANNUAL BUDGETS | | | | | |
| Contingency | | | | | |
| General Provision | | 500 | 0 | -500 | For one off initiatives, unforeseen expenditure and emergencies. No allocations in 2012/13, thus full £500k saving goes into the GWB |
| Special Inflation | | 842 | 0 | -842 | £1m Provision for inflationary costs relating to Home to School, and Passenger Transport less £158k actually allocated to Directorates |
| | | 1,342 | 0 | -1,342 | |
| Capital Financing Costs | | | | | Overall net Treasury Management saving of £1,327k as a result of several factors but principally: |
| Revenue Provision for debt repayment | | 15,657 | 15,554 | -103 | (i) slippage in capital borrowing requirements in the latter part of 2011/12 and to Q3 2012/13 as a result of capital expenditure slippage |
| Interest | | 16,136 | 16,135 | -1 | (ii) continuing to fund borrowing requirements from internal cash balances rather than long term external borrowing |
| Debt Management | | 22 | 16 | -6 | (iii) continuing higher than forecast levels of cash balances |
| Recharges to Directorates etc | | -1,484 | -1,620 | -136 | (iv) exceeding the budgeted % yield by taking advantage of relatively attractive longer term fixed interest rates, up to one year with high quality counterparties |
| TOTAL | | 30,331 | 30,085 | -246 | |
| Interest Earned | | | | | |
| Temporary Loans | | -1,600 | -2,798 | -1,198 | |
| Other Interest Earned | | -485 | -405 | 80 | |
| Interest Reallocated & paid out | | 636 | 673 | 37 | |
| TOTAL | | -1,449 | -2,530 | -1,081 | |
| Other | | | | | |
| External Audit Fees | | 203 | 110 | -93 | Deloitte fee for their annual audit and grant claims. Underspend due to significantly reduced fee levels from 2012/13 announced by the Audit Commission in April 2012 together with fewer grant claims requiring audit certification and a further rebate from the Audit Commission announced towards the end of the financial year. |
| YPO Surplus | | -350 | -491 | -141 | Based on YPO results and relative NYCC turnover. Net of allocations to catering and cleaning. |
| Bank Charges | | 87 | 102 | 16 | Barclays & Girobank charges for operating NYCC's accounts. New contract from 1 April 2013 with Barclays results if savings in future years. |
| Internal Trading Income | | -288 | -460 | -172 | Internal financing and trading income from DLO's etc. |
| Dedicated Schools Grant | | -1,710 | -1,586 | 124 | Contribution to corporate overheads from the Dedicated Schools Grant (DSG). |
| New Homes Bonus Grant | | -849 | -849 | 0 | Actual allocation Of £849k in 2012/13 (=20% of total as 80% paid to Districts) |
| Employee costs - terms and conditions | | -95 | -95 | 0 | A 2 year savings target of £2m with £0.75m phased in 2011/12 and £1.25m in 2012/13. £1.856m found to date from mileage rates, overtime, 2 days unpaid leave, increments removal, and reduction of ongoing pay and reward budgets. A further £15k in savings is currently being finalised. The outstanding target will be covered in-year by a further £44k ongoing contribution as well as a one-off contribution of £85k, from the Pay and Reward budget. |
| Carbon Reduction Initiative | | 179 | 131 | -48 | Provision for the purchase of carbon reduction commitment allowances in 2012/13 relating to energy consumed in 2012/13, to comply with the Government's Carbon Reduction Scheme. |
| Council Tax Freeze Grant | | -6,162 | -6,164 | -2 | Fixed one off (ie not recurring in future years) cash grant from DCLG for levying a 0% Council Tax increase in 2012/13 |

CORPORATE MISCELLANEOUS

2012/13 REVENUE BUDGET - OUTTURN POSITION - 31 MARCH 2013

| BUDGET HEAD | High Risk ? | REVISED BUDGET 2012/13 | ACTUAL OUTTURN | VARIANCE (-) = under spend | COMMENTS |
|--|-------------|------------------------|----------------|----------------------------|---|
| Academies top slicing grant refund | | £000 0 | £000 -3,589 | £000 -3,589 | Top slicing of £3.8m from NYCC formula grant in 2012/13 to pay for central education functions for schools converting to academy status. DfE have reviewed the very broad brush basis used for the top slice and are changing to reflect actual number of academy schools in each local authority. This results in a confirmed grant refund of £1.2m for NYCC for 2011/12 and a further £2.4 now expected for 2012/13 as advised by DfE (£2m forecast at Q3) |
| Contribution to self insurance fund | | 0 | 1,068 | 1,068 | Following an external review of the County Council's Self-Insurance arrangements, an additional injection of £750k was initially required in 2012/13 to cover a potential liability in relation to the former Municipal Mutual Insurance (MMI), together with an increased contribution to the fund for 2012/13, to maintain a recommended funding level. A further year end injection of £318k has been made based on the latest estimated potential MMI liability of £650k (was £332k) |
| Contribution to NYNET | | 0 | 0 | 0 | Contribution of £540k to NYNET for the development costs of the Super Fast North Yorkshire (SFNY) broadband initiative was agreed by Executive on 6 November 2012 but no contribution ultimately needed in 2012/13 |
| Contribution to Pickering Flooding project | | 0 | 300 | 300 | Contribution towards the 'Slow the Flow' Pickering Flooding project approved as part of the Q2 report. As this project has not progressed significantly by 31 March 2013, the approved funding has been paid into an earmarked reserve. |
| Other Budgets | | 109 | 153 | 44 | All other Corporate budgets. Overspend relates to increased bad debts provision required. |
| TOTAL | | -8,877 | -11,370 | -2,494 | |
| TOTAL ANNUAL BUDGETS | | 21,348 | 16,185 | -5,163 | |
| FUNDS | | | | | |
| Transformation Fund | | 299 | 13 | -286 | 2011/12 underspend carried forward of £506k paid into the PIP in 2012/13 as agreed by Executive on 19 June 2012 to consolidate all funds relating to promoting change and / or invest to save initiatives. Small residual commitment against £299k base budget in 2012/13 with resulting underspend to be paid into the GWB |
| Area Committee Budgets | | 23 | 22 | -1 | No base budget provision since 2010/11. Residual underspend in 2011/12 of £70k unspent budgets rolled forward from 2010/11. Any uncommitted budgets as at 30 June 2012 will be clawed back. |
| Community Fund | | 1,122 | 609 | -513 | Budget includes £450k from 2011/12. Short term funding for County wide initiatives and projects with the timing of expenditure being difficult to predict. Some projects lasting 2 years started in 2011/12 so are due for completion in 2013/14. |
| Contribution to Pension Fund Deficit | | 1,020 | 1,020 | 0 | Provision to cover potential shortfall in £ deficit contribution required by NYPF, as a result of reducing employee numbers. £1,020k includes £300k not needed in 2011/12 but required to be carried forward to assist funding the deficit in 2012/13. Ultimate sum required in 2012/13 was only £255k so the residual budget of £765k has been paid into an earmarked reserve to assist future year's deficits. |
| Pay and Reward Fund | | 192 | 24 | -168 | Budget includes a £136k under-spend brought forward from 2011/12 plus a £100k recurring Base Budget. The forecast outturn position reflects a contribution of £104k from salary sacrifice income, as well as a contribution of £129k to the Terms and Conditions savings target. In addition, budget of £46k is committed toward other Corporate P&R Initiatives. Any funding that is not used in 2012/13 will need to be carried-forward to 2013/14 to support pay & reward initiatives and the terms & conditions target. |
| TOTAL FUNDS | | 2,656 | 1,688 | -968 | |

CORPORATE MISCELLANEOUS

2012/13 REVENUE BUDGET - OUTTURN POSITION - 31 MARCH 2013

| BUDGET HEAD | High Risk ? | REVISED BUDGET 2012/13 £000 | ACTUAL OUTTURN £000 | VARIANCE (-) = under spend £000 | COMMENTS |
|--|-------------|--------------------------------|------------------------|------------------------------------|--|
| PENDING ISSUES PROVISION (PIP) | | | | | |
| Funding Earmarked for | | | | | |
| Microsoft Transition (Central Services) | | 2,150 | 0 | -2,150 | Slippage into 2013/14 of costs towards the end of the project. Funding for spending in 2012/13 has been transferred to Central Services |
| Remaining Funding to be allocated | | 9,146 | 0 | -9,146 | Balance of 2012/13 fund which has not been allocated to Directorates or retained as earmarked funding within Corporate Miscellaneous for specific projects and initiatives. Includes £3,026k underspend on HAS Reablement which has been recycled back into the unallocated PIP. Reablement was completed in 2012/13 and the final HAS drawdown was £1,502k compared with a residual allocation of £4,528k in 2012/13, which included funding slipped from previous years. |
| TOTAL PIP | | 11,296 | 0 | -11,296 | |
| ONE COUNCIL SAVINGS | | 1,837 | 0 | -1,837 | One Council savings identified in 2012/13 in advance of being required in 2013/14. Represents budgets clawed back from Directorates and transferred to a central budget in Corporate Miscellaneous with the year end underspend being paid into the GWB. See paragraphs 6.54 to 6.58 of main report. |
| | | 37,136 | 17,873 | -19,263 | |
| Projected Variance at Q3 | | | | -15,445 | |

PROGRESS ON PIP ALLOCATIONS - 2012/13 - OUTTURN POSITION 31 MARCH 2013

| Item | | Costs | | | | Key Milestones Delivered | | |
|------|---|--------------|---|---------------------|--------------------------------------|--|----------------------|--|
| | | Year | Revised Profile at 11/12 Outturn and Funding Allocations Approved by Executive £000 | Actual Outturn £000 | Revised Profile (31 March 2013) £000 | Milestone | By Date | |
| | | | | | | | Planned | Achieved |
| DIR | Description | | | | | | | |
| HAS | Extra Care - Legal Costs | 2012/13 | 34 | 30 | 30 | | | |
| | | 2013/14 | | | 4 | Scheme completed in 12/13 - funding not required | | Scheme Complete |
| | | Total | 34 | 30 | 34 | | | |
| HAS | Reablement | 2012/13 | 1,502 | 1,502 | 1,502 | | | Scheme Complete |
| | | Total | 1,502 | 1,502 | 1,502 | | | |
| HAS | Transitional Workers | 2012/13 | 97 | 73 | 73 | | | 2 FTE's Central, 1 FTE S/W/R, 1 FTE H/C. Contracts funded by PIP ended February 2013. Scheme Complete. |
| | | 2013/14 | 0 | | 24 | Scheme completed in 12/13 - funding not required | | |
| | | Total | 97 | 73 | 97 | | | |
| HAS | Brokerage Capacity | 2012/13 | 23 | 23 | 23 | | | 2 year contracts funded by PIP are complete. |
| | | Total | 23 | 23 | 23 | | | |
| BES | Bedale Bypass – Fees II | 2012/13 | 725 | 31 | 31 | Further develop scheme and take through procurement process | Mar-2013 | Mar-2013 |
| | | 2013/14 | 16 | | 73 | Further develop scheme and take through procurement process | Mar-2014 | |
| | | 2014/15 | 734 | | 1,371 | Contract award and construction underway | Mar-2015 | |
| | | 2015/16 | 1,964 | | 1,964 | Continuation of construction phase | Mar-2016 | |
| | | 2016/17 | 997 | | 997 | Construction complete | Mar-2017 | |
| | | Total | 4,436 | 31 | 4,436 | | | |
| CYPS | Schools – capital works | 2012/13 | 3,000 | 3,000 | 3,000 | | | |
| | | Total | 3,000 | 3,000 | 3,000 | | | |
| CYPS | ICT - Transformation Projects | 2012/13 | 270 | 59 | 59 | | | |
| | | 2013/14 | | | 63 | | | |
| | | 2014/15 | | | 63 | | | |
| | | 2015/16 | | | 85 | | | |
| | | Total | 270 | 59 | 270 | | | |
| CSD | Initiatives to underpin Libraries savings plan | 2012/13 | 172 | 32 | 32 | RFID purchased for all Community Libraries. Balance of £140k to be carried forward to 2013-14 for purchase of new supermobile library. | 30.9.12 June 2013 | 30.9.12 June 2013 |
| | | 2013/14 | | | 140 | To be used to purchase and equip new super-mobile library by 31.12.13 | Dec-12 | |
| | | Total | 172 | 32 | 172 | | | |
| CSD | One-Council Programme Director | 2012/13 | 100 | 100 | 100 | | | |
| | | 2013/14 | 100 | | 100 | No One-Council programme Director in 13/14. | | |
| | | Total | 200 | 100 | 200 | | | |
| CSD | STIC - Corporate Infrastructure, including Project Team | 2012/13 | 849 | 570 | 570 | £279k slippage into 13/14 which is available as a contingency | | |
| | | 2013/14 | 295 | 0 | 574 | | | |
| | | Total | 1,144 | 570 | 1,144 | | | |
| CSD | WAN Allocations | 2012/13 | 200 | 200 | 200 | | | |
| | | Total | 200 | 200 | 200 | | | |
| CSD | Microsoft Migration | 2012/13 | 2,900 | 609 | 609 | | | |
| | | 2013/14 | | | 2,291 | | | |
| | | Total | 2,900 | 609 | 2,900 | | | |
| CSD | One Council - ICT Allocations | 2012/13 | 136 | | 0 | Slippage of all PIP spend into 2013/14 to better match when One council resource will be needed within ICT. | | |
| | | 2013/14 | 263 | | 399 | | | |
| | | 2014/15 | 127 | | 127 | | | |
| | | Total | 526 | 0 | 526 | | | |
| | | | | | | | | |

PROGRESS ON PIP ALLOCATIONS - 2012/13 - OUTTURN POSITION 31 MARCH 2013

| Item | | Costs | | | | Key Milestones Delivered | |
|-----------------------------------|-------------------------|--------------|---|----------------------------|---|--|----------|
| | | Year | Revised Profile at 11/12 Outturn and Funding Allocations Approved by Executive £000 | Actual Outturn £000 | Revised Profile (31 March 2013) £000 | Milestone | By Date |
| DIR | Description | | | | | Planned | Achieved |
| CSD | BOS – Harrogate | 2012/13 | 840 | | 0 | Planned to be used on BOS improvements at County Hall, if approved work will take place in 13/14 | |
| | | 2013/14 | | | 840 | | |
| | | Total | 840 | 0 | 840 | | |
| CSD | BOS – Selby Brook Lodge | 2012/13 | 1,470 | 490 | 490 | Work is forecast to be completed by November 2013 | |
| | | 2013/14 | | | 980 | | |
| | | Total | 1,470 | 490 | 1,470 | | |
| Overall Financial Position | | Year | Revised Profile 2011/12 Outturn £000 | Actual Outturn £000 | Revised Profile (31 March 2013) £000 | Variance £000 | |
| | | 2012/13 | 12,318 | 6,719 | 6,719 | -5,599 | |
| | | 2013/14 | 674 | 0 | 5,488 | 4,814 | |
| | | 2014/15 | 861 | 0 | 1,561 | 700 | |
| | | 2015/16 | 1,964 | 0 | 2,049 | 85 | |
| | | 2016/17 | 997 | 0 | 997 | 0 | |
| | | Total | 16,814 | 6,719 | 16,814 | 0 | |

| 2012/13 RECONCILIATION | Budget £'000 | Projected Variance £'000 |
|---|-----------------|-----------------------------|
| Table Above - 2012/13 Projected Under-spend | 12,318 | -5,599 |
| Corporate Miscellaneous Unallocated | 9,146 | -9,146 |
| | 21,464 | -14,745 |
| 12/13 Underspends not to be carried forward into HAS in 2013/14 | | 28 |
| Directorate Under-spends Requesting Carry Forward | | -14,717 |
| Add PIP Waste Under-spend | | -1,077 |
| Add HAS under-spends not to be Carried Forward | | -28 |
| Underspends to be Placed back in PIP | | -1,105 |
| Total PIP Under-spend | | -15,822 |

GENERAL WORKING BALANCE

| (1) STATEMENT OF REVENUE BALANCES | £000s | £000s | £000s | | |
|--|------------------|-----------------|----------------|-----------------|---------------|
| Balance at 31 March 2012 | | | | | 36,107 |
| Movement in 2012/13 | | | | | |
| Net revenue spend | | | | | -342,927 |
| Funding Income | | | | | |
| Revenue support grant | | 2,221 | | | |
| Share of national Business Rates Pool | | 114,567 | | | |
| Precept income from Districts for 2012/13 | | 246,556 | | | |
| Precept income - previous years arrears | | 78 | | | |
| Balance at 31 March 2013 | | | | | 56,602 |
| <hr/> | | | | | |
| (2) ANALYSIS OF REVENUE BALANCES BETWEEN | Earmarked | GWB | Total | | |
| Balance as at 31 March 2012 | 22,899 | 13,208 | 36,107 | | |
| Movement in 2012/13 | | | | | |
| net underspend 2011/12 carried forward to 2012/13 | -22,899 | | -22,899 | | |
| budgeted contribution in 2012/13 | | 2,501 | 2,501 | | |
| additional spending approved by Executive in April 2012 | | -2,400 | -2,400 | | |
| 2012/13 underspend / overspend | 22,736 | 20,557 | 43,293 | | |
| | -163 | 20,658 | 20,495 | | |
| Balance at 31 March 2013 | 22,736 | 33,866 | 56,602 | | |
| <hr/> | | | | | |
| (3) FREE GENERAL WORKING BALANCE | Q3 | % of net | Outturn | % of net | 2% |
| | 2012/13 | rev bud | | rev bud | target |
| Balance at 31 March 2012 | | | | | |
| Actual Balances 31 March 2012 | 36,107 | | 36,107 | | |
| 2011/12 net underspendings rolled forward | -22,899 | | -22,899 | | |
| = free working balance at 31 March 2012 | 13,208 | 3.6% | 13,208 | 3.6% | 7,373 |
| 2012/13 Transactions impacting on the GWB | | | | | |
| Budgeted contribution in 2012/13 | 2,501 | | 2,501 | | |
| Additional spending approved by Executive in April 2012 | -2,400 | | -2,400 | | |
| Corporate Miscellaneous | | | | | |
| Inflation contingency for transport | 842 | | 842 | | |
| Treasury Management savings | 1,134 | | 1,327 | | |
| Central contingency | 300 | | 500 | | |
| Refund from DCLG re Academy top slice in 2011/12 and 2012/13 | 3,200 | | 3,589 | | |
| Contribution to self insurance fund | -750 | | -1,068 | | |
| Contribution to Nynet | -540 | | 0 | | |
| Contribution to Pickering Flooding project | -300 | | -300 | | |
| Accelerated One Council Savings retrieved from Directorates | 1,452 | | 1,837 | | |
| Other net savings | 297 | | 559 | | |
| Directorate savings proposed to be added to the GWB | | | | | |
| CYPS | 1,689 | | 2,667 | | |
| BES | 0 | | 257 | | |
| HAS | 3,678 | | 6,999 | | |
| CS | 1,454 | | 1,701 | | |
| HAS unutilised Demographic Growth | 1,632 | | 1,647 | | |
| BES net overspend to be charged against the GWB | -109 | | 0 | | |
| = balance at 31 March 2013 | 27,288 | 7.5% | 33,866 | 9.3% | 7,268 |
| 2013/14 | | | | | |
| Contribution to budget (MTFS shortfall) | -2,437 | | -2,437 | | |
| = forecast at 31 March 2014 | 24,851 | 6.6% | 31,429 | 8.4% | 7,489 |
| 2014/15 | | | | | |
| Contribution to budget (MTFS shortfall) | -4,600 | | -4,600 | | |
| = forecast at 31 March 2015 | 20,251 | 5.5% | 26,829 | 7.3% | 7,336 |
| 2015/16 | | | | | |
| Contribution to budget (MTFS shortfall) from 2014/15 MTFS | 0 | | 0 | | |
| Contribution to budget (MTFS shortfall) from 2015/16 MTFS | 0 | | 0 | | |
| = forecast at 31 March 2016 | 20,251 | 5.6% | 26,829 | 7.4% | 7,282 |

+ The 2013/14 Budget / 2014/15 MTFS agreed in February has a £4.6m re-occurring shortfall shown as funded from the GWB. Further savings will be identified however as part of a July 2013 Budget 2 report. It is intended that the full £4.6m will be achieved through savings in 2015/16, thus no further GWB contribution will be needed in that year. Where possible, savings proposals from Budget 2 will also seek to reduce dependency on the GWB in 2013/14 and 2014/15 as indicated above.

o A significant contribution may be required from the GWB in 2015/16 to fund the MTFS shortfall in that year that is expected to arise from further large Government Funding reductions as part of the next spending review period.

