

Public Document Pack
SOUTHEND-ON-SEA BOROUGH COUNCIL

Cabinet

Date: Tuesday, 8th November, 2016

Time: 2.00 pm

Place: Committee Room 1 - Civic Suite

Contact: Colin Gamble

Email: committeesection@southend.gov.uk

A G E N D A

- 1 Apologies for Absence**
- 2 Declarations of Interest**
- 3 Minutes of the Meeting held on 20th September 2016**
- 4 Notice of Motion - Unaccompanied Children in Calais**
- 5 In-depth Scrutiny report - 'Control of personal debt and the advantages of employment'**
Report of Chief Executive
- 6 In-depth Scrutiny report - 20mph speed restrictions in residential streets**
Report of Chief Executive
- 7 Capital Redevelopment of Delaware, Priory and Viking - Reference back from People Scrutiny Committee 11th October 2016**
Report of Corporate Director for People
- 8 Monthly Performance Report**
- 9 Capital Monitoring for 2016/17 and Revised Capital Programme 2016/17 to 2019/20**
Report of Chief Executive
- 10 Mid-Year Treasury Management Report - 2016/17**
Report of Chief Executive
- 11 Office of Surveillance Commissioners - Inspection Report**
Report of Chief Executive
- 12 Local Code of Governance: Review**
Report of Chief Executive
- 13 Procurement of Remote Processing for Housing Benefits**
Report of Chief Executive
- 14 Financial Pressures Facing the HRA**
Report of Chief Executive
- 15 Success for All Children Annual Report**
Report of Corporate Director for People

- 16 A Local Account of Adult Social Care Services in Southend 2015-16**
Report of Corporate Director for People
- 17 Sheltered Housing Review**
Report of Corporate Director for People
- 18 Gambling Policy Review**
Report of Corporate Director for Place
- 19 PVX Policy**
Report of Corporate Director for Place
- 20 Celebrating 125 years of the Borough of Southend-on-Sea**
Report of Corporate Director for Place
- 21 Minutes of the London Southend Airport Monitoring Working Party held 20th September 2016**
- 22 SO46**
- 23 Exclusion of the Public**

To agree that, under Section 100(A)(4) of the Local Government Act 1972, the public be excluded from the meeting for the item of business set out below on the grounds that it would involve the likely disclosure of exempt information as defined in Part 1 of Schedule 12A to the Act, and that the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

- 24 Waste Management PFI**
Report of Corporate Director for Place

SOUTHEND-ON-SEA BOROUGH COUNCIL

Meeting of Cabinet

Date: Tuesday, 20th September, 2016

Place: Committee Room 1 - Civic Suite

Present: Councillor J Lamb (Chair)
Councillors A Holland (Vice-Chair), A Moring, L Salter, M Flewitt,
T Cox, J Courtenay and T Byford

In Attendance: Councillors J Moyies and C Mulroney
R Tinlin, J Williams, S Holland, J Chesterton, S Leftley, A Lewis, A
Atherton, C Gamble, F Abbott, J O'Loughlin and A Keating

Start/End Time: 2.00 - 3.45 pm

257 Apologies for Absence

There were no apologies.

258 Declarations of Interest

(a) Councillor Cox – Carriage and Wagon Shed Options – Member of Shoeburyness Coastal Community Team – Non-pecuniary interest.

(b) Councillor Holland – Interim Affordable Housing Policy - Son had input into paper – Non-pecuniary interest

(c) Councillor Lamb - Joint Development Brief for land at Fossets Way - Hospital Governor- Non-pecuniary interest.

(d) Councillor Salter- Notice of Motion – Estate Agent Fees and Practices - Landlord in the borough - Non-pecuniary interest.

259 Minutes of the Meeting held on 28th June 2016

Resolved:-

That the Minutes of the Meeting held on 28th June 2016 be confirmed as a correct record and signed.

260 Notice of Motion - Estate Agent Fees and Practices

At the meeting of Council held on 21st July 2016, Members received a notice of motion on estate agent fees and practices. This was proposed by Cllr Davies and seconded by Cllr Callaghan.

Resolved:

That a fact finding workshop be convened for stakeholders to identify specific issues that need to be addressed in relation to the private rented sector, with a view to action planning, collaboratively, on a way forward.

Reason for Decision

To respond to the notice of motion.

Other Options

None

Note:- This is an Executive Function

Called-in to Policy and Resources Scrutiny Committee

Executive Councillor:- Flewitt

261 Better Queensway

The Cabinet considered a report of the Corporate Director for Corporate Services providing an update on the work undertaken on the Better Queensway Project since the decision of Cabinet on 22nd September 2015.

On consideration of the report, the Leader of the Council thanked Sally Holland for her contribution towards the work on the Queensway Project.

Resolved:

1. That the work undertaken on the Better Queensway Project to date, be noted.
2. That progression to Phase 3 of the Project based on the latest option development attached at Appendix 1 to the submitted report, be approved.
3. That the use of the Council's Compulsory Purchase Powers continue to be investigated and that preparatory work be undertaken for the making of a Compulsory Purchase Order (CPO), which will be subject to a formal resolution of the Cabinet in the future.
4. That the Project should involve the demolition of the tower blocks and other flats (where the Council owns the freehold) within the Project area.
5. That Initial Demolition Notices under Section 138(a) and Schedule 5(A) of the Housing Act 1985 (as amended) be served on all secure tenants of houses and flats within the Project area.
6. That based on Appendix 1 to the report, an outline planning application for the Project be prepared and submitted.
7. That further work be undertaken on the preferred Joint Venture approach (through competitive dialogue) with a report being submitted to Cabinet to determine this matter and the selection of a development partner.
8. That delegated authority be given to the Section 151 Officer, in consultation with the Deputy Leader, to agree the terms of any proposed Leaseholder swaps.

9. That it be noted that further reports will also be needed to give approval to additional matters such as, land appropriation, CPO resolution and a decant policy for re-housing of tenants and leaseholders.

Reason for Decision

To progress the Better Queensway project.

Other Options

As set out in the submitted report.

This is an Executive Function

Called-in to Policy and Resources Scrutiny Committee

Executive Councillors – Lamb and Holland

262 **Quarter One Treasury Management Report 2016/17**

The Cabinet considered a report of the Corporate Director for Corporate Services on the treasury management activity for the period from April 2016 to June 2016.

Recommended:

1. That the Quarter One Treasury Management Report for 2016/17, be approved.
2. That it be noted that treasury management activities were carried out in accordance with the CIPFA (The Chartered Institute of Public Finance and Accountancy) Code of Practice for Treasury Management in the Public Sector during the period from April to June 2016.
3. That it be noted that the loan and investment portfolios were actively managed to minimise cost and maximise interest earned, whilst maintaining a low level of risk.
4. That it be noted that an average of £52.7m of investments were managed in-house. These earned £0.087m of interest during this three month period at an average rate of 0.66%. This is 0.30% over the average 7-day LIBID and 0.16% over the bank base rate.
5. That it be noted that an average of £22.6m of investments were managed by an external fund manager. These earned £0.060m of interest during this three month period at an average rate of 1.07%. This is 0.71% over the average 7-day LIBID and 0.57% over bank base rate.
6. That it be noted that an average of £13.6m was managed by two property fund managers. These earned £0.255m during this three month period from a combination of an increase in the value of the units and income distribution, giving a combined return of 7.87%.
7. That it be noted that the level of borrowing from the Public Works Loan Board (PWLB) (excluding debt relating to services transferred from Essex County Council on 1st April 1998) remained at the same level of £227.8m (HRA: £77.0m, GF: £150.8m) during the period from April to June 2016.
8. That it be noted that during the quarter the level of financing for 'invest to save' schemes increased from £3.21m to £4.61m.

Reason for recommendations

The CIPFA Code of Practice on Treasury Management recommends that Local Authorities should submit reports regularly. The Treasury Management Policy Statement for 2016/17 set out that reports would be submitted to Cabinet quarterly on the activities of the treasury management operation.

Other Options

There are many options available for the operation of the Treasury Management function, with varying degrees of risk associated with them. The Treasury Management Policy aims to effectively control risk to within a prudent level, whilst providing optimum performance consistent with that level of risk.

This is a Council Function

Called-in to Policy and Resources Scrutiny Committee

Executive Councillor – Moring

263 Debt Management - Position to 31st July 2016

The Cabinet considered a report of the Corporate Director for Corporate Services informing Members of the current position on the outstanding debt to the Council as at 31st July 2016.

Resolved:

1. That the current outstanding debt position as at 31st July 2016 and the position on debts written-off to 31st July 2016, as set out in Appendices A and B to the submitted report, be noted.
2. That the write-off as set out in Appendix B to the report, be approved.

Reason for Decision

All reasonable steps to recover the debt have been taken and therefore where a write-off is recommended it is the only course of action available.

If the Council wishes to pursue debts for bankruptcy proceedings, it will follow the agreed and published recovery policy that covers this.

Other Options

None

This is an Executive Function

Eligible for call-in to Policy and Resources Scrutiny Committee

Executive Councillor – Moring

264 Information Governance - Senior Information Risk Owner (SIRO) Annual Report - 2015/16

The Cabinet considered a report of the Corporate Director for Corporate Services, Senior Information Risk Owner (SIRO), setting out the Information Governance work undertaken in 2015/16.

Resolved:

That the SIRO's report on Information Governance in 2015/16 and the proposed work for 2016/17, be noted.

Reason for Decision

To receive the SIRO's annual report

Other Options

None.

This is an Executive Function

Called-in to Policy and Resources Scrutiny Committee

Executive Councillor – Moring

265 Annual Report - Comments, Compliments and Complaints - 2015/16

The Cabinet considered a report of the Corporate Director for Corporate Services presenting the annual report on compliments and complaints received throughout the Council for 2015/16.

Resolved:

That the Council's performance in respect of compliments, comments and complaints for 2015-16 be noted.

Reason for Decision

To inform Members of the comments, compliments and complaints received throughout the Council.

Other Options

None

This is an Executive Function

Referred direct to all three scrutiny committees

Executive Councillors – Lamb, Salter and Courtenay

266 Early Help Family Support Strategic Plan

The Cabinet considered a report of the Corporate Director for People presenting the Early Help Family Support Strategic Plan 2016 and accompanying action plan.

Resolved:

That the Strategic Plan and action plan as set out at Appendices 1 and 2 to the submitted report, be approved.

Reason for Decision

1. The Plan requires the support to children and families to address their needs at the lowest possible level, to prevent their needs escalating and to not refer to services at a higher level until everything is done to meet such needs at a lower level.
2. The plan gives a clear focus and enables resources to be directed at those actions that will make the biggest improvement in outcomes for children, young people and their families.
3. It will enable the focus of work to move into Phase 2 of the Early Help Refresh and provide a base from which much wider integration with partners can be established, beyond the new 'core' EHFS service, and alignment with other key transformation programmes.

Other Options

Not to have a Strategic Plan overseeing the governance of Early Help Family Support, but this is not recommended

This is an Executive Function

Called-in to People Scrutiny Committee

Executive Councillor – Courtenay

267 **Report on Ofsted Inspection of Children's Services**

The Cabinet considered a report of the Corporate Director for People on the outcome of the Ofsted Inspection of services for children in need of help and protection, children looked after and care leavers and a Review of the Local Safeguarding Children's Board (LSCB). Members received details of the actions taken to date in response to the inspection findings and noted the draft Southend Children's Services Improvement Plan.

Resolved:

1. That the findings of the Inspection and Review be noted.
2. That the content of the draft Improvement Plan be noted and that the Director of People, in consultation with the Executive Councillor for Children's Services, be authorised to finalise the Plan.

Reason for Decision

To deliver improvements in Children's Services and support scrutiny in this area of work

Other Options

The development and delivering of an improvement plan is a statutory requirement

This is an Executive Function

Eligible for call-in to People Scrutiny Committee

Executive Councillor – Courtenay

268 Annual Report on Corporate Parenting Group

The Cabinet considered a report of the Corporate Director for People presenting the annual report on the work of the Corporate Parenting Group (CPG) in regards to the progress and outcomes of children who are looked after by the Council.

Resolved:

1. That the annual report, as set out at Appendix 1 to the submitted report, be noted.
2. That the overarching priorities for 2016/17, as at Appendix 2 to the report, be approved
3. That the Corporate Parenting Strategy for looked after children 2016/17 as set out at Appendix 3 to the report, be approved.
4. That the Corporate Parenting Group Forward Plan 2016/17, as set out at Appendix 4 to the report, be noted.

Reason for Decision

To receive the annual report.

Other Options

None

This is an Executive Function
Eligible for call-in to People Scrutiny Committee
Executive Councillor – Courtenay

269 Regional Adoption Agency update

The Cabinet considered a report of the Corporate Director for People setting out the current position on the Regional Adoption Agency activity.

Resolved:

That the report be noted and approved

Reason for Decision:

To ensure that Members are aware of the work being undertaken and the potential impact on Southend for future delivery of their adoption service.

Other Options

As set out in the submitted report.

This is an Executive Function
Called-in to People Scrutiny Committee
Executive Councillor – Courtenay

270 Admission Arrangements for Community Schools Annual Report

The Cabinet considered a report of the Corporate Director for People setting out the admission arrangements for community schools for the academic year 2018/19 and the Coordinated Admissions Scheme for 2018 onwards.

Resolved:

1. That there is no consultation on the Admissions Arrangements for Community Schools for the academic year 2018/19.
2. That consultation with governing bodies of community schools takes place on the published admission numbers for community infant, junior and primary schools for September 2017 as set out in the Admission Arrangements in Appendix 1 to the submitted report.
3. That the proposed Coordinated Admissions Scheme for 2018 onwards, as set out in Appendix 2 to the report, be approved in principle, and if there are minor areas to be resolved following consultation with schools, the Corporate Director for People in consultation with the Executive Councillor for Children & Learning, be authorised to make minor amendments to the scheme.
4. That the relevant area, as set out in appendix 3 to the submitted report, be confirmed.

Reason for Decision

The determination of admission arrangements for community schools and the provision of a coordinated admissions scheme is a statutory requirement.

Other Options

None.

This is an Executive Function

Eligible for call-in to People Scrutiny Committee

Executive Councillor – Courtenay

271 'Our ambitions for your child's education' - An Education Policy for Southend Borough Council

The Cabinet considered a report of the Corporate Director for People proposing the adoption of the education policy document "Our ambitions for your child's education in Southend".

Resolved:

That the draft policy be approved and that the Corporate Director of People, in consultation with the Portfolio Holder for Children's Services, be authorised to finalise the policy.

Reason for Decision

The absence of any policy documentation on behalf of Southend Borough Council at the time of considerable uncertainty does not allow the Council to coalesce its statutory services with its ambitions for young people. This absence would ask questions concerning what is it that the Council does and wants for children, young people and their families in education terms.

Other Options

None

This is an Executive Function

Called-in to People Scrutiny Committee

Executive Councillor – Courtenay

272 Adult Drug and Alcohol Treatment Services Contract Extension

The Cabinet considered a report of the Corporate Director for People concerning a 4 month extension to the contract the Council holds with Change, Grow, Live (CGL) for the delivery of treatment and support for adults with drug and alcohol problems.

Resolved:

That the extension to the CGL contract be noted.

Reason for Decision

To provide better value for money and minimise financial risks for the Council, together with enabling best commissioning practice in service user consultation and VCS market development.

Other Options

To expedite procurement of replacement provision in order that new contractor(s) are in place from 1st April 2017. It was felt that this would likely lead to contracts being offered in a very similar manner to those currently in place given the reduced capacity for consultation with service users, carers and professional stakeholders. It was additionally felt that this would negatively impact the potential to develop the local voluntary and community sector (VCS) market such that it would be able to compete on equal terms with larger national organisations.

The Cabinet considered a report of the Corporate Director for People concerning a 4 month extension to the contract the Council holds with Change, Grow, Live (CGL) for the delivery of treatment and support for adults with drug and alcohol problems.

Resolved:

That the extension to the CGL contract be noted.

Reason for Decision

To provide better value for money and minimise financial risks for the Council, together with enabling best commissioning practice in service user consultation and VCS market development.

Other Options

To expedite procurement of replacement provision in order that new contractor(s) are in place from 1st April 2017. It was felt that this would likely lead to contracts being offered in a very similar manner to those currently in place given the reduced capacity for consultation with service users, carers and professional stakeholders. It was additionally felt that this would negatively impact the potential to develop the local voluntary and community sector (VCS) market such that it would be able to compete on equal terms with larger national organisations.

This is an Executive Function

Called-in to People Scrutiny Committee

Executive Councillor – Salter

273 6 Month Mid Year Adoption Update

The Cabinet considered a report of the Corporate Director for People on the activities of the Southend Adoption Service between January and June 2016.

Resolved:

That the report be noted and approved

Reason for Decision

To inform Members of the activities of the Southend Adoption service in the first 6 months of 2016.

Other Options

None

This is an Executive Function

Eligible for call-in to People Scrutiny Committee

Executive Councillor – Courtenay

274 Interim Affordable Housing Policy

The Cabinet considered a report of the Corporate Director for Place outlining the proposed Interim Affordable Housing Policy.

Recommended:

1. That the “Interim Affordable Housing Policy (September 2016)” document attached at Appendix 2 to the submitted report, be approved as Corporate Policy.
2. That the Corporate Director for Place, in consultation with the Portfolio Holder for Housing, Planning and Public Protection, be authorised to make any minor amendments to the Interim Affordable Housing Policy to take into account the latest available evidence from the Strategic Housing Market Assessment or its equivalent successor.

Reason for Decision

1. To maximise the potential to deliver affordable housing and meet the Borough's local affordable housing need through existing planning policy, planning applications and Section 106 agreements, whilst ensuring development remains deliverable.
2. To ensure that a fair and consistent affordable housing provision is required of all developers, avoiding any site being disadvantaged in comparison to any other due to the impact changes in tenure and unit sizes have on residential sales values.
3. To assist in meeting the key Corporate Priorities relating to affordable housing as set out in paragraph 6.1 to the report.

Other Options

Not to adopt the Interim Affordable Housing Policy as set out in the report. This would mean to continue developer affordable housing negotiations relating to housing mix, tenure and financial contributions in lieu of on-site provision on a more ad hoc basis. This presents significant risks in terms of the Council's ability to meet the Borough's affordable housing needs, may result in inconsistencies in planning negotiations and may also delay delivery of development.

This is a Council Function

Called-in to Place Scrutiny Committee

Executive Councillor – Flewitt

275 Southend Central Area Action Plan

The Cabinet considered a report of the Corporate Director for Place seeking agreement to the publication of the Southend Central Area Action Plan (SCAAP) for consultation.

Members noted that the recommendations had been supported by the Local Development Framework Working Party which met on 6th September 2016.

Recommended:

1. That the Proposed Submission version of the SCAAP (set out in Appendix 1 to the submitted report) and associated Policies Map (set out in Appendix 2 to the report) be published for public consultation under Regulation 19 of the Town and Country Planning (Local Planning) (England) Regulations 2012.
2. That the response to the consultation comments received on earlier iterations of the SCAAP, as set out in the accompanying Consultation Statement in Appendix 3 to the report, be noted and endorsed.

3. That the SCAAP be submitted to the Secretary of State, prior to Examination in Public, under Regulation 22 of the Town and Country Planning (Local Planning) (England) Regulations 2012.
4. That the Corporate Director for Place, in consultation with the Executive Councillor, for Housing, Planning and Regulatory Services, in conjunction with the Local Development Framework Working Party (if necessary), be authorised to:
 - a) approve and make amendments to the SCAAP that may result from, *inter alia*, analysis of the representations made following public consultation, recommendations of the Sustainability Appraisal and any additional evidence considered and then consult on these changes, if required, before they are submitted to the Secretary of State.
 - b) agree and approve amendments that may be proposed by the Inspector during the Examination in Public process and to any further consultation that may be required as a result of this; and
 - c) take all necessary steps to ensure compliance with the relevant statutory processes and procedures necessary for preparation and participation of the Council at the Examination in Public.

Reason for decision

To ensure the expeditious production of the SCAAP, resulting in an anticipated adoption date of spring 2017 and to ensure the Borough has an up-to-date suite of planning documents as expected by Central Government.

Other Options

Not to prepare the SCAAP and consult on the Plan. This is not recommended as an up-to-date plan prepared using local evidence and guided by community consultation is the most appropriate guide for local planning decisions and regeneration of the town centre and central seafront area.

The absence of a robust plan and the resulting 'planning by appeal' scenario could result in the inability to control development in the Town Centre and Central Area and an increase in service costs for Southend if the Borough Council has to respond to development appeals or public inquiries.

This is a Council Function

Called-in to Place Scrutiny Committee

Executive Councillor – Flewitt

276 Air Quality Management Area

The Cabinet considered a report of the Corporate Director for Place proposing the declaration of an Air Quality Management Area following an assessment of the air quality at the junction of the A127, Holeythick Lane and Rochford Road.

Resolved:

1. That the outcome of the 2016 Local Air Quality Management Detailed Assessment for Southend-on-Sea Borough Council for nitrogen dioxide

exceedences at the junction of A127, Rochford Road and Hopleythick Lane, be noted.

2. That the proposed Air Quality Management Area boundaries for nitrogen dioxide, detailed within Appendix 1 to the submitted report and the Air Quality Management Area Order 1 (Appendix 2 to the report) be declared and that an Order be made under the provisions of Section 83(1) of the Environment Act 1995 formally designating the area as an Air Quality Management Area.
3. That consultation be undertaken on the development of an Air Quality Action Plan, in line with Department for Environment, Food and Rural Affairs (DEFRA) guidance, and that following the completion of the consultation, the Corporate Director for Place, in consultation with the Portfolio Holder for Housing, Planning and Public protection, be authorised to finalise the plan for submission to DEFRA.
4. That an Air Quality Strategy be developed for the Borough.
5. That the funding position for this project, as set out in Section 6.2 of the report, be noted.

Reason for Decision

The Council has a statutory duty to review air quality in the Borough and assess whether standards and objectives are being achieved. Where exceedences of the air quality objectives are not met the Council must declare an Air Quality Management Area and develop an air quality action plan to improve air quality.

Other Options

None

This is an Executive Function

Called-in to Place Scrutiny Committee

Executive Councillor – Flewitt

277 Low Carbon Energy and Sustainability Strategy 2015-2020

The Cabinet considered a report of the Corporate Director for Place presenting Southend on Sea Borough Council's Low Carbon Energy and Sustainability Strategy 2015-2020, Annual Update Report.

Resolved:

That the Low Carbon Energy and Sustainability Annual Update Report, be approved.

Reason for Decision

The Strategy continues to provide an excellent opportunity for the Council to make a real contribution in delivering local objectives around health and well-being, housing, fuel poverty, air quality, transport, education, economic development and community cohesion.

Successful implementation of the new strategy will provide the Council with the opportunity to establish new funding streams (including EU funding bids), efficiency savings and revenue sources (including money generated through renewable energy installations).

Other Options

None

This is an Executive Function

Called-in to Place Scrutiny Committee

Executive Councillor – Holland

278 Joint Development Brief for Land at Fossets Way

The Cabinet considered a report of the Corporate Director for Place on the Development Brief for the land at Fossetts Way and its adoption as Corporate Policy.

Recommended:

1. That the development brief, as set out in Appendix 1 to the submitted report, be adopted as corporate policy.
2. That the Corporate Director for Place, in consultation with the Portfolio Holder for Housing, Planning and Public Protection, be authorised to make any minor amendments to the wording of the document as required.

Reason for Decision

To enable a set of development parameters and the vision for the future of development of the site to be conveyed, in the interests of bringing the site forward as a development that will meet local needs, provide a high quality development, and to be developed in a manner that takes account of other development proposals and strategic planning issues in the Borough.

Other Options

1. Local Plan Review. The National Planning Policy Framework (NPPF) advises that planning permission for the permanent development of 'safeguarded land' should only be granted following a Local Plan review which proposes the development. The local plan-making process would allow for development to be planned at the strategic level to ensure that there is a balance of land uses, which provide for the needs of the local and wider community now and in the future in the most sustainable locations. The Local Plan review process is likely to take approximately 24 – 36 months, which would not assist the Trust in being able to dispose of the site prior to it being disposed centrally. Given the likely timetable for disposal, the preparation of a brief has been necessary in the circumstances.
2. Do Nothing. The land would either be sold as employment land by the Trust and a future buyer would then likely seek a change of use to achieve greater values or the land would be disposed of centrally at a later date. The Council

may not have the opportunity to guide the future development of the site without a brief.

This is a Council Function
Called-in to Place Scrutiny Committee
Executive Councillor – Flewitt

279 Carriage and Wagon Shed Options

The Cabinet considered a report of the Corporate Director for Place detailing the options for the future management and operation of the Carriage and Wagon Shed, Shoebury Garrison.

Resolved:

1. That the Carriage and Wagon Shed be leased to the new Shoebury Coastal Community Interest Company as detailed in section 4 of the submitted report.
2. That the Corporate Director of Place be authorised to advertise the opportunity to develop and manage the building for the benefit of residents and visitors to the borough if the Shoebury Coastal Community Interest Company is unable to take on the lease of the building by 30th September 2017.
3. That the Corporate Director of Place be authorised to negotiate and agree terms of any lease associated with the Carriage and Wagon Shed in consultation with the Council's Asset Management and Legal Teams.
4. That the delivery of any fit-out of the Carriage and Wagon Shed, as set out in the Coastal Communities Funding application, be supported.
5. That the financial position, as set out in section 7.2 of the report, be noted.

Reasons for Decision

Leasing the building to a community interest company whose aims are to benefit the Shoeburyness area should ensure that the Carriage and Wagon Shed is managed for the benefit of the local area. It will help safeguard the Carriage and Wagon Shed for the future and minimise pressures on Council resources.

Other Options

As set out in the submitted report

This is an Executive Function
Called-in to Place Scrutiny Committee
Executive Councillor – Holland

280 Prevention Strategy

The Cabinet considered a report of the Director of Public Health presenting the draft Southend-on-Sea Joint Adult Prevention Strategy 2016 -2021.

Resolved:

That the draft Southend-on-Sea Joint Adult Prevention Strategy 2016-2021 and associated action plan, be approved.

Reason for Decision

The Southend Joint Adult Prevention Strategy and associated action plan will facilitate a shared preventative approach across all key local organisations, enabling earlier identification and actions to address issues in relation to those people at greater risk of poor health outcomes.

The strategy also shifts the emphasis away from service provision to the empowerment of people to take steps to improve their own health and to help to develop community resilience.

A clear strategy to deliver prevention in localities is a requirement of the Mid and South Essex Sustainability and Transformation Planning process. This process requires local NHS commissioners and providers of health care to work with local authorities and their partners to put in place a joint plan to deliver, sustain and improve health and care services for local people.

Other Options

None

This is an Executive Function

Called-in to People Scrutiny Committee

Executive Councillor – Salter

281 **Amendments to Senior Management & Departmental Arrangements**

Further to the meeting of the Cabinet held on 28th June 2016, Members considered a report of the Chief Executive proposing amendments to the senior management structures and departmental arrangements.

Arising from consideration of the report, the Chief Executive referred to the impending departure of Sally Holland (Corporate Director for Corporate Services) and thanked her for her excellent service to the Council. He also confirmed that Nick Harris (Head of Culture) would also shortly be leaving the Council and thanked him for his valuable contribution to the work of the authority.

On behalf of Members, the Leader of the Council expressed his appreciation and gratitude to Sally and Nick for their sterling work and conveyed his best wishes to them both for the future.

Recommended:

1. That the revisions to the senior management structure set out in the submitted report be approved.
2. That the Public Health function be incorporated within the Department for People as described in the report.

3. That employment titles are amended as described in the report and that an additional management level be introduced in order to provide additional leadership capacity and to support staff retention and succession planning.
4. That the detailed allocation of functions and implementation of other arrangements be delegated to the Chief Executive, in consultation with the Leader of the Council, subject to no substantive adverse response to consultations.
5. That appropriate amendments be made to the Constitution to reflect the new senior management structure once implemented.
6. That the Chief Executive develop proposals in respect of senior officer remuneration (including the new management level) to be considered by the Council's PRP Panel later in the year.

Reason for Decision

The Council last approved modifications to the senior leadership team and structure in 2013. Since that time the Council has continued to experience marked reductions in its finances and has approved budgets which have continued to reduce the overall staff complement. The Council continues to face reductions in available finance and the leadership structure needs to both reflect the overall staffing reduction and be fit to cope with leading the organisation over coming years.

The Council received the public health function from the NHS some three years ago and now needs to more fully incorporate and integrate public health into the Council operational structure and further its purposes, as suggested by the 2015 Peer Review.

Other Options

1. Given the slim and competitive current senior management structure the Council could decide to not amend and reduce the number of senior management posts, allowing continued capacity to address and deliver the challenges facing the Council. This alternative option would, however, not reflect the continued reduction in staffing overall within the Council as a result of financial challenges.
2. The Council could decide to not review and refresh the public health function but this would not address the recommendations of the Peer Review and would not properly ensure the targeted and effective functioning of the service nor address adequately the reducing resource base.
3. The Council could carry out a complete review of the entire senior leadership structure, but this would cause unnecessary and potentially damaging uncertainty and disruption to the delivery of services. A wholesale review would also ignore that the current and proposed structures reflect best practice across unitary councils.

This is a Council Function

Called-in to Policy and Resources Scrutiny Committee
Executive Councillor – Lamb

282 Minutes of the Local Development Framework Party held 6th September 2016

Framework Working Party held on 6th September 2016 concerning proposals on new local listings.

Resolved:-

That the following buildings be designated as locally listed buildings/structures:

- The Co-op building Sutton Road, Southend
- Westcliff Police Station, West Road
- Former Lloyds Bank, London Road, Westcliff
- Civic Centre fountain.

Note:- This is an Executive Function

Called-in to the Place Scrutiny Committee

Executive Councillor:- Flewitt

283 Council Procedure Rule 46

Resolved:-

That the submitted report be noted.

Note:- This is an Executive Function

Eligible for call-in as appropriate to the item

Executive Councillor:- As appropriate to the item

284 Exclusion of the Public

Resolved:-

That, under Section 100(A)(4) of the Local Government Act 1972, the public be excluded from the meeting for the item of business set out below, on the grounds that it would involve the likely disclosure of exempt information as defined in Part 1 of Schedule 12A to the Act and that the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

285 Capital Redevelopment of Delaware, Priory and Viking

The Cabinet considered a revised report of the Corporate Director for People on the above.

Resolved:

1. That it be noted that the Strategic Outline Case (SOC) (at Appendix 1 to the submitted report) has found that the preferred option is the re-development of the Viking Learning Disability Day Centre and the New Build of a 60 bed dual registered dementia care home on a single site (Priory).

2. That the preferred option(s) identified above should be subjected to a fully costed Outline Business Case (OBC) to be presented to Cabinet in February 2017.
3. That it be noted that the Scheme will be financed by the Council with the Local Authority Trading Company, Southend Care, operating any new facility under a long term commercial lease from the Council.

Reason for Decision

As set out in the submitted report

Other Options

As set out in the submitted report

Note:- This is an Executive Function
Eligible for call-in to People Scrutiny Committee
Executive Councillor:- Salter

Chairman: _____

This page is intentionally left blank

Unaccompanied Children in Calais

This Council recognises:

The government committed to helping unaccompanied children in the Calais camp, many of whom have family in the UK and, with school terms starting in days, now is the time to act.

Britain should be following Germany's lead of accepting more than one million refugees last year and distributing them across hundreds of cities and villages in the country.

This government's claims to be socially just can only be viewed as a failure of leadership while these minors suffer squalor, desperation and destitution.

This Council resolves:

- To write to the Secretary of State at the Home Office urging the government to urgently send officials to the Calais camp to process legitimate asylum claims that will allow unaccompanied children access to Britain and safety.

Proposer: Cllr Cheryl Nevin **Seconder:** Cllr Julian Ware-Lane

This page is intentionally left blank

Report of Chief Executive

to
Cabinet

8th November 2016

Report prepared by:
Fiona Abbott

**In depth scrutiny report –
'Control of personal debt and the advantages of employment'
A Part 1 Agenda Item**

1. Purpose of Report

To present the final report of the in depth scrutiny project - "Control of personal debt and the advantages of employment".

2. Recommendation

That Cabinet approves the report and outcomes from the review from the in depth scrutiny project attached at **Appendix 1**.

3. Background

- 3.1 The Policy & Resources Scrutiny Committee selected its topic at the meeting on 16th July 2015 (Minute 158 refers). The project plan was agreed by project team at its meeting on 16th September 2015 and by the Scrutiny Committee on 15th October 2015 (Minute 346 refers). The specific focus of the review was to understand the issues around personal debt in Southend and its impact on residents; the support available to residents to stop getting into debt and the advantages & benefits of employment. The aim was to raise resident and all member awareness about the issues and to make appropriate recommendations.
- 3.2 The Member Project Team, which was Chaired by Councillor Mark Flewitt, met on four occasions and considered a range of information and evidence and number of work streams were investigated by the project team. The Project Team comprised Councillors David Garston, Brian Ayling, Alan Crystall, Lawrence Davies, Cheryl Nevin, Derek Kenyon and Chris Walker. Officer support was provided by Fiona Abbott.
- 3.3 The Project Team held a full day of evidence gathering, in the form of a 'mini conference', with invited witnesses on 4th February 2016. The event was facilitated by the then Healthwatch Southend Manager.
- 3.4 The review proved to be a thought provoking and wide ranging project, looking at issues such as credit reference agencies, loan sharks and funeral poverty. There was greater Member awareness of the issues facing a number of our residents, for example, the Project Team considered detailed information from the Illegal

Money Lending Team on the issue of illegal loan sharks and also considered information about the Credit Union in Southend. A great deal of good work is taking place in Southend and based on the evidence from the review, a lot of good around to help and support residents who face debt issues and to help them.

- 3.5 The draft scrutiny report was considered by the Member Project Team and considered at the Policy & Resources Scrutiny Committee at its meeting on 13th October 2016 (Minute 371 refers). The Committee felt that the study had been worthwhile and suggested some further actions for inclusion at section 6 of the final report (emerging outcomes from review).

4. Recommendations

- 4.1 In accordance with Scrutiny Procedure Rule 10 (Part 4 (e) of the Constitution), the in depth scrutiny report is now attached at **Appendix 1** for consideration by Cabinet. There are a number of issues from the review which need to be taken forward, as follows:
- a) As a way forward a third sector assembly should be convened to 'show case' event (anti debt fair) for the debt agencies to promote awareness. This will provide an opportunity for stakeholders to show support and advice (the expectation is that the resourcing for the event will be met by sponsorship). A number of programmes or work streams should also be developed to take forward e.g. helping people maximise income, working in a joined up way (see also (i) below).
 - b) That awareness raising about Credit Reference Agencies be included in the work mentioned above and that some can provide information to people on a no-charge basis.
 - c) The public need to be made aware about the issues of illegal loan sharks and the media department, SEH and other partners should use every opportunity to publicise the issue.
 - d) The Council should embed financial inclusion as a cross cutting priority.
 - e) All statutory agencies should be asked to review their literature promotional materials, social media presence sent to residents so that opportunities to sign post residents who may be experiencing difficulties are not missed (or lead to residents falling further into debt).
 - f) The Council should encourage the use of Credit Unions (Essex Savers Credit Union), and promote membership of them to staff and residents and also look at other ways of supporting its work.
 - g) That the Council review whether the Essential Living Fund can be adjusted in some way to assist people with funeral costs.
 - h) Partners need to look at targeting outreach opportunities in the wards with higher number of households likely to experience financial stress.
 - i) The Council's Head of Learning be asked to raise with School / FE Governors the need for improved financial literacy of primary and secondary school pupils and for a more structured approach to financial literacy incorporated into the school curriculum (utilising the resources of organisations such as Illegal Money Lending Team for example), including generic financial advice for school leavers.

4.2 Cabinet is asked to consider the report and identify how best to progress the work.

5. Other Options

Not applicable.

6. Corporate Implications

6.1 Contribution to Council's Vision and Critical Priorities – Becoming an excellent and high performing organisation; reduce inequalities and increase the life chances of people living in Southend.

6.2 Financial Implications – there are financial implications to some recommendations but as yet they are unquantifiable. However, any recommendations progressing with associated financial implications will need to go through the annual budgetary process before implementation, as currently no revenue or capital budgets exist for the proposals.

6.3 Legal Implications – none.

6.4 People Implications – none.

6.5 Property Implications – none.

6.6 Consultation – as described in report.

6.7 Equalities Impact Assessment – none.

6.8 Risk Assessment – none.

7. Background Papers

- Project team meeting notes – meetings held on 16th September 2015, 14th October 2015, 17th November 2015 and 5th January 2016
- Notes from witness session held 4th February 2016
- Updates to Scrutiny Cttee – 15th October 2015, 3rd December 2015 and 28th January 2016 and 13th October 2016
- Other evidence as described in the report

8. Appendix

Appendix 1 – in depth scrutiny project report

This page is intentionally left blank

Control of personal debt and the advantages of employment

Policy & Resources Scrutiny Committee
In depth Scrutiny Project 2015/16

October 2016

Preface

“Unfinished business is never satisfying, but on this occasion to offer a report back as to what we found at a whole day mini conference, seems right and justified.

The depth of the debt project was always going to be a challenge and I have come to realise that even if we had "finished" by issuing recommendations, we would not have been that much further advanced, in the context of the complex issues.

The idea of an anti debt fair is still something I hope we can achieve, despite the fact that there are two new civic projects to take centre stage for 2016/2017.

My colleague Councillors and I spent an un-apologetic time period looking at the issue of funeral poverty and how this affected too many people. The 2016 Budget agreed a 4% increase in funeral costs – something which I did not support. The position now is that the current administration is now faced with looking at all costs afresh as part of the 2017 budget (in the light of continuing budget pressures) - what will happen, only time will tell.

So debt pressures and challenges are still too prevalent but even this late publication of our mini conference day will make a contribution to the never ending civic concern around debt.”

*Councillor Mark Flewitt,
Chair of the in depth scrutiny project
2015/16*

“The Working Party reviewed all aspects of personal debt and the many reasons relating to personal debt increases and found mounting costs with limited employment prospects together with the processes used by Banks and Finance Houses to analyse credit worthiness virtually forced people into high interest finance providers. Credit reference agencies together with a plethora of sub agencies hold incorrect information on people who find it difficult to have wrong information corrected and the system allows unscrupulous concerns to manipulate the system and force those with financial problems into further difficulties.

It is hoped that this report will highlight our concerns and will elevate the various issues to Central Government for action.”

*Councillor Brian Ayling
Chairman, Policy & Resources Scrutiny Committee 2016/17
Project team member 2015/16*

1. Introduction

In 2015/16 Municipal Year, Members of the Policy & Resources Scrutiny Committee undertook an in depth project investigating the issues of the control of personal debt and the advantages of employment. Led by the cross party project team members, the project aimed to understand the issues around personal debt and its impact on residents; the control of personal debt; the support available to residents to stop them getting into debt and the advantages and benefits of employment. The aim was to raise resident and all member awareness about the issues and to make appropriate recommendations.

Debt is something that can potentially affect anyone of us. This review was the start of the debate to help residents in the borough. The way to do this is for actions to be joined up, working together in a partner-led way.

Our thanks go to all those who were involved with the project – particularly the witnesses called to share their views, expertise and insights – and all the Project Team members who undertook to investigate a number of key areas for the review.

2. Method of the investigation

The Committee was supported by a project team comprising:-

- 🚦 Councillor Mark Flewitt, Chairman, Councillor David Garston, Councillor Brian Ayling, Councillor Alan Crystall, Councillor Lawrence Davies, Councillor Cheryl Nevin, Councillor Derek Kenyon and Councillor Chris Walker.
- 🚦 Officer support was provided by Fiona Abbott

The project team met on four occasions and considered a range of information and evidence and number of work streams were investigated by the project team.

3. Briefing / information considered during review

- (i) Dealing with loan sharks https://www.youtube.com/watch?v=d_Ja0n9WJSk
- (ii) Licensing of loan companies
- (iii) Credit reference agencies
- (iv) Funeral Poverty
- (v) Information on debt / individual insolvencies in Southend and financial stress
- (vi) Mortgage debt (interest only mortgages)
- (vii) Role of education
- (viii) Illegal Money Lending Team, including a detailed briefing from the IMLT to the Project Team in January 2016
- (ix) Loan sharks witness statistics (want a *shark free* Southend)
- (x) Information from CAP
- (xi) Essex Savers net Credit Union workshop

4. Mini conference

The main evidence gathering session for the review was a **mini conference** held on 4th February 2016. This session was facilitated by John Cooke, the then Healthwatch Southend Manager and invited witnesses attended to give their views, see **Table 2**.

The questions were sent to the witnesses in advance and are set out in **Table 1**.

The session was run in a workshop style format, reflecting the objectives of the review.

Table 1

	Questions
1	<i>In your opinion what are the main reasons / causes of people getting into personal debt here and is the situation getting worse?</i>
2	<i>What do you see as the main effect on residents / impact on residents (a residents story)? What are the trigger points in people's lives / signals that are struggling?</i>
3	<i>What are agencies doing to help support residents to stop them getting into debt? Are there any significant gaps in support?</i>
4	<i>What do you think to be the best route to getting message out?</i>

The list of witnesses is outlined in **Table 2**. The project team would like to formally thank the witnesses for giving up their time to attend and for sharing their insights.

Table 2

Name	Representing
Carl Robinson	Department for Place, Regulatory Services
Trish Carpenter	Citizens Advice Southend
Holly Lippold	Trust Links
Jane Dresner	Advocacy for Older People
Revd Hannah Bucke	Southend Interfaith / Foodbank
Richard Leadley	Christians Against Poverty (CAP)
Gavin Dixon	Kings Money Advice Centre (KMAC)
Alison Davies	Essex Savers net Credit Union
Mick Davey	Essex Savers net Credit Union
Jeremy Martin	Department for Place, Southend Energy
Coral Fallon	Community Integration Team, ECRC
Paul Felice	Community Integration Team, ECRC
Rosanna Ridgeway	Jobcentre Plus, DWP
Judith Codarin	South East Alliance of Landlords, Agents and Residents (SEAL)
Martin Ransom	SEAL
Simon Putt	South Essex Homes
Lorraine Goldsmith	Benefits, Department for Corporate Services
Pam Watson	Finance, Department for People
Christine Lynch	Revenues, Department for Corporate Services
Cathy Braun	Access and Inclusion, Department for People
Ellen Butler	Customer Services, Department for Corporate Services
Sian Hines	The Hub, Department for Corporate Services
Julia MacKenzie	Streets Ahead, Department for People

In advance of the witness session, each witness was asked to provide some brief information about them / their organisation (a 'pen picture') and what they see as the main issues.

The following project team members attended the witness day on 4th February – Councillor Mark Flewitt (Chairman), Councillor David Garston, Councillor Brian Ayling, Councillor Alan Crystall, Councillor Lawrence Davies, Councillor Cheryl Nevin, Councillor Derek Kenyon and Councillor Chris Walker.

Apologies for absence were received from – Cath Wohlers - England Illegal Money Lending Team, Steve Ackroyd - RBS, Denise Rossiter - Essex Chambers of Commerce, Nick Williams - Keymed, Jon Horne - Stobart Aviation, Bobby Evans - Tesco, Tracey Nicola – Department for Corporate Services, Keith Harding - Department for Corporate Services and Councillor Ron Woodley – Leader of the Council.

The following items formed the paperwork for the meeting:-

- ✚ Response to questions Holly Lippold, Trust Links
- ✚ Response to questions from Lorraine Goldsmith, Essential Living Fund (SBC)
- ✚ Information on Essex Savers net Credit Union
- ✚ Press release re loan sharks and debt
- ✚ Information highlighted by Citizens Advice Southend
- ✚ Introduction to work of the KMAC
- ✚ Response to questions from Christine Lynch, Revenues (SBC)
- ✚ Response to questions from Richard Leadley, CAP
- ✚ Response to questions from Steve Gibbs, RBS
- ✚ Response to questions from Julia Mackenzie, Streets Ahead (SBC)
- ✚ Response to questions from Gavin Dixon, KMAC
- ✚ Response to questions from Sian Hines, The Hub (SBC) was circulated to the project team after the meeting.

5. Themes to emerge at mini conference

The following main themes emerged during the event, which was organised into 3 sessions:-

Question 1

In your opinion what are the main reasons / causes of people getting into personal debt here and is the situation getting worse?

Pointers of what was discussed at the event

- Overwhelming view that the situation is getting worse
- Reasons 'are as wide as town itself' – some examples mentioned were - mental health issues considerable need in Southend; divorce; relationship breakdown; events triggers such as illness; culture of debt (consumption) & societal pressure to consume; criminal activities targeting vulnerable residents (on-line scams); peer pressure; redundancy; addictions
- Education needed at school level
- Budgeting – need more work on prevention
- There is what can be called 'good debt & bad debt' with people having good weeks & bad weeks
- Mortgages and crunch – big issue in next 5 years
- Difficult if don't have support mechanisms available
- Complex systems & (the tone of) written communications from statutory agencies – can get unclear or threatening communications
- Fuel and funeral poverty highlighted
- Impact of Universal Credit?
- Benefit cap & pressure to cut them – massive impact on finances when already tight
- Older people and re mortgaging to help younger family

- Cost of holidays if have school aged children
- Don't tend to 'touch' money now - financial literacy

Question 2

What do you see as the main effect on residents / impact on residents (a residents story)? What are the trigger points in people's lives / signals that are struggling?

