



SCRUTINY BOARD (CENTRAL AND CORPORATE)

**Meeting to be held in Civic Hall, Leeds on
Monday, 6th July, 2009 at 10.00 am**

(A pre-meeting will take place for ALL Members of the Board at 9.30 a.m.)

MEMBERSHIP

Councillors

- P Grahame (Chair) - Cross Gates and Whinmoor;
J Bale - Guiseley and Rawdon;
S Bentley - Weetwood;
B Chastney - Weetwood;
P Ewens - Hyde Park and Woodhouse;
M Hamilton - Headingley;
A Hussain - Gipton and Harehills;
V Kendall - Roundhay;
J Lewis - Kippax and Methley;
A Lowe - Armley;
A McKenna - Garforth and Swillington;
A Parnham - Farnley and Wortley;
D Schofield - Temple Newsam;

**Agenda compiled by:
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A G E N D A

Item No	Ward/Equal Opportunities	Item Not Open		Page No
1			<p>APPEALS AGAINST REFUSAL OF INSPECTION OF DOCUMENTS</p> <p>To consider any appeals in accordance with Procedure Rule 25* of the Access to Information Procedure Rules (in the event of an Appeal the press and public will be excluded).</p> <p>(* In accordance with Procedure Rule 25, notice of an appeal must be received in writing by the Chief Democratic Services Officer at least 24 hours before the meeting).</p>	
2			<p>EXEMPT INFORMATION - POSSIBLE EXCLUSION OF THE PRESS AND PUBLIC</p> <p>1 To highlight reports or appendices which officers have identified as containing exempt information, and where officers consider that the public interest in maintaining the exemption outweighs the public interest in disclosing the information, for the reasons outlined in the report.</p> <p>2 To consider whether or not to accept the officers recommendation in respect of the above information.</p> <p>3 If so, to formally pass the following resolution:-</p> <p>RESOLVED – That the press and public be excluded from the meeting during consideration of the following parts of the agenda designated as containing exempt information on the grounds that it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that if members of the press and public were present there would be disclosure to them of exempt information, as follows:- No exempt items on this agenda.</p>	

Item No	Ward/Equal Opportunities	Item Not Open		Page No
3			<p>LATE ITEMS</p> <p>To identify items which have been admitted to the agenda by the Chair for consideration.</p> <p>(The special circumstances shall be specified in the minutes.)</p>	
4			<p>DECLARATIONS OF INTEREST</p> <p>To declare any personal / prejudicial interests for the purpose of Section 81 (3) of the Local Government Act 2000 and paragraphs 8 to 12 of the Members Code of Conduct.</p>	
5			<p>APOLOGIES FOR ABSENCE</p> <p>To receive any apologies for absence.</p>	
6			<p>MINUTES - 8TH JUNE 2009</p> <p>To confirm as a correct record the attached minutes of the meeting held on 8th June 2009.</p>	1 - 6
7			<p>RECOMMENDATION TRACKING</p> <p>To receive and consider the attached report of the Head of Scrutiny and Member Development.</p>	7 - 16
8			<p>GAMBLING ACT 2005 - STATEMENT OF LICENSING POLICY - CONSULTATION PROCESS</p> <p>To receive and consider the attached report of the Assistant Chief Executive (Corporate Governance).</p>	17 - 94
9			<p>FINANCIAL PERFORMANCE - OUTTURN 2008/09</p> <p>To receive and consider the attached report of the Director of Resources.</p>	95 - 124

Item No	Ward/Equal Opportunities	Item Not Open		Page No
10			<p>COUNCIL BUSINESS PLAN PERFORMANCE REPORT - QUARTER 4 2008/09</p> <p>To receive and consider the attached report of the Head of Policy, Performance and Improvement.</p>	125 - 172
11			<p>DEVELOPMENT OF A CORPORATE INTERACTIVE VOICE RESPONSE (IVR) SOLUTION</p> <p>To receive and consider the attached report of the Assistant Chief Executive (Planning, Policy and Improvement).</p>	173 - 200
12			<p>WORK PROGRAMME, FORWARD PLAN OF KEY DECISIONS AND EXECUTIVE BOARD MINUTES</p> <p>To receive and consider the attached report of the Head of Scrutiny and Member Development.</p>	201 - 224
13			<p>DATES AND TIMES OF FUTURE MEETINGS</p> <p>Monday 7th September 2009 Monday 5th October 2009 Monday 2nd November 2009 Monday 7th December 2009 Monday 11th January 2010* Monday 1st February 2010 Monday 1st March 2010 Monday 29th March 2010</p> <p>All at 10.00am (Pre-Meetings at 9.30am), except *11th January (14.00, Pre-Meeting at 13.30) .</p>	

Agenda Item 6

SCRUTINY BOARD (CENTRAL AND CORPORATE)

MONDAY, 8TH JUNE, 2009

PRESENT: Councillor P Grahame in the Chair

Councillors J Bale, S Bentley, P Ewens,
M Hamilton, A Hussain, V Kendall, J Lewis,
A Lowe, A Parnham and D Schofield

1 Chair's Welcome

The Chair welcomed Members and officers to the first meeting of the Board in the 2009/10 municipal year, and Members and officers introduced themselves.

2 Declarations of Interest

No declarations of interest were made.

3 Apologies for Absence

Apologies for absence from the meeting were submitted on behalf of Councillors B Chastney and A McKenna.

4 Minutes - 6th, 9th and 29th April 2009

RESOLVED – That the minutes of the meetings held on 6th, 9th and 29th April 2009 be confirmed as a correct record.

5 Changes to the Council's Constitution in relation to Scrutiny

The Head of Scrutiny and Member Development submitted an information report regarding recent changes to the scrutiny function, approved at the Annual Council Meeting on 21st May 2009. These related to Councillor Calls for Action provisions, arrangements for the scrutiny of crime and disorder matters, scrutiny of matters referred by the Local Involvement Network (LINK), the successor bodies to the Patient and Public Involvement Forums, responses to Scrutiny Board Inquiry reports and scrutiny of the Council's partner organisations.

RESOLVED – That the report be noted.

6 Co-opted Members

The Head of Scrutiny and Member Development submitted a report relating specifically to the recommendations of KPMG (the Council's external auditors) in respect of the appointment of co-optees onto Scrutiny Boards, submitted as

Draft minutes to be approved at the meeting
to be held on Monday, 6th July, 2009

part of their review of the Council's overview and scrutiny function carried out during their 2008/09 audit of the Council.

RESOLVED –

- (a) That the report be noted;
- (b) That the Board consider on an ad hoc basis the need to appoint co-optees as and when the need may arise in relation to a particular Inquiry.

7 Input to the Board's Work Programme 2009/10 - Sources of Work and Establishing the Board's Priorities

The Head of Scrutiny and Member Development submitted a report to assist the Board to develop its work programme for the 2009/10 municipal year. This included an executive summary of, and the improvement priorities identified in, the Council's Business Plan 2008-2011, a list of work undertaken by this Board and the Overview and Scrutiny Committee in the past five years and a copy of the Board's Terms of Reference, together with a relevant extract from the Council's Forward Plan of Key Decisions for the period 1st May to 31st August 2009 and a copy of the minutes of the Executive Board meeting held on 13th May 2009.

In attendance at the meeting and responding to Members' queries and comments were:

Councillor Richard Brett, Leader of the Council and Executive Member
(Central and Corporate Functions)
Alan Gay, Director of Resources
Nicole Jackson, Assistant Chief Executive (Corporate Governance)
James Rogers, Assistant Chief Executive (Planning, Policy and Improvement)

In brief summary, the main points of discussion were:-

- The challenging budget set by the Council for 2009/10, the need to achieve the efficiency savings identified if the budget was going to be met, and how the Board's work might assist in this respect.

Reference was made to the Board's Inquiry last year into managing staff attendance, and how following through on its recommendations would assist to achieve the envisaged cost savings in this area.

Reference was also made to the Council trying to establish an 'efficiency framework', in order that it could better compare its costs against other organisations;

- Support Services – The Council was striving to achieve efficiency savings of 2% per year over 5 years, and was now in the second year of this initiative. It was suggested that this was an area the Board might like to look at. Commercial Services was also suggested as a possible source

for scrutiny. Reference was also made to a proposal for the Board to look at the Council's Customer Services, in particular the Call Centre operation.

Whilst some of these might be areas the Board wished to look at, subject to a clearer brief, it was emphasised that the Board would also wish to look at more strategic issues as set out in Paragraph (f) of its terms of reference – 'to review outcomes, targets and priorities within the Leeds Strategic Plan, and to make such reports and recommendations as it considers appropriate'. Amongst these might be progress in promoting Leeds as the heart of a City Region, notwithstanding the need to avoid cross-over with the City and Regional Partnership Board.

- Other possible areas for Board involvement discussed were the Council's involvement in carbon trading, assisting in the proposed review of services to the disabled, how volunteering might be harnessed to assist the Council, public consultation and engagement concerns and links to the Council's Business Plan, zero-based budgeting as part of an efficiency framework, information governance, the current performance management framework review forming part of the Council's Business Transformation plans and knowledge sharing – both internally and with the Council's partners and voluntary organisations. Also referred to was trying to connect the Board's work to that of the Corporate Governance and Audit Committee, and managing conflict with the need for the Council to effect efficiencies, balanced against the knock-on effects for staff and the Council's suppliers.

In conclusion the Chair thanked Councillor Brett and the officers for their attendance and the manner in which they had responded to Members' queries and comments.

RESOLVED – That the report, and the contributions made during the discussion, be taken into account when the Board is finalising its work programme and deciding its priorities.

(NB: Councillor Hamilton left the meeting at 10.54 am and Councillor Kendall at 10.55 am during discussion of this item)

8 Executive Board Response to Final Scrutiny Board Reports

The Head of Scrutiny and Member Development submitted a report regarding the response of the Executive Board to three recently submitted Board Inquiries, in respect of Member Development, Attendance Management and Procurement of Services. All the Board's recommendations had been agreed by the Executive Board. All the recommendations would now be monitored under the Recommendation Tracking System, and the Board would receive its first progress report at its July meeting.

RESOLVED – That the report be noted.

9 KPMG - Scrutiny Review - May 2009

Draft minutes to be approved at the meeting
to be held on Monday, 6th July, 2009

Further to Minute No 6, the Head of Scrutiny and Member Development submitted a report relating to the recommendations of KPMG (the Council's external auditors) in respect of their review of the Council's overview and scrutiny function, carried out as part of their 2008/09 audit of the Council. This report was being submitted to all Scrutiny Boards in this cycle, and any comments would be referred to the Corporate Governance and Audit Committee.

The Head of Scrutiny and Member Development drew Members' attention to the management response to KPMG's comments. With regard to the suggestion about drawing up a 'job specification' for Scrutiny Board Chairs, this was regarded as reasonable, and it was proposed to do this as part of the Council's bid to achieve 'CharterPlus' status for Member Development. However, in terms of the suggestion that Chairs should be selected by political groups on the basis of who best met the job specification, this idea had not been accepted, as it was recognised that political groups had their own criteria, which might include national party rules.

In respect of attendance levels for Board Members, the pressures on Members were referred to, together with the difficulties which some Members experienced with their employers in terms of getting time off. Any Member experiencing such difficulties, or unsure of their rights, was advised to contact the Head of Scrutiny and Member Development. Earlier start times for Boards was also mentioned.

There was an acknowledgement of the truth in respect of KPMG's comments regarding the current role and effectiveness of Scrutiny Boards in Leeds, and the unsatisfactory nature of the current relationship between Scrutiny Boards and the Executive. The view was expressed that Scrutiny Boards needed to be more challenging of the Executive, akin to Parliamentary Select Committees, and also needed to develop their policy formulation role.

The Head of Scrutiny and Member Development also referred to the fact that he and the Corporate Governance and Audit Committee would be liaising with the Scrutiny Board Chairs' Advisory Group to ensure further appropriate Member input.

RESOLVED – That, subject to the above comments, the report be received and noted.

10 Determining the Work Programme 2009/10

Further to Minute No 7, the Board received a report from the Head of Scrutiny and Member Development regarding the criteria for determining its proposed work programme for the next year, and including a skeleton work schedule, which highlighted the dates for budget scrutiny, quarterly performance monitoring reports and recommendation tracking updates.

In addition to the issues discussed under Minute No 7, the following issues were also referred to as matters which Members felt might warrant further investigation, if possibly not in some cases a formal Inquiry –

- Taxis – Further information regarding the arrangements for a recent consultation meeting with the trade at Civic Hall, Leeds
- The Council's use of consultants – the Board's previously agreed Terms of Reference for a proposed Inquiry to be circulated to Members for comment
- Customer Services / Contact Centre, and in particular the problem of repeat calls on the same issue
- Management Information Systems, and their compatibility
- Commercial Services, subject to a more defined brief
- Community engagement and consultation, particularly prior to decision taking
- The translation and interpretation services currently offered by the Council
- Carbon Trading and the Council's involvement
- The proposed review of services for the disabled, which should encompass all disabilities e.g. mental and deaf, blind and visually impaired services
- The corporate performance management framework, including an efficiency comparator system
- HR job guarantee schemes and job training/provision for 16 year olds
- 2010 – the Year of Volunteering in Leeds – and if, how and where volunteering fitted into the Council's service provision.

RESOLVED – That the Head of Scrutiny and Member Development, in conjunction with the Chair, draw up a draft work programme for discussion with the Board.

11 Dates and Times of Future Meetings

Monday 6th July 2009
Monday 7th September 2009
Monday 5th October 2009
Monday 2nd November 2009
Monday 7th December 2009
Monday 11th January 2010*
Monday 1st February 2010
Monday 1st March 2010
Monday 29th March 2010

All at 10.00 am (Pre-meetings 9.30 am) except *start 14:00 (Pre-meeting 13.30)

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Report of the Head of Scrutiny and Member Development

Scrutiny Board (Central & Corporate Functions)

Date: 6th July 2009

Subject: Recommendation Tracking

Electoral Wards Affected:

Specific Implications For:

Equality and Diversity

Community Cohesion

Narrowing the Gap

1.0 Introduction

- 1.1 In 2007/08 a more formal system of recommendation tracking was introduced to ensure that scrutiny recommendations were more rigorously followed through.
- 1.2 As a result, Scrutiny Boards now receive a quarterly report on any recommendations from previous inquiries which have not yet been completed. This will allow the Board to monitor progress and identify completed recommendations; those progressing to plan; and those where there is either an obstacle or progress is not adequate. The Board will then be able to take further action as appropriate.
- 1.3 A standard set of criteria has been produced, to enable the Board to assess progress. These are presented in the form of a flow chart at Appendix 1. The questions should help to decide whether a recommendation has been completed, and if not whether further action is required. For each outstanding recommendation, a progress update is provided.
- 1.4 Attached as Appendix 2, 3 and 4 respectively are progress reports on three reports published by this Board in May 2009. These relate to Attendance Management, Procurement of Services and Member Development. The appropriate officers will be in attendance to answer any questions.
- 1.5 To assist members a draft status has been given for each recommendation. The Board is asked to confirm whether these assessments are appropriate, and to change them where they are not.

2.0 Recommendations

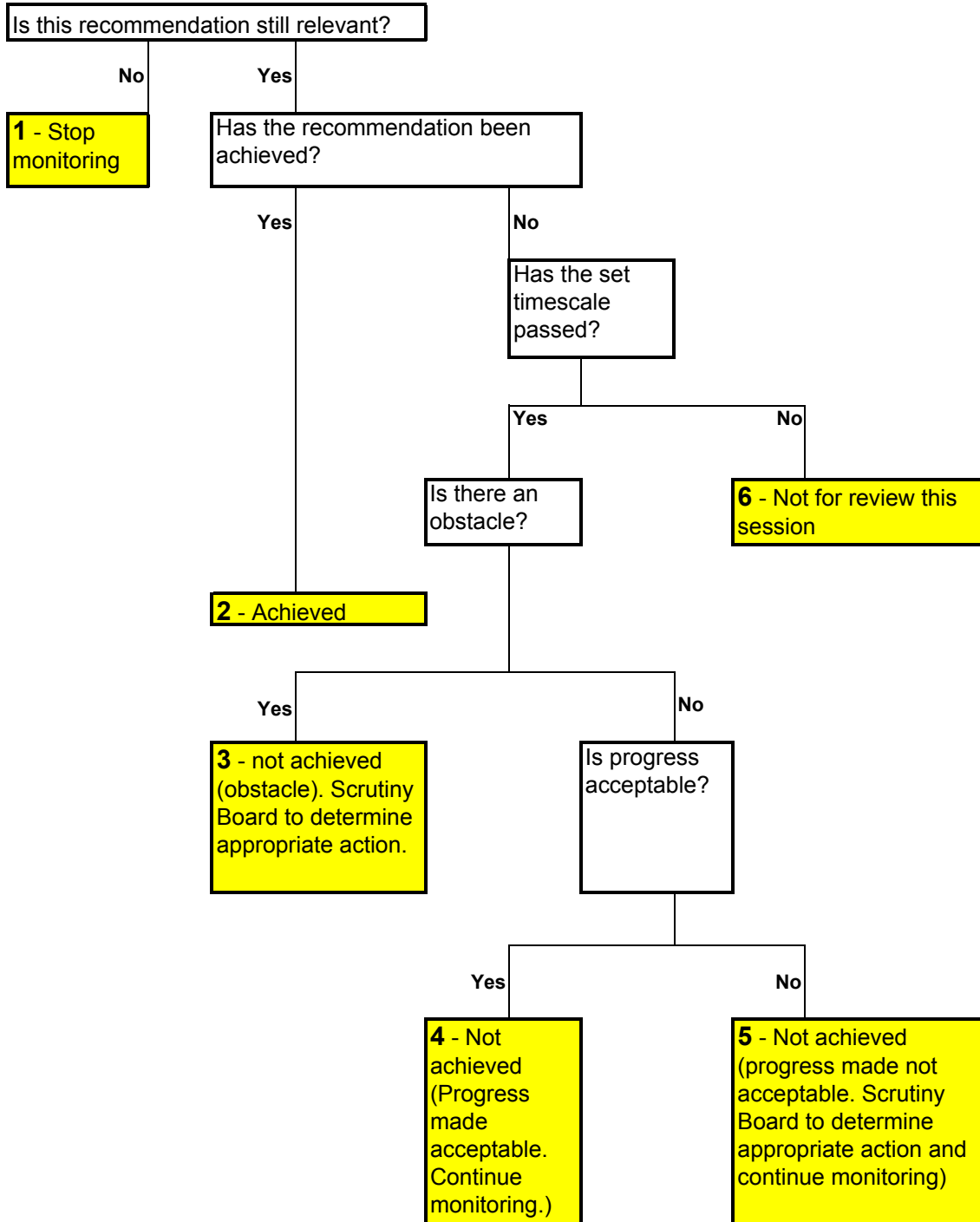
2.1 Members are asked to:

- Consider the progress on the recommendations identified in Appendix 2, 3 and 4
- Agree those recommendations which no longer require monitoring;
- Identify any recommendations where progress is unsatisfactory and determine the action the board wishes to take as a result.

Background Papers

Recommendation Tracking - Report to Overview and Scrutiny Committee – 4 December 2006

Recommendation tracking flowchart and classifications:
Questions to be Considered by Scrutiny Boards



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	Recommendation	Where we are up to	Stage	Cont'
1	That the Council's most senior officers instil a culture where all team leaders, at all levels, are expected, and are equipped with the skills, to take responsibility for the attendance management of their staff and that this form part of the team leaders performance appraisal.	<p>The actions reported in the Executive Board report of 13 May 2009 remain ongoing and are progressing satisfactorily.</p> <p>It is increasingly apparent that the links in respect of accountability (Chief Officers) and responsibility (line managers) are becoming more clearly defined in respect of performance management and in reinforcing the critical role of line managers in direct engagement with staff.</p>	4	
2	That all staff recognise their responsibility to foster a culture where good attendance is expected and where unjustified absence will not be tolerated	Similarly, an increased emphasis on managers engaging with staff and adopting a proactive and supportive approach to their wellbeing is being balanced by a more stringent adherence to policy and procedural rigour and compliance.	4	
3	That HR in conjunction with Trade Unions run focus groups to find out what individuals are saying about their attendance habits.	<p>The actions reported in the Executive Board report of 13 May 2009 remain ongoing and are progressing satisfactorily.</p> <p>The Attendance Management Forum has been running for several months now and has provided a productive environment for exchanging a wide range of information and views on areas related to attendance management. The Trade Unions have participated positively and openly on a range of subjects embracing their members' perspectives on attendance management with a view to increasing our awareness and effectiveness in handling this area.</p>	4	
4	That the Council pilots a 'shift swap' scheme within Environment and Neighbourhoods.	There are currently a number of sensitive issues being handled within this service area but plans remain in place to run a pilot 'shift swap' scheme within this service area.	4	
5	That the City Council in the first instance develops formal links with Leeds Teaching Hospitals NHS Trust to share best practice in the area of attendance management and that consideration is given to Leeds City Council leading on the development of a wider 'best practice' network	The actions reported in the Executive Board report of 13 May 2009 remain ongoing and are progressing satisfactorily. Leeds Teaching Hospitals NHS Trust (LTHT) will be invited to a meeting by the end of Quarter 2 to explore areas of mutual interest, particularly with regard to the wider health and wellbeing agenda.	4	

6	<p>That the Council continues with its pro-active approach to health and well-being under the Happy, Healthy and Here Programme. In particular, it would encourage careful evaluation of pilots such as Vielife and rehabilitation and return to work, to see if there is merit in rolling them out across the Council.</p> <p>It is also important that the Council is aware of its role and influence as an exemplar employer across the City and we would encourage the City Council to work with the Healthy Leeds Partnership to coordinate existing and develop new health and well-being initiatives across the city. The new Workplace Health Improvement Specialist should be supported in their role in making this happen.</p>	<p>The actions reported in the Executive Board report of 13 May 2009 remain ongoing and are progressing satisfactorily.</p> <p>An interim progress report on the Vielife pilot has been received w/c 22 June. A more cohesive wellbeing strategy is being developed for the organisation, and key members will be identified and workstreams identified. The work of the Health Improvement Specialist has been further reviewed in order to make it an effective component in the organisations wellbeing strategy, both inward and outward facing elements and to ensure that LCC realises value from the intervention.</p> <p>The Council received a national award for its work on wellbeing and attendance from the Public Sector People Managers Association (PPMA) in April 2009.</p> <p>The new Occupational Health Unit was formally opened by Cllr Brett on 8 June 2009.</p>		
7	<p>That the City Council actively pursues becoming a <i>Fit for Work</i> pilot area.</p>	<p>The actions reported in the Executive Board report of 13 May 2009 remain ongoing and are progressing satisfactorily and a bid was duly submitted in April 2009 – awaiting response.</p>	4	
8	<p>That the introduction of fit notes is endorsed and implemented as soon as is possible.</p>	<p>The draft proposals for “reforming the medical statement” are now out for consultation and comment and we have confirmed it is our intention to do so</p>	4	
9	<p>That the City Council explores practical ways in which jobs may be adjusted in order to respond to fit notes and therefore encourage return to work.</p>	<p>The actions reported in the Executive Board report of 13 May 2009 remain ongoing and are progressing satisfactorily with the Reasonable Adjustment Toolkit being implemented across services.</p>	4	

	Recommendation	Where we are up to	Stage	Cont'
1	That further work is undertaken by the Chief Procurement Officer to ascertain whether the One Council Commissioning Framework can be embedded within existing constitutional arrangements. This could involve a formalised role for Scrutiny.	Contract Procedure Rules have been identified as the main vehicle for incorporating the One Council Commissioning Framework into the Council's constitutional arrangements. The approach will be to embed the framework into existing arrangements wherever possible. The role of scrutiny in the One Council Commissioning Framework will be considered against current guidance and best practice, and will be subject to consultation and a further report.	4	
2	That the Chief Procurement Officer is given responsibility for the successful development of the Category Management approach.	Category Management is a key element of the One Council Commissioning Framework and is a procurement methodology that is advocated as best practice in both the public and private sectors. The RIEP (Regional Improvement and Efficiency Programme) 'Smarter Procurement' work programme has secured funding to develop a regional approach to Category Management and it is proposed that the Council's own approach is developed in tandem. This will allow sharing of regional expertise and resources. The Chief Procurement Officer is the Programme Manager for the RIEP 'Smarter Procurement' work.	4	
3	That Category Management plans for key spend areas are developed by the Chief Procurement Officer. These plans should cover up to a 3 year period and detail what the Council plans to commission in those areas; what resources will be required to commission and manage the arrangements and how efficiencies will be made in those spend areas.	A Category Management approach to procurement will take a more strategic view to improvement across a whole area of expenditure rather than looking at individual contracting arrangements. Taking a Category Management approach will facilitate, short, medium and long term planning of: demand management, contracting strategies, market engagement and management, collaborative and shared service opportunities; supply chain management; efficiency forecasting and realisation; and socially responsible approaches to procurement and commissioning. Procurement Officer supports this recommendation.	4	
4	That a Category Manager is identified for each category, who will be responsible for that category and will engage with the relevant parts of the Council who spend in that category area.		4	

5	<p>That a 'certificate of competency' is developed and introduced for officers involved in procurement.</p> <p>That contract management is incorporated in the pre-contract phase of all projects and that complex or high risk services also include the development of a Contract Management Plan identifying resources to be assigned to contract management and any training requirements.</p> <p>That a regional approach is taken to addressing capacity and capability problems around contract management, using Yorkshire and Humber's Regional Improvement and Efficiency Plan (RIEP) funding to facilitate improvements.</p>	<p>The RIEP 'Smarter Procurement' work-strand has also secured funding to develop a regional approach to capacity and capability building, a core element of which will be a training programme. Initial research indicates that many of the issues identified in this scrutiny inquiry are common to many of the region's public sector organisations. It is therefore proposed that this recommendation is also progressed in tandem with the RIEP 'Smarter Procurement' work programme.</p>	4	
6	<p>That further discussion and agreement takes place on the most appropriate way forward to influence contractors' employment practices, which promotes our legal equality duties and helps achieve our Equality and Diversity Scheme.</p>	<p>The Chief Procurement Officer will work closely with the Head of Equality to build on the work and best practice already undertaken in this area.</p>	4	

Scrutiny Board (Central & Corporate Functions 2009/20010 – Member Development Inquiry - Recommendation Monitoring **APPENDIX 4**

	Recommendation	Where we are up to	Stage	Cont'
1	That the Member Development Officer discusses with Directors how training and support mechanisms for officers delivering learning and development activities for Members could be developed.	As yet there has been no meeting with Directors but a paper is to go to a future meeting of the Corporate Management Team requesting views on ways of improving and developing the standard content and delivery at training events that are delivered in-house.	4	
2	That the Member Development Officer works with Group Support Managers and Group Whips in a more proactive way to promote the importance of Personal Development Plans and to prepare to increase the number of completed PDPs.	The Member Development Team have worked more closely with the Group Whips and the Group Support Managers this year to schedule and carry out Personal Development Plan interviews. This has led to a big increase on previous years in the number of Councillors taking part in the process. To date almost 50% of Councillors have had a PDP interview.	4	
3	That all Executive Board Members and Group Whips undertake a PDP so as to demonstrate their support for Member Development as an ongoing process.	A number of Executive Board Members and Group Whips have undergone a PDP interview but not all as yet. The Member Development Team are working to arrange and carry out interviews with those who remain.	4	
4	That the Member Development Officer, as a matter of routine, shares feedback with event presenters and publishes event feedback on the Council's Intranet site. That course evaluation forms be reviewed with the aim of capturing more feedback and more useful data.	We have a number of seminars and other training events planned over the next couple of weeks and we will be sharing the feedback we receive from Members with those giving the events so that they can make changes if necessary for the future. The evaluation form has been re-designed with input from the Member Development Working Group. The form is now less time consuming to fill-in but extracts more useful data which can be used to alter and improve training events.	2	
5	That for role specific training, officer/member groups are established to evaluate the effectiveness of such training and to provide feedback to the Member Development Officer.	The Member Development Working Group are to discuss the formation and make-up of these working groups at a future meeting.	4	

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Report of the Assistant Chief Executive (Corporate Governance)

Scrutiny Board (Central and Corporate Functions)

Date: 6th July 2009

Subject: Consultation Process for Gambling Act 2005 Statement of Licensing Policy

Electoral Wards Affected:

All

Specific Implications For:

Ethnic minorities

Women

Disabled people

Executive Summary

This report advises Scrutiny Board that Entertainment Licensing intend to review and publicly consult on the Gambling Act 2005 Statement of Licensing Policy as required by the Gambling Act 2005. This report includes the methodology used for the consultation process and presents the second draft of the Policy for comment.

1.0 Purpose of This Report

- 1.1 This report is to provide information regarding the consultation process for the review and public consultation on the Gambling Act 2005 Statement of Licensing Policy and to present the second draft (**Appendix 1**) for comment.

2.0 Background Information

- 2.1 Under Section 349 of the Gambling Act 2005 ('the Act') the Licensing Authority is required to prepare a statement of principles that they propose to apply in exercising their functions under this Act during that period and to publish the statement.
- 2.2 This process is to be repeated every three years from 31st January 2007. The consultation procedure is laid out clearly in the Gambling Act 2005 (extract at **Appendix 2**) and the Gambling Act 2005 (Licensing Authority Policy Statement) (England and Wales) Regulations 2006 (**Appendix 3**). The consultation process is being followed with regard to HM Government's Code of Practice on Consultation.
- 2.3 The final version of the Policy must be published by 3rd January 2010.

3.0 Main Issues

- 3.1 The Act requires that the licensing authority consults with:
- a. The Chief Officer of the Police
 - b. One or more persons who appear to the authority to represent the interests of persons carrying on gambling businesses in the authority's area
 - c. One or more persons who appear to the authority to represent the interests of persons who are likely to be affected by the exercise of the authority's functions under this Act.
- 3.2 In addition to the requirements of the Act, the Secretary of State issued a further statutory instrument, The Gambling Act 2005 (Licensing Authority Policy Statement) (England and Wales) Regulations 2006, which required specific information to be included in the policy.
- 3.3 Leeds City Council published its first Gambling Act 2005 Statement of Licensing Policy in January 2007.
- 3.4 The Council intends to consult widely on the reviewed Policy. For quick reference the process will be as follows:
1. First draft reviewed by Entertainment Licensing and Legal Services
 2. First draft reviewed by responsible authorities and key stakeholders
 3. Second draft reviewed by Executive Board
 4. Second draft and consultation process reviewed by Scrutiny Board
 5. Second draft reviewed by full Council
 6. Third draft public consultation
 7. Final draft reviewed by Scrutiny Board
 8. Final draft reviewed by Executive Board
 9. Final draft reviewed by full Council

- 3.5 The first draft has been sent to Legal, the Renaissance Unit, Leeds Initiative and the responsible authorities:
- Gambling Commission
 - West Yorkshire Police
 - West Yorkshire Fire & Rescue Service
 - LCC Environmental Health Services
 - Local Safeguarding Children Board
 - HM Revenues and Customs
- 3.6 Comments were received from West Yorkshire Police seeking clarification of gaming machines in commercial clubs and from Social Services regarding issues with the definition of children and vulnerable adults. The West Yorkshire Police comment was easily rectified with an additional paragraph being inserted. Officers from Entertainment Licensing met with Adult Social Care to discuss the issues raised. A full list of the amendments made to the policy has been attached in the Interim Consultation Report at **Appendix 4**.
- 3.7 In 2007 following the review of the Licensing Act 2003 Statement of Licensing Policy, comments were made that indicated full Council would have found it useful if there had been debate regarding the Policy to air some issues and to assist officers in their first draft of the Policy. Therefore officers took a report to LMT in March to request a steer regarding the involvement of full Council at an earlier stage in the review process. It was decided that the draft policy be reviewed and debated at full Council in July.
- 3.8 The public consultation will be held between 3rd August and 2nd October. This is shorter than the recommended 12 week consultation period as recommended in HM Government's Code of Practice on Consultation, but necessary in order to meet both the requirement for full Council debate in July and Scrutiny Board in November. Officers still consider that a nine week consultation will allow Parish/Town Councils and Area Committees to discuss this matter within their normal meeting schedule and is in excess of the four week consultation required by the Gambling Act 2005.
- 3.9 The public consultation will include:
- Gambling Commission
 - West Yorkshire Police
 - West Yorkshire Fire & Rescue Service
 - LCC Environmental Health Services
 - Local Safeguarding Children Board
 - HM Revenues and Customs
 - Representatives of local businesses (including Leeds Chamber of Commerce and the federation of Small Businesses)
 - National bodies representing the Gambling Trade
 - Representatives of existing licence holders
 - Members of the public via an advertisement in a local paper, posters in publicly accessible places such as libraries and one stop shops

- Community representatives (including all Members)
- Faith groups within the Leeds district
- Town Councils in the district
- Parish Councils in the district
- Area Committees
- Local Members of Parliament

- National charities concerned with the social impact of gambling
- Other charities who provide support for alcohol and drug users

- Leeds Initiative
- Yorkshire Forward
- Yorkshire Culture
- Leeds Citizen Advice Bureau
- Primary Care Trusts
- Leeds City Council Department of Neighbourhood and Housing
- Leeds City Council Environmental Health Services
- Leeds City Council's Development Department
- Leeds City Council's City Development

3.10 The postal consultation will take the form of a single sided letter, which will detail how the Policy can be accessed as follows:

- Via a webpage
- Copies placed in libraries, one stop shops, leisure centres etc.
- Requesting a copy of the policy by post.

3.11 In addition A3 posters will be placed in one stop shops, libraries and leisure centres along with a copy of the policy. It is also planned to place an advert in the Yorkshire Evening Post, put a news item on the council's website and place a story in "About Leeds" which is delivered to every household. Officers are currently preparing a press release with the Press Office.

3.12 Previously, the consultation process has included a questionnaire but it is felt that this is not helpful as it directs the consultee to making specific conclusions about the policy. It is felt that leaving the commentary open will allow consultees to make their own response in a way they feel is useful to the Council. This is especially pertinent to the fact that this is a review of an existing Policy which has already undergone such a detailed and directed consultation. Comments can be made either in writing, via email or via a web form on the website.

3.13 The final draft, including a summary of responses, will be presented to Scrutiny Board in November, Executive Board and full Council in December. The Act requires that the Statement of Licensing Policy be published by 3rd January 2010.

3.14 It should be noted that the timescales set out in the Gambling Act 2005 would not allow the Council to consult sufficiently to include detailed principles relating to the large casino application process. It is intended to place a holding paragraph in the Policy this year, with a view to reviewing that part of the Policy on its own once the Casino Project Board has established the principles they need to include in the

Policy to ensure that Leeds receives the best possible outcome from the casino application process.

4.0 Implications for Council Policy and Governance

4.1 Due to the strict timeframe, it will be necessary to call a meeting of full Council in December of this year in order to approve the final Statement of Gambling Policy.

4.2 The timeframes do not allow for any slippage as the Policy must be published by 3rd January 2010.

5.0 Legal and Resource Implications

5.1 No significant resource implications identified.

5.2 The Policy lays down the council's main principles for exercising its functions under the Gambling Act 2005 and can be challenged by both the trade and public. Therefore, it is necessary to ensure that the Policy is legally watertight and any departures from the guidance issued by the Government or the Gambling Commission can be fully and comprehensively justified.

5.3 The consultation procedure is laid out in the Gambling Act 2005, and the Gambling Act 2005 (Licensing Authority Policy Statement) (England and Wales) Regulations 2006. The consultation process is being followed with regard to HM Government's Code of Practice on Consultation.

6.0 Conclusions

6.1 The purpose of this report is to advise Scrutiny Board on the methodology of the forthcoming review of the Gambling Act 2005 Statement of Licensing Policy.

7.0 Recommendations

7.1 Members are requested to note the contents of this report and the accompanying appendices and to provide comments as they feel appropriate.

Appendices

Appendix 1	GA2005 Statement of Licensing Policy Second Draft V1
Appendix 2	Extract of Gambling Act 2005
Appendix 3	Gambling Act 2005 (Licensing Authority Policy Statement) (England and Wales) Regulations 2006
Appendix 4	Interim Consultation Report

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Statement of Licensing Policy 2010 – 2013

Gambling Act 2005

Further copies of this document can be obtained from:

Entertainment Licensing
Leeds City Council
Civic Hall
Leeds
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Fax: 0113 224 3885

Email: entertainment.licensing@leeds.gov.uk
Web: www.leeds.gov.uk/licensing

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Scrutiny		06/07/09
Full Council		15/07/09
Second Draft v2		
Final Draft		
Scrutiny		
Executive		
Full Council		

Please note:

The information contained within this document can be made available in different languages and formats including Braille, large print and audio cassette.

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Executive Summary

The Gambling Act 2005 obtained Royal Assent 2005 and came into effect in 2007.

Under Section 349 of the Gambling Act 2005 the Licensing Authority is required to prepare a statement of principles that they propose to apply in exercising their functions under this Act. This process is to be repeated every three years from 31st January 2007.

The consultation process is laid out clearly in the Gambling Act 2005, the Gambling Act 2005 (Licensing Authority Policy Statement)(England and Wales) Regulations 2006 and the Guidance to Licensing Authorities issued by the Gambling Commission.

The purpose of the Statement of Licensing Policy is to set out the principles that the Council propose to apply when determining licences, permits and registrations under the Gambling Act 2005.

Any decision taken by the Council in regard to determination of licences, permits and registrations should promote the licensing objectives which are:

- Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime.
- Ensuring that gambling is conducted in a fair and open way
- Protecting children and other vulnerable persons from being harmed or exploited by gambling

The principles to be applied specifically to the determination of premises licence applications include definition of premises, location, duplication with other regulatory regimes, conditions, door supervision. The policy also specifically mentions adult gaming centres, family entertainment centres, casinos, bingo premises, betting premises, tracks and travelling fairs.

The council has the ability to issue permits for prize gaming and unlicensed family entertainment centres. The council is able to specify the information it requires as part of the application process which will aid determination and this information is described in this Policy.

Club gaming and club machine permits are also issued by the council. The process for this is described, along with other processes specified in the legislation for example temporary use notices, occasional use notices and small society lotteries.

Enforcement of the legislation is a requirement of the Act that is undertaken by the council in conjunction with the Gambling Commission. The policy describes the council's enforcement principles and the principles underpinning the right of review.

The policy has two appendices, one describing the stakes and prizes which determine the category of a gaming machine and a glossary of terms.

1. The licensing objectives

1.1 Under the Gambling Act 2005 (the Act) Leeds City Council is the licensing authority for the Leeds district and licences premises for gambling activities as well as granting various other gambling permits. In this document unless otherwise stated any references to the council are to the Leeds Licensing Authority.

1.2 The council will carry out its functions under the Act with a view to promoting the three licensing objectives set out at Section 1 of the Act. The licensing objectives are:

- preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime
- ensuring that gambling is conducted in a fair and open way
- protecting children and other vulnerable persons from being harmed or exploited by gambling.

1.3 More information can be found about how the council will promote the licensing objectives in Part B and C of this document.

1.4 The council will also follow any regulations and statutory guidance issued in accordance with the Act and have regard to any codes of practice issued by the national gambling regulator, the Gambling Commission.

1.5 The council is aware that in making decisions about premises licences it should aim to permit the use of premises for gambling in so far as it thinks it is:

- in accordance with any relevant code of practice issued by the Gambling Commission
- in accordance with any relevant guidance issued by the Gambling Commission
- reasonably consistent with the licensing objectives and
- in accordance with this document.

2. The Leeds district

2.1 Leeds City Council has sought to establish Leeds as a major European city and cultural and social centre. It is the second largest metropolitan district in England and has a population of 2.2 million people living within 30 minutes drive of the city centre.

2.2 The Leeds metropolitan district extends over 562 square kilometres (217 square miles) and has a population of 715,000 (taken from the 2001 census). It includes the city centre and the urban areas that surround it, the more rural outer suburbs and several towns, all with their very different identities. Two-thirds of the district is greenbelt (open land with restrictive building), and there is beautiful countryside within easy reach of the city.

2.3 Over recent years Leeds has experienced significant levels of growth in entertainment use within the City coupled with a significant increase in residential development. The close proximity of a range of land uses and the creation of mixed-use schemes has many benefits including the creation of a vibrant 24-hour city. Leeds City Council has a policy promoting mixed use development including residential and evening uses throughout the city centre.

2.4 Leeds has strong artistic and sporting traditions and has the best attended free outdoor festivals in the country. The success of arts and heritage organisations including the Grand Theatre, West Yorkshire Playhouse, Opera North, Northern Ballet Theatre, Phoenix Dance Theatre, Harewood House and the Henry Moore Institute, has helped to

attract other major arts and heritage investments such as the award winning Royal Armouries and the Thackray Medical Museum. The city also boasts a wealth of community based sports, heritage and recreational facilities. There is a vibrant voluntary sector including thousands of groups and societies.

2.5 Leeds is a city with many cultures, languages, races and faiths. A wide range of minority groups including Black Caribbean, Indian, Pakistani, Irish and Chinese as well as many other smaller communities make up almost 11% of the city population.

2.6 The Vision for Leeds 2004 - 2020 published by the Leeds Initiative, as the city's strategic partnership group, indicates that Leeds is now one of Britain's most successful cities. It boasts:

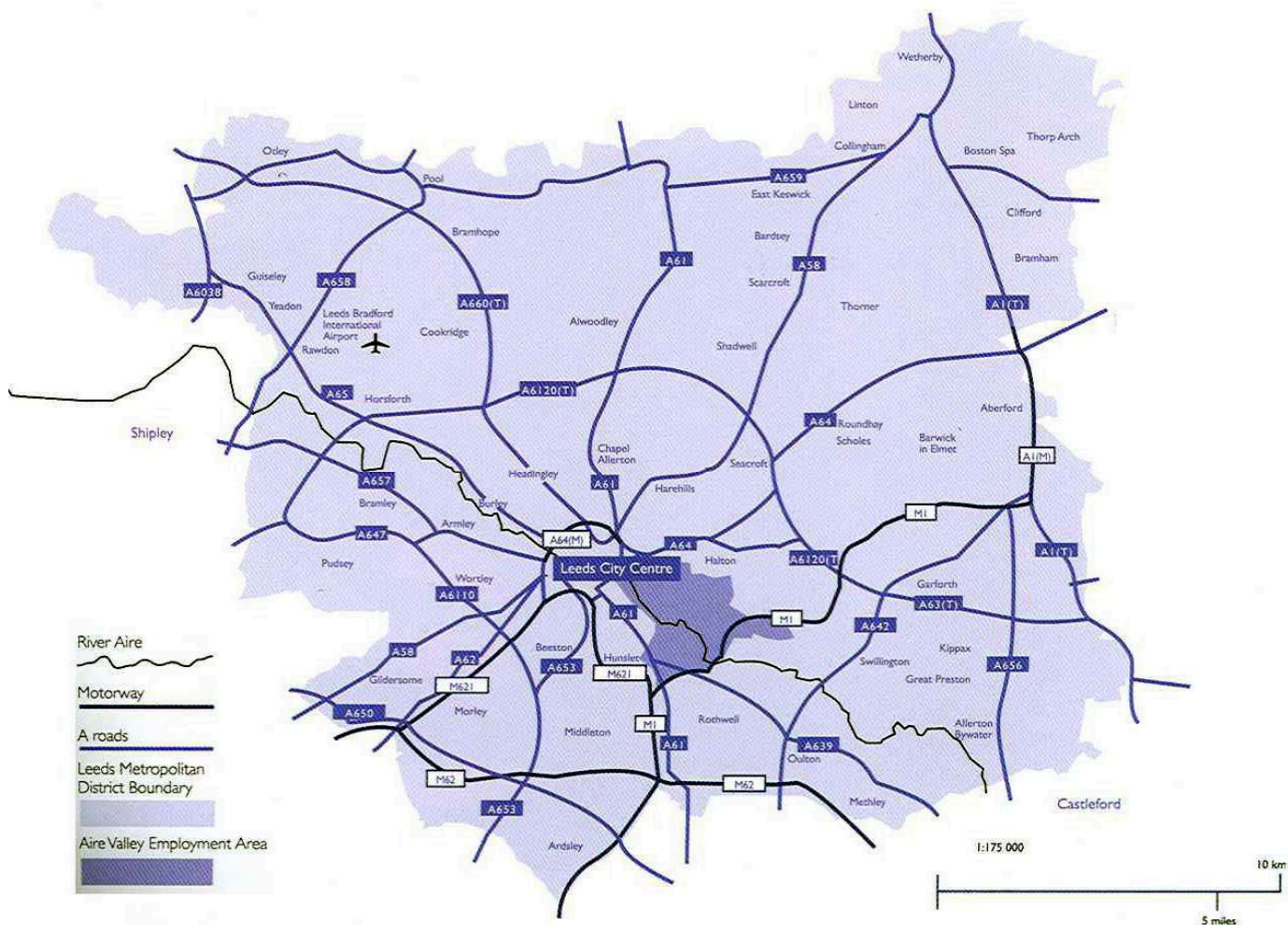
- a thriving economy
- a vibrant city centre
- a leading centre of learning, knowledge and research
- a recognised regional capital
- a positive image
- a reputation for environmental excellence
- a wide range of cultural facilities
- a rich mix of cultures and communities.

2.7 The Vision for Leeds 2004-2020 has three main aims:

- going up a league as a city - making Leeds an internationally competitive city, the best place in the country to live, work and learn, with a high quality of life for everyone
- narrowing the gap between the most disadvantaged people and communities and the rest of the city
- developing Leeds' role as the regional capital contributing to the national economy as a competitive European city, supporting and supported by a region that is becoming increasingly prosperous.

2.8 This statement of licensing policy seeks to promote the licensing objectives within the overall context of the three aims set out in The Vision for Leeds 2004-2020.

2.9 Leeds metropolitan district



3. The purpose of the Gambling Act 2005 – Statement of Licensing Policy

3.1 Licensing authorities are required by the Gambling Act 2005 to publish a statement of the principles which they propose to apply when exercising their functions under the Act. This document fulfils this requirement. Such statement must be published at least every three years. The statement can also be reviewed from “time to time” and any amendments must be consulted upon. The statement must then be re-published.

3.2 Leeds City Council consulted widely upon this policy statement before finalising and publishing it. A list of the persons we consulted is provided below:

- West Yorkshire Police
- the Local Safeguarding Children Board
- representatives of local businesses (including Leeds Chamber of Commerce and the Federation of Small Businesses)
- members of the public
- the Gambling Commission
- community representatives
- town/parish councils in the district
- Area Committees
- local Members of Parliament
- national bodies representing the gambling trade
- national charities concerned with the social impact of gambling
- other charities offering support to alcohol and drugs users

- representatives of existing licence holders
- Yorkshire Forward (the regional development agency)
- Yorkshire Culture
- Leeds Citizens Advice Bureau
- Primary Care Trusts
- Her Majesty's Revenue and Customs
- West Yorkshire Fire and Rescue Service
- Faith Groups within the Leeds district
- Department of Neighbourhoods & Housing, Environmental Health Services
- Leeds City Council Development Department
- Leeds Initiative

3.3 The consultation took place between August and October 2009 and followed the Better Regulation Executive Code of Practice on Consultation published in July 2008 and available from their website:

www.bre.brr.gov.uk

3.4 A copy of the consultation report containing a summary of the comments received and the consideration by the council of those comments is available on request.

3.5 The policy was approved at a meeting of the Full Council on xxx December 2009.

4. The licensing framework

4.1 The Gambling Act 2005 brings about changes to the way that gambling is administered in the United Kingdom. The Gambling Commission is the national gambling regulator and has a lead role in working with central government and local authorities to regulate gambling activity.

4.2 The Gambling Commission issues operators licences and personal licences. Any operator wishing to provide gambling at a certain premises must have applied for the requisite personal licence and operators licence before they can approach the council for a premises licence. In this way the Gambling Commission is able to screen applicants and organisations to ensure they have the correct credentials to operate gambling premises. The council's role is to ensure premises are suitable for providing gambling in line with the three licensing objectives and any codes of practice issued by the Gambling Commission. The council also issues various permits and notices to regulate smaller scale and or ad hoc gambling in various other locations such as pubs, clubs and hotels.

4.3 The council does not licence large society lotteries or remote gambling through websites. These areas fall to the Gambling Commission. The National Lottery is not licensed by the Gambling Act 2005 and continues to be regulated by the National Lottery Commission under the National Lottery Act 1993.

5. Declaration

5.1 This statement of licensing policy will not override the right of any person to make an application, make representations about an application, or apply for a review of a licence, as each will be considered on its own merits and according to the statutory requirements of the Gambling Act 2005.

5.2 In producing this document, the council declares that it has had regard to the licensing objectives of the Gambling Act 2005, the guidance issued by the Gambling Commission, and any responses from those consulted on the policy statement.