RESERVES and BALANCES
2012/13 OUTTURN

| Reserve | | Actual 31st March 2012 | + / - in 2012/13 | Actual 31st March 2013 | Forecast reported to Exec Feb 13 | Comments |
|---------------------------------|------|------------------------|------------------|------------------------|----------------------------------|--|
| | | £000s | £000s | £000s | £000s | |
| WORKING BALANCES | | | | | | |
| Retained for Service Use | | | | | | |
| Children & Young People's | CYPS | 3,147 | -1,323 | 1,824 | 2,043 | <p>£22,736k net savings in 2012/13 carried forward to future years which consists of 5 elements</p> <p>(i) PIP allocations to Directorates which will be spent in future years (£5.6m),</p> <p>(ii) Unallocated PIP monies within Corporate Miscellaneous which will be available to fund future projects and initiatives (£9.1m),</p> <p>(iii) savings on PIP allocations to Directorates which are being carried forward and recycled to the PIP and thus will also be available to fund future projects and initiatives (£1.1m),</p> <p>(iv) re-profiling of Directorate savings required for future years (£1.9m),</p> <p>(v) funding for projects and initiatives that will be completed in future financial years (£5m).</p> |
| Health and Adult Services | HAS | 2,911 | -1,741 | 1,170 | 2,149 | |
| Business & Environment | BES | 2,555 | 85 | 2,640 | 1,976 | |
| Central Services | CS | 6,228 | -2,208 | 4,020 | 5,331 | |
| Corporate Miscellaneous | Corp | 8,058 | 5,024 | 13,082 | 8,282 | |
| Sub Total | | 22,899 | -163 | 22,736 | 19,781 | |
| General Working Balances | | 13,208 | 20,658 | 33,866 | 23,208 | <p>MTFS target (currently under review) is to maintain a minimum level of GWB equivalent to 2% of the net revenue budget which is £7.3m for 2012/13. The £33.9m at 31 March 2013 is equivalent to 9.3% and is £10.7m higher than the projected figure reported as part of the 2013/14 budget / MTFS (£23.2m). This level of balances needs considering alongside</p> <p>(i) a requirement to fund a residual budget / MTFS shortfall in 2013/14 and 2014/15,</p> <p>(ii) expected future funding reductions,</p> <p>(iii) uncertainties associated with the weather, particularly winter maintenance and flooding and</p> <p>(iv) other demands on the GWB such as demand led overspending and additional priority spending pressures.</p> |
| Total Working Balances | | 36,107 | 20,495 | 56,602 | 42,989 | |

RESERVES and BALANCES
2012/13 OUTTURN

| Reserve | | Actual 31st March 2012 | + / - in 2012/13 | Actual 31st March 2013 | Forecast reported to Exec Feb 13 | Comments |
|--|------|------------------------|------------------|------------------------|----------------------------------|---|
| | | £000s | £000s | £000s | £000s | |
| Earmarked for schools | | | | | | |
| School Balances (LMS Reserves) | CYPS | 25,347 | 944 | 26,291 | 21,372 | Reducing balance reflects falling pupil numbers, resource scarcity and provisional adjustments for school transfers to academy status. |
| Schools Block / DSG | CYPS | 12,524 | -1,755 | 10,769 | 8,605 | Balance of earmarked Schools Block resources for multiple programmes. |
| Sub Total | | 37,871 | -811 | 37,060 | 29,977 | |
| Reserves of Trading and Service Units | | | | | | |
| FMS | CYPS | 77 | 60 | 137 | 95 | In-year trading deficit from 2013/14 intended to return the cumulative balance to break-even for financial services provided to schools. |
| Balance of Risks Insurance | CYPS | 619 | 378 | 997 | 830 | Anticipated real-terms increase in premiums to support preventative measures in line with actuarial and insurance service advice. |
| Insurance Services to Schools | CYPS | 179 | 13 | 192 | 211 | Surplus arising from claims history. |
| School's ICT | CYPS | 190 | 65 | 255 | 251 | Balance of ICT trading with schools. Accumulated service taken into account in subsequent years. |
| Health & Safety Training | CYPS | 50 | -17 | 33 | 30 | Accumulated surplus of providing a Health & Safety service to Schools. |
| Quality and Improvement | CYPS | 193 | 120 | 313 | 193 | Traded Advisory/CPD service to schools. |
| Outdoor Education | CYPS | 259 | 1 | 260 | 215 | Accumulated position of the trading operation of the Outdoor Education Service. |
| Professional Clerking | CYPS | 57 | -1 | 56 | 42 | Accumulated surplus of providing Professional Clerking services to Schools. |
| Staff Absence Insurance | CYPS | 1,042 | -653 | 389 | 1,050 | Balance reflects actuarial assumptions. |
| Adult Learning | CYPS | 532 | 267 | 799 | 840 | Accumulated position of the trading operation of the Adult Learning Service. |
| Premises Scheme | CYPS | 133 | -133 | 0 | 0 | Scheme closed. |
| M.A.S.S. | CYPS | 106 | -33 | 73 | 133 | Accumulated position of the MASS scheme. |
| Catering | CYPS | 988 | 341 | 1,329 | 988 | Surplus used against anticipated recurring in-year deficit. |
| Music Service | CYPS | 142 | 0 | 142 | 142 | Reserve held for projects to commence after 2015/16. |
| Building Cleaning | CS | 695 | 104 | 799 | 653 | Reserve to be utilised for purchase of equipment, school floor sealing programme and potential one-off refunds to schools. |
| Grounds Maintenance | CS | 31 | 8 | 39 | 25 | Fund to be utilised for purchase of equipment etc. |
| Print Unit | CS | 106 | 57 | 163 | 156 | To be used or investment in new Document Management Centre, support to Design Team and Re-design Service. |
| Employment Services | CS | 114 | 87 | 201 | 95 | Accumulated position of a number of employment support / HR Traded services. To be used for future years service provision and re-shaping and a possible rebate to schools. |
| Energy Team Schools | CS | 0 | 195 | 195 | 0 | Reserve to be used to fund energy saving measures within schools. |
| Sub Total | | 5,513 | 859 | 6,372 | 5,949 | |

RESERVES and BALANCES
2012/13 OUTTURN

| Reserve | | Actual 31st March 2012 | + / - in 2012/13 | Actual 31st March 2013 | Forecast reported to Exec Feb 13 | Comments |
|--|------|------------------------|------------------|------------------------|----------------------------------|--|
| | | £000s | £000s | £000s | £000s | |
| Retained for Specific Initiatives and Major Schemes | | | | | | |
| Redundancy costs in schools | CYPS | 3,875 | -791 | 3,084 | 3,075 | To meet teachers redundancy payments. |
| SEN | CYPS | 1,340 | 20 | 1,360 | 1,340 | Phased implementation of the SEN & Behaviour review. |
| Education for looked after children | CYPS | 87 | 0 | 87 | 107 | Provision of phased bursary support for looked after children attending higher education. |
| Learning Difficulties & Disabilities | CYPS | 395 | 0 | 395 | 264 | Phased implementation of the SEN-D (LDD) strategy required in line with the SEN Green Paper. |
| CYPS Service Transformation | CYPS | 1,641 | -48 | 1,593 | 1,241 | To fund services whilst in transformation. |
| Transport | CYPS | 250 | 250 | 500 | 480 | Reserve funding phased to smooth the impact of the number of academic days impacting in financial years. |
| CYPS Earmarked Projects | CYPS | 0 | 502 | 502 | 0 | Phased implementation of CYPS systems development. |
| 2-year Old Funding | CYPS | 0 | 257 | 257 | 0 | Provision of funding for 2-year olds in line with national funding changes. |
| Music Service | CYPS | 430 | 0 | 430 | 430 | To fund the Music service whilst in transformation. |
| Winter Maintenance | BES | 2,000 | 142 | 2,142 | 3,000 | £0.9m was drawn down from the reserve at the end of 2012/13 to offset the equivalent overspend against the base budget. |
| Local Development Framework / Minerals Core Strategy | BES | 472 | -39 | 433 | 345 | This reserve funds work required to produce the LDF / Minerals Core strategy in line with Government Guidelines. The movement in the reserve reflects the latest planned expenditure profile for that work. |
| BES Directorate Initiatives and Transformation | BES | 559 | -21 | 538 | 521 | 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. |
| Swing Bridges | BES | 799 | 142 | 941 | 799 | To meet future structural maintenance requirements of the Swing Bridges in the County. The appropriate reserve level will continue to be assessed accounting for works carried out and estimated future maintenance requirements. |
| Proceeds of Crime Act | BES | 147 | 0 | 147 | 147 | 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 | 8 | -8 | 0 | 0 | All residual funding was released to the revenue account in 2012/13. |
| Mowthorpe Bridge | BES | 400 | 0 | 400 | 400 | The figure represents the commuted sum received as part of the transfer agreement. Works and full expenditure are planned for 2013/14. |
| Highways Advanced Payments | BES | 682 | 227 | 909 | 703 | The reserve includes developer bonds and contributions for maintenance works prior to adoption of roads by the County Council or to offset costs of the external effects of developments. |
| LATS | BES | 144 | -144 | 0 | 0 | Reserve fully utilised in 2012/13. |
| Flood Risk Management | BES | 0 | 522 | 522 | 460 | Funding to support the effective delivery of flood risk management activities for which the annual cost varies. |
| Civil Parking Enforcement | BES | 2,424 | 690 | 3,114 | 2,937 | Annual movements reflect annual net surpluses. A full plan is being developed concerning the application of the balance. |
| Insurance Reserve | Corp | 6,328 | 593 | 6,921 | 6,500 | Estimate balance of Insurance fund after deduction of provision for known claims. |
| Pickering Beck | Corp | 0 | 300 | 300 | 0 | Corporate Miscellaneous funding earmarked in 2012/13 towards the 'Slow the Flow' Pickering Flooding project which will be progressed during 2013/14. |
| Pension Fund Deficit Contribution | Corp | 0 | 765 | 765 | 0 | Corporate Miscellaneous funding earmarked towards future annual cash contributions to the County Council's share of the North Yorkshire Pension Fund deficit, as determined by the actuary as part of each triennial revaluation of the Fund. |
| Redundancy Reserve | Corp | 2,307 | -1,000 | 1,307 | 1,000 | Reserve utilised to fund both redundancy and pension strain costs arising from Budget Pressures and Service Restructures across the authority. Very provisionally, expected to fully utilise the reserve by the end of 2013/14. |

RESERVES and BALANCES
2012/13 OUTTURN

| Reserve | | Actual 31st March 2012 | + / - in 2012/13 | Actual 31st March 2013 | Forecast reported to Exec Feb 13 | Comments |
|---|------|------------------------|------------------|------------------------|----------------------------------|---|
| | | £000s | £000s | £000s | £000s | |
| Retained for Specific Initiatives and Major Schemes (cont) | | | | | | |
| North Yorkshire Advice Services Partnership | CS | 7 | -7 | 0 | 0 | Reserve fully utilised in 2012/13. |
| Elections | CS | 142 | 571 | 713 | 611 | Reserve contributes to the costs of the County Council Elections which take place every 4 years. The next Election takes place in May 2013. |
| SDT / Directorate Refresh | CS | 1,979 | 764 | 2,743 | 2,349 | Reserve is held to allow Directorates to help spread the cost of replacing ICT devices including PCs and Laptops. This has been increasing over recent years pending the next round of ICT refresh due to start in 2013/14. |
| ICT Strategy and Infrastructure | CS | 655 | 1,908 | 2,563 | 110 | Reserve held for contributing to funding the ICT Strategy when it is approved. The reserve is planned to be utilised over a 5 year period. |
| BDM / Contractors Residual Issues | CS | 734 | -410 | 324 | 277 | Reserve is held to provide for residual building defect and administration still to be identified and / or resolved. |
| Dilapidations / Farms Comp Claims | CS | 0 | 386 | 386 | 303 | Ongoing increased dilapidations claims expected in the short to medium term as a result of continued property rationalisation. |
| Corp Accommodation - Property Rental | CS | 106 | -4 | 102 | 102 | Expect to be fully utilised by 2020/21. |
| Supporting People Initiative | HAS | 1,196 | 371 | 1,567 | 1,238 | Carry forward of underspends on this function to enable longer term planning of service reconfiguration. |
| Sub Total | | 29,107 | 5,938 | 35,045 | 28,739 | |
| Revenue Income Reserve (mainly grants and contributions) | | | | | | |
| CYPS Grants Miscellaneous | CYPS | 839 | 919 | 1,758 | 789 | Non-recurring grant funding supporting directorate initiatives, in particular, social work improvement. |
| CYPS Schools Earmarked Capital Projects | CYPS | 539 | -539 | 0 | 479 | Phased implementation of CYPS systems development. |
| Economic Development Grants | BES | 454 | -43 | 411 | 426 | Relates to unutilised grant and other income which is expected to be used on associated expenditure in future years. |
| Local Enterprise Partnership Activities | BES | 0 | 563 | 563 | 599 | Balances represent the planned utilisation of Government revenue grants for supporting activities of the Local Enterprise Partnership. |
| Community Transport Grant | BES | 832 | 0 | 832 | 832 | Relates to grant funding to support community transport. |
| Business & Environmental Services - Other | BES | 589 | -245 | 344 | 463 | Predominantly relates to highways development control balances and revenue grant for waste management planned for utilisation as set out in the expenditure profile. |
| Policy, Partnership and Performance | CS | 109 | -89 | 20 | 165 | Includes North Yorks & York Shared Services RIEP, Asset Management Improvement RIEP fund, Domestic Homicide investigation funding and Community Right to Challenge, local Healthwatch and Social Fund grants. |
| Democratic Services | CS | 0 | 214 | 214 | 0 | Reserve holds "Promoting Democracy" grant monies that will contribute towards improvements to Council Chamber. |
| LDDF | HAS | 232 | 0 | 232 | 232 | Balance of funding to support short term costs/shortfall in savings of service re-design. |
| Social Care Reform Grant | HAS | 1,508 | 0 | 1,508 | 1,508 | These monies will be used to help phase in changes to service provision and to meet other one-off short term costs. |
| Health Funding Reserve | HAS | 9,279 | 4,512 | 13,791 | 13,218 | This is health and social care monies transferred to the LA via the PCT. To obtain maximum benefit from this funding the planned spend has been phased over a number of years in agreement with health. |
| Public Health Reserve | HAS | 0 | 79 | 79 | 90 | Government have given one off funding for setting up public health function. Any balance unspent can be carried forward to support the function in later years. |
| LAA Performance Reward Grant | Corp | 4,439 | -1,416 | 3,023 | 2,366 | Funding has been allocated to various projects both within NYCC and with external Partners. Majority of grant funding expected to be spent by March 2014. Some small slippage expected £17k into 2014/15. |
| Sub Total | | 18,820 | 3,955 | 22,775 | 21,167 | |
| Total Earmarked Reserves | | 91,311 | 9,941 | 101,252 | 85,832 | |
| TOTAL RESERVES | | 127,418 | 30,436 | 157,854 | 128,821 | |

CAPITAL EXPENDITURE AND INCOME 2012/13

| Appx | <u>GROSS EXPENDITURE</u> | | | | | <u>GRANTS AND CONTRIBUTIONS etc</u> | | | | | <u>NET EXPENDITURE</u> | | | | | |
|--------------------------------------|--------------------------|---------------|---------------|---------------|----------------|-------------------------------------|----------------|----------------|----------------|---------------|------------------------|---------------|--------------|--------------|----------------|---------------|
| | Capital Plan | | Actual | Variation | | Capital Plan | | Actual | Variation | | Capital Plan | | Actual | Variation | | |
| | Original | Latest | | Original | Latest | Original | Latest | | Original | Latest | Original | Latest | | Original | Latest | |
| | £000s | £000s | £000s | £000s | £000s | £000s | £000s | £000s | £000s | £000s | £000s | £000s | £000s | £000s | £000s | |
| Health and Adult Services | B | 5,662 | 4,377 | 4,152 | -1,510 | -225 | -2,682 | -1,795 | -1,806 | 876 | -11 | 2,980 | 2,582 | 2,346 | -634 | -236 |
| Business and Environmental Services | C | 43,805 | 37,794 | 35,970 | -7,835 | -1,824 | -42,104 | -37,022 | -35,413 | 6,691 | 1,609 | 1,701 | 772 | 557 | -1,144 | -215 |
| Children and Young People's Services | D | 38,818 | 23,116 | 27,353 | -11,465 | 4,237 | -30,084 | -22,903 | -27,268 | 2,816 | -4,365 | 8,734 | 213 | 85 | -8,649 | -128 |
| Other County Services | E | 9,358 | 5,774 | 4,151 | -5,207 | -1,623 | -5,487 | -3,397 | -2,570 | 2,917 | 827 | 3,871 | 2,377 | 1,581 | -2,290 | -796 |
| Total | | 97,643 | 71,061 | 71,626 | -26,017 | 565 | -80,357 | -65,117 | -67,057 | 13,300 | -1,940 | 17,286 | 5,944 | 4,569 | -12,717 | -1,375 |

Original Plan Approved in February 2012

Latest Capital Plan Approved February 2013

HEALTH AND ADULT SERVICES

2012/13 CAPITAL BUDGET - OUTTURN POSITION

| CAPITAL PLAN HEAD | ORIGINAL PLAN | LATEST PLAN | OUTTURN | VARIANCE | COMMENTS |
|---|----------------------|--------------------|-----------------|-----------------|---|
| | £000 | £000 | £000 | £000 | |
| Maintaining Fabric / Facilities of Properties | 638 | 342 | 325 | 17 CR | |
| "Our Future Lives" Extra Care Scheme | 496 | 451 | 451 | - | |
| "Our Future Lives" Older People Resource Centre | 100 | 305 | 356 | 51 | Faster progression on the water safety/legionella programme |
| "Valuing People" Day Service Provision | 3,778 | 3,272 | 2,997 | 275 CR | Net effect of some slippage and reduced programme costs for the schemes in Selby and Skipton partially offset by faster than anticipated progress on the Elder Street scheme in Scarborough |
| IT infrastructure | 650 | 7 | 23 | 16 | Budget is linked to the new client system (which will be implemented in 2013-14) and the corresponding development towards more efficient working for frontline staff |
| TOTAL GROSS SPEND | 5,662 | 4,377 | 4,152 | 225 CR | |
| CAPITAL GRANTS AND CONTRIBUTIONS | | | | | |
| Capital Grants | | | | | |
| - Adult Social Care IT Infrastructure | 393 CR | 8 CR | 23 CR | 15 CR | |
| - Adult Social Care Investment for Transformation | 257 CR | - | - | - | |
| - PSS Capital Grant | 1,297 CR | 1,297 CR | 1,293 CR | 4 | |
| Revenue Contributions | | | | | |
| - Valuing People - Day Service Provision (from PIP) | 735 CR | 490 CR | 490 CR | - | |
| TOTAL GRANTS AND CONTRIBUTIONS | 2,682 CR | 1,795 CR | 1,806 CR | 11 CR | |
| TOTAL NET EXPENDITURE | 2,980 | 2,582 | 2,346 | 236 CR | |

BUSINESS & ENVIRONMENTAL SERVICES

2012/13 CAPITAL BUDGET - OUTTURN POSITION

| CAPITAL PLAN HEAD | ORIGINAL £000 | LATEST PLAN £000 | OUTTURN £000 | VARIANCE £000 | COMMENTS |
|--|--------------------------|-----------------------------|-------------------------|--------------------------|---|
| GROSS EXPENDITURE | | | | | |
| New and Replacement Road Lighting | 200 | 1,898 | 1,686 | 212 CR | Approximately behind by 340 columns - carry forward request has been made. |
| Rationalisation of Depots | 12 | 263 | 106 | 157 CR | £43k slippage for Leeming Bar Depot. Creditor provision no longer considered necessary for previous contractor that went into administration. |
| Waste Management Service | 189 | 103 | 100 | 3 CR | |
| Waste Procurement Project | - | 50 | 53 | 3 | |
| Scarborough Integrated Transport Scheme | - | 47 | 19 | 28 CR | Continued progress on Part I claims. Total forecast remains within budget. |
| Reighton A165 Bypass | - | 2 | 17 | 15 | Continued progress on Part I claims. |
| Bedale-Aiskew-Leeming Bar Major Scheme | 271 | 271 | 275 | 4 | |
| Local Transport Plan - Integrated Transport | 4,789 | 3,526 | 2,479 | 1,047 CR | Slippage and savings on schemes. Savings element estimated at £419k and is available for other uses in 2013/14. |
| - Maintenance | 27,475 | 26,384 | 25,951 | 433 CR | The reported underspend predominantly relates to schemes not completed in 2012/13 as planned. This was due to a combination of factors including problems with contractor delivery and some poor weather conditions experienced in February through into March. |
| - Regional Funding Allocation | 4,538 | 4,849 | 4,899 | 50 | Financial provision has been made in relation to progressing the Middle Deepdale development. |
| LEP Growing Places Fund | 6,331 | - | - | - | |
| Local Sustainable Transfer Fund | - | 399 | 385 | 14 CR | Minor underspend - main slippage was taken account of at Q3. |
| Other Minor Schemes | - | 2 | - | 2 CR | |
| TOTAL GROSS SPEND | 43,805 | 37,794 | 35,970 | 1,824 CR | |