Pointers of what was discussed at the event

- Residents story very powerful
- Easy to get credit on line and no control (affordability checks)
- Scamming / befriending sites
- Predatory culture
- Crack down on pay day loans – loan sharks / door step loans bank on people not being able to pay!
- Lack of financial understanding
- Role of Credit Unions and differences in repayment levels from other lenders! (e.g. significant differences if borrowed from CU instead of loan shark)
- Seaside town context
- Poor diet / poor self care
- Mental health issue mentioned – need specific help – spend money don't have
- Need checks and balances on system
- If have council tax arrears have additional charges (and difficult to get out of as debt increases year on year)
- There are triggers which point to problems – e.g. access Essential Living Fund, use Foodbanks, which indicates have insufficient funds for the basics
- CAP – on average takes someone a year to make call to ask for help
- *“When you can get into debt without the effort of getting off the sofa I believe we have a serious problem”.*

Question 3

What are agencies doing to help support residents to stop them getting into debt? Are there any significant gaps in support?

Pointers of what was discussed at the event

- Role of local authority – ELT team, Street Ahead etc.
- Money management courses at CAP led to debt advice
- Encourage use of cash against card
- Avoid use of bailiffs / legal proceedings will help people – more pastoral approach
- *“we really need to break cycle of debt and poor money management so that individuals take control of their finances.”*
- Trust Links – refer to other organisations
- Money management calculator on Council website
- RBS – invested in debt management office & fund other organisations through donations, fair share contributions or a levy
- Citizens Advice Southend role and KMAC
- Life events have massive impact on income / expenditure
- Education – courses need crèche facilities when run
- 'invest to save' & budget sessions needed in schools

- Mention of 'Your Home Newcastle' – make huge difference (see www.ownyourown.co.com)
- Illegal Money lending Team – more partnership with local authorities, voluntary sector (310,000 people are in the grip of loan sharks nationally)

Question 4

What do you think to be the best route to getting message out?

Pointers of what was discussed at the event

- Awareness & prevention is key
- Foodbank includes leaflets in packs
- Could leaflet in areas (where debt occurs?) and where to go for help ('may not read it but if not there, can't!) - signposting
- Do a leaflet campaign when send out other documentation (e.g. benefits) – along lines 'how to make your money go further'
- Need to think about how agencies can reach people sooner
- SEAL happy to include information on debt advice on their community website – see www.mystreetsouthend.com
- Need some adverse publicity
- Use social media (but one size doesn't fit all)
- Use community hub / digital hub
- Loan scams – need to get banks to put stop on withdrawals
- Issue of financial literacy - need compassion, dignity & respect
- Also need to educate people to know outcomes of their decisions
- Need positive marketing approach too
- Approach TV producers / soap – have debt / loan shark story
- Schools use personal health and social education time & also integrate into other subjects
- Ask Youth Council for views

6. Some emerging outcomes from review

The review proved to be a thought provoking and wide ranging project, looking at issues such as credit reference agencies, loan sharks and funeral poverty. There was greater Member awareness of the issues facing a number of our residents, for example, the Project Team considered detailed information from the Illegal Money Lending Team on the issue of illegal loan sharks and also considered information about the Credit Union in Southend.

A great deal of good work is taking place in Southend and based on the evidence from the review, a lot of good around to help and support residents who face debt issues and to help them.

There are a number of issues from the review which now need to be taken forward, as follows:-

- a) As a way forward a third sector assembly should be convened to 'show case' event (anti debt fair) for the debt agencies to promote awareness. This will provide an opportunity for stakeholders to show support and advice (the expectation is that the resourcing for the event will be met by sponsorship). A number of programmes or work streams should also be developed to take

forward e.g. helping people maximise income, working in a joined up way (see also (i) below.

- b) That awareness raising about Credit Reference Agencies be included in the work mentioned above and that some can provide information to people on a no-charge basis.
- c) The public need to be made aware about the issues of illegal loan sharks and the media department, SEH and other partners should use every opportunity to publicise the issue.
- d) The Council should embed financial inclusion as a cross cutting priority.
- e) All statutory agencies should be asked to review their literature promotional materials, social media presence sent to residents so that opportunities to sign post residents who may be experiencing difficulties are not missed (or lead to residents falling further into debt).
- f) The Council should encourage the use of Credit Unions (Essex Savers Credit Union), and promote membership of them to staff and residents and also look at other ways of supporting its work.
- g) That the Council review whether the Essential Living Fund can be adjusted in some way to assist people with funeral costs.
- h) Partners need to look at targeting outreach opportunities in the wards with higher number of households likely to experience financial stress.
- i) The Council's Head of Learning be asked to raise with School / FE Governors the need for improved financial literacy of primary and secondary school pupils and for a more structured approach to financial literacy incorporated into the school curriculum (utilising the resources of organisations such as Illegal Money Lending Team for example), including generic financial advice for school leavers.

The Executive is asked to consider the report and identify how best to progress the work.



For any queries about this review, please contact:-
Fiona Abbott, Project Coordinator
fionaabbott@southend.gov.uk
01702 215104

Department for Corporate Services | Legal & Democratic Services
PO Box 6 | Civic Centre | Victoria Avenue Southend-on-Sea | Essex SS2 6ER

This page is intentionally left blank

Southend-on-Sea Borough Council

Agenda
Item No.

Report of Chief Executive

to

Cabinet

on

8th November 2016

Report prepared by:
Tim Row

In depth scrutiny report – '20mph Speed Restrictions in Residential Streets' A Part 1 Agenda Item

1. Purpose of Report

To seek formal approval to the draft report of the scrutiny project – '20mph Speed Restrictions in Residential Streets'.

2. Recommendations

- 2.1 That Cabinet approves the report and recommendations from the in depth scrutiny project attached at **Appendix 1**.
- 2.2 To note that approval of any recommendations with budget implications will require consideration as part of future years' budget processes prior to implementation.

3. Background

- 3.1 At its meeting on 13th July 2015, the Place Scrutiny Committee agreed that its in-depth study for the year should be "20mph in residential streets" (Minute 125 refers). The project plan was approved by the Place Scrutiny Committee at its meeting on 12th October 2015 (Minute 312 refers).
- 3.2 The Member Project Team, which was chaired by Councillor Stephen Habermel, considered a range of evidence to inform their approach. The Project Team comprised Councillors Habermel (Chairman), Assenheim, Callaghan, Cox, Evans, Kenyon, Mulronev and Ware-Lane. Cheryl Hindle-Terry, Adrian Watling and Lewis Pearmain and Tim Row.
- 3.3 The project team considered a variety of research documentation, legislation and national guidance. It also heard from a variety of witnesses through presentations and written submissions. These included the Council's transport policy officers, representatives from the Safer Essex Roads Partnership and the Council's Public Health Team. It also had regard to Council policies and the evidence from the existing 20mph zones and limits in the Borough.
- 3.4 The draft scrutiny report was considered by the Member Project Team and at the Place Scrutiny Committee at its meeting on 10th October 2016 (Minute 339 refers).

4 Recommendations

- 4.1 In accordance with Scrutiny Procedure Rule 10 (Part 4 (e) of the Constitution), the in depth scrutiny report is now attached at **Appendix 1** for approval by Cabinet. It should be noted that approval of any recommendations with budget implications will require consideration as part of future years' budget processes prior to implementation. The recommendations are as follows:

Recommendations:-	
1	To note the outcome of the study
2	To wait until the results of the study by the Department for Transport are published before considering undertaking any consultation on the introduction of a Borough wide 20mph speed restriction in all residential streets
3	To work with the Safer Essex Roads Partnership and other agencies to reduce death and serious injury on roads in Southend
4	To consider the introduction and prioritisation of 20mph schemes, including the use of variable speed limits within the Borough where and when necessary, particularly around local schools and other appropriate locations
5	To write to the Secretary of State for Transport to suggest that they consider the merits of reducing the default urban speed limit in roads with street lighting be reduced from 30mph to 20mph

5. Other Options

Not applicable.

6. Corporate Implications

- 6.1 Contribution to Council's Vision and Critical Priorities – Becoming a safe, excellent and high performing organisation; Creating a safe environment across the town for residents, workers and visitors.
- 6.2 Financial Implications – there are financial implications to some recommendations but as yet they are unquantifiable. However, any recommendations progressing with associated financial implications will need to go through the annual budgetary process before implementation, as currently no revenue or capital budgets exist for the proposals.
- 6.3 Legal Implications – none.
- 6.4 People Implications – none.
- 6.5 Property Implications – none.
- 6.6 Consultation – as described in report.
- 6.7 Equalities Impact Assessment – none.
- 6.8 Risk Assessment – none.

7. Background Papers –

- Project team meeting/witness session notes
- Other evidence as described in the report.

8. Appendix

Appendix 1 – in depth scrutiny project report and plans

This page is intentionally left blank

Place Scrutiny Committee
In-depth Scrutiny Project 2015/16

20 mph speed restrictions in residential streets



Final Report & Recommendations

20 mph Speed Restrictions in Residential Streets

1. Background

1.1 At its meeting on 13th July 2015, the Place Scrutiny Committee agreed that its in-depth study for the year should be “20mph in residential streets” (Minute 125 refers). The project plan was approved by the Place Scrutiny Committee at its meeting on 12th October 2015 (Minute 312 refers). The study was undertaken on behalf of the Scrutiny Committee by the project team whose membership comprised:

Councillors Habermel (Chairman), Assenheim, Callaghan, Cox, Evans, Kenyon, Mulroney and Ware-Lane.

1.2 The project team considered a variety of research documentation, legislation and national guidance. It also heard from a variety of witnesses through presentations and written submissions. These included the Council’s transport policy officers, representatives from the Safer Essex Roads Partnership and the Council’s Public Health Team. It also had regard to Council policies and the evidence from the existing 20mph zones and limits in the Borough.

1.3 The project team was supported in its investigations by the following officers:

Cheryl Hindle-Terry, Adrian Watling and Lewis Pearmain (Technical Support) and Tim Row (Project Co-ordinator).

2. Framework for the Study

2.1 It was agreed that the framework for the study should be:

- (i) To investigate and consider the feasibility of introducing 20mph speed restrictions in “residential streets”;
- (ii) To investigate the potential benefits of 20 mph speed restrictions on road safety in terms of reducing vehicle speeds, casualty numbers and injury severity and the implications;
- (iii) To investigate whether reductions in traffic speeds and improvements in road safety are likely to be achieved without the need for physical calming measures and regulated by signage and road markings (20 speed limits) or whether such calming features are necessary to reduce traffic speeds to 20 mph (20 mph zones);
- (iv) To consider the potential consequences of any displacement of traffic as a result of introducing lower speed limits and encourage the appropriate and efficient use of the road network; and
- (v) To consider and compare the potential costs and/or savings of implementing 20 mph restrictions including environmental impacts.

3. Definition of “Residential Streets”

3.1 For the purposes of this scrutiny study, the term “residential street” was defined as a road fully or predominantly made up of residential dwellings excluding distributor and local distributor routes, unless there was a clear and valid reason for their inclusion. This definition is consistent with the Department for Transport’s (DfT) guidance.

4. Context and Drivers

4.1 The key drivers for the study to be undertaken included road safety, the potential to safely increase traffic levels, the environmental benefits in terms of air and noise pollution levels, the development of safe shared spaces and the perception of safety by the public/residents.

4.2 It is evident that the demand for the default speed limit to be reduced from 30 mph to 20 mph has increased in recent years. This has essentially been in response to national and local campaigns by local residents, pressure groups, etc. As a result, a number of local authorities have now implemented or are investigating the implementation of 20 mph schemes.

4.3 ‘Brake’ is a road safety charity that works with communities and organisations across the UK to stop the tragedy of road deaths and injuries, making streets and communities safer for everyone. It also supports people bereaved and seriously injured on roads. One of their campaigns is GO20, which seeks safe walking and cycling for all, through slower speeds in communities and changing the default urban speed limit to 20 mph.

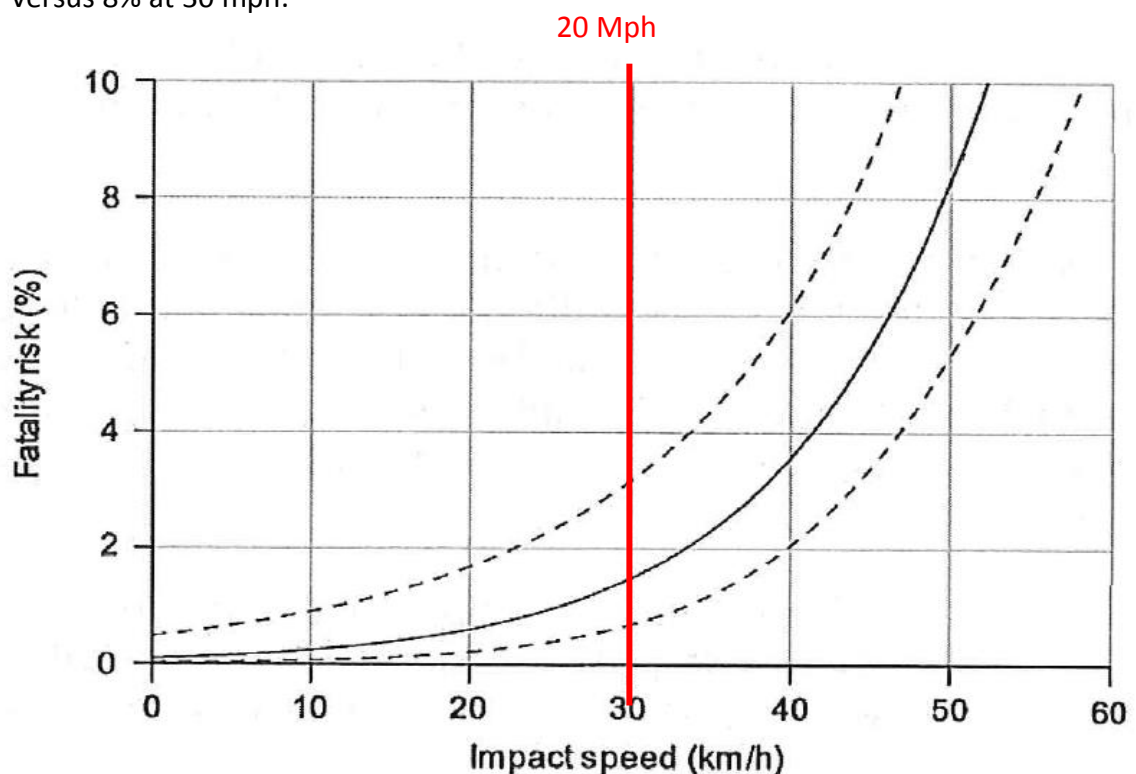
4.4 ‘20s Plenty for Us’ is a “not for profit” organisation which campaigns for the default speed limit on residential and urban roads to be reduced to 20 mph. It has been a driver for many communities to seek a reduction of the default to 20 mph.

4.5 Traffic travelling at speeds less than 20mph gives the driver a shorter stopping distance and gives more room and time to react. This is illustrated in the diagram below, which has been taken from the official driving theory test.



4.6 These braking and overall stopping distances greatly increase depending on the weather/road conditions. In wet conditions, the braking and overall stopping distance will be at least doubled. In icy conditions, these can increase to up to ten times.

4.7 The project team heard that the risk of death, or serious injury, when an adult pedestrian is hit by a motor vehicle follows a curve. Speed significantly increases the chance of being injured in a collision. Evidence from the Royal Society for the Prevention of Accidents stated that research had shown that the risk of death for pedestrians struck by cars increases at higher impacts speeds, although the exact risk levels varied between the studies. One of the first studies of pedestrian injury and car impact speed¹ found that at 20mph there was a 2.5% chance of being fatally injured, compared to a 20% chance at 30mph, although this study is now regarded as having overestimated the risks. A recent review identified the studies which had produced the most reliable modern estimates². The results from one of these studies is presented in the table below, which shows a fatality risk of 1.5% at 20 mph versus 8% at 30 mph.



The solid line is the most likely estimate and the dotted lines show the 95% confidence limits

5. Local Transport Policy

5.1 The Project Team noted that the Council has a variety of policies and plans that support the principles of 20mph schemes. Policies CP3 and CP4 of the Council's Core Strategy 2001-2021 are particularly relevant to this study. These are set out below:

¹ Ashton S J and Mackay G M **Some characteristics of the population who suffer trauma as pedestrians when hit by cars and some resulting implications** 4th IRCABI International Conference, Gothenborg. 1979

² Erik Rosén, Helena Stigson, Ulrich Sander, **Literature review of pedestrian fatality risk as a function of car impact speed**, Accident Analysis and Prevention Volume 43, 2011

Policy CP3: Transport and Accessibility - safeguarding and enhancing the environment of ‘Environmental Rooms’, as defined in the Southend Local Transport Plan

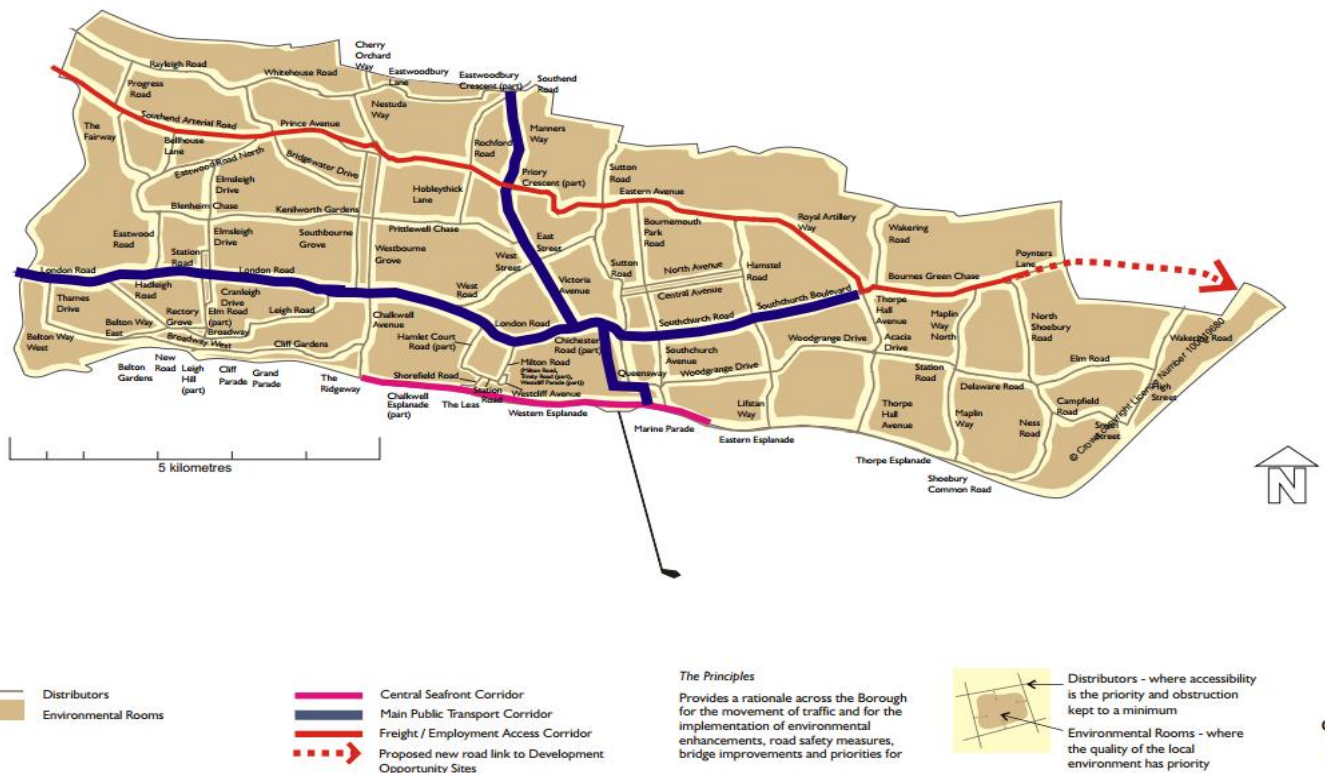
Policy CP4: The Environment and Urban Renaissance - creating safe, permeable and accessible development and spaces that encourage walking and cycling within ‘Environmental Rooms’.

5.2 The Local Transport Plan (LTP) is a vital tool in ensuring that the transport policies are part of a holistic approach to deliver the objectives of a “Safe, Clean, Healthy, and Prosperous Southend”.

5.3 The Local Transport Plan 2 established the principle, which provided a rationale across the Borough, for the movement of traffic and the implementation of environmental enhancements, road safety measures, bridge improvements and priorities for Distributors, where accessibility and the quality of the environment is the priority and obstruction is kept to a minimum.

5.6 A plan illustrating the concept and layout of the environmental rooms and distributor routes for the Borough is shown below.

Environmental Rooms and Distributors



5.7 This concept had been further developed in the Local Transport Plan 3, which aims to encourage healthier lifestyles by providing environments that promote good physical and mental health (e.g. through promotion of active modes of travel, improvement of local air quality and tranquillity levels). It set out an undertaking that the Council

would consider the introduction of residential 20 mph limits in the Borough after their potential impact has been assessed; not just on road safety but also wider impacts such as congestion, wider economic impacts, and CO₂ emissions. It identified the potential of 20mph speed limits in residential streets giving modal priority to pedestrians, bicycles, buses and cars. This is illustrated in the relevant excerpt from the Local Transport Plan 3 below.

Route Hierarchy Category	Mode Priority	Special Characteristics (see Footway Hierarchy below)	General Characteristics	Traffic Flows (Annual Average Daily Traffic Flows)
Strategic Primary A127 and A1159	HGV Bus *Car/Bicycle /Walking	High Quality Streetscape Cycle Route Pedestrian Focus	Top Priority traffic route	> 20,000
Primary Distributor including A13	Bus HGV *Car/Bicycle /Walking	High Quality Streetscape Cycle Route Pedestrian Focus	Second Priority traffic routes	15,000 to 19,999
Secondary Distributor	Bus LGV *Car/Bicycle /Walking	High Quality Streetscape Cycle Route Pedestrian Focus	Link the top and 2 nd priority routes to local areas of the town. All 30 mph	10,000 to 14,999
Local Distributors	Bus *Car/Bicycle /Walking LGV	High Quality Streetscape Cycle Route Pedestrian Focus	Local traffic – 30 mph	5,000 to 10,000
Residential Roads	Walk Bicycle Bus Car	High Quality Streetscape Cycle Route Pedestrian Focus	Local traffic – 20mph?	< 5,000

5.8 The LTP3 also seeks to contribute to an improvement of road safety for users of all modes of transport through measures such as:

- Traffic management e.g. 20mph zones, traffic calming and signing;
- Accident investigation including accident databases and road safety audits;
- Engineering schemes and enforcement;
- Education, training and publicity;
- Safe paths for walking and cycling.

5.9 The design of traffic calming needs to be carefully considered to avoid negative effects on the effective operation of public transport, e.g. road humps may adversely affect operation of low floor buses. The LTP also3 indicates that a more radical approach to street design with people oriented understanding of public space, known as “shared space” or “Home Zones” should be given serious consideration where appropriate. Such design of streets and other public spaces allows tackling not only safety but also congestion, economic vitality and community severance.

5.10 The following policies within the Local Transport Plan support the principles of establishing 20 mph speed restrictions in residential streets in the Borough:

Policy 15: Support safety partnerships and promote safer communities includes: *'The consideration of residential areas within the Borough to have 20 mph limits'*

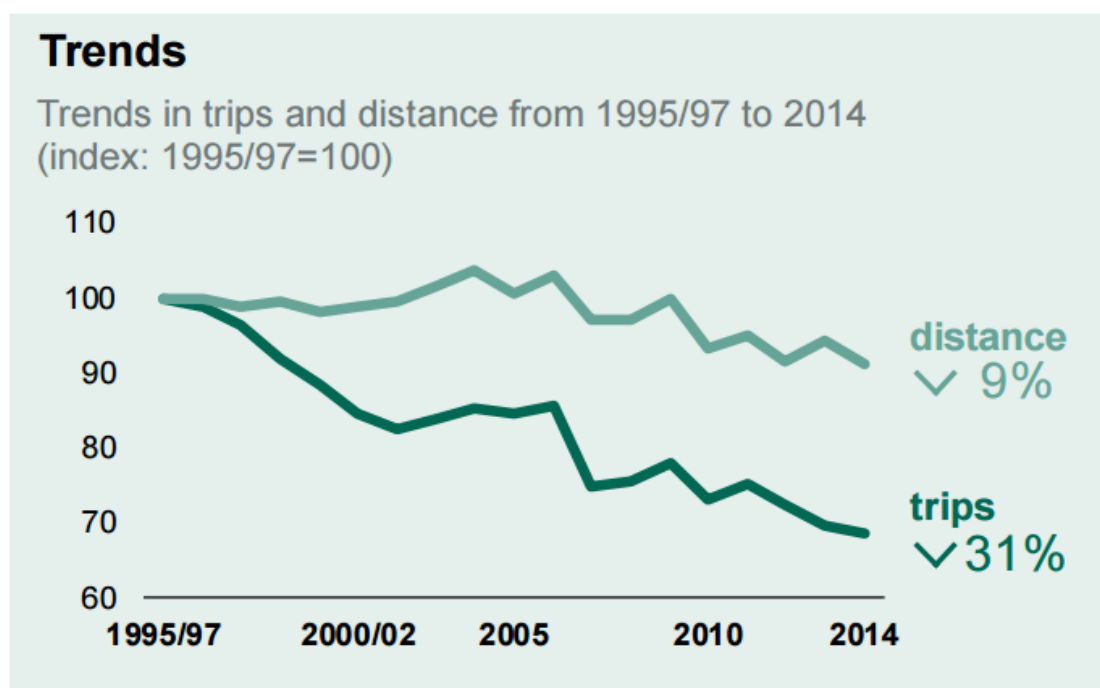
Policy 21: Tackle health inequalities by increasing the number of adults and children who walk and cycle for work, education and leisure

Policy 22: Ensure all public transport is fully accessible by 2017 includes: *'Seek to ensure pavements and pedestrianised areas are maintained to a good standard to aid ease of mobility for vulnerable road users'*.

5.11 Nationally, the annual British Social Attitudes Survey (BSA) continues to report that public opinion is pro-20mph. For example, research in 2010 showed that 71% of British people support 20mph. This was 72% when the BSA reported last on the issue in 2012.

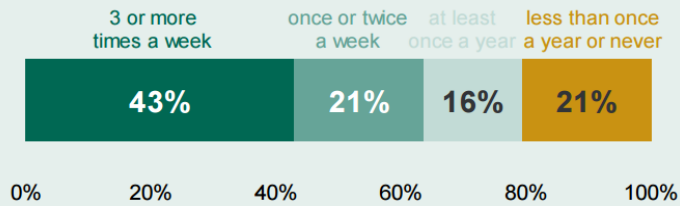
5.12 The National Travel Survey (NTS) is a household survey designed to monitor long-term trends in personal travel and to inform the development of policy including a DfT business plan indicator. It is the primary source of data on personal travel patterns by residents of England within Great Britain.

5.13 The survey collects information on how, why, when and where people travel as well as factors affecting travel (e.g. car availability and driving licence holding). The 2014 National Travel Survey (NTS) is the latest in a series of household surveys designed to provide a consistent source of data on personal travel behaviour across England. It shows, in general terms, that walking trends are declining.

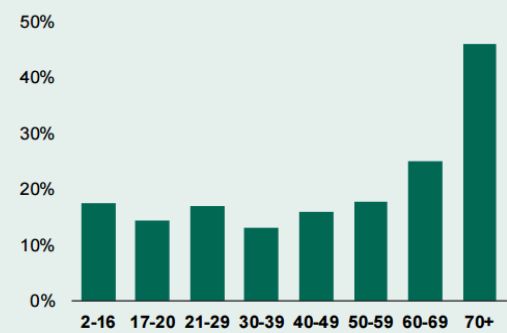


Frequency of walking

64% of people aged 2+ walk for 20 minutes at least once a week.



Proportion who walk for 20 minutes less than once a year or never, 2014



6. Public Health

6.1 Policies in the Local Transport Plan have clear linkages with public health, aside from the obvious target of reducing and preventing accidents. Although the numbers of those killed or seriously injured on roads is a nationally recognised target, these numbers are relatively small on a local scale so can be skewed heavily by a single incident. Trend data can be used to identify outliers and give a clearer picture of the burden of injuries.

6.2 There are a wide range of associated public health benefits that relate to transport and street environments and the slowing of vehicle speeds. These can support the public health outcomes identified in the tables below:

High level outcomes	Wider determinants	Health improvements	Healthcare improvements
<ul style="list-style-type: none"> • Healthy life expectancy • Health inequalities 	<ul style="list-style-type: none"> • Children in poverty • Pupil absence • 16–18 year old NEET • Employment for people with a LTC • Sickness absence rate • Killed and seriously injured on the road • Violent crime • Population affected by noise • Use of green space for exercise • Social connectedness • Older people's perception of safety 	<ul style="list-style-type: none"> • Low birth rate • Breastfeeding • Early childhood development • Childhood obesity • Wellbeing of looked after children • Diet • Adult obesity • Physical inactivity • Diabetes • Self-reported wellbeing • Falls and fall injuries in the over-65s 	<ul style="list-style-type: none"> • Preventable deaths • Premature deaths from cardiovascular disease • Premature deaths from all cancers • Early death from respiratory disease • Suicide • Quality of life for older people • Hip fractures in the over-65s • Dementia
Health protection <ul style="list-style-type: none"> • Air pollution • Sustainable development plans for public sector organisations 			

Overarching indicators:

Outcome 1: Increased healthy life expectancy

Outcome 2: Reduced differences in life expectancy and healthy life expectancy between communities

- Killed and seriously injured casualties on England's roads
- The rate of complaints about noise
- Percentage of physically active and inactive adults
- Hospital admissions caused by unintentional and deliberate injuries in under 18s
- Fraction of mortality attributable to particulate air pollution
- Mortality rate from causes considered preventable

- Health related quality of life for older people
- Hip fractures in people aged 65 and over

6.3 Guidance issued by National Institute for Health and Core Excellence (NICE) also supports the introduction of a 20mph speed limit. This is reflected in the following points:

- ensuring that people can easily access local services on foot or bicycle
- ensuring that new developments prioritise physically active lives, including walking and cycling
- prioritising pedestrians and cyclists by restricting motor vehicle access, reallocating road space, traffic calming
- safe and attractive walking and cycling networks accessing public facilities, workplaces, shops, social destinations, public open spaces
- new sites are laid out to encourage walking and cycling

6.4 The Project Team heard that being more active is about lifestyle change. It is not solely about joining a gym, it can include active travel, such as walking and or cycling instead of using the car. Creating safer, more attractive walking and cycling routes through a reduction of the speed limit to 20mph could significantly increase numbers of walkers and cyclists and contribute to a shift to active travel. It can also create safer access to parks and public spaces creating home zones and play streets. Cyclists feel safer in quieter, residential areas than on distributor roads. This was evident when we compare the plans illustrating the environmental routes with the Cycle Southend travel maps. By reducing speed limits in these roads, numbers of people choosing to walk or cycle may increase. Such initiatives can support the ambitions of the Southend-on-Sea Physical Activity Strategy (2016-2021). This is reflected in the British Heart Foundation’s position statement which states:

“Areas with slower vehicle speeds are associated with increased opportunities for walking and cycling. Taking into account the wide health benefits of physical activity, including protection against the risk factors of cardiovascular disease, the National Heart Forum supports a reduction in the default speed limit for built up areas to 20 mph.”

6.5 Walking and cycling not only makes a very positive contribution to improving health and increasing physical activity levels, it can also contribute positively to improving accessibility and tackling congestion, and reducing carbon emissions and improving the local environment. Engines of vehicles travelling at lower speeds and at a steady pace essentially use less fuel and therefore generate less pollution from particulates. These environmental benefits can also have a positive impact on respiratory problems and other associated health issues.

6.6 Older People feel safer in environments where the speed of traffic is low. They are therefore more likely to use streets where vehicle speeds are low to visit neighbours creating a form of exercise and increasing their social contact. It is recognised that there is an increased risk of injury when older people or the more-frail fall, however, the other public health benefits outweigh this risk.

7 20 mph Limits and 20 mph Zones

- 7.1 20 mph zones and limits are now relatively wide-spread, with more than 2,000 schemes in operation in England, the majority of which are 20 mph zones³.
- 7.2 The setting of local speed limits is the responsibility of local Highway Authorities, taking account of national guidance and legislation. In its circular 01/2013, the Department for Transport (DfT) published a draft revised circular entitled “Setting Local Speed Limits”. It included new advice and guidance to local Highway Authorities on the implementation of 20mph schemes.
- 7.3 The guidance recommends that whilst the standard speed limit in urban areas is 30 mph, which represents a balance between mobility and safety factors, for residential streets and other town and city streets with high pedestrian and cyclist movement, local traffic authorities should consider the use of 20 mph schemes. However, where they do so, general compliance needs to be achievable without an excessive reliance on enforcement.
- 7.4 A summary of the Government’s guidance on the implementation of 20mph schemes is set out below:-
- Successful 20mph limits and zones are those that are generally self-enforcing.
 - Self-enforcement can be achieved either, by the existing road conditions or using measures such as signing or traffic calming to attain mean speeds compliant with the speed limit.
 - To achieve compliance there should be **no** expectation on the police providing additional enforcement unless explicitly agreed.
 - The full range of options should be considered before introducing 20mph schemes.
 - Zones should not include roads where motor vehicle movement is the primary function.
 - While the Government has reduced the traffic calming requirements in zones they must be self-enforcing and include at least one physical traffic calming feature such as a road hump or build out.
 - 20mph limits are generally only recommended where existing mean speeds are already below 24mph.
- 7.5 There are two different methods of implementing 20mph speed restrictions; 20mph limits, which rely solely on signing, and 20mph zones which require traffic calming to reduce speeds. Highway Authorities also have the powers to introduce 20mph speed limits that apply only at certain times of day. These variable limits may be particularly relevant where a school is located on a major through road that is not suitable for a full-time 20 mph zone or limit.
- 7.6 A local traffic authority may introduce a 20 mph speed limit or 20mph zone without obtaining consent from the Secretary of State. A consultation process must be

³ Setting Local Speed Limits – DfT circular 01/2013

followed before implementing a new speed limit or zone as an essential part of the implementation process and needs to include local residents, local government, the police and emergency services and any other relevant local groups.

- 7.7 It is for local authorities to determine whether a speed limit is appropriate to the area but they must have regard to national guidance. National guidance on all local speed limits, including national guidance on 20mph limits and zones, is set out in the DfT Circular 01/2013 'Setting local speed limits'

8. 20mph Speed Limits

- 8.1 20mph speed limits cover areas where the speed limit has been reduced to 20mph in a similar way to other local speed limits including 30mph or 40mph. 20mph speed limits do not require physical traffic calming measures, such as road humps or speed cushions, but may do so. 20 mph speed limit areas are signed on entry on both sides of the road, with corresponding 30mph signs on exit, and include further 20mph speed limit repeater signs or markings within the area. According to government guidelines, 20 mph limits can be introduced where there are significant numbers of vulnerable road users.
- 8.2 Research shows that 20mph speed limits are most appropriate for roads where average speeds are already low. This is consistent with the guidance from the DfT which suggests that average speeds should already be below 24mph. The layout and use of the road must also give the clear impression that a 20mph speed or below is appropriate. This is generally the case for the majority of local access residential roads, particularly where the roads are narrow thorough engineering or where on-street parking is available. The early evidence suggests that 20 mph limits without any traffic calming reduce mean speeds by about 1 mph on average.
- 8.3 There is generally less resident opposition to the use of 20 speed limits in comparison to 20 mph zones as no other physical features are required to reduce the speed of traffic. Achieving compliance with 20mph limits however, can be a challenge. Nevertheless, 20mph limits (as opposed to 20mph zones) are now the more common approach, due to their lower implementation cost and because they do not require physical traffic calming measures which can be controversial.

9. 20 mph Zones

- 9.1 20mph zones must use physical or physiological traffic calming measures throughout the area to enhance conformity and encourage compliance with the speed limit. Zones can include a range of traffic calming measures such as road humps, raised tables, speed cushions, traffic chicanes, road narrowing, coloured surfacing and other physical or visual measures to emphasise the nature of the road. Signage is required on both sides of the road at the entry and exit points of the zone, which do not need to be illuminated. Repeater signs within the zone are not required. Research shows that 20 mph zones are on the whole more effective in reducing vehicle speed (typically 9mph reduction) and casualty numbers. This is largely due to the inclusion of the physical traffic calming measures.

9.2 Some calming measures can be unpopular due to the inconvenience and discomfort caused to road users, including the emergency services and public service vehicles. It can also lead to road users accelerating between the calming features. The introduction of physical traffic calming measures also leads to a significant increase in costs, in terms of installation and on-going maintenance. This ultimately results in a smaller number of areas being treated from any available budget. The *Institute of Advanced Motorists* has confirmed that there is significant engineering investment in bringing in zones while speed limits were cheaper.

10. Variable 20mph Limits

10.1 The Council, as a local traffic authority, may also introduce 20 mph speed limits that apply only at certain times of day. To indicate these limits, variable message signs can be used. These variable limits may be particularly appropriate in areas where a school is located on a road that is not suitable for a full-time 20 mph zone or limit, such as a major through road. To help reduce costs and sign clutter, the Department has confirmed it will consider authorising the placing of a single variable message sign on the approaching traffic lane (rather than signs on both sides of the road) on a case by case basis.

10.2 The Secretary of State has provided a special authorisation for every English traffic authority to place an advisory part-time 20mph limit sign, with flashing school warning lights. This can be a more cost-effective solution, where appropriate, and reduces the requirement for signing.

10.3 If signage is only active at certain times, it is more likely that drivers will actually see it and take note. One of the issues identified in general safety areas is local drivers not “seeing” signs due to familiarity.

11. Enforcement

11.1 Essex Police, in common with other police forces, are supportive of 20mph limits or zones where appropriate. They point out however, that it is important, in line with DfT guidance, and ACPO policy, that these limits ‘stand on their own 2 feet’, essentially that they are self-enforcing, through site conditions such as signing or traffic calming leading to a mean traffic speed which is compliant. Police intervention should be minimal if any scheme is to be a success, the reality is that if enforcement is required, then the scheme is essentially a failure, as if it is to achieve its aims and be truly safe, it must work 24 hours per day, with or without police presence. There should be no expectation on the police to provide additional enforcement beyond routine activity. It must therefore be appreciated that in reality, that the police will not be in a position to enforce 20 limits or zones.

11.2 According to revised ACPO guidelines (October 2013), enforcement will be considered in all clearly posted limits, given other priorities, and this will be by:

1. Targeted enforcement where there is deliberate offending/disregarding and the limits are clear;

2. Where limits are not clear (they don't feel like/look like the limit or are on inappropriate roads), they will not be routinely enforced but may be targeted where there is intelligence of obvious deliberate disregard
- 11.3 Since November 2013, the National Driver Offender Retraining Scheme (NDORS) have introduced a speed awareness course specifically tailored to speeding offences in 20mph limits where, at the discretion of the police, offenders who are either "mistaken or simply unaware of the limit" would benefit from education. Speeding in a properly marked/engineered limit or zone may not be suitable for a course.

12. ACPO Guidelines for Speed Limit Enforcement

- 12.1 ACPO guidelines have been formulated taking into account, amongst other things, the need for targeting in order to maximise the potential of scarce police resources and to make a substantial contribution to the multi-agency road death and injury reduction effort.
- 12.2 It goes on to say that "driving at any speed over the limit is an offence and the police are not restricted and may prosecute. In deciding on enforcement means and deployment, one of the factors will be how unclear or confusing the relevant signage is or how a site simply does not feel like a road of that speed. Although this is not an excuse and any driver may be prosecuted, it will be considered when deciding on the prosecution and amount of police enforcement. The enforcement of speed limits is generally related and proportionate to the risks to all road users using that road and availability of resources but not restricted in any way."
- 12.3 "Where police officers consider that an offence has been committed, there will be no restriction on proceedings, however, they should consider whether it is appropriate to take enforcement action in that case, taking into account such facts as the level of signing and engineering to support the limit and whether it was clear to the motorist that there was a limit and what that limit was."
- 12.4 "The guidance to police officers is that, when they feel enforcement is necessary, it is anticipated that, other than in most exceptional circumstances (arrest), the issue of fixed penalty notices or summonses are likely to be the minimum appropriate enforcement action (with certain offenders offered a course of education at the lower and less harmful speeds."
- 12.5 "The guidance is that enforcement by prosecution should not be considered when it is lower than the speeds reached in accordance APCO guidelines. These guidelines do not replace police officer discretion."

13. Local Context - Existing Schemes

- 13.1 There are currently thirteen 20 mph zones (comprising areas and/or individual roads) and five 20 mph limit areas in the Borough. A list detailing the 20mph zones and 20mph speed limit areas is attached at **Appendix 1**. Plans illustrating the 20mph

schemes within the Borough are attached at **Appendix 2**. Of the five speed limit areas, one is enforced by average speed cameras; one is a short service road for the Southend Victoria Station; one is a short length of road in the town centre; and two are small residential areas. These have been introduced on an ad-hoc basis in response to public demand and road safety.

- 13.3 The speed data for these areas supports the principle that compliance with the 20mph speed restriction requires a physical or psychological traffic calming feature or that they have been implemented in areas where the speed of traffic is already below 24mph. This is particularly evident some of the roads in the areas around West Leigh School (20mph speed limit) and Darlington School (20mph zone) where the average speed of traffic in West Leigh Avenue and Pavilion Drive is 17mph and 20mph respectively. Equally average vehicle speeds in Cromwell Road and Tunbridge Road are 17mph and 23 mph respectively. Most of these roads are quite narrow and experience high levels of on-street parking on both sides.
- 13.4 Conversely, although the speed of traffic in Caulfield Road (which is part of the Shoebury High School 20mph Zone) and Boston Road (which is in the St Mary's School 20mph zone) is 23mph, 73% and 77.7% of vehicles exceeded the speed limit in those roads respectively, despite the introduction of physical traffic calming measures.
- 13.5 The average speed of traffic in Tunbridge Road, which is within a 20mph speed limit area, is also 23 mph, but again 70% of vehicle exceeded the speed limit. This is probably due to the nature of the road.
- 13.6 The most effective 20 mph speed limit area in Southend is the Marine Parade "City Beach shared space" area. The average speed of traffic is 20 mph, with only 0.5% of vehicles exceeding the speed limit. This area is enforced by average speed cameras. This scheme was funded externally by KeyMed through its road safety initiative fund. Although highly successful, the use of average speed enforcement cameras is an extremely expensive option to ensure compliance.

14. Safer Essex Roads Partnership (SERP)

- 14.1 The Safer Essex Roads Partnership (SERP) has brought together the three local authority areas of Essex County Council, Southend-on-Sea Borough Council and Thurrock Council to provide a road safety service across 'Greater Essex'. The other SERP partners are Essex Police, Essex Fire and Rescue Service, Highways England, The Essex and Herts Air Ambulance Trust, The East of England NHS Trust and The Safer Roads Foundation.
- 14.2 The partnership's purpose is to reduce death and serious injury on Essex roads to zero. It is recognised that this is an extremely ambitious vision and one cannot be tackled alone: each road user plays a part. The partnership promotes road safety and casualty reduction through a number of activities, interventions, programmes and products which involve a combination of education, engagement, engineering

and enforcement. The Partnership's Joint Road Safety Delivery Plan (JRSDP) details the activities each partner is to deliver with partnership support and funding.

- 14.3 The Project Team noted the work currently being undertaken by the Partnership to identify wards in Essex where the highest number of collisions are generated by residents. From the information provided, it showed that whilst not all the collisions happen in the ward in which the residents lived, approximately 78% of the collisions did happen in Southend. The Partnership would therefore be targeting the home environment of people causing collisions. Vulnerable road users continue to provide a challenge and it would be essential to target these if future targets are to be achieved. Investment in education of vulnerable road users will never be wasted.
- 14.4 SERP supports the idea of blanket 20mph speed restrictions and would help wherever possible. However, it is recognised that 20mph restrictions are hard to justify on casualty grounds, as the costs involved in making them enforceable and look 'nice' are invariably much higher than the first year rate of return or even life time savings. If speeds are genuinely lowered (or kept low) then more people are more than likely to choose to walk and cycle, making the environment a nicer place in which to live.
- 14.5 It is extremely difficult/expensive to retro fit zones and much consultation and engagement would be necessary. Camera enforcement is a possibility and SERP would be happy to take on the enforcement should this be the route followed. 20mph zones and limits can be mixed to reduce costs but community buy in and a good-looking result are essential for success.
- 14.6 SERP therefore feels it might therefore be more appropriate to lobby central government to introduce a default speed limit of 20mph where there are street lights, unless signs show otherwise. This supports the SERP's target of "Vision Zero" and the aims of the SERP to reduce casualties to zero.

15. Royal Society for the Prevention of Accidents' (RoSPA) Policy Position on 20mph Speed Limits

- 15.1 RoSPA state that 20mph zones are very effective at preventing injuries and would like to see their wider use in residential areas. 20mph zones significantly decrease the risk of being injured in a collision and their greater use, especially in residential areas, would help to reduce the number of traffic injuries in the UK.
- 15.2 RoSPA supports and encourages the wider use of 20mph limits. They believe 20mph limits are most appropriate for roads where average speeds are already low, below 24mph, and the layout and use of the road also gives the clear impression that a 20mph speed or below is the most appropriate. Although a high proportion of urban roads are suitable for 20mph limits, RoSPA does not believe that 20mph speed limits are suitable for every road in a local authority area. They should be targeted at roads that are primarily residential in nature and on own or city streets where pedestrian and cyclist movements are high (or potentially high), such as around schools, shops, markets, playgrounds and other areas. Roads which are not suitable

for 20mph limits are major through routes. This is entirely consistent with the guidance by the DfT in its circular “Setting Local Speed Limits”.