6. Responsible authorities

- 6.1 The Act empowers certain agencies to act as responsible authorities so that they can employ their particular area of expertise to help promote the licensing objectives. Responsible authorities are able to make representations about licence applications, or apply for a review of an existing licence. Responsible authorities will also offer advice and guidance to applicants.
- 6.2 The council is required by regulations to state the principles it will apply to designate, in writing, a body which is competent to advise the authority about the protection of children from harm. The principles are:
- the need for the body to be responsible for an area covering the whole of the licensing authority's area
 - the need for the body to be answerable to democratically elected persons, rather than any particular vested interest group etc.
- 6.3 In accordance with the regulations the council designates the Local Safeguarding Children Board for this purpose. Leeds Safeguarding Children Board have produced a "West Yorkshire Consortium Procedures Manual" which can be found at <http://www.procedures.leedslscb.org.uk>. Applicants may find this manual useful as a point of reference, a guide for good practice and the mechanism by which to make a referral to Social Care etc, when producing their own policies and procedures in relation to the objective of protection of children and vulnerable people.
- 6.4 The contact details of all the responsible authorities under the Gambling Act 2005 are:

The Gambling Commission Victoria Square House Victoria Square Birmingham B2 4BP	Tel: 0121 230 6666 Fax: 0121 233 1096 info@gamblingcommission.gov.uk
---------------------------------------------------------------------------------------------	----------------------------------------------------------------------------

West Yorkshire Police Robert Patterson Leeds District Licensing Officer Millgarth Police Station Leeds LS2 7HX	T: 0113 241 4023
-------------------------------------------------------------------------------------------------------------------------------	------------------

Leeds Safe Guarding Children Board Merrion House 110 Merrion Centre Leeds LS2 8QB	T: 0113 247 8543 administrator@leedslscb.org.uk
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West Yorkshire Fire and Rescue Service District Fire Safety Officer Leeds Fire Station Kirkstall Road Leeds LS3 1NF	T: 0113 244 0302
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Leeds City Council Environmental Health Services Millshaw Office Millshaw Park Way Churwell Leeds LS11 0LS	T: 0113 247 6026
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7. Interested parties

7.1 Interested parties are certain types of people or organisations that have the right to make representations about licence applications, or apply for a review of an existing licence. These parties are defined in the Gambling Act 2005 as follows:

“For the purposes of this Part a person is an interested party in relation to an application for or in respect of a premises licence if, in the opinion of the licensing authority which issues the licence or to which the applications is made, the person-

- a) lives sufficiently close to the premises to be likely to be affected by the authorised activities,
- b) has business interests that might be affected by the authorised activities, or
- c) represents persons who satisfy paragraph (a) or (b)”

7.2 The council is required by regulations to state the principles it will apply to determine whether a person is an interested party. The principles are:

- Each case will be decided upon its merits. The council will not apply a rigid rule to its decision making. It will consider the examples of considerations provided in the Gambling Commission’s Guidance to local authorities.
- Within this framework the council will accept representations made on behalf of residents and tenants associations.
- In order to determine if an interested party lives or has business interests, sufficiently close to the premises to be likely to be affected by the gambling activities, the council will consider factors such as the size of the premises and the nature of the activities taking place.

7.3 The council will provide more detailed information on the making of representations in a separate guidance note. The guidance note has been prepared in accordance with relevant Statutory Instruments and Gambling Commission guidance.

8. Exchange of information

8.1 Licensing authorities are required to include in their policy statement the principles to be applied by the authority with regards to the exchange of information between it and the Gambling Commission, as well as other persons listed in Schedule 6 to the Act.

8.2 The principle that the council applies is that it will act in accordance with the provisions of the Gambling Act 2005 in its exchange of information which includes the provision that the Data Protection Act 1998 will not be contravened. The council will also have regard to any guidance issued by the Gambling Commission to local authorities on this matter when it is published, as well as any relevant regulations issued by the Secretary of State under the powers provided in the Gambling Act 2005.

9. Licensing authority functions

9.1 Licensing authorities are responsible under the Act for:

- licensing premises where gambling activities are to take place by issuing premises licences
- issuing provisional statements
- regulating members' clubs and miners' welfare institutes who wish to undertake certain gaming activities via issuing Club Gaming Permits and/or Club Machine Permits
- issuing Club Machine Permits to commercial clubs
- granting permits for the use of certain lower stake gaming machines at Unlicensed Family Entertainment Centres
- receiving notifications from alcohol licensed premises (under the Licensing Act 2003) of the use of two or less gaming machines
- granting Licensed Premises Gaming Machine Permits for premises licensed to sell/supply alcohol for consumption on the licensed premises, under the Licensing Act 2003, where more than two machines are required
- registering small society lotteries below prescribed thresholds
- issuing Prize Gaming Permits
- receiving and endorsing Temporary Use Notices
- receiving Occasional Use Notices (for tracks)
- providing information to the Gambling Commission regarding details of licences issued (see section above on 'Exchange of information')
- maintaining registers of the permits and licences that are issued under these functions.

9.2 The council will not be involved in licensing remote gambling at all. This will fall to the Gambling Commission via operators licences.

Part B Promotion of the licensing objectives

10. Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime

- 10.1 The Gambling Commission will take a lead role in keeping gambling crime free by vetting all applicants for personal and operators licences. The council's main role is to try and promote this area with regard actual premises. Thus, where an area has known high levels of organised crime the council will consider carefully whether gambling premises are suitable to be located there (see paragraph 13.8 and 13.9) and whether conditions may be required such as the provision of door supervision. (see para 13.15)
- 10.2 There is a distinction between disorder and nuisance. In order to make the distinction, when incidents of this nature occur, the council will consider factors such as whether police assistance was required and how threatening the behaviour was to those who could see it.
- 10.3 Issues of nuisance cannot be addressed by the Gambling Act provisions however problems of this nature can be addressed through other legislation as appropriate.
- 10.4 Examples of the specific steps the council may take to address this area can be found in the various sections covering specific premises types in Part C of this document and also in Part D which covers permits and notices.

11. Ensuring that gambling is conducted in a fair and open way

- 11.1 The council is aware that except in the case of tracks (see section 18) generally the Gambling Commission does not expect licensing authorities to become concerned with ensuring that gambling is conducted in a fair and open way as this will be addressed via operating and personal licences.
- 11.2 However the council will familiarise itself with operator licence conditions and will communicate any concerns to the Gambling Commission about misleading advertising or any absence of required game rules or other matters as set out in the Gambling Commission's Code of Practice.
- 11.3 Examples of the specific steps the council may take to address this area can be found in the various sections covering specific premises types in Part C of this document and also in Part D which covers permits and notices.

12. Protecting children and other vulnerable persons from being harmed or exploited by gambling

Protection of children

- 12.1 This licensing objective means preventing children from taking part in most types of gambling (as well as restriction of advertising so that gambling products are not aimed at or are particularly attractive to children). The council will therefore consider whether specific measures are required at particular premises, with regard to this licensing objective. Appropriate measures may include supervision of entrances / machines, segregation of areas etc.
- 12.2 This council will pay particular attention to any codes of practice which the Gambling Commission issues as regards this licensing objective in relation to specific premises such as casinos.

12.3 Examples of the specific steps the council may take to address this area can be found in the various sections covering specific premises types in Part C of this document and also in Part D which covers permits and notices.

Protection of vulnerable people

12.4 As regards the term “vulnerable persons”, the council is not seeking to offer a definition but will, for regulatory purposes assume that this group includes people who gamble more than they want to, people who gamble beyond their means, elderly persons, and people who may not be able to make informed or balanced decisions about gambling due to a mental impairment, or because of the influence of alcohol or drugs. The council will consider this licensing objective on a case by case basis having regard to any guidance issued by the Gambling Commission. Should a practical definition prove possible in future then this policy statement will be updated with it, by way of a revision.

12.5 While the council acknowledges that it may be difficult for gambling premises staff to identify vulnerable persons, (especially in the case of persons who may have a mental illness) in the first instance the council would expect staff members to try and maintain an awareness of how much (e.g. how long) customers are gambling. If it is perceived that any particular persons may be gambling excessively or are showing other obvious signs of being unwell then further investigation should follow to try and identify if the person may fall within the category of vulnerable.

12.6 The council will familiarise itself with operator licence conditions related to this objective which may include a requirement for operators to provide information to their customers on how to gamble responsibly and how to access information about problem gambling. The council will communicate any concerns to the Gambling Commission about any absence of this required information.

12.7 Applicants should consider the following proposed measures for protecting and supporting vulnerable persons, for example:

- leaflets offering assistance to problem gamblers should be available on gambling premises in a location that is both prominent and discreet, such as toilets
- training for staff members which focuses on building an employee’s ability to maintain a sense of awareness of how much (e.g. how long) customers are gambling, as part of measures to detect persons who may be vulnerable. (see 12.4.1)
- trained personnel for the purpose of identifying and providing support to vulnerable persons
- self exclusion schemes
- stickers or notices on gaming machines to identify the stakes/prizes
- operators should demonstrate their understanding of best practice issued by organisations that represent the interests of vulnerable people
- Fixed Odds Betting Terminals should clearly display the odds
- positioning of ATM machines
- stickers / posters with GamCare Helpline and website in prominent locations, i.e. on ATM machines
- windows, entrances and advertisements to be positioned or designed not to entice passers by.

12.8 The council may consider any of the above or similar measures as licence conditions should these not be adequately addressed by any mandatory conditions, default conditions or proposed by the applicant.

13. Introduction to premises licensing

- 13.1 The council will issue premises licences to allow those premises to be used for certain types of gambling. For example premises licences will be issued to amusement arcades, bingo halls, bookmakers and casinos.
- 13.2 Premises licences are subject to the permissions/restrictions set-out in the Gambling Act 2005 and regulations, as well as specific mandatory and default conditions which are detailed in regulations issued by the Secretary of State. Licensing authorities are able to exclude default conditions and also attach other conditions, where it is believed to be necessary and proportionate. (see 13.18)
- 13.3 Applicants should also be aware that the Gambling Commission has issued Codes of Practice for each interest area for which they must have regard. The council will also have regard to these Codes of Practice.

Definition of "premises"

- 13.4 Premises is defined in the Act as "any place". Different premises licences cannot apply in respect of a single premises at different times. However, it is possible for a single building to be subject to more than one premises licence, provided they are for different parts of the building and the different parts of the building can be reasonably regarded as being different premises. Whether different parts of a building can properly be regarded as being separate premises will always be a question of fact in the circumstances.
- 13.5 The council will take particular care in considering applications for multiple licences for a building and those relating to a discrete part of a building used for other (non-gambling) purposes. In particular the council will assess entrances and exits from parts of a building covered by one or more licences to satisfy itself that they are separate and identifiable so that the separation of different premises is not compromised and that people do not 'drift' into a gambling area.
- 13.6 The council will pay particular attention to applications where access to the licensed premises is through other premises (which themselves may be licensed or unlicensed). Issues that the council will consider before granting such applications include whether children can gain access, compatibility of the two establishments; and the ability to comply with the requirements of the Act. In addition an overriding consideration will be whether, taken as a whole, the co-location of the licensed premises with other facilities has the effect of creating an arrangement that otherwise would, or should, be prohibited under the Act.
- 13.7 An applicant cannot obtain a full premises licence until they have the right to occupy the premises to which the application relates.
- 13.8 Where an applicant does not have the right to occupy a premises, the premises is still to be constructed, or the applicant expects the premises to be altered and ultimately a premises licence will be required, the applicant should in the first instance consider making an application for a provisional statement (see section 20).

Location

- 13.9 The council is aware that demand issues (e.g. the likely demand or need for gambling facilities in an area) cannot be considered with regard to the location of premises but that considerations in terms of the licensing objectives can. The council will pay

particular attention to the protection of children and vulnerable persons from being harmed or exploited by gambling, as well as issues of crime and disorder.

13.10 With regards to these objectives it is the council's policy, upon receipt of any relevant representations to look at specific location issues including:

- the possible impact a gambling premises may have on any premises that provide services to children or young people, i.e. a school, or vulnerable adult centres in the area
- the possible impact a gambling premises may have on residential areas where there may be a high concentration of families with children
- the size of the premises and the nature of the activities taking place
- any levels of organised crime in the area.

The council will need to be satisfied that there is sufficient evidence that the particular location of the premises would be harmful to the licensing objectives. Such evidence may be used to inform the decision the council makes about whether to grant the licence, to grant the licence with special conditions or to refuse the application.

13.11 This policy does not preclude any application being made and each application will be decided on its merits, with the onus being upon the applicant to show how the concerns can be overcome.

Duplication with other regulatory regimes

13.12 The council will seek to avoid any duplication with other statutory/regulatory systems where possible, including planning. The council will not consider whether a licence application is likely to be awarded planning permission or building regulations approval, in its consideration of it. It will though, listen to, and consider carefully, any concerns about proposed conditions which are not able to be met by the applicant due to planning restrictions, should such a situation arise.

Conditions

13.13 The council is aware that the Secretary of State has set mandatory conditions and default conditions which are necessary for the general good conduct of gambling premises, therefore it is unlikely that the council will need to impose individual conditions imposing a more restricted regime in relation to matters that have already been dealt with. If the council is minded to do so because there is regulatory concerns of an exceptional nature, then any additional licence conditions must relate to the licensing objectives.

13.14 Where there are specific risks or problems associated with a particular locality, or specific premises, or class of premises, the council will be able to attach individual conditions to address this.

13.15 Any conditions attached to a licence issued by the council will be proportionate and will be:

- relevant to the need to make the proposed building suitable as a gambling facility
- directly related to the premises and the type of licence applied for, and/or related to the area where the premises is based
- fairly and reasonably related to the scale, type and location of premises
- consistent with the licensing objectives, and
- reasonable in all other respects.

13.16 Decisions about individual conditions will be made on a case by case basis, although there will be a number of control measures the council will consider using, such as supervision of entrances, supervision of adult gaming machines, appropriate signage for

adult only areas etc. There are specific comments made in this regard under each of the licence types below. The council will also expect the applicant to offer his/her own suggestions as to the way in which the licensing objectives can be met effectively.

13.17 Where certain measures are not already addressed by the mandatory/default conditions or by the applicant, the council may consider licence conditions to cover issues such as:

- proof of age schemes
- CCTV
- supervision of entrances
- supervision of machine areas
- physical separation of areas
- location of entrance points
- notices / signage
- specific opening hours
- a requirement that children must be accompanied by an adult
- enhanced CRB checks of the applicant and/or staff
- support to persons with gambling addiction
- policies to address seasonal periods where children may more frequently attempt to gain access to premises and gamble such as half terms and summer holidays
- policies to address the problems associated with truant children who may attempt to gain access to premises and gamble
- any one or a combination of the measures as set out at paragraph 12.7 of this policy.

13.18 This list is not mandatory or exhaustive and is merely indicative of examples of certain measures which may satisfy the requirements of the licensing authority and the responsible authorities, depending on the nature and location of the premises and the gambling facilities to be provided.

13.19 There are conditions which the council cannot attach to premises licences which are:

- any condition on the premises licence which makes it impossible for the applicant to comply with an operating licence condition;
- conditions relating to gaming machine categories, numbers, or method of operation;
- conditions which provide that membership of a club or body be required (the Gambling Act 2005 specifically removes the membership requirement for casino and bingo clubs and this provision prevents it being reinstated) and
- conditions in relation to stakes, fees, winnings or prizes.

Door supervision

13.20 The council will consider whether there is a need for door supervision in terms of the licensing objectives of protection of children and vulnerable persons from being harmed or exploited by gambling, and also in terms of preventing premises becoming a source of crime. It is noted though that the Gambling Act 2005 has amended the Private Security Industry Act 2001 and that door supervisors at casinos or bingo premises are not required to be licensed by the Security Industry Authority. Where door supervisors are provided at these premises the operator should ensure that any persons employed in this capacity are fit and proper to carry out such duties. Possible ways to achieve this could be to carry out a criminal records (CRB) check on potential staff and for such personnel to have attended industry recognised training.

14. Adult gaming centres

14.1 Adult gaming centres are a new category of premises introduced by the Act that are most closely related to what are commonly known as adult only amusement arcades seen in many city centres. Licensed family entertainment centres are those premises which usually provide a range of amusements such as computer games, penny pushers

and may have a separate section set a side for adult only gaming machines with higher stakes and prizes.

14.2 Under the Act a premises holding an adult gaming centre licence will be able to make certain numbers of category B, C and D gaming machines available and no one under 18 will be permitted to enter such premises.

14.3 The council will specifically have regard to the need to protect children and vulnerable persons from harm or being exploited by gambling in these premises. The council will expect applicants to satisfy the authority that there will be sufficient measures to ensure that under 18 year olds do not have access to the premises, or in the case of LFECs to the adult only gaming machine areas.

14.4 Where certain measures are not already addressed by the mandatory and default conditions and the Gambling Commission Codes of Practice or by the applicant, the council may consider licence conditions to address such issues, examples of which are provided at paragraph 13.15.

15. Licensed family entertainment centres

15.1 Licensed family entertainment centres will be able to make available a certain number of category C and D machines where there is clear segregation in place so children do not access the areas where the category C machines are located (see Appendix 1).

15.2 Where category C or above machines are available in premises to which children are admitted then the council will ensure that:

- all such machines are located in an area of the premises separate from the remainder of the premises by a physical barrier which is effective to prevent access other than through a designated entrance. For this purpose a rope, floor markings or similar provision will not suffice and the council may insist on a permanent barrier of at least 1 meter high
- only adults are admitted to the area where the machines (category C) are located
- access to the area where the machines are located is supervised at all times
- the area where the machines are located is arranged so that it can be observed by staff; and
- at the entrance to, and inside any such area there are prominently displayed notices indicating that access to the area is prohibited to persons under 18.

15.3 The council will refer to the Commission's website to familiarise itself with any conditions that apply to operating licences covering the way in which the area containing the category C machines should be delineated. The council will also make itself aware of the mandatory or default conditions and any Gambling Commission Codes of Practice on these premises licences.

16. Casinos

16.1 Leeds has a number of casinos which were licensed under the Gaming Act 1968, which have been subsequently converted into Gambling Act 2005 Converted Casino Premises Licences.

16.2 The Gambling Act states that a casino is an arrangement whereby people are given the opportunity to participate in one or more casino games whereby casino games are defined as a game of chance which is not equal chance gaming. This means that casino games offer the chance for multiple participants to take part in a game competing against the house or bank at different odds to their fellow players.

Licence considerations / conditions

- 16.3 The Gambling Commission has issued further guidance about the particular issues that licensing authorities should take into account in relation to the suitability and layout of casino premises. This guidance will be considered when determining licence applications for converted casino licences.
- 16.4 Where certain measures are not already addressed by the mandatory/default conditions, Gambling Commission Codes of Practice or by the applicant, the council may consider licence conditions to cover certain issues, examples of which are provided at paragraph 13.15.

Betting machines

- 16.5 The council is aware that Section 181 of the Act contains an express power for licensing authorities to restrict the number of betting machines, their nature and the circumstances in which they are made available by attaching a licence condition to a casino premises licence (where betting is permitted in the casino). When considering whether to impose a condition to restrict the number of betting machines in particular premises, the council, amongst other things, will take into account the size of the premises, the number of counter positions available for person-to-person transactions, and the ability of staff to monitor the use of the machines.

Large Casino

- 16.6 The Act introduces three new categories of larger casino; one regional casino, eight large casinos and eight small casinos. On 15th May 2008 the Categories of Casino Regulations 2008 and the Gambling (Geographical Distribution of Large and Small Casino Premises Licences) Order 2008 were approved. This specified which Licensing Authorities could issue premises licences for both large and small casinos. Leeds City Council was one of the Licensing Authorities that was authorised to issue a large Casino Premises Licence.
- 16.7 The Council is currently putting arrangements in place to hold the competition for the Large Casino Premises Licence. The statement of principles for the large casino process will be consulted upon during 2010 with a view to run the competition at some point after that.

17. Bingo premises

- 17.1 There is no official definition for bingo in the Gambling Act 2005 however from a licensing point of view there is a category of premises licence specifically for bingo premises which is used by traditional commercial bingo halls for both cash and prize bingo. In addition this premises licence will authorise the provision of a limited number of gaming machines in line with the provisions of the Act. (see Appendix 1)
- 17.2 The council is aware that it is important that if children are allowed to enter premises licensed for bingo that they do not participate in gambling, other than on category D machines. Where category C or above machines are available in premises to which children are admitted then the council will ensure that:
- all such machines are located in an area of the premises separate from the remainder of the premises by a physical barrier which is effective to prevent access other than through a designated entrance. For this purpose a rope, floor markings or similar provision will not suffice and the council may insist on a permanent barrier of at least one meter high
 - only adults are admitted to the area where the machines are located
 - access to the area where the machines are located is supervised at all times

- the area where the machines are located is arranged so that it can be observed by staff
- at the entrance to, and inside any such area there are prominently displayed notices indicating that access to the area is prohibited to persons under 18
- children will not be admitted to bingo premises unless accompanied by an adult.

17.3 The Gambling Commission has issued further guidance about the particular issues that licensing authorities should take into account in relation to the suitability and layout of bingo premises. This guidance will be considered by the council once it is made available.

17.4 Where certain measures are not already addressed by the mandatory/default conditions, the Gambling Commission Code of Practice or the applicant, the council may consider licence conditions to address such issues, examples of which are provided at paragraph 13.15.

18. Betting premises

18.1 Betting premises are premises such as bookmakers where various types of gambling are authorised to take place. The Act contains a single class of licence for betting premises however within this single class there are different types of premises which require licensing such as high street bookmakers, bookmakers located in self contained facilities at race courses as well as the general betting premises licences that track operators will require.

Betting machines

18.2 The council is aware that Section 181 of the Act contains an express power for licensing authorities to restrict the number of betting machines, their nature and the circumstances in which they are made available by attaching a licence condition to a betting premises licence. When considering whether to impose a condition to restrict the number of betting machines in particular premises, the council, amongst other things, will take into account the size of the premises, the number of counter positions available for person-to-person transactions, and the ability of staff to monitor the use of the machines.

18.3 Where an applicant for a betting premises licence intends to offer higher stake category B gaming machines (categories B2-B4) including any Fixed Odds Betting Terminals (FOBTs), then applicants should consider the control measures related to the protection of vulnerable persons, highlighted at paragraph 12.7.

18.4 Where certain measures are not already addressed by the mandatory/default conditions, Gambling Commission Code of Practice or the applicant, the council may consider licence conditions to address such issues, examples of which are provided at paragraph 13.15.

19. Tracks

19.1 Tracks are sites (including racecourses and dog tracks) where races or other sporting events take place. Betting is a major gambling activity on tracks, both in the form of pool betting (often known as the "totaliser" or "tote"), and also general betting, often known as "fixed-odds" betting. Multiple betting outlets are usually located on tracks such as 'on-course' betting operators who come onto the track just on race days to provide betting for the races taking place on that track. There can also be 'off-course' betting operators who may operate self contained facilities at the tracks which offer customers the chance to bet on other events, not just those taking place on the track.

19.2 All tracks will require a primary 'general betting premises licence' that the track operator will hold. It should be noted that track operators do not require an operating

licence from the Gambling Commission although they may apply for one. This is because the various other gambling operators offering betting at the track will each hold an operating licence.

- 19.3 Tracks may also be subject to one or more premises licences, provided each licence relates to a specified area of the track. This may be preferable for any self-contained premises providing off-course betting facilities at the track. The council will however assess each individual case on its merits before deciding if this is necessary. Where possible the council will be happy for the track operator to decide if any particular off-course operators should apply for a separate premises licence.
- 19.4 If any off-course operators are permitted to provide betting facilities under the authorisation of the track operator's premises licence, then it will be the responsibility of the premises licence holder to ensure the proper conduct of such betting within the premises boundary.
- 19.5 Gambling Commission guidance also indicates that it would be possible for other types of gambling premises to be located at a track under the authorisation of separate premises licences, e.g. a casino premises licence or adult gaming centre premises licence. If you require further guidance on this provision please contact the Entertainment Licensing Section.
- 19.6 Children and young persons will be permitted to enter track areas where facilities for betting are provided on days when dog-racing and/or horse racing takes place, although they are still prevented from entering areas where gaming machines and betting machines (other than category D machines) are provided.
- 19.7 The council will consider the impact upon the protection of children licensing objective and the need to ensure that entrances to each type of betting premises are distinct and that children are excluded from gambling areas where they are not permitted to enter.

Betting machines

- 19.8 The council is aware that Section 181 of the Act contains an express power for licensing authorities to restrict the number of betting machines, their nature and the circumstances in which they are made available by attaching a licence condition to a betting premises licence. When considering whether to impose a condition to restrict the number of betting machines in particular premises, the council, amongst other things, will take into account the size of the premises, the number of counter positions available for person-to-person transactions and the location of the machines, in order to ensure they are in a properly segregated area where children are not permitted.
- 19.9 Condition on rules being displayed – The council will consider any Gambling Commission guidance about the application of conditions regarding rules being displayed. The council may require the track operator to ensure that the rules are prominently displayed in or near the betting areas, or that the rules are displayed in the race-card or made available in leaflet form from the track office.
- 19.10 Where certain measures are not already addressed by the mandatory/default conditions, the Gambling Commission's Code of Practice or the applicant, the council may consider licence conditions to address such issues, examples of which are provided at paragraph 13.15.

20. Travelling fairs

- 20.1 Travelling fairs have traditionally been able to provide various types of low stake gambling without the need for a licence or permit provided that certain conditions are met and this provision continues in similar fashion under the new Act.

- 20.2 Travelling fairs have the right to provide an unlimited number of category D gaming machines and/or equal chance prize gaming (without the need for a permit) as long as the gambling amounts to no more than an ancillary amusement at the fair. (see Appendix 1)
- 20.3 The council will consider whether any fairs which take up the above entitlement fall within the statutory definition of a travelling fair.
- 20.4 The council is aware that the 27-day statutory maximum for the land being used as a fair is per calendar year and that it applies to the piece of land on which the fairs are held, regardless of whether it is the same or different travelling fairs occupying the land. The council will work with its neighbouring authorities to ensure that land which crosses the council boundary is monitored so that the statutory limits are not exceeded.

21. Provisional statements

- 21.1 A provisional statement application is a process which allows a developer to examine the likelihood of whether a building which he expects to be constructed, to be altered or to acquire a right to occupy would be granted a premises licence. A provisional statement is not a licence and merely gives the holder some form of guarantee that a premises licence would be granted so the developer can judge whether a development is worth taking forward in light of the need to obtain a premises licence. An applicant may also apply for a provisional statement for premises which already hold a premises licence (either for a different type of gambling or the same type).
- 21.2 In terms of representations about premises licence applications, following the grant of a provisional statement, no further representations from responsible authorities or interested parties can be taken into account unless they concern matters which could not have been addressed at the provisional statement stage, or they reflect a change in the applicant's circumstances. In addition, the council may refuse the premises licence (or grant it on terms different to those attached to the provisional statement) only by reference to matters:
- a) which could not have been raised by objectors at the provisional licence stage; or
 - b) which in the authority's opinion reflect a change in the operator's circumstances.
- 21.3 When determining a provisional statement application the council will operate in accordance with the Act and will not have regard to any issues related to planning consent or building regulations, e.g. the likelihood that planning consent will be granted.

22. Unlicensed family entertainment centre gaming machine permits (UFECs)

- 22.1 The term 'unlicensed family entertainment centre' is one defined in the Act and refers to a premises which provides category D gaming machines along with various other amusements such as computer games and penny pushers. The premises is 'unlicensed' in that it does not require a premises licence but does require a permit to be able to provide category D machines. It should not be confused with a 'licensed family entertainment centre' which requires a premises licence because it contains both category C and D gaming machines.
- 22.2 The Gambling Act 2005 contains provision for local authorities to prepare a "Statement of Principles" that they propose to consider in determining the suitability of an applicant for a permit. Schedule 10, Para 7 of the Act states "In preparing this statement, and/or considering applications, it [the council] need not (but may) have regard to the licensing objectives and shall have regard to any relevant guidance issued by the Commission under Section 25.
- 22.3 In line with the above provision the council has prepared a 'Statement of Principles' in relation to unlicensed family entertainment centre gaming machines as follows:

Statement of Principles

- 22.4 The council will expect the applicant to show that there are policies and procedures in place to protect children from harm. Harm in this context is not limited to harm from gambling but includes wider child protection considerations.
- 22.5 The efficiency of such policies and procedures will each be considered on their merits, however, they may include:
- appropriate measures and training for staff as regards suspected truant children on the premises
 - measures and training covering how staff would deal with unsupervised very young children being on the premises
 - measures and training covering how staff would deal with children causing perceived problems on or around the premises.
 - the arrangements for supervision of premises either by staff or the use of CCTV. Any CCTV system installed should both the interior and the entrance working to the Home Office and ACPO standards as described PSDB leaflet 09/05 and to the satisfaction of West Yorkshire Police and the local authority. The system must record images clearly and these recordings be retained for a minimum of 31 days. If the equipment is inoperative the police and local authority must be informed as soon as possible and immediate steps taken to make the system operative. Notices must be displayed at the entrances advising that CCTV is in operation.
- 22.6 Due to the nature of these premises, which are attractive to children, applicants who employ staff to supervise the premises should consult with the Independent Safeguarding Authority to determine if their staff need to be CRB checked.
- 22.7 The council will also expect, as per the Gambling Commission Guidance, that applicants demonstrate:
- A full understanding of the maximum stakes and prizes of the gambling that is permissible in unlicensed FECS
 - That the applicant has no relevant conviction (those that are set out in Schedule 7 of the Act), and
 - That staff are trained to have a full understanding of the maximum stakes and prizes.

- 22.8 In line with the Act, while the council cannot attach conditions to this type of permit, the council can refuse applications if they are not satisfied that the issues raised in the "Statement of Principles" have been addressed through the application.
- 22.9 Applicants only need to address the "Statement of Principles" when making their initial applications and not at renewal time.

23 Gaming machine permits in premises licensed for the sale of alcohol

- 23.1 There is provision in the Act for premises licensed to sell alcohol for consumption on the premises, to automatically have two gaming machines, of categories C and/or D. The premises merely need to notify the council. The council can remove the automatic authorisation in respect of any particular premises if:
- provision of the machines is not reasonably consistent with the pursuit of the licensing objectives;
 - gaming has taken place on the premises that breaches a condition of Section 282 of the Gambling Act (i.e. that written notice has been provided to the licensing authority, that a fee has been provided and that any relevant code of practice issued by the Gambling Commission about the location and operation of the machine has been complied with)
 - the premises are mainly used for gaming; or
 - an offence under the Gambling Act has been committed on the premises.
- 23.2 If a premises wishes to have more than two machines, then it needs to apply for a permit and the council must consider that application based upon the licensing objectives, any guidance issued by the Gambling Commission issued under Section 25 of the Gambling Act 2005, and "*such matters as they think relevant.*" The council considers that "such matters" will be decided on a case by case basis but generally there will be regard to the need to protect children and vulnerable persons from harm or being exploited by gambling. The council will also expect the applicant to satisfy the authority that there will be sufficient measures to ensure that children and young people under the age of 18 do not have access to the adult only gaming machines.
- 23.3 All alcohol licensed premises with gaming machines must have regard to the need to protect children and vulnerable persons from harm or being exploited by gambling and provide sufficient measures to ensure that under 18 year olds do not use the adult only gaming machines.
- 23.4 Measures which may satisfy the council that persons under 18 years will be prevented from using the machines may include the machines being in close proximity to the bar, or in any other area where they are capable of being adequately supervised. Notices and signage may also help. As regards the protection of vulnerable persons, applicants may wish to consider the provision of information leaflets and or helpline numbers for organisations such as GamCare.
- 23.5 The council can decide to grant the permit with a smaller number of machines and/or a different category of machines than that applied for. Conditions (other than these) cannot be attached.
- 23.6 The holder of a permit must comply with any Code of Practice issued by the Gambling Commission about the location and operation of the machine(s).
- 23.7 It is recognised that some alcohol licensed premises may apply for a premises licence for their non-alcohol licensed areas. Any such application would need to be dealt with under the relevant provisions of the Act.

24. Prize gaming permits

- 24.1 Section 288 defines gaming as prize gaming if the nature and size of the prize is not determined by the number of people playing or the amount paid for or raised by the gaming. The prizes will be determined by the operator before play commences. Prize gaming can often be seen at seaside resorts in amusement arcades where a form of bingo is offered and the prizes are displayed on the walls.
- 24.2 A prize gaming permit is a permit issued by the licensing authority to authorise the provision of facilities for gaming with prizes on specified premises.
- 24.3 The Gambling Act 2005 contains provision for local authorities to prepare a "Statement of Principles" that they propose to consider in determining the suitability of an applicant for a permit. Schedule 14, Para 8 of the Act states, "in preparing this statement, and/or considering applications, it [the council] need not (but may) have regard to the licensing objectives and shall have regard to any relevant guidance issued by the Commission under Section 25.
- 24.4 In line with the above provision the council has prepared a Statement of Principles in relation to prize gaming permits as follows:

Statement of Principles

- 24.5 The council will expect the applicant to show that there are policies and procedures in place to protect children from harm. Harm in this context is not limited to harm from gambling but includes wider child protection considerations.
- 24.6 The efficiency of such policies and procedures will each be considered on their merits, however, they may include:
- appropriate measures and training for staff as regards suspected truant children on the premises
 - measures and training covering how staff would deal with unsupervised very young children being on the premises
 - measures and training covering how staff would deal with children causing perceived problems on or around the premises.
 - the arrangements for supervision of premises either by staff or the use of CCTV. Any CCTV system installed should both the interior and the entrance working to the Home Office and ACPO standards as described PSDB leaflet 09/05 and to the satisfaction of West Yorkshire Police and the local authority. The system must record images clearly and these recordings be retained for a minimum of 31 days. If the equipment is inoperative the police and local authority must be informed as soon as possible and immediate steps taken to make the system operative. Notices must be displayed at the entrances advising that CCTV is in operation.
- 24.7 Due to the nature of these premises, which are attractive to children, applicants who employ staff to supervise the premises should consult with the Independent Safeguarding Authority to determine if their staff need to be CRB checked.
- 24.8 The council will also expect, as per the Gambling Commission Guidance, that applicants demonstrate:
- A full understanding of the maximum stakes and prizes of the gambling that is permissible
 - That the gaming offered is within the law.
- 24.9 In line with the Act, while the council cannot attach conditions to this type of permit, the council can refuse applications if they are not satisfied that the issues raised in the "Statement of Principles" have been addressed through the application.

- 24.10 Applicants only need to address the "Statement of Principles" when making their initial applications and not at renewal time.
- 24.11 There are conditions in the Gambling Act 2005 by which the permit holder must comply. The conditions in the Act are:
- the limits on participation fees, as set out in regulations, must be complied with;
 - all chances to participate in the gaming must be allocated on the premises on which the gaming is taking place and on one day; the game must be played and completed on the day the chances are allocated; and the result of the game must be made public in the premises on the day that it is played;
 - the prize for which the game is played must not exceed the amount set out in regulations (if a money prize), or the prescribed value (if non-monetary prize); and
 - participation in the gaming must not entitle the player to take part in any other gambling.

25. Club gaming and club machine permits

- 25.1 Members clubs and miners' welfare institutes may apply for a 'club gaming permit' or a 'club machine permit'. The 'club gaming permit' will enable the premises to provide gaming machines (three machines of categories B4, C or D), equal chance gaming and games of chance as set-out in forthcoming regulations. A 'club machine permit' will enable the premises to provide gaming machines (three machines of categories B4, C or D). Commercial clubs may apply for a 'club machine permit' only.
- 25.2 To qualify for these special club permits a members club must have at least 25 members and be established and conducted "wholly or mainly" for purposes other than gaming, unless the gaming is permitted by separate regulations. It is anticipated that this will cover bridge and whist clubs, which will replicate the position under the Gaming Act 1968. A members' club must be permanent in nature, not established to make commercial profit, and controlled by its members equally. Examples include working men's clubs, branches of the Royal British Legion and clubs with political affiliations.
- 25.3 Clubs must have regard to the protection of children and vulnerable persons from harm or being exploited by gambling. They must provide sufficient measures to ensure that under 18 year olds do not use the adult only gaming machines. These measures may include:
- the machines being in close proximity to the bar, or in any other area where they are capable of being adequately supervised
 - notices and signage
 - the provision of information leaflets / helpline numbers for organisations such as GamCare.
- 25.4 Before granting the permit the council will need to satisfy itself that the premises meets the requirements of a members' club and that the majority of members are over 18.
- 25.5 The council may only refuse an application on the grounds that:
- (a) the applicant does not fulfil the requirements for a members' or commercial club or miners' welfare institute and therefore is not entitled to receive the type of permit for which they have applied;
 - (b) the applicant's premises are used wholly or mainly by children and/or young persons;
 - (c) an offence under the Act or a breach of a permit has been committed by the applicant while providing gaming facilities;
 - (d) a permit held by the applicant has been cancelled in the previous ten years; or
 - (e) an objection has been lodged by the Commission or the police.

25.6 There is also a 'fast-track' procedure available for premises which hold a club premises certificate under the Licensing Act 2003. Under the fast-track procedure there is no opportunity for objections to be made by the Commission or the police, and the ground upon which the council can refuse a permit is reduced. The grounds on which an application under the process may be refused are:

- (a) that the club is established primarily for gaming,
- (b) that in addition to the prescribed gaming, the applicant provides facilities for other gaming; or
- (c) that a club gaming permit or club machine permit issued to the applicant in the last ten years has been cancelled.

26. Temporary use notices

26.1 Temporary use notices allow the use of premises on not more than 21 days in any 12 month period for gambling where there is no premises licence but where a gambling operator wishes to use the premises temporarily for providing facilities for gambling. Premises that might be useful for a temporary use notice would include hotels, conference centres and sporting venues.

26.2 Temporary Use Notices allow the use of premises for any form of equal chance gambling where those participating in the gaming are taking part in a competition which is intended to produce a single, overall winner.

26.3 Only persons or companies holding a relevant operating licence can apply for a temporary use notice to authorise the particular class of gambling permitted by their operating licence. For example, the holder of a casino operating licence could apply for a temporary use notice to provide casino games at a hotel.

26.4 A temporary use notice must be lodged with the licensing authority not less than three months and one day before the day on which the gambling is due to take place. Detailed information about how to serve a temporary use notice will be available in a separate guidance note.

26.5 The Act makes a special reference, in the context of temporary use notices, to a "set of premises" to try and ensure that large premises which cannot reasonably be viewed as separate are not used for more temporary use notices than permitted under the Act. The council considers that the determination of what constitutes "a set of premises" will be a question of fact in the particular circumstances of each notice that is given. In considering whether a place falls within the definition of a "set of premises", the council will look at, amongst other things, the ownership/occupation and control of the premises. The council will be ready to object to notices where it appears that their effect would be to permit regular gambling in a place that could be described as one set of premises.

27. Occasional use notices (for tracks)

27.1 There is a special provision in the Act which provides that where there is betting on a track on eight days or less in a calendar year, betting may be permitted by an occasional use notice without the need for a full premises licence. Track operators and occupiers need to be aware that the procedure for applying for an occasional use notice is different to that for a temporary use notice. The application may be made in writing, to the council by an existing operator who holds an Operating Licence issued by the Gambling Commission.

27.2 The council has very little discretion as regards these notices aside from ensuring that the statutory limit of 8 days in a calendar year is not exceeded. The council will however consider the definition of a 'track' and whether the applicant is entitled to benefit from such notice.

28. Small society lottery registrations

- 28.1 A lottery generally refers to schemes under which prizes are distributed by chance among entrants who have given some form of value for their chance to take part.
- 28.2 The Act creates two principal classes of lotteries: Licensed lotteries and exempt lotteries. Licensed lotteries are large society lotteries and lotteries run for the benefit of local authorities. These will be regulated by the Gambling Commission. Within the class of exempt lotteries there are four sub classes, one of which is small society lotteries.
- 28.3 A small society lottery is a lottery promoted on behalf of a non commercial society as defined in the Act which also meets specific financial requirements set out in the Act. These will be administered by the council for small societies who have a principal office in Leeds and want to run such lottery.
- 28.4 A lottery is small if the total value of tickets put on sale in a single lottery is £20,000 or less and the aggregate value of the tickets put on sale in a calendar year is £250,000 or less.
- 28.5 To be 'non-commercial' a society must be established and conducted:
- for charitable purposes,
 - for the purpose of enabling participation in, or supporting, sport, athletics or a cultural activity; or
 - for any other non-commercial purpose other than that of private gain.
- 28.6 The other types of exempt lotteries are 'incidental non-commercial lotteries', 'private lotteries' and 'customer lotteries'. If you require guidance on the different categories of lotteries please contact the council.
- 28.7 The National lottery is not licensed by the Gambling Act 2005 and continues to be regulated by the National Lottery Commission under the National Lottery Act 1993.

29. Enforcement principles

- 29.1 The council will work closely with the responsible authorities in accordance with a locally established joint enforcement protocol and will aim to promote the licensing objectives by targeting known high risk premises following government guidance around better regulation.
- 29.2 In carrying out its enforcement duties with regards to the inspection of premises; and the powers to institute criminal proceedings in respect of certain offences under the Act the council will endeavour to be:
- **proportionate:** regulators should only intervene when necessary: remedies should be appropriate to the risk posed, and costs identified and minimised;
 - **accountable:** regulators must be able to justify decisions, and be subject to public scrutiny;
 - **consistent:** rules and standards must be joined up and implemented fairly;
 - **transparent:** regulators should be open, and keep regulations simple and user friendly; and
 - **targeted:** regulation should be focused on the problem, and minimise side effects.
- 29.3 The council will endeavour to avoid duplication with other regulatory regimes so far as possible.
- 29.4 The council will also adopt a risk-based inspection programme in line with government recommendations around better regulation and the principles of the Hampton Review.
- 29.5 The main enforcement and compliance role for the council in terms of the Gambling Act 2005 will be to ensure compliance with the premises licences and other permissions which it authorises. The Gambling Commission will be the enforcement body for the operator and personal licences. Concerns about the manufacture, supply or repair of gaming machines will not be dealt with by the council but will be notified to the Gambling Commission. In circumstances where the council believes a premises requires a premises licence for gambling activities and no such licence is in force, the council will alert the Gambling Commission.
- 29.6 The council will also keep itself informed of developments as regards the work of the Better Regulation Executive in its consideration of the regulatory functions of local authorities.
- 29.7 The council's enforcement/compliance protocols/written agreements will be available upon request.

30. Reviews

30.1 A review is a process defined in the legislation which ultimately leads to a licence being reassessed by the Licensing Committee with the possibility that the licence may be revoked, suspended or that conditions may amended or new conditions added.

30.2 Requests for a review of a premises licence can be made by interested parties or responsible authorities, however, it is for the council to decide whether the review is to be carried-out. This will be on the basis of whether the request for the review is:

- i) in accordance with any relevant code of practice issued by the Gambling Commission
- ii) in accordance with any relevant guidance issued by the Gambling Commission
- iii) reasonably consistent with the licensing objectives and
- iv) in accordance with this authority's Gambling Act 2005 – Statement of Licensing Policy.

In addition the council may also reject the application on the grounds that the request is frivolous, vexatious, will certainly not cause this authority to wish to alter, revoke or suspend the licence, or is substantially the same as previous representations or requests for review.

30.3 The council can also initiate a review of a licence on the basis of any reason which it thinks is appropriate.

Appendix 1 Gaming machines

This appendix describes the categories of gaming machine as set out in the Act (and in regulations) and the number of such machines that may be permitted in each type of gambling premises.

- Table 1 below sets out the current proposals for the different categories with the maximum stakes and prizes that will apply. This table will be updated as soon as the proposals are confirmed.
- Table 2 overleaf shows the maximum number of machines permitted and in the case of casinos the ratios between tables and machines.

Category of machine	Maximum Stake	Maximum Prize
A	Unlimited	Unlimited
B1	£2	£4,000
¹ B2	£100	£500
B3	£1	£500
B4	£1	£250
C	£1	£70
D – money prize machine	10p	£5
D – non-money prize machine (not crane grab)	30p	£8
D – crane grab machine	£1	£50
D – coin pusher or penny fall machine	10p	£15 (£8 money prize)

Table 1

1 The category B2 is not actually a traditional slot machine. It refers to a type of gaming machine known as a fixed odds betting terminal (FOBTs). These are a new type of gaming machine which generally appear in licensed bookmakers. FOBTs have 'touch-screen' displays and look similar to quiz machines familiar in pubs and clubs. They normally offer a number of games, roulette being the most popular.

(Appendix 1 continued)

Premises Type	Machine category						
	A	B1	B2	B3	B4	C	D
Regional casino (machine/table ratio of 25-1 up to maximum)	Maximum of 1250 machines Any combination of machines in categories A to D, within the total limit of 1250 (subject to table ratio)						
Large casino (machine/ table ratio of 5-1 up to maximum)		Maximum of 150 machines Any combination of machines in categories B to D, within the total limit of 150 (subject to table ratio)					
Small casino (machine/table ratio of 2-1 up to maximum)		Maximum of 80 machines Any combination of machines in categories B to D, within the total limit of 80 (subject to table ratio)					
Pre-2005 Act Casinos (no machine/table ratio)		Maximum of 20 machines categories B to D or C or D machines instead					
Betting premises and tracks operated by pool betting			Maximum of 4 machines categories B2 to D				
Bingo Premises				Maximum of 8 machines in category B3 of B4		No limit C or D machines	
Adult gaming centre				Maximum of 4 machines in category B3 of B4		No limit C or D machines	
Family entertainment centre (with premises licence)						No limit C or D machines	
Family entertainment centre (with Permit)							No limit on category D machines
Clubs or miners' welfare institutes with permits					maximum of 3 machines in categories B4 to D		
Qualifying alcohol licensed premises						1 or 2 machines of category C or D automatic upon notification	
Qualifying alcohol licensed premises with gaming machine permit						Number as specified on permit	
Travelling fair							No limit on category D machines
	A	B1	B2	B3	B4	C	D

Table 2

It should be noted that member's clubs and miner's welfare institutes are entitled to site a total of three machines in categories B3A to D but only one B3A machine can be sited as part of this entitlement. Commercial clubs are entitled to a total of three machines in categories B4 to D.

Appendix 2 Glossary of terms

Term	Description
ATM	Auto teller machine or cash machine.
Betting	Betting is defined as making or accepting a bet on the outcome of a race, competition or other event or process or on the outcome of anything occurring or not occurring or on whether anything is or is not true. It is irrelevant if the event has already happened or not and likewise whether one person knows the outcome or not. (Spread betting is not included within this definition).
Betting Machines / Bet Receipt Terminal	Betting Machines can be described as automated betting terminals where people can place bets on sporting events removing the need to queue up and place a bet over the counter.
Bingo	There are essentially two types of bingo: Cash bingo, where the stakes paid make up the cash prizes that can be won and Prize bingo, where various forms of prizes can be won, not directly related to the stakes paid.
Book	Running a 'book' is the act of quoting odds and accepting bets on an event. Hence the term 'Bookmaker'.
Casino games	A game of chance, which is not equal chance gaming. Casino games includes Roulette and black jack etc.
Chip	Casinos in the U.K require you to use chips to denote money. They are usually purchased and exchanged at a cashier's booth.
Coin pusher or penny falls machine	A machine of the kind which is neither a money prize machine nor a non-money prize machine
Crane grab machine	A non-money prize machine in respect of which every prize which can be won consists of an individual physical object (such as a stuffed toy) won by a person's success in manipulating a device forming part of the machine so as to separate, and keep separate, one or more physical objects from a group of such objects.
Default condition	To be prescribed in Regulations. Will be attached to all classes of premises licence, unless excluded by the council.
Equal Chance Gaming	Gaming which does not involve playing or staking against a bank.
Fixed odds betting	If a gambler is able to establish what the return on a bet will be when it is placed, (and the activity is not 'gaming' see below), then it is likely to be betting at fixed odds.
Fixed Odds betting terminals (FOBTs)	FOBTs are a type of gaming machine which generally appear in licensed bookmakers. FOBTs have 'touch-screen' displays and look similar to quiz machines familiar in pubs and clubs. They normally offer a number of games, roulette being the most popular.
Gaming	Gaming can be defined as 'the playing of a game of chance for winnings in money or monies worth, whether any person playing the game is at risk of losing any money or monies worth or not'.
Gaming Machine	Any type of machine allowing any sort of gambling activity including betting on virtual events but not including home computers even though users can access online gaming websites.
Licensing Objectives	The licensing objectives are three principal goals which form the basis of the Act. Stakeholders who have an interest in the Act need to try and promote these objectives: The licensing objectives are: <ul style="list-style-type: none"> preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to

Term	Description
	<p>support crime</p> <ul style="list-style-type: none"> • ensuring that gambling is conducted in a fair and open way • protecting children and other vulnerable persons from being harmed or exploited by gambling.
Lottery	<p>A lottery generally refers to schemes under which prizes are distributed by chance among entrants who have given some form of value for their chance to take part. A lottery is defined as either a simple lottery or a complex lottery. A simple lottery is one where persons are required to pay to participate and one or more prizes are allocated to one or more members of a class, and the prizes are allocated by a process which relies wholly on chance. A complex lottery is where persons are required to pay to participate and one or more members of a class, and the prizes are allocated by a series of processes where the first of those processes relies wholly on chance. Prize means money, articles or services provided by the members of the class among whom the prize is allocated. (It should be noted that the National Lottery is not included in this definition of lottery and is regulated by the National Lottery Commission).</p>
Mandatory condition	<p>A condition which will be set by the Secretary of State (some set out in the Act and some to be prescribed by regulations) which will be automatically attached to a specific type of premises licence. The council will have no discretion to alter or remove these conditions.</p>
Money prize machine	<p>A machine in respect of which every prize which can be won as a result of using the machine is a money prize.</p>
Non-money prize machine	<p>A machine in respect of which every prize which can be won as a result of using the machine is a non-money prize. The winner of the prize is determined by:</p> <p>(i) the position in which the coin or token comes to rest after it has been inserted into the machine, together with the position of other coins or tokens which have previously been inserted into the machine to pay a charge for use, or</p> <p>(ii) if the insertion of a single coin to pay the charge for use enables the person using the machine to release one or more tokens within the machine, the position in which such tokens come to rest after being released, together with the position of other tokens which have previously been so released.</p>
Odds	<p>The ratio to which a bet will be paid if the bet wins. e.g. 3-1 means for every £1 bet, a person would receive £3 of winnings.</p>
Off-course betting operator	<p>Off-course betting operators may, in addition to premises away from the track, operate self contained betting premises within a track premises. Such self contained premises will provide facilities for betting on both events taking place at the track (on-course betting), as well as other sporting events taking place away from the track. (off-course betting). In essence such premises operate like a traditional high street bookmakers. They will however only normally operate on race days.</p>
On-course betting operator	<p>The on-course betting operator is one who comes onto on a track, temporarily, while races are taking place, and operates at the track side. On-course betting operators tend to offer betting only on the events taking place on the track that day (on-course betting).</p>
Pool Betting	<p>For the purposes of the Gambling Act, pool betting is made on terms that all or part of the winnings: 1) Shall be determined by</p>

Term	Description
	reference to the aggregate of the stakes paid or agreed to be paid by the persons betting 2) Shall be divided among the winners or 3) Shall or may be something other than money. For the purposes of the Gambling Act, pool betting is horse-race pool betting if it relates to horse-racing in Britain.
Regulations or Statutory instruments	Regulations are a form of law, often referred to as delegated or secondary legislation. They have the same binding legal effect as Acts and usually state rules that apply generally, rather than to specific persons or things. However, regulations are not made by Parliament. Rather, they are made by persons or bodies to whom Parliament has delegated the authority to make them, such as a minister or an administrative agency.
Representations	In the context of the Gambling Act representations are either positive statements of support or negative objections which are made in relation to a licensing application. Representations must be made in time, e.g. during a designated notice period.
Responsible authority (authorities)	Responsible authorities (RAs) are agencies which have been appointed by the Gambling Act or regulations to fulfil a designated role during the licensing process. RAs must be sent copies of all licensing applications and have the power to make representations about such applications. RAs also have the power to ask for licences to be reviewed. For Leeds the RAs include West Yorkshire Police, The local Safeguarding Children Board, Leeds City Council's Development Department as well as several others.
Skill machine / Skill with prizes machine	The Act does not cover machines that give prizes as a result of the application of pure skill by players. A skill with prizes machine is one on which the winning of a prize is determined only by the player's skill – any element of chance imparted by the action of the machine would cause it to be a gaming machine. An example of a skill game would be trivia game machines, popular in pubs and clubs, which require the player to answer general knowledge questions to win cash prizes.
Spread betting	A form of investing which is more akin to betting, and can be applied either to sporting events or to the financial markets. Spread betting is regulated by the Financial Services Authority.
Stake	The amount pledged when taking part in gambling activity as either a bet, or deposit to the bank or house where the house could be a gaming machine.
Statement of principles document	A document prepared by the council which outlines the areas that applicants need to consider before applying for gaming permits.
Table gaming	Card games played in casinos.
Tote	"Tote" is short for Totaliser, a system introduced to Britain in 1929 to offer pool betting on racecourses.
Track	Tracks are sites (including horse tracks and dog tracks) where races or other sporting events take place. Examples of tracks within the Leeds district would be Elland Road Football ground and Headingley Stadium.