BUSINESS & ENVIRONMENTAL SERVICES

2012/13 CAPITAL BUDGET - OUTTURN POSITION

| CAPITAL PLAN HEAD | ORIGINAL £000 | LATEST PLAN £000 | OUTTURN £000 | VARIANCE £000 | COMMENTS |
|--|--------------------------|-----------------------------|-------------------------|--------------------------|--|
| CAPITAL GRANTS AND CONTRIBUTIONS | | | | | |
| Capital Grants | | | | | |
| - Local Transport Plan Grant | 34,865 CR | 34,265 CR | 32,122 CR | 2,143 | £1,933k relates to unspent LTP grant and £260k detrunking grant. DfT have approved carry forward of unspent grant notified at Q3. |
| - Local Transport Sustainable Fund Grant | - | 399 CR | 379 CR | 20 | |
| - Waste Capital Grants | 140 CR | - | - | - | |
| - BALB Grant | 240 CR | 240 CR | 240 CR | - | |
| - LEP Growing Places Grant | 6,331 CR | - | - | - | |
| - Connect 2 Grant | 238 CR | 584 CR | 437 CR | 147 | |
| Capital Contributions | | | | | |
| - Local Transport Plan Capital Receipt | - | - | 724 CR | 724 CR | Sale of vehicles as per comment above |
| - Other Capital Contributions | 10 CR | 264 CR | 455 CR | 191 CR | |
| Revenue Contributions | | | | | |
| - Road Lighting Columns | 200 CR | 981 CR | 769 CR | 212 | Underspend reflected in revenue account where carry forward request has been made. Mainly Civil Parking Enforcement. Budget not fully taken up in 2012/13 |
| - Integrated Transport | - | 120 CR | 154 CR | 34 CR | |
| - Rationalisation of Highways Depots | - | 50 CR | 7 CR | 43 | |
| - Other Revenue Contributions | 80 CR | 119 CR | 126 CR | 7 CR | |
| TOTAL GRANTS AND CONTRIBUTIONS | 42,104 CR | 37,022 CR | 35,413 CR | 1,609 | |
| TOTAL NET EXPENDITURE | 1,701 | 772 | 557 | 215 CR | |

CHILDREN & YOUNG PEOPLES SERVICE

2012/13 CAPITAL BUDGET - OUTTURN POSITION

| CAPITAL PLAN HEAD | ORIGINAL PLAN | LATEST PLAN | OUTTURN | VARIANCE | COMMENTS |
|---|---------------|---------------|---------------|--------------|---|
| | £000 | £000 | £000 | £000 | |
| GROSS EXPENDITURE | | | | | |
| NYCC MANAGED SCHEMES | | | | | |
| Major Capital Schemes at Schools Suitable for Purpose | 1,987 515 | 309 901 | 305 1,037 | 4 CR 136 | Works, Fees and Survey costs relating to 2012/13 programme have progressed ahead of schedule resulting in expenditure of £88k being brought forward from 2013/14 to 2012/13. Three projects are expected to overspend Gladstone Road £13k, Newby and Scalby £19k and Boroughbridge High £10k. |
| Special Educational Needs/Behaviour Review Pupil Referral Units/Special Schools | 349 2,717 | 6 1,282 | 13 1,379 | 7 97 | |
| Primary School Refurbishment | 1,104 | 30 | 75 | 45 | This is a £1.1m scheme to be delivered from November 2013 to June 2014. Jacobs fees and Surveys have progressed slightly ahead of schedule, resulting in expenditure being brought forward from 2013/14 to 2012/13. |
| Health and Safety | 2,275 | 961 | 989 | 28 | |
| Other Capital Funding Schemes 2008-11 | 4,325 | 2,591 | 2,413 | 178 CR | The savings achieved on the North Craven Review scheme at Settle College, which was completed in September 2012, will be carried forward and utilised in 2013/14. |
| Primary Capital Programme | 1,250 | 1,756 | 1,605 | 151 CR | Norton CP - Replacement kitchen, hall and office refurbishment scheme is expected to be £96k underspent and the remaining balance of £55k is being carried forward to cover Jacobs outstanding fees on these schemes. |
| Capital Maintenance Grant Funded Schemes | 3,200 | 352 | 330 | 22 CR | |
| Basic Need 2011/12 | 6,141 | 3,343 | 3,666 | 323 | Selby Barwic Parade - Portable Classroom Unit scheme was completed in March 2013 rather than April 2013, which has resulted in expenditure of £294k being brought forward from 2013/14 to 2012/13. |
| Capitalised Repairs and Maintenance | 2,947 | 5,150 | 5,324 | 174 | The capital planned maintenance programme progressed well in 2012/13, resulting in expenditure of £174k being brought forward from 2013/14 to 2012/13. |
| Schools Access Initiative | 587 | 188 | 196 | 8 | |
| Catering Equipment | 300 | 464 | 565 | 101 | Capital expenditure on catering equipment was higher than anticipated and is fully funded from revenue. |
| ICT Hardware Purchases | 340 | 200 | 202 | 2 | |
| Woodfield Development and Other Projects | 1,095 | 121 | 147 | 26 | |
| General Provisions | - | - | 54 | 54 | Social Care Maintaining Fabric - several small schemes were completed ahead of schedule, resulting in expenditure being brought forward from 2013/14 to 2012/13. |
| Grant-Funded Provisions: | | | | | |
| - Childrens Centre Capital | 729 | 311 | 343 | 32 | |
| - Aiming High for Disabled Children | 251 | 75 | 87 | 12 | |
| - Building Schools for the Future | 10 | - | 128 CR | 128 CR | List creditor provision for 2011/12 was over-estimated, resulting in a saving of £128k |
| - Integrated Childrens Systems Grant | 228 | 60 | 37 | 23 CR | |
| Other Schemes | 787 | 25 | 94 | 69 | Richmond School Artificial Pitch - this is a new school led project which is grant funded from the English Hockey Board. NYCC is receiving the grant then passporting this to the school in due course. This project was completed in March 2013. |
| SCHOOLS MANAGED SCHEMES | | | | | |
| Devolved Capital | 5,531 | 2,841 | 4,631 | 1,790 | School's DFC capital expenditure was much higher than anticipated in 2012/13. |
| Self Help Schemes | 2,150 | 2,150 | 3,989 | 1,839 | School led projects - capital expenditure was much higher than expected in 2012/13. |
| TOTAL GROSS SPEND | 38,818 | 23,116 | 27,353 | 4,237 | |

CHILDREN & YOUNG PEOPLES SERVICE

2012/13 CAPITAL BUDGET - OUTTURN POSITION

| CAPITAL PLAN HEAD | ORIGINAL PLAN | LATEST PLAN | OUTTURN | VARIANCE | COMMENTS |
|---|----------------------|--------------------|------------------|-----------------|---|
| | £000 | £000 | £000 | £000 | |
| CAPITAL GRANTS AND CONTRIBUTIONS | | | | | |
| NYCC MANAGED SCHEMES | | | | | |
| Capital Grants | | | | | |
| - Devolved Capital Grant | 378 CR | 597 CR | 624 CR | 27 CR | |
| - Capital Maintenance Grant | 11,826 CR | 8,909 CR | 10,576 CR | 1,667 CR | The primary capital programme has been funded from capital maintenance rather than basic need grant, in line with government guidelines, resulting in further utilisation of £1,605k of capital maintenance grant in 2012/13 |
| - Basic Need Grant | 5,015 CR | 4,296 CR | 2,944 CR | 1,352 | As a result of the approach to the prioritised utilisation of capital maintenance grant, basic need grant will be rephased to 2013/14 and subsequent years. |
| - Building Schools for the Future | 10 CR | - | - | - | |
| - Other | 321 CR | 75 CR | 214 CR | 139 CR | Aiming high short breaks grant (£676k) is required to be spent by 31st August 2013. £86k of this grant has been utilised in 2012/13 against The Ghyll, Morton on Swale and Richmond School artificial pitch projects (which was completed in March 2013 but not included in the Q3 capital report. The remainder of the grant will be utilised in 2013/14 |
| Capital Contributions | | | | | |
| - Capital Contributions | 665 CR | 124 CR | 113 CR | 11 | |
| - Section 106 Income | 263 CR | 21 CR | 115 CR | 94 CR | Utilisation of Whitley and Eggborough section 106 funding in 2012/13. |
| Revenue Contributions | | | | | |
| - Capitalised Repairs & Maintenance | - | 44 CR | 44 CR | - | |
| - ICT Hardware Purchases | 340 CR | 200 CR | 202 CR | 2 CR | |
| - From the Pending Issues Provision | 3,000 CR | 3,000 CR | 3,000 CR | - | |
| - Catering Equipment | 300 CR | 464 CR | 565 CR | 101 CR | Capital expenditure on catering equipment was higher than anticipated - fully funded from revenue. |
| - Other | 278 CR | 182 CR | 251 CR | 69 CR | |
| SCHOOLS MANAGED SCHEMES | | | | | |
| - Devolved Capital Grant | 5,538 CR | 2,841 CR | 4,631 CR | 1,790 CR | See above |
| - Capital Contributions - Self Help Schemes | 500 CR | 500 CR | 785 CR | 285 CR | See above |
| - Revenue Contributions - Self Help Schemes | 1,650 CR | 1,650 CR | 3,204 CR | 1,554 CR | See above |
| TOTAL GRANTS AND CONTRIBUTIONS | 30,084 CR | 22,903 CR | 27,268 CR | 4,365 CR | |
| TOTAL NET EXPENDITURE | 8,734 | 213 | 85 | 128 CR | |

OTHER COUNTY SERVICES

2012/13 CAPITAL BUDGET - OUTTURN POSITION

| CAPITAL PLAN HEAD | ORIGINAL PLAN | LATEST PLAN | OUTTURN | VARIANCE | COMMENTS |
|---|---------------|--------------|--------------|-----------------|--|
| | £000 | £000 | £000 | £000 | |
| GROSS EXPENDITURE | | | | | |
| Material Damage Provision | 500 | 300 | 363 | 63 | Works to rectify material damage incidents at Summerbridge and Alanbrooke school completed earlier than anticipated resulting in additional costs in year. |
| Public Access to Buildings for Disabled | 502 | 44 | 31 | 13 CR | |
| Affordable Housing Fund | 1,280 | 1,058 | 482 | 576 CR | Estimated completion date for one scheme was March 2013 when the remaining balance (50%) would be paid. The scheme has been delayed slightly with completion now not expected until early 2013/14. |
| Carbon Reduction Initiative | - | 520 | 646 | 126 | Additional funding made available to schools to reduce energy consumption |
| Travellers' Sites | - | 103 | - | 103 CR | Final works and associated costs not yet resolved due to administration of modular unit contractor, final costs are expected in early 2013/14. |
| Purchase of Vehicles, Plant & Equip | - | 700 | 725 | 25 | |
| Bright Office Strategy | 2,313 | 10 | 7 | 3 CR | |
| Revenue-Funded Capital Provisions: | | - | - | | |
| - ICT Infrastructure (FCS) | 897 | 220 | 169 | 51 CR | A number of projects have been completed for less than anticipated or an element of spend has slipped into future years. Future spend will be linked to the approval of the ICT strategy. |
| - Device Purchase (all Directorates) | 120 | 120 | 216 | 96 | There has been increased refresh of PCs for laptops and the Microsoft transition project has also had an impact on purchases. From 13/14 the regular device refresh programme should restart. |
| - Corporate Accommodation Schemes | 39 | 36 | 50 | 14 | |
| - Farms Improvement Scheme | - | 141 | 52 | 89 CR | Farms Minor Improvements expenditure lower than anticipated due to rephasing of works into future years and capitalised spend being lower than expected. |
| Microsoft Project | 2,990 | 1,902 | 1,339 | 563 CR | The expenditure on this scheme is lower than originally anticipated. A further £141k is expected next year any funding remaining unused will be returned to the PIP fund. |
| Super Fast Broadband Scheme | 400 | 400 | 27 | 373 CR | Slippage mainly due to putting in place a procurement framework for a closed list of community internet providers, helping minimise the risk of a State Aid challenge, together with: the timing of identifying, with BT, the "last 10%" of support to be provided; some slippage in projects that have already been approved, and; utilising other, more time-limited, funding first. |
| NY Data Observatory | - | 27 | 12 | 15 CR | The planned update of the API integration element of the system did not go ahead due to changes in the third party supplier market. The remaining element of the grant will be spent on the continuing maintenance and support for the system. |
| Library Schemes | 165 | 61 | 32 | 29 CR | |
| Loans to Limited Companies etc. | - | 133 | - | 133 CR | No further advance of loans in 2012/13. |
| Other Minor Schemes | 152 | - | - | - | |
| TOTAL GROSS SPEND | 9,358 | 5,774 | 4,151 | 1,623 CR | |

OTHER COUNTY SERVICES

2012/13 CAPITAL BUDGET - OUTTURN POSITION

| CAPITAL PLAN HEAD | ORIGINAL PLAN | LATEST PLAN | OUTTURN | VARIANCE | COMMENTS |
|--|----------------------|--------------------|-----------------|-----------------|--|
| | £000 | £000 | £000 | £000 | |
| Capital Grants | | | | | |
| - Performance Reward Grant | 400 CR | 400 CR | 27 CR | 373 | Delays on Super Fast Broadband scheme has resulted in the rephasing of grant for utilisation in 2013/14. |
| - Regional Improvement Grant | 21 CR | 27 CR | 12 CR | 15 | |
| Capital Contributions | | | | | |
| - Material Damage Insurance Contributions | - | - | 27 CR | 27 CR | Contributions recovered from insurers to cover costs in excess of the internal material damage scheme |
| Revenue Contributions | | | | | |
| - Bright Office Strategy PIP Funding | 870 CR | - | - | - | Revenue Contributions lower than anticipated due to reduced expenditure |
| - Libraries Schemes PIP Funding | 150 CR | 32 CR | 32 CR | - | |
| - Microsoft Project PIP Funding | 2,143 CR | 1,172 CR | 609 CR | 563 | |
| - Microsoft Project Revenue Contribution | - | 730 CR | 730 CR | - | |
| - Capital Expenditure from Revenue Schemes | 1,903 CR | 517 CR | 487 CR | 30 | |
| - Carbon Reduction Initiative | - | 520 CR | 646 CR | 126 CR | |
| TOTAL GRANTS AND CONTRIBUTIONS | 5,487 CR | 3,397 CR | 2,570 CR | 828 | |
| TOTAL NET EXPENDITURE | 3,871 | 2,377 | 1,581 | 796 CR | |

FINANCING OF CAPITAL EXPENDITURE IN 2012/13

| | Original Plan to Exec 28/2/12 £000s | Latest Plan to Exec 26/2/13 £000s | Year End Outturn £000s | Comments |
|---|---|---|---------------------------------|---|
| Borrowing | | | | |
| Unsupported Borrowing agreed by CC | -944 | 1,089 | -1,624 | Impact of Nynet loan reduction from 7.1m to 4.6m |
| Re-phased borrowing re slippage etc | 7,285 | 6,660 | 6,838 | Variation is net underspend c/fwd (-1.3m) and cap rec slippage (1.5m) |
| = total capital borrowing requirement | 6,341 | 7,749 | 5,214 | |
| Surplus capital resources etc | -1,119 | -5,972 | -6,417 | Reduces in year borrowing reqmnt. Increase is additional capital receipts |
| = adjusted borrowing requirement | 5,222 | 1,777 | -1,203 | Negative 1.2m cap borrow req from Nynet loan reduction, reduces internal borrowing from cash balances |
| Capital Grants & Contributions | | | | |
| BES LTP Grant | 34,865 | 34,265 | 32,122 | Expenditure slipped into 2013/14. |
| BES LEP Growing Places Grant | 6,331 | 0 | 0 | Expenditure slipped into 2013/14. |
| BES Bedale Bypass | 240 | 240 | 240 | |
| BES Connect 2 Grant | 238 | 584 | 437 | Expenditure slipped into 2013/14. |
| BES other grants & contribs. | 150 | 663 | 834 | Additional contributions on ITBP in 2012/13. |
| CYPS Devolved funding to schools | 5,916 | 3,438 | 5,255 | Devolved Capital Expenditure higher than expected. |
| CYPS Capital Maintenance Grant | 11,826 | 8,909 | 10,576 | Grant utilised ahead of basic need grant in line with government guidelines. |
| CYPS Basic Need Grant | 5,015 | 4,296 | 2,944 | Capital Maintenance Grant utilised ahead of basic need. |
| CYPS school Self Help schemes conts | 2,150 | 500 | 785 | Schools expenditure higher than anticipated. |
| CYPS other grants and contribs. | 1,259 | 219 | 441 | |
| HAS grants & contribs. | 1,947 | 1,305 | 1,316 | |
| Other County Serv. grants & contribs. | 420 | 427 | 39 | Expenditure slipped into 2013/14. |
| | 70,357 | 54,846 | 54,989 | |
| Financed from Revenue | | | | |
| BES Streetlighting (PIP) | 200 | 981 | 769 | Underspend on revenue funded programme. |
| BES other | 80 | 290 | 287 | |
| CYPS School self help rev. contribs. | 0 | 1,720 | 3,204 | Schools expenditure higher than expected. |
| CYPS schemes funded from the PIP | 3,000 | 3,000 | 3,000 | |
| CYPS Other | 918 | 819 | 1,062 | Revenue funding brought forward to fund expenditure. |
| HAS - various | 735 | 490 | 490 | |
| OCS - Bright Office Strategy | 870 | 0 | 0 | |
| OCS - Microsoft Project (PIP) | 2,143 | 1,172 | 609 | Reduced funding due to expenditure being lower than anticipated. |
| OCS - various revenue programmes | 1,902 | 1,247 | 1,217 | |
| OCS - other | 150 | 552 | 705 | Additional revenue contributions to fund expenditure. |
| | 9,998 | 10,271 | 11,343 | |
| Credit Loan Write Off Contribution | 0 | 0 | 200 | Release of provision for loan write off is classed as a corporate rev cont |
| | 9,998 | 10,271 | 11,543 | |
| Available capital receipts | | | | |
| Sales of properties and land | | | | |
| County Farms receipts | 1,614 | 2,096 | 802 | Fully used to fund capital spending thus reducing borrowing requirements |
| Depots Rationalisation programme | 2,526 | 101 | 144 | Receipts recycled to help fund the BES Depots rationalisation programme |
| Other receipts | 6,424 | 1,970 | 2,186 | Variations explained in para 7.22 of main report |
| Sub total | 10,564 | 4,167 | 3,132 | |
| BES Vehicles | 0 | 0 | 724 | Sale of road maintenance vehicles resulting from change in contractors. |
| Company Loan repayments | 1,500 | 0 | 2,441 | Nynet loan reduction from 7067 at 1/4/12 to 4626 at 31/3/13 |
| | 12,064 | 4,167 | 6,297 | |
| Brought forward from 2011/12 | 0 | 0 | 0 | No unapplied receipts brought forward from 2011/12 |
| Carried forward to 2012/13 | 0 | 0 | 0 | All receipts utilised in 2012/13 |
| | 12,064 | 4,167 | 6,297 | |
| Total Expenditure to be financed | 97,641 | 71,061 | 71,626 | |

3. UPDATED 2013/14 REVENUE BUDGET / 2014/15 MTFs - BUDGET 2 - EXECUTIVE 9 JULY 2013

| | 2013/14 | | 2014/15 | | 2015/16 Base | | 2016/17 Base | | | |
|---------------------------|---------------------|-------------------|-------------|--------------------------|-----------------------------|----------------------------|--------------|-----------------------|-------------|-----------------------|
| | agreed by CC 20 Feb | later base budget | new savings | updated 2013/14 base bud | variations approved CC 20/2 | further changes identified | new savings | updated starting base | new savings | updated starting base |
| | £000s | £000s | £000s | £000s | £000s | £000s | £000s | £000s | £000s | £000s |
| SPENDING | | | | | | | | | | |
| BES | 79,743 | -510 | -700 | 78,533 | -3,069 | -57 | -840 | 74,567 | 74,067 | 74,067 |
| CYPS | 88,771 | -7,583 | -600 | 80,588 | -1,733 | -120 | -120 | 78,735 | 78,535 | 78,455 |
| HAS | 143,745 | -4,373 | -1,000 | 138,372 | 2,614 | -3,000 | -1,240 | 136,746 | 135,046 | 135,046 |
| Central Services | 43,562 | 8,693 | -200 | 52,055 | -1,228 | | | 50,827 | 50,827 | 50,827 |
| Corporate Miscel | 21,080 | 3,773 | | 24,853 | 1,437 | 2,239 | | 28,529 | 28,529 | 28,529 |
| Unall One Cncl Svings | 0 | 0 | 500 | 500 | -3,531 | 818 | | -2,213 | -2,213 | -2,213 |
| | 376,901 | 0 | -2,000 | 374,901 | -5,510 | 0 | -2,200 | 367,191 | 364,791 | 364,711 |
| FUNDING | | | | | | | | | | |
| Formula Grant | 88,920 | 88,920 | | 88,920 | -13,755 | -1,500 | | 73,665 | 73,665 | 73,665 |
| Business Rates | 40,991 | 40,991 | | 40,991 | 1,257 | | | 42,248 | 42,248 | 42,248 |
| Govt top up | 18,794 | 18,794 | | 18,794 | 563 | | | 19,357 | 19,357 | 19,357 |
| 9% from Districts | 566 | 566 | | 566 | -816 | | | -250 | -250 | -250 |
| Council Tax | 225,193 | 225,193 | | 225,193 | 5,078 | | | 230,271 | 230,271 | 230,271 |
| previous years | 374,464 | 374,464 | 0 | 374,464 | -7,673 | 0 | -1,500 | 365,291 | 365,291 | 365,291 |
| Current year | | | | | | | | | | |
| net budget requirement | -2,437 | -2,437 | 2,000 | -437 | -2,163 | 0 | 700 | -1,900 | 500 | 580 |
| | | | | | | | | | | |
| SHORTFALL from GWB | | | | | | | | | | |
| memo - CC Feb 20 | -2,437 | -2,437 | -2,437 | -2,437 | -2,163 | | | -4,600 | -4,600 | -4,600 |
| COUNCIL TAX Band D | | | | | | | | | | |
| C Tax reqmnt | 225,193 | 225,193 | | 225,193 | 5,078 | | | 230,271 | 230,271 | 230,271 |
| tax base Band D props) | 212,953 | 212,953 | | 212,953 | 532.38 | | | 213,485 | 213,485 | 213,485 |
| Band D | £1,057.48 | £1,057.48 | | £1,057.48 | | | | £1,078.63 | £1,078.63 | £1,078.63 |
| increase over previous yr | 0% | 0% | | 0% | | | | 2.0% | 2.0% | 2.0% |

this is the starting base only for 2015/16 and 2016/17 and excludes
(a) inflation & other additional needs allocations
(b) significant additional savings that will be required for those years