- 15.2 They believe Local Authorities are responsible for determining where 20mph zones and limits should be introduced but should take advantage of opportunities to introduce them where they are needed.
- 15.3 Consultation and engagement with local communities and other stakeholders is vitally important, to ensure that safer roads are prioritised where needed and that local communities have input into the schemes development.

16. The AA

- 16.1 The AA supports the setting up of 20mph speed limits where residents along those roads want them. They state that “a headlong rush towards blanket 20mph zones in many UK towns and cities needs to slow down and take into account the views of residents.”
- 16.2 “Neighbourhoods face differing challenges from traffic: some may need to slow down their own residents and reduce the risk of accidents; others have a 'rat-running' problem that a 20mph speed limit on its own won't address.”
- 16.3 “The case for lowering speed outside vulnerable locations, such as schools and hospitals, is generally accepted. However, sweeping 20mph restrictions that slow down commuters, business deliveries and services, and the pace of a town or city in general are not.”
- 15.4 An AA-Populus survey of 24,351 AA members undertaken between 21st February and 3rd March 2014 showed that, if a 20mph speed limit is set along a road, support for speed camera enforcement is evenly split between those who agree (41%) and those who disagree (38%). Targeted speed camera enforcement, when and where a specific problem emerges, receives much greater support (61%).
- 16.5 There is a lot of fear among drivers that, with 20mph being a relatively unfamiliar speed, widespread speed camera use will make them look more at their speedometers than at what is happening on populated streets in front of them.
- 1.6 Use of speed-indicating signs may help to educate and familiarise drivers with the lower speeds, while proven urban road engineering features may also influence behaviour - while deterring rat-running.

17. Costs

- 17.1 The costs for implementing a 20mph scheme differ drastically depending on the size, scale, method of enforcement, compliance and environmental measures.
- 17.2 For example, in Bristol, a pilot 20mph programme has already been extended city-wide in a £2.3m sign-only scheme.

- 17.3 In Portsmouth, where signage was utilised alone, the total scheme cost £0.57 million for a population of 200,000, whilst in Haringey where traffic calming measures were proposed, the estimated cost was £10 million for a population of 225,000.
- 17.4 Notably, the London Borough of Islington also utilised a signage only scheme at a cost of £1.6 million for a population of 200,000: the increased cost in comparison to Portsmouth was attributed to the lighting for the signs (Haringey Local Authority, 2011).
- 17.5 In Brighton, approximately £1.5 million was set aside for the whole 20mph project to be rolled out over four years. The actual budget spend for 2012/13 and 2013/14 was £326,134.68 and £333,245.36 respectively.

18. Conclusions

- 18.1 Many local authorities have implemented blanket 20mph schemes for their areas the outcomes of which have added to the evidence base. However, do they achieve their purpose and what can we actually conclude from the evidence?
- 18.2 Research into the impacts of 20mph speed limits and zones has been undertaken by Steer Davies Gleave for London Borough of Merton on behalf of the London Environment Directors' Network (LEDNet). The purpose of the study was to conduct desktop research, in order to examine the available evidence and inform future 20mph policy in London. Whilst the study focused on London, by bringing together the available evidence it can help other authorities around the UK in their decision making regarding 20mph speed limits. The conclusion of the report dated November 2014 found that reducing vehicle speeds can result in fewer and less severe collisions, particularly for vulnerable road users.
- 18.3 It also found that whilst 20mph zones appear to have been reasonably successful at reducing speeds by using physical traffic calming measures, limited resources and relaxed regulations mean that signed-only 20mph limits are now preferred. These tend to achieve smaller decreases in vehicle speeds and therefore smaller improvements in road safety. The challenge is therefore to identify imaginative and effective ways to achieve larger reductions in speeds in signed-only 20mph limits, so that road safety benefits are maximised. Undoubtedly, enforcement is required to ensure compliance, but this is only part of the solution. The key to achieving sustained and meaningful speed reductions is to change drivers' attitudes to urban driving speeds. This suggests that education and other supporting measures to change driver culture need to be an integral part of all 20mph schemes.
- 18.4 The risk of being killed or seriously injured if hit by a car travelling at 20 mph rather than 30 mph reduces significantly. What is less evident is whether the introduction of a Boroughwide 20mph speed limit on residential roads would actually achieve this aim and whether vehicles would actually comply with the new limit.

- 18.5 Statistics collected by Islington Council do suggest traffic has slowed, but only marginally. Before 20mph limits were introduced, 85% of the traffic on Islington's main roads was travelling at an average of 28mph. After the limits were introduced, this average decreased by just 1mph to 27mph. However, before and after surveys covered less than a year all told. Results from Bristol and Brighton's pilots of 20mph limits tell a similar story, with daytime speeds in Bristol dropping by around 1mph to an average of 23mph. In Brighton, the Council saw a 1mph decrease a year after 20mph speed limits were introduced in 2013, although the average speed of traffic on central roads was already 20mph.
- 18.6 The data from the current 20mph schemes in the Borough also show a mixed picture, except where the average vehicle speeds were already in the low 20mph or where there is vigorous enforcement through average speed cameras. Data from the DfT shows that the average speed on locally managed 'A roads' in Southend has been between approximately 18-19 mph for the last 7-8 years. However, these roads would not be included in a blanket 20 mph scheme and serious accidents do still occur.
- 18.7 When it comes to speeding behaviour, many people do not necessarily feel and do the same things. Data also shows that the majority of the traffic exceeds the speed limit in some of the roads within the existing 20mph zones where traffic calming features have been introduced. This is essentially a result from vehicles increasing speed between calming features. Such driver behaviour can in turn lead to more noise for local residents in the street, increased fuel consumption and detrimental effects to the environment. Moreover, other vulnerable road users become more at risk due to the perceived safety of using a road with a 20mph speed limit.
- 18.8 According to the analysis of Government data by the Institute of Advanced Motorists (IAM), the number of serious accidents on 20mph roads increased by 26% in 2014 and that the number slight accidents on 20mph roads also increased by 17%. The IAM also state that the number of serious casualties in 20mph zones also increased by 29% while slight casualties went up by 19%. This could be due to an increase in the diversity of road users now using roads within 20mph area as they have a perception that the roads are safer to use.
- 18.9 Government guidance (DfT circular 01/2013 – Setting Local Speed Limits) states that “unless a speed limit is set with support from the local community, the police and other local services, with supporting education, and with consideration of whether engineering measures are necessary to reduce speeds; or if it is set unrealistically low for the particular road function and condition, it may be ineffective and drivers may not comply with the speed limit.”
- 18.10 “A comprehensive and early consultation of all those who may be affected by the introduction of a 20 mph scheme is an essential part of the implementation process. This needs to include local residents, all tiers of local government, the police and emergency services, public transport providers and any other relevant local groups (including for example, groups representing pedestrians, cyclists, drivers, or equestrians).”

- 18.11 “It is important to consider the full range of options and their benefits, both road safety and wider community and environmental benefits and costs, before making a decision as to the most appropriate method of introducing a 20 mph scheme to meet the local objectives and the road conditions.”
- 18.12 Different road users perceive risks and appropriate speeds differently, and drivers and riders of motor vehicles often do not have the same perception of the hazards of speed as do people on foot, on bicycles or on horseback.
- 18.13 Also attitudes and actions of road users can be at odds – what people say and what they actually do can differ drastically. There is no evidence of modal shift resulting from the implementation of signed only 20 mph limits, although those that do not cycle and walk think it might make people feel safer, or that modal shift will happen as a result. There is also no evidence that people ARE safer in signed only 20mph limit areas, although there is some evidence that people may FEEL safer.
- 18.14 There is no doubt that a reduction in the speed of traffic from 30mph to 20mph and below in areas where there are high level of accidents would save lives. 20mph zones reduce speeds, directly related to the amount of traffic calming included. Thus providing they are robust they will reduce speeds, which in turn may reduce casualties, where there have been speed related casualties before. The implementation and on-going maintenance, together with public resistance to traffic calming features, significantly increases the cost of any scheme. 20 mph limits on the other hand are cheaper and only reduce speeds by a very small margin, but will not bring speeds to under 20mph, unless the pre-scheme speeds were at or below 20mph or if there is constant rigorous enforcement.
- 18.15 A blanket 20mph speed limit on residential roads will not guarantee that traffic speeds will reduce to the desired levels and should not be seen as a perfect solution to reduce the numbers of those killed or seriously injured. It should also not be seen as a tool to establish a modal shift to active travel. It could also potentially have an adverse effect due to the perception that vehicles in a 20 speed limit are actually travelling at that speed, giving a false sense of safety with an increase in more vulnerable users. Additionally, a substantial level of funding would need to be identified from existing budgets and is unclear where the additional funding will come from, particularly given the levels of savings the Council are having to make year on year.
- 18.16 The Council could consider consulting its residents, Leigh Town Council, the Police and other emergency services, local transport providers etc. on the feasibility of introducing a blanket 20 mph speed restriction in residential streets to help inform the debate. However, as mentioned above no budget provision has been identified for this. Furthermore, should there be general overall support for a blanket 20mph speed limit in residential streets, further additional funding would need to be identified from existing decreasing budgets.

18.17 The Department for Transport has commissioned a three-year, £715,000 study on their effectiveness, which will bring together data from different regions as well as new research carried out on the roads. The results of this study are due in 2017.

19. Recommendations

19.1 That Cabinet be recommended:

- (i) To note the outcome of the study;
- (ii) To wait until the results of the study by the DfT are published before considering undertaking any consultation on the introduction of a Borough wide 20mph speed restriction in all residential streets;
- (iii) To work with SERP and other agencies to reduce death and serious injury on roads in Southend;
- (iv) To consider the introduction and prioritisation of 20mph schemes, including the use of variable speed limits within the Borough where and when necessary, particularly around local schools and other appropriate locations; and
- (v) To write to the Secretary of State for Transport to suggest that they consider the merits of reducing the default urban speed limit in roads with street lighting be reduced from 30mph to 20mph.

LIST OF EXISTING 20mph SCHEMES IN THE BOROUGH

Location / Area	20mph ZONE	20mph LIMIT
Boston Avenue Area	X	
High Street - Old Leigh	X	
Milton Area	X	
Caulfield Road	X	
Chalkwell Esplanade Area	X	
Cromwell Road	X	
Westborough Area	X	
Greenways	X	
Wentworth Road	X	
Windermere Road	X	
Westcliff High Schools Area	X	
Edwards Hall School Area	X	
Temple Sutton School Area	X	
Marine Parade City Beach Area		X
Westleigh School Area		X
Tunbridge Road Area		X
Victoria Station		X
Chichester Road		X

INDEX TO PLANS OF EXISTING 20mph SCHEMES IN THE BOROUGH

- Plan 1** Boston Avenue Area 20mph Zone and Tunbridge Road Area 20mph Speed Limit
- Plan 2** High Street Old Leigh 20mph Zone
- Plan 3** Milton Area 20mph Zone, Victoria Station and Chichester Road 20mph Limits
- Plan 4** Caulfield Road 20mph Zone
- Plan 5** Chalkwell Esplanade Area 20mph Zone
- Plan 6** Cromwell Road, Wentworth Road and Temple Sutton Area 20mph Zones
- Plan 7** Westborough Area 20mph Zone
- Plan 8** Greenways 20mph Zone
- Plan 9** Windermere Road 20mph Zone
- Plan 10** Westcliff High Schools Area 20mph Zone
- Plan 11** Edwards Hall School Area 20mph Zone
- Plan 12** Marine Parade City Beach Area 20mph Limit
- Plan 13** West Leigh School Area 20mph Limit



Department for Corporate Services | Legal & Democratic Services
PO Box 6 | Civic Centre | Victoria Avenue Southend-on-Sea | Essex SS2 6ER

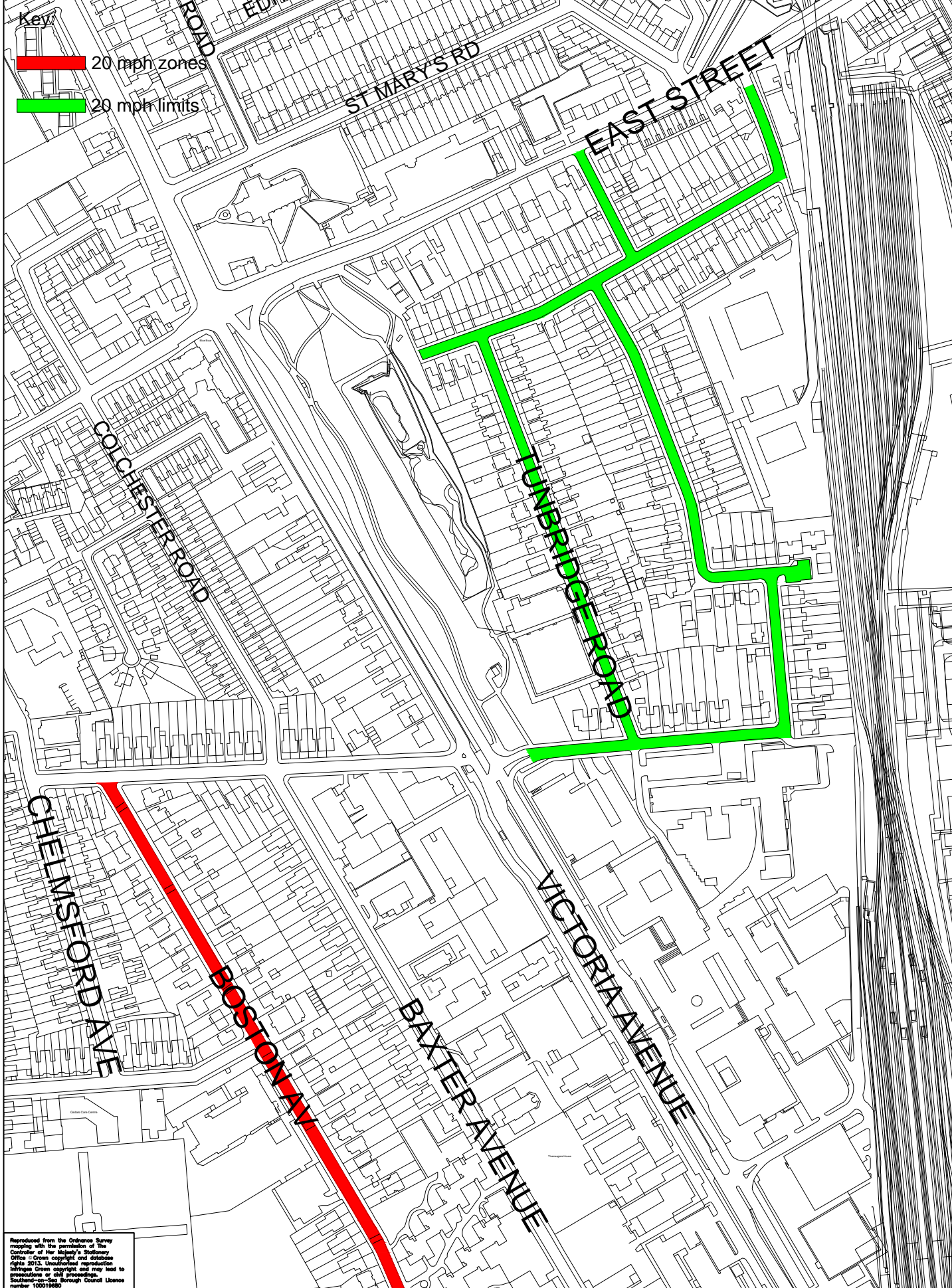
This page is intentionally left blank

Southend on Sea Borough Council

Enterprise, Tourism
and the Environment
PO Box 5560, Civic Centre
Victoria Avenue, Southend on Sea,
SS2 6ZQ

Project Title			Existing 20 mph zone & limits		Date	15/08/16	
Drawing Title			Various Roads			Quality Project No.	
Designed			Drawn by	Checked by	Approved by	Scale © A4 NTS	
			L.PEARMAIN			Drawing Number	

Drawing Status	Preliminary		Tender		Working		As Constructed
----------------	-------------	--	--------	--	---------	--	----------------



Reproduced from the Ordnance Survey
mapping with the permission of The
Controller of Her Majesty's Stationery
Office. © Crown copyright and database
rights 2013. Unauthorised reproduction
infringes Crown copyright and may lead to
prosecutions or civil proceedings.
Southend-on-Sea Borough Council Licence
number 100019880

This page is intentionally left blank

Southend on Sea Borough Council

Enterprise, Tourism
and the Environment
PO Box 5560, Civic Centre
Victoria Avenue, Southend on Sea,
SS2 6ZQ

Project Title Existing 20 mph zone

Date 15/08/16

Drawing Title High Street, Old Leigh

Quality Project No.

Scale © A4
NTS

Designed

Drawn by

Checked by

Approved by

Drawing Number

L.PEARMAIN

Drawing Status

Preliminary

Tender

Working

As Constructed

GLENDALE GARDENS

Key

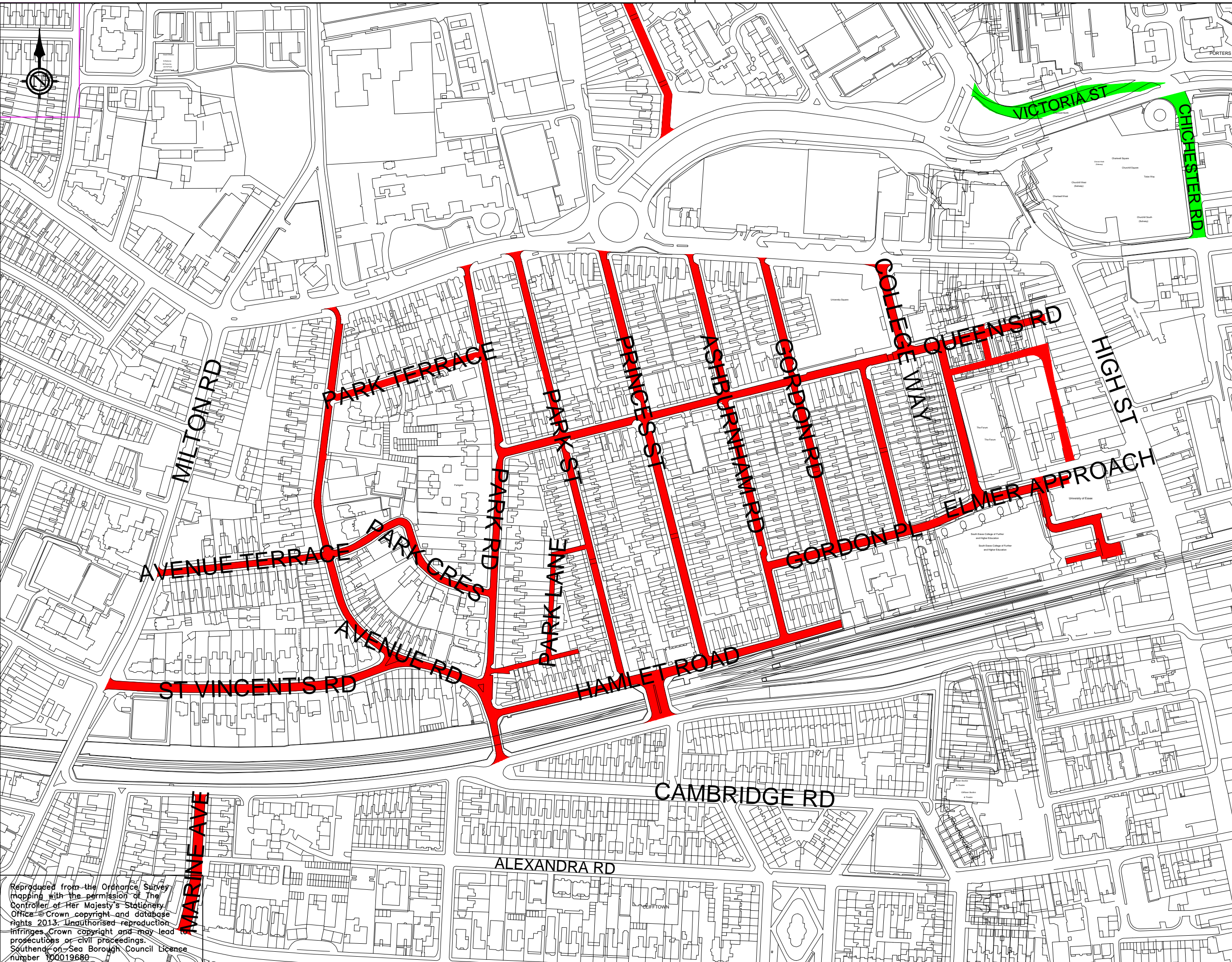
20 mph zones

20 mph limits

BROADWAY WEST

HIGH STREET OLD LEIGH

This page is intentionally left blank

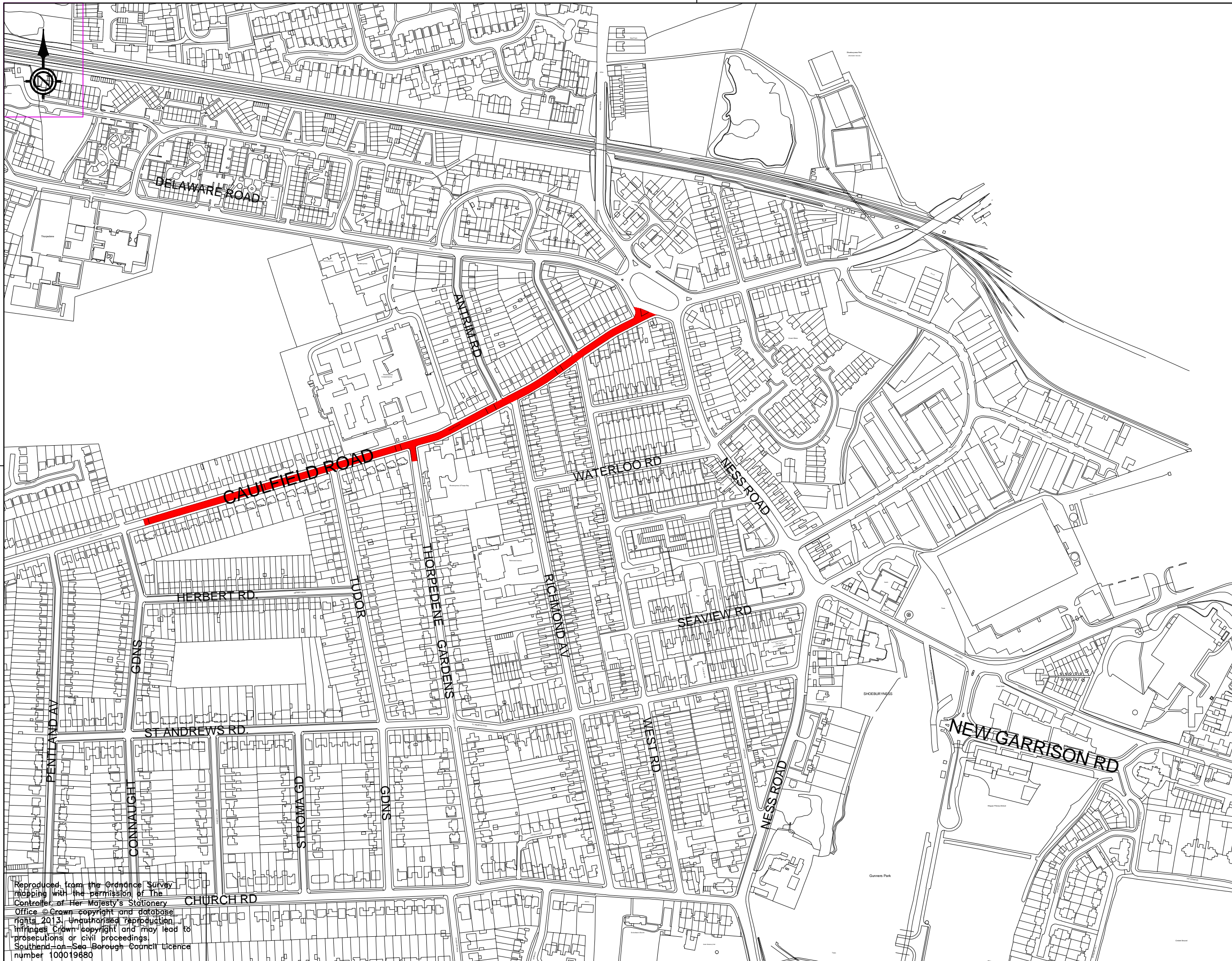


Key:
█ 20 mph zones
█ 20 mph limits

Reproduced from the Ordnance Survey mapping with the permission of The Controller of Her Majesty's Stationery Office © Crown copyright and database rights 2013. Unauthorised reproduction infringes Crown copyright and may lead to prosecutions or civil proceedings. Southend-on-Sea Borough Council Licence number 100019680

Southend-on-Sea Borough Council Enterprise, Tourism and the Environment PO Box 5560, Civic Centre Victoria Avenue, Southend on Sea, SS2 6ZQ	
Quality Project No. :	PROJECT_No
Project Title	
Existing 20 mph zones & limit	
Drawing Title	
Various Roads	
Designed by	Scales © A3
L.PEARMAIN	NTS
Drawn Date	15/08/16
Checked Date	/ /
Approved Date	/ /
Issued Date	/ /
Drawing Status	
Preliminary	Working
Tender	As Constructed
Drawing Number	

This page is intentionally left blank



Key:

█ 20 mph zones

█ 20 mph limits

Southend-on-Sea Borough Council

Enterprise, Tourism and the Environment

PO Box 5560, Civic Centre
Victoria Avenue, Southend on Sea,
SS2 6ZQ

Quality Project No. : PROJECT_No

Project Title

Existing 20 mph zones

Drawing Title

Caulfield Rd, Shoeburyness

Designed by

L.PEARMAIN

Drawn Date

15/08/16

Checked Date

/ /

Approved Date

/ /

Scales ● A3

NTS

issued Date

Drawing Status

Preliminary Working

Tender As Constructed

Drawing Number

Reproduced from the Ordnance Survey mapping with the permission of The Controller of Her Majesty's Stationery Office. Crown copyright and database rights 2013. Unauthorised reproduction infringes Crown copyright and may lead to prosecutions or civil proceedings. Southend-on-Sea Borough Council licence number 100019680

This page is intentionally left blank

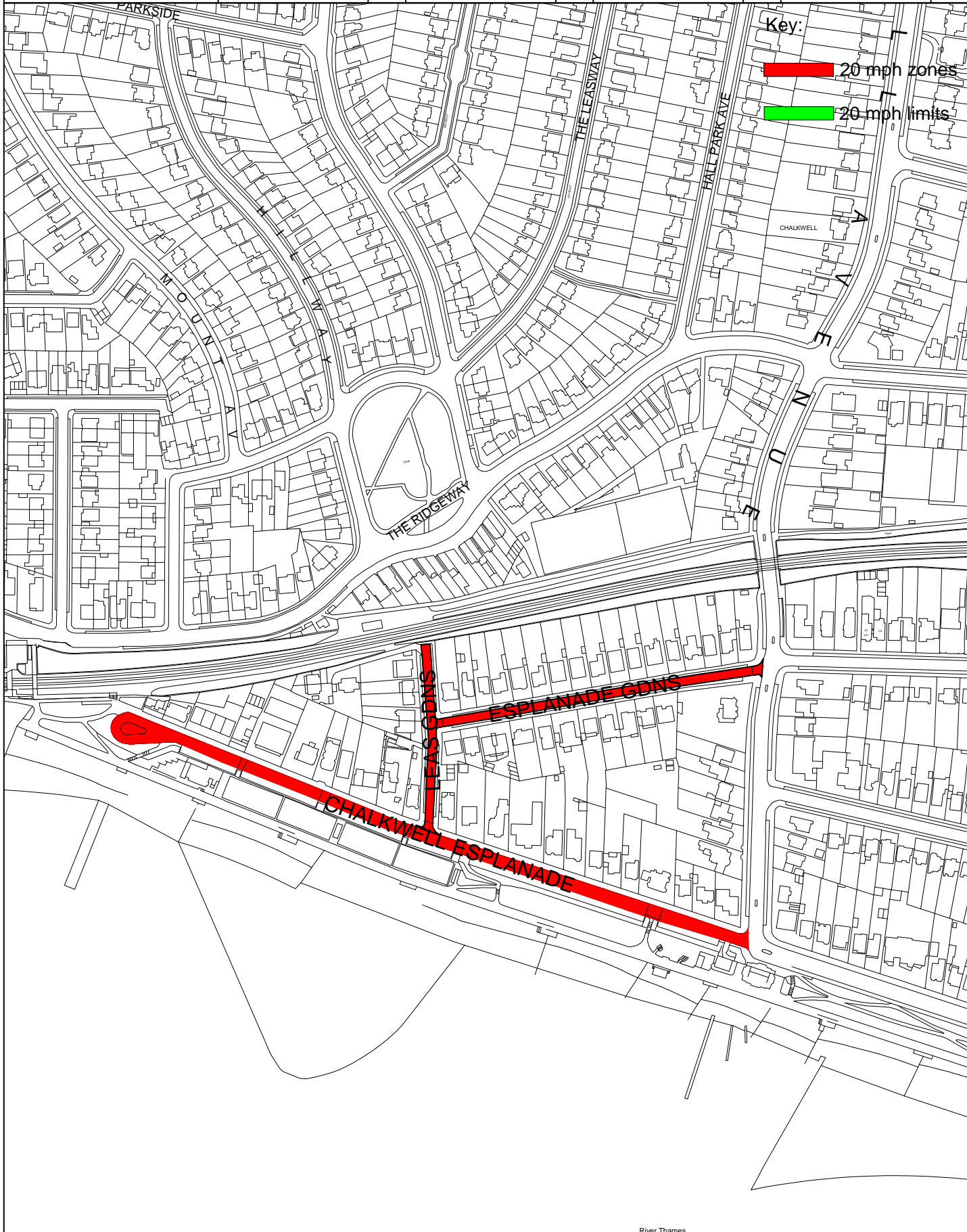
Southend on Sea Borough Council

Enterprise, Tourism
and the Environment
PO Box 5560, Civic Centre
Victoria Avenue, Southend on Sea,
SS2 6ZQ

Project Title		Existing 20 mph zone		Date	22/08/16
Drawing Title		Chalkwell Esplanade Area		Quality Project No.	
Designed		Drawn by	Checked by	Approved by	Drawing Number
		L. PEARMAIN			

Scale @ A4
NTS

Drawing Status	Preliminary	Tender	Working	As Constructed
----------------	-------------	--------	---------	----------------





Reproduced from the Ordnance Survey mapping with the permission of The Controller of Her Majesty's Stationery Office © Crown copyright and database rights 2013. Unauthorised reproduction infringes Crown copyright and may lead to prosecutions or civil proceedings. Southend-on-Sea Borough Council License number 100019880

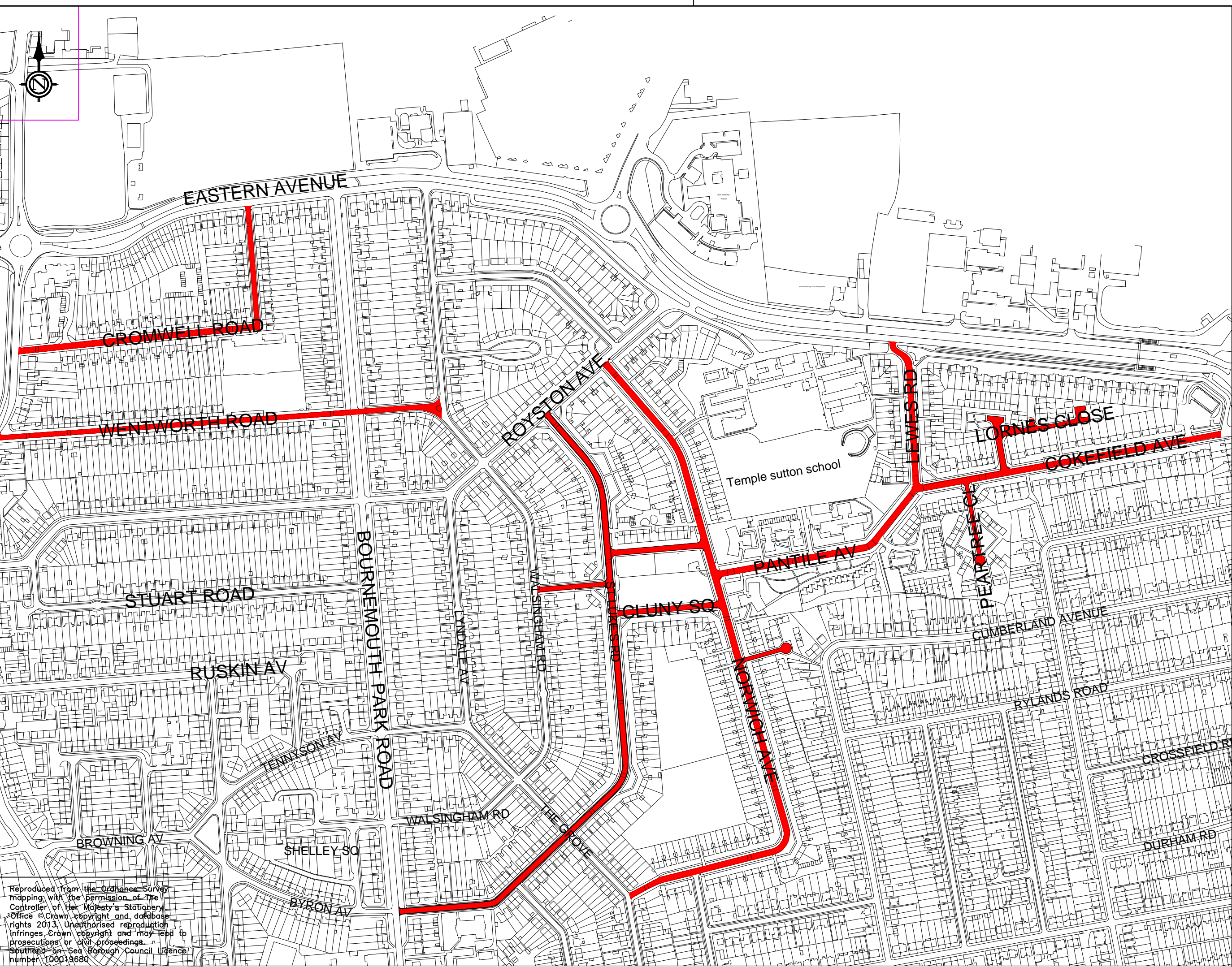
This page is intentionally left blank



Key:

 20 mph zones

 20 mph limits



Southend-on-Sea Borough Council

Enterprise, Tourism and the Environment

PO Box 5560, Civic Centre
Victoria Avenue, Southend on Sea,
SS2 6ZQ

Quality Project No. : PROJECT_No

Project Title

Existing 20 mph zones

Drawing Title

Temple Sutton School Area

Designed by L.PEARMAN Scales A3

Drawn Date 23/08/16 NTS

Checked Date

Approved Date Issued Date

Drawing Status

Preliminary Working

Tender As Constructed

Drawing Number

Reproduced from the Ordnance Survey mapping with the permission of The Controller of Her Majesty's Stationery Office © Crown copyright and database rights 2013. Unauthorised reproduction infringes Crown copyright and may lead to prosecutions or civil proceedings. Southend-on-Sea Borough Council Licence number 100019680

This page is intentionally left blank



Key:

- █ 20 mph zones
- █ 20 mph limits

Southend-on-Sea Borough Council
 Enterprise, Tourism and the Environment
 PO Box 5560, Civic Centre
 Victoria Avenue, Southend on Sea,
 SS2 6ZQ

Quality Project No. : PROJECT_No

Project Title
 Existing 20 mph zones

Drawing Title
 Westborough area

Designed by L. PEARMAN	Scales A3
Drawn Date 22/08/16	NTS
Checked Date	
Approved Date	Issued Date

Drawing Status	
Preliminary	Working
Tender	As Constructed
Drawing Number	

Reproduced from the Ordnance Survey mapping with the permission of The Controller of Her Majesty's Stationery Office. © Crown copyright and database rights 2013. Unauthorised reproduction infringes Crown copyright and may lead to prosecutions or civil proceedings. Southend-on-Sea Borough Council Licence number 00019680

This page is intentionally left blank

Southend-on-Sea Borough Council

Report of the Department of the Chief Executive
to
Cabinet

on
8 November 2016

Report prepared by: Joe Chesterton
Director of Finance and Resources

Agenda
Item No.

Capital Monitoring for 2016/17 and Revised Capital Programme 2016/17 to 2019/20
Policy and Resources Scrutiny Committee
Executive Councillor: Councillor Moring
A Part 1 Public Agenda Item

1. Purpose of Report

- 1.1 The purpose of this report is to set out the capital expenditure as at 30 September 2016 and to recommend in-year amendments to the approved Capital Programme for 2016/17 to 2019/20.

2. Recommendations

That the Cabinet recommend to Council that it;

- 2.1 Note the actual capital expenditure position as at 30 September 2016 of £22.014million as shown in Section 4 and Appendix 1.**
- 2.2 Note the financing position of the Capital programme as at 30 September 2016, as set out in Section 5 of this report.**
- 2.3 Approve the proposed changes to the Capital Programme as set out in Appendix 6 to this report.**
- 2.4 Approve the revised Capital Programme for 2016/17 to 2019/20 that results from these changes, as set out in Appendix 7.**

3. Introduction and Background

- 3.1 In February 2016 the Council approved a Capital Programme for 2016/17 to 2019/20 totalling £188.136million.
- 3.2 The Capital Outturn report (June 2016) agreed a number of schemes where there were budget under-spends but financial commitments in 2016/17. In addition, due to the Council's improved ability to deliver capital schemes, some capital expenditure due in 2016/17 was delivered early in 2015/16. These

revisions were agreed at the Cabinet meeting on 28 June 2016 resulting in a total programme for 2016/17 to 2019/20 of £191.656million.

3.3 Throughout the year changes to the approved capital programme are put forward to Cabinet for approval and also members review the latest spending position of the programme on a monthly basis. A mid-year review of the programme has also been carried out which included capital challenge sessions with each Corporate Director, led by the Executive Councillor for Corporate and Community Support Services and supported by the Director of Finance and Resources. This review was to re-align the budgets as necessary, to reflect the latest view on the delivery and funding timescales of the projects and to delete/amend schemes as necessary to assist with the financing of the overall programme.

3.4 This report sets out the capital expenditure as at 30 September 2016 and the in-year amendments to the approved Capital Programme for 2016/17 to 2019/20 with the following appendices:

- Appendix 1 - latest capital expenditure position for the financial year;
- Appendix 2 – graph showing the capital delivery over the last 5 years;
- Appendix 3 - proposed virements between approved schemes;
- Appendix 4 - proposed re-profile of budgets between years;
- Appendix 5 – new schemes financed by new external funding (e.g. s106 and other grants);
- Appendix 6 -summary of the changes to the approved Capital Programme agreed to date and proposed changes;
- Appendix 7 – amended Capital Programme for 2016/17 to 2019/20.

4. Capital Expenditure Position As at 30 September 2016

4.1 For this report, Appendix 1 shows the latest budget and the expected capital expenditure outturn position as at 30 September 2016. The departmental figures set out in this section are as at 30 September 2016 and reflect the amendments to the Council's departmental arrangements approved at the Cabinet meeting of 20 September 2016. The resulting virements, re-profiles, budget deletions and new external funding are included in the relevant attached appendices.

4.2 The revised Capital budget for the 2016/17 financial year at 30 of September was £76.576million. This includes all changes and budgets carried forward from the previous year as agreed as part of the 2015/16 capital outturn report at June Cabinet. Actual Capital spend at 30 September was £22.014million. (Outstanding creditors totalling £0.800million have been removed from this figure.) The budget and spend to date is broken down by Department as follows:

Department	Revised Budget 2016/17 £'000	Actual 2016/17 £'000	Expected outturn 2016/17 £'000	Expected Variance to Revised Budget 2016/17 £'000
Chief Executive	11,861	218	9,489	(2,372)
People	14,329	8,740	12,612	(1,717)
Place	39,456	9,786	34,761	(4,695)
Housing Revenue Account (HRA)	10,930	3,270	8,881	(2,049)
Total	76,576	22,014	65,743	(10,833)

Since June Cabinet, there have been further revisions proposed to include additional external funding and re-profiling of existing budgets between years and these will be considered for approval as part of this report.

4.3 Department of the Chief Executive

4.3.1 The revised capital budget for the Department of the Chief Executive is £11.861million. The budget is distributed across various scheme areas as follows:

Department of the Chief Executive	Revised Budget 2016/17 £'000	Actual 2016/17 £'000	Expected outturn 2016/17 £'000	Expected Variance to Year End 2016/17 £'000
Queensway	1,142	45	1,142	-
Tickfield	2	-	2	-
Asset Management (Property)	9,373	95	7,137	(2,236)
Cemeteries & Crematorium	928	78	792	(136)
Subtotal	11,445	218	9,073	(2,372)
Priority Works (see table)	416	-	416	-
Total	11,861	218	9,489	(2,372)

Priority Works	£'000
Budget available	500
Less budget allocated to agreed schemes	(84)
Remaining budget	416

4.3.2 Actual spend at 30 September stands at £0.218million. This represents 2% of the total available budget.

4.3.3 **Queensway**

The Ground Penetrating Radar scheme of £142k is focused on determining the location of gas pipes, electricity cables and drainage around the Queensway site. Cat surveys have completed the footway element and moved onto the verification stage of the carriageway element along with the underground car park adjacent to the tower blocks. The remaining budget of £1million relates to an allowance for commercial property buy back and a project budget for the scheme in 2016/17.

4.3.4 **Tickfield**

All building works have now been completed at Tickfield and the final account is the only outstanding cost.

4.3.5 **Asset Management (Property)**

A scheme to demolish the existing Southend Library car park and construct a new one is taking place in 2016/17 and utility mapping, topographical surveys and laser scanning have already taken place. The new building will increase capacity for parking spaces and earn additional income.

The scheme to redevelop the Civic East car park will take place following the Library car park reconstruction. £85k of this budget is included as a carry forward request in this report to take account of the scheme continuation into 2017/18.

Planning has not yet been submitted for the scheme to discharge the East of England Development Agency agreement and it is unlikely this will progress during 2016/17. The full budget of £164k is included as a carry forward request in this report.

The progress of the Seaways Development Enabling works is currently subject to quotes and planning therefore £187k of the £1.950million budget is included as a carry forward request in this report.

Various options have been explored for the development of the land at 16 Brunel Road however nothing commercially viable is yet developed to progress. Work continues with PSP Southend LLP and via other routes but no expenditure is planned for 2016/17. The full budget of £50k is included as a carry forward request in this report.

£850k has now been committed on the Airport Business Park scheme for pitch construction and archaeology. A commitment for road and services infrastructure is also expected during November however due to delays on S106 and S278 agreements, £1.750million is included as a carry forward request in this report in line with the expected spend profile.

An allocation from the Priority Works budget of £12k has been vired to the Urgent Works to Property scheme in this report to carry out further works on the Pier Arches.

4.3.6 Cemeteries and Crematorium

A scheme to improve the crematorium grounds and replace the aged Pergola Walk is taking place in 2016/17 to include memorials and interment units within the supporting structure. The contract has now been awarded with a start date scheduled for 2 January 2017.

Screening and removal of surplus soil on the new burial site is now complete. The landscaping and setting out of the new extension works are now able to commence. £78k of the budget has been removed from the capital programme in this report due to the lack of suitable sites available for purchase.

The Perimeter Security Improvements scheme is progressing well. Works for the installation of the access swipe panels around the new barriers and additional cameras to the underground car park ramp took place at the beginning of October.

The scheme for cremator hearth replacement will be going ahead towards the end of the financial year and an accelerated delivery request of £12k is included in this report to finance this.

The scheme to connect the Cemetery Lodge and Crematorium to the mains server is not going ahead due to cost implications. The full budget of £70k has been removed from the capital programme in this report.

4.3.7 Priority Works

The Priority works provision budget currently has £416k remaining unallocated.

4.3.8 Summary

Carry forward requests included in this report are the Airport Business Park for £1.750m, Capital Allocation to Discharge the EEDA Agreement for £164k, Civic East Car Park Redevelopment for £85k, 16 Brunel Road for £50k and Seaways Development Enabling Works for £187k.

An accelerated delivery request of £12k for the Cremator Hearth Replacement scheme is also included in this report.

The Cemetery Lodge and Crematorium connection to mains server scheme budget of £70k and the New Burial Ground budget of £78k has been removed from the capital programme in this report.

4.4 Department for People

4.4.1 The Department for People revised Capital budget totals £14.329million.

Department for People	Revised Budget 2016/17 £'000	Actual 2016/17 £'000	Forecast outturn 2016/17 £'000	Variance to year end 2016/17 £'000
Adult Social Care	1,166	37	681	(485)
General Fund Housing	2,037	396	1,487	(550)
Children & Learning Other	86	-	64	(22)
Condition Schemes	1,215	437	992	(223)
Devolved Formula Capital	288	269	288	-
Primary and Secondary School Places	9,537	7,601	9,100	(437)
Total	14,329	8,740	12,612	(1,717)

4.4.2 Actual spend at 30th September stands at £8.740million. This represents 61% of the total available budget.

4.4.3 Adult Social Care

The Community Capacity grant is used to enable vulnerable individuals to remain in their own homes and to assist in avoiding delayed discharges from hospital. Plans for 2016/17 include the development of an independent living centre, investment in technology and extra care provision. A carry forward request of £291k has been included in this report to continue these schemes into 2017/18.