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- (2) Section 127(1) of the Magistrates' Courts Act 1980 (c. 43) shall not apply to an offence under this Act.

348 Excluded premises

- (1) This Act shall have no effect in relation to anything done on, or in relation to any use of, premises of a kind specified for the purposes of this subsection by order of the Secretary of State.
- (2) This Act shall have no effect in relation to anything done on, or in relation to any use of, premises certified for the purposes of this subsection, on grounds relating to national security, by the Secretary of State or the Attorney General.

349 Three-year licensing policy

- (1) A licensing authority shall before each successive period of three years –
- (a) prepare a statement of the principles that they propose to apply in exercising their functions under this Act during that period, and
 - (b) publish the statement.
- (2) A licensing authority shall –
- (a) review their statement under this section from time to time,
 - (b) if they think it necessary in the light of a review, revise the statement, and
 - (c) publish any revision before giving it effect.
- (3) In preparing a statement or revision under this section a licensing authority shall consult –
- (a) either –
 - (i) in England and Wales, the chief officer of police for the authority's area, or
 - (ii) in Scotland, the chief constable of the police force maintained for the police area comprising that area,
 - (b) one or more persons who appear to the authority to represent the interests of persons carrying on gambling businesses in the authority's area, and
 - (c) one or more persons who appear to the authority to represent the interests of persons who are likely to be affected by the exercise of the authority's functions under this Act.
- (4) The Secretary of State may make regulations about –
- (a) the form of statements under this section;
 - (b) the procedure to be followed in relation to the preparation, review or revision of statements under this section;
 - (c) the publication of statements under this section.
- (5) In relation to statements prepared under this section by licensing authorities in Scotland, subsection (4) shall have effect as if the reference to the Secretary of State were a reference to the Scottish Ministers.
- (6) The Secretary of State shall by order appoint a day as the first day of the first period of three years for the purpose of this section.

- (7) Where a licensing authority is specified in an order under section 175 they shall ensure that their statement under this section includes the principles that they propose to apply in making determinations under paragraph 5 of Schedule 9.

350 Exchange of information

- (1) A person or body listed in Part 1 of Schedule 6 may provide information to any other person or body so listed for use in the exercise of a function under this Act.
- (2) A person or body listed in Part 1 of Schedule 6 may provide information obtained in the course of the exercise of a function under this Act to Her Majesty's Commissioners of Customs and Excise for use in the exercise of any function.
- (3) Provision of information in reliance on this section may be subject to conditions (whether as to use, storage, disposal or otherwise).

351 Power to amend Schedule 6

- (1) The Secretary of State may by order amend Schedule 6 so as to –
- (a) add an entry to a list (in Part 1, 2 or 3);
 - (b) remove an entry from a list (in Part 1, 2 or 3);
 - (c) move an entry from one list to another;
 - (d) add, remove or vary a Note.
- (2) In particular, a Note relating to an entry for a person or body situated outside the United Kingdom may provide that the entry has effect only in relation to the law of a Part of the United Kingdom.
- (3) An entry added to a list in Schedule 6 may specify a person or body or a class or description of persons or bodies.
- (4) The power to add, remove or vary a Note may be exercised generally or in relation to a specified person or body or class or description of persons or bodies.

352 Data protection

Nothing in this Act authorises a disclosure which contravenes the Data Protection Act 1998 (c. 29).

General

353 Interpretation

- (1) In this Act, except where the context otherwise requires –
- “adult” means an individual who is not a child or young person,
 - “adult gaming centre” has the meaning given by section 237,
 - “alcohol licence” has the meaning given by section 277,
 - “authorised local authority officer” has the meaning given by section 304,
 - “authorised person” has the meaning given by that section,
 - “betting” has the meaning given by sections 9 to 11, 37 and 150,
 - “betting intermediary” has the meaning given by section 13,

2006 No. 636

BETTING, GAMING AND LOTTERIES, ENGLAND AND WALES

The Gambling Act 2005 (Licensing Authority Policy Statement)(England and Wales) Regulations 2006

<i>Made</i>	- - - -	<i>5th March 2006</i>
<i>Laid before Parliament</i>		<i>9th March 2006</i>
<i>Coming into force</i>	- -	<i>31st March 2006</i>

The Secretary of State makes the following Regulations in exercise of the powers conferred by section 349(4) of the Gambling Act 2005(a).

Citation, commencement and extent

1.—(1) These Regulations may be cited as the Gambling Act 2005 (Licensing Authority Policy Statement) (England and Wales) Regulations 2006 and shall come into force on 31st March 2006.

(2) These Regulations shall extend to England and Wales.

Interpretation

2. In these Regulations—

“the Act” means the Gambling Act 2005;

“authority” means a licensing authority within the meaning of section 2 of the Act;

“revision” means a revision of a statement under section 349(2) of the Act;

“statement” means the statement of principles that the authority is required to prepare under section 349(1) of the Act.

Form of the statement or revision

3. Subject to regulations 4, 5 and 6, the form of the statement or any revision is to be for the authority to determine.

4.—(1) The statement shall include an introductory section at or near the beginning, summarising the matters dealt with in the statement.

(2) The introductory section shall also include—

(a) a description of the geographical area in respect of which the authority exercises functions under the Act, and

(a) 2005 c.19

- (b) a list of the persons whom the authority has consulted in preparing the statement.
- (3) The authority may satisfy the requirement in paragraph (a) by including a plan of the area to which the statement applies.

5. The following matters shall each be set out in a separate section within the statement—

- (a) the principles to be applied by the authority in exercising the powers under section 157(h) of the Act to designate, in writing, a body which is competent to advise the authority about the protection of children from harm;
- (b) the principles to be applied by the authority in exercising the powers under section 158 of the Act to determine whether a person is an interested party in relation to a premises licence, or an application for or in respect of a premises licence;
- (c) the principles to be applied by the authority in exercising the functions under sections 29 and 30 of the Act with respect to the exchange of information between it and the Gambling Commission, and the functions under section 350 of the Act with respect to the exchange of information between it and the other persons listed in Schedule 6 to the Act;
- (d) the principles to be applied by the authority in exercising the functions under Part 15 of the Act with respect to the inspection of premises; and the powers under section 346 of the Act to institute criminal proceedings in respect of the offences specified in that section.

6.—(1) Regulation 4(1) shall apply to a revision as it applies to a statement.

(2) The introductory section of a revision shall include a list of the persons whom the authority has consulted in preparing the revision.

(3) In so far as a revision deals with any of the matters referred to in regulation 5, the form of the revision shall be in accordance with those provisions.

Procedure to be followed in preparing or publishing a statement or revision

7.—(1) Before a statement or revision comes into effect, the authority that prepared it must—

- (a) publish the statement or revision in accordance with paragraph (2); and
- (b) advertise the publication of the statement or revision by publishing a notice in accordance with paragraphs (3) and (4).

(2) The statement or revision must be published by being made available for a period of at least 4 weeks before the date on which it will come into effect—

- (a) on the authority's internet website; and
- (b) for inspection by the public at reasonable times in one or both of the following places—
 - (i) one or more public libraries situated in the area covered by the statement or revision;
 - (ii) other premises situated in that area.

(3) The notice referred to in paragraph (1)(b) shall specify—

- (a) the date on which the statement or revision will be published;
- (b) the date on which the statement or revision will come into effect;
- (c) the internet address where the statement or revision will be published in accordance with paragraph (2)(a); and
- (d) the address of the library or other premises at which the statement or revision may be inspected in accordance with paragraph (2)(b).

(4) That notice shall be published no later than the first day on which the statement or revision is published in accordance with paragraph (2)—

- (a) on the authority's internet website, and
- (b) in or on one or more of the following places—
 - (i) a local newspaper circulating in the area covered by the statement;

- (ii) a local newsletter, circular, or similar document circulating in the area covered by the statement;
- (iii) a public notice board in or near the principal office of the authority;
- (iv) a public notice board on the premises of public libraries in the area covered by the statement.

5th March 2006

Richard Caborn
Minister of State
Department for Culture, Media and Sport

EXPLANATORY NOTE

(This note is not part of the Regulations)

The Gambling Act 2005 (“the Act”) gives licensing authorities various functions in relation to the licensing of premises and issuing of permits for gambling. Under section 349 of the Act, licensing authorities are required to produce, at least every three years, a statement of the principles that they propose to apply when exercising their functions under the Act (“a statement”). A licensing authority may revise a statement at any time during which it has effect.

These Regulations set out requirements as to the form and publication of a statement or a revision of a statement.

Regulation 3 provides for the form of the statement to be for the licensing authority to determine, subject to complying with the requirements specified in regulations 4 to 6.

Regulation 4 requires the statement to include an introductory section summarising the matters contained in the statement, describing the geographical area in respect of which the authority exercises functions under the Act, and listing the persons consulted in preparing the statement. Regulation 5 requires the statement to include four sections which deal separately with the functions mentioned in sub-paragraphs (a) to (d) of that regulation.

Under regulation 6, a revision is also to include a summary of the matters contained in the statement. The introductory section of a revision is also to list the persons whom the authority has consulted in preparing the revision. Where a revision deals with any of the matters referred to in regulation 5 it is to comply with the provisions of that regulation.

Regulation 7 sets out requirements about the advertisement and publication of a statement or revision. The statement or revision must be published on the licensing authority’s website, and in at least one of the places set out in regulation 7(2)(b), for a period of at least 4 weeks before it comes into effect. The authority must advertise the publication of the statement in a notice published in accordance with paragraphs (3) and (4) of regulation 7. The notice must give specified information about the statement or revision, including details about when the statement or revision will be published, when the statement or revision will come into effect, and where it can be viewed.

£3.00

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Interim Consultation Report

Statement of Licensing Policy 2010 – 2013

Gambling Act 2005



Leeds
CITY COUNCIL

Executive Summary

This report details the findings of the initial consultation on Leeds City Council's Gambling Act 2005 Statement of Licensing Policy.

The Draft Policy was circulated amongst the responsible authorities and other interested parties on 28th April 2009 and four weeks were provided for responses. Two responses were received, from West Yorkshire Police and Social Services.

A second draft of the policy was produced.

The Policy will now be presented to Executive Board on 17th June 2009. The Executive Board may present the policy for full debate at full Council on 15th July 2009.

The public consultation is likely to take place between 3rd August and 2nd October which is a nine week consultation period. Officers will analyse the consultation responses and produce a final draft.

It will be presented to Scrutiny and Overview Board on 2nd November, Executive Board on 9th December and full Council in either late December or January.

The final Statement of Licensing Policy must be published by 31st January 2010.

Introduction

The Gambling Act 2005 (the Act) created a new system of licensing and regulation for commercial gambling in Great Britain. Within this regime local authorities were appointed as Licensing Authorities and became responsible for issuing premises licences to gambling premises such as casinos, bookmakers and amusement arcades. Under the Act the Licensing Authority must publish a Statement of Principles which shows how it will exercise its functions under the Act. Leeds City Council's Statement of Licensing Policy for the Gambling Act 2005 was consulted upon in 2006 and was published in January 2007.

Licensing authorities are required to review and republish their Statement of Principles every three years.

Background Information

The Gambling Act 2005 completely overhauled the regulation of commercial gambling in Great Britain and gave effect to the governments proposals to reform and modernise the law on gambling. Within the new regime the Gambling Commission became the national gambling regulator. The commission is responsible for granting operating and personal licences for commercial gambling operators and personnel working in the industry. The Act set out different types of operating licence that cover the full range of commercial gambling activities conducted in Great Britain. It also made provision for the Commission to have powers of entry and inspection to regulate gambling, with safeguards for those subject to the powers.

As part of this licensing framework, licensing authorities have the power to license gambling premises within their area, as well as undertaking functions in relation to lower stake gaming machines and clubs and miners' welfare institutes. The Act also provides for a system of temporary use notices. These authorise premises that are not licensed generally for gambling purposes to be used for certain types of gambling, for limited periods. This would for example allow a gambling operator to set up a temporary casino in a hotel.

One of the key control measures within this framework is that if an operator wishes to provide gambling at a certain premises they must first apply for the requisite operators licence and personal licences from the Gambling Commission before they can approach the council for a premises licence. In this way the Gambling Commission is able to screen applicants and organisations to ensure they have the correct credentials to operate gambling premises. Local authorities can only determine licensing applications once they are notified that the applicant has secured the necessary licences from the Gambling Commission.

The licensing objectives

The Act sets out three licensing objectives which underpin the Act:

- preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime
- ensuring that gambling is conducted in a fair and open way
- protecting children and other vulnerable persons from being harmed or exploited by gambling.

Purpose of the Statement of Gambling Policy

Under the Act each licensing authority must prepare a Statement of Gambling Policy which outlines how the authority will seek to promote the licensing objectives and on what basis the authority will arrive at its decision making. This allows gambling businesses to prepare applications in a manner which reflects the requirements of the policy and also helps the public to clarify how the authority is approaching its licensing duties. The gambling policy fulfils a similar role to that of the Statement of Licensing Policy. A policy must be published at least every three years however amendments can be made during this time as long as those elements which are being changed are consulted upon.

Purpose of the consultation

The consultation methodology has been designed to provide a wide selection of the Leeds population with the opportunity to comment on the revised content and suggested control measures detailed in the draft policy. In addition similar thoughts were sought from the responsible authorities as well as a list of identified stakeholders such as organisations concerned with the social impact of gambling, faith groups, national bodies representing the gambling trade, plus representatives of local businesses.

Consultation methodology

The following activities have commenced:

- An initial first draft of the policy has been produced in consultation with licensing officers and legal services.
- This draft has circulated amongst the responsible authorities for comment.
- Comments were received from West Yorkshire Police and Safeguarding Children Board.
- These comments were incorporated into the second draft.

The following activities are planned:

- The second draft is to be presented to full Council for debate and comment in July 2009.
- These comments will be evaluated and incorporated into a final draft.
- The public consultation will commence at the beginning of August and will run for a minimum of four weeks, as specified in the Act. The Home Office Code of Practice on Consultation specifies that a 12 week consultation is good practice. However, due to restraints imposed by the timetabling of Overview and Scrutiny Board and Executive Board, the current aim is to provide a public consultation period of 9 weeks.
- The draft policy and a summary of changes will be uploaded to a webpage on the Leeds City Council website. A news item will appear on the homepage on the first day of the consultation. This news item will remain on the homepage for the first two weeks of the consultation and will be reposted to the website for the latter stages of the consultation.
- A full colour poster will be sent to all libraries, one stop centres and leisure centres in the district.
- Members will be sent a copy of the policy along with the summary of changes.

- A mailshot will be sent out to an extensive list of identified stakeholders. This will include existing licence holders, national trade associations, responsible authorities, organisations concerned with the social impact of gambling, MPs, parish councils, and faith groups to name just a few.
- A full colour advert appeared will appear in Yorkshire Evening Post and Leeds Weekly News advertising the consultation.
- A press release will be issued by the press office advertising the consultation.

Breakdown of consultation replies

First draft - officer comments

A series of meetings were held between officers from Entertainment Licensing and Legal Services. The main changes to the policy included changes in tenses which were necessary because information has been published by the Gambling Commission since the first publication of the policy.

It was decided to incorporate the Statement of Principles for Unlicensed Family Entertainment Centres and Prize Gaming Permits, which had been a separate document. The requirements placed on those permit holders were simplified to reflect the low risk nature of this gambling activity.

Officers removed the section F which related to the Large Casino bid. This section will be incorporated at Section 16 once the Project Board and Advisory Panel have been formed and the contents decided upon. This section will be consulted upon separately at a later stage.

A full list of changes is provided at the end of this document.

First draft - consultation with Responsible Authorities

The First Draft of the policy was circulated on the 28th April 2009 to:

1. Ian Clegg, West Yorkshire Fire and Rescue Service, District Fire Officer
2. Kathy Kudelnizky, Leeds Initiative
3. Rowena Hall, City Development
4. Steve Speak, City Development
5. HM Revenues and Customs, National Registration Unit
6. Brian Kenny, Environmental Health Services
7. Robert Patterson, West Yorkshire Police
8. Gambling Commission, Birmingham
9. Rosemary Archer, Leeds Safe Guarding Children Board

The consultees were asked to provide responses by the 22nd May 2009. Two responses were received.

West Yorkshire Police

A response from Bob Patterson from West Yorkshire Police highlighted an omission in Appendix 1 relating to the registered clubs and commercial clubs and their gaming machine entitlement. As this table was lifted directly from the Gambling Commission Guidance, it was established that the explanatory paragraph had been omitted. The following paragraph was inserted:

“It should be noted that Member’s Clubs and Miner’s Welfare Institutes are entitled to site a total of three machines in categories B3A to D but only one B3A machine can be sited as part of this entitlement. Commercial Clubs are entitled to a total of three machines in categories B4 to D.”

Safeguarding Children’s Board

A response from Rosemary Archer was received which made the following comments:

“Since the Policy makes reference to 'child / children' it may be useful to give a definition, could use the 89 Children Act ie someone who has not yet reached their 18th birthday. This may mean that some of the guidance points may need to change since refers to children being accompanied by an adult. / will not be admitted to bingo premises unless accompanied by an adult etc. In addition I am not sure if the Gambling Act makes any distinction as to the age of a child ie over 16yrs, age at which a person can enter 'licensed premises' etc.

Since the LSCB is identified as a 'Responsible Authority' it may be useful to make reference to the Board's procedures namely 'West Yorkshire Consortium Procedures Manual' at www.procedures.leedslscb.org.uk This could be then used as a point of reference, a guide for good practice, an explanation of definitions - 'harm' and the mechanism by which to make a referral to Social Care etc

Sec 8 - Exchange of Information - not sure which organisations are listed in Sch 6 of the Act but similarly the Board's procedures also give guidance as the responsibilities for organisations re the exchange of information regarding the welfare of a child

Sec 13.10 - Location - with regard to the first bullet point it may be worth identifying premises that provide services to children and or young people ie a school rather than just identifying 'schools'

Sec 22.6 - Regular and prolonged contact with children - may need to revisit the sentence that confirms that applicants may wish to consider performing a CRB check if the criteria is where 'staff that may be in regular and prolonged contact with children and vulnerable people'

Sec 24.7 - See above re need to CRB check staff with 'regular and prolonged contact with children and vulnerable people'

Section ' Protection of vulnerable people'

I can see the difficulty in regards to the definition of a vulnerable person, but if safeguarding adults is **everyone's business** then should we not be using what we have already in existence regardless of it's obvious flaws.

The document does not provide adequate description of the people who may be affected e.g. people with learning disabilities, autism, aspergers etc are at risk but appear to be included in a generic category of mental impairment which may be misunderstood by those who do not have a background in Social Care. Training mentions requirements to identify people who are gambling too much or too long, but how many staff will receive training in regard to specific groups of people who are or may be vulnerable, and how the training links together to provide a suitable safeguard for people at risk.

The document does not mention anything at all about Leeds Safeguarding Adults policies and procedures, training and support etc and neither is there any mention of an understanding of how people may be exploited both financially and psychologically and the possibility of support staff or family involvement in this.”

A meeting was held between Entertainment Licensing and Adult Social Care specifically to discuss the issue of vulnerable adults. This is a difficult subject because the Gambling

Commission has declined to provide a definition for this term. The section was rewritten following this meeting as follows:

Original Text

Protection of children and other vulnerable persons from being harmed or exploited by gambling

Protection of children

- 12.1 This licensing objective means preventing children from taking part in most types of gambling (as well as restriction of advertising so that gambling products are not aimed at or are particularly attractive to children). The council will therefore consider whether specific measures are required at particular premises, with regard to this licensing objective. Appropriate measures may include supervision of entrances / machines, segregation of areas etc.
- 12.2 This council will pay particular attention to any codes of practice which the Gambling Commission issues as regards this licensing objective in relation to specific premises such as casinos.
- 12.3 Examples of the specific steps the council may take to address this area can be found in the various sections covering specific premises types in Part C of this document and also in Part D which covers permits and notices.

Protection of vulnerable people

- 12.4 As regards the term "vulnerable persons", the council is not seeking to offer a definition but will, for regulatory purposes assume that this group includes people who gamble more than they want to, people who gamble beyond their means, elderly persons, and people who may not be able to make informed or balanced decisions about gambling due to a mental impairment, or because of the influence of alcohol or drugs. The council will consider this licensing objective on a case by case basis having regard to any guidance issued by the Gambling Commission. Should a practical definition prove possible in future then this policy statement will be updated with it, by way of a revision.
- 12.5 While the council acknowledges that it may be difficult for gambling premises staff to identify vulnerable persons, (especially in the case of persons who may have a mental illness) in the first instance the council would expect staff members to try and maintain an awareness of how much (e.g. how long) customers are gambling. If it is perceived that any particular persons may be gambling excessively or are showing other obvious signs of being unwell then further investigation should follow to try and identify if the person may fall within the category of vulnerable.
- 12.6 The council will familiarise itself with operator licence conditions related to this objective which may include a requirement for operators to provide information to their customers on how to gamble responsibly and how to access information about problem gambling. The council will communicate any concerns to the Gambling Commission about any absence of this required information.
- 12.7 Applicants should consider the following proposed measures for protecting and supporting vulnerable persons, for example:
- leaflets offering assistance to problem gamblers should be available on

- gambling premises in a location that is both prominent and discreet, such as toilets
- training for staff members which focuses on building an employee's ability to maintain a sense of awareness of how much (e.g. how long) customers are gambling, as part of measures to detect persons who may be vulnerable. (see 12.4.1)
- trained personnel for the purpose of identifying and providing support to vulnerable persons
- self exclusion schemes
- stickers or notices on gaming machines to identify the stakes/prizes
- operators should demonstrate their understanding of best practice issued by organisations that represent the interests of vulnerable people
- Fixed Odds Betting Terminals should clearly display the odds
- positioning of ATM machines
- stickers / posters with GamCare Helpline and website in prominent locations, i.e. on ATM machines
- windows, entrances and advertisements to be positioned or designed not to entice passers by.

12.8 The council may consider any of the above or similar measures as licence conditions should these not be adequately addressed by any mandatory conditions, default conditions or proposed by the applicant.

Amended text:

12.1 This licensing objective means preventing children from taking part in most types of gambling (as well as restriction of advertising so that gambling products are not aimed at or are particularly attractive to children). The council will therefore consider whether specific measures are required at particular premises, with regard to this licensing objective. Appropriate measures may include supervision of entrances / machines, segregation of areas etc.

12.2 The Act provides the following definition for child and young adult in Section 45:

Meaning of "child" and "young person"

(1) In this Act "child" means an individual who is less than 16 years old.

(2) In this Act "young person" means an individual who is not a child but who is less than 18 years old.

For the purpose of this section protection of children will encompass both child and young person as defined by the Act.

12.3 The council will pay particular attention to any codes of practice which the Gambling Commission issues as regards this licensing objective in relation to specific premises such as casinos.

12.4 Examples of the specific steps the council may take to address this area can be found in the various sections covering specific premises types in Part C of this document and also in Part D which covers permits and notices.

[Protection of vulnerable people](#)

12.5 The council is aware of the difficulty in defining the term "vulnerable person".

12.6 The Gambling Commission, in its Guidance to Local Authorities, does not seek to offer a definition for the term “vulnerable people” but will, for regulatory purposes assume that this group includes people:

“who gamble more than they want to, people who gamble beyond their means, elderly persons, and people who may not be able to make informed or balanced decisions about gambling due to a mental impairment, or because of the influence of alcohol or drugs.”

12.7 The Department of Health document “No Secrets” offers a definition of a vulnerable adult as a person:

“who is or may be in need of community care services by reason of mental or other disability, age or illness; and who is or may be unable to take care of him or herself, or unable to protect him or herself against significant harm or exploitation.”

12.8 In the case of premises licences the council is aware of the extensive requirements set out for operators in the Gambling Commissions Code of Practice. In this document the Gambling Commission clearly describe the policies and procedures that operators should put in place regarding:

- Combating problem gambling
- Access to gambling by children and young persons
- Information on how to gamble responsibly and help for problem gamblers
- Customer interaction
- Self exclusion
- Employment of children and young persons

12.9 All applicants should familiarise themselves with the operator licence conditions and codes of practice relating to this objective and determine if these policies and procedures are appropriate in their circumstances. The council will communicate any concerns to the Gambling Commission about any absence of this required information.

12.10 Applicants may also like to make reference to Leeds Safeguarding Adults Partnership document entitled “Leeds Multi Agency Safeguarding Adults Policies and Procedures” which provides extensive guidance on identifying vulnerable people and what can be done to reduce risk for this group. This document can be accessed via <http://www.leedssafeguardingadults.org.uk>

12.10 Applicants should consider the following proposed measures for protecting and supporting vulnerable persons, for example:

- leaflets offering assistance to problem gamblers should be available on gambling premises in a location that is both prominent and discreet, such as toilets
- training for staff members which focuses on building an employee’s ability to maintain a sense of awareness of how much (e.g. how long) customers are gambling, as part of measures to detect persons who may be vulnerable. (see 12.4.1)
- trained personnel for the purpose of identifying and providing support to vulnerable persons
- self exclusion schemes
- stickers or notices on gaming machines to identify the stakes/prizes
- operators should demonstrate their understanding of best practice issued by organisations that represent the interests of vulnerable people
- Fixed Odds Betting Terminals should clearly display the odds

- positioning of ATM machines
- stickers / posters with GamCare Helpline and website in prominent locations, i.e. on ATM machines
- windows, entrances and advertisements to be positioned or designed not to entice passers by.

It should be noted that some of these measures form part of the mandatory conditions placed on premises licences.

12.11 The council may consider any of the above or similar measures as licence conditions should these not be adequately addressed by any mandatory conditions, default conditions or proposed by the applicant.

Other amendments were made to the policy in line with the consultation response and these are detailed at the end of this document.

Next Steps

The Policy will now be presented to Executive Board on 17th June 2009. The Executive Board may decide to present the policy for full debate at full Council on 15th July 2009.

The public consultation is likely to take place between 3rd August and 2nd October which is a nine week consultation period. Officers will analyse the consultation responses and produce a final draft.

It will be presented to Scrutiny and Overview Board on 2nd November, Executive Board on 9th December and full Council in either late December or January.

CHANGE DOCUMENT

Document Title: Gambling Act 2005 Statement of Licensing Policy Review

Revision: First Draft – Version 2

Revision date: 27/04/09

Contact for enquiries: Sue Holden ext: 51863

Part	Current	Part	Change to
Executive Summary			
Insert			
1. The licensing objectives			
No major changes			
2. The Leeds district			
No major changes			
3. The purpose of the Gambling Act 2005 – Statement of Licensing Policy			
3.2	<p>Leeds City Council consulted widely upon this policy statement before finalising and publishing it. A list of the persons we consulted is provided below:</p> <ul style="list-style-type: none"> • West Yorkshire Police • the Local Safeguarding Children Board • representatives of local businesses (including Leeds Chamber of Commerce and the Federation of Small Businesses) • members of the public • the Gambling Commission 	3.2	<p>Leeds City Council consulted widely upon this policy statement before finalising and publishing it. A list of the persons we consulted is provided below:</p> <ul style="list-style-type: none"> • West Yorkshire Police • the Local Safeguarding Children Board • representatives of local businesses (including Leeds Chamber of Commerce and the Federation of Small Businesses) • members of the public • the Gambling Commission

	<ul style="list-style-type: none"> • community representatives • town councils in the district • parish councils in the district • local Members of Parliament • national bodies representing the gambling trade • national charities concerned with the social impact of gambling • other charities offering support to alcohol and drugs users • representatives of existing licence holders • Yorkshire Forward (the regional development agency) • Yorkshire Culture • Leeds Citizens Advice Bureau • Primary Care Trusts • Her Majesty's Revenue and Customs • West Yorkshire Fire and Rescue Service • Faith Groups within the Leeds district • Department of Neighbourhoods & Housing, Environmental Health Services • Leeds City Council Development Department 		<ul style="list-style-type: none"> • community representatives • town/parish councils in the district • Area Committees • local Members of Parliament • national bodies representing the gambling trade • national charities concerned with the social impact of gambling • other charities offering support to alcohol and drugs users • representatives of existing licence holders • Yorkshire Forward (the regional development agency) • Yorkshire Culture • Leeds Citizens Advice Bureau • Primary Care Trusts • Her Majesty's Revenue and Customs • West Yorkshire Fire and Rescue Service • Faith Groups within the Leeds district • Department of Neighbourhoods & Housing, Environmental Health Services • Leeds City Council Development Department • Leeds Initiative
3.3	The consultation took place between June and September 2006 and followed the Cabinet Officer code of practice on consultations published in April 2004. This document is available from the Cabinet Office website at: www.cabinetoffice.gov.uk	3.3	The consultation took place between May and July 2009 and followed the Better Regulation Executive Code of Practice on Consultation published in July 2008 and available from their website: www.bre.brr.gov.uk
3.5	The policy was approved at a meeting of the Full Council on 13 th December 2006.	3.5	The policy was approved at a meeting of the Full Council on xxth December 2009 (insert date after adoption).
4. The licensing framework			
No major changes			

5. Declaration

No major changes

6. Responsible authorities

6.4	The contact details of all the responsible authorities under the Gambling Act 2005 can be found in our application packs and on our website at: www.leeds.gov.uk/licensing	6.4	The contact details of all the responsible authorities under the Gambling Act 2005 are: The Gambling Commission Tel: 0121 230 6666 Victoria Square House Fax: 0121 233 1096 Victoria Square info@gamblingcommission.gov.uk Birmingham B2 4BP West Yorkshire Police T: 0113 241 4023 Robert Patterson Leeds District Licensing Officer Millgarth Police Station Leeds LS2 7HX Leeds Safe Guarding T: 0113 247 8543 Children Board administrator@leedsiscb.org.uk Merrion House 110 Merrion Centre Leeds LS2 8QB West Yorkshire Fire and T: 0113 244 0302 Rescue Service District Fire Safety Officer Leeds Fire Station Kirkstall Road Leeds LS3 1NF Leeds City Council T: 0113 247 6026 Environmental Health
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			<p>Services Millshaw Office Millshaw Park Way Churwell Leeds LS11 0LS</p> <p>HM Revenue and Customs T: 0141 555 3633 National Registration Unit nrubetting&gaming@hmrc.gsi.gov.uk Portcullis House 21 India Street Glasgow G2 4PZ</p>
7. Interested parties			
No major changes			
8. Exchange of information			
No major changes			
9. Licensing authority function			
No major changes			
10. Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime			
No major changes			
11. Ensuring that gambling is conducted in a fair and open way			
No major changes			
12. Protecting children and other vulnerable persons from being harmed or exploited by gambling			

12.1	This licensing objective means preventing children from taking part in gambling (as well as restriction of advertising so that gambling products are not aimed at or are particularly attractive to children).	12.1	This licensing objective means preventing children from taking part in most types of gambling (as well as restriction of advertising so that gambling products are not aimed at or are particularly attractive to children).
12.5	The council will promote this objective by publishing information on the council website about the symptoms of problem gambling and the various support organisations which are available to help problem gamblers. These webpages will be prepared in conjunction with these support agencies. In addition the council will also distribute promotional material about these services to a variety of public buildings including all one stop centres, libraries and leisure centres.		DELETE
13. Introduction to Premises Licensing			
	INSERT	13.3	Applicants should also be aware that the Gambling Commission has issued Codes of Practice for each interest area for which they must have regard. The council will also have regard to these Codes of Practice.
13.6	An applicant cannot obtain a full premises licence until the premises in which it is proposed to offer the gambling are constructed. The Gambling Commission has advised that reference to "the premises" are to the premises in which gambling may now take place. Thus a licence to use premises for gambling will only be issued by the council in relation to premises that are ready to be used for gambling. Whether a premises is finished to a degree that it can be considered for a premises licence will always be a question of fact in the circumstances. Requiring a building to be complete ensures that the council can, if necessary, inspect it fully, as can other responsible authorities with inspection rights.	13.7	An applicant cannot obtain a full premises licence until they have the right to occupy the premises to which the application relates.

13.7	Where a premises is not yet built or is about to be altered for the purpose of providing gambling and ultimately a premises licence will be required, the applicant should in the first instance consider making an application for a provisional statement. (see section 20)	13.8	Where an applicant does not have the right to occupy a premises, the premises is still to be constructed, or the applicant expects the premises to be altered and ultimately a premises licence will be required, the applicant should in the first instance consider making an application for a provisional statement (see section 20).
		13.13	The council is aware that the Secretary of State has set mandatory conditions and default conditions which are necessary for the general good conduct of gambling premises, therefore it is unlikely that the council will need to impose individual conditions imposing a more restricted regime in relation to matters that have already been dealt with. If the council is minded to do so because there is regulatory concerns of an exceptional nature, then any additional licence conditions must relate to the licensing objectives.
13.18	The council is aware that the Secretary of State will set mandatory conditions and default conditions which are necessary for the general good conduct of gambling premises, therefore it is unlikely that the council will need to impose individual conditions imposing a more restricted regime in relation to matters that have already been dealt with. If the council is minded to do so because there is regulatory concerns of an exceptional nature, then any additional licence conditions must relate to the licensing objectives.		DELETE
14. Adult gaming centres and licensed family entertainment centres (LFECs)			
15.	Adult gaming centres and licensed family entertainment centres (LFECs)		Split into two sections: 15. Adult gaming centres 16. Licensed family entertainment centres
16. Casinos			
	INSERT	16.1	Leeds has a number of casinos which were licensed under the Gaming Act 1968, which have been subsequently converted into

			Gambling Act 2005 Converted Casino Premises Licences.
15.5	Large Casino Bid – The Act introduces three new categories of larger casino, one super/regional casino, eight large casinos and eight small casinos. Leeds City Council submitted a proposal for one large casino, to the Independent Casinos Advisory Panel (CAP). In the event that Leeds is successful in its bid to the CAP and is given consent to be able to grant a large casino licence the council will carry out a competitive bidding exercise. More information about this process can be found in Part F of this document.	16.6	Large Casino The Act introduces three new categories of larger casino; one regional casino, eight large casinos and eight small casinos. On 15 th May 2008 the Categories of Casino Regulations 2008 and the Gambling (Geographical Distribution of Large and Small Casino Premises Licences) Order 2008 were approved. This specified which Licensing Authorities could issue premises licences for both large and small casinos. Leeds City Council was one of the Licensing Authorities that was authorised to issue a large Casino Premises Licence.
	All other parts of part 16 deleted	16.7	The Council is currently putting arrangements in place to hold the competition for the Large Casino Premises Licence. The statement of principles for the large casino process will be consulted upon during 2010 with a view to run the competition at some point after that.
17. Bingo Premises			
No major changes			
18. Betting Premises			
No major changes			
19. Tracks			
No major changes			
20. Travelling Fairs			
No major changes			
21. Provisional Statements			

20.1	A provisional statement application is a process which allows a developer to examine the likelihood of whether a building which has yet to be constructed or is about to be altered for the purpose of gambling, would be granted a premises licence when the building work is complete. A provisional statement is not a licence and merely gives the holder some form of guarantee that a premises licence would be granted so the project can be started. Once works are complete a full premises licence would still be required.	21.1	A provisional statement application is a process which allows a developer to examine the likelihood of whether a building which he expects to be constructed, to be altered or to acquire a right to occupy would be granted a premises licence. A provisional statement is not a licence and merely gives the holder some form of guarantee that a premises licence would be granted so the developer can judge whether a development is worth taking forward in light of the need to obtain a premises licence. An applicant may also apply for a provisional statement for premises which already hold a premises licence (either for a different type of gambling or the same type).
22. Unlicensed family entertainment centre gaming machine permits (UFECs)			
21.3	In line with the above provision the council has prepared a 'Statement of Principles' document which explains the various issues the council will assess in order to determine the suitability of an applicant for a permit. This includes child protection issues. All applicants should review this document before submitting an application for an UFEC permit so they can tailor their application accordingly.	22.3	In line with the above provision the council has prepared a 'Statement of Principles' in relation to unlicensed family entertainment centre gaming machines as follows:
	INSERT	22.4	<p>Statement of Principles</p> <p>The council will expect the applicant to show that there are policies and procedures in place to protect children from harm. Harm in this context is not limited to harm from gambling but includes wider child protection considerations.</p>
	INSERT	22.5	<p>The efficiency of such policies and procedures will each be considered on their merits, however, they may include:</p> <ul style="list-style-type: none"> • appropriate measures and training for staff as regards suspected truant children on the premises • measures and training covering how staff would deal with unsupervised very young children being on the premises • measures and training covering how staff would deal with

			<p>children causing perceived problems on or around the premises.</p> <ul style="list-style-type: none"> the arrangements for supervision of premises either by staff or the use of CCTV. Any CCTV system installed should both the interior and the entrance working to the Home Office and ACPO standards as described PSDB leaflet 09/05 and to the satisfaction of West Yorkshire Police and the local authority. The system must record images clearly and these recordings be retained for a minimum of 31 days. If the equipment is inoperative the police and local authority must be informed as soon as possible and immediate steps taken to make the system operative. Notices must be displayed at the entrances advising that CCTV is in operation.
	INSERT	22.6	Applicants who provide staff to supervise these premises may wish to consider performing CRB checks on staff that may be in regular and prolonged contact with children and vulnerable people.
	INSERT	22.7	<p>The council will also expect, as per the Gambling Commission Guidance, that applicants demonstrate:</p> <ul style="list-style-type: none"> A full understanding of the maximum stakes and prizes of the gambling that is permissible in unlicensed FECs That the applicant has no relevant conviction (those that are set out in Schedule 7 of the Act), and That staff are trained to have a full understanding of the maximum stakes and prizes.
23. Gaming machine permits in alcohol licensed premises			
No major changes			
24. Prize Gaming Permits			
23.4	In line with the above provision the council has prepared a 'Statement of Principles' document which explains the various issues the council will assess in order to determine the suitability of an applicant for a permit. This includes child	24.4	In line with the above provision the council has prepared a Statement of Principles in relation to prize gaming permits as follows:

	protection issues. All applicants should review this document before submitting an application for a prize gaming permit so they can tailor their application accordingly.		
	INSERT	24.5	<p>Statement of Principles</p> <p>The council will expect the applicant to show that there are policies and procedures in place to protect children from harm. Harm in this context is not limited to harm from gambling but includes wider child protection considerations.</p>
	INSERT	24.6	<p>The efficiency of such policies and procedures will each be considered on their merits, however, they may include:</p> <ul style="list-style-type: none"> • appropriate measures and training for staff as regards suspected truant children on the premises • measures and training covering how staff would deal with unsupervised very young children being on the premises • measures and training covering how staff would deal with children causing perceived problems on or around the premises. • the arrangements for supervision of premises either by staff or the use of CCTV. Any CCTV system installed should both the interior and the entrance working to the Home Office and ACPO standards as described PSDB leaflet 09/05 and to the satisfaction of West Yorkshire Police and the local authority. The system must record images clearly and these recordings be retained for a minimum of 31 days. If the equipment is inoperative the police and local authority must be informed as soon as possible and immediate steps taken to make the system operative. Notices must be displayed at the entrances advising that CCTV is in operation.
	INSERT	24.7	<p>Applicants who provide staff to supervise these premises may wish to consider performing CRB checks on staff that may be in regular and prolonged contact with children and vulnerable people.</p>

	INSERT	24.8	The council will also expect, as per the Gambling Commission Guidance, that applicants demonstrate: <ul style="list-style-type: none"> • A full understanding of the maximum stakes and prizes of the gambling that is permissible • That the gaming offered is within the law.
25. Club gaming and club machine permits			
	INSERT	25.3	Clubs must have regard to the protection of children and vulnerable persons from harm or being exploited by gambling. They must provide sufficient measures to ensure that under 18 year olds do not use the adult only gaming machines. These measures may include: <ul style="list-style-type: none"> • the machines being in close proximity to the bar, or in any other area where they are capable of being adequately supervised • notices and signage • the provision of information leaflets / helpline numbers for organisations such as GamCare.
24.6	Clubs must also have regard to the need to protect children and vulnerable persons from harm or being exploited by gambling and provide sufficient measures to ensure that under 18 year olds do not use the adult only gaming machines.		DELETE
24.7	Measures which may satisfy the council that persons under 18 years old will be prevented from using the machines may include the machines being in close proximity to the bar, or in any other area where they are capable of being adequately supervised. Notices and signage may also help. As regards the protection of vulnerable persons applicants may wish to consider the provision of information leaflets / helpline numbers for organisations such as GamCare.		DELETE
26. Temporary Use Notices			

	INSERT	26.2	Temporary Use Notices allow the use of premises for any form of equal chance gambling where those participating in the gaming are taking part in a competition which is intended to produce a single, overall winner.
27. Occasional Use Notice (for tracks)			
No major changes			
28. Small Society Lotteries			
No major changes			
29 Enforcement principles			
No major changes			
30. Reviews			
No major changes			
Large casino bid			
Entire section deleted. This information is still to be determined and will be consulted upon separately.			
Appendix 1 – Gaming Machines			
Changes include addition of additional category D machine examples.			
Appendix 2 - Glossary			
Additional definitions for additional category D machine examples, i.e. Penny pushers.			

CHANGE DOCUMENT

Document Title: Gambling Act 2005 Statement of Licensing Policy Review

Revision: Second draft

Revision date: 05/06/09

Contact for enquiries: Sue Holden ext: 51863

Page 87

Part	Current	Part	Change to
6.3	In accordance with the regulations the council designates the Local Safeguarding Children Board for this purpose.	6.3	In accordance with the regulations the council designates the Local Safeguarding Children Board for this purpose. Leeds Safeguarding Children Board have produced a "West Yorkshire Consortium Procedures Manual which can be found at http://www.procedures.leedslscb.org.uk . Applicants may find this manual useful as a point of reference, a guide for good practice and the mechanism by which to make a referral to Social Care etc, when producing their own policies and procedures in relation to the objective of protection of children and vulnerable people.
9.1	<p>Licensing authorities are responsible under the Act for:</p> <ul style="list-style-type: none"> • licensing premises where gambling activities are to take place by issuing premises licences • issuing provisional statements • regulating members' clubs and miners' welfare institutes who wish to undertake certain gaming activities via issuing Club Gaming Permits and/or Club Machine Permits • issuing Club Machine Permits to commercial clubs • granting permits for the use of certain lower stake gaming machines at Unlicensed Family Entertainment Centres • receiving notifications from alcohol licensed premises (under the Licensing Act 2003) of the 	9.1	<p>Licensing authorities are responsible under the Act for:</p> <ul style="list-style-type: none"> • licensing premises where gambling activities are to take place by issuing premises licences • issuing provisional statements • regulating members' clubs and miners' welfare institutes who wish to undertake certain gaming activities via issuing Club Gaming Permits and/or Club Machine Permits • issuing Club Machine Permits to commercial clubs • granting permits for the use of certain lower stake gaming machines at Unlicensed Family Entertainment Centres • receiving notifications from alcohol licensed premises (under the Licensing Act 2003) of the use of two or less

	<ul style="list-style-type: none"> • use of two or less gaming machines • granting Licensed Premises Gaming Machine Permits for premises licensed to sell/supply alcohol for consumption on the licensed premises, under the Licensing Act 2003, where more than two machines are required • registering small society lotteries below prescribed thresholds • issuing Prize Gaming Permits • receiving and endorsing Temporary Use Notices • receiving Occasional Use Notices (for tracks) • providing information to the Gambling Commission regarding details of licences issued (see section above on 'Exchange of information') • maintaining registers of the permits and licences that are issued under these functions. 		<ul style="list-style-type: none"> • gaming machines • issuing Licensed Premises Gaming Machine Permits for premises licensed to sell/supply alcohol for consumption on the licensed premises, under the Licensing Act 2003, where more than two machines are required • registering small society lotteries below prescribed thresholds • issuing Prize Gaming Permits • receiving and endorsing Temporary Use Notices • receiving Occasional Use Notices (for tracks) • providing information to the Gambling Commission regarding details of licences issued (see section above on 'Exchange of information') • maintaining registers of the permits and licences that are issued under these functions.
12.1	<p>This licensing objective means preventing children from taking part in most types of gambling (as well as restriction of advertising so that gambling products are not aimed at or are particularly attractive to children). The council will therefore consider whether specific measures are required at particular premises, with regard to this licensing objective. Appropriate measures may include supervision of entrances / machines, segregation of areas etc.</p>	12.1	<p>This licensing objective means preventing children from taking part in most types of gambling (as well as restriction of advertising so that gambling products are not aimed at or are particularly attractive to children). The council will therefore consider whether specific measures are required at particular premises, with regard to this licensing objective. Appropriate measures may include supervision of entrances / machines, segregation of areas etc.</p>
	INSERT	12.2	<p>The Act provides the following definition for child and young adult in Section 45:</p> <p>Meaning of "child" and "young person"</p> <p>(3) In this Act "child" means an individual who is less than 16 years old.</p> <p>(4) In this Act "young person" means an individual who is not a child but who is less than 18 years old.</p>

			For the purpose of this section protection of children will encompass both child and young person as defined by the Act.
12.2	This council will pay particular attention to any codes of practice which the Gambling Commission issues as regards this licensing objective in relation to specific premises such as casinos.	12.3	The council will pay particular attention to any codes of practice which the Gambling Commission issues as regards this licensing objective in relation to specific premises such as casinos.
12.3	Examples of the specific steps the council may take to address this area can be found in the various sections covering specific premises types in Part C of this document and also in Part D which covers permits and notices.	12.4	Examples of the specific steps the council may take to address this area can be found in the various sections covering specific premises types in Part C of this document and also in Part D which covers permits and notices.
12.4	<p>Protection of vulnerable people</p> <p>As regards the term “vulnerable persons”, the council is not seeking to offer a definition but will, for regulatory purposes assume that this group includes people who gamble more than they want to, people who gamble beyond their means, elderly persons, and people who may not be able to make informed or balanced decisions about gambling due to a mental impairment, or because of the influence of alcohol or drugs. The council will consider this licensing objective on a case by case basis having regard to any guidance issued by the Gambling Commission. Should a practical definition prove possible in future then this policy statement will be updated with it, by way of a revision.</p>	12.5	<p>Protection of vulnerable people</p> <p>The council is aware of the difficulty in defining the term “vulnerable person”.</p>
12.5	While the council acknowledges that it may be difficult for gambling premises staff to identify vulnerable persons, (especially in the case of persons who may have a mental illness) in the first instance the council would expect staff members to try and maintain an awareness of how much (e.g. how long) customers are gambling. If it is perceived that any particular persons may be gambling excessively or		DELETE

	are showing other obvious signs of being unwell then further investigation should follow to try and identify if the person may fall within the category of vulnerable.		
12.6	The council will familiarise itself with operator licence conditions related to this objective which may include a requirement for operators to provide information to their customers on how to gamble responsibly and how to access information about problem gambling. The council will communicate any concerns to the Gambling Commission about any absence of this required information.		DELETE
	INSERT	12.6	The Gambling Commission, in its Guidance to Local Authorities, does not seek to offer a definition for the term “vulnerable people” but will, for regulatory purposes assume that this group includes people: “who gamble more than they want to, people who gamble beyond their means, elderly persons, and people who may not be able to make informed or balanced decisions about gambling due to a mental impairment, or because of the influence of alcohol or drugs.”
	INSERT	12.7	The Department of Health document “No Secrets” offers a definition of a vulnerable adult as a person: “who is or may be in need of community care services by reason of mental or other disability, age or illness; and who is or may be unable to take care of him or herself, or unable to protect him or herself against significant harm or exploitation.”
	INSERT	12.8	In the case of premises licences the council is aware of the extensive requirements set out for operators in the Gambling Commissions Code of Practice. In this document the Gambling Commission clearly describe the policies and procedures that

			<p>operators should put in place regarding:</p> <ul style="list-style-type: none"> • Combating problem gambling • Access to gambling by children and young persons • Information on how to gambling responsibly and help for problem gamblers • Customer interaction • Self exclusion • Employment of children and young persons
	INSERT	12.9	<p>All applicants should familiarise themselves with the operator licence conditions and codes of practice relating to this objective and determine if these policies and procedures are appropriate in their circumstances. The council will communicate any concerns to the Gambling Commission about any absence of this required information.</p>
	INSERT	12.10	<p>Applicants may also like to make reference to Leeds Safeguarding Adults Partnership document entitled "Leeds Multi Agency Safeguarding Adults Policies and Procedures" which provides extensive guidance on identifying vulnerable people and what can be done to reduce risk for this group. This document can be accessed via http://www.leedssafeguardingadults.org.uk</p>
12.7	<p>Applicants should consider the following proposed measures for protecting and supporting vulnerable persons, for example:</p> <ul style="list-style-type: none"> • leaflets offering assistance to problem gamblers should be available on gambling premises in a location that is both prominent and discreet, such as toilets • training for staff members which focuses on building an employee's ability to maintain a sense of awareness of how much (e.g. how long) 	12.11	<p>Applicants should consider the following proposed measures for protecting and supporting vulnerable persons, for example:</p> <ul style="list-style-type: none"> • leaflets offering assistance to problem gamblers should be available on gambling premises in a location that is both prominent and discreet, such as toilets • training for staff members which focuses on building an employee's ability to maintain a sense of awareness of how much (e.g. how long) customers are gambling, as part of measures to detect persons who may be vulnerable. (see 12.4.1)

	<p>customers are gambling, as part of measures to detect persons who may be vulnerable. (see 12.4.1)</p> <ul style="list-style-type: none"> • trained personnel for the purpose of identifying and providing support to vulnerable persons • self exclusion schemes • stickers or notices on gaming machines to identify the stakes/prizes • operators should demonstrate their understanding of best practice issued by organisations that represent the interests of vulnerable people • Fixed Odds Betting Terminals should clearly display the odds • positioning of ATM machines • stickers / posters with GamCare Helpline and website in prominent locations, i.e. on ATM machines • windows, entrances and advertisements to be positioned or designed not to entice passers by. 		<ul style="list-style-type: none"> • trained personnel for the purpose of identifying and providing support to vulnerable persons • self exclusion schemes • stickers or notices on gaming machines to identify the stakes/prizes • operators should demonstrate their understanding of best practice issued by organisations that represent the interests of vulnerable people • Fixed Odds Betting Terminals should clearly display the odds • positioning of ATM machines • stickers / posters with GamCare Helpline and website in prominent locations, i.e. on ATM machines • windows, entrances and advertisements to be positioned or designed not to entice passers by. <p>It should be noted that some of these measures form part of the mandatory conditions placed on premises licences.</p>
12.8	The council may consider any of the above or similar measures as licence conditions should these not be adequately addressed by any mandatory conditions, default conditions or proposed by the applicant.	12.12	The council may consider any of the above or similar measures as licence conditions should these not be adequately addressed by any mandatory conditions, default conditions or proposed by the applicant.
13.10	<p>With regards to these objectives it is the council's policy, upon receipt of any relevant representations to look at specific location issues including:</p> <ul style="list-style-type: none"> • the possible impact a gambling premises may have on any schools or vulnerable adult centres in the area • the possible impact a gambling premises may have on residential areas where there may be a high concentration of families with children • the size of the premises and the nature of the 	13.10	<p>With regards to these objectives it is the council's policy, upon receipt of any relevant representations to look at specific location issues including:</p> <ul style="list-style-type: none"> • the possible impact a gambling premises may have on any premises that provide services to children or young people, i.e. a school, or vulnerable adult centres in the area • the possible impact a gambling premises may have on residential areas where there may be a high concentration of families with children

	<ul style="list-style-type: none"> activities taking place any levels of organised crime in the area. <p>The council will need to be satisfied that there is sufficient evidence that the particular location of the premises would be harmful to the licensing objectives. Such evidence may be used to inform the decision the council makes about whether to grant the licence, to grant the licence with special conditions or to refuse the application.</p>		<ul style="list-style-type: none"> the size of the premises and the nature of the activities taking place any levels of organised crime in the area. <p>The council will need to be satisfied that there is sufficient evidence that the particular location of the premises would be harmful to the licensing objectives. Such evidence may be used to inform the decision the council makes about whether to grant the licence, to grant the licence with special conditions or to refuse the application.</p>
22.6	Applicants who provide staff to supervise these premises may wish to consider performing CRB checks on staff that may be in regular and prolonged contact with children and vulnerable people.	22.6	Due to the nature of these premises, which are attractive to children, applicants who employ staff to supervise the premises should consult with the Independent Safeguarding Authority to determine if their staff need to be CRB checked.
24.7	Applicants who provide staff to supervise these premises may wish to consider performing CRB checks on staff that may be in regular and prolonged contact with children and vulnerable people.	24.7	Due to the nature of these premises, which are attractive to children, applicants who employ staff to supervise the premises should consult with the Independent Safeguarding Authority to determine if their staff need to be CRB checked.
Appendix 1 Gaming Machines			
	INSERT		It should be noted that member's clubs and miner's welfare institutes are entitled to site a total of three machines in categories B3A to D but only one B3A machine can be sited as part of this entitlement. Commercial clubs are entitled to a total of three machines in categories B4 to D.