Equality Impact Assessment Template

Fair access to care services: reviewing the eligibility threshold
V1.6 @ 26.6.13

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 کی دیگر زبان یا دیگر شکل میں درکار ہوں تو براہ مہربانی ہم سے پوچھیے۔



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

Equality Impact Assessments are public documents. Full EIAs accompanying reports going to County Councillors for decisions are published with the committee papers on our website and available in hard copy for people attending the relevant meeting. To make it easier for people to find equality impact assessments the Council will publish also publish full equality impact assessments on the NYCC website in line with statutory requirements.

| | | | | |
|---|---|----------|--|--|
| Name of the Directorate and Service Area | Health and Adult Services | | | |
| Name of the service/policy being assessed | Fair Access to Care Services: reviewing the eligibility threshold | | | |
| Is this the area being impact assessed a | Policy & its implementation? | X | Service? | |
| | Function | | Initiative? | |
| | Project? | | Procedure & its implementation? | |
| Is this an Equality Impact Assessment for a | Existing service or a policy and its implementation? | | | |
| (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) | 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? | Project Board | | | |
| Eg team meetings, working party, project team, individual Officer | Shanna Carrell, Equality & Community Engagement Officer; Tim Smith, Programme Manager | | | |
| Names and roles of people carrying out the Impact Assessment | Shanna Carrell shanna.carrell@northyorks.gov.uk | | | |
| Lead Officer and contact details | 23.5.13 | | | |
| Date EIA started | DRAFT version 1.6@26.6.13 for Executive 9.7.13 | | | |
| Date EIA Completed | Anne Marie Lubanski, Assistant Director Adult Social Care Operations | | | |
| 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

| | |
|--|--|
| <p>1.1 Describe the service/policy</p> <p>What does the service/policy do and how? How would you describe the policy to someone who knows very little about Council Services?</p> <p>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?</p> <p>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)</p> <p>Are there any other policies or services which might be linked to this one? Have you</p> | <p>Following a community care assessment, a person's eligibility for a state-funded social care service is determined by the application of the Fair Access to Care Services (FACS) criteria. FACS has 4 levels; Low, Moderate, Substantial and Critical which describe the extent to which a person's independence is put at risk by their current social circumstances. Each local authority with responsibility for adult social care services determines at which level it chooses to provide services following an assessment of need.</p> <p>At the end of March 2013 there were just over 10,000 people recorded as receiving support either commissioned by, or provided directly by the County.</p> <p>At present NYCC provides services to people assessed as being at FACS Moderate and above. Of those 10,000 approximately 2,600 were last assessed at Moderate or below and approximately 400 do not have their FACS level recorded in AIS (adult social care client database).</p> <p>The council is consulting on the proposal to raise the eligibility threshold from Moderate and above to Substantial and above, from April 2014. This means that the council would provide services to those assessed as being at FACS Substantial and Critical.</p> <p>Over recent years the number of councils providing services at FACS Moderate has reduced and now only around 13% of local authorities operate at FACS Moderate or below (ADASS survey 2013).</p> <p>The council is considering this course of action due to budgetary pressures. It is intended that the savings generated from this proposal, should it be approved, will allow the authority to mitigate the necessity to reduce social care services to the most vulnerable people within the constraints of a reducing budget resulting from central government funding allocations to local authorities.</p> <p>It is estimated that the current potential net saving of raising the FACS criteria is £1.4m per annum. £800k would be realised in 2014-15, £600k in 2015-16, then £1.4m pa on-going. It should be noted that these savings amounts will be affected by movement in and out of service and may be higher or lower at the point of realisation.</p> |
|--|--|

| | |
|--|--|
| <p>reviewed the EIA for these policies/services? What do they tell you about the potential impact?</p> <p>How will the policy be put into practice? Who is responsible for it?</p> | <p>The proposal, if implemented, would mean that some people who currently receive support from Adult Social Care would no longer be eligible for that level of support. The sort of support that people are likely to be in receipt of includes home care and home help services. They may still, however, be eligible for a prevention offer which could include telecare, equipment and other prevention options (a new prevention strategy is in development). People will also continue to receive information, advice and signposting.</p> <p>The implementation would be phased with new people assessed against the new threshold, and existing people reassessed over a period of time, April 2014 to March 2015. Where an individual is reassessed and no longer meets the eligibility threshold, a transition period of up to eight weeks is being proposed. From experience, this timescale gives people sufficient time to adjust to changes to their support, for information and signposting, and for any preventative offer.</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</p> | <p>Eligibility is assessed via the community care assessment, conducted by social care coordinators and social care assessors.</p> <p>If a person's needs are assessed at FACS moderate or low, it means that risks to independence have been assessed as meeting one or more of the following criteria:</p> <p>Moderate – when:</p> <ul style="list-style-type: none"> • there is, or will be, an inability to carry out several personal care or domestic routines; and/or • involvement in several aspects of work, education or learning cannot or will not be sustained; and/or • several social support systems and relationships cannot or will not be sustained; and/or • several family and other social roles and responsibilities cannot or will not be undertaken <p>Low – when:</p> <ul style="list-style-type: none"> • there is, or will be, an inability to carry out one or two personal care or domestic routines; and/or • involvement in one or two aspects of work, education or learning cannot or will not be sustained; and/or • one or two social support systems and relationships cannot or will not be sustained; and/or • one or two family and other social roles and responsibilities cannot or will not be undertaken. <p>A community care assessment is followed by a financial assessment in order to determine a person's ability to pay towards the cost of their social care.</p> |

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?

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?

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

We collect client information on a database in order to manage their care needs. This information includes client 'type', FACS level, and equality profile. The data used in this assessment is taken from our client database as at 31 March 2013 but may need some readjustment to ensure maximum consistency with other analyses. However, the differences should be minimal and it is not anticipated that this will impact on the conclusions drawn so far. In addition, people come in and out of services and therefore the figures will vary.

In our Joint Strategic Needs Analysis, last reviewed in 2012, we have data on needs as defined by a number of different groupings. This includes demographic projections.

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?

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

From our client database, we had 10,273 people in service at 31 March 2013.

Of those, 2608 are recorded at Moderate or Low. This includes 71 people in residential or nursing care who are likely to be at Substantial now. There are also 408 people who have no FACS level recorded. Client records in AIS show that people assessed at Moderate or below receive the following types of service:

| No | Service type | Number |
|----|---------------------------|--------|
| 1 | Direct Payments | 87 |
| 2 | Home Care | 612 |
| 3 | START | 150 |
| 4 | Day occupation | 140 |
| 5 | Short term Res or respite | 50 |
| 6 | Telecare only | 647* |
| 7 | Equipment only | 326* |
| 8 | Professional support only | 303* |
| 9 | Home help | 144 |
| 10 | Mixture of Services | 59 |
| 11 | Total | 2518 |

* It is proposed that these services form part of the prevention strategy (in development) and would therefore be retained. This represents about 50% of the total. Based on that proposal, this leaves a group of just over 1,000 people who may be affected.

Current evidence suggests that where a reassessment takes place, in 83% of cases the FACS level remains unchanged, it goes down in 8% of cases and goes up in 9%. For the purposes of this paper it has been assumed that this 9% of people would continue to be eligible for on-going services after reassessment.

Applying this percentage calculation to the total group recorded at Moderate and Low (including those whose FACS criteria has not been recorded), using the figures available, this equates to approximately 270 people eligible for on-going services, and approximately 2730 not. Applying it to the group most likely to be affected, this equates to around 100 people eligible for on-going services and 1000 not.

People recorded at Low will generally be people who are in receipt of equipment or telecare, and who have had an assessment. They may continue to receive such services under these proposals.

Disability:

From a breakdown by main client category, the highest proportion of those in FACS Low and Moderate have a physical or sensory impairment. This would correlate with the age profile of adult social care clients. There is a notably lower proportion of people with a learning disability in Low and Moderate compared with Substantial and Critical. There are a lower proportion of people with mental health issues in Low and Moderate, although a notably larger proportion with FACS unassigned.

Overall, the highest impact would therefore be on people with a physical or sensory impairment. However, the impact of changes to social care will be on disabled people as a group, as it is by reason of support needs arising from disability or condition that people will require social care.

| Main Category | No FACS | | | | Grand Total | | |
|---------------|---------|-------|----------|-------------|-------------|-------|--|
| | No FACS | Low | Moderate | Substantial | Critical | Total | |
| Learning Dis | 2.3% | 6.8% | 7.8% | 16.9% | 19.6% | 14.9% | |
| Mental health | 51.0% | 4.8% | 5.1% | 7.5% | 14.3% | 10.9% | |
| Phys Dis | 45.7% | 87.2% | 86.5% | 75.0% | 65.1% | 73.5% | |
| Subs Misuse | 0.5% | 0.0% | 0.0% | 0.1% | 0.2% | 0.1% | |

| | | | | | | |
|-------------|--------|--------|--------|--------|--------|--------|
| Vulnerable | 0.5% | 1.3% | 0.5% | 0.5% | 0.8% | 0.6% |
| Grand Total | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% |

Ethnicity:

Overall, there are low numbers of minority ethnic people accessing social care support. The proportions at Low, Moderate and Substantial are roughly the same, with a slightly higher proportion at Critical. The same is true for White Irish, with roughly the same proportions of White Other across all three levels. The numbers of people self-identifying as Gypsy, Roma, Traveller are too small for useful analysis, but it may be that some of this group are in the 'White Other' or 'White Irish' categories. According to this data, raising eligibility criteria should not have a disproportionate impact in terms of ethnicity.

| Ethnic Origin | No FACS | | | Moderate | | | Substantial | | | Critical | | | Grand Total | |
|----------------------------|---------|---------|--|----------|--|--|-------------|--|--|----------|--|--|-------------|--|
| | No FACS | Low | | Moderate | | | Substantial | | | Critical | | | | |
| Any other White background | 1.02% | 0.50% | | 1.13% | | | 1.12% | | | 0.99% | | | 1.05% | |
| BME | 0.51% | 0.50% | | 0.52% | | | 0.56% | | | 0.85% | | | 0.65% | |
| Gypsy/Roma | 0.25% | 0.00% | | 0.09% | | | 0.00% | | | 0.03% | | | 0.04% | |
| Other | 7.11% | 0.50% | | 0.57% | | | 0.78% | | | 1.02% | | | 1.04% | |
| White British | 90.61% | 98.50% | | 97.30% | | | 97.19% | | | 96.46% | | | 96.76% | |
| White Irish | 0.51% | 0.00% | | 0.39% | | | 0.35% | | | 0.65% | | | 0.45% | |
| Grand Total | 100.00% | 100.00% | | 100.00% | | | 100.00% | | | 100.00% | | | 100.00% | |

Gender:

The gender breakdown for Low, Moderate, Substantial and Critical is of very similar proportions. In that sense, raising the criteria would not have a disproportionate impact in terms of gender. However, the proportion of females accessing social care is roughly twice that of males and therefore any proposal to change access to social care will have a higher impact on females than males.

| Gender | No FACS | | | Moderate | | | Substantial | | | Critical | | | Grand Total | |
|-------------|---------|--------|--|----------|--|--|-------------|--|--|----------|--|--|-------------|--|
| | No FACS | Low | | Moderate | | | Substantial | | | Critical | | | | |
| Male | 51.8% | 35.1% | | 33.7% | | | 37.6% | | | 36.2% | | | 36.7% | |
| Female | 48.2% | 64.9% | | 66.3% | | | 62.4% | | | 63.8% | | | 63.3% | |
| Grand Total | 100.0% | 100.0% | | 100.0% | | | 100.0% | | | 100.0% | | | 100.0% | |

Age:

People aged 65 and over make up the highest proportion of people who access social care. Therefore any proposal to change access will have a higher impact on older people than younger. In terms of proportions at each level, there is a slightly higher proportion of older people accessing social care at Low and Moderate than Substantial, and a similar proportion at Critical when compared to Moderate. At all levels, there is a higher proportion of people aged 75 and over, and the highest proportion in Moderate, Substantial and Critical are 85 and over.

Demographic projections indicate a growth in the proportion and overall number of older people in North Yorkshire. This will lead to increasing demand and therefore increasing pressure on social care budgets. By 2025, the percentage of people in North Yorkshire aged 65 and over is estimated to reach 26.4%, compared to the all-England figure of 20%. This is a 20% (approx.) increase from 2011.

| Age Group | No FACS | | | Moderate | | | Substantial | | | Critical | | | Grand Total |
|-------------|---------|--------|----------|-------------|----------|---------|-------------|----------|-------------|----------|--|--|-------------|
| | No FACS | Low | Moderate | Substantial | Critical | No FACS | Low | Moderate | Substantial | Critical | | | |
| 18 - 64 | 59.6% | 23.1% | 22.5% | 31.3% | 27.3% | 28.7% | | | | | | | |
| 65 - 74 | 11.7% | 16.5% | 11.6% | 11.6% | 10.4% | 11.4% | | | | | | | |
| 75 - 84 | 20.6% | 31.3% | 27.4% | 24.8% | 24.3% | 25.3% | | | | | | | |
| 85 and over | 8.1% | 29.1% | 38.4% | 32.3% | 38.0% | 34.6% | | | | | | | |
| Grand Total | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | | | | | | | |

Sexual orientation:

Data not available. If we use the Stonewall estimates, we can anticipate that 5-7% of the people accessing social care will identify as Lesbian, Gay or Bisexual (LGB). From national research, we can also anticipate that LGB people may be more likely to access social care as they age due to lack of family support.

Faith:

Of those declaring, the highest proportion is Christian, at around 77%. The proportion in each level is very similar. The next highest proportion is Atheist, followed by Other. Proportions of the other main faiths are very low. There does not appear to be a disproportionate impact in terms of Faith.

| Religion | No FACS | | | Moderate | | | Substantial | | | Critical | | | Grand Total | |
|-----------------------------|---------|---------|----------|-------------|----------|---------|-------------|----------|-------------|----------|---------|-----|-------------|----------|
| | No FACS | Low | Moderate | Substantial | Critical | No FACS | Low | Moderate | Substantial | Critical | No FACS | Low | | Moderate |
| Christian | 45.94% | 78.95% | 76.94% | 74.91% | 77.75% | 75.38% | | | | | | | | |
| Atheist | 7.36% | 5.76% | 7.59% | 7.98% | 7.03% | 7.46% | | | | | | | | |
| Other | 1.02% | 2.26% | 1.74% | 2.81% | 2.75% | 2.46% | | | | | | | | |
| Jewish | 0.00% | 0.00% | 0.13% | 0.08% | 0.09% | 0.09% | | | | | | | | |
| Hindu | 0.00% | 0.00% | 0.00% | 0.00% | 0.06% | 0.02% | | | | | | | | |
| Buddhist | 0.25% | 0.00% | 0.04% | 0.05% | 0.11% | 0.08% | | | | | | | | |
| Muslim | 0.00% | 0.00% | 0.00% | 0.05% | 0.06% | 0.04% | | | | | | | | |
| Not Stated | 45.43% | 13.03% | 13.51% | 14.11% | 12.16% | 14.47% | | | | | | | | |
| Details no longer available | 0.00% | 0.00% | 0.04% | 0.00% | 0.00% | 0.01% | | | | | | | | |
| Grand Total | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% | | | | | | | | |

Marital Status:

Marital status is included as a protected characteristic in the Public Sector Equality Duty. From the data, whilst there are some variations (eg fewer single people at Low and Moderate), there does not appear to be any notable disproportionate impact in terms of marital status.

It may be worth noting, however, that there is a considerably higher proportion overall who are without a spouse or partner. This may have some bearing on the amount of informal or family care available to them.

| Marital Status | No FACS | | | Moderate | | | Substantial | | | Critical | | | Grand Total | |
|-------------------|---------|-------|----------|-------------|----------|---------|-------------|----------|-------------|----------|---------|-----|-------------|----------|
| | No FACS | Low | Moderate | Substantial | Critical | No FACS | Low | Moderate | Substantial | Critical | No FACS | Low | | Moderate |
| Civil Partnership | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% | | | | | | | | |
| Co-Habiting | 0.3% | 0.0% | 0.1% | 0.1% | 0.1% | 0.1% | | | | | | | | |
| Divorced | 3.0% | 5.0% | 4.6% | 4.0% | 3.5% | 4.0% | | | | | | | | |
| Married | 33.0% | 37.6% | 29.0% | 28.5% | 24.7% | 27.8% | | | | | | | | |
| Partnered | 2.0% | 1.3% | 1.2% | 1.7% | 1.2% | 1.4% | | | | | | | | |
| Separated | 1.3% | 1.3% | 0.8% | 1.1% | 1.0% | 1.0% | | | | | | | | |
| Single | 30.2% | 16.3% | 16.7% | 23.7% | 26.6% | 23.1% | | | | | | | | |
| Widowed | 5.1% | 27.8% | 35.8% | 29.4% | 31.9% | 30.7% | | | | | | | | |
| Not Recorded | 25.1% | 10.8% | 11.8% | 11.6% | 11.1% | 12.0% | | | | | | | | |

| | | | | | |
|-----------------------------|--------|--------|--------|--------|--------|
| Details no longer available | 0.0% | 0.0% | 0.0% | 0.0% | 0.0% |
| Grand Total | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% |

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

This draft equality impact assessment will be further developed leading up to the proposed public consultation (subject to agreement by County Council on 24th July 2013). The findings of the public consultation will be used to inform the final equality impact assessment and action plan, which will then contribute to the information used to reach decisions on the proposal.

Mental health: AIS will not have complete figures as some people are recorded in AIS, some in Health systems, and a small number in both. Information from Community Mental Health teams required.

Data quality initiatives continue to ascertain FACS levels for those where it has not been recorded. Most seem to come under the Mental Health and Physical Disability client categories.

Some further work is required to assess the impact on people accessing supported employment type activities.

Some further work is required to estimate the numbers of new people who may be affected in the future as they would no longer meet the proposed eligibility threshold.

Consideration will also have to be given to cumulative impact on people affected by a number of the proposals re FACS and the Fairer Contributions Policy should any changes be made.

| | |
|---|---|
| <p>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 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>Depending on the outcome of the public consultation and subsequent decision making, if the proposals are implemented monitoring will be via the following:</p> <ul style="list-style-type: none">a) Number of people moving out of eligibility due to the new thresholdb) Number of reviews and reassessmentsc) Number of complaintsd) Take up of prevention servicese) Number of people moving up the eligibility criteriaf) Number of people not assessed as eligible at first contact who subsequently make further contact and are assessed as being substantial or critical at that pointg) Carers assessmentsh) Safeguarding alerts |

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?

Adverse impacts arising from this proposal would affect disabled people, particularly those with physical or sensory impairment, more older people than younger, and more women than men. From the above analysis (section 2.2), around 1000 people currently accessing social care support will be most affected. There will also be an impact on new people coming through for assessment who will no longer meet the eligibility threshold.

Within the group most likely to be affected, looking at type of service it is likely that reducing access to supported employment would most affect people with learning disability and reducing access to home care and home help would most affect older people.

There would also be an impact on family and unpaid carers who may have to take up more of the caring responsibilities.

Adverse impacts could include:

1. An impact on ability to maintain independent living and subsequent deterioration in condition, which might then require a more costly social care intervention;
2. An impact on ability to maintain daily routines, including those that reduce loneliness and isolation;
3. An impact on personal income due to the need to purchase support in lieu of state funded support;
4. An impact on family and other unpaid carers, who may have to take more of a support role. There is potential for carers to not be able to do so or to reduce their care input, which would then impact on the person’s independence (see point 1 above);
5. A risk that an individual does not engage with the prevention offer, thus affecting ability to maintain independence (see point 1 above);
6. A risk of causing distress and confusion, particularly for those with cognitive impairment such as dementias (see point 1 above);
7. A risk that older people in particular, especially those without family support, will feel unable to complain if they feel that the decision is incorrect;
8. Where a couple are both in receipt of care, are assessed at different levels and one has services withdrawn (see point 1 above).