A carry forward request of £194k has also been included in this report for the Delaware and Priory scheme.

4.4.4 General Fund Housing

The Private Sector Renewal scheme is in place to ensure that the private sector stock is kept in a good condition. A carry forward request of £300k is included in this report in line with expected spend for 2016/17.

The Empty Dwellings Management scheme is currently concentrating on bringing more empty homes back into use. £120k spend is forecast on three current properties with a carry forward request of £200k included in this report.

Minimal works are in the pipeline for the Works in Default enforcement scheme therefore a carry forward request of £50k is included in this report.

4.4.5 Children & Learning Other Schemes

Retentions of £57k are being held for Kingsdown Special School roof works and will be paid once outstanding snagging and defects works are completed and fully signed off. This figure is included in the creditors shown above. The remaining budget of £22k has been removed from the programme in this report.

4.4.6 Condition Schemes

A budget of £1.215m has been allocated to address larger conditions in schools where the cost is over the schools capabilities to fund. Most of these works have been undertaken over the school summer holidays to minimise disruption to the schools. Retentions of £17k are being held for works completed last year at seven primary schools.

Budgets for works at Futures Community College totalling £310k has been removed from the programme in this report due to the schools recent conversion to academy.

Works on fire systems at Hamstel Junior School took place over the summer holidays and an additional budget of £3k will be added to the programme at November Cabinet to be funded from unallocated maintenance grant. This will cover the additional cost of works which took place. Works to the windows at Hamstel Junior School have taken place in full this financial year therefore an accelerated delivery request of £84k has also been included in this report.

4.4.7 Devolved Formula Capital

This is an annual devolution of dedicated capital grant to all maintained schools. The grant for 2016/17 is £288k. This grant amount will reduce as further maintained schools convert to academy status.

4.4.8 Primary and Secondary School Places

The primary expansion programme is now complete with the final two projects at St Helen's Catholic and St Mary's Primary Schools handed over. A review of places available against forecast demand will be done on an annual basis. If a need is identified, a further expansion of primary places will be explored to ensure that the Council's statutory duty to provide a good school place for all those that request it can be met. A secondary expansion programme is now in the beginning stages to ensure that the extra places supplied in primary are matched in secondary as they are needed. As part of this expansion programme, the PROCAT building in Southchurch Boulevard has now been purchased. Improvements to Special Education Needs and Pupil Referral Unit accommodation are also in the planning stages. A further £126k is also being held as retention payments against works completed in the previous financial year on primary expansion projects.

Underspends for schemes at Hamstel Primary and Thorpe Greenways Primary Schools have been removed from the programme in this report. These budgets total £273k and £93k respectively.

A carry forward request of £72k for the expansion of two year old childcare places has also been included in this report.

A budget of £1k has been vired from the S106 Elm Gate scheme in the Department for Place as a contribution towards the Secondary School Places scheme.

4.4.9 Summary

Carry forward requests include in this report are Community Capacity for £291k, LATC Delaware and Priory for £194k, Empty Dwellings Management for £200k, Private Sector Renewal for £300k, Works in Default Enforcement for £50k and Expansion of two year old Childcare Places for £72k.

An accelerated delivery request of £84k has also been included in this report for Hamstel Juniors Windows.

Budgets removed from the Capital Programme in this report include Kingsdown Phase One for £22k, Futures College for £310k, Hamstel Primary Places for £273k and Thorpe Greenways Places for £93k.

A budget of £3k has been added to programme for Hamstel Junior School fire systems.

£1k has been vired from S106 in Place to the Secondary School Places scheme.

4.5 Department for Place

4.5.1 The Department for Place have a revised capital budget of £39.456million. Budget and spend breakdown of the key capital schemes are tabulated below.

Department for Place	Revised Budget 2016/17 £'000	Actual 2016/17 £'000	Expected outturn 2016/17 £'000	Expected Variance to Year End 2016/17 £'000
Culture	2,878	394	1,893	(985)
ICT Programme	5,374	1,430	5,030	(344)
Enterprise, Tourism & Regeneration	4,355	1,535	3,335	(1,020)
Coastal Defence and Foreshore	721	235	881	160
Highways and Infrastructure	10,585	3,105	10,585	-
Parking Management	334	19	334	-
Section 38 & 106 Agreements	2,050	358	779	(1,271)
Local Transport Plan	3,013	1,117	3,013	-
Local Growth Fund	6,511	1,393	6,086	(425)
Transport	510	29	510	-
Energy Saving Projects	3,125	171	2,315	(810)
Total	39,456	9,786	34,761	(4,695)

4.5.2 Actual spend at 30th September stands at £9.786million. This represents 25% of the total available budget.

4.5.3 Culture

Works to undertake the reinstatement and stabilisation of Belton Hill steps are now underway. Procurement is now underway for the appointment of a geo-technical engineer although due to pressures this is taking longer than expected. A carry forward request of £50k has been included in this report to reflect these delays.

Architects have been appointed for Leigh Library as part of the Library Review scheme and the final works at Westcliff Library are on schedule. A carry forward request of £100k has been included in this report as the works are likely to continue into 2017/18.

Works on the New Museum Gateway Review scheme are not likely to take place in 2016/17 therefore the full budget of £500k has been included as a carry forward request in this report.

The publication for the Prittlewell Prince Research scheme has been delayed and the full budget of £38k will be required in 2017/18 therefore a carry forward request has been included in this report.

The Pump Priming budget of £333k is to be used as match funding for a bid to the Heritage Lottery Fund for works on Southchurch Hall. The bid is still at the development stage therefore the full budget has been carried forward in this report.

A bid for external funding is being prepared for works at Southchurch Park Bowls Pavilion and there is currently £20k in the budget to match fund this. It is unlikely that the bid will be finalised in 2016/17 therefore the full budget will be required in 2017/18 and a carry forward request has been included in this report.

A new budget of £56k to be funded from revenue contributions has been added to the capital programme in this report in respect of the purchase of three bronze Dutch fortress cannons.

4.5.4 ICT Programme

A combination of budgets from various schemes totalling £581k are included in this report to be transferred to the Data Centre scheme. This will be used to purchase internet connectivity devices. These budgets include Borough Broadband for £100k, GCSx Mail update for £25k, ICT Enterprise Agreement for £200k, ICT E-Procurement Solution for £76k, ICT Rolling Replacement Programme for £50k, Public Health My Health Tools for 80k and Public Health Advance Health Analysis for £50k.

The scheme to deliver a robust Social Care case management system is well underway with a full suite of test systems now available for use. The budget for 2016/17 is £1.4million and projected spend is currently on target. The data migration for Children's has been completed for phase two and the installation of the live environment for financial assessments in Adults has now been implemented.

A project to review the end to end process for reports and requests received by the Council in respect of waste, public protection, highways and parking related matters is now underway which has commenced with waste during August. This scheme has a view for self-serve automation and the removal of manual intervention from the process. This element of the project is scheduled to go live in February 2017 to ensure that all forms are live at the same time.

The DEFRA Inspire budget of £4k has been included as a carry forward request in this report to continue the scheme into 2017/18.

The Wireless Borough and City Deal scheme is still in the initiation stage therefore £340k of the current budget has been included as a carry forward request in this report.

4.5.5 Enterprise, Tourism & Regeneration

The Regeneration projects include all the work currently taking place on Southend Pier and the City Deal Incubation Centre as well as the Coastal Communities Fund.

Work is on-going for the design to maximise opportunity of additional office space at the Incubation Centre. These works are subject to funding confirmation from the Environment for Growth (E4G). Spend is not expected during 2016/17 therefore the full budget of £44k has been included as a carry forward request in this report.

The Three Shells Lagoon is complete and was officially opened on 21 July. The only outstanding works relate to a toilet block which is scheduled for completion in early November 2016.

Several projects are planned for 2016/17 under the Property Refurbishment Programme including works at Priory Park yard, Campfield Road toilets, Belfairs Park drainage investigations and Central Museum windows. Some of these works require listed building approval therefore they are likely to take place later in the year.

The Prince George extension works involve concrete trials which will be going ahead in 2016/17 at a cost of approximately £200k. The tenders are going out in October with a view to starting works in November. The remaining budget will be required once the trial is completed which is likely to be in 2017/18 therefore a carry forward request of £976k has been included in this report.

4.5.6 Coastal Defence and Foreshore

The cliff stabilisation scheme on Clifton Drive is working to remediate the cliff slip and reinforce it against further slippage. The project has progressed substantially and is approaching completion. Installation of the final section of cascade stairs commenced on 10th October and the contractor will be adjusting the footway levels to suit. All other areas on the site are now open and final landscaping works will take place before the end of the financial year.

Funding totalling £160k from the Environment Agency has been received as part of the Southend Shoreline Strategy. Strategy development is currently underway and a budget of £160k has been added to the programme in this report.

4.5.7 Highways and Infrastructure

A scheme to invest in the highways infrastructure to reduce long term structural maintenance and improve public safety has been approved for 2016/17. The

works are based on priorities identified by the outcome of the asset management condition survey. Four out of five of the schemes have now been completed with the final scheme to be completed by the end of October.

A grant of £65k has been received from the Department for Transport for the repair of potholes throughout the Borough. This grant has been secured for the next 5 years.

The Street Lighting budget is a multi-million pound, multi-year scheme to be part funded by the Challenge fund from the Department for Transport. The luminaires installation is expected to complete by the end of October. Works to replace concrete columns on the seafront have commenced and the completion date is scheduled by the end of January 2017. 20 base stations have now been installed as part of the Central Management System (CMS) works.

4.5.8 Parking Management

A new scheme to improve car park surfacing, structures and signage and to replace pay and display machines in order to maximise capacity and usage is taking place in 2016/17. The scheme will aim to rationalise and upgrade pay and display equipment across all car parks, surface improvements at East Beach, lighting upgrades at Belton Gardens and layout alterations to improve accessibility and security at University Square. A new contract is in place and detailed plans for car park improvements are underway.

4.5.9 Section 38 and Section 106 Schemes

There are a number of S38 and S106 schemes all at various stages. The larger schemes include works to Shoebury Park enhancement and Fossetts Farm bridleway works.

Schemes totalling £1.245million have been identified as taking place in 2017/18 and a carry forward request has been included in this report.

The Lidl Progress Road works took place in a previous financial year therefore the budget of £26k will be removed from the programme in this report.

4.5.10 Local Transport Plans (LTP Schemes)

The Local Transport Plan schemes cover various areas including better networks, traffic management, better operation of traffic control systems and bridge strengthening.

4.5.11 Local Growth Fund

The A127 Growth Corridor projects will support the predicted growth associated with London Southend Airport and the Joint Area Action Plan (JAAP) proposals developed by Southend, Rochford and Essex County Councils to release land and create 7,380 high value jobs. The improvement will also support background growth of Southend and Rochford.

The final business case for A127 Kent Elms junction improvements has been approved by the South East Local Enterprise Partnership to draw down the

2016/17 funding. Further work is underway for the final bridge and highways maintenance business cases for 2016/17 onwards.

The 2016/17 works on Kent Elms are focusing on the design and construction of the main works. The final design has now been agreed. Highways works tender documents have now been received and are currently being assessed.

The works to the Bell junction will be focusing on options to put forward for the business case. Pedestrian surveys have now been commissioned.

Bridge and Highway Maintenance works will be focusing on investigation works for improvements to the A127 corridor and supporting Kent Elms works. Surfacing is now complete to the east bound section of the A127 from boundary to just prior to the Progress Road improvement works and in the vicinity of Bellhouse Lane. Further surveys for drainage, traffic data, lighting and safety barriers are yet to be undertaken.

A carry forward request of £425k has been included in this report on the A127 Growth Corridor scheme to continue works into the new financial year.

4.5.12 Transport

The final account is still being negotiated with the contractor for the main works on the A127 Tesco junction improvements. The Road Safety Audit report has been reviewed with minor adjustments being carried out on traffic signals as necessary.

Minor adjustments to traffic signals on Progress road are yet to be completed.

Southend Transport Model is an on-going scheme to support various multi modal transport projects.

4.5.13 Energy Saving Projects

The ventilation for the Beecroft and Central Museum Energy project is currently in final design. The lift installation has been slightly delayed therefore £200k of the current budget has been included as a carry forward request in this report.

As part of the Energy Efficiency Projects, surveys on the pier and three lighting schemes are currently being finalised. £150k of the current budget will be required in 2017/18 therefore a carry forward request has been included in this report.

The Solar PV Project is currently at the tender stage. Some of the works are likely to take place in 2017/18 therefore a carry forward request of £460k has been included in this report.

The solar panels at Southend Adult Community College and Temple Sutton School are now live and the efficiency elements works took place over the summer. Planning permission has been received for the biomass boiler at Southend Adult Community College and the works are taking place during October 2016. The pool cover and heat pump for Temple Sutton Primary School has been designed and agreed with the school.

4.5.14 Summary

Carry forward requests included in this report are Library Review for £100k, New Museum Gateway Review for £500k, Prittlewell Prince Research for £38k, Pump Priming for £333k, Southchurch Park Bowls Pavilion for £20k, Belton Hill Steps for £50k, DEFRA Inspire for £4k, Wireless Borough and City Deal for £340k, City Deal Incubation Centre for £44k, Prince George extension works for £976k, S106/S38 schemes for £1.245million, A127 Growth Corridor for £425k, Beecroft and Central Museum Energy project for £200k, Energy Efficiency Projects for £150k and Solar PV Projects for £460k.

Budgets have been added to the programme for Southend Shoreline Strategy for £160k and Dutch Fortress Cannons for £56k.

Budgets totalling £581k from various ICT budgets have been vired to the ICT Core Infrastructure scheme to fund the Data Centre project.

£26k will be removed from the programme for the S106 Lidl Progress Road works.

4.6 Housing Revenue Account

4.6.1 The revised budget for the Housing Revenue Account capital programme for 2016/17 is £10.930million. The latest budget and spend position is as follows:

Housing Revenue Account	Revised Budget 2016/17 £'000	Actual 2016/17 £'000	Expected outturn 2016/17 £'000	Forecast Variance to Year End 2016/17 £'000
Decent Homes Programme	6,958	1,428	4,919	(2,039)
Council House Adaptations	500	195	500	-
Sheltered Housing Remodelling	345	-	345	-
Other HRA	3,127	1,647	3,117	(10)
Total	10,930	3,270	8,881	(2,049)

4.6.2 The actual spend at 30th September of £3.270million represents 30% of the HRA capital budget.

4.6.3 Decent Homes Programme

The works being undertaken now relate to Decent Homes failures which occur within the financial year and no works are being undertaken in advance. There is also a need to undertake more infrastructure works such as structural integrity works of blocks and common areas. These types of works require more detailed surveying and planning. Due to this change, the Decent Homes Programme will be reduced in 2016/17 by £1.069million and this has been included in this report. Carry forward requests have also been included for £400k on the Environmental Health and Safety works scheme and £570k on the Common Areas Improvements Scheme.

4.6.4 Council House Adaptions

This budget relates to minor and major adaptations in council dwellings. Spend depends on the demand for these adaptations and works are currently in progress for 2016/17.

4.6.5 Sheltered Housing Remodelling

A proposal for the use of this budget will go forward to November Cabinet and more details will be known if these works are approved.

4.6.6 Other HRA

The plan for the HRA Land Review scheme is to construct 18 housing units within the Shoeburyness ward. Building works are progressing well. All

external brickwork is now complete on all sites and the contractor gave the 8 week notice for completion on 26 September for Exeter Close and Bulwark Road. A total of four three bedroom houses and one two bedroom house are scheduled for hand over on week commencing 14 November. Other sites are progressing well with a schedule for completion by spring 2017 for part of Ashanti and a phased delivery for the remainder of this site.

The final account for the new build at 32 Byron Avenue has now been paid and the remaining budget of £10k has been removed from the programme in this report.

4.6.7 **Summary**

Carry forward requests included in this report are for £400k on the Environmental Health and Safety works and £570k on the Common Area Improvements.

Budgets removed from the capital programme in this report include Decent Homes projects for £1.069million and 32 Byron Avenue for £10k.

5 Capital financing position as at 30 September 2016

5.1 The Capital programme for 2016/17 is expected to be financed as follows:

Department	External Funding			Total Budget £'000
	SBC Budget	Grant Budget	Developer & Other Contributions	
	£'000	£'000	£'000	
Chief Executive	11,667	-	194	11,861
People	7,696	6,633	-	14,329
Place	24,124	13,121	2,211	39,456
Housing Revenue Account (HRA)	10,768	109	53	10,930
Total	54,255	19,863	2,458	76,576

The funding mix for the total programme could change depending on how much grant and external contributions are received by the Council by the end of the year.

5.2 The grants and external contributions received as at 30 September are as follows:

Department	Grant Budget	Developer & Other Contribution Budget	Total external funding budget	External funding received	External funding outstanding
	£'000	£'000	£'000	£'000	£'000
Chief Executive	-	194	194	-	194
People	6,633	-	6,633	5,441	1,192
Place	13,121	2,211	15,332	7,379	7,953
Housing Revenue Account (HRA)	109	53	162	31	131
Total	19,863	2,458	22,321	12,851	9,470

5.3 New Schemes to be financed by new external funding are set out in appendix 5.

6 Summarised Changes (as set out in appendix 6)

6.1 On 25 February 2016 the Capital Programme for the Council was approved as follows:

2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Current Budget £000
73,450	53,897	34,422	26,367	188,136

6.2 On 28 June 2016 members approved further changes which subsequently changed the 2016/17 budget from £73.450million to £76.576million. These changes included the carry forward and accelerated delivery of previous year's programme of £1.411million. Also included were budget re-profiles and adjustments totalling £0.134million and new external funding of £1.911million and other adjustments of £0.062million.

6.3 On 28 June 2016 the Capital Programme for the Council was approved as follows:

2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Current Budget £000
76,576	51,995	36,988	26,097	191,656

6.4 Following the capital challenge sessions in October further changes are now requested which will amend the capital budgets.

6.5 For 2016/17 this means the budget changing to £65.743million. The changes include the removal of budgets identified as no longer required totalling £1.951million and a new budget of £56k relating to the purchase of three bronze Dutch fortress cannons to be funded from revenue contributions. There is also a change of name requested for the Eastwood Schools Energy Project to 'Schools and Council Buildings Solar PV'.

6.6 Additionally the 2017/18 budget is requested for amendment and includes the removal of budgets identified as no longer required totalling £2.353million.

The changes to the programme also include the following:

6.7 Virement requests (as set out in appendix 3)

This is reported in appendix 3 and it is to ensure that budgets are properly aligned to schemes. There is no change to the overall budget and there are no adverse financial implications as a result of these virements.

6.8 Re-profile Request (as set out in appendix 4)

The funding profiles of a number of schemes have been revised in line with actual works. This is to ensure that the actual works undertaken or earmarked is aligned to spend profile of the budget. This will have the effect of carrying forward £12.398million from 2016/17 into 2017/18 and later years and an accelerated spend of £96k in 2016/17 which will be financed from the 2017/18 programme. This does not alter the overall budget for the programme.

6.9 New Schemes Financed by new external funding (as set out in appendix 5)

There is new funding of £3.364million to support programmes in 2016/17 and £0.382million to support programmes in 2017/18.

6.10 The impact on the programme of the capital challenge sessions and other amendment requests is as follows:

2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Current Budget £000
65,743	61,612	37,471	26,328	191,154

The proposed changes are set out in Appendix 6 and the revised Capital Programme for 2016/17 to 2019/20 that results from these changes is set out in Appendix 7.

7. Spending Plans

7.1 The Council's revised Capital Programme for 2016/17 to 2019/20 and later years is attached as Appendix 7 which includes all of the adjustments set out in Appendix 6.

7.2 The proposed capital programme represents a significant investment of £191million on the part of the Council in the Southend area and the projected investment in 2016/17 alone amounts to some £66million.

8. Other Options

8.1 The proposed Capital Programme is made from a number of individual projects, any of which can be agreed or rejected independently of the other projects.

9. Reasons for Recommendations

9.1 To approve proposed changes to the Capital Programme since the last Cabinet meeting on 28 June 2016.

10. Corporate Implications

10.1 Contribution to Council's Vision & Corporate Priorities

The projects directly contribute to the delivery and achievement of the Councils Corporate Priorities.

10.2 Financial Implications

As set out in the report.

10.3 Legal Implications

None at this stage.

10.4 People Implications

None at this stage.

10.5 Property Implications

None at this stage.

10.6 Consultation

Consultation has taken place as agreed in the budget timetable.

10.7 Equalities and Diversity Implications

Assessments have been carried out for all capital investment proposals.

10.8 Risk Assessment

All capital projects are delivered using best practice project management tools as appropriate. This requires a full risk assessment and management review to be carried out. The programme includes an appropriate sum within each project to cover build risk and claims.

10.9 Value for Money

All projects are required to follow and adhere to procurement guidance issued by the Council. They must also comply with procedure rules for entering into and managing contracts with suppliers.

10.10 Community Safety Implications

Assessments have been carried out for all capital investment proposals where appropriate.

10.11 Environmental Impact

Assessments have been carried out for all capital investment proposals where appropriate.

11. Background Papers

None.

12. Appendices

Appendix 1 - latest capital expenditure position for the financial year;

Appendix 2 - graph showing the capital delivery over the last 5 years;

Appendix 3 - proposed virements between approved schemes;

Appendix 4 - proposed re-profile of budgets between years;

Appendix 5 – new schemes financed by new external funding (e.g. s106 and other grants);

Appendix 6 - summary of the changes to the approved capital programme agreed to date and proposed changes;

Appendix 7 – amended Capital Programme for 2016/17 to 2019/20.

This page is intentionally left blank

Summary of Capital Expenditure at 30th September 2016

Appendix 1

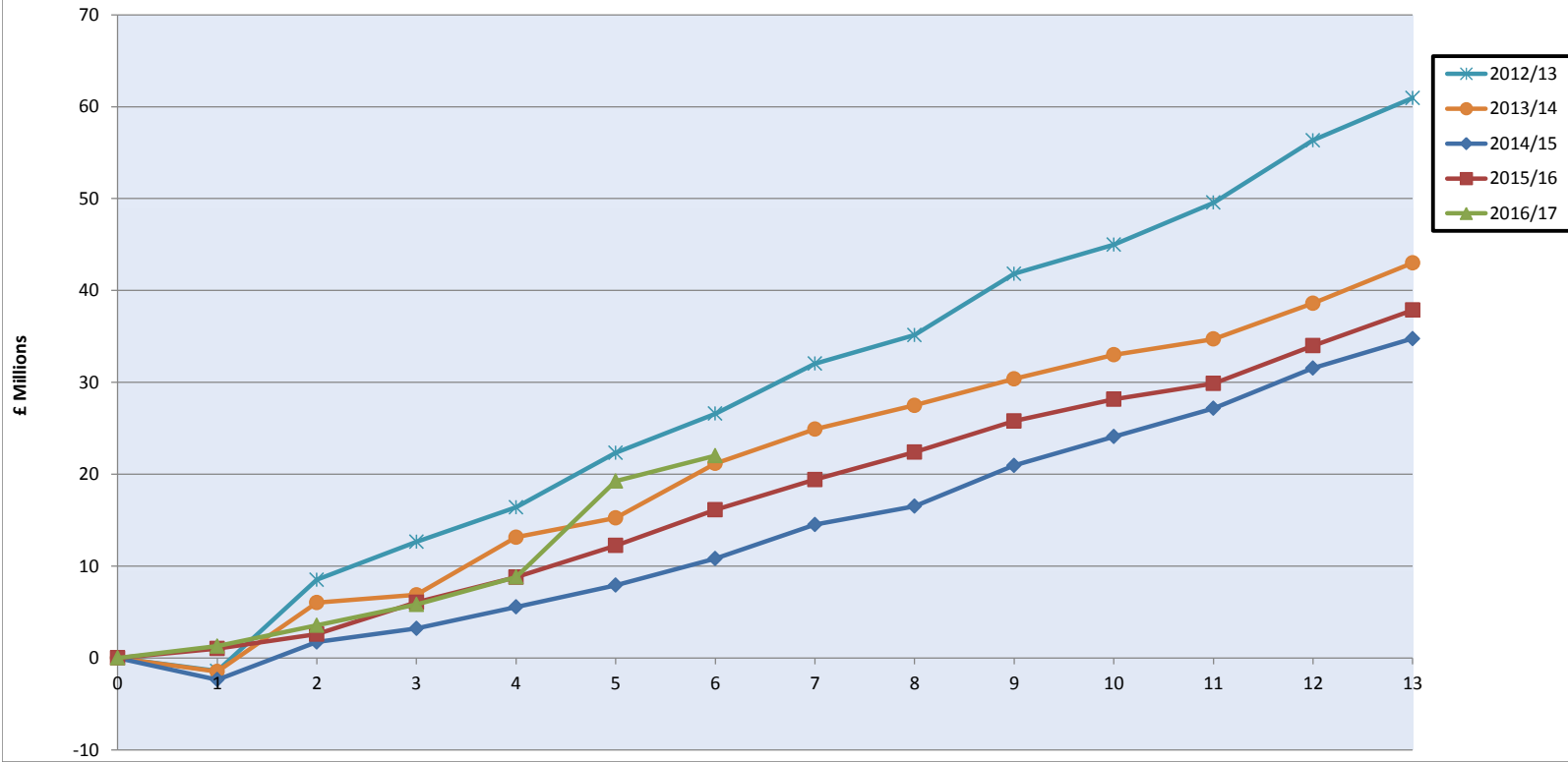
	Original Budget 2016/17	Revisions	Revised Budget 2016/17	Actual 2016/17	Forecast outturn 2016/17	Forecast Variance to Year End 2016/17	% Variance
	£000	£000	£000	£000	£000	£000	
Chief Executive	11,459	402	11,861	218	9,489	(2,372)	2%
People	13,365	964	14,329	8,740	12,612	(1,717)	61%
Place	37,853	1,603	39,456	9,786	34,761	(4,695)	25%
Housing Revenue Account	10,773	157	10,930	3,270	8,881	(2,049)	30%
	<u>73,450</u>	<u>3,126</u>	<u>76,576</u>	<u>22,014</u>	<u>65,743</u>	<u>(10,833)</u>	<u>29%</u>
Council Approved Original Budget - February 2016	73,450						
Chief Executive amendments	100						
People amendments	-						
Place amendments	(162)						
HRA amendments	-						
Carry Forward requests from 2015/16	4,218						
Accelerated Delivery requests to 2015/16	(2,807)						
Budget re-profiles (June Cabinet)	(134)						
New external funding	1,911						
Council Approved Revised Budget - June 2016	<u>76,576</u>						

Actual compared to Revised Budget spent is £22.014M or 29%

This page is intentionally left blank

Appendix 2

Capital programme Delivery
Cummulative Capital Expenditure 2012/13 to 2016/17



Year	Outturn £m	Outturn %
2012/13	61.0	97.9
2013/14	43.3	93.8
2014/15	34.8	83.8
2015/16	37.9	97.0

This page is intentionally left blank

VIREMENTS BETWEEN APPROVED SCHEMES

Appendix 3

Scheme/Event	Department	Project Code	Project Description	2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Budget (all years) £000
Asset Management	Chief Executive	C10604	Pier Arches Remedial works	(6)				(6)
	Chief Executive	C10734	Pier Arches toilets - waterproofing solution	6				6
	Chief Executive	C10743	Pier Arches Pier Enhancement Scheme	(1)				(1)
	Chief Executive	C10734	Pier Arches toilets - waterproofing solution	1				1
	Chief Executive	C10674	East Street Cottages	(23)				(23)
	Chief Executive	C10181	Urgent Works To Property	23				23
Adult Social Care	People	C10693	Priory House - Condition Works	(94)				(94)
	People	C10621	LATC - Delaware and Priory	94				94
Schools	People	C10024	Future Condition Projects	(11)				(11)
	People	C10717	Thorpene Boilers	11				11
S106 Schemes	Place	C10809	S106 Elm Gate	(1)				(1)
	People	C10475	School Improvement & Provision for School Places	1				1
ICT Schemes	Place	C10636	ICT Enterprise Agreement	(200)				(200)
	Place	C10635	ICT E-Procurement Solution	(76)				(76)
	Place	C10576	ICT Rolling Replacement Programme	(50)				(50)
	Place	C10830	Borough Broadband	(100)				(100)
	Place	C10766	GCSx Mail Update	(25)				(25)
	Place	C10761	Public Health - Sentrian: Advanced Health Analysis	(50)				(50)
	Place	C10765	Public Health - MyHealthTools	(80)				(80)
	Place	C10575	ICT Core Infrastructure	581				581
	Place	C10636	ICT Enterprise Agreement	(16)				(16)
	Place	C10766	GCSx Mail Update	5				5
Cliff Stabilisation	Place	C10784	Cliff Slip Investigation Works	(190)				(190)
	Place	C10683	Cliff Stabilisation - Clifton Drive	190				190
Culture	Place	C10565	Energy Improvements in Culture Property Assets	(21)				(21)
	Place	C10722	Cliffs Pavilion undercroft piping replacement	21				21
Housing Revenue Account	HRA	C10163	Environmental - Health and Safety works	(66)				(66)
	HRA	C10168	Common Areas Improvement	66				66
<u>Budget Adjustments already actioned</u>								
Priority Works	Chief Executive	C10121	Priority Works	(12)				(12)
	Chief Executive	C10181	Urgent Works to Property	12				12
Energy Efficiency schemes	Place	C10788	Energy Efficiency Projects	(75)				(75)
	Place	C10844	LED Lighting - University Square Car Park	75				75
				0	0	0	0	0

This page is intentionally left blank

BUDGET RE-PROFILES

Appendix 4

Scheme/Event	Department	Code	Code Description	2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Budget (all years) £000
Asset Management	Chief Executive	C10656	Capital Allocation to Discharge EEDA Agreement	(164)	164			0
	Chief Executive	C10748	Civic East Car Park Redevelopment	(85)	85			0
	Chief Executive	C10261	Airport Business Park	(4,950)	4,950			0
	Chief Executive	C10208	Brunel Road Redevelopment	(50)	50			0
	Chief Executive	C10643	Seaways Development Enabling Works	(187)	187			0
Cemeteries and Crematorium	Chief Executive	C10677	Cremator Hearth Replacement	12	(12)			0
Schools	People	C10558	Explansion of 2 year old Childcare Places	(72)	72			0
	People	C10774	Hamstel Junior Windows	84	(84)			0
General Fund Housing	People	C10146	Private Sector Renewal	(300)	(150)	450		0
	People	C10020	Empty Dwelling Management	(200)	200			0
	People	C10503	Works in Default - Enforcement Work	(50)	50			0
Adult Social Care	People	C10526	Community Capacity	(291)	291			0
	People	C10621	LATC - Delaware and Priory	(194)	194			0
ICT Schemes	Place	C10640	DEFRA Inspire III	(4)	4			0
	Place	C10580	Wireless Borough/City Deal	(340)	340			0
Enterprise, Tourism & Regeneration	Place	C10038	Prince George Extension Works	(976)	976			0
	Place	C10668	City Deal - Incubation Centre	(44)	44			0
Highways	Place	C10699	Local Growth Fund - A127 Growth Corridor	(425)	425			0

BUDGET RE-PROFILES

Appendix 4

Scheme/Event	Department	Code	Code Description	2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Budget (all years) £000
	Place	C10794	S106 Essex House 1500521FULM - education	(34)	34			0
	Place	C10795	S106 Saxon Lodge 1401744BC4M – education	(16)	16			0
	Place	C10652	S106 53 Pavilion Dr 0701870OUTM - Affordable Housing	(128)	128			0
	Place	C10581	S106 87 Rectory Gr 1101018FULM - Affordable Housing	(155)	155			0
	Place	C10741	S106 Dairy Crest 1400340AMDT - Affordable Housing	(202)	202			0
	Place	C10820	S106 North Shoebury Road 0301504out - Shoebury Pa	(297)	33	33	231	0
	Place	C10812	S106 Garrison 0000777 Deposit - Junior Play Area mai	(10)	10			0
	Place	C10269	S106 Lifstan Way 0000273 Out - Open Space Maintena	(4)	4			0
	Place	C10819	S106 North Shoebury Road 0301504out - Public Art	(45)	45			0
	Place	C10815	S106 Garrison 0000777 Deposit - Toddler Play Area ma	(6)	6			0
	Place	C10276	S106 Audley Court 0200874 Ful – CCTV	(10)	10			0
	Place	C10796	S106 285 Sutton Rd 1100087FULM - Highway Works	(15)	15			0
	Place	C10727	S106 Avenue Works 1401968AMDT - Cycleway Improv	(2)	2			0
	Place	C10213	S106 High Works Shoebury Garrison	(2)	2			0
	Place	C10816	S106 North Road and Salisbury Ave 1200056 - Highwa	(2)	2			0
	Place	C10686	S106 Sunlight Ldry 1400411FULM - Highway Works	(2)	2			0
	Place	C10073	S106 Seec 0200500ful	(104)	104			0
	Place	C10730	S278 Bellway Homes 14/00943/fulm	(13)	13			0
	Place	C10193	S38 Fossetts (const&maint fee	(95)	95			0
	Place	C10267	S38 Garrison NBP Road Supp Fee	(12)	12			0
	Place	C10275	S38/S278 Airport 0901960 Fulm	(91)	91			0
	Place	C10738	Beecroft & Central Museum Energy Project	(200)	200			0
	Place	C10788	Energy Efficiency Projects	(150)	150			0
	Place	C10789	Solar PV Projects	(460)	460			0
	Place	C10776	New Museum - Gateway Review	(500)	500			0
	Place	C10043	Prittlewell Prince Research	(38)	38			0
	Place	C10044	Pump Priming	(333)	333			0
	Place	C10624	Library Review	(100)	100			0
	Place	C10739	Southchurch Park Bowls Pavilion	(20)	20			0
	Place	C10777	Belton Hill Steps	(50)	50			0
	HRA	C10163	Environmental - H&S works	(400)	400			0
	HRA	C10168	Common Areas Improvement	(570)	570			0
				(12,302)	11,588	483	231	0

NEW SCHEMES FINANCED BY EXTERNAL FUNDING

Appendix 5

Scheme/Event	Department	Project Code	Project Description	2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Budget (all years) £000
Asset Management	Chief Executive	C10261	Airport Business Park	3,200				3,200
Schools	People	C10790	Hamstel Juniors Fire Systems (Health and Safety)	3				3
Coastal Defence	Place	C10843	Shoreline Strategy	160				160
S106 Schemes	Place	C10839	S106 18-22 Southchurch Rd - education		8			8
	Place	C10831	S106 22-23 The Leas - education		41			41
	Place	C10835	S106 3 Acacia Drive - education		27			27
	Place	C10724	S106 Bellway Prittlebrook - education		306			306
	Place	C10792	S278 Health & Beaumont House	1				1
				3,364	382	0	0	3,746

This page is intentionally left blank

SUMMARY OF CHANGES TO THE CAPITAL PROGRAMME

Appendix 6

Scheme/Event	Department	2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Budget (all years) £000
Approved Capital Programme - June Cabinet		76,576	51,995	36,988	26,097	191,656
Proposed changes:						
New Burial Ground	Chief Executive	(78)	(2,089)			(2,167)
Cemetery Lodge and Crematorium Connection to Mains Sewer	Chief Executive	(70)				(70)
Kingsdown Phase 2	People	(22)				(22)
Futures College Roof	People	(23)				(23)
Futures Rewire	People		(84)			(84)
Hamstel Infants Windows	People		(40)			(40)
Porters Grange Boilers	People		(140)			(140)
Hamstel Infant & Juniors Places	People	(273)				(273)
Thorpe Greenways Infant/Junior School	People	(93)				(93)
Futures Heating and Pipe Ducts	People	(287)				(287)
New Museum	Place	56				56
S106 Lidl Progress Rd 1401833FULM - highway works	Place	(26)				(26)
New Build 32 Byron Avenue - RTB funded	HRA	(4)				(4)
S106 New Build 32 Byron Avenue	HRA	(6)				(6)
Bathroom Refurbishment	HRA	(48)				(48)
Environmental Health and Safety Works	HRA	(84)				(84)
Kitchen Refurbishments	HRA	(284)				(284)
Rewiring	HRA	(69)				(69)
Roofs	HRA	(536)				(536)
Windows and Doors	HRA	(48)				(48)
Virements (see Appendix 3)	Various	0	0	0	0	0
Budget re-profiles (see Appendix 4)	Various	(12,302)	11,588	483	231	0
New external funding (see Appendix 5)	Various	3,364	382	0	0	3,746
Current Programme - following amendments		65,743	61,612	37,471	26,328	191,154

Brackets indicate a reduction in budget

This page is intentionally left blank

Scheme	Project code	2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Current Budget £000
Department of the Chief Executive						
Tickfield - Creating Capacity	C10687	2				2
Total Tickfield		2				2
Airport Business Park	C10261	4,697	9,051			13,748
Brunel Road Redevelopment	C10208		50			50
Capital Allocation to Discharge EEDA agreement	C10656		164			164
Civic East Car Park Redevelopment	C10748	15	585	4,000	1,100	5,700
Commercial Property Investment	C10749	2,000	2,000	2,000		6,000
East Beach Café Project	C10644	32				32
Library Car Park Reconstruction and Enhancement	C10750	49	4,000	1,150		5,199
New Beach Huts Phase 2	C10631	109				109
Pier Arches toilets - waterproofing solution	C10734	30				30
Pier North End roof repairs	C10600	4				4
Porters Civic House and Cottage	C10571	9				9
Porters Civic House - Repairs to Building	C10657	2				2
Ropers Farm Cottages - water supply	C10840	45				45
Seaways Development Enabling Works	C10643	7	747			754
Toilet Refurbishment Thorpe Hall Avenue	C10703	92				92
Urgent Works To Property	C10181	41				41
Warrior Square Gardens Kiosk	C10823	5				5
Total Asset Management		7,137	16,597	7,150	1,100	31,984
Better Queensway - Regeneration	C10747	500				500
Queensway - Commercial Property	C10751	500	500			1,000
Queensway - Ground Penetrating Radar	C10745	142				142
Total Queensway		1,142	500			1,642
Cremator Hearth Replacement	C10677	34				34
Crematorium Re-Quip (Mercury)	C10055	16				16
Essential Crematorium/Cemetery Equipment	C10572	175				175
Mercury Emissions Testing Equipment	C10753	20				20
Cremated Remains Plots	C10754	90				90
New Burial Ground	C10054	80				80
Pergola Walk Memorial Scheme	C10755	370				370
Perimeter Security Improvements	C10791	7				7
Total Cemeteries & Crematorium		792				792
Priority Works	C10121	416	488	500	500	1,904
Total Priority Works		416	488	500	500	1,904
Total Department of the Chief Executive		9,489	17,585	7,650	1,600	36,324

Scheme	Project code	2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Current Budget £000
Department for People						
Community Capacity	C10526	291	291			582
Dementia Friendly Environments	C10598	30				30
Mental Health Funding Stream	C10184	75				75
Priory House - Condition Works	C10693	20				20
Transforming Care Housing	C10689	165				165
LATC - Delaware and Priory	C10621	100	694	1,258		2,052
Total Adult Social Care		681	985	1,258		2,924
Disabled Facilities Grant	C10145	800	800	743		2,343
Empty Dwelling Management	C10020	228	275			503
PSH Works in Default - Enforcement Work	C10503	136	100			236
Private Sector Renewal	C10146	305	450	450		1,205
Warmer Healthy Homes Expenditure	C10255	18				18
Total General Fund Housing		1,487	1,625	1,193		4,305
AHDC Short Breaks for Disabled Children	C10282	64				64
Total Children & Learning Other Schemes		64				64
Bournes Green Junior Boiler	New		135			135
Bournes Green Junior Roof	C10771	168				168
Chalkwell Infants Hall/Kitchen Windows	New		23			23
Chalkwell Infants Main Building Windows	New		45			45
Chalkwell Infants Roof	New		12			12
Earls Hall Ducts and Pipework	C10711	59	68			127
Edwards Hall Roofs	C10713	70				70
Earls Hall Roof Drainage	C10772	28				28
Fairways Fire Alarm	New		42			42
Friars Boilers	C10773	150				150
Friars Curtain Walling	C10532	14				14
Friars Fire Systems Replacement	C10647	35				35
Future condition projects	C10024	127	142			269
Futures Heating and Pipe Ducts	C10714	5	168			173
Hamstel Juniors Fire Systems (H&S)	C10790	31				31
Hamstel Junior Windows	C10774	168				168
Kingsdown Fire System Upgrade	C10775	34				34
Prince Avenue Fire Systems and Rewire	C10650	48				48
Richmond Roof	New		17			17
Thorpedene Boiler	C10717	11				11
West Leigh Infant Roofs	C10718	44				44
Total Condition Schemes		992	652			1,644

Scheme	Project code	2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Current Budget £000
Devolved Formula Capital	C10014	288				288
Total Devolved Formula Capital		288				288
Expansion of 2 yr old Childcare Places	C10558		72			72
School Improvement and Provision of School Places	C10475	7,385	6,888	3,000		17,273
St Helens to FE	C10618	1,049				1,049
St Marys East	C10617	666				666
Total Primary and Secondary School Places		9,100	6,960	3,000		19,060
Total Department for People		12,612	10,222	5,451		28,285

Scheme	Project code	2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Current Budget £000
Department for Place						
ASO Machinery Purchase	C10731	4				4
Belfairs Golf Course - Drainage	C10552	2				2
Belfairs Swim Centre H & S	C10623	47				47
Belfairs Woodland Centre Project	C10502	75				75
Belton Hills Steps	C10777	50	1,450			1,500
Central Museum Works	New		150	100		250
Chalkwell Park and Priory Park Tennis Courts	C10682	52				52
Chase Sports & Fitness Centre - Fire Alarm	C10732	4				4
Cliffs Pavilion - External Works above Maritime Room	C10695	97				97
Cliffs Pavilion - Refurbishmen of passenger lift	C10692	17				17
Cliffs Pavilion - Replacement floor in auditorium	C10670	6				6
Cliffs Pavilion undercroft piping replacement – urgent works	C10722	99				99
Energy Improvements in Culture Property Assets	C10565	119				119
Hard Surface Path Improvements	C10566	28				28
Library Review	C10624	349	100			449
"Make Southend Sparkle" Initiative	C10778	10	10	10		30
New Museum - Gateway Review	C10776	56	1,500			1,556
Palace Theatre - Air Handling Units	C10782	25	215			240
Palace Theatre - Replacement of External Windows	C10725	55				55
Parks Land Drainage - Belfairs Park	C10680	8				8
Parks Land Drainage - Southchurch Park	C10681	10				10
Parks land drainage - Blenheim Park	C10694	1				1
Playground Gates	C10779	130				130
Priory Park Water Main	C10625	29				29
Prittlewell Prince Research	C10043		38			38
Prittlewell Prince Storage	C10696	120				120
Pump Priming Budget	C10044		333			333
Replacement of Play Equipment	C10780	50	50	50		150
Southchurch Park Bowls Pavillion	C10739		20			20
Southchurch Park Lighting	C10591	5				5
Southchurch Park Tow Path	C10781	20	230			250
Southend Leisure & Tennis Centre - Air Handling Units	C10783	375				375
Southend Leisure & Tennis Centre - Refurbishment of Lift	C10627	18				18
War Memorials within the Borough	C10569	32				32
Total Culture		1,893	4,096	160		6,149

Scheme	Project code	2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Current Budget £000
Barracuda Replacement	C10756	30				30
DEFRA Inspire III	C10640		4			4
Digitisation of Paper Records	NEW		150			150
GCSx Mail Update	C10766	11				11
Health and Social Care Enablement Project	C10767	100				100
ICT Capita One Enhancements/Developments	C10633	20				20
ICT Core Infrastructure	C10575	1,899				1,899
ICT Enterprise Agreement	C10636	64	200			264
ICT E-Procurement Solution	C10635	5	29			34
ICT Reprovision of Carefirst	C10637	1,353	682			2,035
ICT Rolling Replacement Programme	C10576	156	200	200	200	756
IT Human Resources Case Management System	C10679	20				20
Mobile Device End Point Protection Replacement	C10768	45	45			90
Pier and Foreshore ICT Improvement Programme	C10698	152				152
Place - Business Transformation in End to End Reporting	C10757	500	200			700
Place - Culture - Hardware in Libraries	C10764	50				50
Place - Culture and Enterprise and Tourism - EPOS System	C10758	30				30
Place - Culture and Enterprise and Tourism - Events Booking System	C10759	50				50
Place - Enterprise, Regeneration and Tourism - Upgrade of Pier Network Infrastructure	C10762	50				50
Replacement and Enhancement to Cash Receiving System	C10578	21				21
Replacement of Remote Working Solution	C10769	100				100
Software Licencing	C10426	268	320	320	320	1,228
Web Development	C10763	30				30
Websense Replacement	C10770	30				30
Wireless Access Point Upgrade	C10760	30				30
Wireless Borough/City Deal	C10580	16	340			356
Total ICT Programme		5,030	2,170	520	520	8,240
City Deal - Incubation Centre	C10668		44			44
Three Shells Lagoon	C10658	1,669				1,669
Pier Hill Lifts Replacement	C10737	294				294
Prince George Extension Works	C10038	200	976			1,176
Property Refurbishment Programme	C10626	506	500	500	500	2,006
Southend Pier - Condition Works	C10697	666	910	1,135	1,485	4,196
Total Enterprise, Tourism & Regeneration		3,335	2,430	1,635	1,985	9,385
Cliff Slip Investigation Works	C10784	190				190
Cliff Stabilisation - Clifton Drive	C10683	345				345
Coastal Defence (Shoebury Common Sea Defence Scheme)	C10011	186	2,170	2,000		4,356
Southend Shoreline Strategy	C10843	160				160
Total Coastal Defence and Foreshore		881	2,170	2,000		5,051