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Originator: P N Marrington

Tel: 39 51151

Report of the Head of Scrutiny and Member Development

Scrutiny Board (Central & Corporate Functions)

Date: 6th July 2009

Subject: FINANCIAL PERFORMANCE – OUTTURN 2008/09

Electoral Wards Affected:

Specific Implications For:

Equality and Diversity

Community Cohesion

Narrowing the Gap

1.0 INTRODUCTION

- 1.2 The attached report presents the Council's financial performance for the year ending 31st March 2009. The report contains an analysis of departmental spending and pressures. Officers will be in attendance at today's meeting to answer any questions.

2.0 RECOMMENDATIONS

- 2.1 Members are asked to note the Council's financial performance for the year ending 31st March 2009 and consider any potential areas for further scrutiny.

Background Papers

Financial Performance - Outturn 2008/09 – Report to Executive Board 17th June 2009

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Report of the Director of Resources

Executive Board

Date: 17th June 2009

Subject: FINANCIAL PERFORMANCE – OUTTURN 2008/09

Electoral Wards Affected:

Ward Members consulted
(referred to in report)

Specific Implications For:

Equality and Diversity

Community Cohesion

Narrowing the Gap

Eligible for Call In

Not Eligible for Call In

(Details contained in the report)

EXECUTIVE SUMMARY

Executive Summary

This report presents the Council's financial performance for the year ending 31st March 2009, prior to the approval of the annual accounts by the Corporate Governance and Audit Committee and external audit scrutiny.

As previously reported to Executive Board, the economic downturn has had a significant impact and a number of General Fund services have faced significant financial pressures during 2008/09. However, the overall position is an underspend of £4.8m which results in general fund reserves of £16.8m at the end of 2008/09. Spending variations are fully explained in the individual directorate reports which are attached to this report.

Variations within the Housing Revenue Account (HRA) have resulted in an underspend of £3.66m, which it is proposed to transfer to earmarked reserves. The level of general HRA reserves remains unchanged at £3.71m. Full details of the variations and the contributions to reserves are contained in the HRA report attached.

Spending on capital investment was £39.8m less than programmed. An underspend of £43.0m relates to general fund services, with an overspend of £3.2m on the HRA.

Other areas of year end financial performance reported include schools reserves, subsidiary companies, the collection of local taxation and sundry income, and the prompt payment of creditors.

1.0 Purpose of this report

- 1.1 This report sets out for the Board the Council's financial outturn position for 2008/09, both revenue and capital, and includes the Housing Revenue Account. The report covers revenue expenditure and income compared to the approved budget and also reports on the outturn for Education Leeds and ALMOs.
- 1.2 The report also highlights the position regarding other key financial health indicators including Council Tax and NNDR collection statistics, Sundry Income, and prompt payments.
- 1.3 The 2008/09 Statement of Accounts will be presented to the Corporate Governance and Audit Committee for approval on the 30th June 2009 and the report of the auditors will be referred back to that Committee in due course.
- 1.4 Following approval by Committee, in accordance with the 2006 Audit and Accounts Regulations, the Accounts will be available for public inspection for 20 days from the 30th June 2009.
- 1.5 Following completion of the audit, as in previous years, it is intended to provide information through the About Leeds newspaper in support of the Council's commitment to engage citizens.
- 1.6 Executive Board, as in previous years, are asked to consider the financial performance of the Council during the year and approve the creation and usage of the Council's reserves.
- 1.7 It should be noted that in accordance with proper accounting practice, any significant event which occurs prior to the audit sign - off of the accounts in September 2009, could impact on the Council's final published outturn position. For example a court ruling which increases the council's liability for an insurance claim would require further expenditure to be charged to the income and expenditure account and would affect the amount transferred to general reserves. This is known as a post balance sheet event. Should such an event occur, this will be reported back to Corporate Governance and Audit Committee as part of the approval of the final accounts, and reported back to this Board at the earliest opportunity.

2. Background Information

- 2.1 Members will recall that the net budgetⁱ for the general fund was set at £540.5m, which provided for a contribution of £5.1m from reserves. As a result, the level of general fund reserves at 31st March 2009 were estimated to be £12.0m when the budget was agreed.
- 2.2. As reported in the 2007/08 outturn reportⁱⁱ to Board in June 2008, actual general fund reserves available were £12.3m. However, as £12m was the level deemed capable of covering the estimated financial risk of the authority by the risk based reserves policy, £0.3m was used to bolster the 2008/09 contingency fund, maintaining the balance carried forward to 2008/09 at £12m.

3. General Fund Outturn

- 3.1 The 2008/09 financial year has presented a significant challenge, with the Council having to meet increasing cost pressures, generate efficiencies and maintain key front line services whilst dealing with the impact of the economic downturn.
- 3.2 However, through careful financial management and some significant one-off income, it has been possible to generate a £4.8m underspend at outturn compared to the budget. Although spending variations are fully explained in the individual directorate reports which are attached to this report as Appendix 1, a number of significant factors have contributed to the final position:
- 3.3 Additional income and savings totalling £15.8m were generated in year from a number of sources:
- Savings on debt charges of £5.9m have been achieved through proactive treasury management and interest on revenue balances.
 - The Council received Local Authority Business Growth Incentive (LABGI) income of £2m as its share of £100m withheld by the government pending the outcome of legal challenges from 2007/08.
 - Expenditure of £1.6m in respect of anti social behaviour and noise nuisance on Council estates was identified as being more appropriately charged to the Housing Revenue Account, resulting in a saving to the general fund of the same amount.
 - A claim relating to overpaid VAT within Sport and Culture, due to EU law not being properly implemented in the UK in the early 1990s, is expected to be upheld, giving a potential refund of £6.3m including interest payments.
- 3.4 These have been offset by additional spending pressures of £11.3m identified in year, some of which were a direct consequence of the economic downturn:
- The 2008/09 pay award was agreed at 2.75% which resulted in additional costs to the general fund of £3.1m. The budget provided for a 2% increase.
 - A shortfall in external income sources of £4.6m as a result of the economic recession. This primarily relates to City Development services including planning and building fees, rental income, markets income, surveyor and legal fees. In addition there has been a decline in the number of land searches.
 - A shortfall in Section 278 income of £2m which reflected a number of schemes that have either stopped or slipped due to the current economic conditions. It is anticipated that a similar situation will occur in 2009/10.
 - The Council's Insurance Fund has been increased by £1.1m reflecting a reassessment of all outstanding large claims.
 - Calls on the contingency fund have resulted in a small overspend of £0.5m compared to the budget of £4.5m. Full details are included in Appendix 2.
- 3.5 The following table provides a summary of variations by directorate:

Directorate	2008/09			
	Original Estimate* £m	Latest Estimate £m	Outturn £m	Variance from Latest Estimate £m
Adults Social Care	173.9	174.5	174.9	0.4
Children's Services	145	145.3	145.6	0.3
City Development	75.2	76.5	78.3	1.8
Environment & Neighbourhoods	81.2	82.1	80.6	-1.5
Central & Corporate functions	67.2	67.7	68.0	0.3
Strategic incl. Debt Charges	3.1	-0.2	-7.6	-7.4
Transfers to earmarked reserves			1.3	1.3
Net Cost of Departmental Spending	545.6	545.9	541.1	-4.8

* adjusted for technical transfers

- 3.6 The Latest Estimate reflects a £3.9m virement approved as part of the half year Financial Health Monitoring reportⁱⁱⁱ to fund the effect of a 0.45% increase in the pay award of £2m (although not the further 0.3% awarded at arbitration at a late stage in the year for NJC staff), the impact of the new gas contract of £0.9m, the new street lighting energy contract of £0.45m and a £0.6m shortfall in income from the Landfill Allowance Trading Scheme.
- 3.7 In addition, the outturn position in respect of Area Based Grants was an underspend of £1.5m compared to the budget of £50.9m. It is proposed to carry forward £1.3m to an earmarked reserve to fund specific schemes where projects have slipped and funding will be required to deliver the scheme outcomes in 2009/10.
- 3.8 It is proposed to transfer the overall underspend of £4.8m to general fund reserves giving a balance at 31st March 2009 of £16.8m, as shown below:

	2008/09	
	Original Estimate £m	Actual £m
General Fund Reserve		
Balance at 31.3.08	17.4	17.4
Budgeted Use of Reserves	-5.1	-5.1
Agreed transfer to contingency fund	-0.3	-0.3
2008/09 underspend		4.8
Balance carried forward at 31.3.09	12.0	16.8

- 3.9 Whilst the level of general fund reserves now carried forward is more than the risk based level assumed in the budget, in view of the present uncertain economic circumstances and the unknown final outcome of the Council's VAT claim as set out in paragraph 3.3, it is appropriate that the Council maintains a higher level of reserves at this stage.
- 3.10 A full statement of all Reserves can be found at Appendix 3.

4. Housing Revenue Account

4.1 The outturn position on the Housing Revenue Account (HRA) shows an additional in-year surplus of £3.66m. It is proposed to use this surplus to create additional earmarked reserves and full details are contained in the attached HRA report.

5. Capital Programme

5.1 The latest approved February 2009 Capital Programme^{iv} estimated capital expenditure in 2008/09 to be £354.7m, £241.3m for the general fund and £113.4m for Housing. Resources were estimated to be sufficient to fund this level of expenditure.

5.2 The actual capital expenditure in 2008/09 is £314.8m as detailed below.

5.3 General Fund Capital Spend

5.3.1 The following table shows the in year actual expenditure against estimate:

General Fund	Feb 09 Estimate £000	Estimate (Adjusted) £000	Outturn £000	Variation (outturn to Adj Est)	
				£000	%
City Development	98,124	99,512	87,758	-11,754	-11.8
Children's Services	8,967	9,009	4,875	-4,134	-45.9
Environment & Neighbourhoods**	24,293	27,026	28,116	1,090	4.0
Adult Services	4,927	5,547	4,199	-1,348	-24.3
Strategic Accounts	16,196	8,801	12,914	4,113	46.7
Education	77,717	78,163	49,605	-28,558	-36.5
Central & Corporate Functions *	12,358	14,214	10,558	-3,656	-25.7
Reserve schemes (includes SDF)	-1,277	-1,277	0.0	1,277	100.0
Total Spend	241,305	240,995	198,025	-42,970	-17.8

* Central and Corporate includes spend of £4.5m relating to Equal Pay costs.

** Environment & Neighbourhoods excludes £52k estimate and actual 2008/09 spend of £837.2k relating to the Golden Triangle project.

£258k of estimate provision included in the Feb 09 estimate relates to the vehicle and equipment programmes, funding for which has been transferred from General Fund to HRA and is reflected in the adjusted estimate column.

5.4 Housing Revenue Account Capital Spend

5.4.1 The following table shows the in year actual expenditure against estimate:

HRA	Feb 09 Estimate £000	Estimate (Adjusted) £000	Outturn £000	Variation	
				£000	%
Strategic Landlord	1,861	1,861	2,780	919	49.4
ALMOS	111,505	111,762	114,022	2,260	2.0
Total Spend	113,366	113,623	116,802	3,179	2.8

5.5 Capital Resources

5.5.1 Capital resources to fund the programme have varied. Capital receipts achieved totaled £15.1m, including useable capital receipts from right to buy sales of £1.7m, £1.9m relates to sale of HRA land and £2.2m final receipts from the sale of Leeds Bradford Airport.

5.5.2 As in previous years, resources have been used for the HRA and general fund programmes to arrive at the most cost effective funding mix for the overall capital programme. £2.7m of HRA capital receipts have been utilised by General Fund (£1.2m of which will be repaid to HRA reserves in future years).

5.5.3 Overall capital receipts are lower than 2007/08 due to the following,

- One of capital receipts included in the 2007/08 capital receipts total related to the sale of Leeds & Bradford Airport
- General economic downturn and reduction in property values affecting sales values and the actual number of disposals.

5.5.4 ALMO's are having to use their accumulated and in year MRA resources in order to fund their programmes because of the reduction in their Supported Capital Expenditure (SCA). In addition the ALMO's have utilised £22.1m of reserves and revenue contributions in order to support their programmes.

Details of the overall expenditure and financing position are shown below:

	£m
Net Capital Spend	314.8
Financed by	
Specific Grants and Contributions	94.5
Capital Receipts	15.1
MRA	62.9
Borrowing	117.4
Revenue Contributions \ Reserves	24.9
Total Funding	314.8

6. Schools

6.1 The outturn on the Individual Schools Budget for 2008/09 was:-

Outturn	£m
Latest estimate	362.9
Outturn	361.5
Variation	(1.4)
Schools Reserves	
Balance Brought Forward	12.4
Net Contribution to Reserves	1.4
Balance Carried Forward	13.8
Memorandum :	
Extended Schools Reserve	3.9

- 6.2 As can be seen from the above table, mainstream school reserves stand at £13.8m. As schools are funded from the Dedicated Schools Grant, the balances are ring fenced and must be carried forward. Extended school reserves amount to £3.9m.
- 6.3 However, the cost of Voluntary Early Retirements are funded by borrowing against mainstream school reserves and repaid over a 5-year period. During 2008/09, £1.5m has been repaid. The total amount still awaiting repayment amounts to £2.7m (£1.8m from previous years and £0.9m from 2008/09).
- 6.4 In recent years, development costs of PFI funded BSF schools have been funded initially by borrowing from mainstream school reserves, amounting to approximately £0.8m per annum in the previous three financial years, and repayment will be made over the life of the PFI contracts. In 2008/09, £1.3m of PFI development costs have been initially funded by borrowing from school balances with repayment being made over a ten year cycle.
- 6.5 Taking account of the £2.7m net VER borrowing (para 6.3) and £3.7m BSF borrowing (para 6.4), the net mainstream schools reserves position is £7.4m as at 31st March 2009. Extended schools reserves stand at £3.9m.
- 6.6 Dedicated Schools Grant (DSG) is a ring-fenced grant so that any net savings on Central Schools Budget (CSB) services funded from DSG are carried forward as an earmarked reserve and are available to fund Schools Budget activity in future years. At the close of 2008/09 CSB reserves amounted to £4.4m, primarily due to Schools Contingency, £2.3m, savings on Education Leeds contract payments for the delivery of CSB services, £1.5m, and net savings on Recoupment, £0.3m.

7. Other Financial Results

7.1 Education Leeds

- 7.1.1 Education Leeds have now reported their financial position for 2008/09 (subject to audit and their Board's approval) and this shows a surplus of £0.3m. This leaves Education Leeds with accumulated surpluses of £3.4m at the close of 2008/09. Projected levels of operating surpluses were taken into account when determining the contract value for 2009/10 and £1.1m of operating surpluses were agreed as being required to support the 2009/10 Education Leeds budget. The £3.4m level of reserves would therefore be enough to sustain this position for three years.

7.2 ALMOs

- 7.2.1 Overall the three ALMOs broke even for the year, although Aire Valley Homes Ltd made a £3.9m contribution to capital to cover the in year overspend. This overall in year deficit leaves Reserves at £24.7m as at 31st March 2009. Included in this figure is £12.4m in respect of FRS17 pensions giving a general reserve position of £12.3m.
- 7.2.2 The figures reported above are subject to audit and approval of the ALMO boards.

7.3 Grand Theatre

- 7.3.1 The Leeds Grand Theatre and Opera House Ltd made an operating deficit of £213k before accounting for the FRS17 adjustment, leaving the company with an unrestricted funds reserve of £152.8k as at 31st March 2009. The impact of the FRS 17 adjustment produces an in year deficit of £306.9k and overall reserves of £58.8k.

8.0 Other Financial Performance

8.1 Local Taxation

8.1.1 The performance statistics for the year in respect of the collection of local taxation are as follows:-

	2004/05 Leeds Actual	2005/06 Leeds Actual	2006/07 Leeds Actual	2007/08 Leeds Actual	2008/09 Leeds Actual
Council Tax collection	96.1%	96.3%	96.4%	96.4%	96.3%
Non Domestic Rates	98.5%	98.6%	98.6%	98.7%	97.7%

8.1.2 Whilst the figures for both Council Tax and Non Domestic Rate collection show a decline in collection rates, this is due to the current economic climate where it has become apparent that an increasing number of taxpayers and businesses are finding difficulty in paying. However, in both cases, as the amount collectable has increased over the previous year, the overall amount collected in-year has still increased by £38m.

8.2 Sundry Income

8.2.1 Overall the collection of current year debt and arrears has improved from 90.1% in 2007/08 to 90.7% in 2008/09.

8.2.2 In respect of the current year debt only, the net amount collectable was £115.1m with a balance outstanding of £10.5m at 31st March 2009. The total cumulative debt outstanding is £11.5m.

8.3 Prompt Payments

8.3.1 The outturn for the year was 83.5% of undisputed invoices paid within 30 days compared to the target of 92%.

8.3.2 The total number of invoices processed in the year which met the prompt payment criteria was 521,744. After accounting for 9561 invoices in query with suppliers, 421,780 were paid within 30 days, leaving 86,524 paid after 30 days.

8.3.3 This indicator has been affected by new systems and procedures which were introduced in July 2008. These aimed to deliver significant efficiencies and savings for the authority by optimising payment due dates. Although significant savings have been generated, there have been a number of teething problems including obtaining accurate information, which have only properly been resolved over the last few months.

8.3.4 Performance has also been affected by continuing problems of delays within directorates including provision of complete information to enable payments to be made. Work is ongoing to resolve these problems and the quality of invoices being submitted for payments has improved over the last few months.

- 8.3.5 Although the target has not been met based on the end of year position, following the above improvements, performance has significantly improved, with performance in both February and March exceeding the 90% target.
- 8.3.6 It should be noted that as a response to the economic downturn, the Council introduced a small supplier scheme in December 2008, which guarantees payment within 20 days. After a slow start, there are now 34 firms signed up for the scheme. To date all 34 small firms have received payment within 20 days.

9. Recommendations

Members of the Executive Board are asked to:

- 9.1 Note the contents of this report
- 9.2 Agree the transfer of £4.8m to general reserves as per paragraph 3.8.
- 9.3 Agree the carry forward of £1.3m Area Based Grant as outlined in paragraph 3.7.
- 9.4 Agree contributions to and the use of HRA reserves as outlined in the HRA report.

Background Documents

- ⁱ Revenue Budget report 2008/09 Executive Board 8th February 2008
- ⁱⁱ 2007/08 Outturn report to Executive Board 11th June 2008
- ⁱⁱⁱ Financial health monitoring report to Executive Board 5th November 2008
- ^{iv} Capital Programme report to Executive Board 13th February 2009

Housing Revenue Account – 2008/09 Outturn

- As shown in the following table, the final outturn position has generated a contribution to reserves of £3.659m. From this £226k is required to support the future of Council Housing option appraisal, £693k is required to resource the procurement of 10 social housing units in the EASEL area, £800k is required for to find demolition and clearance on HRA in order to make way for affordable housing schemes, £65k is required for land purchase at Holdsforth Place and £189k is a contribution to the Early Leavers Initiative reserve which was established to facilitate the restructuring of Property Management Services. This leaves a usable balance of £1.686m which is being used to address a variation in capital resources in respect of the 2008/2009 capital programme. Also required to fund the 2008/2009 capital programme is the £350k that has been set aside as an earmarked reserve for reinstating void sheltered properties that is no longer required.
- In addition in order to address a shortfall in capital resources, largely occasioned by the impact of the economic downturn upon capital receipts, £5.518m is to be temporarily borrowed from the Swarcliffe PFI sinking fund with reimbursement occurring when the capital receipts are realised.

HRA	Latest Estimate	Outturn	Variation
	£000	£000	£000
Expenditure			
Employees	7,271	6,874	(396)
Premises	1,681	1,860	179
Supplies and Services	12,939	11,389	(1,550)
Transport	211	195	(16)
ALMO Management fees	111,095	110,569	(526)
Internal Charges/ Transfer payments	12,696	14,235	1,539
Provision for doubtful debts	1,700	2,441	741
Disrepair	625	600	(25)
Capital	18,795	17,629	(1,166)
Revenue Contribution to Decency Prog.	0	3,900	3,900
Housing Subsidy	46,386	46,511	125
Income			
Rents and other charges	(167,173)	(169,800)	(2,627)
Other Income	(46,733)	(47,464)	(731)
Deficit / (Surplus)	(508)	(1,062)	(554)
Transfer To Swarcliffe PFI	508	1,303	795
Transfer to (from) Decency earmarked reserves	0	(3,900)	(3,900)
Surplus	0	(3,659)	(3,659)

- A number of factors have contributed to the year end position. There has been an underspend of £0.2m on IT projects due to slippage in programmes, lower valuation and associated costs feeding through from reduced numbers of Right To Buy applications.

4. Rental income has exceeded the budget by £2.6m which reflects both improved void levels and higher levels of stock than anticipated.
5. Internal charges were higher due to a recharge for the ASBO service and additional customer service charges partly offset by lower PPPU and Finance/HR charges.
6. The increase in negative subsidy is due to lower CRI interest rates and premium and discount costs (£203k) offset by a £78k 'gain' from the final settlement for the audited 2007/08 subsidy grant claim.
7. The £1.2m reduction in the cost of capital has also benefited from the lower Item 8 interest charges arising from the reduction in the Council's average rate of interest on debt (£0.4m) plus higher notional cash interest (£0.7m) due to higher working balances.
8. Higher levels of work than anticipated resulted in surplus income of £0.6m for the Property Services of the directorate.
9. The additional contribution to the Swarcliffe PFI reserve includes £0.12m higher interest on balances, £0.25m slippage in bullet payments and £0.95m contract underspend offset by £0.08m pass through costs/contract variations and £0.445m postponement in the General Fund contribution.
10. The £0.7m increase in the bad debts provision is as a result of a change in methodology in response to comments made in last year's audit report from KPMG.
11. It is proposed that for 2008/09, the in year surplus of £3.66m is transferred to reserves and utilised as described in paragraph 1. General reserves will therefore remain at £3.71m with other earmarked reserves amounting to £12.84m, giving a closing reserve position of £16.55m as follows:

Reserves	Opening Reserves 1/4/2008	Transfers Out 2008/09	Swarcliffe transfer to Sinking Fund	2008/09 'Surplus' & tfr from other earmarked reserves	Closing Reserves 31/3/2009
	£000	£000	£000	£000	£000
HRA 'General' Reserve	3,712	0			3,712
Contribution to Decency Targets	5,854	(3,900)			1,954
Contribution to 2008/2009 Cap.Prog		(2,036)		2,036	0
Easel Demolition (Borrowing) Costs	500			(500)	0
PFI Set up Costs	150	0			150
Swarcliffe PFI	10,821	(5,518)	1,303		6,606
Swarcliffe Environmentals	300	0		50	350
Lifetime Homes' Business Preparation	50	0		(50)	0
PFI Set up costs - Lifetime Homes	500	0			500
Re-instating void sheltered properties	350	0		(350)	0
Underoccupancy pilot	300	0			300
Early Leavers' Initiative	500	0		189	689
Option Appraisal - ALMOs *	0			226	226
Holdsforth Place - land purchase *	0			65	65
Purchase of New properties (EASEL) *	0			1,193	1,193
Decanting and Demolition Costs *	0			800	800
	23,037	(11,454)	1,303	3,659	16,545

* New proposed reserves

ADULT SOCIAL CARE

2008/09 OUTTURN POSITION

Introduction

- This report sets out the 2008/09 outturn position for Adult Social Care and provides an explanation of the significant budget variations.

Overall Position

- 2008/09 was another challenging year financially for Adult Social Care. The budget included substantial realignment of resources to support key priorities, in particular direct payments and the learning disability pooled budget. It also included significant planned savings to deliver service priorities within the overall resources available.
- In 2008/09 Adult Social Care continued the year-on-year improvements in delivering within its overall budget. The outturn position is a net overspend of £0.4m (0.23%) on controllable budgets and £0.3m for the directorate's total budget compared with the Latest Estimate.
- Budgeted savings totaling £10.7m were achieved in 2008/09. Despite a shortfall of £5.8m in delivering budgeted savings, the directorate was very effective at achieving alternative savings and further details are set out below.

Outturn Explanation

- Promoting direct payments has been successful in 2008/09 and budgeted targets were exceeded by 188 cases (25%). This cost of delivering these additional more flexible care packages was £1.1m higher than the budget allocated.
- There was an increase in demand for home care services in 2008/09, with 66,500 additional hours provided at a net cost of £0.8m. Expenditure on independent sector domiciliary care exceeded budget provision by £1.1m, although this was partly offset by reduced staffing spend of £0.3m within the directly provided service. This resulted from greater reductions in staffing numbers than budgeted being achieved and the associated transfer of home care packages to the independent sector taking place more quickly than originally planned.
- There have been significant difficulties during 2008/09 in achieving the £3.9m income target in respect of Supporting People. This was due to variations in the Supporting People cash surplus available for new schemes and decisions by the Supporting People Commissioning Body that committed some of this available funding to other priorities. As a result, Supporting People income fell short of the budget by £1m, after taking account of a £1.5m virement from the community care placement budget outlined below.
- Expenditure on community care placements net of income from NHS Leeds was £2.7m less than the Original Estimate, of which £1.5m was vired to partly offset reduced Supporting People income. This underspend on placements was mainly due to the impact of revised continuing care criteria.

- The learning disability pooled budget for 2008/09 included some challenging planned savings amounting to £1.6m. Although there was a shortfall against these specific actions of £0.5m at the year-end, new care packages being later and/or lower cost than originally forecast led to an overall underspend of £0.5m of which the Council element was £0.3m.
- Staffing expenditure was £1.9m lower than budgeted, which partly reflects reduced spend within the directly provided community support service outlined above. In addition, managers have taken contingency actions to address the overall budget pressures being faced by Adult Social Care by seeking to minimise recruitment without prejudicing the safe delivery of services.

CHILDREN'S SERVICES

2008/09 OUTTURN POSITION

Introduction

This report sets out the 2008/09 outturn position for Children's Services and provides an explanation of the significant budget variations.

Overall Position

Overall, Children's Services have delivered a near balanced budget in 2008/09 with a net (controllable) outturn of £145.6m against a latest estimate of £145.3m, giving an overspend of just £0.3m.

There were a number significant challenges and budget pressures during 2008/09, particularly in Children & Young People's Social Care (CYPSC) which have been managed across Children's Services as a whole. Over the course of the financial year, the budget and spend have been prioritised according to risk and service demands, with an emphasis on resourcing front-line child protection services and services for looked after children and children in need.

Outturn Explanation

The most significant variations are discussed below;

In CYPSC, the externally provided residential placements budget overspent by approximately £1.2m due to a combination of new placements and also extensions to current placements. This budget accommodates the most complex and challenging children & young people with severe behavioural and/or physical needs and as such are very costly to support. Our benchmarking with other local authorities has demonstrated that our spend is relatively low in this area of need and that we achieve good value for money. Another budget pressure was around the cost of legal advice with an overspend of £0.5m due in part to an increase in the number of cases and also in part to the transfer of funding responsibility for public law fees.

There was an overspend of £0.5m across the in-house residential homes, primarily on employee-related budgets, as a result of the need to maintain care standards and minimum staffing numbers. This pressure was in line with previous projections and has been built into the budget strategy for 2009/10. The cost of the support to Care Leavers was £0.4m above the budget due to a combination of additional rent costs, staffing and slippage on the budget action plan savings around accessing welfare benefits. In addition, the support to Unaccompanied Asylum Seeking Children was £0.4m more than the related grant income which created a net overspend of £0.3m. These pressures in CYPSC were mitigated in part by the use of historic reserves held for a number of years on the balance sheet, by savings across the fostering service and savings on the provision of secure remand and welfare placements.

Across Children's Services as a whole there were also budget pressures due to slippage on some of the budget action plans around locality & integration (£0.25m),

managing workforce change (£0.25m) and Performance Management & Communications (£0.1m).

The Early Years Children's Centres benefited from additional income of £0.8m mainly due to additional 3 & 4-year old pathfinder grant income and the Sure Start, Early Years and Childcare Grant. In addition, there were savings due to the slippage on the recruitment of outreach Family Workers as well as staffing savings due to slippage in the opening of two phase two centres. In addition, the Area Based Grant funded Leeds Children's Fund generated an underspend of £160k due to infrastructure savings around accommodation and support.

Across Children's Services, the additional 0.3% pay award for NJC staff created a budget pressure of around £150k.

The Dedicated Schools Grant (DSG) funding is ring-fenced and therefore any overall variations are carried forward so that the resources can be used to fund the delivery of schools-related services in future years. Overall, schools achieved a net surplus of £1.4m in 2008/09 which brings the cumulative net school balances to £13.8m as at 31st March 2009. However, it should be noted that some individual schools have cumulative deficits that will need to be addressed.

Similarly, Extended Services have net accumulated surpluses of £3.9m as at 31st March 2009 which, in part, reflects funding for the delivery of services across the 2008/09 academic year (September 2008 to August 2009). Savings have also been achieved in the cost of Central Schools Budget services and £4.3m of DSG funding will be carried forward for use in future years.

After accounting adjustments, the net saving on general funded education services is £0.25m which is in line with previous projections. This is mainly due to savings on pension costs (£0.1m) and on running costs (£0.1m) due to a residual education building being demolished part way through 2008/09.

CITY DEVELOPMENT

2008/09 OUTTURN POSITION

Introduction

This report sets out the 2008/09 outturn position for City Development and provides an explanation of the major variations.

Overall Position

The actual outturn position for City Development is a net overspend of £1.8m against the Latest Estimate in terms of the controllable budget.

The Directorate has faced a number of significant budget pressures during 2008/09, most notably from a shortfall in income of over £4m mainly as a result of the economic recession. The 2009/10 budget has been adjusted to reflect these trends although the extent of the shortfall in some areas has been greater than forecast at the time the budget was set. Expenditure pressures included additional spend on winter maintenance in Highways as a result of the severe winter weather and additional costs for fuel and energy in Parks and Countryside and Sport.

The Directorate has sought to contain these pressures by identifying savings across all services and through managing staffing levels. During the year recruitment was restricted to income earning posts and to protect front line services. In services affected by reduced income and reduced workloads staffing levels have been reviewed and revised structures are being progressed. The Early Leavers Initiative has been rolled out across the Directorate and over 50 business cases were approved during 2008/09. Staff savings amount to £1.2m over and above the latest estimate. During the final quarter, City Development Directorate agreed to a review of spend across the Directorate with a view to generating additional savings to contribute towards offsetting the loss of income. Additional savings were generated, particularly in Highways and Transportation Services, and this has helped to contain the size of the net overspend.

Outturn Explanation

The most significant variations are discussed below:

Planning Services

Overall the Service had a net overspend of £1.64m. The recession has had the most severe impact on the Planning budget with the shortfall on planning and building fees income reaching £1.7m. The trend for falling income levels was experienced in the final quarter of 2007/08 and although the 2008/09 income budget was adjusted to partly reflect these trends, the shortfall in 2008/09 has been much more severe than could have been projected in early 2008. Staffing levels have been reviewed and a revised structure is being progressed. A number of staff left the Council under the Early Leavers Initiative.

Recreational Services

The Service has a net overspend on the controllable budget by £2.6m. Of this, £1.17m related to Parks and Countryside and £1.43m to Sport.

In Sport, the shortfall in income was £491k for lettings. The review of spend across the directorate and subsequent closure of bars and cafes accompanied by falling trends, resulted in a reduction in income of £365k, although some of this shortfall was offset by reduced expenditure on resaleable supplies. Expenditure pressures included rent and other premises costs, security and equipment costs.

In Parks and Countryside there was a shortfall in income of £449k. Expenditure pressures include security, energy and fuel costs.

Asset Management Services

The net service overspend compared to the Latest Estimate is £849k. This includes an under recovery on Architectural Design Services of £569k mainly due to reduced workloads in the final quarter of the year. This is clearly an on going budget issue for the Service and an action plan is being developed.

The recession has had an impact on external income with a shortfall in Markets income of £246k and advertising income of £79k. Staffing levels in the Service have been closely managed and savings of £182k achieved. A revised structure is in the process of being approved and a number of business cases were approved for staff to leave the Council through the Early Leaver Initiative in 2008/09.

Libraries, Arts and Heritage

The Service had a net overspend when compared to the Latest Estimate of £210k. The major reason for this has been a shortfall on external income of £695k, the majority of this incurred in Heritage Services. The shortfall in income has been partly offset by savings in staffing and running costs.

Highway and Transportation Services

The Service has a net underspend of £3.0m. This includes an underspend of £0.2m on Engineering Services and £2.6m on Highway Services. Staff savings amount to £800k and savings on the Street Lighting PFI Unitary Charge of £739k. City Development Directorate agreed early in the financial year that these savings would be earmarked to fund pressures in other services. Additional income has been achieved through work charged to the capital programme and other Directorates.

Expenditure pressures funded through the above savings include additional Street Lighting energy costs and the additional costs of winter maintenance.

Highways Services successfully delivered the planned Individual Maintenance Scheme Programme for 2008/09.

Economic Services

The Service has a net underspend when compared to the Latest Estimate of £0.3m. The Service has again been successful in securing additional external income to support major projects it is delivering. This includes contributions from Yorkshire Forward and developers for Holbeck Urban Village, the Renaissance Partnership and Eastgate and Harewood Quarter.

Strategy and Policy

The Service has a net underspend of £182k with savings being made in staffing and some running costs.

Support Services

Overall the service had a net underspend of £67k with savings being made in staffing and running costs.

ENVIRONMENT AND NEIGHBOURHOODS

2008/2009 OUTTURN POSITION

Introduction

This report sets out the 2008/2009 outturn position for the Environment and Neighbourhoods Directorate and provides an explanation of the major variations.

The actual outturn position for Environment and Neighbourhoods is a balanced budget position before the creation any PFI earmarked reserves, and before the increased contributions of £1,532k from the Housing Revenue Account.

Community Safety (£869k Cr)

The net underspend is due to recharging HRA for work undertaken by the Anti-Social Behaviour Unit which relate to tenants and perpetrators within Council properties (£877k). There were overspends due to BPR work (£22k) for the CCTV function. Further, unbudgeted costs for Community Intelligence Tension Monitoring were incurred (£37k) and additional income (£15k) and savings on running costs (£36k).

Housing Services & Fixed Payments to HRA (£1,169k Cr)

Reflecting the current level of surpluses and future commitments, the budgeted General Fund contribution to the Swarcliffe PFI sinking fund has been reduced by £445k in 2008/2009.

Following a service review it was identified that contributions were required from the HRA for services provided by Care Ring and Medical rehousing functions (£245k). Further analysis of Care Ring identified 20% of alarm installations were in Council (HRA) Properties, therefore this proportion of cost is charged to the HRA (£268k).

The Emergency Accommodation Service (TEAS) and Resettlement transferred to an external provider on 1st January. The service made staffing and running cost savings whilst the Supporting People grant funding remained constant, resulting in an underspend of £187k. There are further savings within staffing due to retention of vacant posts (£272k).

Within Sheltered Wardens service, there is a net overspend of £266k which is due to no charges for clients who do not qualify for Supporting People (SP) funding (£100k), a reduction in the number of clients funded by HRA (£160k) and SP (£59k) but this is offset by savings in the fee payable to the ALMOs (£53k). Further, within temporary accommodation no income was received as there is currently no charging policy for clients who do not qualify for Housing Benefit (£50k)

Roseville (£91k Dr)

The budget for 2008/09 includes a carry forward of £120k from 2007/08. At final outturn for 2007/08, Executive Board agreed the recommendation that there would be no departmental carry forwards. This pressure was offset by additional orders of 750 which generated net income of £115k. However, there were overspends on staffing (£42k), electrical works to meet health and safety requirements (£10k) and general running costs, such as security and utilities (£34k).

Regeneration/ Area Management (£306k Cr)

This is due to retention of vacant posts and slippage in recruitment (£200k) and additional income received from Supporting People for Signpost (£107k).

Jobs & Skills (£1,102k Dr)

Staffing (£405k Dr)

The staffing budget for 2008/09 was set at £4,037k, on the basis that a new staffing structure would be introduced, assumed to be fully effective from April 2009, and that the number in post would reduce from 191 to 121. The cost of 191 staff was £5,282k and the budget set represented a saving of £1,245k, the majority of which it was assumed would be saved from the start of the financial year.

Although the targeted number has been reached, there has been significant slippage during the year resulting in an overspend of £405k.

Construction Skills (£390k Dr)

Income has been brought forward to cover the additional cost of the WykeBECC project, which has slipped into 2008/09, and income from other ongoing projects covers anticipated expenditure. The commissioning of construction training from Leeds College of Building commenced in January 2009, and the financial effect of this arrangement in 08/09 is to increase payments to the College by £325k, although this would be offset by unbudgeted income of £85k from schools for courses run through the contract. The budget assumed that £400k income was available through Regeneration to offset the cost of the commissioning agreement. In Regeneration, a contribution of £250k was received during the year leaving a shortfall of £150k.

Accommodation costs (£452k Dr)

As a part of the process of realigning the Jobs and Skills service, there was a budget requirement that a number of properties were vacated during 2008/2009. Although all of the identified properties have been vacated, the Jobs and Skills service has continued to pick up the costs associated with these properties. This is either due to the fact that there have been delays in the development of a site, and the Council is still liable for the payment of the associated rent e.g. 1 Eastgate (£253k), or there have been delays in other users vacating the building e.g. East and West Leeds Family Learning Centres.

External Grants and Other Contributions (£146k Cr)

Significant amounts of external income have been generated over and above the budget, including an additional allocation from LSC for Adult and Community Learning (£125k) and other funding brought in to support programmes already running such as the young peoples programme (£130k) and Care 4 All income (£159k). This has more than offset the non-realisation of ESF grant income (£105k) and loss of contributions from Learning Partnerships (£163k).

Community Centres (£267k Dr)

There has been a shortfall in income from the Community Centres which transferred from Learning & Leisure Directorate (£178k). Further, there were additional recharges from the Facilities Management function who manage the service on behalf of the Directorate (£89k)

Refuse Collection Service (£132k Dr)

Vacant posts in the service led to savings in managers and admin staff of £237k.

Operative vacancies, net of cover saved £310k, but the additional costs of sickness was £167k and a change in mix of cover cost £66k; Revised Christmas working arrangements saved £86k, but the effects of industrial action (staff £93k, vehicle £50k and communications £65k costs) were £208k. An earlier than planned roll out of garden collections cost £62k

Transport costs were £346k higher than budget, of which repairs to vehicles were £186k and lease costs £98k. Higher than expected fuel prices early in 2008/9 cost £20k.

Prudential borrowing costs on new and replacement garden bins are £32k over the latest estimate mainly due to rolling the garden bin scheme to more properties than originally intended.

Street Cleansing (£10k Cr)

An overspend on operative staff costs of £88k has been offset by savings on officer costs of (£73k).

Reductions in income from the loss of Pudsey Market cleansing and lower charges on SSCF funded schemes totalling £77k were offset by savings in transport costs of (£51k) and weed spraying of (£38k)

Anti-Graffiti and Public Conveniences (£96k Cr)

Due to delays in the implementation of a Public Conveniences strategy, there was a saving of £70k on the budget provided for automatic PCs in the City Centre.

Waste Operations (£100k Dr) – including appropriation

Additional expenditure on Security at Waste Sites of £86k was incurred. This was mainly due to repeated incidents of vandalism at Gamblethorpe and a delay in the installation of CCTV at Kirkstall Road.

Site maintenance and premise costs were £51k higher than budgeted.

Significant spend was incurred on the repairing of containers and compactors at Waste Sites, £97k to ensure that recycling facilities at the sites were not unduly compromised.

Staff savings amounting to £125k accruing from not covering all vacant posts, particularly in the winter months when footfall at the waste sites is generally lower, helped to ease some of the cost pressures identified above.

Delays on the East Leeds WSS refurbishment resulted in £24k savings in prudential borrowing costs.

Waste Strategy (£405k Cr)

Savings in staffing of £183k occurred due to delay in appointing the new Waste Management structure. The service also agreed to contribute savings in the Education Awareness budget of £272k to help ensure the overall Directorate budget remained in balance.

As a result of a slight slippage in the Waste PFI procurement, savings in external advisor costs of £76k occurred.

High prices for recyclates in the early part of 2008/9 helped generate an additional £55k of income

All of these savings helped offset continuing reductions in net income received from electricity generation at Gamblethorpe Closed Landfill site, £217k.

Health and Environmental Action Section (£66k Dr)

Increased income across the service of £321k (incl. Adaptation fees of £225k) are offset by overspends in staffing of (£34k), Pest control (£257k) and increased legal/corporate costs of (£59k) other £6k.

Car Parking (£440k Cr)

Additional Car Parking income of £220k is due to increased use of facilities and the impact of slippage in the Authority's asset disposal programme which resulted in the car park at Quarry Hill site being available for the whole of 2008/09. In addition there were staff savings of £54k from vacant posts, and savings in running costs of £166k.

CENTRAL AND CORPORATE

2008/09 OUTTURN POSITION

Introduction

This report sets out the 2008/09 outturn position for Central and Corporate Functions and provides an explanation of the major variations.

Overall Position

General Fund services show a net overall underspend of £0.9m, however Trading Accounts achieved £1.2m less surplus than budgeted.

Outturn Explanation

The most significant variations are described below:

Resources

Support Services and Revenues and Benefits underspent by £1,042k at controllable budget level, however the Trading Accounts experienced an overspend of £1,215k.

Support Services

The corporate savings budget for Support Services of £500k was transferred into Resources from the Strategic account during the year and is reflected in the LE.

The underspend in Corporate Financial Services (including the Business Support Centre), Corporate HR and Corporate ICT amounts to £755k. The savings are predominantly in the area of staffing partly due to the implementation of restructures in Financial Management and HR. Other staff savings have resulted from revised appointments plans in anticipation of the savings requirements in the 2009/10 budget.

During 2008/09 a significant change in the way building maintenance budgets are managed and controlled has been implemented by Corporate Property Management. The relevant buildings maintenance budgets, previously within all Directorates that have had a history of being overspent, have been brought into Resources. During this transition year, spend on buildings maintenance across the Council has once again overspent (by £0.6m) but this is all now reflected in the controllable variation in Resources. High priority is now being given to ensure this budget is tightly controlled in 2009/10 and also to new ways of working with the in-house property maintenance service. Savings in other areas within CPM, mainly staffing and savings on buildings costs amounted to £0.6m meaning an overall balanced position.

Revenues and Benefits

The value of housing benefits and council tax benefits paid was in excess of £13m over budget, although this is 100% funded by government grant. However, the value of overpayments identified has reduced during this period meaning that actual income fell short of budget by £524k. A large number of Local Authorities are also experiencing a downward trend in overpayments. In addition spend on discretionary and non-HRA rent rebates has increased by £134k compared to the budget.

In spite of an increase in workload, the service has been able to generate staffing savings of £391k however this has been offset by other unavoidable running cost variations of £263k meaning operational budgets overall underspent by £128k.

Income from raising summonses for court fees has exceeded budget by £816k; £365k as a result of a change in the formula which allocates court fees into this account and an additional £451k from an increase in volumes.

Trading Services

The overall net surplus was £1.2m lower than budgeted. This is made up of three trading areas; Property Maintenance Building £700k, Education Catering & Cleaning £250k and Security Services £270k.

The surplus on Property Maintenance Building was £700k lower than budgeted. This was due to several factors; £350k of income in 2008-09 where difficulties in allocating to / or agreeing the work with the client; £250k lower profit from the West ALMO Gas Contract; £50k additional fuel costs and £50k additional trade waste disposal costs.

The Education Catering net surplus was £250k lower than budgeted due to higher food costs. Another factor was the high levels of equipment maintenance repairs and replacement. £50k is attributable to running down the former Crown Cuisine operation - the budget assumed it would cease on 31st March 2008, whereas the actual date was 30th June 2008.

Security Services generated a £270k lower surplus due the performance of the Radio Room & Mobile Patrol Unit. Income being £120k lower than budgeted, due to business growth not being achieved. Staffing levels were £80k over budget primarily due to level of responsive service provided to clients. A further cost to the unit was Equal Pay, £50k of which was not recoverable from Clients.

Policy, Performance and Improvement

The overall position is a net overspend of £247k, the main cause (£190k) being the cost of additional work by external translators and interpreters in response to demands on the service from across the Council. From 2009/10 a system is being introduced to ensure all Directorates pay for the services they request. In addition, a priority based approach has been adopted to ensure that interpreting services are only used where necessary.

Corporate Governance and PPPU

Controllable budget underspent by £38k.

A contingency release of £582k was processed to cover the impact of the reduction in local search fee income as a result of the downturn in the property market.

The Elections Service overspent by £244k mainly due to the cost of postal voting, extended polling hours, doorstep canvassing and the significant costs associated with the hiring of portacabins for use as polling stations. These requirements were introduced as part of the Electoral Administration Act.

Democratic Services pay and running costs underspent by £240k. Other variations amounted to a net underspend of £42k.

STRATEGIC ACCOUNTS

2008/09 OUTTURN EXPLANATIONS

Context

The Strategic Accounts include a variety of corporate budgets including central income, debt costs of the authority, contributions to Joint Committees and central efficiency budgets.

Overall Position

The outturn position variation against the Latest Estimate for Strategic Accounts is a net controllable underspend (including controllable appropriations) of £5.4m and an underspend on the costs of servicing debt of £2.0m.

Outturn Explanation

The major variances in net controllable income and expenditure were as follows:

- As a result of the successful challenges to the legislation introduced in 1997 to cap VAT claims to three years, the authority has made a further claim in 2008/09 for VAT due dating back to 1974, in relation to sporting and cultural activities. Although the claim has not yet been settled, HMRC have indicated that they agree the claim in principle and that it will be paid subject to verification of the figures. Accruals have therefore been raised for £3.5m of refunded VAT and a further £2.8m of interest on this amount. This represents the minimum expected level of interest due; the eventual figure may be higher dependent on the calculation method to be decided by HMRC.
- The final grant determination in respect of the Local Area Business Growth Incentive Scheme allocated £2.0m to the authority, which had not been anticipated.
- The amount of section 278 monies that were released to revenue was £1.9m less than had been budgeted for. This arose from a slowdown in development activity as a result of the general economic downturn.
- The budget held centrally for contingencies allocated £5.0m to fund departmental pressures. This was £1m in excess of the £4.0m Original Estimate and was partially funded by the use of £0.3m of general reserves and £0.19m of flood relief grant income, which had not been budgeted for. The net position against the Latest Estimate was therefore an additional cost of £0.5m.
- The Strategic outturn position includes an overspend relating to the allocation to directorates of £1.1m of budget resources relating to additional contributions to the Insurance provision.
- The budget held for procurement savings of £0.5m was not achieved centrally.