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| <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>The FACS threshold could remain at Moderate. However, the savings requirement would then have to be found from other sources and given that all adult social care services are aimed at vulnerable people it is likely that alternative savings would also impact on vulnerable people. A number of savings measures have already been put into place including 'back office' savings in previous budget rounds and efficiencies continue to be made.</p> <p>If the decision is made post-consultation to raise the FACS threshold, the following factors would be put into place to mitigate against any adverse impact:</p> <p>People will be assessed to ascertain their FACS level and hence eligibility for support from Adult Social Care. This means that support planning would take place and transition support would be available for those no longer eligible. If people's needs change, they can request a re-assessment or review at any time.</p> <p>There would be continuing investment in the preventative service offer. This would be likely to include the current offer of information, advice and signposting, telecare and equipment to help people maintain their independence.</p> <p>A prevention strategy is being developed, led by the Public Health team.</p> <p>The aim of the preventative offer will be to reduce the 'cliff edge' effect of raising the eligibility threshold, so that there is still a support offer for people who do not meet the threshold.</p> <p>To mitigate against adverse impacts for unpaid family and friends carers, carers assessments will continue to be provided. In addition, the joint North Yorkshire Carers Strategy includes a number of actions in its implementation plan to support carers, such as development of better information and advice, a GP carers pathway to improve early identification of carers and signposting to support, redesigning the carers assessment process and paperwork. The current carers community-based support services are also being reviewed to tailor provision to need.</p> <p>The current complaints system would remain the route for people who felt that their assessment was incorrect. Complaints advocacy support is available.</p> |
| <p>3.3 Can any adverse impact be justified?</p> | <p>Although the mitigating factors outlined above should reduce the adverse impact, it is likely that some adverse impact will remain. However, the proposal is being made in the light of severely reduced budgets,</p> |

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| <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>in order to safeguard services for the most vulnerable people.</p> <p>Legal advice has been sought. The Department of Health issued guidance on eligibility criteria for adult social care in England in 2010. The guidance says that in setting their eligibility criteria, councils should take account of their own resources, local expectations, and local costs.</p> <p>It says that although final decisions remain with councils, to promote greater clarity and transparency, they should consult service users, carers and appropriate local agencies and organisations about their eligibility criteria.</p> <p>Councils should review their eligibility criteria in line with their usual budget cycles. Such reviews may be brought forward if there are major or unexpected changes, including those with significant resource consequences. However, councils should be mindful of evidence which suggests that raising eligibility thresholds without a parallel investment in preventative strategies may lead to increasing demand for services in the longer term.</p> <p>Councils have a statutory duty to have due regard to the need to eliminate discrimination and to promote equality. In the event of a consultation, careful consideration will need to be given to responses in order to understand further any adverse impact and balance this against identified mitigating factors</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>Yes. The draft equality impact assessment will be made available as part of the information to support the proposed public consultation (September to November 2013). Feedback on the assessment, plus data gathered from the consultation itself, will be used to develop the final assessment. This will then be used to support the final decision on whether or not to adopt this proposal.</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</p> | |

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| <p>on addressing differences in outcomes?</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 |
| <p>The equality impact assessment and this action plan will be completed following analysis of feedback from the public consultation.</p> | | | | | |

Equality Impact Assessment Template

Charging policy for community based services: proposals for budget decisions 2013/14

DRAFT: version SC-26.6.13

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 کی دیگر زبان یا دیگر شکل میں درکار ہوں تو براہ مہربانی ہم سے پوچھئے۔



DRAFT: version SC-26.6.13

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

Equality Impact Assessments are public documents. Full EIAs accompanying reports going to County Councillors for decisions are published with the committee papers on our website and available in hard copy for people attending the relevant meeting. To make it easier for people to find equality impact assessments the Council will also publish full equality impact assessments on the NYCC website.

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| Name of the Directorate and Service Area | Health and Adult Services | | |
| Name of the service/policy being assessed | Fairer Contributions Policy: to review a number of areas of the policy for charging for adult social care, Fairer Contributions, which is currently applied to services provided in the community, and to bring a service fully within the remit of the Fairer Contributions Policy. | | |
| Is this the area being impact assessed a | Policy & its implementation? | X | Service? |
| | Function | | Initiative? |
| | Project? | | Procedure & its implementation? |
| Is this an Equality Impact Assessment for a | Existing service or a policy and its implementation? | | |
| (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) | 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 | Project Board | | |
| Names and roles of people carrying out the Impact Assessment | Linda Porritt, Benefits, Assessments and Charging Manager; Avril Hunter, Strategic Commissioning Manager; Shanna Carrell, Equality and Community Engagement Officer | | |
| Lead Officer and contact details | Linda Porritt linda.porritt@northyorks.gov.uk | | |
| Date EIA started | EIA process started 15.5.13 | | |
| Date EIA Completed | DRAFT version SC-26.6.13 for Executive 9.7.13 | | |
| Sign off by Assistant Director (or equivalent) | Debbie Hogg, Assistant Director Resources | | |

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| 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 proposals relate to changes to the County Council's Fairer Contributions Policy. This policy governs the charges for accessing adult social care and takes account of the Department of Health Fairer Charging Policies for Home Care and Non-Residential Social Services (Local Authority Social Services Act 1970) and Department of Health Fairer Contributions Guidance (November 2010).

The proposals are being considered with a view to reducing the subsidy to people assessed as being able to contribute towards the cost of their services, in order to generate additional income to the local authority without causing undue financial detriment to our clients. It is intended that the income generated from these proposals will allow the authority to mitigate the necessity to reduce social care services to the most vulnerable people within the constraints of a reducing budget resulting from central government funding allocations to local authorities.

The rationale behind Proposal 3 (see below) also relates to the impact of legislative change concerning the national Welfare Benefits reform, where the current "passporting" routes through Housing Benefit and uniform Council Tax Benefit will no longer be available.

Proposal one: to increase the weekly disposable income the Council deems that a client has available to contribute towards the cost of providing community based services from 90% to 100% of that disposable income value. The figure will continue to be calculated by completing the current means tested financial assessment.

Proposal two: to charge clients for both carers (resource workers) if two are required to attend and provide their community based support. Currently we only charge the client for one carer and do not take account of the additional cost involved if two carers attend. Two carers may attend due to the specific support requirements of the client but we may also make the decision to provide two carers if the need is identified as part of an assessment which demonstrates a wider health and safety implication for both the client and the members of staff

who are providing the care.

Proposal three: to further extend the application of the Council's Fairer Contributions policy to housing-related support services provided through 'Supporting People'. Currently if a person is in receipt of council tax and/or housing benefit they are 'passport' and do not make a financial contribution towards the cost of providing that service, in effect receiving a subsidy from Supporting People. People not in receipt of these benefits may apply for a means-tested financial assessment under the Fairer Contributions policy. The proposal is therefore to remove the 'passport' and to apply Fairer Contributions to all those in receipt of housing-related support. This would mean that following means-tested financial assessment, some people may continue to receive full subsidy, some may receive partial subsidy. A number of people are not currently 'passport' and receive no subsidy, paying the full cost of their housing-related support.

The services that will be affected are primarily older people's community support or sheltered housing and supported housing for people with learning disabilities, including warden support and telecare alarm systems. Weekly charges range from £3 per week to £384 in some learning disability services.

Proposal four: to begin collecting the financial contribution from clients where the assessed amount equates to £5 or less per week. This is not a formal policy change.

Currently, this amount is not collected due to the administrative costs; however new payment systems mean that collecting such contributions is becoming financially viable. In addition, if proposal 3 is approved and small housing-related charges are collected whereas those for social care are not, there will be a lack of equity.

For proposals 1 and 2, people are first assessed for their eligible social care support needs, via a Community Care assessment and application of Fair Access to Care Services (FACS) eligibility criteria and threshold. They will then have a financial assessment to determine the amount of money that they will need to contribute towards the cost of their social care support.

Proposal 1 – the amount we deem that a client has available to contribute towards the cost of the provision of community based service will increase. It is anticipated that circa £390k p.a. in additional income will be generated if this proposal is agreed and implemented.

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?

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?

See appendix 2 for examples of calculations.

Proposal 2 - the amount that a client has to contribute towards the cost of the provision of their care will increase. Currently the client pays no additional amount towards the extra cost for providing a second carer. From a sample taken in just one of the three geographical areas in NYCC, it was identified that a further £150k p.a. in additional income would be generated

See appendix 2 for examples of calculations.

Proposal 3 – clients are currently assessed using housing-related support provider assessment processes. The financial contribution is based on either application of the 'passport' (in which cases the services are fully subsidised), or a means-tested financial assessment can be requested if the passport does not apply. Under the proposals, the 'passporting' rule will be removed and all clients will be subject to a means tested financial assessment using Fairer Contributions guidelines (unless they decline). As a result a number of people may have to contribute towards the cost of providing their Supporting People service where they have not done so previously. Using the data we have available it is estimated that circa £200k - £400k per annum of additional income would be generated.

| Cost of service Per person per week | No of people in total "passporting" | No of new applications per annum 2011/12 | | |
|-------------------------------------|-------------------------------------|--|-----------------------------|-------|
| | | Social care involvement | Non social care involvement | Total |
| £5 or under | 401 | 78 | 58 | 136 |
| £5.01-£7.00 | 3,539 | 513 | 408 | 921 |
| £7 to £20 | 1,994 | 112 | 172 | 284 |
| More than £20 | 483 | 46 | 25 | 71 |
| Total | 6,417 | 749 | 663 | 1,412 |

See appendix 2 for examples of calculations.

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| | <p>Proposal 4 - we have previously not collected contributions from clients if their assessed contribution was £5 or less per week as this was felt to attract an unrealistic administration cost. Information is not available to identify the cost saving for this proposal but we are aware that this change will generate additional income to the local authority.</p> |
| <p><u>2. Understanding the Impact (using both qualitative and quantitative data)</u></p> <p>Please consider issues around impacts (positive or negative) raised for all protected characteristics and show your evidence</p> | |
| <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>We collect client information on a database in order to manage their care needs. Financial information is stored on a separate database, including the financial history of each client.</p> <p>Approximately 50% of clients accessing housing related support also access some form of adult social care and therefore their information is held on our client database. However, for the other 50% who receive only the housing-related support service, we have no individual information except that they have been awarded certain benefits. See 2.3 below.</p> |
| <p>2.2 What does the information tell you?</p> | <p>By nature of the services provided by Adult Social Care, all recipients will be disabled, frail or</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?

Please include data and analysis as an appendix

with long term health conditions. The majority of service recipients are elderly and tend to be those with age-related frailty, dementia and other long-term health conditions. There are also a number of recipients of working age, who would generally be those with physical and sensory impairment, and / or a learning disability.

Overall, the impact of these proposals will therefore be on disabled people and more on older people than younger. The proposals will also impact more women than men, as women make up the greatest proportion of those accessing adult social care.

Proposal 1: There are approximately 2000 people who will be affected as they currently only pay part of the cost towards services. From the sample of 58 clients, 9% were under the age of 65 and 91% were over 65; this is a higher proportion of older people than the profile of those accessing adult social care overall. 42 (72.4%) were female and 16 (27.6%) were male; 57 (98%) White British.

Approximately 2000 will not be affected as they are already full cost payers, and a further 2000 will not be affected as they currently do not contribute to the cost of their services following means-tested financial assessment. However, some of the 2000 who do not currently contribute may be affected by proposal 4.

Proposal 2: There are approximately 250 people who will be affected by this proposal because they do not currently pay for the second carer and potentially could afford to contribute based on means-tested financial assessment. From a sample of 85 people potentially affected, 22% were under the age of 65 and 78% were over 65. 47 (55.3%) were female and 38 (44.7%) were male; this is a higher proportion of males compared to the profile of those accessing adult social care overall. 100% were White British.

Proposal 3: There are circa 6,500 people in receipt of assistance at the moment; 61% are over 65 and future service users are likely to have a similar age profile. The change from 'passporting' to application of Fairer Contributions policy / means-tested financial assessment to all clients will impact on both existing and future recipients. A sample of 96 people who receive social care and Supporting People (SP) services indicated that 93.6% would not be affected as their maximum contribution is less than the existing care package and 6.4% would be affected as they are either full cost payers or their existing care package is less than their

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| | <p>assessed maximum contribution. If this sample is extrapolated to the whole population of people receiving SP funded services and a social care service, this would mean potentially between 2,736 and 3,015 would not be affected and between 185 and 464 would.</p> <p>There are however a number of people (approximately half) who receive an SP funded service only, and we do not currently have information on their individual financial circumstances other than that they receive housing benefit or council tax benefit. It is difficult to assess the impact on this group at this point (see 2.3 below).</p> <p>For proposal 3 there are 320 people with a learning disability who are passported through the Supporting People Charge. A sample of 90 showed that potentially 32% would have to pay more. This could be up to £50 per week.</p> <p>Of the current people in receipt of assistance at the moment, 63% are female and therefore women will be disproportionately affected.</p> <p>Ethnicity data not currently available.</p> <p>Proposal 4: We do not currently have this data available.</p> <p>Sexual orientation / Faith / marriage & civil partnership: no information currently available.</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>Proposal 3: there are a number of people (approximately half) who receive an SP funded service only, and we do not currently have information on their individual financial circumstances other than that they receive housing benefit or council tax benefit. More information is required in order to assess the impact of the proposal on this group. However, this information is not available to us as it is held by other agencies and by the individual themselves, as it relates to their personal financial circumstances. We will therefore have to rely on the financial assessment process should this proposal be approved.</p> <p>Of those who are included on our client database, further analysis including on protected characteristic is required.</p> <p>Proposal 4: we do not currently have information on these clients as we cannot currently</p> |

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| <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>distinguish between those who pay nothing due to financial assessment or who pay nothing because their assessed contribution is £5 or less.</p> <p>This draft equality impact assessment will be further developed leading up to the proposed public consultation (subject to agreement by County Council on 24th July 2013). The findings of the public consultation will be used to inform the final equality impact assessment and action plan, which will then contribute to the information used to reach decisions on each of the proposals.</p> <p>Consideration should also be given to cumulative impact on people affected by a number of the proposals re FACS and the Fairer Contributions Policy should any changes be made.</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 carry out monitoring by continuing to record reasons why services are declined by clients specifically due to financial reasons. We will support those clients who make the decision to decline services by ensuring that they are made fully aware of any other services that they may wish to access.</p> <p>If an individual feels that their circumstances have changed or that they cannot financially manage, they may request a reassessment at any time.</p> <p>The review date is still to be determined.</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?

The proposals, and therefore any adverse impact arising from the proposals, will affect disabled people, more older people than younger, and more women than men. The vast majority of those affected are White British. This is in line with the overall profile of those accessing adult social care. The total number of those potentially affected is up to 9,000, not including those affected by proposal 4 (as numbers not yet available). However, not all of that 9,000 would in fact be directly affected; we will not know the exact numbers until financial assessments have been completed. Note that this equality impact assessment is in draft and these numbers will be kept under review. The equality impact assessment will be finalised following the public consultation (subject to approval to go forward to public consultation).

Proposal 1 will impact on a disproportionality higher proportion of older people when compared to the overall profile of those accessing adult social care.

Proposal 2 will impact on a slightly higher proportion of men when compared to the overall profile of those accessing adult social care; however the greater number of those impacted will be female.

Proposal 3 will have a slightly disproportionate effect on younger people when compared to the overall profile of those accessing adult social care.

Proposal 4: not yet known.

The potential adverse impact will be a reduction in an individual’s available income, as more of an individual’s income will be taken into account when considering the amount of subsidy that they receive towards the cost of social care support. In addition, some currently fully subsidised services (for some people) will no longer attract that subsidy. This will mean that some people will pay more, or start to pay whereas previously they may not have done so, towards the cost of services, and will therefore have less personal income to spend on other

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| | <p>items of expenditure. However, the amount that a person pays will continue to be calculated by a means-tested financial assessment.</p> <p>We will continue to ensure that clients are left with the recommended weekly income according to their circumstances. These figures are predetermined by central Government.</p> <p>People may choose not to undertake a financial assessment and may decline services once they have been made aware that they will have to start making a financial contribution towards services which had previously been free of charge, particularly those provided through Supporting People. They may also cancel services if their weekly contribution increases. If clients do not receive such services their wellbeing may deteriorate and they could potentially require longer term more intensive support.</p> <p>It should be noted though that the fundamental principle of Fairer Contributions will not change so the means tested financial assessment will still be completed; hence those clients that cannot afford to pay will still not pay towards their services.</p> |
| <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>Other options considered for proposals 1, 2 and 4: to continue with the current arrangements. However, this would mean that opportunities to increase income by reduction or removal of current subsidies for those who are assessed as being able to afford to pay more towards their care are not taken, and due to the overall reduction in budget for adult social care will result in there being less money available to support the most vulnerable people with the highest needs.</p> <p>A number of savings measures have already been put into place including 'back office' savings in previous budget rounds and efficiencies continue to be made.</p> <p>Other options considered for proposal 3 included:</p> <ul style="list-style-type: none"> • Fully subsidising housing-related support. However, this would result in a loss of income to the council which could then impact on the council's ability to continue to provide services to the most vulnerable. |

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| <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> | <ul style="list-style-type: none"> Alternative passports. This would be complex to administer and would incur additional administrative costs. It could also build in inequity and possible discrimination due to the different benefit eligibility and review rules for working age and older adults, and/or the different ‘council tax support’ amounts and rules across the county, depending on passport used. No financial assistance: whilst this option would generate income and reduce administrative charges, it would have a considerable adverse impact on people who may not be able to afford the cost of the service and who may therefore opt to no longer receive it, or to no longer receive other charged-for services. This could result in an increase in dependency. <p>In order to mitigate against adverse impact, the means-tested financial assessment will be applied to calculate income and outgoings thus determining the amount that a person can reasonably be asked to contribute towards their care and support services. The financial assessment includes a welfare benefits check, so builds in the opportunity to check and maximise the client’s income. If an individual’s circumstances change, they can request a review at any time. The usual adult social care complaints process would apply should a person feel that decisions reached are incorrect. Advocacy support is available to people who require support.</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>It is intended that the income generated from these proposals will allow the authority to mitigate the necessity to reduce services to the most vulnerable people within the constraints of a reducing budget from central government funding allocations to local authorities.</p> <p>By making the changes to the charging policy for non-residential services we are utilising some of the discretionary elements of the Fairer Charging guidance issued by the Department of Health.</p> <p>Advice was sought from NYCC Legal Services on the proposals.</p> <p>The proposals are within the remit of the Department of Health Fairer Charging guidance, which says that local authorities have discretion to charge for non-residential services and</p> |

may recover such charges as it considers reasonable. The Fairer Charging guidance advised that local authorities were required to complete an assessment of a client's financial circumstances (the means tested financial assessment) to determine how much a client could reasonably be expected to pay towards their community based service. Fairer Contributions guidance then further advised that if there is a cost to the local authority for providing community based services then the charge to the client can be assessed against that cost. Guidance also reminds councils that the ability to pay for a service should not be assessed and levied for any one service in isolation. The means-tested financial assessment does provide for the client's income to be considered against the cost of all social care services.

Legal advice on proposal 3 indicates that whilst the removal of passporting and proposed application of the Fairer Contributions Policy is a significant change, the rationale for the proposal is a reasonable one given the facts of the changes to welfare benefits (see below). However, the proposal, as the 'preferred option', is subject to consultation. See 3.2 above for a summary of the alternative options considered.

Due to the changes in welfare benefits arising from the Welfare Reform Act, the current benefit passporting arrangements will no longer apply. Housing benefit will be replaced by Universal Credit and council-tax benefit will be replaced by local support for council tax, subject to local implementation and thus there are different eligibility and subsidy arrangements in each of the seven district council areas in North Yorkshire. In addition, the government regulations for council tax support require greater protection and therefore subsidy for older people than younger. Both of these issues could lead to inequity and potential age-related discrimination if council tax benefit were to continue to be applied as a passport.

The authority must pay due regard to the Public Sector Equality Duty in considering the impact of its proposals. This is being undertaken through the equality impact assessment process. The equality impact assessment will be completed following the public consultation so that the findings may be taken into account.

Proposal 4 relates to an administrative decision previously taken by HAS and is therefore not a formal policy change.