Scheme	Project code	2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Current Budget £000
Carriageways and Footways Improvements	C10786	1,000	1,000	1,000	1,000	4,000
Cinder Path	C10115	819				819
Gaist Highways Asset Management Project	C10785	80				80
Highways Maintenance - Potholes	C10588	65	65	65	130	325
Highways Planned Maintenance Investment	C10029	550	502			1,052
Street Lighting Renewal	C10061	8,071	2,485			10,556
Total Highways & Infrastructure		10,585	4,052	1,065	1,130	16,832
Car Park Infrastructure Improvements	C10787	200	200			400
Car Parks Upgrade	C10151	134				134
Total Parking Management		334	200			534
S106 3 Acacia Drive - education	C10835		27			27
S106 Airport 0901960 Fulm - Open Space	C10799	7				7
S106 Audley Court 0200874 Ful	C10276		10			10
S106 Avenue Works 1401968AMDT - cycleway improvement	C10727		2			2
S106 Avenue Works 1401968AMDT - Public Art	C10801	15				15
S106 Ajax Works 0300130ful	C10199	2	1	3		6
S106 Bellway Prittlebrook - education	C10724		306			306
S106 - College London Rd	C10203	8				8
S106 Dairy Crest 1400340AMDT	C10741		202			202
S106 Essex House 1500521FULM - bus stop improvement	C10793	3				3
S106 Essex House 1500521FULM - education	C10794		34			34
S106 Former College 1000225FUL	C10207	11				11
S106 Garrison 0000777 Deposit - information boards	C10811	5				5
S106 Garrison 0000777 Deposit - Junior Play Area maintenance	C10812		10			10
S106 Garrison 0000777 Deposit - rubbish clearance	C10822	1				1
S106 Garrison 0000777 Deposit - Toddler Play Area maintenance	C10815		6			6
S106 Garrison 0000777 Depost - CCTV	C10810	1				1
S106 Garrison Park Store	C10188	1				1
S106 High Works Shoe Garrison	C10213		2			2
S106 Land North Of Ambleside	C10201	2				2
S106 22-23 The Leas - education	C10831		41			41
S106 Lifstan Way 0000273 Out	C10269	3	8	72		83
S106 910 London Road 0901899 ful	C10479	1				1
S106 North Road and Salisbury Ave 1200056 - Highway Works Contribution	C10816		2			2
S106 North Shoebury Road 0301504out - Shoebury Park Enhancement	C10205	527				527
S106 North Shoebury Road 0301504out - Public Art	C10819	46	45			91
S106 North Shoebury Road 0301504out - Shoebury Park Maintenance	C10820	33	33	33	231	330
S106 53 Pavilion Dr 0701870OUTM	C10652		128			128
S106 Premier Inn 1300835FULM	C10653	10				10
S106 87 Rectory Gr 1101018FULM	C10581		155			155
S106 Saxon Lodge 1401744BC4M – education	C10795		16			16
S106 Secc 0200500ful	C10073		104			104

Scheme	Project code	2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Current Budget £000
S106 18-22 Southchurch Rd - education	C10839		8			8
S106 Sunlight Ldry 1400411FULM	C10686		2			2
S106 Sunlight Ldry 1400411FULM - Public Art	C10821	14				14
S106 285 Sutton Rd 1100087FULM - Highway Works	C10796		15			15
S106 Univ H-Way0401561ful	C10196	42				42
S38/S278 Airport 0901960 Fulm	C10275	10	91			101
S278 Health & Beaumont House	C10792	1				1
S78 Bellway Homes 14/00943/fulm	C10730	1	13			14
S38 Fossetts Farm Bridleway	C10193	20	95			115
S38 Garrison NBP Road Supp Fee	C10267	10	12			22
S38 Inspection Magazine Rd	C10190	5				5
Total S106 & S38 Agreements		779	1,368	108	231	2,486
LTP (Integrated Transport block) - Bridge Strengthening	C10512	304	370	350	350	1,374
LTP (Integrated Transport block) - Better Sustainable Transport	C10384	417	400	400	400	1,617
LTP (Integrated Transport block) - Better Networks	C10671	521	400	400	400	1,721
LTP (Integrated Transport block) - Traffic Management Schemes	C10513	595	400	400	400	1,795
LTP (Integrated Transport block) - Traffic Control Systems	C10470	201	201	201	201	804
LTP - Maintenance	C10076	925	868	621	621	3,035
LTP - Maintenance - Street Lighting	C10708	50		150	150	350
Total Local Transport Plan		3,013	2,639	2,522	2,522	10,696
Local Growth Fund - A127 Growth Corridor	C10699	4,272	2,105	4,440	6,120	16,937
Local Growth Fund - Local Sustainable Transport Fund	C10700	124				124
Local Growth Fund - Southend Central Area Action Plan (SCAAP) Growth Point (Non-Transport)	C10701	705	920	2,120	2,220	5,965
Local Growth Fund - Southend Central Area Action Plan (SCAAP) Growth Point (Transport)	C10702	985	2,000	2,000	2,000	6,985
Total Local Growth Fund		6,086	5,025	8,560	10,340	30,011
A127 Junction Improvements	C10553	416				416
HCA Progress Road	C10254	19				19
Southend Transport Model	C10058	75				75
Total Transport		510				510
Beecroft and Central Museum Energy Project	C10738	795	200			995
Civic Centre Boilers - Low Loss Header	C10676	20				20
Schools and Council Buildings Solar PV	C10740	217				217
Energy Efficiency Projects	C10788	225	525			750
LED Lighting - Civic Centre Underground Car Park	C10662	19				19
Solar PV Projects	C10789	500	460			960
Southend Adult Community College Energy Project	C10664	256				256
Temple Sutton School Energy Project	C10665	283				283
Total Energy Saving		2,315	1,185			3,500
Total Department for Place		34,761	25,335	16,570	16,728	93,394
Total General Fund Capital Schemes		56,862	53,142	29,671	18,328	158,003

Scheme	Project code	2016/17 Budget £000	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	Total Current Budget £000
Housing Revenue Account (HRA)						
Bathroom Refurbishment	C10161	368				368
Central Heating	C10162	700				700
Common Areas Improvement	C10168	1,660	570			2,230
Environmental - H&S works	C10163	590	400			990
Kitchen Refurbishments	C10164	416				416
Rewiring	C10165	31				31
Roofs	C10166	952				952
Windows and Doors	C10167	202				202
Future Programme (MRA & Decent Homes)	C10298		7,500	7,800	8,000	23,300
	Total Decent Homes Programme	4,919	8,470	7,800	8,000	29,189
HRA Disabled Adaptations - Major Adaptations	C10015	450				450
HRA Disabled Adaptations - Minor Adaptations	C10257	50				50
	Total Council House Adaptions	500				500
Sheltered Housing DDA works	C10177	345				345
	Total Sheltered Housing Remodelling	345				345
S106 New Build 32 Byron Avenue	C10584	6				6
S106 HRA Land Review	C10685	41				41
	Total S106 Funded HRA Projects	47				47
Construction of New Housing on HRA Land	C10684	2,461				2,461
Southchurch Avenue Hostel Improvement	C10834	109				109
Strategic acquisition of tower block leaseholds	C10614	500				500
	Total Other HRA	3,070				3,070
	Total HRA Capital Schemes	8,881	8,470	7,800	8,000	33,151
TOTAL PROPOSED CAPITAL PROGRAMME		65,743	61,612	37,471	26,328	191,154

Southend-on-Sea Borough Council

Report of the Department of the Chief Executive
to
Cabinet
on
8 November 2016

Agenda
Item No.

Report prepared by: Joe Chesterton
Director of Finance and Resources

Mid-Year Treasury Management Report – 2016/17
Policy and Resources Scrutiny Committee
Executive Councillor: Councillor Moring
A Part 1 Public Agenda Item

1. Purpose of Report

- 1.1 The Mid-Year Treasury Management Report covers the treasury management activity and compliance with the treasury management strategy for both quarter two and the period from April to September 2016.

2. Recommendations

That the following is approved:

- 2.1 **The Mid-Year Treasury Management Report for 2016/17.**
- 2.2 **The revisions to the Treasury Management Policy for 2016/17 as set out in Section 13 and in Appendix 3.**

That the following is noted:

- 2.3 **Treasury management activities were carried out in accordance with the CIPFA (The Chartered Institute of Public Finance and Accountancy) Code of Practice for Treasury Management in the Public Sector during the period from April to September 2016.**
- 2.4 **The loan and investment portfolios were actively managed to minimise cost and maximise interest earned, whilst maintaining a low level of risk.**
- 2.5 **An average of £49.9m of investments were managed in-house. These earned £0.15m of interest during this six month period at an average rate of 0.62%. This is 0.34% over the average 7 day LIBID (London Interbank Bid Rate) and 0.20% over the average bank base rate.**

- 2.6 An average of £19.7m of investments was managed by our former external fund manager. These earned £0.14m of interest during this six month period at an average rate of 1.37%. This is 1.09% over the average 7 day LIBID and 0.95% over the average bank base rate.**
- 2.7 During September 2016 £22.7m was recalled from our former external fund manager and £15m was invested equally across two short dated bond funds and £5m was invested into an enhanced cash fund.**
- 2.8 An average of £14.5m was managed by two property fund managers. This reduced in value by £79k during this six month period from a combination of a decrease in the value of the units partially offset by income distribution, giving a combined return of -1.09%.**
- 2.9 The level of borrowing from the Public Works Loan Board (PWLB) (excluding debt relating to services transferred from Essex County Council on 1st April 1998) remained at the same level of £227.8m (Housing Revenue Account (HRA): £77.0m, General Fund: £150.8m) during the period from April to September 2016.**
- 2.10 The level of financing for ‘invest to save’ schemes increased from £3.21m to £5.94m during the period from April to September 2016.**

3. Background

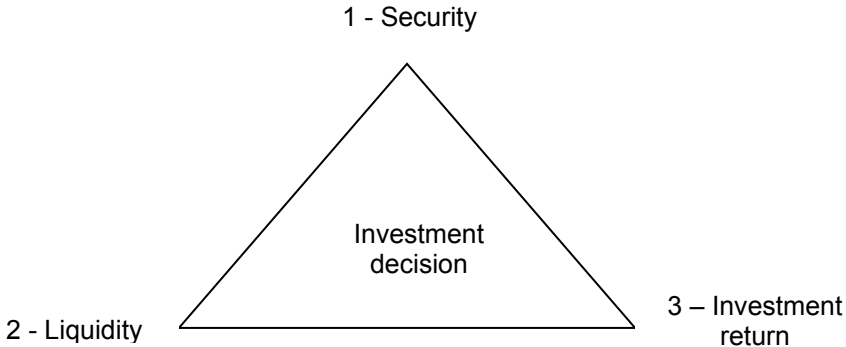
- 3.1 This Council has adopted the ‘CIPFA Code of Practice for Treasury Management in the Public Sector’ and operates its treasury management service in compliance with this code. The code recommends that local authorities submit reports regularly as part of its Governance arrangements.**
- 3.2 Current guidance is that authorities should report formally at least twice a year and preferably quarterly. The Treasury Management Policy Statement for 2016/17 set out that reports would be submitted to Cabinet quarterly on the activities of the treasury management operation. This is the second quarter report for the financial year 2016/17.**
- 3.3 Appendix 1 shows the treasury management position at the end of quarter two of 2016/17.**
- 3.4 Appendix 2 shows the treasury management performance specifically for quarter two of 2016/17.**

4 National Context

- 4.1 After the initial shock of the 'Brexit' decision the evidence so far would seem to support the view that the UK economy may not suffer as greatly from the EU withdrawal decision as had been feared. The vote had little impact on households with consumer spending remaining strong, but those levels look unsustainable. Also there is a long time until the actual break from Europe is finalised, so market sentiment could change.
- 4.2 Headline CPI reached a two year high of 1.0% in September as the weaker Sterling has led to an increase in the price of imports which is starting to feed through to consumer prices. Over time the weakening of Sterling should help exporters although the uncertainty surrounding the UK trading partnerships may offer an on-going challenge.
- 4.3 Employment growth and a decline in unemployment in the three months to June indicate that the labour market largely overlooked the uncertainty surrounding the EU referendum. The employment rate reached a record high, but the unemployment rate was unchanged at 4.9%.
- 4.4 In August the Bank of England reduced the bank base rate to a new historic low of 0.25% and expanded their Quantitative Easing (QE) programme to £435bn, an increase of £60bn. The Bank has signalled that it has no intention of following other central banks' moves in setting negative interest rates, suggesting that future cuts will halt at around 0.1%, placing the emphasis on QE and Government fiscal policy.
- 4.5 The economic situation together with the financial market conditions prevailing throughout the quarter continued to provide challenges for treasury management activities. There have not been substantial changes in the credit ratings of financial institutions so we continue to have a restricted list of counterparties (i.e. people we can invest with) that still meet our prudent investment criteria.
- 4.6 However, with a restricted list of counterparties and the increased focus on counterparty risk following the Icelandic Banks collapse, monies were mainly placed for short periods of time or in instant access accounts, which increased the liquidity of these funds.
- 4.7 Low interest rates prevailed throughout the quarter from April to June 2016 and this led to low investment income earnings from most investments. The lower bank base rate will lead to even lower prospects for investment income going forward.

5 Investments – quarter two (July to September)

- 5.1 A prime objective of our investment activities is the security of the principal sums invested. To ensure this security before a deposit is made an organisation is tested against a matrix of credit criteria. During the period from July to September 2016 investment deposits were limited to those who met the criteria in the Annual Investment Strategy when the deposit was placed.
- 5.2 Other investment objectives are to maintain liquidity (i.e. adequate cash resources to allow the council to operate) and to optimise the investment income generated by surplus cash in a way that is consistent with a prudent level of risk. Investment decisions are made with reference to these objectives, with security and liquidity being placed ahead of the investment return. This is shown in the diagram below:



Security:

- 5.3 To maintain the security of sums invested, we seek to lower counterparty risk by investing in financial institutions with good credit ratings, across a range of sectors and countries. The risk of loss of principal of monies is minimised through the Annual Investment Strategy.
- 5.4 Pie chart 1 of Appendix 1 shows that at the end of quarter two; 52% of our in-house investments were placed with financial institutions with a long term rating of AAA, and 48% with a long term rating of A-.
- 5.5 As shown in pie chart 2 of Appendix 1, these monies were with various counterparties, 48% being placed directly with banks and 52% placed with a range of counterparties via money market funds.
- 5.6 Pie chart 3 of Appendix 1 shows the countries where the parent company of the financial institution with which we have monies invested is registered. For money market funds there are various counterparties spread across many countries. The cumulative balance of funds held with any one institution was kept within agreed limits.

Liquidity:

- 5.7 Our in-house monies were mostly available on an instant access basis at the end of quarter two, except for £10m which has been placed in a 95 day notice account. The maturity profile of our investments is shown in pie chart 4 of Appendix 1.

Investment return:

- 5.8 Until early September the Council continued to use the fund manager Aberdeen Asset Management to manage monies on our behalf. An average of £16.7m was invested in this fund during the quarter earning an average rate of 2.40%.
- 5.9 The Council had an average of £47.2m of investments managed in-house over the period from July to September, and these earned an average interest rate of 0.57%. Of the in-house managed funds:
- an average of £10.0m was held in notice accounts that earned an average interest rate of 0.53%;
 - use was also made of call accounts during the year, because they provide instant access to funds. An average of £8.4m was held in these accounts and earned an average return of 0.65% over the quarter;
 - an average of £28.8m was held in money market funds earning an average of 0.56% over the quarter. These work in the same way as a deposit account but the money in the overall fund is invested in a number of counterparties, therefore spreading the counterparty risk.
- 5.10 In accordance with the Treasury Management Strategy the performance during the quarter is compared to the average 7 day LIBID (London Interbank Bid Rate). Overall, investment performance was higher than the average 7 day LIBID and higher than the average base rate for the quarter. The bank base rate was at 0.50% for the first part of the quarter and was reduced to 0.25% on 4 August 2016. The 7 day LIBID rate fluctuated between 0.12% and 0.37%. Performance is shown in Graph 1 of Appendix 2.

6 Investments – quarter two cumulative position

- 6.1 During the period from April to September 2016 the Council complied with all of the relevant statutory and regulatory requirements which limit the levels of risk associated with its treasury management activities. In particular its adoption and implementation of the Code of Practice for Treasury Management means its treasury practices demonstrate a low risk approach.
- 6.2 The Council is aware of the risks of passive management of the treasury portfolio and has proactively managed levels of debt and investments over the six month period with the support of its treasury management advisers.

6.3 The table below summarises the Council's investment position for the period from April to September 2016:

Table 1: Investment position

	At 31 March 2016	At 30 September 2016	April to September 2016	
	Actual Balance (£000s)	Actual Balance (£000s)	Average Balance (£000s)	Average Rate (%)
Notice accounts	10,000	10,000	10,000	0.61
Fixed term deposits	5,000	0	1,722	0.88
Call accounts	7,315	7,895	8,314	0.65
Money market funds	24,000	19,000	29,895	0.60
Total investments managed in-house	46,315	36,895	49,931	0.62
Enhanced Cash Funds	22,541	4,998	19,717	1.37*
Short Dated Bond Funds	0	15,022	780	#
Property funds	12,712	15,134	14,483	-1.09
Total investments managed externally	35,253	35,154	34,980	0.32@
Total investments	81,568	72,049	84,911	0.50

* This includes the investment in Payden & Rygel (paragraph 9.5) which was invested at the end of September. As there has not yet been any income distributions the combined return is not meaningful at this stage, so the rate quoted is for Aberdeen Asset Management only.

#These funds were invested in the second half of September. As there have not yet been any income distributions the combined return is not meaningful at this stage.

@This rate excludes Payden & Rygel and the two Short Dated Bond Funds for the reasons set out above.

6.4 The majority of the cash balances held by the Council are required to meet short term cash flow requirements and therefore throughout the six month period monies were placed 28 times for periods of one year or less. The table on the next page shows the most used counterparties overall and the countries in which they are based. All deals are in sterling despite the country the counterparties are based in.

Table 2: Counterparties used

Counterparty	Country	No. of Deals	Value of Deals (£m)
Goldman Sachs	Money Market Fund (Various Counterparties)	11	52
BlackRock	Money Market Fund (Various Counterparties)	7	38
Standard Life Investment	Money Market Fund (Various Counterparties)	5	34
Insight Investment Management Ltd	Money Market Fund (Various Counterparties)	5	18

6.5 In addition to the above, use was also made of call accounts during the year, because they provide instant access to funds. This meant that funds were available for unexpected cash flow events to avoid having to pay higher rates to borrow from the market. During the period from April to September 2016 an average of £8.3m was held in such accounts.

7. Property Funds – quarter two (July to September)

7.1 Throughout the quarter long term funds were invested in two property funds: Rockspring Property Investment Management Limited and Lothbury Investment Management Limited.

7.2 The monies are invested in units in the fund, the fund is then invested as a whole by the fund managers into properties. An income distribution is generated from the rental income streams from the properties in the fund. Income distributions are reinvested back into the fund. There are high entrance and exit fees and the price of the units can rise and fall, depending on the value of the properties in the fund, so these funds are invested over the long term with the aim of realising higher yields than other investments.

7.3 The interest equalisation reserve will be used to capture some of the income in the years when the property values are rising, and will then be available to offset any losses should property values fall. Members should be aware that this means that the investment returns in some quarters will look very good and in other quarters there may be losses reported, but these will not impact the revenue account as the interest equalisation reserve would be used to meet any temporary losses.

7.4 An average of £7.9m was managed by Rockspring Property Investment Management Limited. During quarter two, the value of the fund decreased by £0.225m due to the decrease in the unit value. There was also an income distribution relating to that period of £0.107m and this distribution will be confirmed and distributed in quarter three.

- 7.5 The Rockspring fund decreased by £0.118m during this three month period from a combination of the decrease in the value of the units partially offset by the income distribution, giving a combined return of -5.91%. The fund started the quarter at £7.935m and decreased in value with the fund at the end of the quarter at £7.817m. This is set out in Table 1 of Appendix 2.
- 7.6 An average of £7.4m was managed by Lothbury Property Investment Management Limited. During quarter two, the value of the fund decreased by £0.274m due to the decrease in the unit value. There was also an income distribution relating to that period of £0.058m and this distribution will be confirmed and distributed in quarter three.
- 7.7 The Lothbury fund decreased by £0.216m during this three month period from a combination of the decrease in the value of the units partially offset by the income distribution, giving a combined return of -11.53%. The fund started the quarter at £7.533m and decreased in value with the fund at the end of the quarter at £7.317m. This is set out in Table 1 of Appendix 2.
- 7.8 The decrease in unit value in both funds in quarter two was symptomatic of a general slowdown in the property market that has been exacerbated by the 'Brexit' outcome of the EU referendum. However the scale of the decrease was limited by the active strategies of both fund managers in de-risking their portfolios. The largest property decreases have been seen in central London, in particular in the City of London. The Rockspring fund has no central London exposure and the Lothbury fund has some central London properties, but none in the City of London. Both property fund managers anticipate that the recent correction in property prices is mostly over and that values should stabilise in the forthcoming quarters.

8 Property Funds – quarter two cumulative position

- 8.1 An average of £7.9m was managed by Rockspring Property Investment Management Limited. During the period from April to September 2016, the value of the fund decreased by £0.209m due to the decrease in the unit value. There was also an income distribution relating to that period of £0.211m and the quarter two part of this distribution will be confirmed and distributed in quarter three.
- 8.2 The fund earned £0.002m during this six month period from a combination of the decrease in the value of the units offset by the income distribution, giving a combined return of 0.05%. The fund started the six month period at £7.815m and increased in value with the fund at the end of the period at £7.817m.
- 8.3 An average of £6.6m was managed by Lothbury Property Investment Management Limited. During the period from April to September 2016, the value of the fund decreased by £0.190m due to the decrease in the unit value. There was also an income distribution relating to that period of £0.109m and the quarter two part of this distribution will be confirmed and distributed in quarter three. The value of the fund also increased by £2.502m due to the value of the new units purchased after fees.

8.4 The fund decreased by £0.081m during this six month period from a combination of the decrease in the value of the units offset by the income distribution, giving a combined return of -2.45%. The fund started the six month period at £4.896m and increased in value with the fund at the end of the period at £7.317m.

9. Medium term cash management

9.1 Long term monies are invested in property funds as set out in the paragraphs above. During quarter two the Section 151 Officer, in consultation with the Council's treasury management advisers, undertook an exercise to select fund managers and their appropriate Short Dated Bond Funds for the investment of medium term funds.

9.2 The monies are invested in units in the fund, the fund is then invested as a whole by the fund managers into corporate bonds in the one to five year range. An income distribution will be generated from the coupon on the bond and the price of units can rise and fall, depending on the value of the corporate bonds in the fund. So these investments would be over the medium term with the aim of realising higher yields than short term investments.

9.3 The interest equalisation reserve will be used to capture some of the income in the years when the corporate bond values are rising, and will then be available to offset any losses should bond values fall. Members should be aware that this means that the investment returns in some quarters will look good and in other quarters there may be losses reported, but these will not impact the revenue account as the interest equalisation reserve would be used to meet any temporary losses.

9.4 The funds selected for investment were the Royal London Investment Grade Short Dated Credit Fund and the AXA Sterling Credit Short Duration Bond Fund. £7.5m was invested into each fund during September 2016.

9.5 In addition to these funds, Payden & Rygel's Sterling Reserve Fund was selected for investment of slightly shorter medium term funds. This fund has a AAf credit rating from Standard & Poor's and has a focus on very high credit quality investments, including floating rate notes and fixed rate bonds. The current weighted average life of investments in the fund is 1.79 years. £5m was invested into this fund during September 2016.

9.6 Since these funds were invested the combined value has changed from £19.986m to £20.020m, an increase of £0.034m. As these funds are newly invested there have not yet been any income distributions, so the combined return is not meaningful at this stage.

9.7 The monies currently managed on our behalf by the fund manager Aberdeen Asset Management Plc were recalled to enable the investments set out above to be made.

10. Borrowing – quarter two

10.1 The Capital Financing Requirement (CFR) is the Council’s theoretical need to borrow but the Section 151 Officer can manage the Council’s actual borrowing position by either:

- 1 - borrowing to the CFR;
- 2 - choosing to use temporary cash flow funds instead of borrowing (internal borrowing) or;
- 3 - borrowing for future increases in the CFR (borrowing in advance of need)

10.2 The Council began quarter two in the second of the above scenarios, with actual borrowing below CFR.

10.3 This, together with the Council’s cash flow, the prevailing Public Works Loans Board (PWLB) interest rates and the future requirements of the capital programme, were taken into account when deciding the amount and timing of any loans. No new PWLB loans were taken out and no loans matured during the quarter. No debt restructuring was carried out during the quarter.

10.4 The level of borrowing from the Public Works Loan Board (PWLB) (excluding debt relating to services transferred from Essex County Council on 1st April 1998) remained at £227.8m during the quarter. A profile of the repayment dates is shown in Graph 2 of Appendix 2.

10.5 The level of PWLB borrowing at £227.8m is in line with the financing requirements of the capital programme and the revenue costs of this borrowing are fully accounted for in the revenue budget. The current level of borrowing is also in line with the Council’s prudential indicators and is prudent, affordable and sustainable.

10.6 Interest rates from the PWLB fluctuated throughout the quarter in response to economic events: 10 year PWLB rates between 1.46% and 1.83%; 25 year PWLB rates between 2.09% and 2.60% and 50 year PWLB rates between 1.87% and 2.34%. These rates are after the PWLB ‘certainty rate’ discount of 0.20%.

10.7 During quarter two, there was no short term borrowing activity undertaken for cash flow purposes. This is shown in Table 3 of Appendix 2.

11. Borrowing – quarter two cumulative position

11.1 The Council’s borrowing limits for 2016/17 are shown in the table below:

	2016/17 (£m)
Authorised Limit	290
Operational Boundary	280

The Authorised Limit is the “Affordable Borrowing Limit” required by the Local Government Act 2003. This is the outer boundary of the Council’s borrowing based on a realistic assessment of the risks and allows sufficient headroom to take account of unusual cash movements.

The Operational Boundary is the expected total borrowing position of the Council during the year and reflects decisions on the amount of debt needed for the Capital Programme. Periods where the actual position is either below or over the Boundary are acceptable subject to the Authorised Limit not being breached.

11.2 The Council’s outstanding borrowing as at 30 September 2016 was:

- Southend-on-Sea Borough Council £227.8m
- ECC transferred debt £13.1m

Repayments in the first 6 months of 2016/2017 were:

- Southend-on-Sea Borough Council £0m
- ECC transferred debt £0m

11.3 Outstanding debt relating to services transferred from Essex County Council (ECC) on 1st April 1998, remains under the management of ECC. Southend Borough Council reimburses the debt costs incurred by the County. The debt is recognised as a deferred liability on our balance sheet.

11.4 The interest payments for PWLB and excluding transferred debt, during the period from April to September 2016 were £5.263m, compared to the original budget of £5.263m for the same period. These interest payments are the same as budgeted as, due to the reasons set out in paragraph 10.3, no new loans were taken out during the first two quarters of 2016/17.

11.5 The table below summarises the PWLB borrowing activities over the period from April to September 2016:

Quarter	Borrowing at beginning of quarter (£m)	New borrowing (£m)	Re-financing (£m)	Borrowing repaid (£m)	Borrowing at end of quarter (£m)
April to June 2016	227.8	0	0	(0)	227.8
July to September 2016	227.8	0	0	(0)	227.8
<i>Of which:</i>					
General Fund	150.8	0	0	(0)	150.8
HRA	77.0	0	0	(0)	77.0

All PWLB debt held is repayable on maturity.

12 Funding for Invest to Save Schemes

- 12.1 During 2014/15 a capital project was completed on draught proofing and insulation in the Civic Centre which will generate on-going energy savings. This is an invest-to-save project and the predicted revenue streams cover the financing costs of the project.
- 12.2 To finance this project the Council took out an interest free loan of £0.14m with Salix Finance Ltd which is an independent, not for profit company, funded by the Department for Energy and Climate Change that delivers interest-free capital to the public sector to improve their energy efficiency and reduce their carbon emissions. The loan is for a period of four years with equal instalments to be repaid every six months. There are no revenue budget implications of this funding as there are no interest payments to be made and the revenue savings generated are expected to exceed the amount needed for the repayments. £0.018m of this loan was repaid during 2015/16 with a further £0.018m repaid during the period from April to September 2016.
- 12.3 At the meeting of Cabinet on 23 June 2015 the LED Street Lighting and Illuminated Street Furniture Replacement Project was approved which was to be partly funded by 25 year reducing balance 'invest to save' finance from the Green Investment Bank (GIB). The balance outstanding at the end of quarter two was £5.83m. There were no repayments during the period from April to September 2016.
- 12.4 Funding of these invest to save schemes is shown in Table 4 of Appendix 2.

13 Revised Treasury Management Policy

- 13.1 As a result of the amendments to the Council's senior management structure approved at the Cabinet meeting of 20 September 2016 it has been necessary to amend the Treasury Management Policy Statement and Treasury Management Strategy for 2016/17. These changes are:
- references to the Head of Finance and Resources have been replaced with Director of Finance and Resources;
 - in the current approved policy the approval of short/long term investments is delegated to the Chief Finance Officer and in their absence is delegated to the Deputy Section 151 Officer or the Director of Corporate Services. In the revised Annex 1 to the policy the reference to the Director of Corporate Services has been replaced by the Group Manager (Financial Planning & Control).
- 13.2 These revisions to the Treasury Management Policy for 2016/17 are set out in Appendix 3.

14 Compliance with Treasury Management Strategy – quarter two

- 14.1 The Council's investment policy is governed by the CIPFA Code of Practice for Treasury Management in the Public Sector (revised in November 2009), which has been implemented in the Annual Investment Strategy approved by the Council on 25 February 2016. The investment activity during the quarter conformed to the approved strategy and the cash flow was successfully managed to maintain liquidity. This is shown in Table 5 of Appendix 2.

15 Other Options

- 15.1 There are many options available for the operation of the Treasury Management function, with varying degrees of risk associated with them. The Treasury Management Policy aims to effectively control risk to within a prudent level, whilst providing optimum performance consistent with that level of risk.

16 Reasons for Recommendations

- 16.1 The CIPFA Code of Practice on Treasury Management recommends that Local Authorities should submit reports regularly. The Treasury Management Policy Statement for 2016/17 set out that reports would be submitted to Cabinet quarterly on the activities of the treasury management operation.

17 Corporate Implications

- 17.1 Contribution to Council's Vision & Critical Priorities

Treasury Management practices in accordance with statutory requirements, together with compliance with the prudential indicators acknowledge how effective treasury management provides support towards the achievement of the Council's Vision and Critical Priorities.

- 17.2 Financial Implications

The financial implications of Treasury Management are dealt with throughout this report.

- 17.3 Legal Implications

This Council has adopted the 'CIPFA Code of Practice for Treasury Management in the Public Sector' and operates its treasury management service in compliance with this code.

- 17.4 People Implications

None.

17.5 Property Implications

None.

17.6 Consultation

The key Treasury Management decisions are taken in consultation with our Treasury Management advisers.

17.7 Equalities and Diversity Implications

None.

17.8 Risk Assessment

The Treasury Management Policy acknowledges that the successful identification, monitoring and management of risk are fundamental to the effectiveness of its activities.

17.9 Value for Money

Treasury Management activities include the pursuit of optimum performance consistent with effective control of the risks associated with those activities.

17.10 Community Safety Implications

None.

17.11 Environmental Impact

None.

18 Background Papers

None.

19 Appendices

Appendix 1 – Treasury Management Position as at 30th September 2016

Appendix 2 – Treasury Management Performance for Quarter Two – 2016/17

Appendix 3 – Revisions to the Treasury Management Policy for 2016/17

TREASURY MANAGEMENT PERFORMANCE AS AT END OF QUARTER TWO - 2016/17

INVESTMENTS - SECURITY AND LIQUIDITY

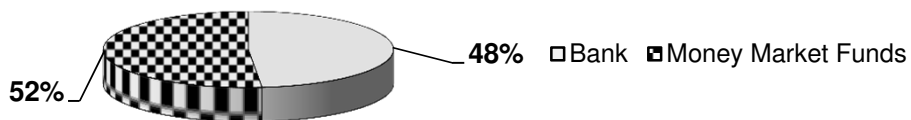
Pie chart 1

Spread of investments by long term credit rating



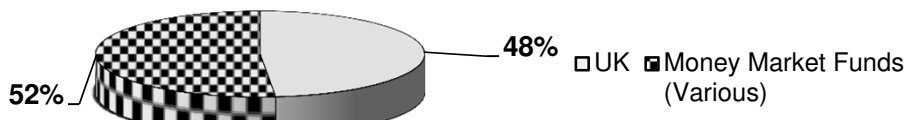
Pie chart 2

Financial Sector invested in



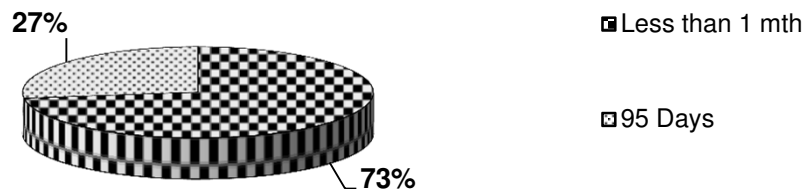
Pie chart 3

Countries where parent company is registered



Pie chart 4

Maturity profile of investments



This page is intentionally left blank

INVESTMENTS - RETURN

Graph 1

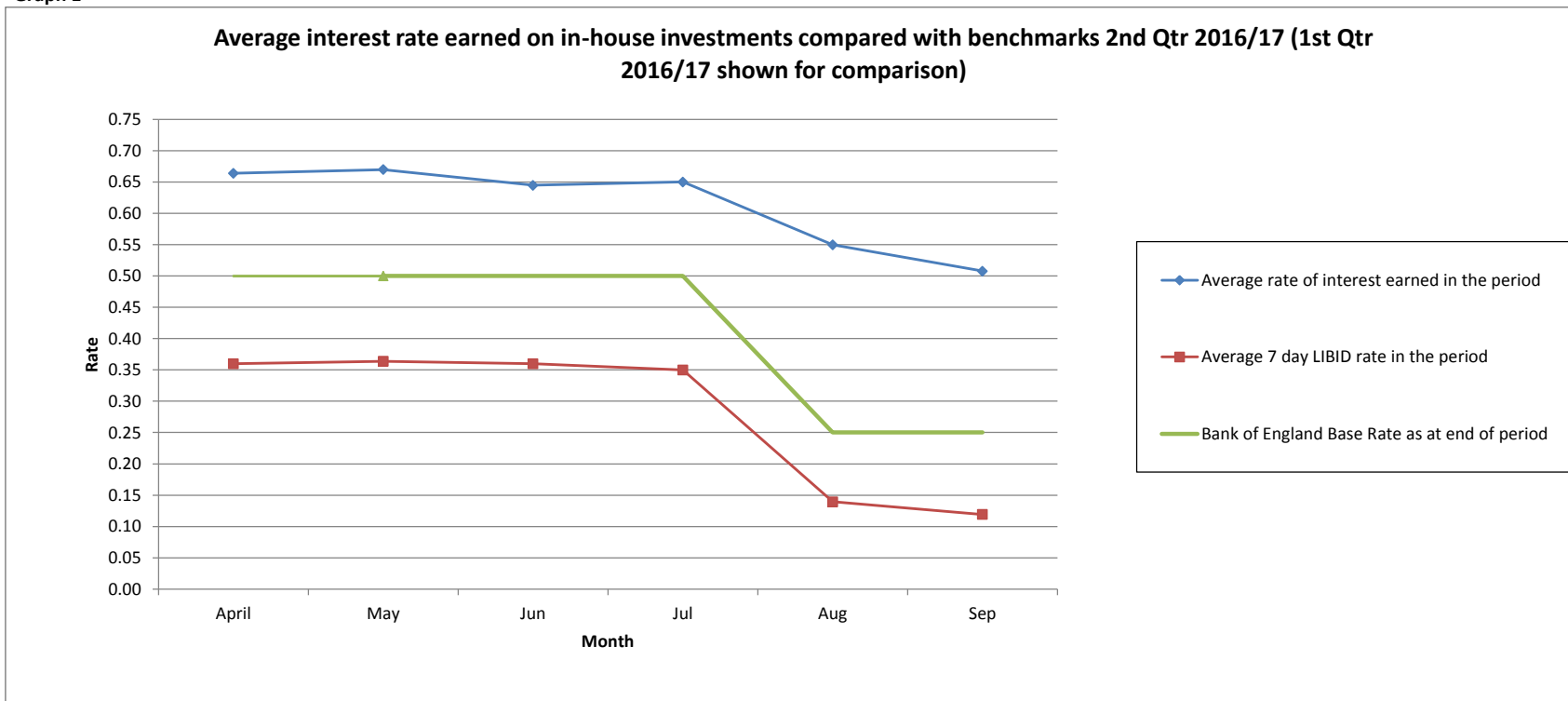


Table 1 - Property Funds

Financial Institution	Quarter	Period of investment	Value of fund at start of Qtr 2 £	Number of units at start of Qtr 2 Units	Number of units distributed during Qtr 2 Units	Purchase of new units during Qtr 2 Units	Number of units at end of Qtr 2 Units	Increase / (Decrease) in fund value £	Income Distribution Qtr 2 £	Value of fund at end of Qtr 2 £	Combined interest Rate %
Rockspring Hanover Real Estate Investment Mgt Ltd	2	5 Years +	7,935,488.95	571	7	0	578	(225,654.74)	107,438.17	7,817,272.38	(5.91%)
Lothbury Investment Management - Property Fund	2	5 Years +	7,532,795.94	4011.62	33.22	0.00	4,044.84	(273,605.87)	57,566.63	7,316,756.70	(11.53%)

Table 2 - Short Dated Bond Funds/Enhanced Cash Fund

Financial Institution	Month	Value of fund at the start of Qtr 2 £	Number of shares at the beginning of Qtr 2 Units	Purchase of new units during Sept 16 £	Purchase of new units during Sept 16 Units	Number of units at end Qtr 2 Units	Increase / (Decrease) in fund value £	Income Distribution during the Qtr 2 £	Value of fund at end of Qtr 2 £	Combined Interest Rate %
Royal London	Sep-16	-	0.0000	7,500,000.00	7,374,631.27	7,374,631.27	29,498.53	*	7,529,498.53	@
AXA	Sep-16	-	0.0000	7,485,750.00	6,442,125.65 #	6,442,125.65	6,442.13	*	7,492,192.13	@
Payden & Rygel	Sep-16	-	0.0000	5,000,000.00	461,646.42	461,646.42	(1,615.76)	*	4,998,384.24	@
Total									20,020,074.90	

Dilution Levy deducted before units purchased

*Only invested in the second half of September

@ Not meaningful at this stage

BORROWING

Table 3

SHORT TERM BORROWING	Counterparty	Rate	Amount £(000)	From	To
None					

Graph 2

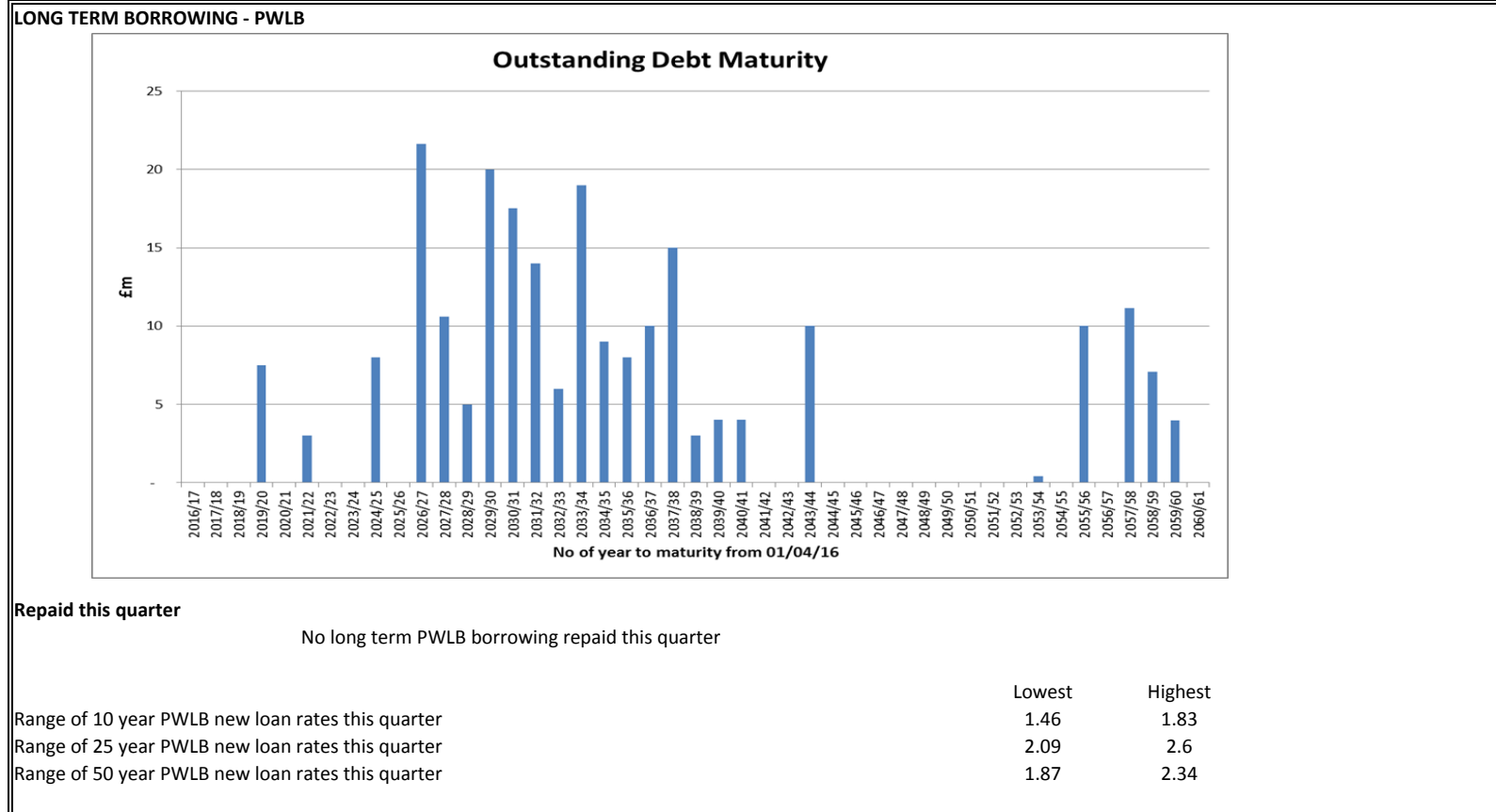


Table 4 - INVEST TO SAVE FUNDING

Financial Institution	Date	Period of loan	Repayment date	Amount borrowed £(000)	Outstanding Balance at end of Qtr 2 £(000)	Rate of interest %
Salix Finance Ltd Energy Efficiency Programme	26/03/2015	4 Years	01/04/2019	141	106	0.00

Green Investment Bank:

- 25 year reducing balance finance
- balance of £5.83m outstanding at the end of quarter two
- there were no repayments during this quarter

COMPLIANCE WITH TREASURY MANAGEMENT STRATEGY

Table 5

All transactions properly authorised	✓
All transactions in accordance with approved policy	✓
All transactions with approved counterparties	✓
Cash Flow successfully managed to maintain liquidity	✓
Any recommended changes to procedures	✓

SOUTHEND-ON-SEA BOROUGH COUNCIL

REVISIONS TO THE 2016/17 TREASURY MANAGEMENT POLICY AS A RESULT OF THE AMENDMENTS TO THE COUNCIL'S SENIOR MANAGEMENT STRUCTURE

Section	Change	Paragraph
Treasury Management Policy Statement	Change 'Head of Finance and Resources' to 'Director of Finance and Resources'	12.1
Treasury Management Policy Statement	For the approval of short/long term investments, in the 'In their absence, delegated to' column, change 'Director of Corporate Services' to 'Group Manager (Financial Planning & Control)'	Annex 1
Treasury Management Strategy	Change 'Head of Finance and Resources' to 'Director of Finance and Resources'	4.2

This page is intentionally left blank

Southend-on-Sea Borough Council

Agenda
Item No.