The net saving of £2.0m in debt costs was due to savings in external interest costs (£0.5m) and in MRP chargeable (£0.5m), together with increased income on revenue balances of £1.9m. This was partially offset by a £0.9m reduction in the statutory Item 8 charge to the HRA.

Contingency Fund - 2008/09 - Outturn

Items provided at 50%	08/09 £000's	Amount Released £000's	Variation £000's	Comments
Environment & Neighbourhoods				
Tonnes	768	453	-315	Reflects a reduction in volumes of waste
Refuse collection - demographics	235	235	0	Reflects increased property numbers which equates to 1 residual waste route and 1/4 SORT route. This been transferred to the directorate's base budget for 2009/10.
DPE income	231	231	0	Reflects average payment rate being less than budgeted
Union Street Car Park	236	0	-236	Did not close
Armley Asbestos	160	160	0	Reflects compensation payments - £94k carried forward in earmarked reserve therefore this will not be required in future
LIFT	240	90	-150	Project management costs incurred in year
Sub-Total	1,870	1,169	-701	
City Development				
Planning/Building Fees	325	325	0	100% released due to current economic climate
Transport Policy/Tourism income	50	0	-50	Not required
Rental/Advertising Income	150	150	0	100% released due to current economic climate
Surveyors/Legal fees	168	168	0	100% released due to current economic climate
Planning advertising budgets (v211)	32	20	-12	Non achievement of planned reductions
Feasibility budget	50	39	-11	Office Accommodation Review Phases 1 & 2
Travellers	100	43	-57	Travellers clean up costs
Community Cohesion	80	0	-80	Not required
Libraries	100	100	0	Challenging efficiency target only partly met
Winter maintenance	150	150	0	Actual spend was £1.9m against a budget of £1.3m. £0.35m was funded from additional DLO surpluses, with the remaining £0.15m from contingency
Planning Delivery Grant	25	0	-25	Actual Grant came in £113k higher than budget
Local Development Framework	50	0	-50	Not required
Land Registry Project	25	0	-25	Not required
Sub-Total	1,305	995	-310	
Central and Corporate functions				
Land Charges	300	582	282	Reflects a reduction in searches due to economic downturn
LPSA2 Pump Priming	231	200	-31	Unallocated amount brought forward. £65k to EL School Improvement 14-19, £85k Domestic Violence, £50k Bail Supervision and Support
Sub-Total	531	782	251	
Adults Social Care				
Independent Living PFI	421	421	0	PFI procurement costs
Community Care	750		-750	Costs contained within directorate's budget
Reform Grant	500	250	-250	£1.2m allocated by DoH towards cost of personalisation agenda. £0.5m agreed to be released subject to detailed spending plans, which subsequently slipped
Sub-Total	1,671	671	-1,000	
Total Departmental	5,377	3,618	-1,760	
Provision at 50%	2,689	3,618	929	
Items Provided at 100%				
Public Law Fees	450	450	0	Late adjustment to RSG in the 08/09 budget
Advertising/promotions savings target	200	400	200	Savings target held centrally. Any savings will have been generated in directorates
Energy	100	0	-100	Energy efficiency funding not required
Marketing Leeds	200	200	0	Reflects funding agreement with Marketing Leeds
Pay and Grading	300	300	0	Allocated to directorates following implementation of Phase 1
Other unallocated	61	0	-61	
Sub-Total Items provided at 100%	1,311	1,350	39	
Total Contingency	4,000	4,968	968	
Top Ups during year:				
Virement from General Reserves	300	13	-287	Reserves at 31.3.08 were £300k above the level assumed. Spend related to increase in contribution to Coroners as a result of increase in Coroners salary
Flood Alleviation	188	54	-134	Flood restoration funding distributed to areas affected by the 2007 summer floods. Spend related to flood design vision
Outturn	4,488	5,035	547	

Reserves Statement 2008/09 as at 31/03/2009

Reserve	Actual Balance 31st March 2008	Outturn 31st March 2009	Reason for the Reserve
	£k	£k	
<u>General fund reserves</u>			
General fund	(17,441)	(16,818)	
Total general fund reserves	(17,441)	(16,818)	
<u>Earmarked reserves</u>			
<i>Sums set aside for major schemes</i>			
Schools PFI & Building Schools for the Future	(1,826)	(3,588)	} PFI sinking funds.
Cardinal Heenan PFI	(55)	58	
Street lighting PFI	(7,046)	(3,660)	} Used to support 2009/10 budget as agreed by Full Council
Adult Social Care PFI	0	(151)	
LBIA Compensatory Added Years	(779)	(742)	This reserve holds a lump sum receipt from which LCC will meet the pension obligations of LBIA employees following sale of Leeds Bradford Airport to these staff.
Capital reserve	(1,995)	(409)	
<i>Insurance Reserves</i>			
General insurance reserve	0	(315)	School based reserve to pay for the cost teacher cover due to sickness absence
Schools consequential loss insurance	(500)	(619)	School reserve to fund any related costs as a result of fires not covered by insurance.
<i>Reserves retained for service departmental use</i>			
Members club	(8)	(8)	Surplus on the members club.
Leeds learning network	(109)	(98)	Unspent school contributions used to develop learning platforms and maintain the quality and resilience of the network.
Taxi & Private Hire licensing surplus	(679)	(470)	Ring fenced reserve for taxi and private hire licensing service.
Youth Offending Service	(409)	(455)	Surpluses of partner contributions have been retained to provide for potential liabilities re.fixed term employment contracts and accommodation dilapidation costs.
Lord Mayor	(36)	(44)	Unspent mayoral allocation cfwd at year end due to the difference between the financial & mayoral years.
Energy efficiency reserve - LCC	(229)	(295)	} Energy efficiency reserves to fund invest to save energy efficiency initiatives.
Energy efficiency reserve - Salix	(175)	(253)	
Adult Social Care PCT Contribution	(343)	0	
Connexions	0	(186)	Additional PCT contn to the learning disability pooled budget in 2007/08 to cover the reduced PCT contribution in 2008/09.
<i>Schools Related Services</i>			
Schools Balances	(6,953)	(7,344)	£13.8m Schools Balances less £2.7m VER borrowings less £3.7m BSF PFI borrowing
Extended schools balances	(2,507)	(3,875)	Cfwd of surpluses on extended school activities to make greater use of school facilities.
Central schools block - DSG	(3,013)	(4,345)	Cfwd of ring fenced DSG for centrally managed pupil orientated services.
Schools fire prevention works consortia	(394)	(394)	School reserves for fire prevention works
<i>Ring fenced reserves</i>			
Neighbourhoods renewals fund	(172)	0	Unspent NRF funding 07/08 to be allocated to schemes in 2008/09.
Area based grants	0	(1,246)	Unspent ABG in 2008/09 to be allocated to specific schemes in 2009/10.
<i>Other available reserves</i>			
Catering agency	(42)	0	Use to fund loans to schools to improve catering facilities.
Economic, Social and environmental wellbeing fund	(499)	(251)	Underspends on the wellbeing area committees.
Environmental Services	0	(94)	Armley Asbestos
Total earmarked reserves	(27,769)	(28,785)	

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Report of the Head of Policy, Performance and Improvement

Corporate and Central Functions Scrutiny Board

Date: 6th July 2009

Subject: Council Business Plan Performance Report for Quarter 4 2008/09

Electoral Wards Affected:

Ward Members consulted
(referred to in report)

Specific Implications For:

Equality and Diversity

Community Cohesion

Narrowing the Gap

Eligible for Call In

Not Eligible for Call In
(Details contained in the report)

1.0 EXECUTIVE SUMMARY

Since April 2008 and the introduction of the Leeds Strategic Plan and Council Business Plan we have seen a significant change to the council's accountability processes, in particular, the identification of lead and contributory officers for each improvement priority and the introduction of a reporting process that provides a single source of performance information to be used by the full range of different stakeholders in the accountability process.

At the end of the first year of delivery of the Council Business Plan this report provides an overview by exception (i.e. red and amber) on the progress against the improvement priorities at Quarter 4 2008/09.

2.0 Purpose of this Report

2.1 This report provides a strategic overview of performance against those improvement priorities within the Council Business Plan 2008-11. The Action Tracker Summary Sheet (appendix 1) gives an overview of progress against each of the improvement priorities in the plan; a rating of Red, Amber or Green is applied by the lead officer to indicate the overall status of each improvement priority.

2.2 In appendix 2 to this report the full Action Trackers are provided on an exception basis for those areas of under performance and/or of concern in relation to the improvement priorities as at 31st March 2009. In addition, appendix 3 is a full performance indicator report with year end results for all Business Plan indicators, any relevant National Indicators together with any locally agreed indicators where appropriate. Through this process the Board receives the full set of performance indicator information.

3.0 Background Information

3.1 Executive Board approved a new corporate planning framework for the council in July 2007. The strategic element of this framework includes two high level plans which set the policy objectives for the organisation and our partnership working. These are:

- **Leeds Strategic Plan 2008 to 2011** - which sets out the customer/citizen (external) focused strategic outcomes being sought by the council and its partners for the city. This plan includes our requirements to produce a Local Area Agreement and is the main delivery mechanism for the Vision for Leeds 2004 to 2020.
- **Council Business Plan 2008 to 2011** - which sets out what the council needs to do internally to enable the organisation to achieve the Leeds Strategic Plan. That is outlining the business development, organisational change, process transformation and financial planning activities that we will be undertaking over the next three years.

3.2 Both these plans include a set of outcomes, improvement priorities and aligned performance indicators with three year targets. Through our performance reporting and accountability arrangements we track our progress against the improvement priorities as well as against the indicators in order to provide both a qualitative and quantitative picture of performance. This is because the scope of most of the improvement priorities is wider than that of the performance indicator and without some form of contextual reporting we would not be able to capture or monitor this progress.

3.3 Within this report the following information is provided:

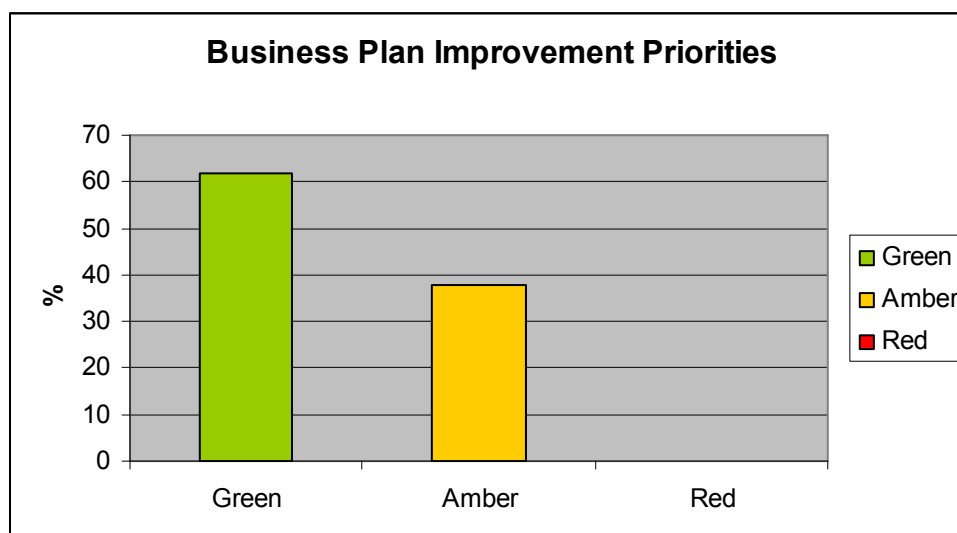
Appendix 1 Action Tracker Summary Sheet - this sheet sets out all the improvement priorities relevant to the Board and shows the full set of overall progress traffic lights.

Appendix 2 Action Trackers – this appendix includes the full action trackers for the improvement priorities that have been given an *amber* or *red* rating for overall progress. There is a guidance sheet to assist members in interpreting the information provided.

Appendix 3 Performance Indicator Report – this appendix provides a full performance indicator report including the year end results for all strategic, national and local indicators organised by Director/Assistant Chief Executive portfolios.

4.0 Main Issues - Progress Towards Improvement Priorities

The Council Business Plan contains 39 improvement priorities and 24 of these are making good progress overall and have been traffic lighted as *green*, 15 *amber* and 0 *red* – as illustrated in the graph below .



Areas where significant progress has been made include:

- VP-5a Reduce the carbon emissions from buildings, vehicles and operations – where a robust baseline figure and reporting mechanisms have been established, a target agreed with Government and the development of a number of initiatives enable us to meet this target.
- VfM-1a-c Delivery of Financial Strategy and improvements to resource management processes – in particular continued re-alignment of resources through our budget processes in line with our strategic priorities.
- VP-1a Ensure we have the right staff, in the right place with the right skills and the right time – as evidenced by the re-accreditation of Investors in People, roll out of new appraisal frameworks and development of our workforce development approach.
- VP-5c Support the achievement of our strategic outcomes through our corporate social responsibility programme – with the launch of our staff volunteering programme, and the roll out of the Community Benefits Charter with 29 responsible suppliers signed up to deliver community benefits through our procurement processes.
- VP-5b Increase the proportion of socially responsible goods and services – roll out and embedding of the socially responsible toolkit which was used on 36 procurements
- VfM-6 Improve quality and efficiency of Support Services – with in excess of £4m cashable efficiencies delivered over the last 2 years.
- VfM 4a Ensure strategic business transformation/improvement activity is prioritised and co-ordinated – the scope of the business transformation programme was agreed by Executive Board and capital funding for significant aspects of the enabling infrastructure were secured.
- IO 1b/c Use of information/intelligence to shape service provision, improve decision making and inform strategic planning – we published our first Joint Strategic Needs Assessment with Health and rolled out new performance management arrangements to track progress against the Leeds Strategic Plan.

In line with the agreed process the rest of this report focuses on the areas which have been given an overall progress rating of amber or red and for these areas the headline issues are set out below with more detailed information within the action trackers:

VfM-2a - Improve the efficiency of our services including maximising savings delivered through procurement, ICT and asset management.

VfM-2b - Embed value for money at all levels.

Good progress had been made in establishing a value for money programme (VFM) which has clearly defined projects and VFM activities aimed at delivering efficiencies. The corporate approach introduced this year, provides a consistent way of determining our priorities and clear links to service plans and budgets.

During 2007/8 we have identified and achieved efficiencies through the delivery of a range of initiatives including;

- The Support Services Review - £4m efficiencies have been achieved to date and we expect to achieve £7m by the end of 2009/10;
- Adult Social Care - £2.6m efficiencies were made within the Support and Enablement Service;
- Children Services - £2m efficiencies delivered through the review of commissioning arrangements for externally provided placements and Independent Sector Fostering Agencies;
- Environments and Neighbourhoods - £200k efficiencies relating to refuse collection;
- City Development - £100k (per annum) efficiencies resulting from under utilised bar and café facilities in some leisure facilities.

The approach to VfM which was developed during 2007/8 will continue to support us with the identification and realisation of further efficiencies for 2009/10 and beyond.

VP-4a - Ensure colleagues reflect the diversity of our communities.

Good progress has been made against this improvement priority. We have either met or exceeded three of our five performance indicators and during 2008 have started to deliver against this priority outcome through the Equality Board. We are continuing to develop our

work plans to reflect the range of activities which need to take place to improve the representation of BME staff and women (who are in the top 5% of earners) in particular. The employee data capture exercise undertaken during 2008 (with around 20,000 returns) has provided a more accurate picture of the make up of our workforce, which has resulted in more accurate reporting against the Business Plan performance indicators.

The Employment Equality Board was established earlier this year and will be a key driver in addressing areas where our colleagues do not currently reflect our communities and also in terms of ensuring that we have fair employment practices in place across the council. The work that we are doing to better engage our staff groups, once finalised in 2009/10, will help us to ensure that we are taking into account the needs of our diverse workforce throughout all of our activities.

During 2008/09 the council (including Education Leeds and ALMOS) achieved Level 4 of the Equality Standard. The standard recognises the importance of fair equal treatment in local government services and employment. We have started to use the standard to help us fully embed equality (in particular age disability, gender, race, religion or belief and sexual orientation) into all of our council policies and practices.

VP-2c - Strengthen communication (skills and mechanisms) at all levels.

Good progress has been made with all of our strategic issues although the initial findings of the communications in service audit shows there are significant gaps in communications skills and experience across the authority which means much more work needs to be done to develop the required infrastructure and resources which properly meets the needs of the organisation.

VfM-4c - Embed a consistent approach to service planning which clearly links workforce and asset management planning, risk, financial and performance management.

The introduction of the council-wide service planning guidance, Challenge Events and a more rigorous and comprehensive quality assurance (QA) exercise with detailed written feedback for the 2008-09 plans means that there are now more robust processes in place for developing and tracking the quality of service planning across the authority than for the 2007-08 set of plans. This process also means that resources and capacity can be better concentrated in areas that need the most support to complete their plans and to embed a stronger culture of service planning. However, there are still some key service areas which need to significantly improve the quality of their service planning or where plans have not yet been finalised for this financial year, hence the amber rating for this priority. Steps are being undertaken to improve this situation and put firmer timetables in place for 2010-11, but this has not been delivered yet. The QA exercise for 2009-10 plans is to be completed by the end of June 2009, so the impact of the new process has yet to be assessed.

IO-3a – Increase involvement, engagement and participation of all communities especially hard to reach groups.

IO-3b – Build trust with local communities to encourage greater engagement.

The council continues to carry out a huge amount of consultation and engagement work aimed at increasing the involvement of local people in decision making e.g. consultations on specific projects, Place Survey, Tell Us survey, Citizen Panels etc. The results of these consultations inform the way in which we plan and deliver services and are an important source of strategic intelligence. However, we still continue to strive to coordinate this work in a more effective way both within the council and across the partnership but this work is still in its early stages. There have been some delays in progressing the Equality Assembly - these delays have been addressed and progress is in a forward direction. However, specific outcomes are currently limited, hence the amber rating for this priority outcome.

VP-4b – Ensure fair access to all our services.

VP-4c – Embed equality and diversity throughout the organisation.

There has been considerable progress made to embed equality and diversity and to ensure fair access to all our services. An indication of this is the NI140 result of 70%, the achievement of Level 4 of the Equality Standard, and the increased numbers of impact assessments which are being published on the internet. There is ongoing work with partners and the establishment of the Leeds Equality Network, although very much in its formative stage could have an impact on furthering the agenda in the city.

IO-2a – Improve our understanding of our customers.

IO-2d – Manage customer expectation and deliver on our promises.

The high level PI results are overwhelmingly positive, and indicate significant progress both in core performance and in developing a more consistent or 'One Council' approach to the six priority themes 2a – 2f for putting customers first. Commentary on high level progress, next steps and significant risks/challenges is provided below.

The council has achieved continued improvements in all indicators reporting a result in 2009/10, with four out of five meeting or exceeding their year-end target. The council now has a high-level baseline for levels of recorded avoidable contact, from which we will develop council-wide action plans.

The council has significantly increased (doubled) its original target for the volume of self-service transactions, and has strong expectations of new self-service options being well-used by citizens in 2009/10. The council has also improved its overall performance on complaints handling within the stated service standard, rising from 69% to 72%, although the improvement has fallen slightly short of the 76% target. Directorates under-performing are developing action plans to improve their performance.

In addition, the council has improved its performance in responding to letter and email correspondence within stated times, to 85% and 93% respectively. The council has also improved its overall call answer rate on publicly advertised telephone lines, and performance will further improve when under performing lines are transferred to the corporate contact centre during 2009/10.

VP-1c – Improve understanding and transparency of our decision-making and accountability processes.

VP-3a – Strengthen our democratic processes to improve governance and policy making.

VP-3b – Maximise member involvement in policy development, decision making and accountability.

Whilst good progress has been made in a number of areas, in particular the profile of Scrutiny Inquiries and in the delivery of the Ethical Action Plan, significant compliance issues have been identified with the council's decision making under delegated and sub-delegated powers. This not only put the council at risk of decisions being taken *ultra vires*, ie where a decision has been reached outside the powers conferred on the decision taker or where the prescribed procedures have not been properly complied with, it also undermines the democratic processes through which elected members can call in or scrutinise these decisions.

VfM-5 - Develop sustainable and effective partnership governance framework.

Good progress has been made in establishing the minimum requirements for governance arrangements for our significant partnerships within our revised Governance framework and to develop the register of what are our significant partnerships. This next steps over the coming year are to establish the extent of compliance with these minimum standards and to ensure any gaps identified through the monitoring processes are addressed. However, more work is also required to launch and embed the toolkit and the monitoring processes.

5.0 Recommendation

- 5.1 That members of Scrutiny Board note the content of the report and comment on any particular performance issues of concern.

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Action Tracker Guidance

Introduction

The 'Action Trackers' are prepared on a half yearly basis and are intended to give an organisational 'snapshot' view of the progress against the city's top level priorities as set out in the Leeds Strategic Plan and Council Business Plan. They provide a broader range of information and progress than is provided in the performance indicator results alone. Each improvement priority within the Leeds Strategic Plan and Council Business Plan has been allocated to a **Lead Officer** whose role is to provide leadership, co-ordinate the activities of contributing officers/partners and evaluate the performance information to ensure the delivery of the improvement priority. An action tracker has been completed for every improvement priority by the Lead Officer who has provided an overall evaluation of progress to date. Please see below a brief summary of the information that has been provided in each of the sections of the action tracker template.

Overall Progress Rating	<p>The Lead Officer provides an overall traffic light rating on the progress to date based on all the information provided in the completed action tracker including the results for the aligned performance indicators. The criteria for this traffic light is as follows:</p> <p>Green = Progressing as expected</p> <p>Amber = Minor delays or issues to address</p> <p>Red = Significant delays or issues to address</p>
Direction of Travel	<p>This section will be decided by the Lead Chief Officer. The criteria should be as follows:</p> <p>↑ = overall the direction of travel is improving.</p> <p>↓ = overall the performance is deteriorating.</p> <p>↔ = overall the direction of travel is static.</p>
Overall assessment of progress	<p>In this section the Lead Officer provides an overall summary analysis of the progress to date - taking a view based on all the information provided in the completed action tracker including the results for the aligned performance indicators. This section should provide an explanation for the overall traffic light rating.</p>
Contributory Officers	<p>This part of the action tracker sets out who else is contributing to the delivery of the improvement priority and where relevant these officers/partners also appear in the main body against specific actions/activities.</p>
Performance Indicator Information	<p>In this section the results for the aligned performance indicators for this improvement priority are presented including the target and are traffic lighted both the result itself and for data quality.</p> <p>NB this only shows the indicators which are directly aligned but additional performance information is presented in appendix 2.</p>
Improvement Priority Key Activities	<p>This is the main body of the action tracker and sets out the key actions/activities which are underway and contribute to the delivery of the overall improvement priority. For each action/activity a set of information is provided that includes any risks or challenges to delivery, the key actions which are due to take place over the next 6 months, who the contributory officer/partner is and highlights where any other more detailed information can be found. This section could not possibly include all activities and Lead Officers have been asked to provide a strategic overview through including the main activities only and signposting further sources of information where relevant.</p>
Progress as at 31st March 2009	
Next Steps / Future Milestones for Q1 & Q2 2009/10	
Risk / Challenges	
Timescale	
Contributory officer	

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Council Business Plan


We are an intellegent organisation, using good quality information to deliver better outcomes		
Code	Improvement Priority	Accountable Director
IO-1a	Improve our systems and processes to enable us to use our information effectively and efficiently	James Rogers
IO-1b	Use our information to shape service provision, provide constructive challenge and improve our decision making at all levels	James Rogers
IO-1c	Ensure we have the right intelligence to inform our strategic planning	James Rogers
IO-1d	Develop arrangements to protect and share information in line with legislative and regulatory requirements	James Rogers
IO-2a	Improve our understanding of our customers - BIG IDEA	James Rogers
IO-2b	Increase choice so customers can access services in more convenient ways	James Rogers
IO-2c	Improve our services based on customer feedback	James Rogers
IO-2d	Manage customer expectation and deliver on our promises	James Rogers
IO-2e	Develop joined up and person centred services designed around the needs of our customers	James Rogers
IO-2f	Enhance the links between front and back office services to deliver excellent end-to-end services	James Rogers
IO-3a	Increase involvement, engagement and participation of all communities especially hard to reach groups	James Rogers
IO-3b	Build trust with local communities to encourage greater engagement	James Rogers

Our resources are clearly prioritised to provide excellent services and value for money		
Code	Improvement Priority	Accountable Director
VfM-1a	Deliver our 5 year financial strategy to align resources to our strategic priorities	Alan Gay
VfM-1b	Embed sustainability in our resource management processes	Alan Gay
VfM-1c	Consider all additional sources of funding available to support our priorities	Alan Gay
VfM-2a	Improve the efficiency of our services including maximising savings delivered through procurement, ICT and asset management	Alan Gay
VfM-2b	Embed value for money at all levels	Alan Gay
VfM-3	Implement a commissioning approach which delivers value for money and ensures the best provider	Nicolé Jackson
VfM-4a	Ensure strategic business transformation/improvement activity is prioritised and co-ordinated	James Rogers
VfM-4b	Enhance service improvement capacity to support business change at directorate/service level	James Rogers
VfM-4c	Embed a consistent approach to service planning which clearly links workforce and asset management planning, risk, financial and performance management	James Rogers
VfM-4d	Explore opportunities for collaboration with private and public sector bodies - BIG IDEA	James Rogers
VfM-5a	Develop sustainable and effective partnership governance framework	Nicolé Jackson
VfM-6a	Improve quality and efficiency of support services	Alan Gay

We are a values led organisation and our people are motivated and empowered					
Code	Improvement Priority	Accountable Director	Code	Improvement Priority	Accountable Director
VP-1a	Ensure we have the right staff, in the right place with the right skills at the right time	Alan Gay	VP-3b	Maximise member involvement in policy development, decision making and accountability	Nicolé Jackson
VP-1b	Empower, support and develop our staff and members by embedding core skills and behaviours with performance based appraisals	Alan Gay	VP-4a	Ensure colleagues reflect the diversity of our communities	Alan Gay
VP-1c	Improve understanding and transparency of our decision-making and accountability processes	Nicolé Jackson	VP-4b	Ensure fair access to all our services	James Rogers
VP-2a	Improve leadership at all levels including officers and elected members	Alan Gay	VP-4c	Embed equality and diversity throughout the organisation	James Rogers
VP-2b	Enhance our leadership of the city	James Rogers	VP-5a	Reduce the carbon emissions arising from our buildings, vehicles and operations - BIG IDEA	Alan Gay
VP-2c	Strengthen communication (skills and mechanisms) at all levels	James Rogers	VP-5b	Increase the proportion of socially responsible goods and services that we procure	Nicolé Jackson
VP-3a	Strengthen our democratic processes to improve governance and policy making	Nicolé Jackson	VP-5c	Support the achievement of our strategic outcomes through our corporate social responsibility programme	Alan Gay

Leeds Strategic Plan		
Environment		
Code	Improvement Priority	Accountable Director
ENV-1b	Reduce emissions from public sector buildings, operations and service delivery and encourage others to do so	Jean Dent

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Lead Officer: Chief Officers Resources & Strategy		Overall Progress Rating		Direction of Travel (delete as appropriate)	
Code	Improvement Priority	Contributory Officer(s) (CO)			
VfM-2a	Improve the efficiency of our services including maximising savings delivered through procurement, ICT and asset management	Chief Asset Management Officer Chief Officer ICT			
VfM-2b	Embed value for money at all levels	Chief Officer Procurement Chief Officer Resources Transformation Chief Officer Financial Management Chief Officer Human Resources			
Overall Assessment of Progress on the Improvement Priority					
<p>Good progress had been made in establishing a value for money programme (VFM) which has clearly defined projects and VFM activities aimed at delivering efficiencies. The corporate approach introduced this year, provides a consistent way of determining our priorities and clear links to service plans and budgets.</p> <p>During 2007/8 we have identified and achieved efficiencies through the delivery of a range of initiatives including;</p> <ul style="list-style-type: none"> • The Support Services Review - £4m efficiencies have been achieved to date and we expect to achieve £7m by the end of 2009/10; • Adult Social Care - £2.6m efficiencies were made within the Support and Enablement Service; • Children Services - £2m efficiencies delivered through the review of commissioning arrangements for externally provided placements and Independent Sector Fostering Agencies; • Environments and Neighbourhoods - £200k efficiencies relating to refuse collection; and • City Development - £100k (per annum) efficiencies resulting from under utilised bar and café facilities in some leisure facilities. <p>The approach to VfM which was developed during 2007/8 will continue to support us with the identification and realisation of further efficiencies for 2009/10 and beyond.</p>					

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PI Ref	Definition	Baseline	2008/09 Target	2009/10 Target	2010/11 Target	2008/09 Year end Result	Data Quality
NI 179	Value for money – total net value of ongoing cash releasing value for money gains since the start of 2008/09	N/A	3.0% (£28,759)	6.1% (£58,476)	9.3% (£89,152)	£24.3m (predicted year end savings)	No concerns with data
BP-04aii	Use of Resources score for understanding costs and achieving efficiencies	3	3	3 (new framework)	4 (new framework)	Overall Score 4 (Value for Money = 3)	No concerns with data
BP-04cii	Use of Resources score for Strategic Asset Management NB this is a new KLOE but asset management was previously assessed under the Financial Management KLOE	3	3	3 (new framework)	4 (new framework)	Overall Score 4 (Management of council assets = 4)	No concerns with data

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1&2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Other Information
<p>Delivering improved service performance and VFM is a key priority across all areas of the Council. The pressure on diminishing resources and rising customer and citizen expectation demand that the Council demonstrate clearly that it has allocated resources to meet priorities. Our 5 year budget plan also means that we need to ensure that we can evidence a strategic approach to aligning the service and resource prioritisation and ensuring that we deliver effective outcomes. In summary, VFM is about: service improvement to citizens, balancing the books and positioning our organisation for the future.</p>					
<p>During 2008 we have carried out the activities below: Developed a corporate wide approach to VFM which:</p> <ul style="list-style-type: none"> • Provides a robust, standard, corporate governance arrangement. • Links initiatives to financial management and service requirements. 					

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1&2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Other Information
<ul style="list-style-type: none"> Ensures a consistent approach to evaluation and prioritisation is achieved, embeds a culture of VFM across all directorates, linked with Service Plan and Budgets. Provides Resources and Performance Board with quarterly monitoring and reporting and options for intervention. Assist in the identification and allocation and prioritisation of resources. Provides evidence to all CAA and other assessment processes. Provides a 3 year view of VFM and service initiatives to help identify where preliminary work is needed and to incorporate the requirements for efficiency reporting (NI179). 	<ul style="list-style-type: none"> Benefit realisation plans need to be closely aligned to budget action plans and budget holders. Continue to develop initiatives across the Council, to inform a three year medium term VFM programme Align the efficiency agenda to major service change programmes and the Business Transformation Programme, to ensure efficiency is maximised and appropriate resources are deployed to deliver the programmes of work. 	<p>Financial – to ensure that we realise all of the benefits that have been identified</p> <p>Financial – ensuring we have sufficient capacity to support our business priorities</p> <p>Financial - The government have set more stretching targets for the next two years (£89m by 2010/11) which puts increased pressure on identifying VFM activity to achieve the target.</p>	<p>2009</p>	<p>Chief Officer Financial Management</p>	
<p>Carried out a trial of the prioritisation process at the Business Transformation workshop on 11th February 2009 to assess a couple of business transformation activities using the matrix. The objective of this was to determine if the process is fit for purpose.</p> <p>The process has now been adopted</p>	<p>As above</p>	<p>As above</p>	<p>2009</p>		
<p>Identified the top priorities across the board. These are areas that require senior attention to ensure that key resources are assigned and that the proposed benefits are delivered. The top priorities identified include;</p> <ul style="list-style-type: none"> Support Services Review. The determination to reduce the cost of support service and release budgets to frontline services as well as improving the services was an essential outcome and the initial targets set were to reduce the costs by £4m over five years. We have already exceeded this target (in less than three years). To date the Support Services Review has saved the council over £4m. By the end of 2009/10 we expect to have saved nearly £7m. Undertaken an independent review through our External Auditors (KPMG) – The external auditors recently undertook an independent review of our support services project to audit its methods, its achievements and to suggest what their next stages might be. The report confirmed that we are taking the right steps; that the cost of support services in Leeds, in comparison with similar authorities, are very good and that the Leeds' strategy for shared services and our vision is 	<p>During Q1 &2 will we undertake a review the priorities and resources assigned to support these.</p> <p>Continue to embed the VfM framework across all services.</p>	<p>Support Services Review – Risk: the governance of Support Services Review due to the departure of the Chair of the Board</p> <p>Support Services Review – Challenge: SSR crosses existing line management boundaries; needs authority to enforce change, team resources to project manage and service change.</p> <p>Support Service Review – Challenge: Programme Governance and the relationship between the VFM agenda and the Business Transformation agenda</p>	<p>2009</p> <p>2009</p>	<p>Chief Officer Resources Transformation</p>	

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1&2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Other Information
<p>recognised as “best practice” across the public and private sector organisations. KPMG also reported on clear evidence of improved and re-engineered processes, reductions in bureaucracy, better governance through establishing professional lines of accountability and that significant cashable efficiencies have been achieved</p> <ul style="list-style-type: none"> • HR have renegotiated the framework contracts for temporary agency staff and are advising all directorates how they can make considerable savings by following best practice guidelines and utilising these contracts effectively. • £2.6m savings within the Support & Enablement service, mainly staffing-related and with a significant proportion coming from the Community Support Service. And, £1.1m savings within the learning disability pooled budget, including proactively managing the inflationary uplift for independent sector providers and improved case management • £200k savings achieved through reviewing commissioning arrangements for externally provided placements and Independent Sector Fostering Agencies • Refuse collection - Efficiency savings during 2008/09 of £200k • Sport Service - Under utilised bar and café facilities in some leisure facilities have been closed, resulting in annual savings of £100,000 			2009	Chief Officer Resources Transformation	<p>Refer to KPMG report SSR Board review – 22/02/09</p> <p>CLT decision to priorities and scope</p> <p>Support Services Review, Annual Report 2008/9</p>
<p>Asset Management</p> <p>The draft objectives and evaluation criteria for developing Leeds as a sustainable community was supported at the Asset Management Group on 5th December.</p>	<p>The Corporate Asset Strategy is being further developed to incorporate the carbon reduction strategy to address sustainability issues, which will be considered by Strategic Investment Board on 22 May.</p> <p>The service asset management aspirations / pressures will be introduced into the Asset Management Plan along with the revised Capital Investment Strategy, which will set out the capital prioritisation process.</p> <p>The Asset Management Strategy will include the City Centre office rationalisation proposal. This will support the business transformation agenda and Business Plan efficiency improvements through increased utilisation levels and reduction in office floor space requirements.</p>	<p>City Centre Accommodation project:</p> <p>Acquisition of properties dependent on agreement with third parties.</p> <p>Uncertain market demand for disposal of freehold properties.</p> <p>Co-ordination and implementation of the necessary space utilisation and cultural changes may not be advanced quickly enough for the effective introduction of Changing the Workplace accommodation standards.</p> <p>ICT and IKM equipment and systems may not be ready in time.</p> <p>Financial risks dependent on unsupported borrowing.</p>	<p>Sept 09</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>	Chief Officer Asset Management	

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Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1&2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Other Information
<p>Maximise savings delivered through the use of ICT/new technology</p> <p>Examples (not exclusive)</p> <p>Managed Print Service - ICT Services initiated a detailed review and rationalisation of the use of printers across the Council and have now completed a thorough pilot exercise in one of the Council's largest, multi occupancy, administrative centres. This has saved £96,000 in 2007/08 and is now moving to Council wide implementation based on the proven success of the pilot with estimated efficiencies in the region of £595,000 p.a. The pilot also tackled issues on security, privacy and green issues (best practice to reduce printing, waste and costs).</p> <p>Procurement to Payment lifecycle (P2P) - In conjunction with the Support Services Review analyse the costs and risks within the complete Procurement to Payment lifecycle (P2P) which identified a number of areas which, with the assistance of better ICT systems and management information have demonstrated considerable efficiencies.</p> <ul style="list-style-type: none"> Streamlined the payments process by ensuring that invoices were paid on the optimum date (because too many invoices were being paid in advance of the due date). This alone saved £500,000 p.a. Implemented a Procurement Card (P-Card) system to replace paper based orders, low value purchases and petty cash. Process savings of over £435,000 Council wide has allowed staff reductions in central processing units (£195,000 cashable) as well as releasing capacity in departments. Electronic interfaces with suppliers to place orders and receive invoices has saved a further £26,000 p.a. 	<p>Mobile and Fixed Line tender The replacement contract has been tendered by EU procurement route and will be a framework contact that enables the council to access more services and negotiate charges of each. There are four primary target outcomes we want to deliver. These are:</p> <p>Expand on mobile and reduce on fixed line. Additional benefits are the potential for schools to leverage from the contract and for small offices to use mobile phones that are integrated into the council's core telephony service. This will reduce the fixed line telephony spend and provide staff with more flexible services.</p> <p>Through this there will be significant cost avoidance in future as now sites are commissioned.</p>	<ul style="list-style-type: none"> The financial pressures of the Council are such that supporting the ICT budget to maintain services at the current levels may not be possible. The impact of this will mean a need to prioritise resources to minimise the operational impact on services that could be significant. This could impact on current work programmes and potential savings. Lack of awareness, within the business and ability to best exploit existing ICT investment to deliver business benefits. Significant risk is suppliers and external partners increasing costs of supplies and services. Risk of partners not having the required capabilities to meet our expectations and delivery of our outcomes to timescales. 	<p>Ongoing</p>	<p>Chief Officer ICT</p>	
<p>ICT Managed Service for PC's - The re-negotiation of our current contract with external suppliers for the desktop PC hardware estate yielded a cashable saving (cost avoidance in that this would have been spent by services) of over £483,000 per annum. Included in the contract are a number of 'green' efficiencies (incl. asset lifecycle management) which will also contribute to the Council's overall energy consumption and waste management targets.</p> <p>Implementing the Collaboration Environment (ICE) ICE will deliver new service offerings (tools & training) that will enable people to seamlessly connect with each other and with those in other organisations to</p>	<p>Implementation of e-collaboration project will provide the Microsoft platform to enable better cross organisational team working, the delivery of document management and integrate electronic communications and identity with voice services.</p> <ul style="list-style-type: none"> Assuming approval of the Business Transformation Programme ' paper the following will be initiated which will lead to greater return on Investment across the Council. <p>Efficiency savings for the collaboration exercise are expected for 2009/10 to be in the region of</p>	<p>If the necessary revenue budget support, as detailed in the Business Transformation business case, is not allocated to ICT, due to the constraints within the Council, then we will be unable to progress with this programme of work.</p>	<p>Ongoing</p>	<p>Chief Officer ICT</p>	

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Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1&2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Other Information
<p>enable better delivery of the strategic and business plan outcomes for the City. ICE will also deliver the primary access point for new applications and services delivered in Leeds. e.g. Business Transformation Projects, Managers Self Service (MSS) / Employee Self Service (ESS), Enterprise Search. ICE will be the first point in consolidating technologies around the Microsoft product set.</p>	<p>£225k.</p>				
<p>Delivery of efficiencies through procurement - The Procurement Unit is developing work to maximise procurement efficiency within the council.</p> <p>The tools used to undertake this work include: spend analysis; collaboration and shared suppliers; contract conditions; demand management; standardisations; energy contracts; purchasing cards; eAuctions; producing income; the savings register; framework contracts; the approved list; selections; market analysis' high value spend; off contracts spend; non contract spend; grants to contracts and training.</p> <p>Examples of improved processes already implemented are:</p> <ul style="list-style-type: none"> • Temporary staff contract extended on the proviso that Agencies took Purchasing Cards on board (April 08) (process saving) • Trade Waste contract divided into five lots introducing recycling of paper/card and Plastic/cans and skips waste streams. Resulting in an efficiency saving. Contract offers 20% cost saving representing a saving of approx £29k pa. April 2008 • Development of off-contract reports to identify who is not using the appropriate contract. • Development of corporate contracts for high value areas of spend. • Commercial Laundry equipment contract let on a whole life costing basis. June 08 • Stationery contract let July 08 represents cashable saving of £76k. <p>Reports have been presented to the Resources & Performance Board in:</p> <ul style="list-style-type: none"> • Off contract spend • Non Contract Spend • Use of Purchasing cards • Collaboration and Framework contracts <p>A report on procurement efficiency was presented to CLT on 16th December 2008.</p>	<p>Whilst the review has identified these key initiatives much work is still to be done to implement and drive through change.</p> <p>Resources and Performance Board has agreed to take responsibility for regularly reviewing and challenging progress. As such a series papers will be reviewed by the board looking at these issues in more depth.</p> <p>Reports on various other efficiency headings will be presented to the Board as well as updates and progress on previous reports. Particularly:</p> <ul style="list-style-type: none"> • Purchasing Cards • Off contract spend • Category spend • Grants to contracts • Savings • Training 	<p>Many of the efficiencies identified are only achievable if others across the council engage with this work</p> <p>Many of the efficiencies identified are at this stage potential figures and Resources and Performance Board need to work with Procurement on how these savings are realised in the Councils budgets.</p> <p>Targets have been set as part of the Council's budgeting process for 2009/10 and these will need to be carefully monitored. Opportunities for generating savings will vary with the expectation that some projects will exceed target and others under achieve.</p>	<p>Ongoing</p>	<p>Chief Procurement Officer</p>	<p>Actions relating to these activities are embedded into the Procurement Unit's service plan</p>

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Lead Officer: Chief Officer Human Resources		Overall Progress Rating		Direction of Travel (delete as appropriate)	
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Code	Improvement Priority	Contributory Officer(s) (CO)
VP-4a	Ensure colleagues reflect the diversity of our communities	HR Leadership Team / HR Management Team / Head of Equality

Overall Assessment of Progress on the Improvement Priority

Good progress has been made against this improvement priority. We have either met or exceeded three of our five performance indicators and during 2008 have started to deliver against this priority outcome through the Equality Board. We are continuing to develop our work plans to reflect the range of activities which need to take place to improve the representation of BME staff and women (who are in the top 5% of earners) in particular. The employee data capture exercise undertaken during 2008 (with around 20,000 returns) has provided a more accurate picture of the make up of our workforce, which has resulted in more accurate reporting against the Business Plan performance indicators.

The Employment Equality Board was established earlier this year and will be a key driver in addressing areas where our colleagues do not currently reflect our communities and also in terms of ensuring that we have fair employment practices in place across the council. The work that we are doing to better engage our staff groups, once finalised in 2009/10, will help us to ensure that we are taking into account the needs of our diverse workforce throughout all of our activities.

During 2008/09 the council (including Education Leeds and ALMOS) achieved Level 4 of the Equality Standard. The standard recognises the importance of fair equal treatment in local government services and employment. We have started to use the standard to help us fully embed equality (in particular age disability, gender, race, religion or belief and sexual orientation) into all of our council policies and practices.

PI Ref	Definition	Baseline	2008/09 Target	2009/10 Target	2010/11 Target	2008/09 Year end Result	Data Quality
BP-23	% local authority staff from BME communities	7.7%	8.0%	8.5%	9.0%	8.1%	No concerns with data
BP-24	% local authority staff with disability	3.2%	3.6%	3.9%	4.0%	3.89%	No concerns with data
BP-25a	% top earners who are women	36.83%	39.00%	40.00%	41.00%	38.96%	No concerns with data
BP-25b	% top earners who are from BME communities	5.96%	6.25%	6.50%	6.75%	5.78%	No concerns with data
BP-25c	% top earners who are disabled	4.05%	4.20%	4.40%	4.60%	4.20%	No concerns with data

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Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1& 2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further Information/Evidence
<p>Our staff reflect the diversity of our city, perform well, our constantly learning and are able to develop their careers through all levels of the council without discrimination</p> <p>Equality Employment Board An Equality Employment Board has been established with a clear objective to commission and oversee initiatives and activities across the council to improve outcomes for equality in employment.</p> <ul style="list-style-type: none"> • An action plan was developed during 2008, for the Equality Board in line with the new Equality Framework. • Met with PATH to explore opportunities for joint working and started to review PATH positive action training placements at graduate level. • To make links with the staff groups, HR have now started to attend the Diversity Staff Forum. <p>Equality and Diversity Learning and Development To ensure that we have increased learning and development opportunities and to ensure improved staff awareness of roles and responsibilities, during 2008/09 we have:</p> <ul style="list-style-type: none"> • Finalised the Equality & Diversity learning and development plan which has been signed off by HR Leadership Team. • Continued to roll out Equality and diversity training to services as an interim arrangement while the procurement exercise for the equality and diversity plan is progressing. <p>Disability Employment Positive steps continue to be taken towards improving the position of the council as an employer of disabled people through our disability employment strategy. In 2008 we have:</p> <ul style="list-style-type: none"> • Worked with the Corporate Disabled Staff group to develop a reasonable adjustment toolkit and guide for managers. The guide was launched in March 09 at a conference for managers on reasonable adjustments and understanding their role in supporting disabled people in employment. The toolkit will provide a useful source of information and advice to managers about reasonable adjustments and how these can be applied. The toolkit provides case studies illustrating the positive use of adjustments for a range of disabilities. 	<ul style="list-style-type: none"> • Equality Challenge sessions to commence within services starting with HR to challenge employment equality issues. • Continue with the procurement exercise to source new Equality and Diversity Learning and Development providers. • The good practice within the toolkit and guide will continue to be communicated through arrangements for equality and diversity training and a one stop site on the intranet to help managers when considering reasonable adjustments. 		<p>2009</p> <p>2009</p> <p>2009</p>	<p>COHR</p> <p>COHR</p> <p>COHR</p>	

<p>Disability Employment Board</p> <ul style="list-style-type: none"> A Disability Employment Board was established which has four work-streams; Changing culture & perceptions, Improving capacity and delivery, Workforce planning & service commissioning and Improving results and return on investment. To develop the four work-streams HR has been working with a number of specialist agencies and advisors. For example representatives from the corporate disabled staff group have been involved in the development of the reasonable adjustment toolkit. Board members from MIND and Leodis have also helped in developing case studies for the toolkit. Initiated a pilot vacancy sharing scheme with Remploy to boost the employment of disabled people by vacancy sharing a proportion of LCC entry level posts. Currently 20 people using the scheme and 3 people have secured employment. 	<ul style="list-style-type: none"> The work of the Disability Employment Board will now be integrated with the work of the Equality Employment Board. 	<p>Local community - If Impact assessments are not undertaken, potential barriers could be created for particular groups.</p>	<p>Q2</p>	<p>COHR</p>	
<p>Equality Impact Assessments</p> <p>Our Impact assessment process helps us to put equality, diversity and community cohesion at the heart of everything that we do. This is a process which considers all our current and proposed policies and activities to ensure that they do not disadvantage groups.</p> <p>During 2008/09 we completed impact assessments for two key policies; Grievance policy & disciplinary policy and recruitment & selection policy. Any actions identified through the Impact Assessment were addressed.</p>	<ul style="list-style-type: none"> To continue to carry our impact assessments as detailed in our schedule of impact assessments for 2009/10. 		<p>2009/10</p>	<p>COHR</p>	
<p>Employee Data Collection</p> <p>To improve the quantity and quality of all HR statistical reports on employee monitoring the Business Support Centre (BSC) worked with HR to request employees to update their personal details such as ethnicity, disability status, religions and belief, skills.</p> <ul style="list-style-type: none"> During 2008/09 we conducted a data capture exercise. To date, almost 20,000 returns have been received from employees (including Education Leeds, schools and ALMOs) and as a result we have more accurate information about our employees. 	<ul style="list-style-type: none"> To consider needs to further update and refresh standard employee data on a rolling basis. 				

<p>Staff Groups</p> <ul style="list-style-type: none"> • There has been significant engagement with staff groups, particularly through the diversity staff forum where HR representatives have presented draft policies for grievance and recruitment and selection to the group for feedback. Diversity Forum representatives have used their own networks (disability, BME, Gender & LGB) to ensure wider participation in the review of the draft policies. • A review of staff groups commenced during 2008 and is now in its final stages. Questionnaires have been sent to members of staff groups, Chief Officers, members of CLT and HR. Responses are being collated from Core Cities and West Yorkshire Metropolitan Councils on their approach to and support for staff groups. 	<ul style="list-style-type: none"> • Engagement to continue with staff groups on an ongoing basis. • Finalise review of staff groups and implement recommendations. 	<p>Local Community – That our staff don't reflect the diversity of our communities.</p>	<p>2009/10</p>	<p>COHR</p>	
<p>LGB (Lesbian, Gay and Bisexual) Network Conference – purpose/context</p> <p>LGB Group (supported by HR) carried out staff survey to identify any potential homophobic bullying.</p> <ul style="list-style-type: none"> • Results of the survey have been analysed and areas for improvement such as training for staff and managers about bullying and harassment has been explicitly referenced in the Equality and Diversity Learning and Development Plan. 	<ul style="list-style-type: none"> • Outcomes of the LGB survey to be embedded in the Equality and Diversity Learning and Development Plan. 	<p>Local Community – Not tackling incidents of homophobic bullying and harassment.</p>	<p>2009/10</p>	<p>COHR</p>	

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Lead Officer: Head of Communications		Overall Progress Rating		Direction of Travel	↑
Code	Improvement Priority	Contributory Officer(s) (CO)			
VP-2c	Strengthen communication (skills and mechanisms) at all levels	Head of Communications and Corporate Consultation Manager			

Overall Assessment of Progress on the Improvement Priority
 Good progress has been made with all of our strategic issues although the initial findings of the communications in service audit shows there are significant gaps in communications skills and experience across the authority which means much more work needs to be done to develop the required infrastructure and resources which properly meets the needs of the organisation.