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| <p>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?</p> | <p>The proposals will go out to public consultation in Autumn 2013 (subject to decisions by County Council on 24th July 2013), and the draft equality impact assessment will be made available as part of the supporting information. The equality impact assessment will be finalised following the consultation.</p> |
| <p>3.5 How does the service/policy promote equality of opportunity and outcome? Does the new/revised policy/service improve access to services? Are resources focused on addressing differences in outcomes?</p> | <p>The proposals promote equality of outcome for all individuals receiving services via application of the same equitable means-tested financial assessment process.</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 |
| The action plan will be populated when the EIA is completed, following the public consultation. | | | | | |

Summary of Protected Characteristics

(Appendix 1)

Analysis by age and (%)

Analysis by gender and ethnicity (%)

| age | 18-64 | 65-74 | 75-84 | 85+ | totals | Male | Female | Ethnicity |
|-----|-----------------|-----------------|-----------------|---------------|--------|---------------|---------------|---|
| P1 | 5(9) | 7(12) | 15(26) | 31(53) | 58 | 16(28) | 42(62) | 57(98) white British |
| P2 | 19(22) | 9(11) | 26(31) | 31(36) | 85 | 38(45) | 47(55) | 1(2) white other |
| P3 | 1,189 (18.5) | 1,274 (19.9) | 2,084 (32.5) | 1,865 (30) | 6,412 | 2,353 (37) | 4,062 (63) | 85(100) white British Not Available |

Case Studies to illustrate impact of proposed change in relation to the charging regime within Health and Adult Services

Proposal One - Changes to the charging calculations by taking 100% rather than 90% of clients disposable weekly income into account

Client currently pays nothing towards their services

- Weekly income is £191.90 (£72.06 State Retirement Pension, £119.84 Private Pension)
- Individual currently received 19 ¼ Hours personal care at a cost of £326.28 per week
- Current charge NIL
- New Charge NIL

Client pays part of the cost for providing their services

- Weekly income is £322.31 (£198.40 State Retirement Pension, £79.15 Attendance Allowance High Rate, £38.76 Private Pension, £6.00 Tariff Income)
- Less weekly outgoings of £268.31 including housing and other related costs
- Leaving them £54.00 disposable income deemed to be available to pay towards the cost of their services to pay towards services
- Cost of service £211.93 per week
- Current charge £48.60 per week
- New Charge £54.00 per week

Client pays the full cost for providing their services

- Weekly income is £268.89 (£150.17 State Retirement Pension, £53.00 Disability Living Allowance Middle Rate care component, £65.72 Private Pensions, £25,800 savings)
- Current charge £78.25 per week
- New charge £78.25 per week

Proposal 2 - Charging for a second carer (double carers)

Client currently pays nothing towards their services

- Weekly income is £250.94 (State Retirement Pension £77.32, £48.62 Pension Credit, £125.00 DLA and Mobility)
- Current cost of service £227 per week
- Provision of the personal care actually costs £454.12 per week
- Current charge NIL
- New Charge NIL

Client pays part of the cost for providing their services

- Weekly income is £294.85 (£117.62 State Retirement Pension, £86.78 Pension Credit, £77.45 Attendance Allowance High Rate, £13.00 tariff income)
- Less weekly outgoings of £219.52 including housing and other related costs
- Leaving them £75.33 disposable income to pay towards services
- Provision of the personal care actually costs £531 per week including the cost for hours including a second carer
- Currently charge £67.80 per week
- New charge of £75.33 per week

Client pays the full cost for providing their services

- Individual has savings over £23,250
- Provision of the personal care actually costs £528.99 per week
- Currently Charge £264.49 per week
- New Charge £528.99 per week

Proposal 3 - Charging for Supporting People services in line with Fairer Contributions

Client pays nothing towards the Supporting People service

- Weekly income of £144.70 (Income Support £102.70, Disability Living Allowance low rate care £21.00, low rate mobility £21.00).
- Less weekly outgoings including housing and other related costs
- Leaving them no disposable income deemed available to pay towards the cost of their services.
- The client also receives £63 per week Housing Benefit
- Supporting People service costs £6.18 per week
- Current charge NIL
- New Charge NIL

Client pays part of the cost for providing their services

- Weekly income of £309.90, State Retirement Pension £85.08 Private Pension of £149.82, Disability Living Allowance Middle Rate Care £53.00, Low Rate Mobility £21.00.
- Less weekly outgoings of £222.75 for housing and other related costs
- They also receive Housing Benefit of £40 per week
- Supporting People service costs £53.00 per week
- Current charge NIL
- New Charge £53.00 per week

Client pays part of the cost for providing their services

- Weekly income of £277.50 (income support £94.85, Severe Disability Allowance £82.50, Disability Living Allowance high rate care £79.15 and low rate mobility £21)
- Less weekly outgoings including housing and other related costs £193.31
- They also receive £15 per week Housing Benefit
- Supporting People services costs £43 per week
- Client currently receives personal care of 2 hours costing £34.60 per week
- Current Charge £34.60 per week
- New Charge £77.60 per week

Equality Impact Assessment Local Bus Service Network - 2013

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 বলেন।
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 کی دیگر زبان یا دیگر شکل میں درکار ہوں تو براہ مہربانی ہم سے پوچھئے۔



| | | | | |
|---|---|----------|--|----------|
| Name of the Directorate and Service Area | Business and Environmental Services ,Integrated Passenger Transport, | | | |
| Name of the service/policy being assessed | Local bus service network | | | |
| Is this the area being impact assessed a | Policy & its implementation? | X | Service? | X |
| | Function | | Initiative? | |
| | Project? | | Procedure & its implementation? | X |
| Is this an Equality Impact Assessment for a | Existing service or a policy and its implementation? | | | |
| How will you undertake the EIA? | Individual officer as part of business process, in consultation with other service professionals. | | | |
| Names and roles of people carrying out the Impact Assessment | Catherine Price - Passenger Transport Integration Manager Mary Welch – Public Transport Officer Dianne Pottage – Public Transport Officer John Laking - Policy Development Manager | | | |
| Lead Officer and contact details | Chris Roberts, IPT, County Hall | | | |
| Date EIA started | 25 February 2013 | | | |
| Date EIA Completed | 01 July 2013 | | | |
| Sign off by Assistant Director (or equivalent) | | | | |
| Sign off by Service Head/ Business Unit Head | | | | |
| Date of Publication of EIA | | | | |
| Monitoring and review process for EIA | On-going monitoring, with scheduled review in 2017 | | | |

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

Introduction

This Equality Impact Assessment (EIA) replaces EIA - Bus Network 2009, and has been updated to encompass the need to achieve budget reductions. It is intended to provide an over-arching view of day to day decisions undertaken by Integrated Passenger Transport (IPT) in terms of commercial local bus network monitoring, and subsidised bus network management, paying due regard to impacts on people with protected characteristics.

Duty

Bus service deregulation in Great Britain came into force in 1986 following the enactment of the Transport Act 1985 (TA). This provided for the deregulation of local bus services in the whole of the United Kingdom except for Northern Ireland and Greater London, introducing competition on local bus services.

Normally, bus services are either commercial or subsidised. Any bus operator can run whatever commercial services it wants to as long as it gives 56 days notice of an introduction of a new service, withdrawal of a service or timetable changes to the Traffic Commissioner.

Commercial services are those provided without any subsidy (except for the mileage-based subsidy which offsets most fuel duty) and there are no restrictions on fares, routes or service frequency.

The TA 1985 states that local transport authorities have a **duty** to:

- *secure the provision of such public transport services as they consider it appropriate to secure to meet any public transport*

requirements within their area which would not in their view be met apart from any action taken by them for that purpose; and

- *to ensure our policies have regard to the transport needs of members of the public who are elderly or disabled*

References to 'elderly' was removed in the Transport Act 2000 and the provision was refined in the Local Transport Act 2008 to include a requirement to *implement* as well as *develop* policies, and to provide a definition for disabled people. The 2008 Act also enables local authority to consider what level of service should be provided and to specify and contract frequency, days of operation and fares, where the commercial level is inadequate.

General Policy - Local Transport Plan (LTP)

There is a general duty to have and periodically review transport policies and this is most recently revised in the Local Transport Act 2008.

In consideration of this duty the Council produces a Local Transport Plan (LTP); the current LTP3 is effective from 2011 till 2016.

LTP3 states that the ability to access key services is fundamental to living a fulfilling life, and seeks to help people access the services they require, with specific importance being given for access to employment, education, healthcare and food shopping.

However, the transport plan reflects the poor economic climate and the govt. priority of deficit reduction by reducing public expenditure, and states that its objectives are subject to the availability of funding.

"Resources therefore will be targeted at maintaining necessary access and at measures to mitigate the impact of reduced funding before improvements are considered.

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| | <p>“For local bus services, maintaining necessary access means ensuring a core daytime network of bus services is maintained before enhancements are introduced. It also means that when budget pressures require a reduction in the level of support for bus services, then core daytime services which meet essential access to services are retained and lower priority leisure, or evening bus services may be reduced or withdrawn.</p> <p>A limited amount of funding is made available annually by the Council to provide some bus services where it is considered that a need exists and where it is considered that they are not being met by the commercial local bus network.</p> <p>Criteria</p> <p>The amount of funding made available will never be sufficient to fill all of the gaps, and it is therefore necessary to prioritise and set criteria; this is done with consideration to:</p> <ul style="list-style-type: none"> - access to essential services - equalities Impact - value for money <p>Access to Essential Services</p> <p>This is assessed in terms of access to the nearest local service centre and its provision of essential services which includes:</p> <ul style="list-style-type: none"> - food shopping - healthcare - employment - education <p>Consideration is given to:</p> |
|--|---|

Demographics e.g.

- indices of deprivation
- car ownership household characteristics

Proximity of local services and facilities e.g.

- how far it is to access the services
- what services are provided

The availability of existing transport options e.g.

- existing types of access, including:
 - o other local bus services
 - o rail services
 - o community Transport
 - o car schemes
 - o cycle or walking distances
- frequency, including
 - o availability of peak and off-peak services
 - o how many days per week

Equalities Impact

Results from 'on-bus' surveys* reveal that the majority of bus users are older people (73% are over 65); women (70%) are more likely to be bus users than men (30%), and a slightly higher proportion than the general population (23%) are disabled.

(*sample 1500 bus users on subsidised bus services in North Yorkshire, generally carried out between 09:00 and 15:00)

Consideration is given to the requirements of people with 'protected characteristics' as identified in the Equality Act 2010. With the exception of age and disability, impact on these groups is generally low.

Value for Money (VFM)

The following criteria is applied to ensure that the council maintains value for money for its subsidised services:

- services should not regularly carry fewer than three passengers per journey
 - the subsidy per passenger journey should not exceed £6.
- It is recognised however that in certain circumstances it may be necessary to provide access to services where this criteria cannot be met, and in these cases community transport services may be provided.

Monitoring and Contract Management

Integrated Passenger Transport (IPT) undertakes to monitor changes to the commercial local bus network, and to manage the subsidised bus network to ensure that our policy is properly implemented

During 2012/13 IPT received 407 bus service registrations; approx. 84% of these registrations were associated with commercial bus service changes..

Of these 103 were for new services; 204 were variations to services and 100 were cancellations of services. In 4 cases the council considered that an intervention was required..

Where need is identified and considered necessary, the County will consider whether it is appropriate to buy a level of service through competitive tender.

In some cases it may be necessary to prioritise and score the service against existing subsidised services, and where appropriate, modifying subsidised services to release funding. This may be achieved by, for example, reducing the frequency of a subsidised service, but maintaining some access, or by withdrawing a service altogether, the balance being that it would have comparatively less impact than by not reacting at all.

Similarly, where the amount of funding available to spend on bus services is reduced, all subsidised services will be assessed to establish priority of need, and services may be reduced or withdrawn in a way which minimises the impact on our overall policy.

Service Changes may also be prompted by temporary factors such as road closures. During 2012/13 IPT received 1136 road closure notices; these are assessed for potential impact on registered bus services and details are passed to all affected bus operators.

Additional mileage costs are paid, if required, to maintain essential access on subsidised services; commercial services providers are responsible for their own service continuity.

Where a planned road closure causes a community to be isolated for more than 3 days, and a commercial operator fails to meet identified essential need, IPT will give consider procuring an appropriate level of service to meet that need.

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?

Service Provision Feedback

IPT receives information from a large range of sources about its subsidised services; data received is used to help make decisions about how services are provided. This includes:

- Communication

Changes to local bus services, whether commercial or subsidised are publicised on the Councils website and by routinely updating publicity information. Additionally, information about changes to subsidised bus services is communicated to users through Parish Councils and directly to users through the bus service provider.

IPT regularly receives unprompted communication about perceived service requirements or with suggested changes to service provision.

- Research

During contract review, renewal, or when service issues have arisen, IPT often carry out research to be better informed. In addition to collating contractual performance information such as patronage data, it is often necessary to carry out surveys. These are usually carried out face-to-face, on bus, **with service users** to identify who is using a service, and why; survey information is broken down by age, gender and disability as protected characteristic groups.

Additionally, IPT receives feedback from the Citizen's Panel, and also provides on the council's website a generic survey form that seeks comments about bus services and infrastructure provided by the Council. This is also broken down by age, gender and disability as protected characteristic groups.

Research is also undertaken to determine alternative transport service provision, and to inform policy reviews.

- Consultation

During contract review, renewal, or when the council is planning to change subsidised bus services, IPT will consult prior to making decisions.

For larger subsidised service changes, such as in Area Reviews, or significant service reductions, the following stakeholders are generally consulted:

- transport service providers
- Council VCS directory address list
- County Councillors
- town & parish councils
- district councils

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| | <p>- affected bordering local authorities Together with more general notices on the council's website or through press releases</p> <p>For smaller scale service changes, the following stakeholders are generally consulted:</p> <ul style="list-style-type: none"> - transport service providers - County Councillors - town & parish councils <p>- Engagement IPT are often asked to attend transport forums, parish council meetings and specific interest group meeting such as over 50's groups or disability advice groups etc.</p> <p>These are particularly relevant when service changes are being considered, and we will often use them to discuss and listen to opinions, comments, concerns and suggestions, to be better informed.</p> <p>Demographic Income and age tend to have a bearing on an individual's reliance on public transport. Looking at age patterns across the county there tends to be a high concentration of over 60's in market towns compared to the two larger urban areas of Scarborough and Harrogate.</p> <p>Average weekly incomes are the lowest in Scarborough compared to the rest of the county; Harrogate has the highest incomes in the county. Urban areas tend to have lower incomes to their neighbouring rural areas for example Malton has an average weekly income of £560 compared to the rural area directly to the west that has an average income of £690.</p> <p>These two factors suggest that resources for mitigation measures will have greatest impact in the market towns that tend to have a high proportion of over 60's and lower than average incomes. Alongside this</p> |
|--|---|

| | |
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| | <p>Harrogate and Scarborough have a significant number of commercial town services that will not be affected.</p> |
| <p>2.2 What does the information tell you?</p> | <p>Analysis of the data identifies:</p> <ul style="list-style-type: none"> - what transport services already exist to the local service centre - other transport availability - why and when people would like to travel - whether there is an Equalities impact - VFM <p>Specifically that the majority of passengers on subsidised bus services are older people, and that disabled people (as a group) are more likely to be bus users than non-disabled people.</p> <p>We can also see that people living in market towns are more likely to be less well off than people in rural areas, and that different geographic areas of the county have different characteristics in terms of household income.</p> |
| <p>2.3 Are there areas where we need more information? How could we get this information?</p> | <p>It is considered that we are sufficiently informed to make a decision.</p> |
| <p>2.4 How will you monitor progress on your policy/service, or take-up of your service?</p> | <p>Continued monitoring of data received, as described in 2.1.</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?

It is considered that the approach detailed above will identify adverse impacts.

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

It is likely that in most cases, there will be an impact. Wherever possible we will seek to minimise the impact by maintaining at least a minimum level of service or ensuring alternatives are available.

Whilst we will continue to make better use of available funding through

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| | <p>efficiencies and better ways of working, limited funding and the necessity to make savings will inevitably lead to a reduction in what we can do, and how we respond to issues as they arise.</p> <p>Our processes are designed to ensure that the limited funding available is targeted where it is most needed, which in some cases may require us to withdraw or reduce an existing service, in order to meet a greater need elsewhere.</p> <p>Where extensive changes to Bus Services are proposed it will be necessary to do a more specific EqIA.</p> |
| <p>3.3 Can any adverse impact be justified?</p> | <p>It is recognised that we are unable to meet the needs of everyone, and that some people will experience a negative impact, however, the policies and procedures employed are designed to ensure that the limited funding available is directed to where it is most needed, and that the decision making process is open, transparent and fair. Any adverse impact is therefore felt to be justifiable.</p> |
| <p>3.4 Are you planning to consult people on the outcome of this impact assessment?</p> | <p>Outcomes of decisions made are published at a level appropriate to the level of interest raised.</p> <p>As a minimum, information will be fed back through County Councillors, parish or town councils, and other key stakeholders consulted, and published on the County's website.</p> <p>Where there has been media interest, it is likely that we will provide a press release.</p> |
| <p>3.5 How does the service/policy promote equality of opportunity and outcome?</p> | <p>This EIA demonstrates that Equality is taken into consideration when making decisions about the provision of local bus services.</p> <p>The County's procurement process, contract terms and conditions and best practice guides, and compliance checks ensure that service providers are also aware of their responsibilities.</p> |

Alternative Template for Equality Impact Assessment (EIA): evidencing paying due regard to protected characteristics December 2012

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Using Equality Impact Assessments (EIAs) to evidence paying due regard

What does the law require us to do?

The Equality Act 2010 places important legal duties on the council. When carrying out our functions we must pay due regard to the need to:

- stop unlawful discrimination, harassment and victimisation;
- make sure that people have equality of opportunity whether or not they have a particular protected characteristic; and
- build good relations between people who share a protected characteristic and those who don't.

The “protected characteristics” which we must consider are:

- Age
- Disability – including carers
- Sex (gender)
- Race – this includes ethnic or national origins, colour and nationality
- Gender reassignment
- Sexual orientation
- Religion or belief
- Pregnancy and maternity
- Marriage or civil partnership (in terms of preventing discrimination)

Getting this right matters because:

- everyone has a right to fair services;
- we are committed to providing services in a fair way; and
- if we don't get it right we could face a legal challenge which would be expensive and damaging to our reputation even if we won in court.

“Paying due regard” means that we must think rigorously and with an open mind about how what we do is likely to affect people with protected characteristics. We must think about this before we make a decision. We need to make sure that our thinking is based on evidence. Evidence might come from an inspection report, information about practice in other authorities, national research, customer

engagement or feedback, management information. STREAM, our Local Information System, has a lot of useful data. When you complete the EIA template and in particular sections 5 – 8 ask yourself “How do I know this?”

To avoid or defend against legal challenge we must be able to show that our decision makers, whether elected members or officers, consider and understand the likely impacts of their decision on people with one or more protected characteristics. If the evidence suggests that what we propose will make things more difficult for some people with protected characteristics then we must find ways to remove or reduce these adverse impacts. If we can't remove or reduce any adverse impacts we need to reconsider our proposal. Is what we are proposing the only way to achieve our aim? If so, is the intended aim sufficiently important to justify disadvantaging people protected by legislation? If we think this is the case we must take legal advice before we proceed.

As a Council we have also said that we will think about whether people will be affected more by our plans because they live in a rural area or have less money than other people. These characteristics are not protected by Equalities Legislation.

Using the EIA Template

Use this EIA template to guide the process and record your findings. There is more information on the Equality Impact Assessment pages on our intranet. Initiate the process of paying due regard when you begin to think about starting, changing, reducing or stopping a service (or policy, process or function) whether we deliver it directly or through another provider. Complete the process in time for decision makers to consider the findings as part of their decision making process. An assistant director or equivalent must sign off the EIA. As well as providing decision makers with the EIA you should summarise its key findings i.e. probable impacts on people with protected characteristics in the body of any report.