11

Report of Chief Executive & Town Clerk

to
Cabinet

on

8th November 2016

Report prepared by:

John Williams, Director of Legal & Democratic Services

Office of Surveillance Commissioners – Inspection Report

**Policy & Resources Scrutiny Committee –
Executive Councillor: Councillor Moring**

A Part 1 public agenda item

1. Purpose of Report

To report on the result of a recent inspection carried out by the Office of Surveillance Commissioners (OSC) of the arrangements made by the Council to ensure compliance with the statutory provisions which govern the use of covert surveillance, particularly the Regulation of Investigatory Powers Act 2000 (“RIPA”)

2. Recommendations

- 2.1 To note the report of the Assistant Surveillance Commissioner dated 8th August 2016 attached at Appendix 1.**
- 2.2 To note that the recommendations in the report will be implemented.**
- 2.3 To approve the amendments to the Council’s *“Policy and Procedures for undertaking Directed Covert Surveillance and the use of Covert Human Intelligence Sources”* as recommend by the Assistant Surveillance Commissioner and highlighted in Appendix 2.**

3. Background

- 3.1 If a Council wants to carry out directed covert surveillance then:**
 - (a) It must be in connection with the investigation of a criminal offence which attracts a maximum custodial sentence of 6 months or more, or involves the underage sale of alcohol or tobacco;**

- (b) It must not be intrusive surveillance (only the Police can carry out intrusive surveillance inside a house or vehicle);
 - (c) Such surveillance must be properly authorised internally. In particular authorising officers must be formally designated and trained – and only authorised and trained officers should carry out surveillance;
 - (d) A Justice of the Peace must make an Order approving the grant of authorisation referred to in (c) above; and
 - (e) There must be compliance with the Codes of Practice issued by the OSC and Home Office – and the Council’s own Policy & Procedures (see 3.3 below).
- 3.2 Similar requirements also apply if the Council wants to use a covert human intelligent source (CHIS).
- 3.3 In order to ensure that the Council acts legally and properly and complies with RIPA, it has put in place a *“Policy and Procedures for undertaking Directed Covert Surveillance and the use of Covert Human Intelligence Sources”*
- 3.4 In 2010 pursuant to Section 71 of RIPA, the Home Office issued a revised Code of Practice ‘Covert Surveillance and Property Interference’. The Code provides that elected Members of a local authority should review the authority’s use of the 2000 Act [RIPA] and it’s Policy.

An annual report was submitted to Cabinet on 28 June 2016 reporting on RIPA activity (which was very limited) and recommending minor revisions to the *“Policy and Procedures for undertaking Directed Covert Surveillance and the use of Covert Human Intelligence Sources”* to reflect legislative change and good practice. These revisions were agreed and endorsed at Council on 21 July 2016.

- 3.5 In view of the sensitivity and importance of the subject, the OSC arranges for regular inspections of public bodies (including local authorities) which carry out, or may carry out, covert surveillance.

On 8th August 2016 His Honour Brian Barker CBE, QC, an Assistant Surveillance Commissioner carried out an inspection of the arrangements made by Southend-on-Sea Borough Council to ensure compliance with the statutory provisions which govern the use of such surveillance.

The Inspection Report is attached at **Appendix 1** and this has found the Council’s systems to be in generally good order.

3.6 Three recommendations have been made and these will all be implemented:

(a) The first recommendation is to make a few minor additions to the Council's "*Policy and Procedures for undertaking Directed Covert Surveillance and the use of Covert Human Intelligence Sources*".

Attached at **Appendix 2** is this document with the proposed amendments highlighted.

(b) The second recommendation is that the Chief Executive should receive some training so he can be an Authorising Officer and this is in progress.

(c) The third recommendation is about raising the level of awareness among Members by more frequent reports, including a focus on the use of social media and the care which is needed. This will be addressed.

4. Other Options

None

5. Reasons for Recommendations

To respond to the recommendations of the OSC inspection.

6. Corporate Implications

6.1 Contribution to Council's Vision & Corporate Priorities

Excellent – Deliver targeted services that meet the identified needs of our community.

6.2 Financial Implications

None

6.3 Legal Implications

This report addresses the recommendations of the OSC to ensure compliance with the law.

6.4 People Implications

None

6.5 Property Implications

None

6.6 Consultation

Internal only

6.7 Equalities and Diversity Implications

None

6.8 Risk Assessment

Having an up to date RIPA Policy and Procedures ensures any risks associated with surveillance or use of a CHIS are minimised.

6.9 Value for Money

N/A

6.10 Community Safety Implications

N/A

6.11 Environmental Impact

N/A

7. Background Papers

None

8. Appendices

Appendix 1 - OSC Inspection report dated 8 August 2016

Appendix 2 – “*Policy and Procedures for undertaking Directed Covert Surveillance and the use of Covert Human Intelligence Sources*” with proposed amendments highlighted



OFFICE OF SURVEILLANCE COMMISSIONERS

INSPECTION REPORT

Southend Borough Council

8th August 2016

**Assistant Surveillance Commissioner:
HH Brian Baker CBE, QC.**

OFFICIAL- SENSITIVE

DISCLAIMER

This report contains the observations and recommendations identified by an individual surveillance inspector, or team of surveillance inspectors, during an inspection of the specified public authority conducted on behalf of the Chief Surveillance Commissioner.

The inspection was limited by time and could only sample a small proportion of covert activity in order to make a subjective assessment of compliance. Failure to raise issues in this report should not automatically be construed as endorsement of the unreported practices.

The advice and guidance provided by the inspector(s) during the inspection could only reflect the inspectors' subjective opinion and does not constitute an endorsed judicial interpretation of the legislation. Fundamental changes to practices or procedures should not be implemented unless and until the recommendations in this report are endorsed by the Chief Surveillance Commissioner.

The report is sent only to the recipient of the Chief Surveillance Commissioner's letter (normally the Chief Officer of the authority inspected). Copies of the report, or extracts of it, may be distributed at the recipient's discretion but the version received under the covering letter should remain intact as the master version.

The Office of Surveillance Commissioners is not a public body listed under the Freedom of Information Act 2000, however, requests for the disclosure of the report, or any part of it, or any distribution of the report beyond the recipients own authority is permissible at the discretion of the Chief Officer of the relevant public authority without the permission of the Chief Surveillance Commissioner. Any references to the report, or extracts from it, must be placed in the correct context.

OFFICIAL – SENSITIVE



Office of Surveillance
Commissioners

The Rt. Hon The Lord Judge
Chief Surveillance Commissioner,
Office of Surveillance Commissioners,
PO Box 29105
London SW1V 1ZU

August 11th, 2016.

INSPECTION REPORT SOUTHEND BOROUGH COUNCIL

Inspection August 8th, 2016.

Inspector His Honour Brian Barker CBE, Q.C.
Assistant Surveillance Commissioner.

Introduction:

1. Southend Borough Council is a unitary authority serving a population of 180,000, and has about 1800 staff. Despite having to find additional cuts of around £28m over the next three years front line services are being protected, and improvements are still able to be made from the capital budget to safe guard the attraction and reputation of the pier. The airport continues to expand with more routes being flown by easyJet and the Stobart Group is continuing to provide better facilities.
2. The council is organized on a cabinet basis with a leader and 61 councillors representing 17 wards. It elects a Mayor annually as first citizen.
3. The Chief Executive and Town Clerk, Ron Tinlim has been in post since 2005, and is supported by a Corporate Management Team. This consists of three Directors: for People, Place and for Corporate Services who has reporting to him the Head of Legal and Democratic Services, the Head of Finance and the Head of People and Policy
4. The last inspection was carried out by His Honour David Hodson on August 27th 2013. It was a positive report and he had noted the use of directed surveillance on three occasions since the 2010 inspection and was able to observe that the documentation was completed in an exemplary manner.
5. The address of the Civic Centre is Victoria Avenue, Southend on Sea, SS1 9SB

Past Recommendations:

6. Minor amendments to the Policy and Procedures document.

Inspection:

7. I was warmly welcomed by John Williams, Head of Legal and Democratic Services, Monitoring Officer and Senior Responsible Officer. The long established system of Mr. Williams has been for his principal legal executive to be the Co-ordinating Officer. This position has been recently taken up by Tessa O'Dowell who is currently on holiday. Also in attendance were:
 - Carl Robinson: Group Manager Regulatory Services (Trading Standards) and senior Authorising Officer
 - David Baxter: Regulatory Services Officer.
8. I was provided with well-prepared reference materials and a master file containing for example OSC Annual Reports, and we embarked on a wide-ranging discussion. I was taken through the way in which the authority had addressed, pretty successfully, the universal budgetary problems. Although there had been no direct policy to use more overt methods, covert surveillance applications have dropped in recent years. The higher threshold had played its part, but the team had also noted more nervousness in approach by investigative officer as familiarity with practical use declined.
9. It was clear, however, that RIPA awareness had remained on the agenda with easily findable material through hyperlinks on the internal intranet being regularly updated. Attention had also been paid to the Council's Internet site. The importance of being 'match fit' and the ability to recognise a *CHIS* situation should the need for use arise, and the insurance policy that being within the procedures provided were also discussed. The potential problems of the increased use of social media and the temptation of going beyond open source material had been appreciated having been raised in the training sessions, and we reflected on the increased need for vigilance in this area. We discussed the possibility of investigations by the Children's Services straying into *RIPA* territory and it was agreed that checks would be made with the appropriate managers and probable inclusion for awareness training in the next session.
10. The deputed Authorising officers were an experienced team and in addition to Carl Robinson consisted of Steve Crowther: Group Manager Waste and Environmental Care and Simon Ford: Group Manager Community Safety and Crime Reduction.

11. Working closely with the SRO was David Kleinberg: Group Manager of Counter Fraud and Investigation, Authorising Officer and employee of Thorrock Borough Council who runs a free standing and busy fraud investigation department and is contracted to take all Southend's investigations. He was available, and was able to tell me of their growth, some of their successes and of the requests for advice and assistance that his team had received from other agencies; and of an expansion into cyber crime. He took responsibility for matters undertaken on behalf of Southend Borough Council and kept separate records, but these were monitored in turn by John Williams.
12. Ron Tinlim, the Chief Executive and Town Clerk who although has not been *RIPA* trained and not an Authorising Officer for the specified cases, has expressed a continuing interest in the use of *RIPA* and is informed of any *RIPA* activity.

recommendation

Examination of Central Record:

- 13 The records are kept on the standard computer spread sheets. I was able to examine the retained hard copies. There have been two approved authorisations of directed surveillance since the last inspection:
 - 2013: underage test purchases relating to alcohol at nine named outlets
 - 2014: investigating a suggestion that a tenant who was claiming benefit and living alone was subletting. The allegation was not supported and no proceedings resulted.The applications and subsequent stages were balanced, addressed the requirements and were in good order.
14. In addition a 'Non RIPA Register' is kept, where again the considerations were observed appropriately. Used sparingly, there were two underage tests in 2015 and one in 2016 at licensed premises. These following a well publicized campaign 'Challenge 25' to ensure bar staff compliance where it was indicated testing would take place.

Policy and Procedures:

15. The current document has been updated a number of times, the last being in June 2016. It runs to 32 pages with appendices of sample forms, and is comprehensive and clearly written, including useful practical examples where appropriate. Part 1, of 15 pages, covers basic matters and picks up for example on procedure for *non RIPA* investigations with examples such as diary sheets recording disturbance from alleged businesses run from home. Parts 2 and 3 deal specifically with detailed procedures for undertaking directed covert surveillance and the use of *CHIS* respectively.

16. To further assist the reader, we discussed that it would help to have in the initial introduction the names and contact details of the SRO, the Co-ordinator and the Authorising Officers, the fact that the Policy should be read in conjunction with the *Home Office Codes of Practice* and *OSC Guidance* [email links supplied], and the exhortation that the advice of the Legal Services should be sought at the earliest stage.
17. Sections on Internet and Social Media Investigations (para 6.5.2.) and Using the Internet to Conduct Online Covert Activity (para 8) had been recently expanded and gave clear guidance.
18. There was no reference to the preferred practice of the Authorising Officer attending the Magistrates' Court to assist if necessary (OSC Procedure and Guidance 291), and this would be inserted.
19. Although the well known flow charts relating to authorising procedures and the application to the Magistrates were available in the training material, it was agreed it would be helpful to add these in the Appendix.

recommendation

Training:

20. Consistent policy has been to provide one external Refresher training session each year for staff directly involved with *RIPA*, and awareness training for staff who could inadvertently undertake *RIPA* surveillance. New staff who could be involved with *RIPA* are briefed as part of their induction. Staff appraisal is expected to include discussion with their manager regarding *RIPA* material where appropriate.
21. Training has been regularly provided over a number of years by Peter Fowler of PHF Training Ltd. I have seen some of the material provided and it is of a good standard. The records of May 2015 and two days in May 2016 show a wide attendance. 2016 included further advice on the use of social media and the 2017 sessions will include a section on *CHIS* use. He has a good relationship with the authority and provides regular updates and provides advice when required.

Councillors

22. A report of *RIPA* use is submitted to the first Cabinet in the municipal year by the SRO, and this year at the same time meeting the updates were approved. In addition training reports are available for scrutiny.
23. My impression is that whilst there has been a consistent effort to keep awareness up among investigative staff, the awareness level of the availability and scope of *RIPA* procedures among most of the elected members is bound to be patchy. In these challenging times,

opportunities through more regular short reports and through the intranet should be taken to raise profile.

recommendation

CCTV

24. My inspection finished with a visit to the CCTV centre, situated half a mile away. I was welcomed by the Barry Davis who has been Team Leader for five years. He draws on a total of nine trained staff, with two operative on duty at any one time and third on Friday and Saturday night. The system is three and half years old with a mixture of cameras, and digital down load. The majority of the 165 cameras are in and around the High Street but also cover the third party operated Estuary Housing. There are radio links with pubs and clubs and the Essex Police HQ in Chelmsford.
25. Around 7000 incidents were recorded in the incident log in 2015, and footage is regularly used for prosecutions, and on our visit a continuity officer was present preparing evidence and appropriate documentation.
26. The *RIPA* authorisations are kept in one file under lock and key and the log and authorisation sheets are kept separately and also securely. There has only been once application in each of 2014, 2015 and 2016 and it was not thought necessary for the process to be computerized. Several mobile cameras are available for overt hire with signage, and a separate log is kept. All the documentation was in good order, and I was told that Peter Fowler makes himself available to advise and offer suggestions when appropriate.
27. The facility is clearly a well run and efficient facility. It has received a number of awards, and this year was awarded a National CCTV Users Groups Excellence Award both for the Manager and for the Team.

Conclusions

28. Despite the low usage, a proper focus has been maintained on regular training and discussion and the authority's approach to *RIPA* has clearly benefited both from the continuity of experience of Mr. Williams, and from the obvious team spirit and enthusiasm that exists with the appropriate managers.
29. I am confident from my inspection that the Borough Council is in a position to deal properly with any investigations that may arise, and are alive both to changing habits and use of personal postings on the internet, as well as for need for continued awareness. The limited recommendations I make, I hope will improve what is already a well polished system.

30. I wish to record my thanks to Mr Williams for his organization and hospitality, and to the other officers for their cooperation and help during my inspection.

Recommendations

30. *i: minor additions to the Policy and Procedures Document*
- ii: the Chief Executive and Town Clerk to receive some one to one training from the SRO so that he would be able to be an Authorising Officer in the unlikely event that an Annex A situation should arise.*
- iii. raise the awareness level among the elected members by more frequent reports of [non] use, and the occasional targeted circulation of explanations of the potential use of the tool and the care needed with interrogation of social media.*

Brian Barker,
Assistant Surveillance Commissioner.

**Policy and Procedures
for undertaking Directed Covert Surveillance
and the use of Covert Human Intelligence Sources**

Produced by:

- Internal Audit Services, April 2010
- Updated w.e. 1st November 2012
- Updated May 2014
- Updated June 2016
- UPDATED OCTOBER 2016

CONTENTS

PART 1 POLICY FOR UNDERTAKING DIRECTED COVERT SURVEILLANCE AND USE OF COVERT HUMAN INTELLIGENCE SOURCES

1. Introduction
2. Background
3. What is Surveillance?
4. What is a Covert Human Intelligence Source (CHIS)?
5. Procedural principles for Surveillance and use of CHISs
6. Surveillance outside of RIPA
- 7. Internet and use of Social Media within investigations*
- 8. Use of CCTV*
- 9. Complaints*
- 10. The OSC*

PART 2 DETAILED PROCEDURES FOR UNDERTAKING DIRECTED COVERT SURVEILLANCE

1. Purpose
2. Scope
3. Procedure
4. Joint Agency Surveillance

PART 3 DETAILED PROCEDURES FOR USE OF COVERT HUMAN INTELLIGENCE SOURCES

1. Purpose
2. Scope
3. Procedure

APPENDIX 1 *a) Flow Chart Directed Covert Surveillance*

b) Sample application form for use of Directed Covert Surveillance

APPENDIX 2

a) Flow Chart for the procedure for the Application to the Justice of the Peace for an order to approve the grant of a RIPA Authorisation or Notice

b) Copy application form and order for judicial approval

PART 1: POLICY FOR UNDERTAKING DIRECTED COVERT SURVEILLANCE AND USE OF COVERT HUMAN INTELLIGENCE SOURCES

1. Introduction

1.1 The performance of certain investigatory functions of Local Authorities may require the surveillance of individuals or the use of informants. Such actions may intrude on the privacy of individuals and can result in private information being obtained and as such, should not be undertaken without full and proper consideration. *The Regulation of Investigatory Powers Act 2000 (RIPA) and associated legislation* now governs how Local Authorities should administer and record surveillance and the use of informants and renders evidence obtained lawful for all purposes. This Policy sets out the Council's rules and procedures.

1.2 The purpose of this Policy is to ensure there is a consistent approach to the undertaking and authorisation of surveillance activity. Therefore this Policy is to be used by all Council service areas and officers undertaking investigation work and using the techniques of surveillance or the use of Covert Human Intelligence Sources (CHIS's).

1.3 *Failure to comply with RIPA may leave the Council open to potential claims for damages or infringement of individual's human rights. It may also mean that any evidence obtained in breach of the provisions of RIPA is rendered inadmissible in Court.*

1.4 In this Policy the following terms shall have the meanings stated:

"Investigating Officer" – shall mean any Council Officer undertaking or wishing to undertake directed covert surveillance or to use a CHIS provided he / she has received appropriate training.

"Authorising Officer" – shall mean all Chief Officers and the following Group Managers in the Department for Place (Group Manager, Regulatory Services; Group Manager, Waste & Environmental Care and Group Manager, Partnership Community Safety) who can authorise directed covert surveillance or the use of a CHIS provided he / she has received appropriate training. *The currently authorised and trained officers are Rob Tinlin, Steven Crowther and Carl Robinson.*

robtinlin@southend.gov.uk

stephencrowther@southend.gov.uk

carlrobinson@southend.gov.uk

"Senior Responsible Officer" – shall mean the *Director* of Legal & Democratic Services, *a role currently held by John Williams.*

johnwilliam@southend.gov.uk

“Principal Legal Executive” – shall mean the officer with this job title, *a role currently held by Tessa O’Connell.*
tessaconnell@southend.gov.uk

1.5 This Policy was updated in April 2010 to reflect the following Statutory Instruments and new codes of practice for Directed Covert Surveillance and Covert Human Intelligence Source (CHIS):

- The Regulation of Investigatory (Communications Data) Order 2010 [SI 2010/480].
- The Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) Order 2010 [SI 2010/521] together with an Explanatory Memorandum as amended by the Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) (Amendment) Order 2012 [SI 2012/1500].
- The Regulation of Investigatory Powers (Covert Human Intelligence Sources: Code of Practice) Order 2010 [2010/462] together with an Explanatory Memorandum.
- The Regulation of Investigatory Powers (Covert Surveillance and Property Interference: Code of Practice) Order 2010 [SI 2010/463] together with an Explanatory Memorandum.
- The Regulation of Investigatory Powers (Extension of Authorisation Provisions: Legal Consultations) Order 2010 [SI 2010/461] together with an Explanatory Memorandum.

~~1.6~~ Failure to comply with RIPA may leave the Council open to potential claims for damages or infringement of individual’s human rights. It may also mean that any evidence obtained in breach of the provisions of RIPA is rendered inadmissible in Court.

1.6 This Policy was further updated in November 2012 to reflect the provisions of the Protection of Freedoms Act 2012 which from the 1st November 2012 requires that a Justice of the Peace (“JP”) must approve all Local Authority RIPA applications and renewals.

Two guidance documents explaining this new authorisation process have been issued by the Home Office to Local Authorities and Magistrates and these are available on the following websites:

<https://osc.independent.gov.uk/wp-content/uploads/2016/07/OSC-Procedures-Guidance-July-2016.pdf>

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/118173/local-authority-england-wales.pdf

1.7 This Policy was again updated in June 2016 to incorporate additional information on surveillance outside RIPA in Section 6 and regarding the internet and social media in Section 8.

1.8 *This Policy is intended to be a best practice guide. It is not intended to replace the Home Office or OSC Codes. However, following the Policy ensures compliance with the Codes.*

This is not intended to be an exhaustive guide and specific legal advice should be sought if officers do not find questions answered after reading this document and the Home Office and OSC Codes. Officers should always consult the Legal Team before seeking authorisation.

2. Background

2.1 On 2nd October 2000 the Human Rights Act 1998 (HRA) came into force making it potentially unlawful for a Local Authority to breach any article of the European Convention on Human Rights (ECHR). Any such breach may now be dealt with by the UK courts directly, rather than through the European Court at Strasbourg.

2.2 Article 8 of the ECHR states that everyone has the right to respect for his private and family life, his home and his correspondence. There shall be no interference by a public authority with the exercise of this right except such as is in accordance with the law and is necessary in a democratic society in the interests of:

- National security
- Public safety
- The economic well-being of the country
- The prevention of disorder or crime
- The protection of health or morals
- The protection of the rights and freedoms of others

2.3 The performance of certain functions by Local Authorities may require the directed covert surveillance of individuals or the use of informants, known as CHIS.

- 2.4 Those who undertake directed covert surveillance on behalf of a Local Authority may breach an individual's human rights, unless such surveillance is consistent with Article 8 of the ECHR and is both necessary and proportionate to the matter being investigated.
- 2.5 As a result of the legislative changes referred to in 1 above, Local Authorities can now only authorise directed covert surveillance under RIPA for the purpose of preventing or detecting conduct which constitutes a criminal offence which is:
- (a) punishable (whether on summary conviction or indictment) by a maximum term of at least six months imprisonment; or
 - (b) involves the sale of alcohol or tobacco to children.
- 2.6 Furthermore the Council's authorisation can only be given effect once an Order approving the authorisation has been granted by a JP.
- 2.7 Note
- A Local Authority cannot authorise the use of directed covert surveillance under RIPA to investigate low level offences e.g. littering, dog control and fly posting. Neither can a Local Authority authorise such surveillance for the purpose of preventing disorder, unless this involves a criminal offence punishable in the way described above.
 - The crime threshold referred to above applies only to the authorisation of directed covert surveillance under RIPA, not to the authorisation of ~~Local Authority use of a~~ CHIS or their acquisition of communications data.
- 2.8 In order to properly regulate the use of directed covert surveillance and the use of CHISs in compliance with the HRA, the Regulation of Investigatory Powers Act 2000 (RIPA) came into force on 25th September 2000.
- 2.9 RIPA requires that all applications to undertake directed covert surveillance of individuals or to use CHISs are properly authorised, recorded and monitored. This Policy sets out the procedures that need to be followed by officers of the Council prior to undertaking and during such activities, to meet the requirements of RIPA.
- ~~2.10 Failure to comply with RIPA may leave the Council open to potential claims for damages or infringement of individual's human rights. It may also mean that any evidence obtained in breach of the provisions of RIPA is rendered inadmissible in Court.~~

3. What is Surveillance?

3.1 Surveillance is:

- Monitoring, observing or listening to persons, their movements, their conversations or their other activities or communications.
- Recording anything monitored, observed or listened to in the course of surveillance, with or without the assistance of a device.

3.2 By its very nature, surveillance involves invading an individual's right to privacy. The level of privacy which individuals can expect depends upon the nature of the environment they are within at the time. For example, within an individual's own home or private vehicle, an individual can expect the highest level of privacy. The level of expectation of privacy may reduce if the individual transfers out into public areas.

3.3 There are different types of surveillance which, depending on their nature, are either allowable or not allowable and require different degrees of authorisation and monitoring under RIPA.

3.4 **Overt surveillance** is where the subject of surveillance is aware that it is taking place. Overt surveillance does not contravene the HRA and therefore does not require compliance with RIPA. Therefore authorisation is not required for surveillance of the following kinds:

- General observations that do not involve the systematic surveillance of an individual or a group of people.
- Use of overt CCTV surveillance.
- Use of overt ANPR systems to monitor traffic flows or detect motoring offences.
- Surveillance undertaken as an immediate response to a situation.
- Review of staff usage of the internet & e-mail (but see Section 6 below).

3.5 **Covert surveillance** is defined as "surveillance which is carried out in a manner calculated to ensure that the persons subject to the surveillance are unaware that it is or may be taking place" and is covered by RIPA. Covert surveillance is categorised as either intrusive or directed.

3.6 **Intrusive covert surveillance** is defined as covert surveillance that is carried out in relation to anything taking place on any residential

premises or in any private vehicle and involves the presence of an individual on the premises or in the vehicle or is carried out by means of a surveillance device. RIPA does not empower Local Authorities to authorise or undertake intrusive covert surveillance. Other means of investigation should be considered.

3.7 **Directed covert surveillance** is surveillance which is covert but not intrusive and undertaken:

- For the purposes of a planned specific investigation or operation;
- In such a manner as is likely to result in the obtaining of private information about a person (whether or not that person is specifically targeted for the purposes of an investigation or operation);and
- Other than by immediate response to circumstances when it would not be practical to seek authorisation, for example, noticing suspicious behaviour and continuing to observe it.

3.7.1 Private information should be interpreted to include any information relating to an individuals private, family or working life. The concept of private information should be taken generally to include any aspect of a person's private or personal relations with others, including family and professional or business relationships. Family life should be treated as extending beyond the formal relationships created by marriage.

3.7.2 Whilst a person may have a reduced expectation of privacy when in a public place; directed covert surveillance of that person's activities in public may still result in the obtaining private information.

3.7.3 Private information may include personal data, such as names, telephone numbers and address details. Where such information is acquired by means of directed covert surveillance of a person having a reasonable expectation of privacy authorisation is required.

3.7.4 Directed covert surveillance involves the observation of a person or persons with the intention of gathering private information to produce a detailed picture of a person's life, activities and associations. Private information may include personal data such as names, telephone numbers and address details.

3.7.5 Directed covert surveillance does not include entry on or interference with property or wireless telegraphy but may include the use of photographic and video equipment (including the use of CCTV).

3.7.6 Directed covert surveillance is covered by RIPA and requires prior authorisation.

4. What is a Covert Human Intelligence Source (CHIS)?

- 4.1 A CHIS is defined in section 25(7) of the RIPA as a person who establishes or maintains a personal or other relationship with another person for the covert purpose of facilitating anything that:
- (a) Covertly uses such a relationship to obtain information or to provide access to any information to another person; or
 - (b) Covertly discloses information obtained by the use of such a relationship or as a consequence of the existence of such a relationship.
- 4.2 By virtue of section 26(9)(b) of RIPA a purpose is covert, in relation to the establishment or maintenance of a personal or other relationship, if and only if, the relationship is conducted in a manner that is calculated to ensure that one of the parties to the relationship is unaware of the purpose.
- 4.3 By virtue of section 26(9)(c) of RIPA a relationship is used covertly, and information obtained as above is disclosed covertly, if and only if it is used or, as the case may be, disclosed in a manner that is calculated to ensure that one of the parties to the relationship is unaware of the use or disclosure in question.
- 4.4 **It is not anticipated that CHISs will be used in the normal course of Council investigatory activity.** Any Council Officer considering the use of a CHIS must first contact the Senior Responsible Officer or the Principal Legal Executive to discuss the suitability of this approach.
- 4.5 Authorisation is not required when individuals, including members of the public, are requested to provide information pertaining to other individuals, unless they are required to form a relationship, or manipulate an existing relationship with those other individuals.

5. Procedural principles for Surveillance and use of CHIS's

- 5.1 Comprehensive procedures for undertaking directed covert surveillance and the use of CHISs are given in Parts 2 and 3 of this Policy respectively.
- 5.2 The conduct of surveillance which is consistent with these procedures can be undertaken with confidence that any evidence obtained will be admissible in a criminal trial, provided the conduct is authorised and is carried out in accordance with the authorisation. The authorisation must be shown to be necessary on the grounds of preventing or detecting crime (see 2.5 above).

5.3 The Investigating Officer seeking authorisation for directed covert surveillance or CHIS activity and the Authorising Officer must give consideration to the following factors:

- **Necessity** – Is directed covert surveillance or CHIS activity the only or best way to obtain the desired information, or are other less invasive methods appropriate?
- **Proportionality** – Is the surveillance activity or CHIS activity proportional to the evidence that will be obtained and to the privacy the subject could reasonably expect? The methods used to obtain evidence should not be excessive and should be as non-invasive as it possible. The surveillance should not restrict an individual's right for privacy more than is absolutely necessary.
- **Collateral Intrusion** – Will the surveillance result in the observing of innocent people? If so can it be avoided or minimised?

5.4 Further Considerations:

- Does the application relate to a prevalent offence which has a maximum sentence of at least 6 months or relate to the sale of alcohol or tobacco to children
- Have other ways of getting the information been investigated?
- Is surveillance a reasonable approach and “not a sledge hammer to crack a nut”?
- The risk of the direct surveillance and CHIS activity must be considered and managed.
- Surveillance authorisations remain valid for 3 months but must be cancelled prior to that if no longer required.
- CHIS authorisations remain valid for 12 months and must be cancelled prior to that if no longer required.
- Authorisations should be periodically reviewed by the Authorising Officer and the need for continued surveillance or CHIS activity ascertained; if no longer required authorisations should be cancelled.

5.5 All officers undertaking directed cover surveillance or wishing to use a CHIS must have received appropriate training to enable them to undertake this task.

- 5.6 Training should be periodically arranged to ensure that sufficient Authorising Officers are available.
- 5.7 Where directed cover surveillance or the use of a CHIS is likely to result in the obtaining of confidential information, it is imperative that legal advice should first be sought from the Senior Responsible Officer or the Principal Legal Executive. Confidential information includes, though is not limited to, matters subject to legal privilege, confidential personal information and confidential journalistic material. Confidential personal information is information held in confidence relating to the physical or mental health or spiritual counselling concerning an individual (whether living or dead) who can be identified from it.
- 5.8 The application for authorisation must include the following elements and the Authorising Officer must consider these, before authorising the directed covert surveillance or CHIS activity:
- full details of the reason for the directed covert surveillance or CHIS activity and the intended outcome;
 - the proposed surveillance activity described as fully as possible, with the use of maps or other plans as appropriate;
 - the necessity and proportionality to the potential offence consideration and whether other methods of less intrusive investigation should / have been attempted and whether they are appropriate;
 - the resources to be applied and tactics and methods should also be included;
 - the anticipated start date and duration of the activity, if necessary broken down over stages;
 - details (including unique reference number) of any surveillance previously conducted on the individual.
- 5.9 In addition the Authorising Officer should notify the Chief Executive and Town Clerk of an authorisation.
- 5.10 Services that undertake surveillance activity or use of CHISs should put in place adequate arrangements for the retention of evidence gathered. The arrangements must comply with the Criminal Procedure and Investigations Act 1996.
- 5.11 Evidence or intelligence obtained as a result of a RIPA authorisation should not be passed to other agencies such as the Police unless the request meets the Data Protection Act requirements. Therefore a section 29 DPA form should be received by the officer in charge of the Council investigation. This will assist with oversight of the process.

5.12 The Authorising Officer's statement on the authorisation form should clearly demonstrate agreement that the activity is necessary and proportionate and that he / she has thoroughly considered the matter before authorising and state exactly what activity is authorised, against whom, where and in what circumstances..

5.13 The responsibilities of the Senior Responsible Officer are:

- Maintaining the Council's RIPA Policy and Procedures
- Ensuring the integrity of the processes in place within the Council to authorise directed covert surveillance
- compliance with the legislation and Codes of Practice
- engagement with the Office of Surveillance Commissioners ("OSC") and inspectors when they conduct their inspections,
- where necessary, overseeing the implementation of any post inspection action plans recommended or approved by a Commissioner; and
- for ensuring that all *Authorising Officers* are of an appropriate standard in light of any recommendations in the inspection reports prepared by the ~~Office of Surveillance Commissioners~~ OSC. Where an inspection report highlights concerns about the standards of *Authorising Officers*, this individual will be responsible for ensuring the concerns are addressed.

5.14 The Principal Legal Executive will maintain a Central Record of RIPA Applications and Authorisations (including the JP approval form). This Central Record will be used to track the progress of authorisations and ensure that reviews, renewals and cancellations take place within the prescribed timeframe. Copies of all RIPA authorisations, reviews, renewals and cancellations should be forwarded to the Principal Legal Executive promptly. The record will be available to the ~~Office of Surveillance Commissioners ("OSC")~~ OSC, at any time. The Central Register format will be consistent with that detailed in the Home Office Code of Practice.

5.15 A report on the use of RIPA will be submitted to the first Cabinet in the municipal year. Cabinet will consider this Policy and review the Council's use of RIPA.

5.16 The head of each section which undertakes directed surveillance or CHIS activity will ensure that:

- staff receive the necessary training;

- all activity is in accordance with RIPA, the Codes of Practice and this Policy; and
- relevant procedures are maintained to ensure the above.

6. Surveillance outside of RIPA

- 6.1 As a result of the change in the law from the 1st November 2012 directed surveillance under RIPA will only apply to the detection and prevention of a criminal offence that attracts a penalty of 6 months imprisonment or more or relates to the sale of alcohol or tobacco to children. This essentially excludes surveillance of many offences that the Council may investigate such as disorder (unless it has 6 months custodial sentence) and most summary offences such as littering, dog fouling etc. Other examples are referred to below.
- 6.2 This change does not mean that Council enforcement officers cannot undertake such surveillance, but because it is **not** regulated by the OSC, responsibility for monitoring this type of activity falls to the Council's Senior Responsible Officer (SRO). As a result procedures need to be in place to ensure that the Council can prove that it has given due consideration to necessity and proportionality which are central tenets of European Law and the likely grounds of any challenge.
- 6.3 If it is necessary for the Council to undertake surveillance which does not meet the criteria to use the RIPA legislation, (such as in cases of disciplinary investigations against staff or surveillance relating to Anti-social behavior appertaining to disorder). ~~The~~ Council must still

(a) ~~meet~~ its obligations under the Human Rights Act; and

(b) be able to demonstrate that its actions which may infringe a person's article 8 rights to privacy are necessary and proportionate, which includes taking account of the intrusion issues.

To demonstrate this accountability, the decision making process and the management of such surveillance must be documented.

Therefore, should staff have a requirement to undertake such surveillance outside of RIPA, they should complete the Non RIPA Surveillance form (available from the RIPA pages on the intranet). This should be submitted to one of the RIPA Authorising Officers listed within this Policy to be considered for authorisation before any activity can be undertaken. There will be no requirement to have the authorisation approved by a ~~Justice of the Peace~~ JP. Should the activity be approved, the procedures to be followed will be the same as

any RIPA authorised activity. Therefore, the Council expects that the procedure and management of the activity, (from the initial surveillance assessment, through to completion and cancellation) ~~to be managed appropriately~~ *should be* at the same level ~~that the~~ *as required under* RIPA legislation and guidance ~~requires~~. For further advice, refer to the RIPA pages on the Intranet.

6.4 Examples of Surveillance outside of RIPA

6.4.1 Planning

Some planning scenarios require evidence to be gathered either before ~~or after service~~ *service* of a notice or ~~post service of a notice~~ to establish whether the notice has been breached. A common example may be someone running a car repair business from home. It is often the case that this causes disruption and disturbance to neighbours who complain. Diary sheets may be issued to establish the level of activity and the person may be spoken to by a Planning Enforcement Officer. It is often the case that the person states they only repair a few cars as a hobby for friends and family and are not running a business. At some stage it may be necessary for a Notice to be issued to the person. The repairs may then continue with the neighbours complaining. It is at this stage that targeted covert surveillance may be required as the best means of gathering the required information to establish if the Notice has been breached which would be a criminal offence. The offence does not meet the 6 months imprisonment criteria for it to be RIPA surveillance.

6.4.2 Social Services

~~Other examples may be~~ Social Services *may need to undertake* investigations to protect vulnerable persons such as children. These would not be treated as criminal investigations and are normally dealt with in the Family Court. There may be occasions where some form of targeted covert surveillance activity is required to gather evidence for decision making or court proceedings. It is often the case that this type of surveillance is carried out by outside contractors. If this is the case the above procedure for surveillance outside of RIPA should be followed in order to demonstrate that the Council has considered the activity with regard to Necessity and Proportionality and taken account of the intrusion on anyone.

6.4.3 Disciplinary Investigations

There may be serious disciplinary investigations that require some form of targeted covert surveillance activity which will engage article 8 rights to privacy. There is specific guidance issued by the Information Commissioners Office (ICO) in the Employment Practices Code under Part 3 Monitoring at Work. This guidance make it clear that surveillance should only be used for serious matters and that the activity must be Necessary and Proportionate taking account of the intrusion issues.

6.4.4 In the above scenarios, if these issues were criminal investigations and the offences carried the required sentence of 6 months imprisonment they would ~~be~~ *have to* meet the Directed Surveillance criteria under RIPA and would require authorisation. However these scenarios are to be treated as targeted surveillance operations outside of RIPA and the procedure for surveillance

outside of RIPA should be followed in order to demonstrate that the Council has considered the activity with regard to Necessity and Proportionality and taken account of the intrusion ~~on anyone~~ issues.

6.5 Other routine activity that may be surveillance

6.5.1 There are other routine scenarios that may amount to surveillance under the definition contained within the Codes of Practice and this Policy such as the **deployment of a noise recording machine**, which may be monitoring persons and conversations etc. In these instances the persons responsible for the noise are notified that the recording activity may take place, which would give them a reduced expectancy of privacy. However, the Council still has an obligation to consider the intrusion issues and Necessity and Proportionality which will include the management and disposal of any personal data obtained. Therefore staff should carry out some form of privacy impact assessment and be able to demonstrate why it was necessary to deploy the noise machine and that it was a proportionate response to the problem to be resolved. It is likely that this can be documented and managed within the case notes of that particular complaint.

6.5.2 Internet and Social Media Investigations (See further at Section 87 below)

Enquires by checking the internet and Social Media such as Facebook within investigations and complaints has now become common practice. However, it is well documented that these types of enquiries are no different to any other type of enquiry and may amount to Directed Surveillance under RIPA or Surveillance outside of RIPA. In either case the procedures in this Policy should be followed.

Whether the activity amounts to surveillance or not, staff have an obligation to consider Necessity and Proportionality and take account of the intrusion issues in all cases. The Council is a Public Authority in law and therefore has to take account of the HRA, which in turn means that staff have to take account of the legislation and be able to justify their actions. There is likely to be a considerable amount of intrusion with the likelihood of obtaining personal data. The OSC have advised carrying out a privacy assessment, which should be ongoing. The activities should be compliant with the HRA legislation, whether carried out within RIPA or outside of the RIPA legislation. The key issue is accountability and recording what and why the activities were taken.

The repeat covert viewing of someone's Social Media is likely to amount to monitoring which would be surveillance. Most activities will involve obtaining private information. If this is the case, and if the offences under investigation are criminal and have a sentence of 6 months imprisonment, an authorisation under RIPA should be considered. To covertly infiltrate a closed group in connection with a criminal investigation is likely to amount to a CHIS.

Most enquiries carried out by staff are not RIPA type enquiries. They may be to research a complaint or enquiry, which is not a RIPA scenario. Common internet checks are carried out to research a person's story to check it against their claim for something from the Council such as a homelessness claim. Checks are also carried out re debt recovery. Planning or licensing staff may check to see if someone is adhering to their licence.

87 Using the Internet to Conduct Online Covert Activity

- 87.1** The internet is a useful investigative tool, giving access to a large amount of information which could not otherwise be obtained. The techniques and websites used change frequently and so it is difficult for definitive guidance to be written by the OSC as, by the time it is published, it may be obsolete. There is also a lack of definitive case law in this area. However, there is no doubt that these types of enquiries pose a risk to the Council for breaches of privacy and non-compliance with RIPA.
- 87.2** The Codes of Practice at 2.29 now provide guidance regarding the use of the internet to conduct covert enquiries. Therefore, the guidance provided in the codes of practice have been replicated in full to avoid confusion.
- 87.3** Code 2.29 states “The use of the internet may be required to gather information prior to and/or during an operation, which may amount to directed surveillance. Whenever a public authority intends to use the internet as part of an investigation, they must first consider whether the proposed activity is likely to interfere with a person’s Article 8 rights, including the effect of any collateral intrusion. Any activity likely to interfere with an individual’s Article 8 rights should only be used when necessary and proportionate to meet the objectives of a specific case. Where it is considered that private information is likely to be obtained, an authorisation (combined or separate) must be sought as set out elsewhere in this Code. Where an investigator may need to communicate covertly online, for example contacting individuals using social media websites, a CHIS authorisation should be considered”.
- 87.4** There is no doubt that certain conduct of repeat viewing, particularly of Social Networking Sites may meet the test of surveillance. If this activity meets the test for Directed Surveillance then a RIPA authorisation should be sought.
- 87.5** If it does not meet the Directed Surveillance criteria it is essential that detailed notes be made by any officer viewing material on the internet explaining what they were seeking, why it was necessary and proportionate to do so and why prior authorisation was not sought. Where material is printed or saved consideration must be given to the management of collateral intrusion – there may be personal data of people not subject to the investigation and this must be managed appropriately.
- 87.6** There is other guidance available issued by the OSC which can be provided should staff require additional information. This can be obtained by contacting Head of Legal and Democratic Services or the Principal Legal Executive

78. Use of CCTV

- 78.1** The use of the CCTV systems operated by the Council do not normally fall under the RIPA regulations. However, it does fall under the Data Protection Act 1998 and the Council’s CCTV Policy. However, should there be a requirement for the CCTV cameras to be used for a specific purpose to conduct surveillance it is likely that the activity will fall

~~under~~ constitute directed covert surveillance and therefore require an RIPA authorisation.

~~78.2~~ On the occasions when the CCTV cameras are to be used for directed covert surveillance, (either by enforcement officers from relevant departments within the Council or outside Law Enforcement Agencies such as the Police), ~~either the CCTV staff are to~~ must have a copy of the notes of the application form in a redacted format, or a copy of the authorisation page. It is important that the staff check the authority and only carry out what is authorised.

~~78.3~~ Operators of the Council's CCTV system need to be aware of the RIPA issues associated with using CCTV and that continued, prolonged, systematic surveillance of an individual may require an authorisation.

9 Complaints

9.1 There is provision under RIPA for the establishment of an Independent Tribunal. This Tribunal will be made up of senior members of the legal profession or judiciary and will be independent of the government.

9.2 The Tribunal has full powers to investigate and decide upon complaints made to them within its jurisdiction, including complaints made by a person who is aggrieved by any conduct to which Part II of RIPA applies, where he believes such conduct to have taken place in "challengeable circumstances" or to have been carried out by or on behalf of any of the intelligence services.

9.3 Conduct takes place in "challengeable circumstances" if it takes place:

- (i) with the authority or purported authority of an authorisation under Part II of the Act; or
- (ii) the circumstances are such that it would not have been appropriate for the conduct to take place without authority; or at least without proper consideration having been given to whether such authority should be sought.

9.4 Further information on the exercise of the Tribunal's functions and details of the relevant complaints procedure can be obtained from:

Investigatory Powers Tribunal
PO Box 33220
London
SW1H 9ZQ

020 7273 4514

9.5 Notwithstanding the above, members of the public will still be able to avail themselves of the Council's internal complaints procedure, where appropriate, which ultimately comes to the attention of the Local Government Ombudsman.

10 The Office of Surveillance Commissioners

10.1 The Act also provides for the independent oversight and review of the use of the powers contained within Part II of RIPA, by a duly appointed Chief Surveillance Commissioner.

10.2 The Office for Surveillance Commissioners (OSC) was established to oversee covert surveillance carried out by public authorities and within this Office an Inspectorate has been formed, to assist the Chief Surveillance Commissioner in the discharge of his review responsibilities.

10.3 One of the duties of the OSC is to carry out planned inspections of those public authorities who carry out surveillance as specified in RIPA, to ensure compliance with the statutory authorisation procedures. At these inspections, policies and procedures in relation to directed surveillance and CHIS operations will be examined and there will be some random sampling of selected operations. The central record of authorisations will also be inspected. Chief Officers will be given at least two weeks' notice of any such inspection.

10.4 An inspection report will be presented to the Chief Officer, which should highlight any significant issues, draw conclusions and make appropriate recommendations. The aim of inspections is to be helpful rather than to measure or assess operational performance.

10.5 In addition to routine inspections, spot checks may be carried out from time to time.

10.6 There is a duty on every person who uses the powers provided by Part II of RIPA, which governs the use of covert surveillance or covert human intelligence sources, to disclose or provide to the Chief Commissioner (or his duly appointed Inspectors) all such documents and information that he may require for the purposes of enabling him to carry out his functions.

PART 2 DETAILED PROCEDURE FOR UNDERTAKING DIRECTED COVERT SURVEILLANCE

1. Purpose

- 1.1 To ensure that surveillance is only undertaken in appropriate cases, is properly authorised and recorded and is compliant with the Human Rights Act 1998, the Regulation of Investigatory Powers Act 2000 and appropriate Code of Practices, made there under.

2. Scope

- 2.1 This procedure must be complied with by all sections and Investigating Officers, who routinely or occasionally undertake covert directed surveillance in connection with preventing or detecting crime (the only permitted purpose for such surveillance). Local investigation procedures should make reference to this Policy.