PI Ref	Definition	Baseline	2008/09 Target	2009/10 Target	2010/11 Target	2008/09 Year end Result	Data Quality
BP-22	% staff feel council communicated well with them	59%	No survey	64%	No survey	No survey due - next staff survey in 2009/10	No concerns with data
BP-26	Investors in People accreditation	n/a	Level 1	Level 1	Level 1	Level 1 accreditation has been confirmed	No concerns with data

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1 & 2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further information/ evidence
<p>Identify communications tools to support organisational priorities and key service plans, including the promotion of key strategic themes.</p> <p>Progress: consultation with staff on the communications sub board has identified a strong interest in developing a shared/joint calendar for planning purposes.</p>	<p>Work is underway to develop a suitable tool. IT are being consulted about whether existing software could be developed/adapted and we are considering what 'off the shelf' online systems are available.</p>	<p>There is a risk of continued or further isolated working if the shared tool isn't developed. There is also a risk that staff who should be using the tool do not.</p>	August 2009	Head of Communications	See Communications Service Plan for more information
<p>Develop a communications resource (and structure) that meets the needs of the council, enabling it to deliver its business plan, priorities and strategic objectives.</p> <p>Identify communications standards, resources and communications skills for officers and managers.</p> <p>Progress: the communications in service audit work has taken much longer than planned, but a large amount of the data has now been collated although some gaps in our knowledge remain.</p>	<p>Pulling the information together into a presentable form has begun but remains far from complete.</p> <p>Communications competencies for leadership and management standards have been rolled out but will require suitable monitoring.</p>	<p>There is a risk that we are unable to 'plug' gaps in our knowledge which may turn out to be significant.</p> <p>It remains a challenge for us to persuade colleagues about the importance of this work.</p> <p>A more significant risk is perhaps the fact the work and its outcomes could be ignored or not considered to be a priority by senior managers.</p>	June 2009	Head of Communications	See Communications Service Plan for more information
<p>Communications professionals across the organisation work effectively with relevant and appropriate guidance, protocols and support.</p> <p>Progress: guidance for staff on branding and identity issues has now been completed and has 'gone live'. A review of the media protocols for both the council and Education Leeds has been completed and agreed by senior managers and elected members.</p>	<p>To further promote the new branding and identity guidelines to appropriate staff, to ensure they understand them and use them appropriately.</p> <p>A series of workshops has been organised and already approximately 50 members of staff have signed up to attend.</p> <p>Discussions with colleagues from the Leeds Initiative have begun and need to be finalised around the issue of partnership branding.</p>	<p>There is a risk that staff ignore the guidelines and that agreement cannot be reached with regard to the way forward for partnership branding.</p>	Ongoing	Head of Communications	See Communications Service Plan for more information

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1& 2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further information/ evidence
<p>Ensure the council's brand and identity is consistently developed, reflecting the 'one council' approach.</p> <p>Progress: new branding and identity guidelines have been issued following lengthy consultation and a series of workshops are about to get underway to explain them to staff.</p> <p>Work continues within the council and with partners to ensure consistent branding across the organisation and to tackle the issue of 'retiring' many sub brands.</p> <p>The most significant development is the agreement reached to withdraw the 'Contact Leeds' sub brand.</p>	<p>Continue the work that has begun to withdraw sub branding when it is deemed inappropriate. The agreement to end the 'Contact Leeds' brand will assist with this work.</p> <p>Deliver a series of workshops around brand and identity.</p> <p>Progress discussions concerning partnership branding and develop one set of guidelines and protocols.</p> <p>Continue work to remove out of date signage.</p>	<p>There is a risk that service teams who currently have their 'own brand' will not give us the buy in we require and not agree to proposed changes and brand 'removals'.</p> <p>The same risk applies to securing agreement on a future approach to partnership branding.</p> <p>There is a risk that any cost associated with removing out of date and inappropriate signage is not seen as a priority by relevant service teams or directorates.</p>	<p>Ongoing</p>	<p>Head of Communications</p>	<p>See Communications Service Plan for more information</p> <p>All information on brand and identity on intranet.</p>
<p>Provide strategic lead on development of the council's website, intranet, and other electronic communications channels.</p> <p>Progress: the two communications staff responsible for the inter and intranet have been temporarily relocated to Apex to enable them to work more closely with ICT.</p> <p>New guidelines around 'social media' and web 2.0 have been developed.</p> <p>Further web publishing training courses have been carried out to ensure all service areas have an appropriately trained member of staff.</p> <p>The home page on the leeds.gov.uk site has been refreshed.</p>	<p>Continue to work closely with IT regarding the future development of the website.</p> <p>Progress discussions with HR regarding the future ownership of the intranet.</p>	<p>The issue of 'who controls the website' remains a challenge to the delivery of a modern, flexible and adaptable internet presence.</p> <p>There remains confusion about the management of work streams which directly or indirectly effect the website and effectively who has final say over the direction and management of our web resource.</p> <p>A risk and challenge continues to be the inability of the infrastructure to deliver required and desired outcomes.</p>	<p>Ongoing</p>	<p>Head of Communications</p>	<p>See Communications Service Plan for more information</p>
<p>NB Further information on external communications with the public are found in the Action tracker for IO 3a/b on consultation and engagement</p>					

Lead Officer: Chief Officer Policy & Partnerships	Overall Progress Rating		Direction of Travel (delete as appropriate)	
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Code	Improvement Priority	Contributory Officer(s) (CO)
Vfm-4c	Embed a consistent approach to service planning which clearly links workforce and asset management planning, risk, financial and performance management	All Chief Officer Resources and Strategy


Overall Assessment of Progress on the Improvement Priority

The introduction of the council-wide service planning guidance, Challenge Events and a more rigorous and comprehensive quality assurance (QA) exercise with detailed written feedback for the 2008-09 plans means that there are now more robust processes in place for developing and tracking the quality of service planning across the authority than for the 2007-08 set of plans. This process also means that resources and capacity can be better concentrated in areas that need the most support to complete their plans and to embed a stronger culture of service planning. However, there are still some key service areas which need to significantly improve the quality of their service planning or where plans have not yet been finalised for this financial year, hence the amber rating for this priority. Steps are being undertaken to improve this situation and put firmer timetables in place for 2010-11, but this has not been delivered yet. The QA exercise for 2009-10 plans is to be completed by the end of June 2009, so the impact of the new process has yet to be assessed.

PI Ref	Definition	Baseline	2008/09 Target	2009/10 Target	2010/11 Target	2008/09 Year end Result	Data Quality
BP-32	Direction of Travel Score	Improving Well	Improving Well (or better)	DoT Assessment no longer carried out under CAA		Improving Adequately	No concerns with data

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1& 2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further information/ evidence
<p>Timely submission</p> <p>78% of service plans for 2009-10 were submitted by the corporate deadline of 1st April 2009, which aligns with the new financial year. This is a marginal improvement on the previous two years (72% of plans were published by 31st March 2007, excluding Social Services, and in 2008: 75% of all plans were published by deadline).</p> <p>Plans from Children's Services (excluding Education Leeds who have their own planning arrangements) are available in draft format, but will not be signed off until the end of June, due to the timescales for developing the Children and Young People's Plan 2009-14. However, an outline timetable for developing the 2010-11 plans has been agreed.</p> <p>Adult Social Care has for the first time this year submitted all their plans to the deadline and undertaken a number of activities to improve staff engagement in the planning process. The directorate has committed to completing team level plans by 30 June 2009.</p>	<ul style="list-style-type: none"> Children's Services plans to be submitted by 30 June 2009. Ensure Children's Services receive appropriate support for their revised process for developing service plans for 2010-11. Support offered in April on plan development to team managers in ASC through directorate transformation team and the corporate performance team. Provide support as appropriate. Follow up on the service plans awaiting final sign off in Resources, Corporate Governance and Environment and Neighbourhoods (draft versions are available). 	<ul style="list-style-type: none"> The Corporate Assessment in 2007 identified the council's service planning as an area of weakness and the July 2008 safeguarding inspection for Adult Social Care also identified planning as an area for improvement for that directorate, highlighting the significance of this priority for the authority. Failure to complete plans by the deadline means that services may not be making best use of their resources and that there may be lack of clarity about the overall direction and activity. 	As per next steps	Corporate Performance Team; Head of Performance	
<p>Service Plan QA Process</p> <p>QA process 2008 completed with detailed written feedback provided to all service plan owners. As this was the first year that plans have been completed in line with the single, council-wide approach to service planning, all 101 service plans were reviewed in this process. In the previous 2 years, the QA exercise focused on a sample of plans only.</p>	<ul style="list-style-type: none"> Complete shorter QA exercise by 30 June 2009. Ensure specific support to these plans. Run outcomes and success measures workshops. CORS to ensure mechanisms in place to check that resources appropriate in the plans. 	<ul style="list-style-type: none"> Risk if the QA is not undertaken is that we cannot be sure of the quality of our service planning process. Not all service plans will be reviewed, and so issues may not be flagged up at an early enough stage. However, directorate-based performance teams are responsible for quality assurance of the 	By 30 June 2009	Corporate Performance Team; Head of Performance	

<p>8 of the 101 plans were identified as areas of significant concern, as they failed to meet most of the minimum requirements. This was fed back to CLT and the CORS and these services were offered particular support to prepare their plans for 2009-10. These will be the focus of the QA exercise during summer 2009 to assess progress now that a baseline is in place. This will ensure that resources are focused on supporting the weakest plans.</p> <p>Some general areas for improvement were identified for all plans (see next steps). However, there were also improvements in some of the minimum requirements, particularly in the areas of incorporating a service level vision, reviewing past performance and including risk assessments in service plans.</p>	<ul style="list-style-type: none"> ▪ Provide support to improve how consultation and engagement activity feeds planning and improvement activity. 	<p>plans prior to their publication on the intranet and service plan sponsors who approve plans are all directors or Chief Officers, so this should not represent a significant risk.</p>			
<p>Spread best practice</p> <p>Challenge events held again in February and March 2009. 66 of the 101 people invited attended the events, which received positive feedback. The QA exercise 2008 demonstrated the value of the events in the previous year in driving improvements in the published plans.</p>	<ul style="list-style-type: none"> ▪ Using the outcomes from the above actions to inform, implement communications plan. ▪ Consider more focused Challenge Events for 2010. ▪ Undertake a Challenge Event with Children's Services on their plans on 30 April 2009. 	<ul style="list-style-type: none"> ▪ Failure to do this could lead to duplication of effort. 	<p>By 30 September 2009</p>	<p>Heads of Performance</p>	
<p>Streamlining support and reporting processes</p> <p>Cross referencing (LSP/CBP) guidance provided in 2009/10 service plan packs.</p> <p>To inform Action Tracker content, lead Chief Officers and directorate performance teams are advised by PPI staff to utilise service plan information.</p> <p>Workshop and discussions held with the Performance Board and Performance Working Group.</p> <p>The QA 2008 identified that very few plans were relating their work to the Council Business Plan. The individual written feedback to each service on their plan highlighted this issue.</p> <p>Area management and service teams currently discussing how they can better align the development of service delivery and area delivery plans.</p>	<ul style="list-style-type: none"> ▪ To determine effectiveness of work to date, cross reference the service based information provided in Q4 Action Trackers to service plan actions. ▪ Facilitate alignment of the Council Business Plan and Leeds Strategic Plan through improving communications about the former, mainly targeting outward facing services. ▪ Work with directorates to review the guidance and template. Updated guidance produced for 2010-11 service plans. ▪ Facilitate discussion between Area Management and selected service areas to enable better alignment in 2010-11, and, for where required interim arrangements in 2009-10. ▪ Strengthen equality, diversity and community cohesion dimension in the plans. ▪ Work with CORS to ensure aligned support for plan development for 2009-10. ▪ Respond to relative QA findings. 	<ul style="list-style-type: none"> ▪ If this is not completed, it means that officer time is not used in the most efficient way. ▪ There is also a risk that equality, diversity and community cohesion are seen as an add on rather than integral to a service's plans and activity. ▪ The key risk is failure to deliver on the Council Business Plan, because the document is seen as something for central and corporate services only. 	<p>By 31 Aug 2009</p>	<p>CORS and Heads of Performance</p>	

Lead Officer: Chief Officer Policy & Partnerships		Overall Progress Rating		Direction of Travel (delete as appropriate)	
Code	Improvement Priority	Contributory Officer(s) (CO)			
IO-3a	Increase involvement, engagement and participation of all communities especially hard to reach groups	CORS and communications leads in Directorates Chief Asset Management Officer			
IO-3b	Build trust with local communities to encourage greater engagement	Head of Policy Performance and Improvement (HPPI) Corporate Consultation Manager (CCM) Chief Officer Business Transformation Head of Equality (HE) Head of Communications (HC)			
Overall Assessment of Progress on the Improvement Priority					
The council continues to carry out a huge amount of consultation and engagement work aimed at increasing the involvement of local people in decision making e.g consultations on specific projects, Place Survey, Tell Us survey, Citizen Panels etc. The results of these consultations inform the way in which we plan and deliver services and are an important source of strategic intelligence. However, we still continue to strive to coordinate this work in a more effective way both within the council and across the partnership but this work is still in its early stages. There have been some delays in progressing the Equality Assembly - these delays have been addressed and progress is in a forward direction. However, specific outcomes are currently limited, hence the amber rating for this priority outcome					

PI Ref	Definition	Baseline	2008/09 Target	2009/10 Target	2010/11 Target	2008/09 Year end Result	Data Quality
BP-29	Voter turn out	35.76%	N/A Baseline Year	No local elections	37%	35.76% (Baseline)	No concerns with data
BP-15	% people who are satisfied that they think the council allows residents a say in what it does	43%	No survey	50%	No survey	No survey due in 2008-09	No concerns with data
BP-16	% people who think the council keeps them well informed about services and benefits it supplies	51%	No survey	55%	No survey	No survey due in 2008-09	No concerns with data

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1& 2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further information/ evidence
Implement one council approach to consultation, involvement and engagement Auditing of staff responsible for consultation with view to creating formal network of professional consultation/engagement officers Review of governance around consultation/ engagement. Guidance revised on consultation/engagement and Talking Point within DSC Guidance and training (March 2009)	Receive finished audit of resources and skills and recommend models for future support structure for consultation/engagement delivery Ongoing training and promotion of Talking Point within council	Resource implications – skills shortage, funding to fill gaps in support to services Potential Failure to strengthen governance Lack of take-up of Talking Point engagement activity database, and lack of consistent feedback mechanisms Failure of all directorates to support the use of Talking Point to plan and coordinate activity	Summer 2009 Ongoing	CCM	Part of wider Audit that includes Communications, led by CORS officers See Communications Service Plan for more information
Develop collaborative work with partners on consultation and engagement As of April 2009, JSNA involvement group acting to jointly agree principles of engagement and provide joint training opportunities. Residents survey developing to potentially include partners	Consolidate JSNA and Resident Survey activity	Identifying appropriate areas of collaboration Potential failure of partnerships Potential funding restrictions	Summer 2009	CCM	
Better understand the effectiveness of consultation/engagement and communications from resident perspective Project being designed to undertake external evaluation of effectiveness and impact	Deliver project designed to undertake external evaluation of effectiveness and impact Explore 'hard copy' version of Talking Point – e.g. highlight reports in About Leeds	Potential lack of funding Potential failure to include all equality groups Potential failure to communicate learning gained internally/with partners	Summer 2009	CCM	

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1& 2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further information/ evidence
<p>Place survey and Residents survey It is important for us to understand how citizens and partners feel about how well the area is performing against our strategic and business plan outcomes.</p> <p>The Place Survey is the govt prescribed survey conducted bi-annually as part of the CAA process and the first survey was successfully delivered by Jan 2009. Reporting delayed due to Audit Commission failure to finalise National Indicators gathered from this survey. Interim NI results were reported to CLT and LMT in March 09.</p> <p>The Residents Survey takes place between Place Survey years, and is locally designed. It is intended that the 2009 survey is delivered with partner contribution to help increase efficiency and reduce number of separate city-wide surveys. Survey due to take place in July 09.</p>	<p>To finalise Place Survey reporting to CLT and Members. This to include analysis of findings and consideration of reasons behind any significant changes in perceptions. This analysis is currently hampered by the fact that CLG have not published results for all LAs, thereby making comparison with other areas impossible.</p> <p>To ensure results are fed into service planning and LAA refresh discussions.</p> <p>Further planning for the 2009 Residents Survey.</p>	<p>It is difficult for us to influence perceptions and one off events can have a disproportionate effect on perceptions.</p> <p>Potential failure of partnership to collaborate or resource Residents Survey</p>	<p>May 2009</p> <p>Ongoing</p> <p>May 2009</p>	<p>HPPI</p> <p>HPPI</p> <p>HPPI</p>	
<p>Better presentation of service information, and engagement opportunities to residents.</p> <p>'Get involved' webpage has promoted public feedback as of March 2009. This collates previously dispersed links to Talking Point, complaints and compliments, to Scrutiny and Area Committee schedules, to Planning Applications, Breeze youth website and existing web pages about local councillors. In addition the page has links to local volunteering opportunities</p> <p>Produce and develop an effective council newspaper – About Leeds has recently had a design overhaul which includes the introduction of a new typeface. It was named the CiB northern region 'newspaper of the year' for the second year in a row.</p> <p>Created A to Z of services, passed to residents via Council Tax bill packs, successfully delivered in March 2009, first time since 2005. This also promoted 'Get Involved' (see above)</p>	<p>Work with proposed new consultation network within council to establish good practice and minimum standards, including feedback provision</p> <p>Expand 'Get Involved' to include partner information</p> <p>Publication in About Leeds of key performance information on local public services. This 4 page supplement will go to all households in Leeds.</p> <p>Publication with Council Tax demands of a leaflet explaining; how Council Tax is calculated; what money is spent on; how to claim benefit, how to claim discounts etc</p> <p>To review future options for the newspaper and to consider ways to off-set the rising cost of printing and distribution.</p> <p>A questionnaire will be included in the next edition (June 2009) to seek views from readers about the publication. This will be combined with a wider piece of consultation work planned for later this year.</p>	<p>Potential lack of resources</p> <p>Potential failure to recognise importance of feedback</p> <p>Potential varying quality of feedback</p> <p>Potential failure to evaluate impact of feedback on public perception</p> <p>Potential failure of partnership to collaborate for 'Get Involved'</p> <p>Increasing costs of printing and distribution of About Leeds.</p> <p>Lack of evidence (even anecdotal) about the readership of the paper and perceptions of it among readers.</p> <p>The opposition party remains a big critic of the newspaper and often calls for it to be scrapped. There is a risk administration members may be persuaded to join calls for the paper to be withdrawn.</p> <p>Potential failure to evaluate impact of new A to Z and 'Get Involved'</p>	<p>Ongoing</p> <p>Ongoing</p> <p>June 09</p> <p>March 2010</p> <p>August 09</p>	<p>HC/CCM</p>	
<p>Clear demonstration of impact of feedback on services See action under IO-2c</p>					

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1& 2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further information/ evidence
<p>Use press and media management to communicate key messages to service users.</p> <p>In the last six months this has included topics such as the increase in care charges for adult social care; the budget setting process (including the efficiency savings achieved and the capital programme); the launch of the council's new 'general enquiries' number; the East Leeds Link Road; the launch of the Leeds: Housing City campaign and the Leeds Arena project. The media was also used to support and encourage debate around the consultation process on proposals for the future of sport and leisure centres.</p>	<p>To develop closer working relationships with journalists and ensure they are properly briefed about key issues, especially sensitive ones, to influence how they are reported.</p> <p>Make better use of the broadcast media and ensure we respond to changing nature of the media.</p> <p>Consider the use of 'social media' to ensure messages filter through to hard to reach groups or audiences who don't consume 'traditional' media such as local newspapers.</p> <p>Need to evaluate impact of our communications and any contribution they make towards Improvement Priorities.</p>	<p>A lack of interest from the media about the subject matter and therefore the issue doesn't achieve as much coverage as was hoped.</p> <p>Not having complete editorial control over an issue and a media organisation choosing to report the issue in a different way to how we intended it to be handled.</p> <p>Lack of 'blanket coverage' of all audiences via the media; so potentially messages might not reach their intended recipients.</p> <p>A changing media scene; shrinking number of outlets, consolidation, falling audiences/circulation etc which may affect the likely 'coverage' of a particular issue/message.</p>	<p>Ongoing</p>	<p>HC</p>	<p>See Communications Service Plan for more information</p>
<p>All equality areas are able to actively participate in involvement and consultation.</p> <p>Extensive work has taken place to progress the Equality Assembly through on-going involvement and discussion via focus groups, questionnaires and drop in sessions with community members and representatives</p>	<p>Continue work to ensure increased representation particularly for the gender and LGB hubs.</p> <p>Appoint representatives for each hub area</p> <p>Understand capacity of hub members and representatives and establish series of hub meetings</p> <p>Hold joint council and representative meeting</p> <p>Identify and assess resource implications for hosting and servicing of the Equality Assembly and make recommendations to address shortfall</p>	<p>Need to ensure that each hub is fully representative of all communities</p> <p>There is the potential for conflict both within the hubs and also within the Representatives Network</p> <p>Capacity of hub members and representatives needs to be understood</p> <p>It is recognised that there are numerous organisations/ networks already in existence within Leeds and the Equality Assembly needs to develop its role and place as a key involvement vehicle for the City</p> <p>Lack of resources and funding</p>	<p>Ongoing</p> <p>From June onwards</p> <p>July 09</p> <p>Ongoing</p> <p>Sept 09</p> <p>June onwards</p>	<p>HE</p>	

Lead Officer: Chief Officer Policy & Partnerships		Overall Progress Rating		Direction of Travel (delete as appropriate)	↑
Code	Improvement Priority	Contributory Officer(s) (CO)			
VP-4b	Ensure fair access to all our services	Head of Equality Chief Officer HR CORS Corporate Consultation Manager Head of Policy Performance and Improvement Team Chief Procurement Officer Chief Democratic Services Officer Chief Officer Customer Services			
VP-4c	Embed equality and diversity throughout the organisation				

Overall Assessment of Progress on the Improvement Priority

There has been considerable progress made to embed equality and diversity and to ensure fair access to all our services. An indication of this is the NI140 result of 70%, the achievement of Level 4 of the Equality Standard, and the increased numbers of impact assessments which are being published on the internet. There is ongoing work with partners and the establishment of the Leeds Equality Network, although very much in its formative stage could have an impact on furthering the agenda in the city.

PI Ref	Definition	Baseline	2008/09 Target	2009/10 Target	2010/11 Target	2008/09 Year end Result	Data Quality
NI 140	% people who say they have been treated with respect and consideration by local public services	New indicator none available	N/A Baseline Year	No survey	TBC	69.6% (Baseline)	No concerns with data
BP-28	Implementation Equality and Diversity Scheme	N/A	N/A Baseline Year	TBC	TBC	5% (Baseline)	No concerns with data
BP-27	Equality Standard level	Level 3	Level 4	Equality Standard to be replaced by Equality Framework from April 2009		Level 4	No concerns with data
BP-14	% services which are accessible as assessed by: a) Self Assessment b) Independent audit	N/A	N/A Baseline Year	TBC	TBC	ASC: Partly Accessible E&N: Partly Accessible CD: Partly Accessible Ed Leeds: Mainly Accessible Children's Social Care: Mainly Accessible Early Years and Youth Services: Partly Accessible Resources: Mainly Accessible	No concerns with data

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1& 2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further information/ evidence
<p>Directorates, partner organisations and stakeholders will have a consistent approach to the equality and diversity agenda</p> <p>Level 4 Equality Standard achieved March 09</p> <p>Cross council working group established to consider the Equality Framework</p> <p>Leeds Equality Network established</p> <p>Equality Assurance questions piloted in procurement</p>	<p>Continue work with directorates and services to provide support to ensure effective transfer to the Equality Framework</p> <p>Continue work to promote, influence and support the implementation of the council's approach to equality monitoring and Equality, Diversity and Cohesion impact assessments.</p> <p>Agree focus for the Leeds Equality Network, and produce work programme</p> <p>Evaluate approach to embedding equality in procurement</p>	<p>Failure to secure buy-in to the Equality, Diversity, Cohesion and Integration agenda.</p> <p>The potential consequences are:</p> <ul style="list-style-type: none"> - Not meeting our legal duties - Failure to achieve outcomes within the Equality and Diversity Scheme and Cohesion and Integration Priorities Delivery Plan - Lack of satisfaction from key stakeholders 	<p>Ongoing</p> <p>April 09 and ongoing July 09</p>	<p>HE</p> <p>CORS</p> <p>COHR</p> <p>CCM</p> <p>CPO</p>	<p>The final Equality Framework was published in March 09, and work has to take place to ensure that the approach to this supports the councils approach and adds value to the equality agenda.</p>

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1& 2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further information/ evidence
<p>Develop a clear measure of equality and diversity performance. Closer working has taken place with performance management contacts in directorates and corporately Working group established to consider transfer to the Equality Framework from the Equality Standard Working group established to develop BP14</p>	<p>Develop combined, user friendly measure for the Equality Scheme and the Equality Framework.</p> <p>Production of an Equality and Diversity Annual Report 08/09 outlining key progress and achievements</p> <p>Establish method of assessing current position against the Equality Framework. Agree targets for achieving excellence rating for the Framework and set baseline for BP14 & BP28</p>	<p>No evidence of achievement of outcomes, or of progress against the Equality Scheme or Equality Framework</p> <p>Non compliance with legal duties.</p> <p>Change and impact as a result of PPI restructure needs to be assessed as the new staffing structure develops</p>	<p>July 09</p> <p>Aug 09</p> <p>Sept 09</p>	<p>HE CORS HPPIM COCS</p>	
<p>There is a consistent approach to celebrating and promoting equality events at a local, citywide, national and international level.</p>	<p>Establish understanding of current position around the celebration of equality events which currently take place, eg, International Women's Day, Holocaust Memorial Day. Provide a gap analysis, and recommendations for consistent approach for the future</p>	<p>Ensuring that all communities feel valued and represented</p>		<p>HE</p>	
<p>Effective leadership for Equality, Diversity and Cohesion Elected Members and Lead Officers are well informed to be able to progress all areas relating to Equality, Diversity, Cohesion and Integration in respect of service delivery and employment responsibilities.</p> <p>A working group has established the requirements for equality learning and development. The procurement process is on track with a view to delivery of the new training plan by Oct 09. The specification for the equality and diversity learning and development model has been drawn up and agreed.</p> <p>The Fairplay Partnership have conducted 2 workshops with Elected Members to undertake an initial analysis of understanding and knowledge of equality and diversity. Action Plan agreed between Equality Team and Member Development Officer. Progress reported to Scrutiny Board (Central and Corporate Functions)</p> <p>Report presented to Scrutiny Board (Central and Corporate Functions) 6th April 09, outlining work undertaken with regard to improving embedding equality in the decision making process. Proposed methodology approved</p>	<p>The procurement process is about to go out to tender for equality learning and development.</p> <p>Implement the action plan arising from the work with the Fair Play Partnership on a training and development programme for Elected Members.</p> <p>Further development of the newly established Equality and Diversity Board to take place, including establishing clear working protocols between the Equality and Diversity Board, the Equality in Employment Board, the Strategic Planning and Policy Board and the Resources and Performance Board</p> <p>Development is to take place of 6 monthly equality workshops to engage the wider equality network within the council. These workshops will use a thematic approach</p> <p>Implement the recommendations arising from the scrutiny report and develop new approach to embedding impact assessments into the decision making process</p>	<p>Council officers and elected members may not be equipped with the necessary tools to undertake their roles in delivering fair access to services and employment and representing citizens across the city</p> <p>Not meeting our legal duties</p> <p>Lack of effective transfer from the Equality Standard to the Equality Framework</p> <p>Failure to achieve outcomes within the Equality and Diversity Scheme and Cohesion and Integration Priorities Delivery Plan</p> <p>Lack of satisfaction from key stakeholders</p>	<p>Oct 09</p> <p>May 09 onwards</p>	<p>HE COHR CDSO CORS</p>	
<p>Ensure we have effective and vibrant equality staff groups who feed into the decision making process A review of the equality staff groups has taken place which included a range of activity such as face to face interviews and questionnaires to staff, equality staff group members, HR and senior managers via COLF.</p>	<p>Progress the recommendations arising from the staff groups' review. The Equality and Diversity Board will oversee overall progress against the recommendations. Any HR actions from the staff group review to be supported via the Equality in employment Board. Establish and implement action plan</p>	<p>Need to ensure consistent approach across the council, which will include, ownership and resources</p> <p>Need to move towards self sustaining staff groups.</p>	<p>May 09</p> <p>June 09 onwards</p>	<p>HE COHR</p>	
<p>NB Further information on equality and diversity employment issues are found in the Action tracker for VP-4a "Ensure colleagues reflect the diversity of our communities"</p>					

Lead Officer: Chief Customer Services Officer		Overall Progress Rating	Direction of Travel (delete as appropriate)	↑
Code	Improvement Priority		Contributory Officer(s) (CO)	
IO-2a	Improve our understanding of our customers		Chief Officers Resources & Strategy	
IO-2b	Increase choice so customers can access services in more convenient ways		Head of Information, Knowledge Management	
IO-2c	Improve our services based on customer feedback		Chief ICT Officer	
IO-2d	Manage customer expectation and deliver on our promises		Chief Officer Business Transformation	
IO-2e	Develop joined up and person centred services designed around the needs of our customers		Customer Strategy Board members	
IO-2f	Enhance the links between front and back office services to deliver excellent end-to-end services			

Overall Assessment of Progress on the Improvement Priority

The high level PI results are overwhelmingly positive, and indicate significant progress both in core performance and in developing a more consistent or 'One Council' approach to the six priority themes 2a – 2f for putting customers first. Commentary on high level progress, next steps and significant risks/challenges is provided below.

The council has achieved continued improvements in all indicators reporting a result in 2009/10, with four out of five meeting or exceeding their year-end target. The council now has a high-level baseline for levels of recorded avoidable contact, from which we will develop council-wide action plans.

The council has significantly increased (doubled) its original target for the volume of self-service transactions, and has strong expectations of new self-service options being well-used by citizens in 2009/10. The council has also improved its overall performance on complaints handling within the stated service standard, rising from 69% to 72%, although the improvement has fallen slightly short of the 76% target. Directorates under-performing are developing action plans to improve their performance.

In addition, the council has improved its performance in responding to letter and email correspondence within stated times, to 85% and 93% respectively. The council has also improved its overall call answer rate on publicly advertised telephone lines, and performance will further improve when under performing lines are transferred to the corporate contact centre during 2009/10.


PI Ref	Definition	Baseline	2008/09 Target	2009/10 Target	2010/11 Target	2008/09 Year end Result	Data Quality
NI 14	Reducing Avoidable contact (ie customer contact which is of low or no value to the customer)	N/A	N/A Baseline Year	tbc	tbc	23% (Baseline)	No concerns with data
BP-07	Overall Resident Satisfaction	61%	No Survey	65%	No Survey	No survey due - next Residents Survey in Q2 2009/10	No concerns with data
BP-08	Volume transactions through customer self service	467,054	513,000	565,000	621,500	1,058,555	No concerns with data
BP-09	% of complaints to the council that receive a substantive response within 15 working days (or shorter service standard period)	69%	76%	86%	95%	72%	No concerns with data
BP-10	% of letters from the public that receive a substantive response within 10 working days	N/A	75%	85%	95%	85%	No concerns with data
BP-11	% of customer emails sent to publicly advertised email addresses that receive a substantive response within 10 working days	N/A	75%	85%	95%	93%	No concerns with data
BP-12	% of telephone calls answered as a proportion of calls offered	78%	80%	85%	90%	87%	No concerns with data
BP-13	% of those making a complaint who are satisfied with the handling of their complaint	62%	No Survey	85%	No Survey	No survey due - next Residents Survey in Q2 2009/10	No concerns with data

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1& 2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further Information/evidence
<p>Improve our understanding of our customers</p> <p>Key activities:</p> <ol style="list-style-type: none"> 1 Establish a common 'one council' understanding of this priority, and identify potential benefits that can be realised from improved customer insight. 2 Agree success measures, and how customer insight information should be used. 3 Challenge services as to their understanding of their customers, their improvement priorities and how they contribute to the overall approach. <p>Progress Customer insight is a key area of the Business Transformation programme, and a project is being specified to pilot an approach to using customer insight to drive service improvements. In addition, progress on the Universal Customer Master Index (UCMI) will make it possible to get a more joined-up view of our customers, and reduce duplication and multiple records of the same customer.</p> <p>A 'One Council approach to customer relations' (OC2CR) cross-council working group has been established by Customer Strategy Board (CSB) and is in the process of agreeing recommendations to take forward these key activities.</p>	<ol style="list-style-type: none"> a. Complete customer insight pilot and produce recommendations for broader use of customer insight across the council. b. CSB to consider recommendations of OC2CR working group and implement agreed recommendations in directorates. c. Success measures around customer experience to be agreed by CSB and any changes recommended to the Council Business Plan. d. A Strategy for the on-going development of the UCMI will be written. This will include the rationale for bringing additional systems into the UCMI to enhance the data set to help deliver better customer insight. A data profiling exercise of key systems will be carried out in Q1 to inform the strategy e. We will enable additional systems to be linked to the UCMI. Work is progressing to develop the technical procedures to enable the synchronisation of record merges. 	<p>The size and diversity of the council, and the range of customers, means a 'one size fits all' approach is not appropriate. While the broad recommendations might be accepted, there will be a challenge in translating these down to individual services and localities.</p> <p>In relation to the above, it is unlikely that performance indicators can be agreed that are SMART <u>and</u> applicable to all services. There will need to be an acceptance that services will have to develop specific customer-focused measures.</p> <p>The UCMI is a significant investment in technology, and service areas will need to identify resources to make the maximise the value of this investment for benefits to be realised.</p>	<p>Sep 2009</p> <p>Aug 2009</p> <p>Sep 2009</p> <p>July 2009</p> <p>July 2009</p>	<p>CO Business Transformation</p> <p>CO Revenues & Benefits</p> <p>CO Revenues & Benefits</p> <p>CO Business Transformation</p> <p>CO Business Transformation</p>	
<p>Increase choice so customers can access services in more convenient ways</p> <p>Key activities:</p> <ol style="list-style-type: none"> 4 Develop and agree a strategy to encourage customers to move to more convenient and cheaper channels where appropriate. 5 Electronic Service Delivery (ESD) programme to provide options for customer self-service. 6 Develop an excellent website. <p>Progress The council has significantly increased its volume of citizen self-service interactions in the past year, a rise of more than 50% on 2007-08.</p> <p>A high-level feature of the past 12 months is the extension of the capacity for citizens to pay on line 24-7 to 11 services overall. The payment service is now taking more than £840k per month, and continues to rise. This represents an increase of 45% in the value taken over the past 12 months.</p> <p>The council website www.leeds.gov.uk has shown further improvement in the SOCITM 'Better Connected' annual review of local authority websites and has been cited as an example of good practice in several areas. It was particularly praised for its design</p>	<ol style="list-style-type: none"> f. The OC2CR working group will report recommendations on customer choice and access. g. CSB has commissioned a 'One Council' approach to web development, which is intended to amalgamate and streamline the number of council websites already in use. h. The first project, in Pest Control, has simplified the service booking and reduced double-keying into different systems. Wider benefits will be evaluated at a workshop in May 2009 and reported to Customer Strategy Board and other decision-making boards. i. Over the next year, this approach will be extended to customer self-service for Choice Based Letting Pest Control, and in Blue Badge permits, Bulky Waste booking. 	<p>Service areas should note the challenge in converting high level recommendations and reports into practical actions which will promote choice and increase satisfaction, while realising efficiencies.</p> <p>Some resistance may be faced from branded web sub-sites.</p> <p>We will need to review/align ESD Programme and other programme, project governance and outcomes to ensure the business cases are compelling for end-to-end service review and redesign to realise the full benefits.</p> <p>The experience to date suggests that a commitment is essential to thorough end to end process review and commitment to culture change to put the customer first. Technical developments will need to be complemented by developments for people and processes/responsibilities in all areas of the service. See activities 10-11 and 16.</p>	<p>July 2009</p> <p>June 2009</p> <p>July 2010</p> <p>Ongoing and in phases, next phase before November 2009</p>	<p>CO Revenues & Benefits</p> <p>Web Content Manager</p> <p>ESD Programme</p> <p>ESD Programme, Archouse Plus Programme, others</p>	

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1& 2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further Information/evidence
<p>of online transactions.</p> <p>The ESD programme is developing the technology to enable customers to transact and check the progress of their enquiry online, via telephone and in person.</p>					
<p>Improve our services based on customer feedback</p> <p>Key activities:</p> <p>7 Undertake an internal audit of communications and community engagement across the authority, led by the Corporate Consultation Manager.</p> <p>8 Establish a comprehensive baseline position and identify future priorities.</p> <p>9 Ensure Talking Point is used more widely and effectively.</p> <p>Progress</p> <p>A network of consultation and engagement specialists across the Council has been established, and is being co-ordinated by the Corporate Consultation manager.</p> <p>A project has been proposed to evaluate the effectiveness of current consultation and engagement activities, and this will provide a baseline, and help identify future priorities.</p> <p>Talking Point is being promoted across the Council and usage is beginning to increase, however, there remains significant consultation that has not been included.</p>	<p>j. Receive finished audit of resources and skills.</p> <p>k. Recommend models for future support structure for consultation/engagement delivery.</p> <p>l. Undertake project to evaluate effectiveness of current consultation and engagement – report to CSB.</p> <p>m. Ongoing training and promotion of Talking Point within council.</p>	<p>There is a challenge to show how customer feedback fits and informs the wider continuum of reputation, engagement, consultation and satisfaction.</p> <p>Implementation of the audit recommendations will need to align with objectives for customer insight and customer satisfaction.</p>	<p>Sept 2009</p> <p>Sept 2009</p> <p>May – Sept 2009</p> <p>On-going</p>	<p>Corporate Consultation Manager</p> <p>“</p> <p>“</p> <p>“</p>	
<p>Manage customer expectation and deliver on our promises</p> <p>Key activities:</p> <p>10 Further transitioning of services into the corporate contact centre.</p> <p>11 Reducing avoidable contact (measured by NI14). – see also activity 16 below.</p> <p>12 Develop and communicate local service standards.</p> <p>Progress</p> <p>The Emergency Out of Hours review is on course to deliver a corporate Out of Hours telephone service by December 2009.</p> <p>Customer Services, ALMOs and Environmental Services have already identified areas for improvement in some types of avoidable contact (see action 16 below).</p>	<p>n. CSB approved a report in March 2009 recommending telephone services not yet provided at West Gate to fully utilising the technology and expertise provided by the corporate Contact Centre. This transitioning work is being progressed throughout 2009. See also activity 14 below.</p> <p>o. The council now has a set of preliminary baseline figures for the volume and proportion of contact that is avoidable or of little value to the citizen. A half-day reducing avoidable workshop will be held on 4 June, following which services will develop action plans to manage better customer expectation and reduce associated levels of contact.</p> <p>p. There is an emerging shared programme of improvements between Customer Services and Environmental Services and ALMOs to reduce by 50% over the next</p>	<p>There is a challenge to resolve potential resistance from some services to migrate telephone contact to the Contact Centre, with fears of loss of control and ownership, and deteriorating quality.</p> <p>The preliminary figure 23% for NI 14 is slightly lower than expected. Further work will be undertaken to ensure that the focus is on measurable service improvement.</p> <p>There is a challenge to provide a compelling case for changing current service delivery and ‘back office’ processes where they are causing avoidable contact. Initial focus will be on high volume services with high levels of progress chasing.</p> <p>Some services have been reluctant in the past to set service standards for fear of not being able to achieve them 100% of the time.</p>	<p>June 2009</p> <p>June 2009 onwards</p> <p>Ongoing</p>	<p>CO Customer Services</p> <p>CO Customer Services, Head of Performance team</p> <p>CO Customer Services, CO Environmental Services, ALMO Chief Executives</p>	

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1& 2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further Information/evidence
	<p>three years the level of customer progress chasing.</p> <p>q. The OC2CR working group will make recommendations on developing local service standards.</p>		July 2009	CO Revenues & Benefits	
<p>Develop joined up and person centred services designed around the needs of our customers</p> <p>Key activities:</p> <p>13 Business process re-engineering of key services.</p> <p>14 Launch of memorable (Golden) number.</p> <p>15 Linking customer insight and UCMI, sharing data leading to better understanding of customers, and so better service provision.</p> <p>Progress Business Process Re-engineering (BPR) continues to take place, aligned to the programmes set out for Environmental Health, Adult and Children's Social Care, Blue Badge, Housing Solutions, Council Tax and Benefits.</p> <p>The launch of the memorable (golden) number was a success in March. It is intended to make telephone contact to the council more straightforward for customers. Call volumes initially increased by more than half. The increase has continued and is running at 57% more calls to the memorable number than to the switchboard before the launch. Overall call volumes have not increased, but the element of double handling that comes with the memorable number has given that impression.</p> <p>CSB approved in March 2009 a corporate offering to contact centre and associate technology and expertise to be established across the council to fully exploit capacity and improve customer service.</p> <p>Progress on UCMI was covered in activity 1 above.</p>	<p>r. Work continues on Business Process Re-engineering of key services in a range of services across the council.</p> <p>s. The next steps for the memorable number are to further understand service demand and enhance the offering during 2009/10.</p> <p>t. See next steps d and e above for next steps on UCMI.</p>	<p>There is a need to align this BPR work more closely with the council's business and strategic priorities and outcomes.</p>	<p>Ongoing</p> <p>Ongoing</p>	<p>Various projects, programmes.</p> <p>CO Customer Services</p>	
<p>Enhance the links between front and back office services to deliver excellent end-to-end services</p> <p>Key activities:</p> <p>16 Reducing avoidable contact (measured by NI14). There is potential to identify and realise significant improvements.</p> <p>Progress ENE Homes transferred their telephone team to the corporate contact centre in April 2009. This will create significant end to end performance and efficiency improvements.</p>	<p>u. A Reducing Avoidable Contact workshop will be held on 4 June, to share action plans for improving end-to-end services. Action plans will be co-ordinated and business case ideas, lessons shared.</p>	<p>As stated above, the corporate baseline figure 23.8% is lower than expected. Further work will be undertaken to ensure that the focus is on measurable service improvement. There is a risk that as the council gets better at identifying avoidable contact, it will discover more of it, and so our high level figure will rise, even though services are improving.</p>	<p>June 2009 onwards</p>	<p>CO Customer Services, Head of Performance team</p>	

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1& 2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further Information/evidence
<p>Customer Services, ALMOs and Environmental Services have identified progress chasing as the single largest area of avoidable contact and are developing shared programmes of work and relationships to halve the amount of this type of contact over the next three years.</p>					

Lead Officer: Chief Democratic Services Officer		Overall Progress Rating		Direction of Travel (delete as appropriate)	
Code	Improvement Priority	Contributory Officer(s) (CO)			
VP-1c	Improve understanding and transparency of our decision-making and accountability processes	Head of Human Resources (HHR)			
VP-3a	Strengthen our democratic processes to improve governance and policy making	Head of Governance Services (HGS)			
VP-3b	Maximise member involvement in policy development, decision making and accountability	Head of Scrutiny and Member Development (HSMD)			
Overall Assessment of Progress on the Improvement Priority					
Whilst good progress has been made in a number of areas, in particular the profile of Scrutiny Inquiries and in the delivery of the Ethical Action Plan, significant compliance issues have been identified with the council's decision making under delegated and sub-delegated powers. This not only put the council at risk of decisions being taken <i>ultra vires</i> , ie where a decision has been reached outside the powers conferred on the decision taker or where the prescribed procedures have not been properly complied with, it also undermines the democratic processes through which elected members can call in or scrutinise these decisions.					

PI Ref	Definition	Baseline	2008/09 Target	2009/10 Target	2010/11 Target	2008/09 Year end Result	Data Quality
BP-04biii	Use of Resources score for good governance (NB the Use of Resources Assessment scope and methodology has been amended substantially and this KLOE form part of this new framework)	3	3	3 (new framework)	4 (new framework)	Overall Score = 4 (Internal Control Score = 3)	No concerns with data
BP-37	% of key decision which did not appear in the forward plan	33%	15%	10%	5%	15.6%	No concerns with data

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1&2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further Information/Evidence
A new framework for officer governance was approved and implemented in May 2008 and this has recently been reviewed.		<ul style="list-style-type: none"> ➤ Failure to embed will result in ineffective and inefficient corporate boards without a clear remit. ➤ Responsibility for implementation relies on the board chairs. ➤ Ineffective decision making through these boards result in more CLT time being taken up with decision that should be made through other boards 		HGS	
Review of governance arrangements for PFI projects completed. Proposals developed to ensure all PPP/PFI and Major Capital Projects are aligned with Delivering Successful Change and the provisions of the Constitution. These are currently subject to consultation	Complete consultation on proposals and take them to Corporate Governance Board prior to implementation.	Failure to align the governance arrangements of PFI projects with the Constitution could lead to inconsistent approaches to decision making and procurement processes which may lead to the increase of challenges and failure to have regard to best practice.	June 09	HGS	
Following specific concerns raised by an elected member around 2 decisions Internal Audit carried out a sample audit of 40 decisions taken using delegated and sub-delegated powers to test their compliance with the Constitution. The audit identified a number of areas where the Constitution had not been complied with; however, the conclusion drawn was that this was due to lack of awareness and training rather than a deliberate attempt to avoid Scrutiny.	Key actions to address these issues include: <ul style="list-style-type: none"> ➤ Review of sub-delegation to produce a comprehensive central list of decision makers ➤ Targeted formal training for these officers ➤ Development of capacity within Directorates to co-ordinate the process and provide assurance to the Director of compliance within their area ➤ Implementation of corporate monitoring arrangements ➤ Development of clear escalation procedures for serious or consistent non-compliance ➤ Regular review of the constitution to ensure its controls are fit for purpose 	Risk of decision being taken <i>ultra vires</i> ie where a decision has been reached outside the powers conferred on the decision taker or where the prescribed procedures have not been properly complied with.	Action plan in process of being drawn up	HGS	Corporate Governance and Audit Committee Report May 09

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1&2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further Information/Evidence
<p>A combined Ethical Audit Actions Plan for the 2006 and 2007 audits was agreed at Standards Committee in Oct 08. Key areas of progress include:</p> <ul style="list-style-type: none"> ➤ the completion of training for members on the Member Code of Conduct and role specific training for members of planning and licensing panels ➤ Specific governance competencies have been developed to complement the Leadership and Management Standards and new appraisals which have recently been rolled out ➤ Development of ethical governance briefing 	<p>Development of training for governance competencies</p>		<p>Aug 09</p>	<p>HHR</p>	
<p>A Scrutiny Inquiry on Member Development has been completed and the recommendations, along with the response by the CO Democratic Services, were reviewed by Executive Board.</p>	<p>Key next steps include:</p> <ul style="list-style-type: none"> ➤ Further work with Directors to deliver learning and development activities ➤ Improving the use of feedback and evaluation information ➤ Promoting and increasing the numbers of members with Personal Development Plans (PDP) ➤ Commitment to pursue CharterPlus in Feb 2010 	<p>Implementation of the recommendation for all members to have a PDP's requires the commitment of all individual members to engage in this process and is not within the power of officers to deliver.</p>	<p>March 10</p>	<p>HSMD</p>	<p>Member Development Scrutiny Inquiry Report Executive Board Minutes 13th May 09</p>
<p>Increasing Scrutiny involvement in Policy Development</p> <p>All Scrutiny Inquiry reports are now considered by Executive Board and they decide on the recommendations proposed. This increases the profile of Scrutiny Inquiries and gives more weight to approved recommendations.</p> <p>KPMG undertook an audit of the Scrutiny function including examination of their role in policy development –they identified that increasingly more work had been done in this area compared to the previous year ie 33% of their work in 2007/8 compared to 24% in 2006/7</p>	<p>Key action to address this; Executive Members, Scrutiny Board Chairs and officers to work together to identify areas where the Boards can add value to policy development work streams</p> <p>Where Boards decide not to undertake work areas suggested by the Executive Members a rationale should be provided to prevent any misunderstandings arising</p>	<p>Member involvement and challenge of policy at an early stage ensures a full range of views are represented and support robust and sound policy making.</p>	<p>June 2009</p>		
<p>Implementation of Empowerment White Paper</p> <p>Public consultation launched on the new executive arrangements to gauge public opinion on the possible options. All political groups have received a briefing on the requirements and the process</p>	<p>Make a decision on new Executive arrangements</p>		<p>Dec 2009</p>	<p>HGS</p>	
<p>Call-in arrangements</p> <p>Following reviews to the call in arrangements in May 2008 and October 2008, there has been an increase in the number of call-ins received which now appear in line with the level of call-ins at other authorities. The KPMG audit report states that this has led to the view that call-ins are becoming increasingly more effective.</p>					<p>KPMG report on Scrutiny review</p>
<p>Annual review of constitution</p> <p>This was reviewed at the Annual Meeting and included the notification of two additional officers with concurrent delegation</p>	<p>The Constitution will be reviewed prior to the next Annual meeting</p>				<p>Annual meeting agenda</p>

Lead Officer: Chief Democratic Services Officer		Overall Progress Rating		Direction of Travel (delete as appropriate)	↑
Code	Improvement Priority	Contributory Officer(s) (CO)			
Vfm-5	Develop sustainable and effective partnership governance framework	Head of Governance Services (HGS) All Directors & Partnership Lead Officers			
Overall Assessment of Progress on the Improvement Priority					
Good progress has been made in establishing the minimum requirements for governance arrangements for our significant partnerships within our revised Governance framework and to develop the register of what are our significant partnerships. This next steps over the coming year are to establish the extent of compliance with these minimum standards and to ensure any gaps identified through the monitoring processes are addressed. However, more work is also required to launch and embed the toolkit and the monitoring processes.					