Equality Impact Assessments (EIAs) are public documents. EIAs accompanying reports going to County Councillors for decisions are published with the committee papers on our website and are available in hard copy at the relevant meeting. To help people to find completed EIAs we also publish them in the Equality and Diversity section of our website. This will help people to see for themselves how we have paid due regard in order to meet statutory requirements.

| | |
|---|---|
| Name of the Directorate and Service Area | |
| Brief description of the proposal | To reduce the budget for post 16 transport to schools and colleges by £400k over a 3 year period. |
| Is the proposal to | start a service (or policy, function, process etc)?? |
| | change a service? |
| | reduce a service? |
| | stop a service? |
| Lead Officer and contact details | Andrew Terry, Assistant Director, Access and Inclusion, e-mail andrew.terry@northyorks.gov.uk |
| Names and roles of other people involved in conducting the EIA | Project Team |
| How will you pay due regard? Eg team meetings, working party, project team, individual Officer | Project Team |
| Date due regard process started | Draft completed 28 th June 2013 |
| Date EIA completed | |
| Sign off by Service Head/ Business Unit Head | Ongoing monitoring. |
| Sign off by Assistant Director (or equivalent) | |
| Date of Publication of EIA | |
| Monitoring and review process for EIA | |

| Equality Impact Assessment | | | | | | | |
|---|--|---------|-------|---------|-------|---------|-------|
| <p>Section 1 Brief description of the proposal</p> | <p>To save £400k per annum from the budget for post 16 transport to schools and colleges.</p> <p>This would be achieved in a phased way with savings achieved thus:</p> <table border="0"> <tr> <td>2013/15</td> <td>£120k</td> </tr> <tr> <td>2015/16</td> <td>£200k</td> </tr> <tr> <td>2016/17</td> <td>£ 80k</td> </tr> </table> | 2013/15 | £120k | 2015/16 | £200k | 2016/17 | £ 80k |
| 2013/15 | £120k | | | | | | |
| 2015/16 | £200k | | | | | | |
| 2016/17 | £ 80k | | | | | | |
| <p>Section 2 What will the proposal change?</p> | <p>The charge to parents for a bus or rail pass may increase from the current price of £350 per annum (2012/13). Parents of young people with a statement of special educational needs/Education, Health and Care Plan are exempted from the current charging regime and this will continue to be the case. This is also the case for looked after children and students living on their own who are in receipt of Income Support.</p> | | | | | | |
| <p>Section 3 What is the reason for the proposal?</p> | <p>The reason for the proposal is to achieve the savings target in the Council's medium term financial strategy. It could also achieve the alignment with school and college subsidies for post 16 pupils.</p> | | | | | | |

| | | |
|--|---|---|
| <p>Section 4 Will the proposal have a financial impact (cost or saving)? What will the impact be?</p> | <p>The proposal will achieve a saving of £400k per annum.</p> | |
| <p>Section 5 Is the proposal likely to make things better for anyone because of:</p> | <p>✓</p> | <p>How will it make things better? There will be no benefit to users but there will be a benefit to local community charge payers because costs will be reduced.</p> |
| <p>Age</p> | | |
| <p>Disability</p> | | |
| <p>Section 5 ctd. Is the proposal likely to make things better for anyone because of:</p> | <p>✓</p> | <p>How will it make things better?</p> |
| <p>Sex (Gender)</p> | | |

| | | | |
|---------------------|--|--|--|
| | | | |
| Race | | | |
| Gender reassignment | | | |
| Sexual orientation | | | |

| | | |
|--|---|---------------------------------|
| <p>Section 5 ctd. Is the proposal likely to make things better for anyone because of:</p> | ✓ | How will it make things better? |
| Religion or belief | | |
| Pregnancy or maternity | | |
| Marriage or Civil Partnership | | |
| <p>Section 6 Will the proposal make things better for people who:</p> | ✓ | How will it make things better? |
| live in a rural area | | |
| have a low income | | |

| Section 7 Is the proposal likely to make things worse for anyone because of: | ✓ | How might it make things worse? | How can we reduce or remove this negative impact? | Will there still be a negative impact? |
|---|---|---------------------------------|---|--|
| Age | | | | |
| Disability | | | | |
| Sex (Gender) | | | | |
| Race | | | | |
| Gender reassignment | | | | |

No, all protected characteristics will be equally affected.

| Section 7 ctd Is the proposal likely to make things worse for anyone because of: | ✓ | How might it make things worse? | How can we reduce or remove this negative impact? | Will there still be a negative impact? |
|---|-----|--|--|---|
| Sexual orientation | | | | |
| Religion or belief | | | | |
| Pregnancy or maternity | | | | |
| Marriage or Civil Partnership | | | | |
| Section 8 Will the proposal make things worse for people because they: | ✓ | How might it make things worse? | How can we reduce or remove this negative impact? | Will there still be a negative impact? |
| live in a rural area | Yes | There are fewer alternative public transport services in rural areas so those who live there will be affected to a greater extent. | We could consider the availability of transport services as part of an assessment process but this may be costly and increase the saving required. | |
| are on a low income | Yes | The current charge is flat rate so those on low income are already will be affected to a greater extent. The detail in the final | We could introduce means testing but this would be costly to administer and increase the saving required. Some | |

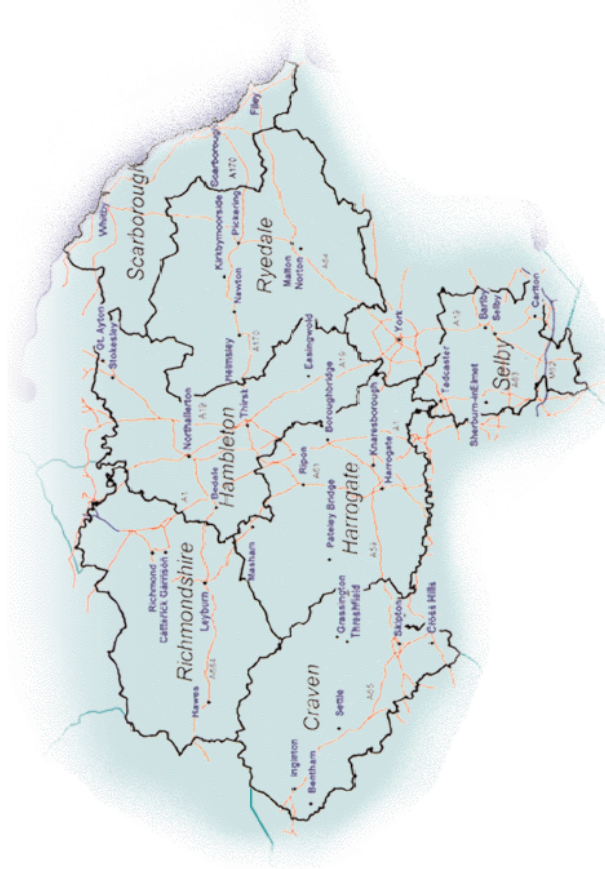
| | | | | |
|--|--|---|---|--|
| | | <p>proposals will be assessed for impact.</p> | <p>assistance may be available for those on low income in receipt of certain benefits, including from 16-19 Discretionary Bursaries, or from the school or college attended. Details are published in line with the local authority's transport policy statement for students in further education aged 16-18, continuing students aged 19 or over and learners with learning difficulties or disabilities.</p> | |
|--|--|---|---|--|

| | | |
|--|-----------|------------------|
| <p>Section 9 Need for justification Look at the final column in section 7.</p> | <p>✓</p> | |
| <p>Will the proposal make things worse for a lot of people with protected characteristics or much worse for even a small number of people with protected characteristics?</p> | <p>No</p> | |
| <p>Can we achieve our aim in another way?</p> | | <p>If ✓ how?</p> |
| <p>If we can't achieve our aim in another way get legal advice on whether the proposal can be justified. We might be able to justify it if what we are doing is the only way to achieve something that we must do or need to do for a very important reason (section 2). If legal advice is taken summarise it here. Decision makers must know what the legal advice is before they take any decision.</p> | | |

| | | | |
|---|--|-----------------------|--------------------------|
| <p>Section 10 If your proposal is implemented how will you monitor it to check how it is working?</p> | <p>Monitoring of the take up of bus passes at the new rate. Continuing dialogue with schools and colleges.</p> | | |
| <p>Section 11 Action Plan Are there actions you need to take as a result of this EIA process? Please include them in the Action Plan below</p> | <p>No.</p> | | |
| <p>Action</p> | <p>Lead Officer</p> | <p>By when</p> | <p>Monitoring</p> |
| | | | |
| | | | |
| | | | |
| | | | |

North Yorkshire

Youth Justice Service



2013-14

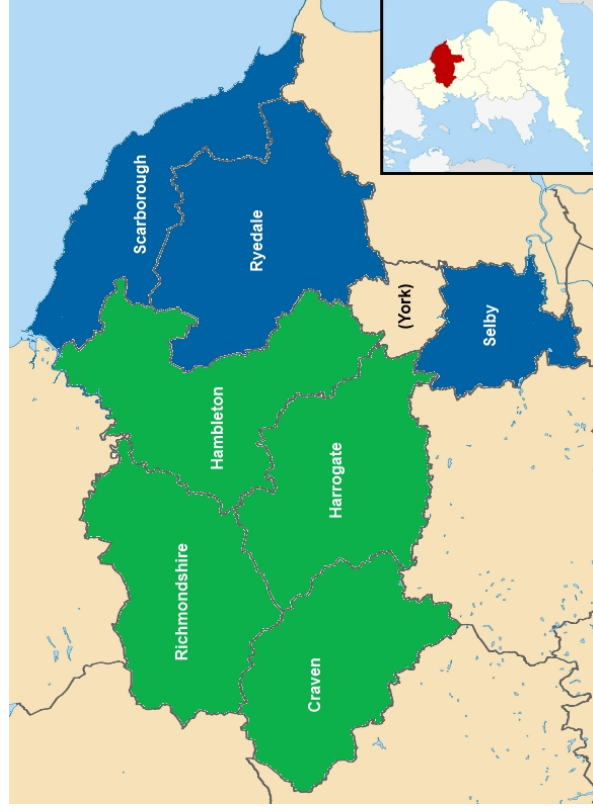
working in partnership to reduce youth crime

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What is a Youth Justice Service?

Youth Offending Teams (known as the Youth Justice Service in North Yorkshire) were set up in 2000 as a result of the Crime and Disorder Act 1998. The act says that the local authority, the police, probation and health services must work together 'to prevent offending and re-offending by children and young people under the age of 18, and to ensure that custody for them is safe, secure and addresses the causes of their offending behaviour'.



Our Teams

In North Yorkshire there are two Area Teams working with young people aged 10-18 years (although supervision of some young people can be up to the age of 20). Our main Area Team offices are in Harrogate and Scarborough, and there are small satellite offices in Selby and Skipton.

Young people are either given out of court disposals such as Youth Cautions and Conditional Cautions, or are on court orders – this may be community orders or custody.

Young people may be sentenced to a Youth Rehabilitation Order (YRO) and have to attend regular appointments with professional staff from the YJS or other services. Young people who have lots of risks and needs are seen more frequently, and given a higher level of support.

Every young person under a YRO will complete an agreed programme of work to help them to stay out of trouble and make better choices. Courts may also add special requirements, for example a night-time curfew, school attendance or a condition that the young person does not mix with specific people who are thought to be a bad influence.

Many of the communities we work in are very rural and distant from our main offices. Our staff are flexible, often using satellite offices, partner facilities and remote working technologies such as laptops and 3G connections in York and Scarborough courts. We



will soon be using a secure video conferencing system which will cut down on the time staff spend travelling and will help us, families and other partners such as schools, to keep in touch with young people who are in custody for example.

Both teams are opening later in the evenings, and providing an increasing range of weekend services to meet the needs of the people we work with.

A pilot Saturday Reporting Centre is working well in Harrogate, and our staff and volunteers frequently deliver evening Referral Panel and group work projects, both in the office and community.

Our People

The YJS has a staff team of professional officers, support workers and admin with a range of seconded, expert staff from Children's Social Care, Education, Police, Probation and Health. We also directly employ specialist posts to lead our work in key areas of service delivery.

Our staff have a broad and diverse mix of skills and expertise, including 20 professionally-qualified Social Workers, 6 Probation Officers, 5 Youth Workers, 3 Teachers, 3 Nurses, 2 Police Constables and a Solicitor. Many other staff hold relevant degree-level qualifications, for example in Criminology, Psychology & Law.



Includes many volunteers.....

Approximately 50 volunteers provide additional services for YJS, working throughout the county in a range of roles. The quality of our volunteers is very high, through careful selection, training and supervision by our Volunteer Co-ordinators.

Volunteer Appropriate Adults have attended over 100 interviews in Police stations in the last year, sometimes working beyond midnight to support a young person through police custody.

Over 2,000 hours of community reparation are ordered by Courts and Referral Panels each year. The majority of this work is completed in small group projects or individual placements, supervised by volunteers.

We are pleased to report that over 70% of Reparation requirements are fully and satisfactorily completed, but we aim to improve on this figure over the coming year.



Staff Training & Development

The YJS benefits from access to NYCC training facilities through Workforce Development, and also commissions specialist training for our specialist needs in youth justice- for example Risk Management and Pre-Sentence Report Writing.

We conduct joint training and development with the staff of partner agencies, improving our practice and helping us all work together better with troubled teenagers. Key YJS staff have been accredited as trainers or facilitators for Restorative Justice, Parenting Programmes and other themes.

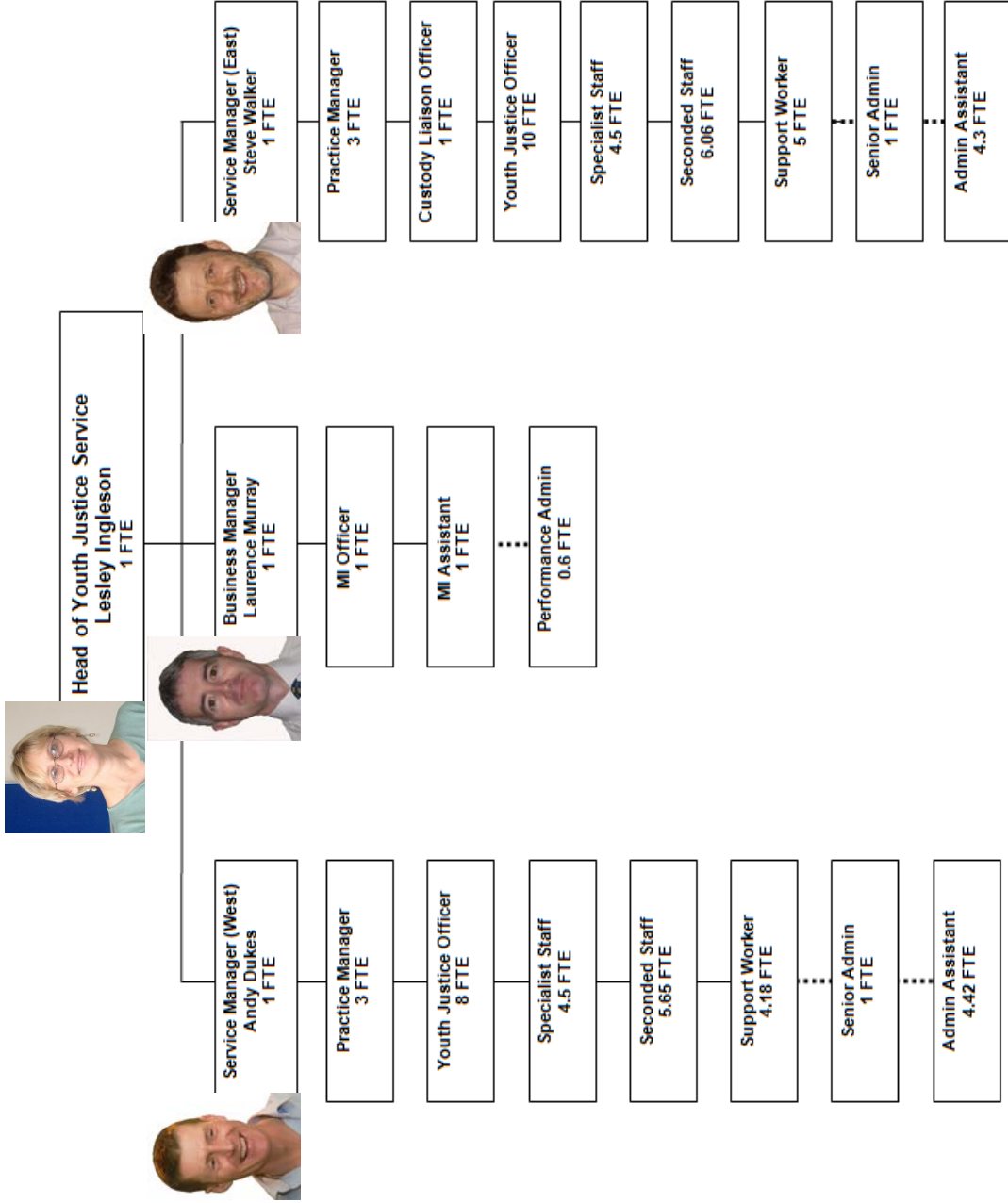
We have a pro-learning team culture, with a number of student placements (Social Work, Drama Therapy & Youth Work).

Access to the Youth Justice Board's online Youth Justice Interactive Learning System (YJILS) provides a range of specialist practice modules created by Open University & YJB experts.

A number of our staff have developed their skills and knowledge by being placed with local Children's Social Care teams for up to six months. We are supporting two other staff currently to undertake formal social work training through a salary sacrifice scheme.

The YJS has a Workforce Development Plan in place to help us continue our investment in high quality support, supervision and training of staff.





Youth Justice Service Staff (by Headcount)

| | Strategic Manager (PT) | Strategic Manager (FT) | Operational Manager (PT) | Operational Manager (FT) | Practitioners (PT) | Practitioners (FT) | Admin Support (PT) | Admin Support (FT) | Sessional Workers | Volunteers | Total |
|--|---------------------------|---------------------------|--------------------------------|--------------------------------|-----------------------|-----------------------|--------------------------|--------------------------|----------------------|------------|--------------|
| Permanent | 1 | | 4 | 7 | 17 | 25 | 8 | 8 | | | 70 |
| Fixed-term | | | | | | | | | | | |
| Outsourced | | | | | | | | | | | |
| Temporary | | | | | | | | | 12 | 44 | 56 |
| Vacant | | | | | 1 | 4 | | | | | 5 |
| Seconded Children's Services Social Workers | | | | | | 3 | | | | | 3 |
| Seconded Probation Officers | | | | | | 2 | | | | | 2 |
| Seconded Police Officers | | | | | | 2 | | | | | 2 |
| Seconded Health Workers | | | | 3 | | | | | | | 3 |
| Seconded Education Liaison Workers | | | | | | 2 | | | | | 2 |
| TOTAL | 1 | | 4 | 7 | 21 | 38 | 8 | 8 | 12 | 44 | 143 |
| Disabled (self-classified) | | | | | | | | | | | 1 |

Youth Justice Service Staff (by Gender and Ethnicity)

| | Managers Strategic | | Managers Operational | | Practitioners | | Administrative | | Sessional | | Volunteers | | Total | |
|-------------------------|--------------------|---|----------------------|---|---------------|----|----------------|----|-----------|---|------------|----|-------|----|
| | M | F | M | F | M | F | M | F | M | F | M | F | M | F |
| White British | | 1 | 5 | 5 | 15 | 35 | 2 | 14 | 3 | 9 | 18 | 24 | 43 | 88 |
| White Irish | | | | | 1 | | | | | | | | 1 | |
| Other White | | | | | | 1 | | | | | | | | 1 |
| White & Black Caribbean | | | | | | | | | | | | | | |
| White & Black African | | | | | | | | | | | | | | |
| White & Asian | | | | | | | | | | | | | | |
| Other Mixed | | | | | | 1 | | | | | | | | 1 |
| Indian | | | | | | 1 | | | | | | | | 1 |
| Pakistani | | | | | | | | | | | | | | |
| Bangladeshi | | | | | | | | | | | | | | |
| Other Asian | | | | | | | | | | | | 1 | | 1 |
| Caribbean | | | 1 | | | | | | | | | | | 1 |
| African | | | | | | | | | | | | | | |
| Other Black | | | | | | | | | | | | 1 | | 1 |
| Chinese | | | | | | | | | | | | | | |
| Any other ethnic group | | | | | | | | | | | | | | |
| TOTAL | | 1 | 6 | 5 | 16 | 38 | 2 | 14 | 3 | 9 | 18 | 26 | 44 | 94 |

The Young People We Work With.....

The challenge within North Yorkshire is how to make sure our resources reach those who need them. North Yorkshire is England's largest county, stretching from the North Sea Coast to within 12 miles of Morecambe Bay, and from south of the M62 to the edge of Teesside. North Yorkshire is sparsely populated, with its 10-17 population of 56,835 (Census 2011) spread across an area covering 3,000 square miles. Approximately 32% of North Yorkshire's population live in sparse areas and 24% in areas defined as 'super sparse' with fewer than 0.5 people per hectare. Additionally, significant pockets of deprivation are found in communities such as Scarborough and Selby.

Although only approximately 4.6% of the 10-17 year old population are Black Minority Ethnic (BME) (ONS 2009 Mid-Year Estimate), the five broad ethnicity headings do not take account of the percentage of the 'White' community who may be recent immigrants from Eastern Europe or members of the travelling community. There are parts of Craven District with a larger ethnic minority population when compared to the rest of the county.

| | 10-17 Population | % White British | % White Irish | % White Other | % Mixed Race | % Asian or Asian British | % Black or Black British | % Chinese or Other Ethnic Group | TOTAL |
|-----------------|---------------------|-----------------------|------------------|------------------|-----------------|-----------------------------------|-----------------------------------|--|-------|
| Craven | 5,422 | 89.8 | 0.2 | 1.6 | 1.8 | 5.4 | 0.4 | 0.8 | 100.0 |
| Hambleton | 8,340 | 96.0 | 0.1 | 1.2 | 1.3 | 0.8 | 0.3 | 0.3 | 100.0 |
| Harrogate | 15,580 | 90.2 | 0.2 | 4.2 | 1.9 | 1.4 | 0.6 | 1.5 | 100.0 |
| Richmondshire | 4,752 | 93.2 | 0.3 | 1.5 | 1.6 | 2.4 | 0.6 | 0.4 | 100.0 |
| Ryedale | 5,152 | 94.2 | 0.1 | 1.9 | 1.5 | 1.2 | 0.6 | 0.5 | 100.0 |
| Scarborough | 9,542 | 94.4 | 0.1 | 1.6 | 1.4 | 1.7 | 0.5 | 0.3 | 100.0 |
| Selby | 8,047 | 95.4 | 0.1 | 1.1 | 1.2 | 1.6 | 0.3 | 0.3 | 100.0 |
| North Yorkshire | 56,835 | 93.0 | 0.2 | 2.2 | 1.6 | 1.8 | 0.5 | 0.7 | 100.0 |

Our Funding

Partnership funding has remained stable over recent years, and all our partners (NYCC, Police, Health and Probation) have indicated an intention to continue funding at the same level as in 2012/13.

The YJS also gets a grant from the Youth Justice Board, however this funding has been reduced by £91,387 (8.8%).

Finally, approximately £142,990 of money from the Home Office, which was previously part of our YJB grant, has been transferred to the Police and Crime Commissioner (PCC). This is one of a number of grants pooled into one Community Safety Grant. Successful negotiations with the PCC have resulted in this grant being 'returned' to the YJS in 2013-14. The PCC is now a key funding partner along with the other partners listed above.

The YJS will ensure that any commissioning and decommissioning of our services is user focused, is based on evidence and need, and is value for money. We want to be efficient whilst still improving outcomes.

Budget 2013/14

Youth Justice Board Grant
Partner Funding

£ 947,101
£ 1,972,885
£ 2,919,986



How Well Do We Perform in North Yorkshire?