3. Procedure

- 3.1 It is very important that the correct authorisation procedure is followed prior to undertaking surveillance activity. Interference of the right to privacy without proper authorisation may render any evidence obtained unusable in a criminal court. If surveillance is conducted on individuals without the necessary authorisation, the Council and possibly individuals may be sued for damages for a breach of Human Rights. In civil matters adverse inferences may be drawn from such interference.
- 3.2 This procedure is supported by the Home Office “Code of Practice – Covert Surveillance” which is available on the Home Office website and the Procedures & Guidance issue by the OSC. If the surveillance is not likely to obtain private information, the eCodes do not apply. All Investigating Officers and Authorising Officers should fully acquaint themselves with the Codes of Practice and refer to it/them during both the application and authorisation processes.
- 3.3 All directed covert surveillance activity must be approved prior to the activity taking place by an Authorising Officer and a Justice of the Peace (“JP”). Officers seeking authority to undertake surveillance should complete the form, “Application for use of Directed Covert Surveillance”. A sample application form with notes and flowchart is attached at **Appendix 1**, but the latest version from the Gov.UK website must always be used. Completed application forms should be forwarded to the relevant Authorising Officer.
- 3.4 Completed authorisation forms should be allocated a reference number by the Investigating Officer relevant to the department / team and the particular investigation. The Investigating Officer should also obtain the next unique reference number from the Central Record of

RIPA Applications and Authorisations maintained by the Principal Legal Executive.

- 3.5 The Authorising Officer will consider the completed application form and inform the Investigating Officer of his / her decision. The Authorising Officer will retain a copy of the authorisation form and monitor this for review, renewal and cancellation should it be approved by a JP. The original will be required to be returned to the applicant if authorised to be presented before a JP. If refused by the Authorising Officer or JP the original will be forwarded to the Principal Legal Executive for filing.
- 3.6 In addition the Authorising Officer must notify the Chief Executive & Town Clerk of an authorisation.
- 3.7 The Investigating Officer and the Authorising Officer must give consideration to the following factors:
- **Necessity** – is covert surveillance the only or best way to retrieve the desired information, or is other less invasive methods appropriate?
 - **Proportionality:**
 - balancing the size and scope of the proposed activity against the gravity and extent of the perceived crime or offence;
 - explaining how and why the methods to be adopted will cause the least possible intrusion on the subject and others;
 - considering whether the activity is an appropriate use of the legislation and a reasonable way, having considered all reasonable alternatives, of obtaining the necessary result; and
 - evidencing, as far as reasonable practicable, what other methods had been considered and why they were not implemented.
 - **Collateral intrusion** – that is the obtaining of information relating to persons other than the subject of the investigation and the need to minimise this.
- 3.8 **Magistrates' Court Approval:** As from the 1st November 2012 all applications and renewals for Directed Covert Surveillance and use of a CHIS will be required to have a JP's approval.

3.9 Having had the activity authorised by the Authorising Officer, the Investigating Officer must now complete the relevant Judicial Approval form to seek approval from a JP. The Investigating Officer must ensure compliance with the statutory provisions and should refer to the Home Office publication (October 2012) “Protection of Freedoms Act 2012 – changes to provisions under the Regulation of Investigatory Powers Act 2000 (RIPA) Home Office guidance to local authorities in England and Wales on the judicial approval process for RIPA and the crime threshold for directed surveillance”

<https://www.gov.uk/government/publications/changes-to-local-authority-use-of-ripa>).

3.10 The Judicial Approval form (see **Appendix 2** *which also includes a flowchart*) will be submitted to the JP for approval. The form requires the Investigating Officer to provide a brief summary of the circumstances of the case on the judicial application form.

3.11 The contact numbers for Her Majesty’s Court and Tribunals Service to arrange a hearing is:

- Within office hours 01245 313315 or 01245 313313
- If out of hours the contact numbers are 07736 638551 or 07774 238418

3.12 At the hearing, the officer must present to the JP:

- the partially completed judicial approval/ order form;
- a copy of the RIPA application / authorisation form, together with any supporting documents setting out the case, and
- the original application / authorisation form (this must be retained by Investigating Officer).
- *It is preferred that the Authorising Officer also attends the hearing at the Magistrates Court*

3.13 The JP will consider the paperwork and may ask questions to clarify points or require additional reassurance on particular matters.

The JP will:

- Consider whether he or she is satisfied that at the time the authorisation was granted or renewed, there were reasonable grounds for believing that the authorisation was necessary and proportionate;

- Consider whether there continues to be reasonable grounds;
- Consider whether the person who granted the authorisation or gave the notice was an appropriate designated person within the Local Authority, and
- Consider whether if the authorisation was made in accordance with the law, i.e. that the crime threshold for directed covert surveillance has been met.

3.14 The JP may:

- Decide to approve the Grant or renewal of an authorisation which will then take effect and the Local Authority may proceed to use the technique in that particular case, or
- Refuse to approve the grant or renewal of an authorisation in which case the RIPA authorisation will not take effect and the Local Authority may not use the technique in that case.

3.15 Where an application has been refused the Investigating Officer should consider the reasons for that refusal. If more information was required by the JP to determine whether the application / authorisation has met the tests, and this is the reason for refusal, the Investigating Officer should consider whether they can reapply, for example, if there was information to support the application which was available to the Local Authority, but not included in the papers provided at the hearing.

3.16 Where the JP refuses to approve the application / authorisation or renew the application / authorisation and decides to quash the original authorisation or notice the court must not exercise its power to quash the application / authorisation unless the applicant has had at least 2 business days from the date of the refusal in which to make representations. If this is the case the officer will inform Legal Services who will consider whether to make any representations.

3.17 Whatever the decision, the JP will record their decision on the order section of the judicial application / order form. The court will retain the copy of the Local Authority RIPA application and authorisation form and the judicial application / order form. The officer will retain the original application / authorisation and a copy of the judicial application / order form.

3.18 As previously stated the Principal Legal Executive is responsible for giving each authorisation a central unique identification number using a standard consistent format and recording it in a Central Record of RIPA Applications and Authorisations. This is to ensure that an up-to-date central record is maintained for all directed covert surveillance activity. Similarly, copies of all cancellations, renewals and review applications should be forwarded to the Principal Legal Executive

promptly. The original authorisation should be kept on the investigation file.

- 3.19 The Investigating Officer and the Authorising Officer must consider the possibility that the surveillance activity may result in the acquiring of confidential information. If this is considered to be likely then the Investigating Officer must highlight this on the application.
- 3.20 Written surveillance authorisations last for a maximum of three months. Surveillance authorisations must be cancelled when no longer required (see 3.30 below).
- 3.21 All Investigating Officers completing RIPA applications must ensure that applications are sufficiently detailed. Authorising Officers should refuse to authorise applications that are not to the required standard and should refer them back to the Investigating Officers.
- 3.22 **Review:** Any proposed or unforeseen changes to the nature or extent of the surveillance operation which may result in the further or greater intrusion into the private life of any person should be brought to the attention of the Authorising Officer by means of a review.
- 3.23 The Authorising Officer has the responsibility to set the review dates for each authorisation and will determine what the review dates will be. The review date will be at most one month from the date approved by the JP or previous review. The Authorising Officer should conduct the review with the Investigating Officer. Reviews should not be conducted solely by the Investigating Officer. Details of the review should be recorded on the form "Review of the use of Directed Surveillance Authorisation", available on the Home Office website and retained with the original authorisation. The Authorising Officer must ensure through diarisation or otherwise that reviews are conducted at the correct date.
- 3.24 There is no requirement for a review form to be submitted to a JP. However if a different surveillance techniques is required it is likely a new application will have to be completed and approved by a JP.
- 3.25 **Renewal:** Should it be necessary to renew a Directed Covert Surveillance or CHIS application / authorisation, this must be approved by a JP.
- 3.26 Applications for renewals should not be made until shortly before the original authorisation period is due to expire but the applicant must take account of factors which may delay the renewal process (e.g. intervening weekends or the availability of the relevant authorising officer and a JP to consider the application).
- 3.27 The applicant should complete all the sections within the renewal form and submit the form to the authorising officer.

3.28 Authorising Officers should examine the circumstances with regard to Necessity, Proportionality and the Collateral Intrusions issues before making a decision to renew the activity. A CHIS application should not be renewed unless a thorough review has been carried out covering the use made of the source, the tasks given to them and information obtained. The Authorising Officer must consider the results of the review when deciding whether to renew or not. The review and the consideration must be documented.

3.29 If the Authorising Officer refuses to renew the application the cancellation process should be completed. If the Authorisation Officer authorises the renewal of the activity the same process is to be followed as mentioned earlier for the initial application.

A renewal takes effect on the day on which the authorisation would have ceased and lasts for a further period of three months.

3.30 Cancellation The Investigating Officer must complete the "Cancellation of the use of Directed Covert Surveillance" form available on the Home Office website and forward to the Authorising Officer who granted or last renewed the authorisation. It must be cancelled if they are satisfied that the directed covert surveillance no longer meets the criteria upon which it was authorised. Where the Authorising Officer is no longer available, this duty will fall on the person who has taken over the role of Authorising Officer or the person who is acting as Authorising Officer.

3.31 As soon as the decision is taken that directed covert surveillance should be discontinued, the applicant or other investigating officer involved in the investigation should inform the Authorising Officer. The Authorising Officer will formally instruct the Investigating Officer to cease the surveillance, noting the time and date of their decision. This will be required for the cancellation form. The date and time when such an instruction was given should also be recorded in the Central Record of RIPA Applications and Authorisations along with a note of the amount of time spent on the surveillance.

3.32 The officer submitting the cancellation must complete in detail the relevant sections of the form and include the period of surveillance and what if any images were obtained and any images containing third parties. The Authorising Officer must then take this into account and issues instructions regarding the management and disposal of the images etc.

3.33 The cancellation process should also be used to evaluate whether the objectives have been achieved and whether the applicant carried out what they stated was necessary in the application form. This check will form part of the oversight function. Where issues are identified they will be brought to the attention of the line manager and the Senior Responsible Officer. This will assist with future audits and oversight.

4. Joint Agency Surveillance

- 4.1 In cases where one agency is acting on behalf of another, it is usually for the lead agency to obtain or provide the authorisation. For example, where surveillance is carried out by Council employees on behalf of the Police, authorisation would be sought by the Police. If it is a joint operation involving both agencies the lead agency should seek authorisation.
- 4.2 Council staff involved with joint agency surveillance are to ensure that all parties taking part are authorised on the authorisation page of the application to carry out the activity. When staff are operating on another organisation's authorisation they are to ensure they see what activity they are authorised to carry out and make a written record. They should also inform the Senior Responsible Officer or the Principal Legal Executive of the unique reference number, the agencies involved and the name of the officer in charge of the surveillance.

PART 3 DETAILED PROCEDURE FOR USE OF COVERT HUMAN INTELLIGENCE SOURCES (CHIS)

1. Purpose

- 4.4 To ensure that CHIS activity is only undertaken in appropriate cases is properly authorised and recorded and is compliant with the Human Rights Act 1998 and the Regulation of Investigatory Powers Act 2000 and the appropriate Code of Practices, made there under.

2. Scope

- 2.1 This procedure applies to all usage of under-cover officers or informants, referred to as Covert Human Intelligence Sources (CHIS). This procedure does not apply to members of the public or Council officers who volunteer information pertaining to other individuals unless they are required to form a relationship with those other individuals.
- 2.2 Test purchase activity does not in general require authorisation under RIPA as vendor-purchaser activity does not constitute a relationship
- 2.3 All sections ~~of the Council who routinely or occasionally~~ *that* undertake CHIS activity must comply with this procedure and ensure that their local procedures make reference to this document.

3. Procedure

- 3.1 It is very important that the correct authorisation procedure is followed prior to undertaking CHIS activity. Interference of the right to privacy without proper authorisation may render any evidence obtained unusable in a criminal court. If CHIS activity is conducted without the necessary authorisation, the Council and possibly individuals may be sued for damages for a breach of Human Rights. In civil matters adverse inferences may be drawn from such unlawful interference.
- 3.2 This procedure is supported by the Home Office "The Use of Covert Human Intelligence Sources" Code of Practice, which is available on the Gov.UK website. All Investigating Officers and Authorising Officers should fully acquaint themselves with the Code of Practice and refer to it during both the application and authorisation processes.
- 3.3 All CHIS activity must be approved prior to the activity taking place by an Authorising Officer and a Justice of the Peace ("JP"). Officers seeking authority to undertake CHIS activity should complete the form "Application for the Use of a Covert Human Intelligence Source (CHIS)" available from the Home Office Website. Completed

application forms should be forwarded to the relevant Authorising Officer.

3.4 Within the provisions there has to be:

- (a) a person who has the day to day responsibility for dealing with the source and for the source's security and welfare (**Handler**)
- (b) at all times there will be another person who will have general oversight of the use made of the source (**Controller**)
- (c) at all times there will be a person who will have responsibility for maintaining a record of the use made of the source

The **Handler** will have day to day responsibility for:

- dealing with the source on behalf of the Local Authority concerned;
- directing the day to day activities of the source;
- recording the information supplied by the source; and
- monitoring the source's security and welfare.

The Controller will be responsible for the general oversight of the use of the source.

3.5 **Tasking** is the assignment given to the source by the Handler or Controller by asking him to obtain information, to provide access to information or to otherwise act, incidentally, for the benefit of the relevant Local Authority. Authorisation for the use or conduct of a source is required prior to any tasking where such tasking requires the source to establish or maintain a personal or other relationship for a covert purpose.

3.6 In some instances, the tasking given to a person will not require the source to establish a personal or other relationship for a covert purpose. For example, a source may be tasked with finding out purely factual information about the layout of commercial premises. Alternatively, a Council Officer may be involved in the test purchase of items which have been labelled misleadingly or are unfit for consumption. In such cases, it is for the Council to determine where, and in what circumstances, such activity may require authorisation.

3.7 **Should a CHIS authority be required, all of the staff involved in the process should make themselves fully aware of all of the aspects relating to tasking contained within the CHIS codes of Practice**

- 3.8 Application forms should be allocated a reference number by the applicant relevant to the department and the particular investigation. The reference number should also reflect the number of authorisations in respect of the investigation.
- 3.9 The application for authorisation must include full details of the reason for the CHIS and the intended outcome of the activity. The necessity for the CHIS activity should be explained. The CHIS activity must be proportionate to the potential offence or irregularity under consideration and should only be used when other methods of less intrusive investigation have been attempted or are not appropriate. CHIS authorisation forms must include enough detail for the Authorising Officer to make an assessment of the necessity and proportionality of the application. The application form must include details of the resources to be applied, the anticipated start date and duration of the activity, if necessary broken down over stages. Details should also be given of any CHIS activity previously conducted on the individual.
- 3.10 The authorisation request should be accompanied by a risk assessment, giving details of how the CHIS is going to be handled and the arrangements which are in place for ensuring that there is at all times a person with responsibility for maintaining a record of the use made of CHIS. The risk assessment should take into account the safety and welfare of the CHIS in relation to the activity and should consider the likely consequences should the role of the CHIS become known. The ongoing security and welfare of the CHIS after the cancellation of the authorisation should also be considered at the outset. Completed authorisation forms should be allocated a reference number by the Investigating Officer relevant to the department / team and the particular investigation. The Investigating Officer should also obtain the next unique reference number from the Central Record of RIPA Applications and Authorisations maintained by the Principal Legal Executive.
- 3.11 The Authorising Officer will consider the completed application form and inform the officer making the application of his decision. The Authorising Officer will retain a copy of the authorisation form and monitor this for review, renewal and cancellation.

In addition the Authorising Officer must notify the Chief Executive & Town Clerk of an authorisation

- 3.12 The Investigating Officer requesting authorisation for CHIS activity must give consideration to the following factors:
- **Necessity** – is covert surveillance the only or best way to retrieve the desired information or is other less invasive methods appropriate.

- **Proportionality** – is the surveillance activity proportional to the evidence that will be obtained and to the privacy the subject could reasonably expect. Are the methods used excessive and are they as non-invasive as is possible, and does the surveillance restrict an individual’s right for privacy more than is absolutely necessary. To demonstrate proportionality it is useful to compare the cost of the proposed surveillance activity with the scope of the problem and the potential impact on those impacted by the problem, and to identify how much the activity will impinge on the subjects.
- **Collateral intrusion** – is the obtaining of information relating to persons other than the subject of the investigation. The application must show what steps are to be taken so as to minimise collateral intrusion.

3.13 **Magistrates Court Approval:** As stated above from the 1st November 2012 all applications and renewals for Directed Covert Surveillance and use of a CHIS will be required to have a JP’s approval.

3.14 Having received approval from an Authorising Officer the Investigating Officer must now complete the relevant application form to seek approval from a JP. An application form *and flowchart* is attached at **Appendix 2**. The Investigating Officer must ensure compliance with the statutory provisions and should see the Home Office publication (October 2012) “Protection of Freedoms Act 2012 – changes to provisions under the Regulation of Investigatory Powers Act 2000 (RIPA) Home Office guidance to Local Authorities in England and Wales on the judicial approval process for RIPA and the crime threshold for directed surveillance”

<https://www.gov.uk/government/publications/changes-to-local-authority-use-of-ripa>

3.15 The application form will be submitted to an Authorising Officer for consideration. The form requires the Investigating Officer to provide a brief summary of the circumstances of the case on the judicial application form.

3.16 The contact numbers for Her Majesty’s Court and Tribunals Service to arrange a hearing is:

- Within office hours 01245 313315 or 01245 313313
- If out of hours the contact numbers are 07736 638551 or 07774 238418

3.17 At the hearing, the officer must present to the JP:

- the partially completed judicial application/order form;
- a copy of the RIPA application / authorisation form, together with any supporting documents setting out the case, and
- the original application / authorisation form (this must be retained by Investigating Officer).

3.18 The JP will consider the paperwork and may ask questions to clarify points or require additional reassurance on particular matters.

The JP will:

- Consider whether he or she is satisfied that at the time the authorisation was granted or renewed, there were reasonable grounds for believing that the authorisation was necessary and proportionate;
- Consider whether there continues to be reasonable grounds;
- Consider whether the person who granted the authorisation or gave the notice was an appropriate designated person within the Local Authority, and
- Consider whether the authorisation was made in accordance with the law.

3.19 The JP may:

- Decide to approve the Grant or renewal of an authorisation which will then take effect and the authority may proceed to use the technique in that particular case; or
- Refuse to approve the grant or renewal of an authorisation in which case the RIPA authorisation will not take effect and the Local Authority may not use the technique in that case.

3.20 Where an application has been refused the Investigating Officer should consider the reasons for that refusal. If more information was required by the JP to determine whether the application / authorisation has met the tests, and this is the reason for refusal the Investigating Officer should consider whether they can reapply, for example, if there was information to support the application which was available to the Local Authority, but not included in the papers provided at the hearing.

3.21 Where the JP refuses to approve the application / authorisation or renew the application / authorisation and decides to quash the original authorisation or notice the court must not exercise its power to quash the application / authorisation unless the applicant has had at least 2 business days from the date of the refusal in which to make representations. If this is the case the officer will inform Legal Services who will consider whether the Council should make any representations.

3.22 Whatever the decision, the JP will record their decision on the order section of the judicial application / order form. The court will retain the copy of the Local Authority RIPA application and authorisation form and the judicial application / order form. The officer will retain the original application / authorisation and a copy of the judicial application / order form.

The original application and the copy of the judicial application / order form must be forwarded to the Principal Legal Executive for the Central Record of RIPA Applications and Authorisations.

3.23 The original application and the copy of the judicial application / order form must be forwarded to the Principal Legal Executive promptly before the CHIS activity commences to ensure it meets all the necessary requirements. As previously stated Principal Legal Executive is responsible for giving each authorisation a central unique identification number using a standard consistent format and recording it in a central register. This is to ensure that an up-to-date central record is maintained for all CHIS activity. Similarly, copies of all cancellations, renewals and review applications should be forwarded to the Principal Legal Executive promptly. The original authorisation should be kept on the investigation file.

3.24 All Investigating Officers completing CHIS applications must ensure that applications are sufficiently detailed. Authorising Officers should refuse to authorise applications that are not to the required standard and should refer them back to the Investigating Officers.

3.25 All officers completing CHIS applications and in particular officers authorising applications must ensure that applications are sufficiently detailed. Authorising Officers should refuse to authorise applications that are not to the required standard and should refer them back to the originating officers.

3.26 The Investigating Officer and the Authorising Officer must consider the possibility that the CHIS activity may result in the acquiring of confidential information. If this is considered to be likely then the investigating officer must state this on the application.

- 3.27 Written CHIS authorisations last for a maximum of 12 months. CHIS authorisations should be cancelled when no longer required. The investigating officer should complete the "Cancellation of an Authorisation of the Use or Conduct of a Covert Human Intelligence Source (CHIS)" form available on the Home Offices website and forward to the relevant Authorising Officer.
- 3.28 Each CHIS should be managed through a system of tasking and review. Tasking is the assignment given to the CHIS by the Handler. The task could be asking the CHIS to obtain information, to provide access to information or to otherwise act for the benefit of the Council. The handler is responsible for dealing with the CHIS on a day to day basis, recording the information provided and monitoring the CHIS's security and welfare. The Authorising Officer should maintain general oversight of these functions.
- 3.29 During CHIS activity there may be occasions when unforeseen action or undertakings occur. Such incidences should be recorded as soon as practicable after the event and if the existing authorisation is insufficient, it should either be updated and re-authorised (for minor amendments only) or it should be cancelled and a new authorisation obtained before any further action is carried out. Similarly, where it is intended to task a CHIS in a new significantly different way than previously identified, the proposed tasking should be referred to the Authorising Officer, who should consider whether a separate authorisation is required. This should be done in advance of any tasking and details of such referrals must be recorded.
- 3.30 **Review:** Any proposed or unforeseen changes to the nature or extent of the surveillance operation which may result in the further or greater intrusion into the private life of any person should be brought to the attention of the Authorising Officer by means of a review.
- 3.31 Each application should be reviewed after an appropriate period of time and at most one month after the authorisation or previous review. The responsibility for review rests with the Authorising Officer who should conduct the review with the Investigating Officer. Reviews should not be conducted solely by the Investigating Officer. In some cases, the Authorising Officer may delegate the responsibility for conducting of reviews to a subordinate Officer. The review should include a reassessment of the risk assessment, with particular attention given to the safety and welfare of the CHIS. The Authorising Officer should decide whether it is appropriate for the authorisation to continue. Details of the review should be recorded on the form "Review of a Covert Human Intelligence Source (CHIS) Authorisation" available on the Home Office website, and retained with the original authorisation. Cases should be reviewed at no more than one month intervals. The Authorising Officer must ensure, through diarisation or otherwise, that regular reviews are conducted within the correct timeframe.

- 3.32 Details of the review should be recorded on the form “Review of the use of Directed Surveillance Authorisation”, available on the Gov.UK website and retained with the original authorisation. The Authorising Officer must ensure through diarisation or otherwise that regular reviews are conducted within the correct timeframe.
- 3.33 There is no requirement for a review form to be submitted to a JP. However if a different surveillance techniques is required it is likely a new application will have to be completed and approved by a JP.
- 3.34 **Renewal:** Should it be necessary to renew a Directed Surveillance or CHIS application / authorisation, this must be approved by a JP.
- 3.35 Applications for renewals should not be made until shortly before the original authorisation period is due to expire but the applicant must take account of factors which may delay the renewal process (e.g. intervening weekends or the availability of the relevant authorising officer and a Justice of the Peace to consider the application).
- 3.36 The applicant should complete all the sections within the renewal form and submit the form to the authorising officer.
- 3.37 Authorising Officers should examine the circumstances with regard to Necessity, Proportionality and the Collateral Intrusions issues before making a decision to renew the activity. A CHIS application should not be renewed unless a thorough review has been carried out covering the use made of the source, the tasks given to them and information obtained. The Authorising Officer must consider the results of the review when deciding whether to renew or not. The review and the consideration must be documented.
- 3.38 If the Authorising Officer refuses to renew the application the cancellation process should be completed. If the Authorisation Officer authorises the renewal of the activity the same process is to be followed as mentioned earlier for the initial application.
- 3.39 A renewal takes effect on the day on which the authorisation would have ceased and lasts for a further period of three months.
- 3.40 **Cancellation** – The Investigating Officer must complete the “Cancellation of an authorisation for the use or conduct of a Covert Human Intelligence Source” form available on the Gov.UK website and forward to the Authorising Officer who granted or last renewed the authorisation. Where the Authorising Officer is no longer available, this duty will fall on the person who has taken over the role of Authorising Officer or the person who is acting as Authorising Officer.

- 3.41 As soon as the decision is taken that CHIS activity should be discontinued, the applicant or other Investigating Officer involved in the investigation should inform the Authorising Officer. The Authorising Officer will formally instruct the Investigating Officer to cease such activity, noting the time and date of their decision. This will be required for the cancellation form. The date and time when such an instruction was given should also be recorded in the Central Record of RIPA Applications and Authorisations.
- 3.42 The officer submitting the cancellation should complete in detail the relevant sections of the form.
- 3.43 The cancellation process should also be used to evaluate whether the objectives have been achieved and whether the applicant carried out what they stated was necessary in the application form. This check will form part of the oversight function. Where issues are identified they will be brought to the attention of the line manager and the Senior Responsible Officer. This will assist with future audits and oversight.
- 3.44 **Record Management for CHIS** – Proper records must be kept of the authorisation and use of a source. The particulars to be contained within the records are:
- the identity of the source;
 - the identity, where known, used by the source;
 - any relevant investigating authority other than the Local Authority maintaining the records;
 - the means by which the source is referred to within each relevant investigating authority;
 - any other significant information connected with the security and welfare of the source;
 - any confirmation made by a person granting or renewing an authorisation for the conduct or use of a source that the information in paragraph (d) has been considered and that any identified risks to the security and welfare of the source have where appropriate been properly explained to and understood by the source;
 - the date when, and the circumstances in which the source was recruited;
 - the identities of the persons who, in relation to the source, are discharging or have discharged the functions mentioned in section 29(5)(a) to (c) of the 2000 Act or in any order made by the Secretary of State under section 29(2)(c);

- the periods during which those persons have discharged those responsibilities;
- the tasks given to the source and the demands made of him in relation to his activities as a source;
- all contacts or communications between the source and a person acting on behalf of any relevant investigating authority;
- the information obtained by each relevant investigating authority by the conduct or use of the source;
- any dissemination by that authority of information obtained in that way; and
- in the case of a source who is not an undercover operative, every payment, benefit or reward and every offer of a payment, benefit or reward that is made or provided by or on behalf of any relevant investigating authority in respect of the source's activities for the benefit of that or any other relevant investigating authority.

▪ **RIPA FLOW CHART 1 : DIRECTED COVERT SURVEILLANCE**

Requesting Officer (The Applicant) must:

- . Read the Corporate Policy & Procedures Document and be aware of any other guidance
- . Determine that directed surveillance is required (For CHIS see Flowchart 2).
- . Assess whether authorisation will be in accordance with the law.
- . Assess whether authorisation is necessary under RIPA and whether it could be done overtly.
- . Consider whether surveillance will be proportionate.
- . If authorisation is approved review or renew regularly with Authorised Officer.

If a less intrusive option is available and practicable : USE THAT OPTION!

If authorisation is necessary and proportionate, prepare and submit your application form to the Authorised Officer .

Authorised Officer must:

- Consider in detail whether all options have been duly considered, including the Corporate Policy & Procedures Document and any other guidance issued by the SRO
- Consider whether surveillance is considered by him/her to be in accordance with the law, necessary and proportionate.
- Authorise only if an overt or less intrusive option is not practicable.

The Applicant must:
REVIEW REGULARLY
And complete the review form and submit to Authorised

The Applicant must:
If operation is no longer necessary or proportionate, complete **CANCELLATION FORM** and submit to Authorised Officer

Authorised Officer must: If surveillance is still necessary and proportionate after authorised period:

- Renew authorisation
- Set an appropriate further review date and use

Authorised Officer must:
Cancel authorisation when it is no longer necessary or proportionate to need the same.

Essential
Applications for Directed Surveillance will be completed on the electronic database and need to be maintained appropriately. The electronic database forms the Central Database for RIPA.

NB if in doubt, ask the Group Manager (Legal and Democratic) BEFORE any directed surveillance and/or CHIS is authorised, reviewed, renewed, cancelled, or rejected.

SAMPLE APPLICATION FORM FOR USE OF DIRECTED COVERT SURVEILLANCE

Unique Reference Number	Refer to your policy as to how you obtain the unique number. All applications must have one and put on each page.
--------------------------------	---

Part II of the Regulation of Investigatory Powers Act 2000

Authorisation Directed Surveillance

Public Authority <i>(including full address)</i>	State your Public Authority Name and full address		
Name of Applicant	Details of the person completing the form	Unit/Branch /Division	Section and department
Full Address	Provide the address of your department		
Contact Details	Provide full contact details including email address. Make it easy for the Authorising Officer, or anyone else associated with the process to contact you.		
Investigation/Operation Name (if applicable)	This may be an investigation reference number allocated to this case, or some other reference		
Investigating Officer (if a person other than the applicant)	If the form is being completed by someone who is not the investigator, then the investigators details must be put in this box.		

DETAILS OF APPLICATION

1. Give rank or position of authorising officer in accordance with the Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) Order 2010 No. 521.¹

As above.

For local authorities: The exact position of the authorising officer should be given. For example, Head of Trading Standards.

Also use the description of the person's position contained within your policy to remove any confusion.

2. Describe the purpose of the specific operation or investigation.

Describe the investigation to date including the offences and the relevant legislation. When, where and how are the offences occurring. Remember the Authorising Officer needs to be clear what the offence is and the circumstances. (keep information relevant and to the point)

Include the details of the suspects and persons involved and the role they play within the investigation. (Do not put confidential information in such as informants' names)

Consider disclosure implications under CPIA with regards to not revealing unnecessary information. However, the AO needs sufficient relevant information to make a decision. The provisions of using CPIA sensitive information may be a way of dealing with the sensitivity issues later, by editing material if it has to be disclosed. However, if the document contains sensitive information remember to keep it secure at all times.

Cross reference where necessary to other relevant applications

3. Describe in detail the surveillance operation to be authorised and expected duration, including any premises, vehicles or equipment (e.g. camera, binoculars, recorder) that may be used.

¹ For local authorities: The exact position of the authorising officer should be given. For example, Head of Trading Standards.

This should be completed, after attending the area of where the activity is to be carried out, and having carried out a surveillance assessment having taken into account risks or limiting factors. Limiting factors are anything can affect the success of the operation.

Consider the AO statement in box 12, the 5 WH. The applicant can only do what is authorised by the AO, not what they have applied for.

Consider the aims and objectives, confirmation of address may only need static observations; however, lifestyle intelligence may require foot/mobile and use of covert cameras etc.

What exactly do you want to do? Is it static observations, foot or mobile? You want a combination? However, only ask for what you can realistically carry out. It is not a wish list; it should be carried out to achieve the objectives.

How do you want to carry out the surveillance and what equipment do you want to use? You must make the AO aware of the capabilities of any equipment you want to use.

Where is the activity to take place? Who is the activity against and when do you want to carry it out?

What is the expected duration? It does not mean that it must only be authorised to this point. Once signed, the authorisation lasts for a 3 month period. You must update the AO when they set the review dates. If your operation ends prior to any review date or the 3 month period, you must cancel it straight away and submit the cancellation form. It does not expire.

REMEMBER YOU CAN ONLY DO WHAT IS AUTHORISED ON THE AO SECTION, NOT WHAT YOU HAVE APPLIED FOR IN THIS SECTION.

4. The identities, where known, of those to be subject of the directed surveillance.

- Name:
- Address:
- DOB:
- Other information as appropriate:

If you do not know who the subjects are, insert any descriptions you may have. If as a result of the surveillance, you identify anyone, you must submit this information on a review form to the AO.

Consider any known associates. If the intelligence is that the subject of the surveillance has known associates, are they likely to become subjects of the surveillance? If so, detail them as part of the application.

5. Explain the information that it is desired to obtain as a result of the directed surveillance.

These are the surveillance objectives. They should have been identified during the planning stage and a feasibility study carried out to assess whether they can be achieved. It's no use setting objectives that can't be achieved.

What is the surveillance going to tell you?

What, if any, criminality will it establish?

Will it identify subjects involved in criminality?

Will it house subject or their criminal associates?

E.G.

- Identify the location of the subject's place of work
- To gather intelligence and evidence to establish the extent of the criminality (size).
- Identify other persons involved, such as suppliers.
- Identify other premises involved, such as storage buildings.
- Obtain best evidence through the use of photographic equipment to assist with identifying the offenders

Obtain best evidence to assist with a prosecution of offenders

6. Identify on which grounds the directed surveillance is necessary under Section 28(3) of RIPA. Delete those that are *inapplicable*. Ensure that you know which of these grounds you are entitled to rely on (SI 2010 No.521).

- In the interests of national security;
- For the purpose of preventing or detecting crime or of preventing disorder;
- In the interests of the economic well-being of the United Kingdom;
- In the interests of public safety;
- For the purpose of protecting public health;
- For the purpose of assessing or collecting any tax, duty, levy or other imposition, contribution or charge payable to a government department;

For Directed Surveillance, Local Authorities only lawful purpose is preventing or detecting crime and the crime must be capable of carrying six months imprisonment or criminal offences relating to the underage sale of alcohol or tobacco under sections 146, 147 or 147A of the Licensing Act 2003 or section 7 of the Children and Young Persons Act 1933. Due to the nature of the offences, if any other areas above are applicable such as protection of public health, this should be made clear in the body of the application and the proportionality section.

7. Explain why this directed surveillance is necessary on the grounds you have identified [Code paragraph 3.3].

You can reiterate the criminal offences

Why is it necessary at this stage of the enquiry to carry out covert activity?

What is the purpose of the operation?

How will the activity assist or progress the investigation?

What will be the consequences of the proposed action be to the victim?

Why do we need this evidence/intelligence/information?

What other enquiries have been carried out and results? This does not have to be a last resort, but if there is a less intrusive way of achieving your objectives you should take that option, or explain why you can't take that option.

Consequences of not taking action

It is not for the applicant to state on the application that they believe it to be necessary. This is the responsibility of the AO to reach that decision.

8. Supply details of any potential collateral intrusion and why the intrusion is unavoidable. [Bear in mind Code paragraphs 3.8 to 3.11.]

Describe precautions you will take to minimise collateral intrusion.

There are three parts to this section (see above). You must answer them all, as this section directly impacts upon the proportionality test.

1. SUPPLY DETAILS OF POTENTIAL COLLATERAL INTRUSION

Visit the location of where the activity is to take place and carry out a risk assessment. Who lives at the property that you may be watching. Have they got children who might be affected such as going to school etc.?

Determine where you need to be to carry out the surveillance. What else can you see?

What equipment will you be using and what will it see and record?

Consider Confidential Information

It may be useful to paint the picture in words of what it is you will be watching in the locality. This will assist the AO. You may also want to refer to any plans or maps attached to the application.

2. WHY IS THE INTRUSION UNAVOIDABLE?

Consider why the intrusion is unavoidable, such as the location and time frame that the observations have to be carried out. It may be that you are limited to the use of certain equipment only and therefore governed by its operating capabilities. Your observation position may be the only place you can use.

3. DESCRIBE THE PRECAUTIONS YOU WILL TAKE TO MINIMISE COLLATERAL INTRUSION

Having carried out the risk assessment and identified what the intrusion is, consider ways of reducing the intrusion, or keeping it to a minimum. You should consider:

State who the activity will be focused on, such as the subject etc., not the innocent third parties subject to the collateral intrusion.

Keeping the surveillance activity focussed with regards to length of time spent on the observations. However, remember that you still need time to achieve your objectives. You will need some flexibility built in to your timings.

If using technical equipment such as video or covert recordings, consider the position and focal length of the lenses when filming to reduce the intrusion. Consider when and who you will use the equipment against, such as the suspects only.

How will you manage any images obtained? Consider Data Protection, confidentiality, security, dissemination of the images, and any guidance provided by your organisation, including any Home Office guidance.

Are the staff trained to carry out the activity? If so, this may assist, as they should know what they are doing with regards to collateral intrusion.

The activity needs to be tightly managed and reviewed constantly. If there is a considerable change in the intrusion once the activity commences, then the AO needs to be made aware.

9. Explain why this directed surveillance is proportionate to what it seeks to achieve. How intrusive might it be on the subject of surveillance or on others? And why is this intrusion outweighed by the need for surveillance in operational terms or can the evidence be obtained by any other means [Code paragraphs 3.4 to 3.7]?

In the necessity box we stated why it was necessary to carry out the covert activity. In this box we are assessing whether the actions requested are proportionate to the overall operational aims within the investigation, having taken into account of the intrusion issues.

How serious are the offences under investigation? What is the direct or accumulative consequence of the offences?

What are the effects of the offences on the victim or the consequences of what is happening?

Are you asking to do a lot to achieve a little? Do not use a sledgehammer to crack the nut.

If you have provided a good explanation of how the intrusion will be reduced and managed in the collateral intrusion box, refer them to it.

Explain why you need to undertake this activity to achieve your objectives, against using other methods. Why, in operational terms, does your need to use the activity (how the activity will progress the investigation) outweigh the level of intrusion? Why is this method the least intrusive option?

Are your methods/tactics balanced in relation to the likely results?

Consider the length of time of the surveillance operation

What methods are required to achieve the objectives and are there any less intrusive methods? You should explain what if any less intrusive methods have been considered. If they can be used they should be. If however less intrusive methods cannot be used, explain why. You should also take account that technical surveillance may be more intrusive.

Consequences of not taking action.

10. Confidential information [Code paragraphs 4.1 to 4.31].

INDICATE THE LIKELIHOOD OF ACQUIRING ANY CONFIDENTIAL INFORMATION:

Is there any likelihood of Health, Solicitors, Counselling, and Spiritual etc.

It is unlikely that you will obtain this type of material, but an assessment should take place. If you are, it is a higher level of Authorising Officer who needs to consider it.

Do not mix this up with Private Information which is part of the consideration when assessing whether the activity falls under RIPA.

11. Applicant's Details

Name (print)		Tel No:	
Grade/Rank		Date	
Signature			

12. Authorising Officer's Statement. [Spell out the "5 Ws" – Who; What; Where; When; Why and HOW– in this and the following box.]

I hereby authorise directed surveillance defined as follows: [*Why is the surveillance necessary, whom is the surveillance directed against, Where and When will it take place, What surveillance activity/equipment is sanctioned, How is it to be achieved?*]

REMEMBER THAT EACH CASE HAS TO BE ASSESSED ON ITS OWN MERITS.

Who are you authorising to carry out the activity? Are the staff from one office? Or if a joint operation, please state that fact and name the other organisation. You have to actually authorise the other organisation's staff in writing.

What are you authorising them to do and what equipment are you authorising them to use? You should have a knowledge of the equipments capability.

Who are you authorising them to do it against, person, address, vehicle,etc?

When are you authorising them to do it?

Where are you authorising the activity to take place?

Why are you authorising whatever you are allowing them to do? They should have stated within the application earlier what they are hoping to achieve.

When authorising the activity, it is live for 3 months. In other words, as an AO, you cannot authorise for less. You should set a review date for you to review it if you think that the surveillance should be a shorter period.

DO NOT BE AFRAID AS AN AO, TO ONLY ALLOW THEM TO UNDERTAKE CERTAIN ACTIVITY, AS OPPOSED TO ALL THE ACTIVITY APPLIED FOR, IF IT MEANS THAT IT IS PROPORTIONATE. STATE WHY ON THE FORM

IF NOT AUTHORIZING, STATE WHY.

13. Explain why you believe the directed surveillance is necessary [Code paragraph 3.3].

Explain why you believe the directed surveillance to be proportionate to what is sought to be achieved by carrying it out [Code paragraphs 3.4 to 3.7].

IF YOU ARE WRITING IN THIS SECTION, PRINT THE FORM OUT WITH ENOUGH SPACE TO WRITE IN. YOU WILL REQUIRE SOME SPACE TO DETAIL HOW YOU HAVE COME TO YOUR DECISION.

Below are 5 areas that should be dealt with by the AO when considering the application.

Code 3.3 requires that the person granting an authorisation BELIEVES that the authorisation is necessary in the circumstances of the particular case for one of the statutory reasons (see box 6). Have they made clear what the offence or offences are in the body of the application?

Code 3.4 then if the activities are necessary, the person granting the authorisation must BELIEVE that they are proportionate to what is sought to be achieved by carrying them out. AO must also BELIEVE that the objectives can't be met by other less intrusive means.

Sec 72 RIPA 2000, a person exercising or performing any power or duty in relation to which provision may be made by a code of practice under section 71 shall, in doing so, HAVE REGARD TO THE PROVISIONS (so far as they are applicable) of every code of practice for the time being in force under that section. (You have to know what the codes say).

Collateral Intrusion Code of Practice 3.8 before authorising surveillance the authorising officer should also TAKE INTO ACCOUNT the risk of intrusion into the privacy of persons other than those who are directly the subjects of the investigation or operation.

Code of Practice 3.15 .Any person granting or applying for an authorisation will also NEED TO BE AWARE OF particular sensitivities in the local community where the surveillance is taking place and of similar activities being undertaken by other public authorities which could impact on the deployment of surveillance.

This will take some consideration. Read and study the application fully. Refer to the applicants boxes that deal with these issues.

Detail your thought processes. How have you come to the conclusion? Do not rubber stamp, do not use template or cut and paste answers. This is your original note that you may be relying on in court. If you are making decisions from reading supporting material, mention the material and keep a copy which needs to be part of the central register. Be careful to make your decisions on written material not discussions with the case officer which may be difficult to justify at a later date at court.

Model answer from codes and OSC

--

- **balancing the size and scope of the proposed activity against the gravity and extent of the perceived crime or offence;**
- **explaining how and why the methods to be adopted will cause the least possible intrusion on the target and others;**
- **considering whether the activity is an appropriate use of the legislation and a reasonable way, having considered all reasonable alternatives, of obtaining the necessary result;**
- **evidencing, as far as reasonably practicable, what other methods had been considered and why they were not implemented.**

14. (Confidential Information Authorisation.) Supply detail demonstrating compliance with Code paragraphs 4.1 to 4.31.

This is completed by the AO who has the responsibility to consider the authorisation if confidential information is likely to be obtained. (Usually someone of a much higher position than a normal AO.) e.g. In a Local Authority it will be the Chief Executive.

See rear of codes of practice for relevant position and refer to your policy.

Date of first review	AO must set the review date. Consider what the applicant has stated regarding the length of time required. Remember, this is so you as the AO can now review the need for the activity to continue on the date you have set. Also refer to policy. Most state that it must not be longer than a month. However, you must assess it against all the facts.
-----------------------------	--

Programme for subsequent reviews of this authorisation: [Code paragraph 3.23]. Only complete this box if review dates after first review are known. If not or inappropriate to set additional review dates then leave blank.

As above.

Name (Print)		Grade / Rank	
Signature		Date and time	
Expiry date and time [e.g.: authorisation granted on 1 April 2005 - expires on 30 June 2005, 23.59]		From 1 Nov 12 this date will be from when a Magistrate approves it. Put in the expiry date. Remember it lasts for 3 months once signed (see opposite)	

15. Urgent Authorisation [Code paragraph 5.9]: Authorising officer: explain why you considered the case so urgent that an oral instead of a written authorisation was given.

OSC guidance states that there is no longer a requirement to complete the whole application form; contemporaneous notes should have been made by both applicant and AO. However, check what your policy says as some organisations still require at least this part to be completed with certain other sections. If your policy does not make it clear, seek advice.

FROM 1 NOVEMBER 2012 THERE WILL BE NO URGENT PROVISION AVAILABLE FOR LOCAL AUTHORITIES

16. If you are only entitled to act in urgent cases: explain why it was not reasonably practicable for the application to be considered by a fully qualified authorising officer.

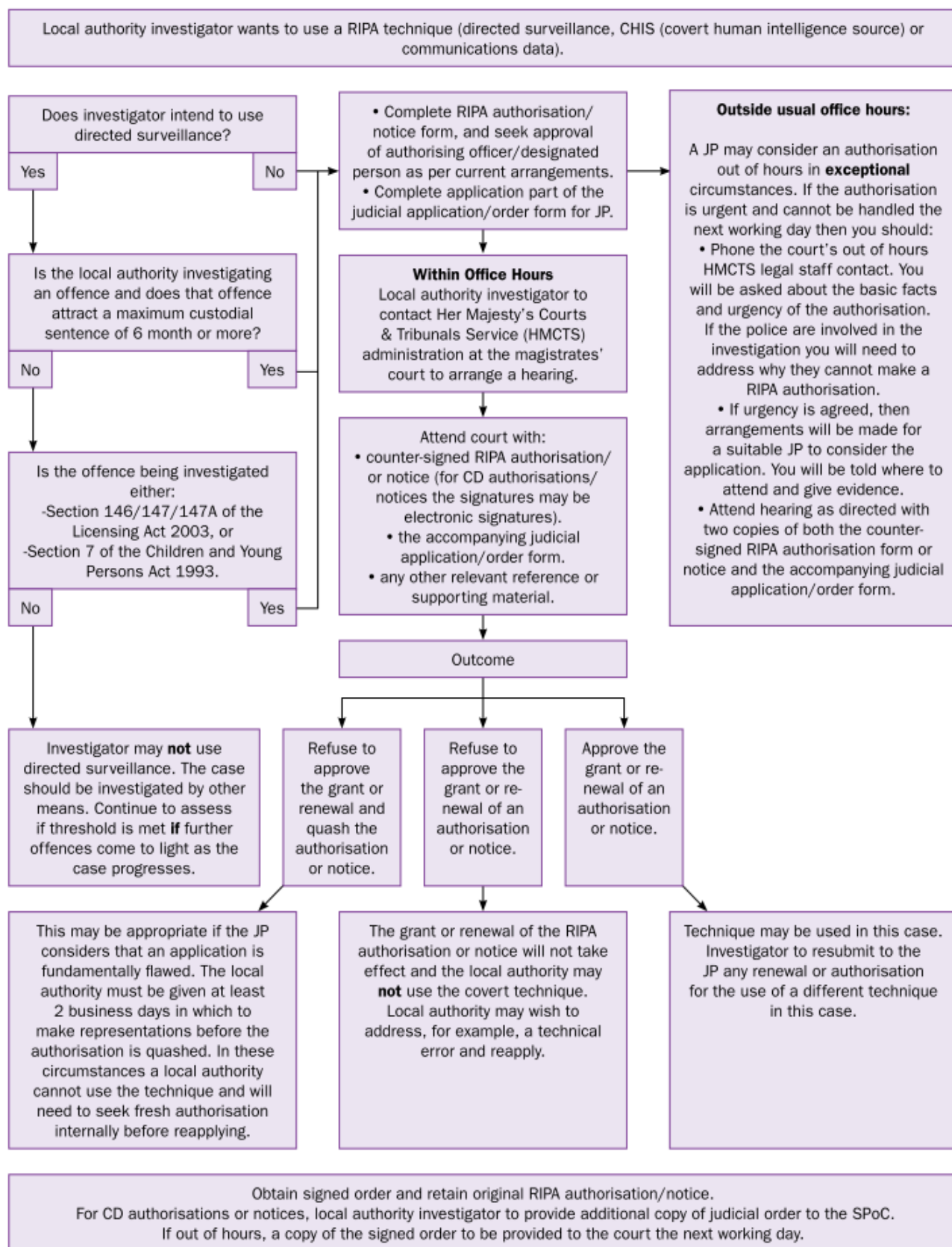
This is because the legislation allows for a lower rank/grade to authorise in urgent cases for some organisations. Refer to your policy.