PI Ref	Definition	Baseline	2008/09 Target	2009/10 Target	2010/11 Target	2008/09 Year end Result	Data Quality
BP-04biii	Use of Resources score for good governance (NB the Use of Resources Assessment scope and methodology has been amended substantially and this KLOE form part of this new framework)	3	3	3 (new framework)	4 (new framework)	Overall Score 4 (Internal Control Score = 3)	No concerns with data

Improvement Priority Key Activities and Progress as at 31 st March 2009	Next Steps / Future Milestones for Q1&2 2009/10	Risks/Challenges	Timescale	Contributory Officer	Further Information/Evidence
Governance Framework for significant partnerships has been revised and was approved in Dec 2008 Directors have reviewed all significant partnerships in which they are involved and a detailed register has been created	Lead Officers for each partnership to assess the extent of their compliance with the framework. Governance Services will produce a full report on the extent of compliance with the framework across all significant partnerships	The consequences of failing to implement effective governance arrangements for key partnerships include: <ul style="list-style-type: none"> ➤ Failure to deliver key priorities in the Leeds Strategic Plan ➤ Financial risk to the council ➤ Loss of reputation ➤ Poor CAA judgement ➤ Lack of engagement from partners ➤ Failure in compliance with Council's code of Corporate Governance ➤ Poor Organisational assessment score The challenge will be to embed the process and ensure all new partnerships are identified and assessed against the framework	June 2009	HGS	Framework and Register published on intranet
A Toolkit which supports the framework has been drafted and is currently being consulted upon across the organisation. The toolkit provides more detail on the framework and monitoring arrangements	Toolkit to be launched Launch of toolkit will be supported by training for Lead officers and DMTs		May 09	HGS	Toolkit will be published when completed
Processes for assessing any new partnerships have been developed and implemented during 2008/09. Overall compliance was good for assessment of strategic contribution, consultation with stakeholders and risk management.	Issues were identified with compliance of new partnerships with options appraisal and equality impact assessments and Governance services are working with these partnerships to improve this. Directors remain responsible for identifying and assessing new partnerships and for notifying Governance Services of these partnerships so that they can be added to the register of significant partnerships.		June 09	HGS	

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Central and Corporate 2008/09 Year End

		Performance Indicator Type	Reference	Title	Service	Frequency & Measure	Rise or Fall	Baseline	Last Year Result	Target	Full Year Result	Data Quality
1	AG	Business Plan/Leeds Strategic Plan Government Agreed	NI 185	CO2 reduction from local authority operations	Sustainable Development	Quarterly %	Fall	141,699	N.A.	N.A.	Baseline Year	No Concerns with data
<p>Baseline 141699 Tonnes of CO2. As this has been a baselining year, no comparison with other local authorities or previous years is possible. Work has been carried out to: identify major sources of emissions including council buildings (72%), street lighting (17%), council fleet (8%), staff travel (2%) & outsourced fleet (1%); process map the major contributors & develop processes to report & collate all emissions quarterly; gather quarterly data, analyse errors & omissions and refine the data collection/collation processes; consult with the major contributors & identify actions contributing to emissions reductions in 09-10 & 10-11; sum these actions, consider risks to delivery & negotiate targets with GOYH; establish a Group to coordinate reduction of emissions across the Council; & produce proposed Buildings Carbon Reduction Strategy & Sustainable Construction Procurement Policy paper. A solid baseline has been established from which changes in NI 185 over the next 2 years can be monitored.</p>												
2	AG	Business Plan	BP-30	Number of major projects not receiving independent project assurance.	Audit & Risk	Quarterly Numerical	Fall	N.A.	N.A.	0	22	No Concerns with data
<p>Of the 40 major impact projects identified through the quarter 4 survey (excluding the 23 PFI projects which are subject to independent 4P Gateway Reviews), 22 are not receiving independent project assurance provided by the Project Assurance Unit (PAU). Whilst 22 projects are not receiving independent assurance from PAU, arrangements are in place to contact Project Owners with a view to arranging project Health Check Reviews and the risk to the council is low. Contact to date has resulted in an increase of project assurance coverage to major projects including; Leeds Arena, e-Services Programme, Record Management Facility, Leeds Town and District Centres Programme and Ground Maintenance Contract Procurement Project. Many of which have received their first Health Check Review.</p> <p>During Quarter 3 problems were experienced with data quality. Revisions were made to the survey template which reduced the level of information required and as a result, quarter 4 has evidenced an improvement with data quality.</p>												
	AG	Business Plan	BP-31	Number of major projects, independently assured by the Project Assurance Unit, with a red rating for the effectiveness of overall project management arrangements	Audit & Risk	Quarterly Numerical	Fall	N.A.	N.A.	0	0	No Concerns with data
<p>At Quarter 4, there are no projects/programmes with an overall Health Check rating of 'red'. The Non Residual Waste Solution Programme previously rated as overall 'red' at Quarters 2 and 3 is now overall 'amber'. This progress is due to a combination of the Health Check recommendations being partially implemented and an increase of project resources. At Quarter 4, there are 7 projects/programmes with an overall Health Check rating of 'amber', indicating a 50% reduction in overall 'amber' ratings since Quarter 3 and is principally due to Health Check recommendations being implemented.</p>												
4	AG	Business Plan	BP-02	% resource re-prioritisation achieved compared to that planned in the medium term Financial Plan	Finance	Annually %	Rise	N.A.	N.A.	N.A.	N.A.	No Concerns with data
<p>No result available for 2008/09 as the budget had already been set when the PI was introduced. To be reported from 2009/10.</p>												

Central and Corporate 2008/09Year End

		Performance Indicator Type	Reference	Title	Service	Frequency & Measure	Rise or Fall	Baseline	Last Year Result	Target	Full Year Result	Data Quality
5	AG	Business Plan	BP-03	% variation from the overall council budget in year	Finance	Quarterly %	Fall	N.A.	N.A.	N.A.	-0.52%	No Concerns with data
<p>The position has improved from quarter 3 where the year end position was forecast as an overspend. Although the year end is not finalised, we are now forecasting an under spend of around £3.0m.</p> <p>Directorate spend is projected to be over the budget by £3.5m. This is primarily within City Development where the impact of the economic slowdown has had the greatest effect. In addition, provision of £1.1m has been made in respect of the additional NJC pay award agreed at arbitration. An assessment of the financial position of the Insurance Fund has identified the need for an additional £1.1m to be provided to ensure there is sufficient cover for a number of large public liability claims, three of which have just been received.</p> <p>These areas of overspend have been offset by a number of savings; the most significant being debt charge which are projected to be £6.6m under spent, although £3.9m has already been transferred to directorates to fund areas of overspend during the year. Income from the Local Authority Business Growth Incentive Scheme has now been received at £2.0m, whilst expenditure associated with anti social behaviour and noise nuisance on council estates has been identified to be more appropriately charged to the Housing Revenue Account.</p> <p>A claim for overpaid VAT has been submitted to the HMRC in respect of sports admissions and tuition fees and cultural admission fees. These relate to VAT being overpaid prior to the UK Government changing legislation and amounts to £3m. The HMRC have agreed the principle of the claim and are currently validating the figures.</p>												
6	AG	Business Plan	NI 179	% of cash releasing efficiency savings made (cumulative total over next three years)	Finance	6 Monthly £m	Rise	£28.759m	N.A.	£28.759m	£24.343m	No Concerns with data
<p>The target includes efficiencies for both capital and revenue. The target for the revenue element (including PTA) is £19m and the target for the capital element is £9.8m. The 2008/9 final year end figure will not be available until June 2009, but the latest forecast is to deliver efficiencies of around £24.3m. This means that the council, based on this projection, will exceed the revenue target of £19m by £5.3m. However, the council as with other authorities, is looking for more guidance about how it can determine capital efficiencies and has raised this with Core Cities. It is difficult to determine capital efficiencies because of the lack of year on year comparative information from individual capital schemes.</p> <p>During the year there has been a fundamental review of the way in which the data for this performance indicator is to be monitored, as part of a wider programme undertaken by the Chief Officers Resources and Strategy (CORS). A new framework has been agreed for capturing and reporting value for money savings which will be used for 2009/10. The 2009/10 budget includes further targeted efficiencies of around £20m. In addition, the work being undertaken by the CORS will lead to the identification of further efficiencies for 2009/10.</p>												
7	AG	Business Plan	BP-17	Number of working days lost to the authority due to sickness absence (average per FTE)	HR	Monthly Days	Fall	12.18 days	12.18 days	11.5 days	11.63 days	No Concerns with data
<p>Sickness absence has reduced by 0.55 days since 2007/08. The Improvement and Development Agency recognise this as a significant improvement for an organisation of this size. The improvements in the number of working days lost to sickness during 2008/09 is equivalent to almost 12,000 working days and a reduction in long term sickness cases of 328.</p> <p>The challenge for 2009/10 is to ensure managers are able to effectively manage attendance through accountability and challenge. Specific measures to further improve performance include: challenge from the Attendance Board; an effective Occupational Health service which adds value by supporting managers and employees to pro-actively reduce sickness absence and improve health and well-being, facilitate faster return to work and rehabilitation and manage long-term sickness cases; continued development of the successful attendance challenge meetings in each Directorate, a new focus on health and safety performance and supported health interventions such as Vielifa Employee Health Audit and the rehabilitation and return to work programme. Recommendations from the Scrutiny Board (Central and Corporate Functions) Inquiry into Managing Attendance have also been built into action plans in this area.</p>												

Central and Corporate 2008/09 Year End

		Performance Indicator Type	Reference	Title	Service	Frequency & Measure	Rise or Fall	Baseline	Last Year Result	Target	Full Year Result	Data Quality
8	AG	Business Plan	BP-18	Voluntary leavers as a percentage of staff in post	HR	Quarterly %	Fall	8.90%	8.90%	9%	9.13%	No Concerns with data
<p>Voluntary leavers have increased by 0.23% since 2007/08. Turnover is a good indication of organisational health. High turnover can indicate problems with organisational leadership, culture and management and can impact performance. Future years targets have been set to maintain what is considered to be an acceptable level of turnover rather than look for increasing or decreasing the level of turnover. This figure reflects the average level of turnover in other local authorities and balances the cost of recruitment and training over the benefit of attracting new staff. The rate of leavers will be closely monitored during quarter 1 of 2009/10 to assess the impact of the economic down turn on labour markets.</p>												
9	AG	Business Plan	BP-19	Increase % staff who feel valued as an employee	HR	Annually %	Rise	61%	61%	N.A.	No survey in 08/09	N.A.
<p>The next staff survey is due to take place during 2009. Since the last survey in 2007 a number of improvement activities have been carried out including: workshops in service areas to develop staff survey action plans to identify improvements at a local level; at a corporate level the council's aspirational Culture was signed off the Leadership Team in 2008 and has been rolled out to Managers. The Council's aspirational culture captures the council's values and desired behaviours required to support the delivery of the Council Business Plan and the Leeds Strategic Plan. Revised the flexible working policy flexible.</p> <p>As part of the Equal Pay process we have implemented phase 1 which aims to introduce a flexible and competitive pay and reward structure that is fair and encourages employees to perform well and contribute to the organisation. We are currently working on Phase 2 of the process.</p>												
10	AG	Business Plan	BP-20	% staff who have had an appraisal	HR	Annually %	Rise	70%	70%	N.A.	No survey in 08/09	N.A.
<p>The next staff survey is due to take place during 2009. Since the last survey in 2007 a number of improvement activities have been carried out including: introduced a new modernised appraisal process which links into the council's drive towards smarter ways of working to achieve better results and also supports the council's aspirational culture, council values and the desired outcomes of the Council Business Plan and the Leeds Strategic Plan. Linked into the introduction of the new appraisal process introduced the Leadership & Management standards to clearly define the desired skills, competencies and behaviours which we expect from all our leaders and managers.</p>												
11	AG	Business Plan	BP-21	Increase % staff who feel they are involved in contribution to the direction of the organisation	HR	Annually %	Rise	70%	70%	N.A.	No survey in 08/09	N.A.
<p>The next staff survey is due to take place during 2009. Since the last survey in 2007 a number of improvement activities have been carried out including: workshops in service areas to develop staff survey action plans to identify improvements at a local level; at a corporate level the council's aspirational Culture was signed off the Leadership Team in 2008 and has been rolled out to Managers. The Council's aspirational culture captures the council's values and desired behaviours required to support the delivery of the Council Business Plan and the Leeds Strategic Plan.</p> <p>As part of the Equal Pay process we have implemented phase 1 which aims to introduce a flexible and competitive pay and reward structure that is fair and encourages employees to perform well and contribute to the organisation. We are currently working on Phase 2 of the process.</p>												
12	AG	Business Plan	BP-22	% of staff who feel that the council communicates well with them	HR	Survey %	Rise	59%	N.A.	64%	No survey in 08/09	N.A.
<p>The next staff survey is due to take place during 2009. Since the last survey in 2007 a number of improvement activities have been carried out including: workshops in service areas to develop staff survey actions plan to identify improvements at a local level; at a corporate level the council's aspirational Culture was signed off the Leadership Team in 2008 and has been rolled out to Managers. The Council's aspirational culture captures the council's values and desired behaviours required to support the delivery of the Council Business Plan and the Leeds Strategic Plan.</p> <p>As part of the Equal Pay process we have implemented phase 1 which aims to introduce a flexible and competitive pay and reward structure that is fair and encourages employees to perform well and contribute to the organisation. We are currently working on Phase 2 of the process.</p>												

Central and Corporate 2008/09 Year End

		Performance Indicator Type	Reference	Title	Service	Frequency & Measure	Rise or Fall	Baseline	Last Year Result	Target	Full Year Result	Data Quality
13	AG	Business Plan	BP-23	% local authority staff from BME communities	HR	Quarterly %	Rise	7.70%	7.70%	8%	8.10%	No Concerns with data
			<p>This target was achieved, with an 11% (260) increase in employees declaring ethnicity from BME groups since 2007/08. During 2008/09 we conducted a data capture exercise to improve the quantity and quality of all HR statistical reports on employee monitoring. Almost 20,000 returns have been received from employees and as a result we have more accurate information about our employees.</p>									
			BP-24	% local authority staff with disability	HR	Quarterly %	Rise	3.20%	3.19%	3.60%	3.89%	No Concerns with data
			<p>This target has been exceeded with a 28% (259) increase in employees declaring disabled status since 2007/08. During 2008/09 we conducted a data capture exercise to improve the quantity and quality of all HR statistical reports on employee monitoring. Almost 20,000 returns have been received from employees and as a result we have more accurate information about our employees.</p> <p>Positive steps continue to be taken towards improving the position of the council as an employer of disabled people as part of our Disability Employment Strategy. We have worked with the Corporate Disabled Staff group to develop a reasonable adjustment toolkit and guide for managers which will provide a useful source of information and advice to managers about reasonable adjustments and how these can be applied. The toolkit provides case studies illustrating the positive use of adjustments for a range of disabilities.</p>									
15	AG	Business Plan	BP-25A	% of top earners who are women	HR	Quarterly %	Rise	36.83%	36.83%	39%	38.96%	No Concerns with data
			<p>The year end result has come in just under target by 0.04% (representing 0.3 of an FTE). There has been 10.5% (28.89 fte) increase in women in the top 5% of earners since 2007/08, although there has also been an increase in the calculated top 5% earners.</p> <p>To help develop more effective pathways to support high potential staff progress and succeed as managers, proposals for talent management and succession planning have been developed and agreed by HR Leadership Team / Corporate Leadership Team (CLT). During 2008/09 we conducted a data capture exercise to improve the quantity and quality of all HR statistical reports on employee monitoring. Almost 20,000 returns have been received from employees and as a result we have more accurate information about our employees.</p>									
16	AG	Business Plan	BP-25B	% of top earners who are from BME communities	HR	Quarterly %	Rise	5.96%	5.96%	6.25%	5.78%	No Concerns with data
			<p>Although this target has not been met there has been a 2.6% (1.11 fte) increase in BME staff in the top 5% of earners, (there has also been an increase in the calculated top 5% earners). During 2008/09 we conducted a data capture exercise to improve the quantity and quality of all HR statistical reports on employee monitoring. Almost 20,000 returns have been received from employees and as a result we have more accurate information about our employees.</p>									
17	AG	Business Plan	BP-25C	% of top earners who are disabled (excluding maintained schools)	HR	Quarterly %	Rise	4.05%	4.05%	4.20%	4.20%	No Concerns with data
			<p>This target has been achieved. Positive steps continue to be taken towards improving the position of the council as an employer of disabled people as part of our Disability Employment Strategy. We have worked with the Corporate Disabled Staff group to develop a reasonable adjustment toolkit and guide for managers which will provide a useful source of information and advice to managers about reasonable adjustments and how these can be applied. The toolkit provides case studies illustrating the positive use of adjustments for a range of disabilities.</p> <p>During 2008/09 we conducted a data capture exercise to improve the quantity and quality of all HR statistical reports on employee monitoring. Almost 20,000 returns have been received from employees and as a result we have more accurate information about our employees.</p>									
18	AG	Business Plan	BP-26	Level of IIP accreditation across whole organisation	HR	Annually Number	Rise	N.A.	N.A.	1	1	N/A
			<p>The Council successfully retained IIP accreditation following the inspection in December 2008 which means that the council has demonstrated that we have a planned approach to setting and communicating business aims, and developing people to meet these aims. It also shows that the council is able to improve its performance now and in the future.</p>									

Central and Corporate 2008/09 Year End

		Performance Indicator Type	Reference	Title	Service	Frequency & Measure	Rise or Fall	Baseline	Last Year Result	Target	Full Year Result	Data Quality
19	AG	Business Plan	BP-05A	% income collected by authority through % Council Tax collected in year	Revenues and Benefits	Monthly %	Rise	96.41%	96.41%	96.65%	96.30%	No Concerns with data
All areas of debt collection work during 08/09 have significantly increased and it would appear we are now seeing the impact of the economic climate on the collection rate. In comparison to last year we also have an increase of almost 25% (additional £500K) in payment arrangements for 2008/09 which extend beyond 31st March.												
20	AG	Business Plan	BP-05B	% income collected by authority through % non-domestic rates collected in year	Revenues and Benefits	Monthly %	Rise	98.72%	98.72%	98.60%	97.68%	No Concerns with data
There has been a decline of 1.08% in the collection rate compared to 2007/08. Approximately 40% of the decline is directly due to the introduction of 100% liability for empty properties from 1st April 2008, 20% is due to the increased level of insolvencies, and the remaining 40% to other effects of the current economic situation. This includes the extension of payment arrangements beyond the end of the financial year to aid businesses with cash flow problems.												
21		Business Plan	BP-05C	Rent collected by the local authority as a proportion of rents owed on Housing Revenue Account (HRA) dwellings.	Housing Management	Monthly %	Rise	96.53%	96.53%	97%	96.62%	No Concerns with data
Target not met as we predicted but slight overall improvement on year end figure for 07/08 as we had predicted at end of Feb 09. Current financial climate a factor in this result which will also play into 09/10 for both this indicator and BV66b.												
22	AG	Business Plan	BP-05D	% income collected by authority through % sundry debtors income collected within 30 days of invoice issued	Revenues and Benefits	Monthly %	Rise	97%	N.A.	97%	96.80%	No Concerns with data
Collection rate of invoices collected after 30 days during 08/09 fell short of the annual target by 0.2% (equivalent of approx £250K). Performance adversely affected by a difficulty in recovering invoices from key developers in relation to costs associated with new developments. Overall comparative collection rates for the development sector show a drop of almost 10% on last year (equivalent to over £500K) and would appear to be connected to the current economic climate.												
23	AG	Business Plan	BP-01	Maintain our externally verified Eco Management Audit System Accreditation	Sustainable Development	6 Monthly Yes/No	Yes	N.A.	N.A.	Yes	Yes	N/A
N.A.												
24	AG	National Indicator	NI 37	Awareness of civil protection arrangements in the local area	Emergency Planning	Survey %	Rise	N.A.	N.A.	N.A.	16.10%	No Concerns with data
This result is a provisional result from the 2008 Place Survey.												
25	AG	National Indicator	NI 180	The number of changes of circumstances which affect customers HB/CTB entitlement within the year.	Revenues and Benefits	Monthly Numerical	Rise	N.A.	N.A.	724	1426.2	No Concerns with data
The final result has performed better than originally estimated mainly due to change events for rent increases being reported at the end of 2008/09 rather than at the start of 2009/10.												
26	AG	National Indicator	NI 181	Time taken to process Housing Benefit/Council Tax Benefit new claims and change events	Revenues and Benefits	Monthly Days	Fall	N.A.	N.A.	14 days	14.98 days	No Concerns with data
Performance continued to improve in the final quarter against a growing caseload. The caseload increased in the final quarter from that in the 3rd quarter by 2,072 cases which is 2.8%. Expectations against performance estimates made in the third quarter have been exceeded. Arrangements were put in place during quarter 3 for additional resource to deal with an anticipated growing caseload for the foreseeable future.												

Central and Corporate 2008/09Year End

		Performance Indicator Type	Reference	Title	Service	Frequency & Measure	Rise or Fall	Baseline	Last Year Result	Target	Full Year Result	Data Quality
27	AG	Local Indicator	BSC-8	The percentage of undisputed invoices for commercial goods and services that were paid by the authority within 30 days of such invoices being received by the authority	Corporate Financial Services	Monthly %	Rise	86.30%	91.53%	90%	83.50%	No Concerns with data
<p>This indicator has been affected by new systems and procedures which were introduced in July 2008. These aimed to deliver significant efficiencies and savings for the authority by optimising payment due dates. Although significant savings have been generated, there have been a number of teething problems including obtaining accurate information, which have only properly been resolved over the last few months.</p> <p>Performance has also been affected by continuing problems of delays within directorates including provision of complete information to enable payments to be made. We are working with directorates to resolve these problems and the quality of invoices being submitted for payment have improved over the last few months.</p> <p>Although we have not met the target, based on the end of year position, following the above improvements, performance has significantly improved, with performance in both February and March exceeding the 90% target.</p> <p>We are seeing an increase in the use of the Procurement Cards (Council Debit card), which is the council's preferred method of payment which account for approximately 24,000 transactions. We will continue to encourage the use of Procurement Card during 2009/10.</p> <p>As a response to the economic downturn, the Council introduced a small supplier scheme in December 2008, which guarantees payment within 20 days. After a slow start, there are now 34 firms signed up for the scheme. To date all 34 small firms have received payment within 20 days</p>												
28	AG / JR	Business Plan	BP-04	Use of Resources Score	Policy, Performance & Improvement / Financial Management	Annually Number	Rise	N.A.	3	3	4	No concerns with data
<p>The Use of Resources Score for 2007/08 was assessed as a 4 which means that overall the Council is performing strongly. We are the only Core City to achieve level 4 which is the highest score that can be achieved for the Use of Resources assessment. This score represents an improvement of performance from 2007 when the Council scored a 3. KPMG External Audit Report Summary: In this year's Use of Resources assessment, the Council's overall score has been assessed as 4, which means that overall you are performing strongly subject to final quality control by the Audit Commission. This score represents an improvement of performance from 2007, when the Council scored at a level 3. A comparison of the scores between years shows that specific improvements have been made in relation to the production of the annual accounts and in particular the working papers and this has resulted in the maximum score for the Financial Reporting theme. In addition the Council has worked to embed target setting across the organisation and this has improved the score for the Financial Standing theme. Other KLOE scores remain unchanged from 2007, and therefore the Council has sustained its performance with regard to the other themes and KLOEs.</p>												
29	JR	Business Plan	BP-08	Volume of total transactions delivered through customer self service	Customer Services	Quarterly Number	Rise	467,054	N.A.	513,500	1,058,555	No Concerns with data
<p>Quarter 4 performance together with the full year performance have both provided encouraging results, with more than 1.05 million self-service transactions during the year. The high level target was exceeded by more than 100%, and an overall increase from 467,000 in 2007/08.</p> <p>The majority of the increase has been due to the availability of self service facilities in a number of the Council's libraries across the city. In the coming year, a number of new services are due to offer a self service option to the public. This will include both IVR and online bidding facilities for the Choice Based Lettings service which is expected to show considerable volumes. Online and IVR payments and online job applications continue to provide strong returns. Whilst self service volumes look good, there is still a very narrow range of services offering this facility. We will review our target upwards to take account of the increase in the existing services and the new services coming on line, although we are broadly setting a 10% year on year increase.</p>												

Central and Corporate 2008/09 Year End

		Performance Indicator Type	Reference	Title	Service	Frequency & Measure	Rise or Fall	Baseline	Last Year Result	Target	Full Year Result	Data Quality
30	JR	Business Plan	BP-09	% of complaints to the council that receive a substantive response within 15 working days (or shorter service standard period)	Customer Services	Quarterly %	Rise	69%	N.A.	76%	72%	No Concerns with data
<p>Quarter 4 saw an improvement in performance corporately with a performance figure of 81.69%, however this increase was not enough to reach the corporate standard of 76% for the year. For 08/09 the corporate performance is reported as 72.19%.</p> <p>All services except Adult and Children's Services are currently measured against the 15 working day standard. For the period 2008/09 Adult and Children's were measured against the standard of 10 working days which they publicise to their customers. Adult & Children's Services are looking to change the standard for 09/10 to match their statutory requirements.</p> <p>Concern regarding low performing services continues with the focus remaining on Environment & Neighbourhoods and BITMO with Adult & Children's Services also reporting performance well below the current standards. Action plans for marked improvements over the coming year have been requested from Environment & Neighbourhoods and Adult & Children's Services for ongoing monitoring via the Customer Strategy Board.</p>												
31	JR	Business Plan	BP-10	Percentage of letters from the public that receive a substantive response within 10 working days	Customer Services	Quarterly %	Rise	N.A.	N.A.	75%	85%	No Concerns with data
<p>Quarter 4 performance remains strong for those council services providing a return for this indicator, and the council has exceeded by more than 10% its high level target (75%) for the proportion of written correspondence receiving a reply within 10 working days.</p> <p>During 2008/09, Customer Strategy Board initiated a piece of work covering all directorates, to ensure that the data used for this indicator was useful and appropriate. An audit of current arrangements and volumes showed that some service areas dealt with very small volumes of correspondence. It was agreed that while they should continue to ensure that corporate standards are met, there was little value in including their returns in a corporate KPI. The data collected for this KPI therefore focuses on the council's principal customer-facing services which receive in excess of 100 items of correspondence a month. The definition of correspondence for this KPI excludes those items which have their own established timescales, e.g. Freedom of Information, complaints and standard appeal letters.</p> <p>In addition, it is anticipated that work undertaken to provide performance returns for the indicator NI 14 will identify other services which should be providing data for this indicator.</p>												
32	JR	Business Plan	BP-11	% of customer emails sent to publicly advertised email addresses that receive a substantive response within 10 working days	Customer Services	Quarterly %	Rise	N.A.	N.A.	75%	93%	No Concerns with data
<p>Quarter 4 performance remains strong for those services providing a return for this indicator, and the council has exceeded by more than 18% its high level target (75%).</p> <p>During 2008/09, Customer Strategy Board initiated a piece of work covering all directorates, to ensure that the data used for this indicator was useful and appropriate. An audit of current arrangements and volumes showed that some service areas dealt with very small volumes of email. It was agreed that while they should continue to ensure that corporate standards are met, there was little value in including their returns in a corporate KPI. The data collected for this KPI therefore focuses on the council's principal customer-facing services which receive in excess of 100 emails a month. The definition of an email for this KPI excludes those items which have their own established timescales, e.g. Freedom of Information and complaints. CBL emails, previously included in the return for this service, are due to be replaced by the self service option and will be included in BP-08 (Self Service) during 2009/10.</p> <p>In addition, it is anticipated that work undertaken to provide performance returns for the indicator NI 14 will identify other services which should be providing data for this indicator.</p>												

Central and Corporate 2008/09 Year End

		Performance Indicator Type	Reference	Title	Service	Frequency & Measure	Rise or Fall	Baseline	Last Year Result	Target	Full Year Result	Data Quality
33	JR	Business Plan	BP-12	% of telephone calls answered as a proportion of calls offered. All services to reach a common high standard of 90% (92% for contact centres) within three years so that we have a 'One Council' approach.	Customer Services	Quarterly %	Rise	78%	N.A.	80%	87%	No Concerns with data
<p>The year-end performance figure uses the quarter 4 results (87%). Although the overall figure remained above target in quarter 4, there was a small reduction in performance from quarter 3. However, the council has exceeded its high level target by more than 6%, and an increase from 78% in quarter 4 2007/08.</p> <p>The main factor in the overall high level of performance is that the majority of high volume telephone lines are performing consistently well, and action plans are in place for others where performance needs to improve. There are only two services where performance is significantly below the corporate standard of 80% -Taxi Licensing (21%) and Education (74%). Both services have not achieved their performance target in quarters 1, 2, 3 or 4 are due to migrate to the contact centre in 2009/10, and other services which have migrated their telephone operations to the contact centre recently have seen a significant improvement in call answer rates. Quarter four performance was influenced by three high volume services showing a slight reduction in performance from quarter 3, notably Benefits (81% to 78%), Registrars (94% to 87%) and Refuse (97% to 94%).</p>												
34	JR	Business Plan	NI 14	Avoidable contact: the proportion of customer contact that is of low or no value to the customer.	Customer Services	Annually %	Fall	23%	N.A.	N.A.	23.20%	N/A
<p>The council now has a preliminary baseline for NI 14, reporting 23.2% contact as avoidable. This figure draws on sampling and analysis in 12 main service areas. The Leeds figure should not be compared with that of other authorities.</p>												
35	JR	Business Plan	NI 140	Fair treatment by local services	Customer Services	Survey %	Rise	N.A.	N.A.	N.A.	69.60%	No Concerns with data
<p>This result is a provisional result from the 2008 Place Survey.</p>												
36	JR	Business Plan	BP-14A	% services which are accessible as assessed by self assessment	Equal Opportunities	Annually %	Rise	N.A.	N.A.	N.A.	See Below	No Checklist
<p>BP-14a is a new indicator for 2008/09. Directorates were asked to self assess the accessibility of their services. Options available were: Fully accessible (all equality impact assessments have been completed and published and all actions to address identified barriers have been taken) Mainly accessible (over half of the equality impact assessments are complete and over half of actions to address the identified barriers are completed with the remainder on schedule for completion within clear timescales) Partly accessible (over half of the equality impact assessments are still outstanding and, therefore, the action plan to address the identified barriers is likely to have considerable gaps) Not accessible (there is not an agreed programme for the completion of equality impact assessments and, therefore, the barriers to the accessibility of services have not yet been identified)</p> <p>Results 2008/09:</p> <p>Adult Social Care: Partly Accessible Environment & Neighbourhoods: Partly Accessible City Development: Partly Accessible Children's Services: Split result (Education Leeds and Children and Young People's Social Care: Mainly Accessible. Early Years and Integrated Youth Support Service: Partly Accessible) Resources: Mainly Accessible</p> <p>This is the first time Directorates have been asked to determine the accessibility of their services. Over the next year, it is likely the way in which this self assessment is made will be refined to further improve the reliability of results.</p>												

Central and Corporate 2008/09Year End

		Performance Indicator Type	Reference	Title	Service	Frequency & Measure	Rise or Fall	Baseline	Last Year Result	Target	Full Year Result	Data Quality
37	JR	Business Plan	BP-14B	% services which are accessible as assessed by independent audit	Equal Opportunities	Annually %	Rise	N.A.	N.A.	N.A.	See Below	No Checklist
As this is a new indicator this information will not be collected for this year but will be for next												
38	JR	Business Plan	BP-27	The level (if any) of the Equality Standard for Local Government to which the authority conforms	Equal Opportunities	Annually Level	Rise	3	3	4	4	No Concerns with data
N.A.												
39	JR	Business Plan	BP-28	The quality of the Equality and Diversity Scheme and improvements resulting from it's application. (Formally the quality of the Race Equality Scheme)	Equal Opportunities	Annually %	Rise	N.A.	79%	N.A.	5%	No Concerns with data
Information has been collected from directorates and used to ascertain whether success measures have been achieved. Those success measures which are no longer relevant have been agreed by the Equality and Diversity Board, and taken out of the calculation. In addition those success measures where there needs to be further consideration given have been referred back to the appropriate person/body, and are currently not contained within the calculation. For year 1 there are 9 success measures which are no longer relevant or need redefining. These results do not take account of 9 areas where the results have not yet been confirmed BP28a 8/146 Blue fully achieved BP28b 8/146 Green on track BP 28C 12/146 Amber some delays BP 28d 15/146 Red not achieved												
40	JR	Business Plan	BP-33	IO Programme project milestones achieved as a % of those planned to be achieved.	Information Knowledge Management	Annually %	Rise	N.A.	N.A.	N.A.	57.50%	No Concerns with data
In light of the changes relating to the development of the Business transformation Agenda, the IO programme is unlikely to continue as a separate programme. Therefore the continuation of this as an effective Business Plan measure is inappropriate. However, a similar measure may be introduced from 2009/10 onwards.												
41	JR	Business Plan	BP-34	Percentage of colleagues who have an understanding of the Council's approach to the management, use and sharing of its information and knowledge	Information Knowledge Management	Survey %	Rise	N.A.	N.A.	N.A.	N.A.	No Concerns with data
First survey is due in 2009/10												
42	JR	Business Plan	BP-35	Percentage of service areas audited where Information Governance Arrangements are assessed as being 'compliant' with corporate policy.	Information Knowledge Management	Survey %	Rise	N.A.	N.A.	N.A.	N.A.	No Concerns with data
No audits of service areas have taken place during 2008/09. This is primarily due to the policy framework (on which an assessment of compliance will be based) is not fully in place yet. A number of high level policies (records management, retention and disposal, information security and data quality) are in place however these require a further level of procedural documentation in order that standards can be set on which services can be measured against as compliant/ non-compliant. It is proposed that a more useful measure could be the findings from the corporate Information Audit. This was first conducted in 2007/08 and will be undertaken on a three yearly basis thereafter, the next one being due in 2010/11												

Central and Corporate 2008/09 Year End

		Performance Indicator Type	Reference	Title	Service	Frequency & Measure	Rise or Fall	Baseline	Last Year Result	Target	Full Year Result	Data Quality
43	JR	Business Plan	BP-36A	Percentage of key systems using a corporately agreed monitoring framework and defined metrics to measure data quality.	Information Knowledge Management	Annually %	Rise	N.A.	N.A.	N.A.	43.80%	No Concerns with data
<p>As this is a new performance indicator the response from systems has been relatively low and therefore we are starting from a low base point. It is hoped that by 2009/10 although the systems may not have developed, further communication will mean that some of the systems who have not submitted data on this occasion will be able to run the metrics successfully. By 2010/11 it is hoped that developments will ensure that most of the key systems will have the capability to measure data quality in accordance with the corporately agreed metrics. This may be through the procurement of specialised tools or through the development of the system.</p>												
44	JR	Business Plan	BP-29	Percentage voter turn out at local elections	Legal & Public Services	Annually %	Rise	35.76%	N.A.	N.A.	35.76%	No Concerns with data
<p>May 2008 voter turn out was used as the baseline for this indicator within the Business Plan.</p>												
45	JR	Business Plan	BP-32	Direction of Travel Score	Policy, Performance & Improvement	Annually -	Rise	Improving Well	Improving Well	Improving Well	Improving Adequately	N/A
<p>Audit Commission Direction of Travel Review concluded "Improvement has been good in most, but not all, priority areas. Improvement in GCSE attainment continued. Preventative and support services for older people got better, but arrangements for safeguarding adults did not satisfactorily protect vulnerable people. Support for improving the health of children and young people deteriorated. Teenage conceptions remain high and, although reducing, a comparatively high proportion of young people are not in education, employment or training. The fostering service was judged inadequate. Streets were cleaner, the amount of waste produced fell and more of it was recycled. Crime levels fell significantly, although burglary increased and road safety remains a concern. The Council engaged well with its diverse communities. It improved customer relations and made services more accessible. Investment in cultural facilities saw venues opened and refurbished and visitor numbers increase. The Council has made progress in improving the lives of people in its most deprived communities, but recognises that it still has more to do. The Council works well with partners. Value for money is good. The Council has invested in additional capacity to address weaknesses and improve priority areas."</p>												
46	JR	Business Plan	BP-36B	Percentage of strategic indicator set (LSP, CBP & NI) where we have "no concerns" on data quality.	Policy, Performance & Improvement	Quarterly %	Rise	N.A.	N.A.	N.A.	76%	No Concerns with data
<p>This return includes all measures that are being reported in 2008/09. There are still a number of performance indicators for which no data quality checklists have been completed, these areas are highlighted elsewhere in the Accountability report. For 2009/10 reporting we have provided directorates and partners feedback on the data quality information that they have provided to date. This exercise has highlighted areas where further clarity is required on the data source, controls, management, reporting etc information in the existing checklists.</p> <p>There is a slight risk that this may result in more concerns being highlighted, especially in 2009/10.</p>												
47	JR	National Indicator	NI 7	Environment for a thriving third sector	Policy, Performance & Improvement	Survey %	Rise	N.A.	N.A.	N.A.	17.20%	N/A
<p>N.A.</p>												
48	NJ	Business Plan	BP-37	Percentage of key decisions which did not appear in the forward plan	Scrutiny Support	Quarterly %	Fall	33%	N.A.	15%	15.60%	No Concerns with data
<p>The information for this indicator is taken from both delegated decisions and executive board decisions. During 2008/09 a total of 35 of the 224 key decisions made did not appear in the forward plan.</p>												



Report of the Head of Scrutiny and Member Development

Scrutiny Board (Central & Corporate Functions)

Date: 6th July 2009

Subject: Development of a Corporate Interactive Voice Response (IVR) solution

Electoral Wards Affected:

Specific Implications For:

Equality and Diversity

Community Cohesion

Narrowing the Gap

1.0 INTRODUCTION

1.1 On 29th April 2009, Scrutiny Board (Central & Corporate Functions) Called In an officer delegated decision to allocate capital expenditure to support the purchase and development of ICT hardware and software for the development of a corporate Interactive Voice Response (IVR) solution.

1.2 At the conclusion of this Call In meeting Scrutiny Board resolved to refer the decision back for reconsideration on the following grounds;

- *The levels of consultation and whether these have been sufficient to date.*
- *Whether the initial areas/themes to be piloted under the IVR scheme are the appropriate ones*
- *Whether there is sufficient knowledge of the systems usage elsewhere in the country and particularly other local authorities*
- *Whether equality impact assessments have been undertaken and considered as part of the project initiation.*

1.3 On 17th June 2009, Executive Board reconsidered the original officer decision with the assistance of the attached report. (Appendix 1). Executive Board resolved;

(a) That the development of a corporate IVR solution for the Corporate Contact Centre be approved.

(b) That authority be given for the allocation and expenditure of £262,000 from the ICT capital development pot to support the development of a corporate IVR solution.

- 1.4 At its June 2009 meeting, members of the Scrutiny Board instructed that the Assistant Chief Executive (Planning, Policy and Improvement) be asked to attend today's meeting to explain how the concerns raised by the Scrutiny Board at its Call In meeting of 29th April had been addressed.

2.0 RECOMMENDATIONS

2.1 Members are asked to;

- (i) Note the outcome of Executive Board's reconsideration of the officer delegated decision concerning the Development of a Corporate Interactive Voice Response (IVR) solution.
- (ii) Consider the comments of the Assistant Chief Executive (Planning, Policy and Improvement)

Background Papers

Report of Scrutiny Board (Central & Corporate Functions) 29th April 2009.

Report of the Assistant Chief Executive (Planning, Policy and Improvement) to Executive Board - 17th June 2009 - Development of a Corporate Interactive Voice Response (IVR) solution.



Agenda item:

Originator: Paddy Clarke/
James Rogers

Report of the: Assistant Chief Executive (Planning, Policy and Improvement)

To: Executive Board

Date: 17th June 2009

Subject: Development of a Corporate Interactive Voice Response (IVR) solution

Electoral wards affected:

All

Specific implications for:

Equality and Diversity

Community Cohesion

Narrowing the gap

Eligible for Call In

Not eligible for Call In

(Details contained in the report)

Executive Summary

Members of Executive Board at their meeting on 14 January 2009 agreed proposals for Phase 2 of the Customer Services Transformation Programme, including the development of a corporate Interactive Voice Response (IVR) solution. Upon progressing the development of IVR, a delegated decision was required to allocate the necessary capital expenditure to support the purchase and development of the required ICT hardware and software. This delegated decision was called in by Scrutiny Board (Central and Corporate Functions) and was considered by that Board on 29th April 2009. As a result, the decision was referred back to the Assistant Chief Executive (Planning, Policy and Improvement) with four specific recommendations. In view of the fact that Members of Executive Board agreed the initial proposal for the development of an IVR solution, it was considered appropriate by the decision maker that the matter be referred back to Members of Executive Board for consideration. In reporting back to Members of Executive Board, the helpful feedback received from Members of Scrutiny Board has been considered and each issue is addressed within this report.

In response to demands from customers, one of our key objectives is to create IVR applications that are intelligent, intuitive and customer friendly. This will help ensure that, not only is customer usage maximised, but the benefits that this facility can bring are also realised.

In reconsidering this matter, Members of Executive Board are recommended to agree to the development of a corporate IVR solution in order to increase choice for our customers in terms of how and when they can access our services.

1.0 Purpose of this Report

- 1.1. Members of Executive Board at their meeting on 14 January 2009 agreed proposals for Phase 2 of the Customer Services Transformation Programme, including the development of a corporate Interactive Voice Response (IVR) solution.
- 1.2. Upon progressing the development of IVR, a delegated decision was required to allocate the necessary capital expenditure to support the purchase and development of the required ICT hardware and software.
- 1.3. This delegated decision was called in by Scrutiny Board (Central and Corporate Functions) and was considered by that Board on 29th April 2009.
- 1.4. As a result, the decision was referred back to the Assistant Chief Executive (Planning, Policy and Improvement) with four specific recommendations. Whilst Members were not against the principle of IVR, they identified a number of issues which they felt required consideration before the decision was reconsidered. These issues were:
 - i) The levels of consultation and whether these have been sufficient to date;
 - ii) Whether the initial areas/themes to be piloted under the IVR scheme are the appropriate ones;
 - iii) Whether there is sufficient knowledge of the systems usage elsewhere in the country and particularly other local authorities, and;
 - iv) Whether equality impact assessments have been undertaken and considered as part of the project initiation.
- 1.5. In view of the fact that Members of Executive Board agreed the initial proposal for the development of an IVR solution, it was considered appropriate by the decision maker that the matter be referred back to Members of Executive Board for consideration.
- 1.6. In reporting back to Members of Executive Board, the helpful feedback received from Members of Scrutiny Board has been considered and each issue is addressed within this report.
- 1.7. In reconsidering this matter, Members of Executive Board are recommended to agree to the development of a corporate IVR solution in order to increase choice for our customers in terms of how and when they can access our services.

2.0 Not Eligible for Call-In

- 2.1. As this report is responding to a previous call-in, this report and decision is not eligible for further call-in in accordance with the Council's Constitution.

3.0 Background Information

- 3.1. The Customer Services Transformation Programme was established in 2005 to radically transform the way Leeds City Council interacts with customers who contact us. The first priority of the programme was to establish a Corporate Contact Centre, which was opened in March 2006.

- 3.2. The Contact Centre aims to be a centre of excellence in the provision of customer services, providing a high quality environment for staff to work in, hitting and maintaining high levels of performance, and employing a range of leading edge technologies to enhance the customer experience, where it is appropriate to do so.
- 3.3. Since opening in March 2007, the Corporate Contact Centre has steadily expanded so that now over 85% of principal council services are handled from there, with well over 90% of telephone calls being answered first time, a significant improvement on pre-2006 performance. Customer satisfaction levels are high, with a wide choice of access channels now available, including phone, e mail, web and SMS texting.
- 3.4. With a key objective being to provide good quality accessible services at all times, innovative customer solutions continue to be developed to support the ever developing portfolio of activity in the Contact Centre and to meet the growing demand for services outside of the traditional 8:30am to 5:00pm working day.
- 3.5. In seeking to address customer expectations in terms of service availability and the use of new technology, new developments have been introduced to provide new channels for customers to contact us, including self service on the web and over the telephone. For example, at the beginning of 2008 for the first time SMS texting enabled Choice Based Lettings customers to bid for properties on the phone if they chose to do so, supplementing the traditional channels of providing bids over the phone, on the internet or face-to-face at One Stop Centres.
- 3.6. At the beginning of this year, technology was introduced to enable Choice Based Lettings to be processed electronically and automatically, without the need for manual input of data. As a consequence, the risk associated with human error is now substantially avoided.
- 3.7. To further enhance this development, and to expand the choice of channels available to our customers, we have recognised that IVR is the next logical progression to enable customers to simply and straightforwardly lodge their bid if they wish to do so. Naturally, all the traditional channels to make bids will continue to be available for customers to use should they choose – this proposal is not about limiting any options, it's more about providing increased choice and availability of services for our customers. It makes sense from a customer perspective - more choice in terms of when and how customers access our services – as well as a financial perspective as electronic channels are significantly more cost effective for the Council enabling scarce resources to be redirected to other priorities.
- 3.8. IVR has had some bad press over recent years and has developed a poor reputation where it has been used inappropriately to direct customers to queues through multi-layers of questions. IVR has received a particularly poor reputation where there has been no alternative communication channel for those customers who prefer not to use IVR. In these situations it often leads to customer frustration, anger and complaint, because it does not help them carry out their business efficiently and effectively.
- 3.9. However, IVR is widely accepted and used by many customers to carry out straightforward transactions on the telephone, where they can reach the required outcome easily, quickly and confidently, and, importantly for the customer, at a time to suit them. By way of example, this might include booking a service, making a payment, extending a hire period, bidding in an auction etc. So, this transactional channel is now used widely and extremely successfully in many organisations in

both the private and public sector, and many customers use it extensively, confidently and through choice.

4.0 What is Interactive Voice Response (IVR)?

- 4.1. IVR refers to an automated telephone system which takes an input from a customer and providing a response without the need for the customer to speak to a Customer Services Officer. A typical IVR solution has a series of short, simple menus of pre-recorded options that the caller can choose from. Commonly, the choices are as basic as asking the customer to choose a number relating to an option which the customer will enter into their telephone keypad.
- 4.2. Increasingly, with more sophisticated IVR solutions, the customer may also be required to speak their choice from options provided or provide a little more detailed information such as their name or account number. The customer can then be provided with information depending upon the choices they input (voice or keypad) and perform a self-service transaction e.g. make a payment for a service, renew a library book or enquire about a balance.
- 4.3. From a customer perspective, a successful IVR solution should be user-friendly and seamlessly guide the customer through the full end-to-end transactional process. In the event of the customer having difficulty, an exit route to a Customer Services Officer should always be available.
- 4.4. A well-designed IVR solution will offer our customers an efficient, additional access channel to key Council Services at a time to suit them, as it can be made available 24 hours a day, 7 days a week. Such an access channel will complement those already offered and provide the customer with the breadth of choice they would expect of the Council. It is about providing the customer with more choice in how they access services at a time convenient to them. If a customer stills wants to do business via a telephone call with a Customer Services Officer or face-to-face in one of our one-stop centres, they will still be able to do so.

5.0 Current Position

- 5.1. Members of Executive Board at their meeting on 14 January 2009 agreed proposals for Phase 2 of the Customer Services Transformation Programme, including the development of a corporate Interactive Voice Response (IVR) solution.
- 5.2. A business case was prepared and approved by officers in February 2009 which proposed the procurement of an IVR platform, as well as outlining a period of development that would, initially, result in two IVR applications being created. Specifically, the business case recommended:
 - i) The purchasing and installation of an IVR platform from a company called Sabio, experienced in IVR development and deployment;
 - ii) The creation and deployment of an IVR solution to handle Choice Based Lettings bids, created and developed by Sabio, and;
 - iii) The appointment of an in-house IVR developer responsible for the maintenance and further development (starting with an application to handle requests for a bulky collection) of the IVR technology.
- 5.3. Upon progressing the development of IVR, a delegated decision was required to allocate the necessary capital expenditure to support the purchase and development

of the required ICT hardware and software. This delegated decision was called-in by Scrutiny Board (Central and Corporate Functions) and was considered by that Board on 29th April 2009.

5.4. As a result, the decision was referred back to the Assistant Chief Executive (Planning, Policy and Improvement) with four specific recommendations. Whilst Members were not against the principle of IVR, they identified a number of issues which they felt required consideration before the decision was reconsidered. These issues were:

- i) The levels of consultation and whether these have been sufficient to date;
- ii) Whether the initial areas/themes to be piloted under the IVR scheme are the appropriate ones;
- iii) Whether there is sufficient knowledge of the systems usage elsewhere in the country and particularly other local authorities, and;
- iv) Whether equality impact assessments have been undertaken and considered as part of the project initiation.

6.0 Response to Scrutiny Board Recommendations

6.1. Due consideration has been given to the four Scrutiny Board recommendations and by way of response, each recommendation is explored in further detail below:

6.2. The levels of consultation and whether these have been sufficient to date?

6.2.1 Customer Services conducted an 'Extended Hours Pilot' during 2008. The purpose of this pilot was to determine our customers preferred times for conducting their business with the Council. The pilot found that, whilst the Corporate Contact Centre's traditional opening times were still popular, there was a significant proportion of customers who would prefer to contact the Council outside of those times, particularly in the evening and on weekends. Whilst work is progressing to extend the normal opening hours of the corporate contact centre to cover the early evening and, potentially, some weekend cover, it is not considered a good use of Council resources to provide cover 24 hours a day, 7 days a week. However, some customers would still like to access certain services outside of the normal operating hours, even when these have been extended.

6.2.2 The introduction of IVR would offer a financially viable method for providing our customers with an access channel to certain Council services at a time to suit them (available 24 hours a day, 7 days a week), thereby meeting our customers expectations.

6.2.3 In addition, consultation has taken place with the ALMO's in respect of the proposed IVR application for handling choice based lettings. It is already possible to make a bid either at a One Stop Centre, over the telephone, via the internet or by text message. The ALMO's have expressed an enthusiasm for this project as it provides increased forms of access to their services, thereby increasing customers' choice and making the placing of a bid as simple and quick as possible.

6.2.4 A presentation on the possible introduction and utilisation of IVR has also been delivered to the Leeds Tenants Federation (LTF) Board. The LTF is a tenant-run organisation, created in 2004, that represents the views of Council Tenants and Private Tenants across the city. They aim to get involved in the decision making of

policy and strategies that affect homes and neighbourhoods. They have over 1000 members, represented on the Board by 18 resident directors.

6.2.5 The presentation focused on the intended use of IVR, particularly around its use for handling choice based lettings bids and requests for bulky collections. It also included a sound clip of a mock IVR application. The Board were particularly familiar with the choice based lettings process and were, therefore, a key consultee on the proposal to implement IVR for choice based lettings.