The Government has 3 priorities it wants us to achieve:

1. Stop young people from becoming offenders: ✓

The number of children and young people who enter the criminal justice system for the first time has been going down for the past three years. From October 2011 to September 2012, the numbers reduced by another 23%. North Yorkshire has many less children entering the criminal justice system than in other similar areas of the country.

2. Stop young people from committing more crime:

We measure this by tracking the young people we work with over a 12 month period to see if they commit any new offences. This takes time and the most recent data available relates to the period April 2010 to March 2011. This shows there has been a rise in re-offending in North Yorkshire and this is also the case nationally and regionally. In North Yorkshire 34.7% of the young people we worked with in this period went on to commit another offence within 12 months. In other similar areas the average was 32.4%, with the national figure being 35.8%.

We believe this is for a number of different reasons: the economic climate and rising poverty; because we are keeping young people who commit minor offences out of the criminal justice system (and these young people would be the ones less likely to re-offend); and because we are working with more difficult and challenging young people out in the community who might otherwise have been in custody.

3. Keep young people out of custody: ✓

Custody rates in North Yorkshire have stayed low and reduced by 30% in January – December 2012 compared to the previous year. We were also successful in reducing the number of nights that young people were remanded into custody awaiting trial or sentence – this was down from 2078 nights to only 695 last year, a 67% reduction. We aim to ensure that custody is only used for young people who have committed very serious crimes or where it is necessary to protect the public from serious harm.

The Youth Justice Service Management Board

The North Yorkshire Youth Justice Service Management Board comprises senior management representatives of all the partner funding agencies and other strategically important organisations. Pete Dwyer, newly appointed Director of Children's Services took up his role as Chair of the Board in June 2013.

The Management Board is committed and dynamic, and members provide appropriate challenge and direction to the YJS. Board meetings are every 3 months at which attendance is very good. It is the role of the Chair of the Board to ensure that there is a comprehensive approach with emphasis on strategy, rather than narrowly focusing on performance matters.

As a number of Board Members and the Head of YJS sit on other key strategic groups including the Children's Trust Board, Local Criminal Justice Board, Safer Communities Forum, the Safeguarding Board, Reducing Re-offending Board and MAPPA, this ensures that planning is joined up and that the needs of children and young people in the criminal justice system are seen as a priority.

Who are the YJS Management Board Members?

| | | |
|---------------------------|--|--------------------------------------|
| Pete Dwyer (Chair) | Corporate Director Children's Services | North Yorkshire County Council |
| Judith Hay (Deputy Chair) | Assistant Director | Children's Social Care, NYCC |
| Alan Clifton | Head Teacher Virtual School | Children's Social Care, NYCC |
| Leanne McConnell | Head of Criminal Justice | North Yorkshire Police |
| Louise Dunn | Principal Officer | Youth Support Services, NYCC |
| Martin Fozard | Court Legal Advisor | HM Courts and Tribunals Service |
| Joanne James | Service Manager | CAMHS |
| Louise Johnson | Area Director | North Yorkshire Probation |
| George Lee | Senior Commissioning Manager | Health |
| Julia Mulligan | Police & Crime Commissioner | Police & Crime Commissioner's Office |
| Howard Emmett | Finance Manager | CYPS, NYCC |

Cllr Tony Hall, Lead Member for Children & Young People also attends Board meetings.



North Yorkshire's Children and Young People's Plan 2011-2014



Partnership Working Across North Yorkshire

The Children's Trust Board has a key role in preventing youth crime and re-offending, and receives reports from the Head of YJS on a regular basis. The Board has a Youth Crime Prevention strategy and a Risky Behaviours strategy which is aimed at reducing teenage pregnancies, alcohol and drug misuse.

The Youth Support Service was re-structured in 2011, creating additional Targeted Youth Support Workers, and this service remains the lead agency for delivering targeted early preventative work to young people with risky behaviours who are on the edge of crime.

The Children and Young People's Plan fully reflects the needs of young people in the criminal justice system and has a focus on:

- High risk, multiply vulnerable teenagers
- Reducing re-offending
- Homeless young people
- Education, Training and Employment needs
- Reducing custody use
- Keeping children and young people out of the criminal justice system where appropriate

Police and Crime Commissioner

The election of Julia Mulligan as North Yorkshire's first Police and Crime Commissioner introduces an important element of local planning and accountability across the criminal justice services. We will be working with partners to support and deliver the Commissioner's Police and Crime Plan 2013-17.



Early Intervention to Divert from Crime

Most children and young people who commit an offence will never go on to commit more crime. For most it is better to divert them away from the criminal justice system while still making sure that they are held to account for their actions. Where young people have assessed needs, we will ensure that services are in place to meet these needs.

The YJS works closely with the Police and the Youth Support Service to deliver diversion schemes - known as Out of Court Disposals. This might be a Community Restorative Disposal, a Youth Caution or a Conditional Caution. The young person might have to undertake work to repair or make good some damage caused, or apologise to a victim. Sometimes this is face to face, sometimes by letter. It may also involve attending alcohol or drug counselling or working with other services on other identified needs.

The needs and wishes of victims are central to this approach and the YJS has Victim Liaison Officers who reach out to victims and to support them in expressing their wishes & feelings. Victim Liaison Officers also act as a critical friend for YJS case managers, keeping the victim's safety and welfare at the heart of all our casework.

To ensure that Out of Court Disposals are used fairly, the YJS will work with the Police and other key partners to set up a Scrutiny Panel to monitor and review usage across the county.

Transitions: Youth to Adulthood

As young people move into adulthood, they can experience many changes. They may move from YJS to Probation, from fostering or residential care into independence. The change from young people friendly services to adult provision can be a difficult one. For some it can be like falling off a cliff edge and can increase risks both to them and the public.

In North Yorkshire the YJS works closely with other key services to improve assessments, joint working and provision for those aged 17 to 24 years. Approximately 45% of the young people we work with in the YJS are aged 17 years and over.



Accommodation Needs of Young People

A countywide accommodation pathway for 16 to 25 year olds was launched in November 2011. Local Hubs were set up staffed both by District Council Housing and Children's Social Care.

These Hubs provide a single point of access to accommodation services for young people who are at risk of being homeless. Each Hub has a multi-agency team to provide information, advice, assessment and mediation to prevent homelessness. Where needed the Hubs provide access to planned or emergency accommodation and support.

92% of all young people who are at risk of being made homeless are supported either to return home or safely into independent living. However we know that we need more accommodation for young people with high need and this is something which the partnership is currently addressing.

Making Communities Safer

The YJS works in partnership with the Police and Crime Commissioner, NYCC, the Community Safety Partnerships (CSPs), and the York and North Yorkshire Safer Communities Forum to reduce crime, anti-social behaviour and the fear of crime in communities.

Together we will deliver priorities identified in the Police and Crime Plan and focus on how to reduce re-offending and tackle the causes of crime. For those young people who cause most harm to communities and commit most offences, Deter Young Offender Panels meet regularly to agree shared plans for managing and supporting those young people.



York & North Yorkshire Safer
Communities Forum

Keeping Children and Young People Safe

Young people in the criminal justice system are especially vulnerable. Many have been in care or have had a child protection plan, have special educational needs, poor communication skills or emotional and mental health needs. This is especially true of many young people in custody.

The Head of YJS is a member of the Local Safeguarding Children's board and the YJS works with partners on a number of specific task groups to improve outcomes for young people:

- *Children who go Missing From Home*
- *Young people who commit sexual offences*
- *Children at risk of Child Sexual Exploitation*
 - *MAPPA (Multi-Agency Public Protection Arrangements)*
 - *Speech, Language and Communication Needs*
 - *Education, Training and Employment*
 - *Accommodation and homelessness*
 - *Alcohol and drug use*

Engaging Young People and Promoting Participation

The views of young people we work with are important to us and need to be heard if we are to improve our services and meet their needs. We want to do this more effectively and have launched 'Viewpoint' across the service.

The logo for ViewPOINT features the word "ViewPOINT" in a blue, serif font. The "View" is in a smaller, lowercase font, while "POINT" is in a larger, uppercase font. The letters are set against a light blue, rectangular background.

Viewpoint is an interactive tool which young people use on the internet to share their views - what is going well for them, what their difficulties are, what needs to change.

As well as helping to monitor the progress individual young people make, Viewpoint will provide YJS with a variety of different reports that will help us improve our service.

A group of young people in Harrogate are filming a DVD to help train our Referral Panel Members. The DVD can also be shared with other young people to give them information about Referral Orders and what to expect, and will be available on our website.

The YJS uses Compliance Meetings whenever a young person has not been co-operating with their court order and is at risk of being returned to court for breach. The meetings are a way of looking again with the young person and their family at what is required, listening to what changes might be needed and thinking about how we can help the young person complete the order successfully.

Recent Feedback from



Young People and Parents

“My daughter has done something stupid, but ...her YJS Officer has been very supportive. She has told her she has made a mistake, but is helping her to put things right.”

“I’ve enjoyed it (the work with YJS) and found it has changed me. Thank you... for making me understand.”

“I do appreciate what (staff) do for me and I know I can get support when I need it.”

What did you find most helpful? : “ The fact that everyone believed in me.”

“I feel that the YJS has helped me a lot; they have helped me stay out of trouble and kept me from re-offending. They have taught me to be a better person, they helped me meet new people and learn new skills.”

“YJS completed an assessment and agreed what we were going to do and did exactly what they said they would do. They did exactly what it says on the tin”

Our Priorities for 2013-14

In addition to those areas of work which are already outlined, and which we will continue to work on with our key partner agencies, there are other important challenges facing us in the future.

▪ *Reduction of Crime*

“targeting those who repeatedly offend and present the highest risk...”

We will reduce re-offending, by targeting those young people who repeatedly offend and present the highest risk. The use of alcohol and drugs is a key risk factor, and we will work with other services to tackle the harm caused to young people and communities.

We know that young people are less likely to commit crime if they are in full-time Education, Training and Employment. The Youth Justice Service will continue to work closely with the Behaviour Partnership strategic group and with Pupil Referral Units to improve access and attendance to provision for school-aged young people.

If successful against this priority we will see :

- A 10% reduction in the frequency and a reduction in seriousness of offending by prolific young offenders
- organisations working well together to deliver young people’s alcohol and drug services in line with an agreed strategy
- 100% of young people with tier 3 substance misuse needs receiving an intervention within 15 working days
- 95% of young people with substance misuse needs having a discharge plan when exiting our service

■ *Young People in Custody*

We will keep our focus on young people who are in or at risk of custody and will review YJS and Children's Social Care strategies for responding in Court when young people are facing an emergency remand. In January 2013 we appointed a Custody Liaison Officer who is working with partners, in particular Children's Social Care and the secure estate, to improve assessments of young people and to make sure that the services they need on release are in place. We will evaluate the success of this post in December, as funding is temporary until 31.3.14.

“ focus on young people who are in or at risk of custody ... ”

If we are successful, the evaluation will demonstrate that :

- Custodial detention is being diverted wherever possible through provision of robust, defensible community alternatives.
- Young people who must be detained are supported by swift, co-ordinated multi-agency planning for their placement and detention.
- Effective resettlement planning is demonstrated by seamless transition to community provision, leading to 10% fewer young people returning to custody through Breach or Re-offending.

▪ *Improving our Practice – Restorative Justice and Victim Engagement*

A major review of Referral Panel practice will be completed in 2013. We will also be implementing new National Standards and the YJB Panel Matters training framework.

Restorative Practice and reparation that is meaningful to victims is integral to this new approach, and all Panel Members and YJS practitioners will be trained to an accredited Restorative Justice level.

“Restorative Practice is integral...”

Critically, we will improve on levels of victim satisfaction and engagement and will contribute to the creation of a new ‘Victims Charter’. Particular consideration will be given to the needs of victims of hate crime. National research indicates that 80% of victims do not want any information, advice or support from the state or from other sources. We are committed to identifying the 20% who do, and ensuring that they receive the information, advice and support they need.

- Successful delivery of this priority will be demonstrated by full delivery of the national YJB training and development programme for Referral Panels and Restorative Justice.
- By April 2014, at least 20% of victims of youth crime will be receiving services from the YJS, and 80% will express satisfaction with those services.
- Successful completion of reparation in Referral Orders will increase from 70% to 80%.

▪ *Out of Court Disposals*

Youth Cautions and Youth Conditional Cautions were introduced in April 2013 and the YJS along with Police and Youth Support Services have been meeting to ensure that processes and systems are in place to assess children and young people and to make sure that services are available to meet their needs and the needs of victims. Some young people can be diverted from the criminal justice system at a very early stage by means of a Community Restorative Disposal.

The YJS will support the development of a Scrutiny Panel to monitor and review how this range of disposals are used – making sure that the decisions that are made are the right ones, and that actions taken are effective in reducing crime.

*“Some young people
can be diverted from
the criminal justice
system...”*

If successful against this priority we will

- see fewer children and young people entering the criminal justice system
- establish transparent and consistent decision-making which maintains the confidence of both the public and courts
- develop an agreed performance framework which will help us measure the effectiveness of early intervention and diversion, including completion rates of Youth Conditional Cautions and engagement levels of victims.

▪ Child Sexual Exploitation

Child sexual exploitation (CSE) is a form of child abuse that remains hidden but is far more widespread than is recognised. Young people in the criminal justice system are especially vulnerable and their sometimes reckless and risky behaviour can be misinterpreted as a lifestyle choice. We will not make this mistake - we will protect our young people to the best of our ability, regardless of how hard they are to engage.

Together with our partners we need to better identify and prevent incidents of CSE. To achieve this we need to raise awareness of the problem, train staff to spot telltale signs, and establish systems for collecting and mapping data so that we understand the scale and nature of the problem across North Yorkshire.

NYCC has identified £192,000 to progress this work over the next 2 years which will be used to invest in work with young people, community groups and across agencies to take this work forward and develop services.

“ identify and prevent child sexual exploitation...”

If successful against this priority we will :

- Raise the awareness and understanding of staff and members of the public to help them identify and report concerns of child sexual exploitation.
- 100% of Youth Justice Officers will be trained in CSE.
- There will be systems in place to capture and map data and to deter and disrupt activity.
- All young people who are open to the YJS who go missing from home will receive an interview on their return.

■ Re-shaping Services

“ less funding this year, further savings in the future “

We know there is less funding available this year and that the service will need to make further savings in the future. The YJS and its Management Board will review what services we deliver, how these are delivered, and where savings can be made. While ensuring value for money, we will also clarify what we can no longer provide and what the implications and risks of any changes might be.

As part of this review we will consider team structures and which models work best across a county as rural as North Yorkshire. The West Team currently operates a geographical patch-based model, while the East has recently split into two staff groups - one managing high-end interventions such as custody, Intensive Supervision and Surveillance, Deter and MAPPA, the other focussing on the greater number of low to medium risk cases, developing restorative practice, group work, and supporting out of court disposals. We will tailor our services to meet the needs of the communities we serve.

“ tailor services to meet the needs of the communities we serve”

If successful against this priority we will :

- achieve the savings required to balance our budget in 2014-15
- establish agreement across the YJS partnership about how services are prioritised and delivered to young people in the criminal justice system

Workforce Development

*“ Our staff
remain our most
important
resource....”*

Our staff remain our most important resource, without who delivery of this plan would not be possible. Our commitment to providing high quality, reflective supervision, training and staff development will be maintained.

This will include ‘Respect’ training to support our work with young people who are perpetrating domestic abuse, Restorative Practice training and increasing awareness and skills of the YJS workforce to recognise signs of mental health problems, including emerging and actual personality disorders.

If successful against this priority we will maintain a motivated and positive workforce, evidenced by

- Low levels of sickness absence
- Low levels of staff turn-over and vacancy rates
- Delivery of staff training as outlined in the YJS Workforce Development Plan 2013-14

Management Board signatures:

Pete Dwyer, Director of Children's Services and Chair of Board:

Judith Hay, Assistant Director CSC:

Alan Clifton, Head Teacher, Virtual School:

Leanne McConnell, Head of Criminal Justice, North Yorkshire Police:

Louise Dunn, Principal Officer, Integrated Youth Support:

Martin Fozard, Court Legal Advisor:

Louise Johnson, Director Probation Service:

George Lee, Senior Commissioning Manager, PCT:

Joanne James, Service Manager, CAMHS:

Howard Emmett: Finance Manager, CYPS

Julia Mulligan: PCC

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| Yorkshire Coast and Moors County Area Committee | 4 3 1 | Scarborough Borough Council, together with 1 named substitute Parish Councillors Seachange Community Trust, together with one substitute. |
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Overview and Scrutiny Committees

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| Care and Independence | CASLING, Liz to replace SANDERSON, Janet BURR, Lindsay to replace HOULT, Bill ENGLISH, Polly GRIFFITHS, Bryn JONES, Anne BILLING, David 3 non-statutory co-optees to be retained | Conservative Group Liberal Democrat Group 1 st Substitute for Liberal Democrat Group 2 nd Substitute for Liberal Democrat Group 3 rd Substitute for Liberal Democrat Group 1 st Substitute for Labour 2 representatives of the voluntary sector, to be determined by an election carried out by the North Yorkshire and York Forum 1 representative from the independent sector, to be Nominated by the Independent Care Group |
| Corporate and Partnerships | HOULT, Bill DE COURCEY-BAYLEY, Margaret-Ann | 1 st Substitute for Liberal Democrat Group 2 nd Substitute for Liberal Democrat Group |
| Transport, Economy and Environment | HOULT, Bill DE COURCEY-BAYLEY, Margaret-Ann JONES, Anne BROADBENT, Eric | 1 st Substitute for Liberal Democrat Group 2 nd Substitute for Liberal Democrat Group 3 rd Substitute for Liberal Democrat Group 1 st Substitute for Labour |

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| <p>Scrutiny of Health</p> | <p>PEARSON, Chris to replace HARRISON, Michael.</p> <p>GOSS, Andrew SHIELDS, Elizabeth</p> <p>MARSHALL, Brian</p> <p>ROBERTS, John (member) STAVELEY, David (substitute)</p> <p>BILLINGS, K (member) BARDON, P (substitute) BLADES, D (substitute)</p> <p>GALLOWAY, Ian (member) FLYNN, Helen (substitute)</p> <p>PELTON, Tony (member) JOHNSON, Rob (substitute)</p> <p>RAPER, John (member) SHIELDS, Elizabeth (substitute)</p> <p>MORTIMER, Jane (member) JENKINSON, Andrew(substitute).</p> <p>MCSHERRY, Kay (member) DYSON, M (substitute)</p> | <p>Conservative Group</p> <p>1st Substitute for Liberal Democrat Group 2nd Substitute for Liberal Democrat Group</p> <p>1st Substitute for Labour</p> <p>Craven District Council Craven District Council</p> <p>Hambleton District Council Hambleton District Council Hambleton District Council</p> <p>Harrogate Borough Council Harrogate Borough Council</p> <p>Richmondshire District Council Richmondshire District Council</p> <p>Ryedale District Council Ryedale District Council</p> <p>Scarborough Borough Council Scarborough Borough Council</p> <p>Selby District Council Selby District Council</p> |
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| Pension Fund Committee | HOULT, Bill DE COURCEY-BAYLEY, Margaret-Ann | 1 st Substitute for Liberal Democrat Group 2 nd Substitute for Liberal Democrat Group |
| Planning and Regulatory Committee | CLARK, Jim - Harrogate Borough Council VACANT GOSS, Andrew JONES, Anne GRIFFITHS, Bryn BROADBENT, Eric SHIELDS, Elizabeth | District Council Representative District Council Substitute Representative 1 st Substitute for Liberal Democrat Group 2 nd Substitute for Liberal Democrat Group 3 rd Substitute for Liberal Democrat Group 1 st Substitute for Labour 1 st Substitute for Liberal Democrat Group |
| Standards Committee | | |

For information:

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| Police and Crime Panel | ROBSON, Mark CUNNINGHAM-CROSS, Lindsay FLYNN, Helen | Hambleton District Council representative City of York Council representative Harrogate Borough Council representative |
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| <p>Health and Wellbeing Board</p> | <p>WEIGHHELL, John - no longer serving on this committee</p> <p>WOOD, Clare</p> <p>BLOOR, Amanda</p> <p>MACKENZIE, Don has joined the committee</p> <p>BLACKIE, John</p> <p>WAGGOT, Janet</p> <p>ELLIS, Melvyn (member)</p> <p>ITA, David (substitute)</p> <p>BARKLEY, Martin – Chief Executive Tees, Esk and Wear Valleys NHS Foundation Trust (member)</p> <p>Adele Coulthard (substitute)</p> <p>ORD, Richard – Chief Executive Harrogate Hospital (member)</p> | <p>Leader of the County Council</p> <p>Chairman - Executive Member for adult social care and health integration</p> <p>Vice-Chairman Harrogate & Rural District CCG (Stat)</p> <p>Recently created Executive Member for public health and prevention</p> <p>Elected Member District Council representative</p> <p>Chief Officer District Council representative</p> <p>HealthWatch representative</p> <p>HealthWatch representative</p> <p>Mental Health Trust representative (now with full voting rights)</p> <p>Mental Health Trust representative (now with full voting rights)</p> <p>Acute and Community Health Trust representative (now with full voting rights)</p> |
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Outside Bodies

Recommendation from Harrogate Area Committee:

That the Greenhow Enhancement Fund be added as a Category 3 outside body to the Constitution to which Harrogate Area Committee appoints one Trustee.