6.2.6 The presentation was extremely well received and the following observations were made:

- i) 89% expressed a desire to be able to lodge choice based lettings bids outside of normal office hours;
- ii) 89% thought it would useful to have an IVR channel for choice based lettings bids, and;
- iii) 100% said that they would be happy to use such a service.

6.2.7 There was clearly an appetite for a self-service IVR application. The Board also offered to assist in publicising the new service in their newsletter in the lead up to its introduction. Appendix 1 provides more detailed feedback from the Leeds Tenants Federation.

6.2.8 A similar consultation is also planned with the Customer Services Focus Group. This group is made up of members of the public who have used a One Stop Centre and wish to be involved in making recommendations for service improvement. This consultation is expected to take place towards the end of June.

6.3. **Whether the initial areas/themes to be piloted under the IVR scheme are the appropriate ones?**

6.3.1 A number of IVR applications are already in place within Leeds City Council. These systems provide customers with the opportunity to perform a transaction without having to speak to a customer services officer. By way of example, customers can make a payment to the Council (in respect of Council Tax, rent, parking fine, etc.) via an IVR system. The making of a payment is a simple, high volume, transaction that readily lends itself to an IVR application. In 2007/08, over 148,000 payments, with a value of almost £14m, were made via IVR, thus proving it to be a well used facility.

6.3.2 Whilst IVR can take a payment, it cannot respond to any query the customer may have around the validity of, or the reason for, the payment request. In such instances, the customer is able to access a Customer Services Officer in normal working hours to answer their query. Given the volume of payment transactions handled by the payments IVR system, this arrangement appears to be successful and there is a clear demand for a transaction-only IVR application.

6.3.3 A benefits analysis review in 2008 identified that the lodging of choice based lettings bids was ideally suited to IVR due to the relative simplistic nature of the transaction and the high volume of calls received. Further research showed that requests for bulky collections would also be suitable for the same reasons. The same principle used for the payments IVR application would be applied in the development of these IVR applications, i.e. where the customer wishes to discuss an issue around either the CBL or bulky collections process/policy, they will, during office hours, have the option to speak to a customer services officer. However, where the customer is

simply looking to place a bid, or book a bulky collection (i.e. perform the transactional element), IVR can provide the platform for this to happen.

6.3.4 Recent analysis shows that the vast majority of all calls received (80%+) in relation to choice based lettings and bulky collections are made with the sole of intention of placing a bid or booking a collection, with no further questions or enquiries. These are also the most voluminous types of enquiries identified as being suitable for an IVR application. Their selection for this project allows us to improve access to these key council services.

6.4. ***Whether there is sufficient knowledge of the systems usage elsewhere in the country and particularly other authorities?***

6.4.1 A range of Councils and other public sector bodies use IVR to enhance their customer service offering. Examples include:

6.4.2 Councils using IVR for choice based lettings:

- i) City of London
- ii) Leicester City Council
- iii) Birmingham City Council
- iv) Royal Kingston

6.4.3 Other examples of IVR Applications in the public sector:

- i) HMRC - tax credits entitlement
- ii) City of Westminster – pay by phone parking services
- iii) Transport for London – payment of congestion charge
- iv) Environment Agency – flood warnings
- v) NHS Lothian – clinical results service
- vi) Guy and St Thomas’ – NHS Foundation Trust – speech attendant
- vii) NHS Business Services Authority – Health Card renewals and reissue
- viii) Driving Standards Agency – Driving Test reschedule
- ix) Her Majesty’s Courts Service - Automated fine collection service

6.4.4 One of the reasons for selecting Sabio to develop the first corporate IVR application is due to their standing in developing ICT solutions for contact centres. They have significant experience of developing IVR solutions, particularly in the public sector and their experience will be critical in ensuring that the most effective IVR solution is introduced in Leeds.

6.5. ***Whether equality impact assessments have been undertaken and considered as part of the project initiation?***

6.5.1 A draft copy of the equality impact assessment can be found at Appendix 2. This will be finalised upon completion of public consultation.

6.5.2 It is worth emphasising that IVR offers a new access channel to services and, therefore, widens customer choice on how to contact the Council rather than narrowing it. Therefore, the development of IVR has a positive impact on equality.

6.5.3 The planned IVR applications will be intelligent, intuitive and as user-friendly as possible, hence the decision to utilise Sabio's skills in this area. However, it is inevitable that some customers will still not use this facility. In these instances, alternative access channels already exist to ensure that IVR does not unnecessarily prevent customers from accessing City Council services. Primarily, during office

hours, there will be the option for the customer to opt out of the IVR process and speak to a Customer Services Officer instead. In addition, alternative access routes such as one-stop centres, internet, SMS, etc. continue to be available.

7.0 Conclusions

- 7.1. The views and recommendations of members of Scrutiny Board were welcomed and have been duly considered in preparing this report for consideration by Members of Executive Board.
- 7.2. One of the key objectives is to create IVR applications that are intelligent, intuitive and customer friendly. This will help ensure that, not only is customer usage maximised, but the benefits that this facility can bring are also realised.
- 7.3. The IVR systems being proposed will offer:
- i) telephone access to key city council services at a time to suit the customer – 24 hours a day, 7 days a week;
 - ii) reduced, and in most cases, zero call waiting time, and;
 - iii) a quicker and more efficient call handling process.
- 7.4. In addition to the benefits for the customer, the introduction of IVR will also allow the corporate contact centre to:
- i) increase its call handling capacity without a comparable increase in staffing numbers, thereby providing better value for money;
 - ii) redirect resources to those customers with more complex enquiries;
 - iii) increase the volume of total transactions delivered through customer self-service, and;
 - iv) increase the number of calls answered as a proportion of those offered.
- 7.4.2 It must be stressed that IVR will not preclude customers from speaking to a customer services officer – that option will always be available during normal opening hours. Instead, IVR will open up another route to council services to complement those already in place.

8.0 Resource Implications

- 8.1. There is a capital expenditure requirement for this development amounting to £262k to cover the purchase and development of an IVR solution as well funding our own internal ICT costs. This expenditure can be broken down into the following areas:
- i) Equipment £72,833
 - ii) ICT Development Staff £40,000
 - iii) Departmental Staff £50,286
 - iv) Hardware/Software £71,150
 - v) Other £27,596
- 8.2. The project will deliver an Integrated Voice Response infrastructure within the Corporate Contact Centre that is adaptable and able to provide various levels of automated telephony to services across the Council.

- 8.3. The initial proposal for the development of an IVR solution for choice based lettings and bulky collections is based upon a business case which estimates a net efficiency of £197,448 after five years and taking account of all costs, thus paying for itself and delivering a cashable efficiency to redirect to other Council priorities. This efficiency has been built into budget projections for this year and amounts to an expected saving of £120,000 in 2009/10.

9.0 Recommendations

9.1. Members of Executive Board are asked to:

- i) approve the development of a corporate IVR solution for the Corporate Contact Centre, and.
- ii) authorise the allocation and expenditure of £262k from the ICT capital development pot to support the development of a corporate IVR solution.

Background Documents:

- Report to Members of Executive Board on Phase 2 of the Customer Services Transformation Programme dated 14 January 2009
- Corporate IVR Business Case
- Report of the Scrutiny Board (Central and Corporate Functions) on the call-in of the delegated decision dated 29 April 2009

Feedback from the Leeds Tenants Federation (LTF) Board on the Introduction of IVR solution for choice based lettings:

The presentation was extremely well received and the following observations were made:

- i) 89% expressed a desire to be able to lodge choice based lettings bids outside of office hours;
- ii) 89% thought it would useful to have an IVR channel for choice based lettings bids, and;
- iii) 100% said that they would be happy to use such a service.

Other comments made during the session were:

“Really useful addition”

“Will be great”

“Will be good”

“Sound very, very good”

“Tried to get through but couldn’t” (current service)

“Good for people who can’t do 9-5”

“I like it”

(The clip was) “very, very clear, what people want”

(it’s) “just an extra service”

“Very useful addition”

“I would endorse it”

“I think that this is another option for people to use 24/7”

Equality, Diversity and Community Cohesion Impact assessment form

October 2007

Impact assessment of: Interactive Voice Response – Choice Based Lettings and Bulky Collections

Responsible service/ directorate: Planning, Policy and Improvement

Date of assessment: 17th April 2009

Summary of service/ policy that was assessed:
The Corporate Contact Centre are looking to introduce an Interactive Voice Response facility. This will allow customers to conduct a range of transactions over the telephone via a short series of menus and without the need to speak to a customer services officer. Customer input will be made via either pressing keys or by speaking a word or short phrases.
The first IVR applications to be developed will be for Choice Based Lettings bid and requests for bulky collections. This impact assessment focuses on these IVR applications.

Summary of Actions arising from Assessment (include all actions arising from sections 2,5,6,7,8 and 9 and ensure that these are included in your service or business plans)		
Actions	Responsibility	Timescale
Deliver publicity campaign	IVR Project Manager	To tie in with 'go-live' date
Ensure that the IVR infrastructure is properly supported.	IVR Project Manager	Support arrangements to be in place prior to 'go-live'.
The IVR processes need to be short, simple to follow and in Plain English.	IVR Project Manager	October '09 for CBL application. April '10 for BC application
Voice recognition needs to be comprehensive in order to handle a variety of local accents and dialects.	IVR Project Manager	October '09 for CBL application. April '10 for BC application

Contact person for the assessment: Anthony Derbyshire

Members of the assessment team:

Name	Organisation	Role on assessment team e.g. service user, manager of service
Anthony Derbyshire	Business Transformation, Planning, Policy and Improvement	Project Manager
Paddy Clarke	Customer Services	Chief Officer for Contact Centre

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1. Aims of the service or policy

Interactive Voice Response (IVR) is a system that can provide customers with a 'self-service' route via the telephone to a variety of Council services. It is a transactional system that allows the customer to book a service without needing to speak to a customer services officer. As IVR is fully-automated, it can be made available to the customer 'around the clock', thereby allowing them to access services at a time to suit them. A number of IVR applications already exist around various departments in the Council and it is the intention to consolidate these onto the new IVR platform as and when their contracts are up for renewal, as well as developing new IVR solutions to key high volume/low complexity telephone calls.

It is not the intention to use IVR to over-complicate the call-handling process by introducing multi-layers of options, nor to try and automate a call enquiry type that would be better resolved by a customer services officer. To the contrary, its purpose will be to;

- increase access to Council services – IVR will enable customers to conduct a transaction with the Council outside of normal opening hours.
- handle high volume / low complexity enquiries without the need for customers to be held in a queue
- increase the call-handling capacity of the call centre
- release customer services officers to focus on calls from customers with more complicated enquiries.

Two specific service requests have initially been identified that lend themselves to an IVR application, these being Choice Based Lettings (CBL) bids and requests for bulky collections (BC). It is the intention to create an IVR application for each of these enquiry types which will enable the customer to bid for properties and request a BC without needing to speak to a customer services officer. By fully automating these processes, it will be possible to offer access to these services outside of normal office hours.

This impact assessment focuses on these applications and considers the impact that this new enquiry channel will have.

2. Fact finding

The IVR Business Case demonstrates how the Corporate Contact Centre could benefit from the introduction of IVR technology. This is underpinned by a drive from Central Government to increase the use of electronic channels as a means of communicating with customers/citizens, increase efficiency and optimisation of resource and achieve 3% cashable savings year on year.

The 'Extended Hours Pilot', conducted during 2008, saw the Corporate Contact Centre consult with customers specifically about their preferred times for conducting their business with LCC. Although the traditional opening times are still popular, there is a significant proportion of customers who would prefer to contact us outside of those traditional times, particularly in the evening and weekends. IVR offers LCC the opportunity to offer a variety of services at these times.



DRAFT

3. Involvement

Have you involved appropriate community groups in the assessment? Please list here who was involved.

If community groups were not involved in the assessment please explain your decision here.

As mentioned in Part 2, consultation during the 'Extended Hours Pilot' demonstrated a customer desire for access to Council services to be available on evenings and weekends.

Positive consultation has also taken place with the ALMO's in respect of a possible IVR application for handling CBL bids. It is already possible to make a bid either at a One Stop Centre, over the telephone, via the internet or by text message. Leeds Homes have expressed an enthusiasm for this project as it provides another access channel to their service, thereby increasing the customer's options and making the placing of a bid as simple and quick as possible.

4. Adverse affects

Summarise here any adverse affects identified from your fact finding and assessment team meetings.

Barrier	Adverse affect	Who does this impact on	Why

5. Barriers and actions needed

For each barrier, give some details of the current position in relation to the service/ policy and identify the actions needed, who is responsible for taking the actions forward, when by, any resource implications and who needs to be involved in implementation of the actions.

If a barrier is not applicable to the service/policy, please explain why in the current position box.

A. Built Environment				
Current Position: For example number of buildings open to the public or maintained by the service				
Not applicable – this service is being delivered via the telephone.				
Action needed	Responsibility	Timescale	Resources	Who should be involved in the implementation?
None				

B. Location

Current Position: For example where is the service delivered from, is it office based or in a community setting.

This service will be delivered from the Corporate Contact Centre at Westgate. The service will be accessed via existing telephone numbers, with a simple auto-attendant functionality routing the call to the IVR application.

Action needed	Responsibility	Timescale	Resources	Who should be involved in the implementation?
None				

C. Information and communication

Current Position: For example what information is provided about the service/ policy and who is this aimed at?

The Contact Centre already handles CBL bids and requests for BC's. Publicity will be undertaken advising customers that they can now access these services outside of normal opening hours. Publicity will be channelled through the internet and existing Council publications. The publicity will be geared at promoting the increased access to these services and the convenience this may bring to our customers. Their actual access route to these services remains unchanged, i.e. it is still the same telephone number and the call will still be handled by the Contact Centre.

Action needed	Responsibility	Timescale	Resources	Who should be involved in the implementation?
Deliver publicity campaign.	IVR Project Manager	The timing of the publicity will tie in with the 'go-live' date for each IVR application.	Business Transformation Team / Customer Services Development Team	<ul style="list-style-type: none">• Project Manager• Senior Supplier (i.e. a Contact Centre manager)• Senior User (i.e. a manager from business-side)

D. Customer care and staff training

Current Position: For example what training do you provide for your staff in relation to the service/ policy?

The Contact Centre already handles CBL bids and requests for a BC and, therefore, staff are already fully trained in handling such enquiries. An exit route to a customer services officer will exist in the event of the customer having difficulty with IVR and such a call would be routed through to an appropriately trained officer. The actual IVR infrastructure will be supported by Operational Support, Corporate ICT and Sabio (telephony/IVR providers).

Action needed	Responsibility	Timescale	Resources	Who should be involved in the implementation?
Ensure that the IVR infrastructure is properly supported.	IVR Project Manager	Support arrangements will be determined during the course of the project and be in place prior to 'go-live'.	ICT Project Manager	IVR Project Manager ICT Project Manager Sabio Project Manager

E. Timing

Current Position: For example is the service based round traditional working hours.

One of the primary benefits of IVR is its ability to offer a transactional service ‘around the clock’. There will, inevitably, be periods of time where the IVR needs to be taken down for maintenance, etc. Such issues will be managed operationally with due regard to maintaining service availability. It should also be borne in mind that IVR is one of a number of access channels to LCC services – should it be unavailable, other methods of contacting the Council will still be open.

Action needed	Responsibility	Timescale	Resources	Who should be involved in the implementation?
None				

F. Stereotypes and assumptions

Current Position: For example is the service or policy aimed at one community or a particular type of family unit?

IVR is not aimed at any particular client group although it would benefit those customers who have difficulty in contacting the Council during normal opening hours. Primarily though, it is a new, additional, access channel aimed at improving the manner in which telephony contact is handled, as well as offering a degree of service outside of normal hours. It does, obviously, assume the need for access to a telephone – however, if the customer didn't have access to a telephone, they would not have been able to access the existing services via the Contact Centre regardless. In such instances, alternative access to services is available, i.e. via One Stop Centres.

Action needed	Responsibility	Timescale	Resources	Who should be involved in the implementation?
None				

G. Cost

Current Position: For example do people have to pay to use the service, will the policy change the way the council charges for its service.

There will be no cost to the customer to access this service, save for the cost of the phone call itself. The call will be routed through existing telephony numbers – these are geographic, i.e. start with 0113, and are therefore suitable for those customers who receive free calls within their own telephony package. One of the benefits of IVR is its ability to deal with a number of concurrent calls without the need for the customer to be held in a queue. This will result in a shorter call time for the customer which, in turn, could actually reduce the cost of their call.

Action needed	Responsibility	Timescale	Resources	Who should be involved in the implementation?
None				

H. Consultation and involvement

Current Position: For example what consultation is carried out by the service or what involvement are you planning to implement the policy?

As mentioned in Parts 2 and 3, during the 'Extended Hours Pilot', conducted during 2008, we consulted specifically about customers preferred times to conduct their business with LCC. Although the Contact Centres traditional opening times are still popular, there is a significant proportion of our customers who would prefer to contact us outside of those times, particularly in the evening and weekends. IVR allows us to offer such an access channel.

Support for the Choice Based Lettings application has also been given by Leeds Homes as such an application compliments their other access channels to the service, i.e. via the internet and SMS.

Action needed	Responsibility	Timescale	Resources	Who should be involved in the implementation?

I. Any other barriers specific to the service/ policy				
<p>Current Position: For example are there any other barriers that haven't been covered such as partnership working and any statutory limitations or obligations?</p> <p>For IVR to be successful, it is essential that its front-end is simple, intuitive and customer-friendly. Any failure in this area will result in customers opting of the IVR processes and pursuing their service request by other means, thereby negating any benefit that this application should bring.</p>				
Action needed	Responsibility	Timescale	Resources	Who should be involved in the implementation?
The IVR processes need to be short, simple to follow and in Plain English.	IVR Project Manager	October '09 for CBL application. April '10 for BC application	Development to be undertaken by project team.	<ul style="list-style-type: none"> • Project Manager • Project Officer • Housing Leads representative (for CBL application) • Environment representative (for BC application) • Sabio
Voice recognition needs to be comprehensive in order to handle a variety of local accents and dialects.	IVR Project Manager	October '09 for CBL application. April '10 for BC application	Development to be undertaken by project team.	<ul style="list-style-type: none"> • Project Manager • Project Officer • Housing Leads representative (for CBL application) • Environment representative (for BC application) • Sabio

6 . Which communities may perceive the impact on them differently?

It is important to look at the potential impact of the service or policy on different sectors of the community and community relations The impact could be negative in that one or more groups are disadvantaged by the service or policy or positive, in that one group may receive greater benefit from the service or policy than do other groups. For example if a grant fund is aimed at one community how will other communities perceive this? The table below may be useful in focussing on specific aspects, if there are a number of areas to be considered.

Aspect of service/ policy	Negative impact	Positive Impact	Action needed or justification for decision
Service is telephony based.	Not available to customers without a telephone.	<p>Will increase call-handling volumes by the Contact Centre.</p> <p>Will speed up the handling of service requests.</p> <p>Offers a quicker and improved customer experience as well as an extended level of service.</p>	<p>IVR is one of a number of channels offering access to Council Services. IVR improves the telephony service offered by LCC.</p> <p>Customers without a telephone, whilst in the minority, would not be disadvantaged by this as they would not be attempting to access services via the telephone regardless of whether IVR was in place or not. Alternative access channels to services are already in place.</p>
Introduction of new technology	Some customers may have difficulty in responding to IVR.	<p>Will increase call-handling volumes by the Contact Centre.</p> <p>Will speed up the handling of service requests.</p> <p>Offers a quicker and improved customer experience as well as an extended level of service.</p>	<p>IVR is commonplace in many Contact Centres and so the majority of customers will be familiar with, and expect, such a facility.</p> <p>The customer will be given the opportunity to 'drop out' of the IVR process and speak to a customer services officer if they prefer.</p>

7. Community Relations

What is the impact of this service or policy on community relations? How can this service or policy be used to promote good/better community relations and what actions do you need to put in place to make this happen?

For example providing opportunities for people from different backgrounds or communities to meet.

Impact	Action needed	Responsibility	Timescale
None			

8. Community Safety

What is the impact of this policy, service or function on community safety and what actions do you need to put in place to make this happen?

For example what is the potential for the service/policy to reduce crime or disorder?

Impact	Action needed	Responsibility	Timescale
Not applicable			

9. Governance and ownership

Who needs to agree the actions identified by this assessment and ensure progress is made? How will this be monitored? For example a report to senior management team or the project board responsible for the policy.

The actions in this Impact Assessment will be owned by the Project Manager who will ensure they are undertaken as part of the overall IVR project. The Project Manager will provide progress reports to the Customer Services Management Team on a regular basis.

10. Approved by

State here who has approved the actions and outcomes from your impact assessment. This may be your senior management team, your director or Board.

--

11. Summary form completed and passed to the Equality Team.

Who by:

Date:

DRAFT



Report of the Head of Scrutiny and Member Development

Scrutiny Board (Central & Corporate Functions)

Date: 6th July 2009

**Subject: Scrutiny Board (Central & Corporate Functions) – Work Programme,
Executive Board Minutes and Forward Plan of Key Decisions**

Electoral Wards Affected:

Specific Implications For:

Equality and Diversity

Community Cohesion

Narrowing the Gap

1.0 INTRODUCTION

- 1.1 Attached as Appendix 1 is the current Work Programme for this Scrutiny Board. This has been amended to take into account discussions held at the last meeting.
- 1.2 Attached as Appendix 2 is a work item proposal from Councillor Ewens for the Board's consideration. In addition Councillor Illingworth has made a 'request for Scrutiny' in relation to 'access to Council information.' Councillor Illingworth has been invited to today's meeting to outline his request.
- 1.3 Also attached as Appendix 3 and 4 respectively are the Executive Board minutes from 17th June 2009 and the Council's current Forward Plan relating to this Board's portfolio.

3.0 RECOMMENDATIONS

- 3.1 Members are asked to;
- (i) Note the Executive Board minutes and Forward Plan
 - (ii) Receive and consider Councillor Ewens's proposal
 - (iii) Receive and consider Councillor Illingworth's request for Scrutiny
 - (iv) Agree the Board's work programme.

Background Papers

None used

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SCRUTINY BOARD (CENTRAL & CORPORATE FUNCTIONS) - LAST REVISED JUNE 2009

ITEM	DESCRIPTION	NOTES	TYPE OF ITEM
Suggested Areas for Scrutiny Currently Unscheduled			
Corporate Call Centre Performance			
Corporate approach to efficiency savings			
Carbon Trading			
Services to Disabled Groups			
EASEL - Contract			
Decision making and Consultation			
Information Management			

ITEM	DESCRIPTION	NOTES	TYPE OF ITEM
Meeting date: 7th September 2009			
Quarterly Accountability Reports	To receive quarter 1 performance reports		PM
Scrutiny of the Budget	To receive 1 st quarter report 2009/10		PM
Recommendation Tracking	To monitor progress on meeting the recommendations agreed following Inquiries into; Member Management, Attendance Management & Procurement of Services		MSR
Scrutiny Inquiry – Use of Consultants	To undertake Session One of this Inquiry		PR

SCRUTINY BOARD (CENTRAL & CORPORATE FUNCTIONS) - LAST REVISED JUNE 2009

ITEM	DESCRIPTION	NOTES	TYPE OF ITEM
Meeting date: 5th October 2009			
Review Process for the Gambling Act 2005 – Statement of Licensing Policy	Budget and Policy Framework - Consultation		PR
Interpretation and Translation Services	To receive an update on the implementation of 2006 Scrutiny Board Recommendations and the current position of the service.		PR
Meeting date: 2nd November 2009			
Review Process for the Gambling Act 2005 – Statement of Licensing Policy	Budget and Policy Framework - Consultation		PR
Meeting date: 7th December 2009			
Scrutiny of the Budget	To receive and consider quarter 2 financial report.		PM
Recommendation Tracking	To monitor progress on meeting the recommendations agreed following Inquiries into; Member Management, Attendance Management & Procurement of Services		MSR
Quarterly Accountability Reports	To receive quarter 2 performance reports		PM
Meeting date: 4th January 2010			

SCRUTINY BOARD (CENTRAL & CORPORATE FUNCTIONS) - LAST REVISED JUNE 2009

ITEM	DESCRIPTION	NOTES	TYPE OF ITEM
Scrutiny of the Budget	To receive budget proposals under the budget and policy framework rules		
Meeting date: 1st February 2010			
Scrutiny of the Budget	To receive and consider quarter 3 financial report.		PM
Meeting date: 1st March 2010			
Scrutiny of the Budget	To receive and consider quarter 3 financial report.		PM
Recommendation Tracking	To monitor progress on meeting the recommendations agreed following Inquiries into; Member Management, Attendance Management & Procurement of Services		MSR
Quarterly Accountability Reports	To receive quarter 3 performance reports		PM
Meeting date: 29th April 2010			
Annual Report			

Key:

CCFA / RFS – Councillor call for action / request for scrutiny

RP – Review of existing policy

DP – Development of new policy

MSR – Monitoring scrutiny recommendations

PM – Performance management

SCRUTINY BOARD (CENTRAL & CORPORATE FUNCTIONS) - LAST REVISED JUNE 2009

B – Briefings (Including potential areas for scrutiny)

SC – Statutory consultation

CI – Call in

APPENDIX 2

PROPOSAL FROM COUNCILOR PENNY EWENS – INQUIRY INTO THE PROVISION OF EMPLOYMENT AND TRAINING FOR YOUNG PEOPLE WITHIN LEEDS CITY COUNCIL AND ITS WHOLLY OWNED COMPANIES.

1.0 Background

1.1 Leeds City Council as a major employer in the City is widely seen as being able to offer employment opportunities to people under-represented in the labour market or who may be disadvantaged.

1.2 When focusing on young people some key facts include;

- People between 16-25 account for 9% of the work force
- When applying for jobs, candidates under 21 have only been recruited to around 10% of potential entry level jobs. This suggests in-experienced people at this level struggle to compete against more mature (and graduate) job seekers.
- The reduction of NEETs as a key target for the City Council

1.3 With an aging work-force profile and low numbers of 16 – 18 year olds employed by the Council there is a clear business case for taking a more co-ordinated and directed approach to recruitment of young people. This business case includes;

- Complements the national agenda for skills development focusing on young people
- Is a key tool to help ‘narrow the gap’ and reduce the number of NEETS
- Has potential to generate savings by the reduced use of Agency staff (estimated to be in the region of £1million per annum)
- Will demonstrate to other City employers and partners the benefit of this approach

2.0 Scope

2.1 The purpose of the Inquiry is to make an assessment of and, where appropriate, make recommendations on the following areas:

- The current policies for the employment and training 16 – 18 year olds, either to substantive or supernumerary posts
- The legal obstacles for following a pro-active approach in positively discriminating in favour of 16 -18 year olds.
- What performance targets are in place to recruit from this age range
- Strategies are in place to encourage job seekers from this age range
- What strategies are in place to provide ‘after-care’ services to ensure reduced through-put of young people and increased career opportunities and long term employees
- What job guarantee schemes are in existence
- What apprenticeship programmes are in place

- The potential cost savings that can be made (e.g. Agency staff) by recruiting from this age range, who could be moved between departments as part of their training
- The contribution to the reduction in the number of NEETs

3.0 Timetable

3.1 **It is proposed that a Working Group of the Board is established to undertake the initial research identified in paragraph 2.1 of the proposal.**

4.0 Possible Witnesses

- Chief Officer Human Resources
- Member from the Children's Services Scrutiny Board
- Learning Skills Council
- Jobs and Skills

EXECUTIVE BOARD

WEDNESDAY, 17TH JUNE, 2009

PRESENT: Councillor R Brett in the Chair

Councillors A Carter, J L Carter,
R Finnigan, S Golton, R Harker, P Harrand,
K Wakefield and J Monaghan

Councillor R Lewis – Non-Voting Advisory Member

1 Chair's Announcement

In opening the meeting the Chair welcomed Councillor Monaghan to his first meeting as a member of the Board and Councillor R Lewis to his first meeting in his new role.

2 Exclusion of the Public

RESOLVED – That the public be excluded from the meeting during consideration of the following parts of the agenda designated exempt on the grounds that it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that if members of the public were present there would be disclosure to them of exempt information so designated as follows:

- (a) Appendices 1 and 2 to the report referred to in minute 5 under the terms of Access to Information Procedure Rule 10.4(2) and on the grounds that the public interest in maintaining the exemption outweighs the public interest in disclosing the information by reason of the fact that
 - (i) Appendix 1 identifies each property address that it is proposed be leased to LHC and as such could be used to identify the supported tenants who already live at those addresses
 - (ii) Appendix 2 identifies each property address that it is proposed to be leased to GIPSIL and as such could be used to identify the supported tenants who already live at those addresses.
- (b) Appendix 2 to the report referred to in minute 16 under the terms of Access to Information Procedure Rule 10.4(3) and on the grounds that it contains detailed sensitive information about the financial position of the Council and it is considered that the public interest in maintaining confidentiality outweighs the public interest in disclosing the information because release of this information at this time could prejudice the ongoing negotiations with the vendor.
- (c) Appendix 1 to the report referred to in minute 7 under the terms of Access to Information Procedure Rule 10.4(3) and on the grounds that the public interest in maintaining the exemption outweighs the public

Draft minutes to be approved at the meeting
to be held on Wednesday, 22nd July, 2009

interest in disclosing the information because it refers to the Invitation To Qualify document which sets down the minimum requirements of FIFA which host cities must meet, England 2018 advises that the contents of the Invitation To Quality must not be made public and that Applicant Host Cities in breach of this condition may be disqualified from the Host City bidding competition, accordingly some of the information provided for Members is contained in the exempt section of this report on the basis that disclosure could prejudice the outcome of the bid and the commercial interests of the Council.

- (d) Appendix A to the report referred to in minute 10 under the terms of Access to Information Procedure Rule 10.4(3) and on the grounds that it is considered not to be in the public interest to disclose this information at this point in time as it could undermine the Council's position in negotiating with the building owner, the release of this information could also prejudice the Council's interests in relation to this or other similar transactions in that the land owner of this or other similar properties would obtain information about the nature and level of consideration which may prove acceptable to the Council. It is considered that whilst there may be a public interest in disclosure, much of this information will be publicly available from the Land Registry following completion of any transaction and consequently the public interest in maintaining the exemption outweighs the public interest in disclosing this information at this point in time.

3 Declaration of Interests

Councillor Wakefield declared a personal interest in the item relating to the Outline Business Case for the West Leeds Academy as a governor of Leeds City College.

4 Minutes

RESOLVED – That the minutes of the meeting held on 13th May 2009 be approved.

NEIGHBOURHOODS AND HOUSING

5 Lease at Less Than Best Consideration - Agreement to Lease 28 Miscellaneous Properties to GIPSIL and Leeds Housing Concern on a 25 Year Lease Agreement

The Director of Neighbourhoods and Environment submitted a report on a proposal to grant a long lease at less than best consideration for 28 Council owned miscellaneous properties to GIPSIL and LHC, for the purpose of refurbishment and improvement for accommodation for vulnerable tenants.

The report presented the option of the Council retaining the properties with the only alternative of open market disposal in the absence of funding to renovate them.

Following consideration of appendices 1 and 2 to the report designated as exempt under Access to Information Procedure Rule 10.4(2) which were considered in private at the end of the meeting it was

RESOLVED – That the 28 properties listed in appendices 1 and 2 to the report be leased to GIPSIL and Leeds Housing Concern, at a peppercorn rent for a 25 year period at less than best consideration and that authority be given for formal negotiations to complete the leasing arrangements.

6 Area Committee Roles for 2009/2010

The Director of Environment and Neighbourhoods submitted a report outlining the proposed delegated Area Functions and other roles for the ten Area Committees during 2009/10.

RESOLVED –

- (a) That the Area Functions and Well Being Function be delegated to Area Committees for 2009/10 as summarised in the submitted report.
- (b) That the enhanced roles of Area Committees as summarised in the report and the newly defined roles as detailed in Appendix 1 be endorsed.
- (c) That this information be reported to the Area Committees at the next cycle of meetings.
- (d) That the Area Functions referred to be incorporated into the Council's Constitution at the next available opportunity.
- (e) That a report be brought to a future meeting of the Board with regard to the issue of advertising on lampposts.

DEVELOPMENT AND REGENERATION

7 Football World Cup 2018

The Director of City Development submitted a report providing an update on the new information received from the Football Association and seeking approval from the Board to take forward the bid response.

Following consideration of appendix 1 to the report designated as exempt under the terms of Access to Information Procedure Rule 10.4(3) and considered in private at the conclusion of the meeting it was

RESOLVED –

- (a) That the additional information provided by England 2018 in relation to the Host City bidding process be noted.
- (b) That a bid from Leeds be formulated on the basis that the City wishes to be selected as a Host City for World Cup 2018.
- (c) That all necessary steps be taken to publicise the Leeds bid and to seek support from the community for the bid, in particular by encouraging all those in favour to register their support on the England 2018 website.
- (d) That the Director of Resources identify an appropriate revenue budget to facilitate the delivery of the Leeds bid document by the end of October 2009.

- (e) That the Chief Executive commence dialogue with City Region partners to establish how they wish to be involved in the Leeds bid.
- (f) That, in view of the fact that the deadline for submission of the (draft) Outline Bid will not allow for the submission of a further report to this Board, the Chief Executive be authorised, in consultation with the Leader of the Council, to approve the submission.

8 Planning Appeals at Royds Lane, Rothwell and Fleet Lane, Oulton

The Director of City Development submitted a report on the outcome of recent planning appeals on greenfield sites at Royds Lane, Rothwell and Fleet Lane, Oulton, and the implications, if any, for the Council's approach to greenfield developments.

The report presented the following options:-

- (a) accepting the need for greenfield release recognising a deficit in the 5 year housing land supply; and
- (b) concluding that greenfield release, in the circumstances outlined within the report, would be inappropriate.

RESOLVED – That option (b), as detailed within paragraph 8.11 of the submitted report and as detailed above, be approved.

9 South Leeds Regeneration Area Governance Arrangements

The Director of Environment and Neighbourhoods and the Director of City Development submitted a joint report outlining a proposal to establish a governance framework for an informal partnership covering the regeneration of a large area of South Leeds.

In presenting the report, Councillor A Carter reported receipt of a message from the Chair of Renew on the day of this meeting and undertook to address the comments made in that message.

RESOLVED –

- (a) That the opportunities for regeneration and investment in South Leeds and the findings outlined in the work already undertaken be noted.
- (b) That the establishment of appropriate governance arrangements in order to co-ordinate the Steering Group be approved.
- (c) That officers be authorised to establish the Management/Investors' Group, Partnership Engagement Group with MPCL and other interested private sector organisations.
- (d) That the joint working with MPCL and the production of an Investment Strategy for South Leeds be supported.
- (e) That the Executive Member for Regeneration and Development be appointed as Chair of the Steering Group and that the Member Management Committee be requested to appoint four further political representatives from the South Leeds Area to the Steering Group.

- 10 47-57 Chapel Hill, Morley: Acquisition, Demolition and Development**
The Director of Environment and Neighbourhoods submitted a report outlining the proposed scheme design and related expenditure for the acquisition of 47-57 Chapel Hill, Morley and 1-8 Bank Court, Bank Street, Morley.

Following consideration of Appendix A to the report designated as exempt under Access to Information Procedure Rule 10.4(3) which was considered at the conclusion of the meeting it was

RESOLVED –

- (a) That the project brief and scheme design as presented be approved and that the Asset Management Board be authorised to approve the final detailed design of Phase 2.
- (b) That authority be given to spend the amount referred to in exempt Appendix A to the report and that the Director of Resources be authorised to approve expenditure of the balance remaining shown in exempt Appendix A in the Town and District Regeneration Scheme 12154/MOR/000.

CHILDREN'S SERVICES

- 11 Playbuilder Initiative**
The Director of Children's Services submitted a report on the Playbuilder Project and the intended programme to build or significantly refurbish twenty two playgrounds or informal play spaces across the City.

RESOLVED –

- (a) That approval be given for the injection of £1,145,914 into the Capital Programme (capital scheme no: 15390) fully funded by DCSF grant.
- (b) That authority to spend be given in respect of the sixteen play sites identified in appendix 2 to the report.
- (c) That approval be given to the Play Partnership recommendation to seek working solutions for the development of the remaining six sites with partners in the Council.
- (d) That a further report be brought to the Board recommending the location and provider of the remaining six sites.

- 12 Proposal to Add Specialist Community Provision at Whitkirk Primary School for Pupils with Complex Physical Difficulties and Medical Needs**
The Chief Executive of Education Leeds submitted a report on a proposal to establish specialist community provision at Whitkirk Primary School for pupils with complex physical difficulties and medical needs.

RESOLVED – That approval be given for consultation on a proposal to make a prescribed alteration to Whitkirk Primary School so as to establish a resourced base for primary age children with complex physical needs.

- 13 Submission of the Outline Business Case for Leeds West Academy**
The Chief Executive of Education Leeds submitted a report on the Outline Business Case for Leeds West Academy as part of the Council's Wave 1 Building Schools for the Future Programme and on associated expenditure.

RESOLVED –

- (a) That approval be given to the Outline Business Case for Leeds West Academy of the Council's Wave 1 Building Schools for the Future Programme and authority be given for its submission to the Department for Children, Schools and Families and to Partnerships for Schools.
- (b) That approval be given to the injection of additional expenditure of £17,018,000 financed by additional BSF Capital Grant Funding from DCSF into the Capital Programme, arising from the change from school to academy status as detailed in section 8 of the report.
- (c) That scheme expenditure of £31,128,000 from capital scheme number 15414 for Leeds West Academy be authorised.
- (d) That approval be given to the application of the previously approved City Council contribution of £2,529,000 to be committed elsewhere in the Leeds BSF Wave 1 Programme.
- (e) That the Board notes that further reports relating to 14-19 provision will be submitted to Executive Board for consideration, including a report to the next meeting on confederation arrangements.

(Under the provisions of Council Procedure Rule 16.5, Councillor Wakefield required it to be recorded that he abstained from voting on this matter)

- 14 Children and Young People's Plan 2009/14**
The Director of Children's Services submitted a report presenting the 2009-2014 Children and Young People's Plan for approval, prior to its submission to Full Council and Government Office.

RESOLVED – That Council be recommended to adopt the Children and Young People's Plan for Leeds 2009-2014, as attached to the report, as part of the Council's Budget and Policy Framework.

- 15 Expanding Primary Place Provision**
The Chief Executive of Education Leeds submitted a report on trends in population growth and the changing context for planning primary school places in Leeds; on the proposed immediate response to the pressures for additional reception places in 2010/2011; and outlining planning arrangements to ensure sufficient places to meet future needs.

In presenting the report Councillor Harker indicated that he had requested that this matter should be the subject of Scrutiny.

RESOLVED –

- (a) That the changing context for the provision of primary school places and the potential demands on capital programmes in the future be noted.

- (b) That approval be given to communications with relevant stakeholders and the Schools Adjudicator and the DCSF as outlined in section 6 of the report.
- (c) That further reports be brought to the Board on proposed expenditure and future planning proposals, including a report to the next meeting of the Board regarding the arrangements being made to manage the provision of reception places required for September 2010.

(Under the provisions of Council Procedure Rule 16.5, Councillor Wakefield required it to be recorded that he abstained from voting on this matter)

ADULT HEALTH AND SOCIAL CARE

16 Roundhay Road Relocation Project

Further to minute 198 of the meeting held on 12th March 2008 the Director of Adult Social Services submitted a report providing an update on the proposed accommodation solutions in place, and the costs associated with the implementation of these, to support the relocation of remaining services from the Roundhay Road site to alternative 'fit for purpose' accommodation.

Following consideration of Appendix 2 to the report designated as exempt under the terms of Access to Information Procedure Rule 10.4(3) which was considered in private at the conclusion of the meeting it was

RESOLVED –

- (a) That the contents of the report and the proposed accommodation solutions outlined in Appendix 1 be noted.
- (b) That expenditure of £1,100,000 on this scheme as outlined in the exempt appendix 2 to the report be approved.
- (c) That the Roundhay Road site be declared surplus to requirements subject to the completion of the acquisition of the property at Killingbeck.
- (d) That the demolition of the building be approved subject to the completion of the appropriate option appraisal taking into account both the potential impact on the asset value and the ongoing costs of security.

17 Response to Council Deputation - Provision of Changing Place Toilets in Leeds

The Director of Adult Social Care submitted a report in response to the deputation to Council by the 'All Means All' organisation on 22nd April 2009.

RESOLVED –

- (a) That the actions being taken to provide city centre based changing places toilets be noted.
- (b) That the work undertaken to agree a specification for a changing places toilet be noted.

- (c) That a further report be brought to this Board in six months time which will recommend a strategy for the provision of changing places toilets in Leeds.
- (d) That a further report be submitted to the Board providing an update on the current position prior to the end of this year.

CENTRAL AND CORPORATE

18 Tax and Private Hire Licensing: Age Criteria Proposals - Deputation to Council

The Assistant Chief Executive (Corporate Governance) submitted a report in response to the deputation to Council from the GMB Trade Union on 22nd April 2009.

RESOLVED – That the contents of the report, the rationale behind the proposals and the information that will be available to the decision makers be noted.

19 Financial Performance Provisional Outturn 2008/09

The Director of Resources submitted a report on the Council's financial outturn position for 2008/09, including both revenue and capital and the Housing Revenue Account. The report also detailed revenue expenditure and income compared to the approved budget, and reported on the outturn for Education Leeds and the ALMOs.

RESOLVED –

- (a) That the report be noted.
- (b) That the transfer of £4,800,000 to general reserves be agreed in accordance with paragraph 3.8 of the report.
- (c) That the carry forward of £1,300,000 Area Based Grant be agreed as outlined in paragraph 3.7 of the report.
- (d) That contributions to and the use of Housing Revenue Account Reserves be agreed as outlined in the report.

(Under the provisions of Council Procedure Rule 16.5, Councillor Wakefield required it to be recorded that he abstained from voting on this matter)

20 Leeds Strategic Plan 2008-11 Refresh: Amendments to Partnership Agreed Indicators

The Assistant Chief Executive (Policy, Planning and Improvement) submitted a report proposing a number of amendments to the partnership agreed targets in the Leeds Strategic Plan 2008-11, the Local Area Agreement for Leeds.

RESOLVED – That appendix 1 to the report be approved as the Council's proposed revisions and additions to the partnership agreed targets in the Leeds Strategic Plan.

21 Annual Report on Risk Management

The Director of Resources submitted a report providing an overview of the key risk management developments for the Council over 2008/09, reporting on the

corporate risk register and highlighting future areas of work to improve the Council's risk management arrangements.

RESOLVED – That the report and the progress made on further embedding risk management across the authority be noted.

22 Review Process for the Gambling Act 2005 Statement of Licensing Policy

The Assistant Chief Executive (Corporate Governance) submitted a report providing information on the review process for the Gambling Act 2005 Statement of Licensing Policy and advising of the methodology and timeframe for the final approval of the revised Policy, taking into account the statutory requirements for consultation and the expressed expectations of Full Council.

RESOLVED –

- (a) That the methodology and timeframe for the adoption of the gambling policy be noted.
- (b) That the draft policy be referred to Full Council for Members to comment on the draft as part of the initial consultation process with stakeholders.
- (c) That the Assistant Chief Executive (Corporate Governance) be authorised to undertake public consultation as outlined in the report.
- (d) That the revised policy and the results of any subsequent consultations on the draft policy be referred to Scrutiny Board (Central and Corporate) with a request that Scrutiny report back to the Executive Board on the 9th December 2009.

23 Procurement of a Corporate Interactive Voice Response (IVR) Solution

The Assistant Chief Executive (Policy, Planning and Improvement) submitted a report providing an update on the steps taken to date to procure a corporate IVR solution, providing responses to the recommendations of the Scrutiny Board (Central and Corporate Functions) and seeking support for the release of the funding necessary for this project to continue.

RESOLVED –

- (a) That the development of a corporate IVR solution for the Corporate Contact Centre be approved.
- (b) That authority be given for the allocation and expenditure of £262,000 from the ICT capital development pot to support the development of a corporate IVR solution.

(Under the provision of Council Procedure Rule 16.5, Councillor Wakefield required it to be recorded that he voted against the decisions taken in this minute)

(The matters referred to in this minute were responding to a previous Call In decision, and were therefore not eligible for further Call In)

DATE OF PUBLICATION: 19TH JUNE 2009
LAST DATE FOR CALL IN: 26TH JUNE 2009

(Scrutiny Support will notify Directors of any items called in by 12.00 noon on 29th June 2009)

Draft minutes to be approved at the meeting
to be held on Wednesday, 22nd July, 2009

LEEDS CITY COUNCIL

FORWARD PLAN OF KEY DECISIONS

For the period 1 June 2009 to 30 September 2009

Key Decisions	Decision Maker	Expected Date of Decision	Proposed Consultation	Documents to be Considered by Decision Maker	Lead Officer (To whom representations should be made and email address to send representations to)
Supply of Milk, Yogurt and Dairy Products To extend the current contract until 31 st March 2010	Chief Procurement Officer	1/6/09	User departments	Contract Extension Report	Chief Procurement Officer stephen.priestley@leeds.gov.uk
Capital spending on Aiming High Programme Injection of £1071k into capital programme for Aiming High for Disabled Children, fully funded from Aiming High for Disabled Children capital block within the Sure Start Early Years and Childcare Grant.	Director of Resources	1/6/09	June 2008 (with stakeholders inc families of disabled children)	Aiming High Short Breaks Implementation Guidance	Director of Resources david.mcdermott@leeds.gov.uk

Key Decisions	Decision Maker	Expected Date of Decision	Proposed Consultation	Documents to be Considered by Decision Maker	Lead Officer (To whom representations should be made and email address to send representations to)
HRA - Miscellaneous/Commercial Property Refurbishment Programme 2009-10 Authority to Spend Key Decision	Director of Resources	1/6/09	The work regarding the miscellaneous properties is on-going. Housing Finance, Legal Services, Property Management Services, the ALMOs and strategic Landlord are working together to put together the programme of works to refurbish the properties, for them to be brought back into charge and leased as social rented properties, managed by the ALMOs.	DCR and DDN	Director of Resources karen.chiverall@leeds.gov.uk

Key Decisions	Decision Maker	Expected Date of Decision	Proposed Consultation	Documents to be Considered by Decision Maker	Lead Officer (To whom representations should be made and email address to send representations to)
Financial Performance Provisional Outturn 2008/09 In noting the provisional outturn for the authority a decision will be required as to the treatment of any variation identified.	Executive Board (Portfolio: Central and Corporate)	17/6/09		The report to be issued to the decision maker with the agenda for the meeting	Director of Resources alan.gay@leeds.gov.uk
The Supply of Parts to Fleet Services To award the contract for the supply of parts to the Stores Division of Fleet Services at Torre Road	Director of Resources	30/6/09		Tender Evaluation Report	Director of Resources julie.meakin@leeds.gov.uk
Framework Agreement for Technical Advisors for PFI Projects Approval to issue OJEU notice for the procurement of the framework agreement	Director of Resources	1/7/09	Not applicable (Advisors from Client Departments)	Report to Board	Director of Resources david.outtram@leeds.gov.uk

Key Decisions	Decision Maker	Expected Date of Decision	Proposed Consultation	Documents to be Considered by Decision Maker	Lead Officer (To whom representations should be made and email address to send representations to)
Leeds Joint Service Centres - Furniture and Interior Design Solution for two new Joint Service Centres in Leeds Authorisation to procure furniture and fittings and interior design for two new Joint Service Centres in Leeds	Deputy Chief Executive	1/8/09	<ol style="list-style-type: none"> 1. Briefing with Relevant Councillors 2. Consultation with the Primary Care Trust 3. Consultation with relevant LCC Client Depts 4. Consultation with Local Residents 	LCC Procurement Legislation, The PCT Procurement Legislation, Executive Board Report approved 04.03.09, LCC Constitution	Deputy Chief Executive david.page@leeds.gov.uk
The supply of Gas to Leeds City Council Premises Award of Contract	Chief Asset Management Officer	3/8/09	Client Departments	Contract Award Report	Chief Asset Management Officer philippa.elliott@leeds.gov.uk
Fresh Meat, Cooked meats and Halal provision Contract for Catering and Cleaning Services To proceed with PQQ and Tender specification for renewal of contract	Director of Resources	1/9/09	Group consultation on quality of product / Consultation with Existing Supplier / Muslim Panel	Tender specifications	Director of Resources mandy.snaith@leeds.gov.uk

Key Decisions	Decision Maker	Expected Date of Decision	Proposed Consultation	Documents to be Considered by Decision Maker	Lead Officer (To whom representations should be made and email address to send representations to)
Catering Consumables Contract for Catering and Cleaning Services To proceed with PQQ and Tender specification for renewal of contract	Director of Resources	1/9/09	Group consultation on quality of product / Consultation with Existing Supplier	Tender Specifications	Director of Resources mandy.snaith@leeds.gov.uk
Grocery Contract for Catering and Cleaning Services To proceed with PQQ and Tender specification for renewal of contract	Director of Resources	1/9/09	Taste Panel of Students / Group consultation on quality of product / Consultation with Existing Supplier	Tender Specifications	Director of Resources mandy.snaith@leeds.gov.uk
Frozen Food Contract for Catering and Cleaning Services To proceed with PQQ and Tender specification for renewal of contract	Director of Resources	1/9/09	Taste Panel of Students / Group Consultation on quality of product / Consultation with Existing Supplier	Tender Specifications	Director of Resources mandy.snaith@leeds.gov.uk

NOTES

Key decisions are those executive decisions:

- which result in the authority incurring expenditure or making savings over £250,000 per annum, or
- are likely to have a significant effect on communities living or working in an area comprising two or more wards

Executive Board Portfolios

Executive Member

Central and Corporate

Councillor Richard Brett

Development and Regeneration

Councillor Andrew Carter

Environmental Services

Councillor Steve Smith

Neighbourhoods and Housing

Councillor John Leslie Carter

Leisure

Councillor John Procter

Children's Services

Councillor Stewart Golton

Learning

Councillor Richard Harker

Adult Health and Social Care

Councillor Peter Harrand

Leader of the Labour Group

Councillor Keith Wakefield

Leader of the Morley Borough
Independent Group

Councillor Robert Finnigan

Advisory Member

Councillor Judith Blake

In cases where Key Decisions to be taken by the Executive Board are not included in the Plan, 5 days notice of the intention to take such decisions will be given by way of the agenda for the Executive Board meeting.