See Statutory Instrument 2010 No 521.

Name (Print)		Grade/ Rank		
Signature		Date and Time		

Urgent authorisation Expiry date:		Expiry time:	
<i>Remember the 72 hour rule for urgent authorities – check Code of Practice.</i>	e.g. authorisation granted at 5pm on June 1 st expires 4.59pm on 4 th June		

LOCAL AUTHORITY PROCEDURE: APPLICATION TO A JUSTICE OF THE PEACE SEEKING AN ORDER TO APPROVE THE GRANT OF A RIPA AUTHORISATION OR NOTICE



COPY APPLICATION FORM AND ORDER FOR JUDICIAL APPROVAL

Application for judicial approval for authorisation to obtain or disclose communications data, to use a covert human intelligence source or to conduct directed surveillance. Regulation of Investigatory Powers Act 2000 sections 23A, 23B, 32A, 32B.

Local authority:.....

Local authority department:.....

Offence under investigation:.....

Address of premises or identity of subject:.....

.....

.....

Covert technique requested: (tick one and specify details)

Communications Data

Covert Human Intelligence Source

Directed Surveillance

Summary of details

.....

.....

.....

.....

.....

.....

Note: this application should be read in conjunction with the attached RIPA authorisation/RIPA application or notice.

Investigating Officer:.....

Authorising Officer/Designated Person:.....

Officer(s) appearing before JP:.....

Address of applicant department:.....

.....

Contact telephone number:.....

Contact email address (optional):.....

Local authority reference:.....

Number of pages:.....

Order made on an application for judicial approval for authorisation to obtain or disclose communications data, to use a covert human intelligence source or to conduct directed surveillance. Regulation of Investigatory Powers Act 2000 sections 23A, 23B, 32A, 32B.

Magistrates' court:

Having considered the application, I (tick one):

- am satisfied that there are reasonable grounds for believing that the requirements of the Act were satisfied and remain satisfied, and that the relevant conditions are satisfied and I therefore approve the grant or renewal of the authorisation/notice.
- refuse to approve the grant or renewal of the authorisation/notice.
- refuse to approve the grant or renewal and quash the authorisation/notice.

Notes

.....
.....
.....
.....
.....

Reasons

.....
.....
.....
.....
.....

Signed:

Date:

Time:

Full name:

Address of magistrates' court:

This page is intentionally left blank

Southend-on-Sea Borough Council

Agenda
Item No.

**Report of Chief Executive & Town Clerk
to
Cabinet
on
8 November 2016**

Report prepared by: Tim MacGregor – Team Leader - Policy
& Information Management

Local Code of Governance: Review

Executive Councillor – Councillor Lamb

Policy & Resources Scrutiny Committee

A Part 1 Public Agenda Item

1. Purpose of Report

- 1.1 To present the Council's revised Local Code of Governance (LCG) to Cabinet for approval.

2. Recommendations

- 2.1 **That Cabinet approve the revised Local Code of Governance, at Appendix 1.**
- 2.2 **Once approved, the Council's Constitution is updated with the revised Local Code of Governance.**

3. Background

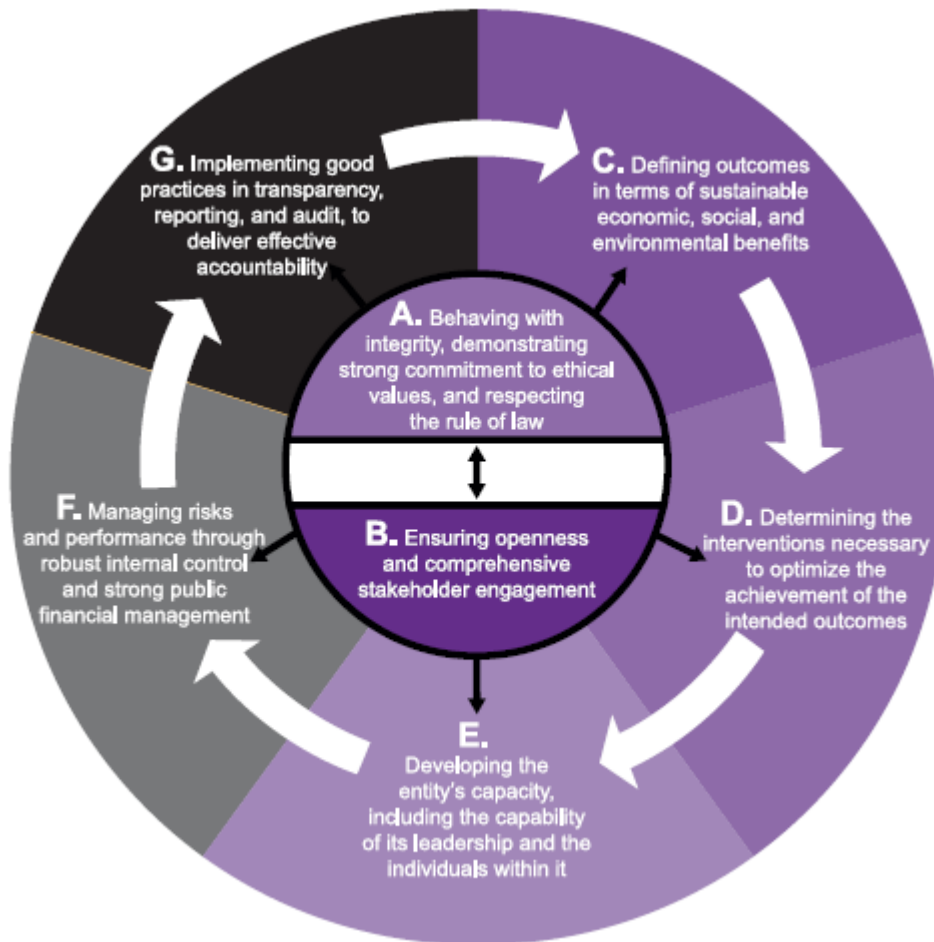
- 3.1 The Council is required to have in place a Local Code of Governance that sets out its governance framework. The framework enables the annual review of the effectiveness of the Council's system of internal control to be carried out. This review, a legal requirement, is undertaken via the Annual Governance Statement presented to Audit Committee each year, signed by the Leader and Chief Executive, and is published as part of the annual statement of accounts.
- 3.2 The 1992 Cadbury Committee report, set out recommendations on the arrangement of company boards and accounting systems to mitigate corporate risk and failures and defined corporate governance as the '*system by which organisations are directed and controlled*'. Many of these recommendations were adopted by public sector bodies and complemented by the development of the Committee on Standards in Public life 'Nolan principles' to promote ethical standards across the whole of public life in the UK.

- 3.3 A good governance framework for local government was developed by the Chartered Institute of Public Finance and Accountancy (Cipfa) and the Society of Local Authority Chief Executives (Solace) and provides an over-arching framework to local authority local codes of governance.
- 3.4 The governance framework brings together an underlying set of values, legislative requirements, governance principles and business management processes that enable an organisation to achieve its objectives. The Cipfa/Solace framework sets out the principles and standards aimed at helping local authorities develop and maintain their own codes of governance and discharge their accountability for the proper conduct of business.
- 3.5 The Cipfa/Solace Framework has been revised on a number of occasions and, in April 2016 the 2012 version was updated and significantly revised. The new Framework (**Appendix 2**) is intended to reflect the International Framework for Good Governance in the Public Sector, as well as on-going financial constraints, new ways of working (for example, through partnerships, local authority trading companies, combined authority arrangements and devolution deals) and to be more outcome focussed.
- 3.6 In summary, the Framework states that *'the overall aim is to ensure that resources are directed in accordance with agreed policy and according to priorities, that there is sound and inclusive decision making and that there is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities.'*
- 3.7 The framework applies to Annual Governance Statements prepared for the financial year 2016/17 onwards. Therefore, to ensure it is working to best practice, the Council's Local Code of Governance needs to align with the new Framework to enable the AGS to be undertaken next year.
- 3.8 The Framework is intended to assist authorities individually in 'reviewing and accounting for their own unique approach'. The Council's revised Local Code of Governance), has, therefore, been updated to reflect current Council practice and incorporates the Cipfa/Solace 2016 Framework core principles and sub principles.
- 3.10 The seven new core principles are:
- A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the law.
 - B. Ensuring openness and comprehensive stakeholder engagement.
 - C. Defining outcomes in terms of sustainable economic, social and environmental benefits.
 - D. Determining the interventions necessary to optimise the achievement of the intended outcomes.
 - E. Developing the entity's capacity, including the capability of its leadership and the individuals within it.
 - F. Managing risks and performance through robust internal control and

strong public financial management.

G. Implementing good practices in transparency, reporting, and audit, to deliver effective accountability.

Principles A and B provide the overarching requirements for acting in the public interest, while principles C to G focus on the implementation of governance and achievement of outcomes.



3.11 A summary of Cipfa/Solace Delivering Good Governance in Local Government Framework is attached at Appendix 3.

4. Southend Council Local Code of Governance - 2016

4.1 The Code covers the following areas:

- What governance is, why it is important and how members and staff are informed about the Code;
- The principles and values to be adopted, setting the tone for how the organisation operates but also how individuals (both members and officers) conduct themselves;
- The business management processes the Council operates in to enable it to successfully deliver the service objectives that it sets itself and

- How these principles, values and business management arrangements should be implemented and the arrangements established to complete the annual review of their adequacy and operation throughout the year, which is used to support the production of the Governance Statement.

- 4.2 The Good Governance Group of senior officers helps to ensure the Council maintains governance arrangements that comply with good practice requirements and help ensure that sufficient assurance is available through the year to support the production of the Annual Governance Statement. The Good Governance Group has reviewed and endorsed the revised Local Code and will help promote the dissemination of its content across the Council. A self-assessment matching Council process and practice with the Cipfa/Solace framework is being undertaken by the group.
- 4.3 The Good Governance Group has also overseen the production of 'A guide to Southend-on-Sea Borough Council' providing a basic introduction to the Council and 'How it Works' guide for managers to help the Council run effectively. These have been provided to managers across the authority. This complemented a successful 'Do the Right Thing' session for around 50 managers in June, which reinforced the Council's values, the importance of ethical governance and Council processes to ensure the local authority runs effectively. This session will be followed up with further related training and development for staff and members to help embed the values, principles and processes of the code.
- 4.4 Audit Committee considered the proposed revised Local Code of Governance at its meeting on 21 September and recommended to Cabinet that it should be approved.

5. Other Options

- 5.1 Not adopting a revised code that incorporates or reflects the Cipfa/Solace Good Governance Framework for local government would mean the Council's governance framework was not as robust as it could be, leaving the Council more vulnerable to poor management practice and possible legal challenge.

6. Corporate Implications

6.1 Contribution to Council's Vision & Corporate Priorities

Operating robust governance arrangements contributes to the delivery of all Council aims, values, priorities and vision.

6.2 Financial Implications - None specific

6.3 Legal Implications

Regulation 6(1)(a) of the Accounts and Audit Regulations 2015, require a local authority to conduct a review at least once in a year of the effectiveness of its system of internal control and include a statement reporting on the review with any published Statement of Accounts. Regulation 6(1)(b) of the Accounts and Audit Regulations 2015 require that for a local authority in England, Northern Ireland and Scotland the statement is an Annual Governance Statement.

The preparation and publication of an Annual Governance Statement in accordance with Delivering Good Governance in Local Government: Framework

(2016) would fulfil the statutory requirements across the United Kingdom for a local authority to conduct a review at least once in each financial year of the effectiveness of its system of internal control and to include a statement reporting on the review with its Statement of Accounts. In England the Accounts and Audit Regulations 2015 stipulate that the Annual Governance Statement must be “prepared in accordance with proper practices in relation to accounts”. Therefore a local authority in England shall provide this statement in accordance with Delivering Good Governance in Local Government: Framework (2016) and this section of the Code.

6.4 People Implications

All members and staff need to adopt the principles and values outlined in the Code and apply the business management processes required within their service areas.

6.5 Property Implications – None

6.6 Consultation - The relevant stakeholders have been consulted.

6.7 Equalities and Diversity Implications

This is reflected in both the principles, values and business management processes to be adopted.

6.8 Risk Assessment

Failure to operate robust governance arrangements can potentially lead to poor management, performance, stewardship of public money, public engagement and ultimately, poor outcomes for citizens and service users. It increases the risk that corporate priorities will not be delivered.

6.9 Value for Money

This is reflected in both the principles, values and business management processes to be adopted.

6.10 Community Safety Implications - None

6.11 Environmental Impact - None

7. Background Papers

- CIPFA / Solace publication: Delivering Good Governance in Local Government Framework (2016 edition).
- CIPFA / Solace publication: Guidance Note for English Authorities
- The Accounts and Audit (England) Regulations 2015.

8. Appendices

Appendix 1 - Draft Southend on Sea Borough Council Local Code of Governance and supporting appendices

Appendix 2 – Cipfa/Solace Delivering Good Governance in Local Government: Framework (2016 Edition).

Appendix 3 – Summary of Cipfa/Solace Delivering Good Governance in Local Government Framework.

This page is intentionally left blank



Local Code of Governance

The Council's framework for managing its business

Produced by: Team Manager – Policy & Information Management

Next Review: 2018

Time table for approval: CMT – 24 August 2016

Audit Committee – 21 September 2016

Cabinet – 8 November 2016

What do we mean by Governance?

Good governance helps to lead to good management, good performance, good stewardship of public money, good public engagement and, ultimately, good outcomes for citizens and service users. Good governance enables an organisation to pursue its vision effectively as well as underpinning that vision with mechanisms for control and management of risk. All local authorities should aim to meet the standards of the best and governance arrangements should not only be sound but be seen to be sound.

Good governance is about how local government bodies ensure that they are doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner. It comprises the systems and processes, and cultures and values, by which local government bodies operate and through which they account to, engage with and, where appropriate, lead their communities.

Achieving high standards of governance encourages stakeholders and local people to have confidence in engaging with it, enabling the Council to more effectively undertake the role of community leader.

Purpose of the framework

Southend-on-Sea Borough Council is accountable for the proper conduct of public business. This means ensuring that it operates in accordance with the law and proper standards, and that public money is safeguarded, properly accounted for, and used economically, efficiently and effectively.

In doing this, each local government body operates through a governance framework that brings together an underlying set of values, legislative requirements, governance principles and management processes that enables it to achieve its aims and objectives.

This Local Code of Governance (the Code) sets out the governance framework adopted by the Council in line with good practice guidance¹, including the principles that underpin it. The governance framework established is proportionate to the overall risk environment facing the Council.

These principles should be considered in the light of the key roles for local authorities identified in the guidance:

1. To engage in effective partnerships and provide leadership for and with the community;
2. To ensure the delivery of high quality local services whether directly or in partnership or by commissioning;
3. To perform a stewardship role which protects the interests of local people and makes the best use of resources and
4. To develop citizenship and local democracy.

The Code puts high standards of conduct and leadership at the heart of good governance, placing responsibility on members and officers to demonstrate leadership by behaving in ways that exemplify high standards of conduct and so set the tone for the rest of the organisation.

¹ Chartered Institute of Public Finance and Accountancy (CIPFA) / Society of Local Authority Chief Executives and Senior Managers (SOLACE) publication: Delivering Good Governance in Local Government - Framework (2016)

The Council then discharges accountability for the proper conduct of public business, through the publication of an Annual Governance Statement (AGS) that will make the adopted practice open and explicit.

This AGS also sets out:

- **Accountability** for the governance of the Council, as well as the principles and values by which the Council operates;
- How the **principles** are put into practice in order to enable service delivery to reflect community need and how evidence is obtained to ensure they operate effectively throughout the year;
- The annual **reporting** process and
- How the Code is **communicated** to members, staff and other relevant parties.

Accountability

Elected members are collectively responsible for the governance of the Council. Council delegates responsibility for independently checking that an effective governance framework (which includes a sound system of internal control) exists and operates effectively throughout the year to the Audit Committee.

The Leader of the Council and Chief Executive & Town Clerk:

- Are accountable for ensuring good governance in their authority
- Sign the Annual Governance Statement on behalf of the Council.

Principles

The Council has adopted the seven core principles from the 2016 CIPFA/Solace Framework as the basis on which it wants to operate as outlined below.



Appendix A provides more detail from the Guidance on how these core principles should be applied in practice.

Values

In discharging their roles and implementing the principles outlined above at an individual level, members and employees are expected to adopt;

- The **Nolan Committee's Seven Principles of Public Life**, supplemented by the Local Government Act 2000 with an additional three (see **Appendix B**).
- The Council's own values:



Adhering to these values will help ensure that individual staff's own conduct complies with the overarching good governance principles.

Putting the principles into practice

All organisations, whether public or private, large or small, need to operate core management processes to enable them to deliver their vision, aims and objectives. These processes are outlined below under the Council's main management activities (and explained further in **Appendix C**).

<p>MANAGING CUSTOMERS</p> <ul style="list-style-type: none"> • Customer Satisfaction • Consultation • Community Engagement • Complaints, Compliments and Comments 	<p>MANAGING PERFORMANCE</p> <ul style="list-style-type: none"> • Business Planning and Strategy • Committee Structure, Constitution, Policy Framework and Procedures • Performance Management • Risk Management, Whistleblowing • Business Continuity • Data Quality • Information Management Security • Contract Management • Project Management • Change / Transformation Management
<p>MANAGING RESOURCES</p> <ul style="list-style-type: none"> • Financial Planning & Reporting Budgetary Control and Treasury Management • Asset Management • Fraud & Corruption and Insurance (<i>risk management</i>) • Procurement • Value for Money 	<p>MANAGING PEOPLE</p> <ul style="list-style-type: none"> • Workforce Management & Development • Codes of Conduct for Members and Staff • Staff Performance Management • Health and Safety • Ethical Governance

The Council also has a very specific responsibility for ensuring that:

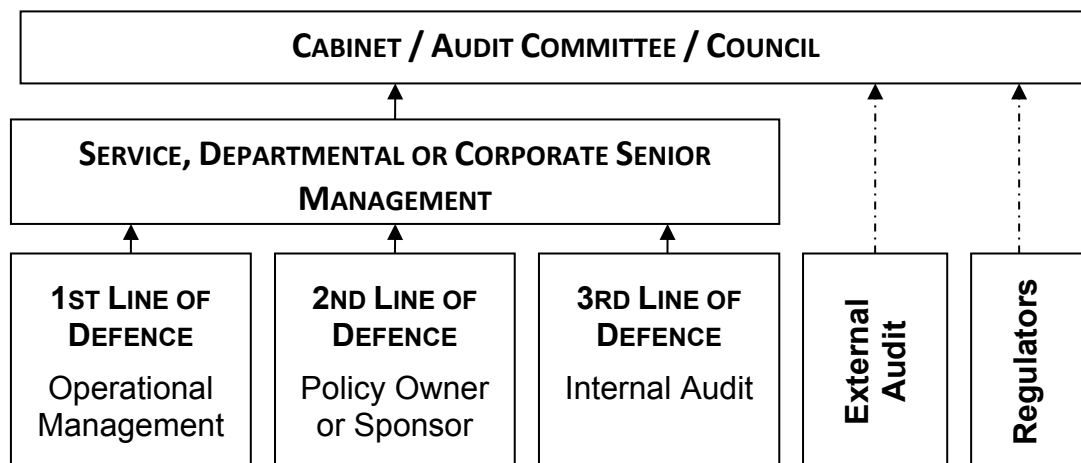
- The financial management of the body is adequate
- It has a sound system of internal control which facilitates the effective exercise of its functions and which includes its arrangements for the management of risk.

All services are responsible for maintaining proportionate but sound operational procedures and processes that adequately mitigate risks that may result in a service failure or the failure to deliver service objectives. Application of the framework outlined should put the Council in a strong position to successfully deliver whatever services it chooses to.

Evidencing effective implementation

The approach

In order to ensure that the governance framework set out above is in place and operating properly throughout the year, the Council has adopted the concept contained in the **three lines of defence**² model, as shown below.



Evidence that the governance framework is being applied is obtained via:

The first line of defence, which is:

Operational management, which is **responsible** for the effective and consistent application of these requirements in their area of operation - which includes both behavioural as well as procedural arrangements.

The second line of defence, which is:

The 'owner' or 'sponsor' who is **accountable** for the overall operation of the corporate management or service specific process and should ensure that:

- It is fit for purpose (for example, based upon relevant good practice), regularly reviewed and approved by senior management and members;
- It is constructed so that evidence of its application is easily produced, ie, as 'business as usual';
- There are proportionate and cost-effective mechanisms in place to enable them to confirm that operational managers are applying it effectively and consistently and
- Informative, regular and timely reports are provided to senior management to confirm the process has been operating effectively and consistently, identifying any remedial actions required should this not be the case.

² Based upon general industry good practice, more specifically guidance issued by the European Confederation of Institutes of Internal Auditing "*monitoring the effectiveness of internal control, internal audits and risk management systems*" September 2010

The third line of defence which is:

Internal Audit who provide **independent assurance** to senior management and the Audit Committee, on how effectively the first and second lines of defence have been operating.

System of Internal Control

Within this, it is incumbent on all staff to ensure that:

- sufficient checks (controls) are built into all systems, processes and activities to ensure that they consistently and effectively deliver the objectives required of them (eg through risk management / mitigation).
- sufficient evidence can be obtained throughout the year (via key management controls) to ensure these checks are operating as they should and therefore that the systems, processes and service objectives are being delivered.

Other potential assurance

This can be obtained from external sources such as external audit, regulators and peers and considered as a fourth line of defence where any of these sources' activity is relevant and robust.

Key Committees

Full Council is responsible for ensuring the organisation has good governance arrangements. It can discharge this duty itself or delegate this role to a committee, although accountability for this remains with Council.

The Council has delegated this function to the Audit Committee. However, there are five key member bodies, other than full council, that have a significant role to play within the governance framework:

- The Council operates with a Cabinet and strong Leader model of governance. Cabinet is responsible for the majority of functions of the Council within the budget and policy framework set by **Full Council**. Executive decisions are taken by the Cabinet collectively or by officers acting under delegated powers.
- The **Cabinet** is responsible for the majority of functions of the Council within the budget and policy framework set by full Council. Executive decisions are taken by the Cabinet collectively or by officers acting under delegated powers. Cabinet leads the Council's drive for value for money, the preparation of the Council's policies and budget, the community planning process. It takes in year decisions on resources and priorities and is the focus for forming partnerships with other organisations to address local needs.
- **Scrutiny Committees** review decisions made or actions taken in relation to any of the Council's functions, consider any matter affecting the area or its residents and exercise the right to call in, for reconsideration, decisions made by Cabinet, not yet implemented
- **Audit Committee** is responsible for independently checking that appropriate governance arrangements (including the system of internal control) are in place, operating effectively throughout the year and that actions required to strengthen these arrangements are addressed, in a timely manner. Its work programme is designed to provide it with sufficient evidence to conclude that the Annual Governance Statement accurately reflects

the governance arrangements as operated for the year in question.

- The **Standards Committee** is responsible for promoting and maintaining high standards of conduct by the members and co-opted members, and assisting them to observe the Members code of conduct.
- The **Health & Wellbeing Board** provides strategic leadership to improve the health and wellbeing of local people and reduce health inequalities. The Board works to understand the local community's needs, agree priorities and encourage commissioners to work in a more joined up way.

It should be noted that it is necessary sometimes for information to go to more than one committee in order for them to discharge their respective responsibilities.

Good Governance Group

The Council has an officer Good Governance Group that meets regularly to oversee the delivery of the governance framework. There is a terms of reference for this group and it reports to the Chief Executive and provides reports to the Corporate Management Team and Audit Committee.

Annual review and reporting

Local authorities are required to undertake an annual review their governance arrangements and evidence that they are:

- Up to date, fit for purpose and comply with the CIPFA/Solace Framework;
- Consistently applied across the organisation at all service levels;
- Being strengthened, as necessary, where improvement opportunities have been identified.

Such reviews are reported to the Audit Committee, within the Council and externally with the published accounts. In addition, the Corporate Plan and Annual Report, is submitted to the Council each year, setting out key elements of the governance framework, including the Council's vision, aims, priorities and performance targets.

Evidence and Assurance

Evidence that the governance framework is operating as it should, is obtained in a number of ways. This includes:

Annual assurance obtained from:

- Operational managers outlining the degree to which key management processes have been applied in their service areas throughout the year (including via manager assurance statements)
- The owners or sponsors of key management processes, regarding the adequacy of and compliance with key management arrangements
- Other significant functions / service providers (e.g. project / contract managers) that confirms compliance with the relevant corporate approach or requirements.
- The Good Governance Group reviewing evidence provided, each year, highlighting any areas that require senior management attention. Departmental Management Teams will review actions requiring attention through the normal performance management process.

Other manager assurance is provided by:

- Annual reports on: the Council's risk management arrangements (including those relating to fraud and corruption)
- Compliance with the treasury management policy
- Approval of the financial statements.

Independent evidence

Independent evidence primarily takes the form of:

- The Head of Internal Audit's annual report, which includes an opinion on the overall system of internal control and whether the internal audit functions have complied with professional standards.
- The external auditor's Annual Governance Report to those charged with Governance.
- External inspections and reviews from regulatory, professional, peer and representative bodies.

Annual Governance Statement

The Annual Governance Statement will be developed by the Good Governance Group, during the year and will be considered by the Corporate Management Team before being reported to the Audit Committee. The Audit Committee considers whether the Annual Governance Statement accurately reflects its understanding of how the Council's governance arrangements have operated for the year in question.

The Audit Committee approves the Annual Governance Statement, which is then signed by the Leader and Chief Executive & Town Clerk on behalf of the Council, no later than the statement of accounts and published as part of them.

Communications

This Code forms part of the Council's Constitution which is available on Council's website and, therefore, accessible to all staff, members, the public and other stakeholders.

The Code is provided to new members and outlined to newly appointed staff. The content is covered as part of the induction process.

The Code is reflected in the 'How it works' and 'guide to Southend-on-Sea Borough Council' guides for staff and managers which outline how the principles of the Code are put into practice by members and staff. Copies of the Code are available in the Members room.

Training on aspects of the governance framework or the application of key business management processes is provided as required.

The Head of Internal Audit can be contacted on 01702 534015 and Team Leader – Policy & Information Management can be contacted on 01702 534025 with any queries regarding the Code.

Core principles and sub-principles of good governance

Core principles (in bold)	Sub-principles (in bold) the Council will adhere to
<p>A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</p> <p>Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions across all activities and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule</p>	<p>Behaving with integrity</p> <ul style="list-style-type: none"> • Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation • Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles) • Leading by example and using the above standard operating principles or values as a framework for decision making and other actions • Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively <p>Demonstrating strong commitment to ethical values</p> <ul style="list-style-type: none"> • Seeking to establish, monitor and maintain the organisation’s ethical standards and performance • Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation’s culture and operation • Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values • Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with ethical standards expected by the organisation <p>Respecting the rule of law</p> <ul style="list-style-type: none"> • Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations • Creating the conditions to ensure that the statutory officers, other key post holders, and members, are able to fulfil their responsibilities in accordance with legislative and regulatory requirements • Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders • Dealing with breaches of legal and regulatory provisions effectively

Core principles (in bold)	Sub-principles (in bold) the Council will adhere to
	<ul style="list-style-type: none"> • Ensuring corruption and misuse of power are dealt with effectively
<p>B. Ensuring openness and comprehensive stakeholder engagement</p> <p>Local government is run for the public good, organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.</p>	<p>Openness</p> <ul style="list-style-type: none"> • Ensuring an open culture through demonstrating, documenting and communicating the organisation’s commitment to openness • Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided • Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear • Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action <p>Engaging comprehensively with institutional stakeholders</p> <p>NB institutional stakeholders are the other organisations that local government needs to work with to improve services and outcomes (such as commercial partners and suppliers as well as other public or third sector organisations) or organisations to which they are accountable.</p> <ul style="list-style-type: none"> • Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably • Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively <p>Ensuring that partnerships are based on:</p> <ul style="list-style-type: none"> - trust - a shared commitment to change - a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit. <p>Engaging with individual citizens and service users effectively</p> <ul style="list-style-type: none"> • Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve communities, individual citizens, service users and other stakeholders to ensure that service (or other) provision is

Core principles (in bold)	Sub-principles (in bold) the Council will adhere to
	<p>contributing towards the achievement of intended outcomes</p> <ul style="list-style-type: none"> • Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement • Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs • Implementing effective feedback mechanisms in order to demonstrate how views have been taken into account • Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity • Taking account of the impact of decisions
<p><i>In addition to the overarching requirements for acting in the public interest in principles A and B, achieving good governance also requires a commitment to and effective arrangements for:</i></p>	<p><i>Behaviours and actions that demonstrate good governance in practice are illustrated in the bullet points.</i></p>
<p>C. Defining outcomes in terms of sustainable economic, social, and environmental benefits</p> <p>The long-term nature and impact of many of local government’s responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the organisation’s purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.</p>	<p>Defining outcomes</p> <ul style="list-style-type: none"> • Having a clear vision, which is an agreed formal statement of the organisation’s purpose and intended outcomes containing appropriate performance indicators, which provide the basis for the organisation’s overall strategy, planning and other decisions • Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer • Delivering defined outcomes on a sustainable basis within the resources that will be available • Identifying and managing risks to the achievement of outcomes • Managing service users’ expectations effectively with regard to determining priorities and making the best use of the resources available <p>Sustainable economic, social and environmental benefits</p> <ul style="list-style-type: none"> • Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision • Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation’s intended outcomes and short-term factors such as the political cycle or financial constraints • Determining the wider public interest associated with

Core principles (in bold)	Sub-principles (in bold) the Council will adhere to
	<p>balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs</p> <ul style="list-style-type: none"> • Ensuring fair access to services
<p>D. Determining the interventions necessary to optimise the achievement of the intended outcomes</p> <p>Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions (courses of action). Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved. They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed frequently to ensure that achievement of outcomes is optimised.</p>	<p>Determining interventions</p> <ul style="list-style-type: none"> • Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and associated risks. Therefore ensuring best value is achieved however services are provided • Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts <p>Planning interventions</p> <ul style="list-style-type: none"> • Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets • Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered • Considering and monitoring risks facing each partner when working collaboratively, including shared risks • Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances • Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured • Ensuring capacity exists to generate the information required to review service quality regularly • Preparing budgets in accordance with objectives, strategies and the medium term financial plan • Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy <p>Optimising achievement of intended outcomes</p> <ul style="list-style-type: none"> • Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints

Core principles (in bold)	Sub-principles (in bold) the Council will adhere to
	<ul style="list-style-type: none"> • Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term • Ensuring the medium term financial strategy sets the context for on-going decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage • Ensuring the achievement of ‘social value’ through service planning and commissioning
<p>E. Developing the entity’s capacity, including the capability of its leadership and the individuals within it</p> <p>Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mindset, to operate efficiently and effectively and achieve intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an organisation operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of individual staff members. Leadership in local government is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.</p>	<p>Developing the entity’s capacity</p> <ul style="list-style-type: none"> • Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness • Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that defined outcomes are achieved effectively and efficiently • Recognising the benefits of partnerships and collaborative working where added value can be achieved • Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources <p>Developing the capability of the entity’s leadership and other individuals</p> <ul style="list-style-type: none"> • Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained • Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body • Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other’s authority • Developing the capabilities of members and senior management to achieve effective leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by: <ul style="list-style-type: none"> - ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged

Core principles (in bold)	Sub-principles (in bold) the Council will adhere to
	<ul style="list-style-type: none"> - ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis - ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external • Ensuring that there are structures in place to encourage public participation • Taking steps to consider the leadership’s own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections • Holding staff to account through regular performance reviews which take account of training or development needs • Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing
<p>F. Managing risks and performance through robust internal control and strong public financial management</p> <p>Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and are crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities.</p> <p>A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery and accountability. It is also essential that a culture</p>	<p>Managing risk</p> <ul style="list-style-type: none"> • Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making • Implementing robust and integrated risk management arrangements and ensuring that they are working effectively • Ensuring that responsibilities for managing individual risks are clearly allocated <p>Managing performance</p> <ul style="list-style-type: none"> • Monitoring service delivery effectively including planning, specification, execution and independent post implementation review • Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation’s financial, social and environmental position and outlook • Ensuring an effective scrutiny or oversight function is in place which provides constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation’s performance and that of any organisation for which it is responsible (Or, for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making • Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement • Ensuring there is consistency between specification stages

Core principles (in bold)	Sub-principles (in bold) the Council will adhere to
<p>and structure for scrutiny are in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful service delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.</p>	<p>(such as budgets) and post implementation reporting (eg financial statements)</p> <p>Robust internal control</p> <ul style="list-style-type: none"> • Aligning the risk management strategy and policies on internal control with achieving objectives • Evaluating and monitoring risk management and internal control on a regular basis • Ensuring effective counter fraud and anti-corruption arrangements are in place • Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor • Ensuring an audit committee or equivalent group/ function, which is independent of the executive and accountable to the governing body: <ul style="list-style-type: none"> - provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment - that its recommendations are listened to and acted upon <p>Managing data</p> <ul style="list-style-type: none"> • Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data • Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies • Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring <p>Strong public financial management</p> <ul style="list-style-type: none"> • Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance • Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls
<p>G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also</p>	<p>Implementing good practice in transparency</p> <ul style="list-style-type: none"> • Writing and communicating reports for the public and other stakeholders in a fair, balanced and understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate • Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand

Core principles (in bold)	Sub-principles (in bold) the Council will adhere to
<p>ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.</p>	<p>Implementing good practices in reporting</p> <ul style="list-style-type: none"> • Reporting at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way • Ensuring members and senior management own the results reported • Ensuring robust arrangements for assessing the extent to which the principles contained in this Framework have been applied and publishing the results on this assessment, including an action plan for improvement and evidence to demonstrate good governance (the annual governance statement) • Ensuring that this Framework is applied to jointly managed or shared service organisations as appropriate • Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other, similar organisations <p>Assurance and effective accountability</p> <ul style="list-style-type: none"> • Ensuring that recommendations for corrective action made by external audit are acted upon • Ensuring an effective internal audit service with direct access to members is in place, providing assurance with regard to governance arrangements and that recommendations are acted upon • Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations • Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement • Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met

The Seven (Nolan) principles of public life

Introduction

Members and employees are required to comply with the seven general principles of public life, established by the Nolan Committee on Standards in Public Life:

1. Selflessness

Holders of public office should act solely in terms of the public interest.

2. Integrity

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

3. Objectivity

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

4. Accountability

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

5. Openness

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

6. Honesty

Holders of public office should be truthful.

7. Leadership

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

Appendix C

How to run a successful organisation

WHAT DO YOU NEED TO DO?	MANAGEMENT PROCESS
Find out what your customers want	Community Engagement
Produce a plan outlining how you are going to meet that need	Business Strategy and Planning
Calculate how much this is going to cost you	Financial Planning / Treasury Management
Identify how you are going to finance this	
Identify what assets/people you are going to need to deliver this	Asset Management / Workforce Development Planning
Create the 'entity' and supporting constitution / policy structure	Committee Structure, Constitution, Policy Framework, Procedures and Codes of Conduct
Define roles and responsibilities between executive and non executive members and create supporting operational structures	
Manage activities on a day to day basis	Performance Management including that applicable to staff
Understand where things could go wrong and cause you problems in delivering your services	Risk Management including Fraud & Corruption, Health & Safety, Insurance and Business Continuity
Check to see whether you are getting sufficient income in to pay your bills with an appropriate reserve	Budgetary Control
Ensure that the information you use to decide whether you are delivering what is expected is complete and accurate	Data Quality
Ensure that you are not holding information about others you should not be, that it is secure and is not being used inappropriately	Data Management and Security
Ensure that you buy your stock/assets/services cost effectively	Procurement and Value for Money, Contract Management
When undertaking one off projects, draw up a detailed plan to enable you to do this by the pre-determined date, within the allocated resources and to the required quality standards	Project Management

This page is intentionally left blank

delivering good governance

in Local Government
Framework
2016 Edition



CIPFA, the Chartered Institute of Public Finance and Accountancy, is the professional body for people in public finance. Our 14,000 members work throughout the public services, in national audit agencies, in major accountancy firms, and in other bodies where public money needs to be effectively and efficiently managed. As the world's only professional accountancy body to specialise in public services, CIPFA's qualifications are the foundation for a career in public finance. We also champion high performance in public services, translating our experience and insight into clear advice and practical services. Globally, CIPFA shows the way in public finance by standing up for sound public financial management and good governance.

CIPFA values all feedback it receives on any aspects of its publications and publishing programme. Please send your comments to publications@cipfa.org

Solace, the Society of Local Authority Chief Executives and Senior Managers, is the representative body for senior strategic managers working in the public sector. We are committed to public sector excellence. We provide our members with opportunities for personal and professional development and seek to influence the debate about the future of public services to ensure that policy and legislation reflect the experience and expertise of our members.



delivering good governance

in Local Government
Framework
2016 Edition



This *Delivering Good Governance in Local Government: Framework* includes extracts from *International Framework: Good Governance in the Public Sector*, copyright © 2014 by IFAC and CIPFA. Used with permission. All rights reserved.

Published by:

CIPFA \ THE CHARTERED INSTITUTE OF PUBLIC FINANCE AND ACCOUNTANCY

77 Mansell Street, London E1 8AN

020 7543 5600 \ publications@cipfa.org \ www.cipfa.org

© April 2016 CIPFA

ISBN 978 1 84508 456 1

Designed and typeset by Ministry of Design, Bath
(www.ministryofdesign.co.uk)

No responsibility for loss occasioned to any person acting or refraining from action as a result of any material in this publication can be accepted by the authors or publisher.

While every care has been taken in the preparation of this publication, it may contain errors for which the publisher and authors cannot be held responsible.

Apart from any fair dealing for the purposes of research or private study, or criticism or review, as permitted under the Copyright, Designs and Patents Act, 1988, this publication may be reproduced, stored or transmitted, in any form or by any means, only with the prior permission in writing of the publishers, or in the case of reprographic reproduction in accordance with the terms of licences issued by the Copyright Licensing Agency Ltd. Enquiries concerning reproduction outside those terms should be sent to the publishers at the above mentioned address.

Acknowledgements

CIPFA and Solace have drawn together the following members of the Joint Working Group and are grateful to them and to their employing organisations for their time and assistance in preparing this *Delivering Good Governance in Local Government: Framework*.

Members

Julie Parker (Chair)	<i>Non-executive Director and Independent Consultant</i>
Charlie Adan	<i>Babergh District Council/Mid Suffolk District Council</i>
David Aldous	<i>National Audit Office (NAO)</i>
Ivan Butler	<i>Denbighshire County Council</i>
Brenda Campbell	<i>Convention of Scottish Local Authorities (COSLA)</i>
Kirsty Cole	<i>Newark and Sherwood District Council/Lawyers in Local Government (LLG)</i>
Richard Feltham	<i>Kent Fire and Rescue Service</i>
Russell Frith	<i>Audit Scotland</i>
Alan Gay	<i>Leeds City Council</i>
Alan Geddes	<i>formerly Highland Council</i>
Jacqui McKinlay	<i>Centre for Public Scrutiny (CfPS)</i>
Stephen Hughes/Sarah Pickup	<i>Local Government Association (LGA)</i>
Ruth Hyde	<i>Broxtowe Borough Council</i>
Graeme McDonald	<i>Solace</i>
Cat McIntyre	<i>Association of Police and Crime Commissioners (APCC)</i>
Terry Osborne	<i>Essex County Council</i>
Marion Pryor	<i>Conwy County Borough Council</i>
Jon Rae	<i>Welsh Local Government Association (WLGA)</i>
Joe Simpson	<i>Leadership Centre for Local Government</i>
Mike Suarez	<i>Cheshire East Council</i>
Jason Vaughan	<i>West Dorset District Council/Weymouth and Portland Borough Council</i>
Bill Wilkinson	<i>CIPFA's Police Panel/Police and Crime Commissioners Treasurers' Society (PACCTS)</i>
Ian Williams	<i>London Borough of Hackney</i>
Ness Young	<i>Bridgend County Borough Council</i>

Secretariat

Kerry Ace (Secretary)	CIPFA
Diana Melville	CIPFA
Rachael Tiffen	CIPFA

Observer

Shehla Husain	<i>Department for Communities and Local Government (DCLG)</i>
---------------	---

Solace, the Society of Local Authority Chief Executives and Senior Managers, is the representative body for senior strategic managers working in the public sector. We are committed to public sector excellence. We provide our members with opportunities for personal and professional development and seek to influence the debate about the future of public services to ensure that policy and legislation reflect the experience and expertise of our members.

This *Delivering Good Governance in Local Government: Framework* includes extracts from *International Framework: Good Governance in the Public Sector*, copyright © 2014 by IFAC and CIPFA. Used with permission. All rights reserved.

Contents

CHAPTER ONE: INTRODUCTION	1
CHAPTER TWO: STATUS	3
CHAPTER THREE: REQUIREMENTS	5
CHAPTER FOUR: APPLICABILITY AND TERMINOLOGY	7
APPLICABILITY	7
TERMINOLOGY	7
CHAPTER FIVE: GUIDANCE NOTES	9
CHAPTER SIX: THE PRINCIPLES OF GOOD GOVERNANCE – APPLICATION	11
DEFINING THE CORE PRINCIPLES AND SUB-PRINCIPLES OF GOOD GOVERNANCE	11
DEFINING GOVERNANCE	12
PRINCIPLES OF GOOD GOVERNANCE IN LOCAL GOVERNMENT	12
CHAPTER SEVEN: ANNUAL REVIEW AND REPORTING	23
THE ANNUAL GOVERNANCE STATEMENT.....	23
GOVERNANCE ARRANGEMENTS.....	24

CHAPTER ONE

Introduction

- 1.1** Governance arrangements in the public services are keenly observed and sometimes criticised. Significant governance failings attract huge attention – as they should – and one significant failing can taint a whole sector. Local government organisations are big business and are vitally important to tax payers and service users. They need to ensure that they meet the highest standards and that governance arrangements are not only sound but are seen to be sound.
- 1.2** It is crucial that leaders and chief executives keep their governance arrangements up to date and relevant. The main principle underpinning the development of the new *Delivering Good Governance in Local Government: Framework* (CIPFA/Solace, 2016) ('the Framework') continues to be that local government is developing and shaping its own approach to governance, taking account of the environment in which it now operates. The Framework is intended to assist authorities individually in reviewing and accounting for their own unique approach. The overall aim is to ensure that resources are directed in accordance with agreed policy and according to priorities, that there is sound and inclusive decision making and that there is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities.
- 1.3** The Framework positions the attainment of sustainable economic, societal, and environmental outcomes as a key focus of governance processes and structures. Outcomes give the role of local government its meaning and importance, and it is fitting that they have this central role in the sector's governance. Furthermore, the focus on sustainability and the links between governance and public financial management are crucial – local authorities must recognise the need to focus on the long term. Local authorities have responsibilities to more than their current electors as they must take account of the impact of current decisions and actions on future generations.

CHAPTER TWO

Status

- 2.1** Section 3.7 of the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2016/17 notes:

Regulation 6(1)(a) of the Accounts and Audit Regulations 2015, Regulation 4(2) of the Local Government (Accounts and Audit) Regulations (Northern Ireland) 2015, Regulation 5(2) of the Local Authority Accounts (Scotland) Regulations 2014 and Regulation 5(2) of the Accounts and Audit (Wales) Regulations 2014 require an authority to conduct a review at least once in a year of the effectiveness of its system of internal control and include a statement reporting on the review with any published Statement of Accounts (England) (as a part of the Annual Accounts (Scotland)). Regulation 6(1)(b) of the Accounts and Audit Regulations 2015, Regulation 4(4) of the Local Government (Accounts and Audit) Regulations (Northern Ireland) 2015 and Regulation 5(4) of the Local Authority Accounts (Scotland) Regulations 2014 require that for a local authority in England, Northern Ireland and Scotland the statement is an Annual Governance Statement.

The preparation and publication of an Annual Governance Statement in accordance with Delivering Good Governance in Local Government: Framework (2016) would fulfil the statutory requirements across the United Kingdom for a local authority to conduct a review at least once in each financial year of the effectiveness of its system of internal control and to include a statement reporting on the review with its Statement of Accounts. In England the Accounts and Audit Regulations 2015 stipulate that the Annual Governance Statement must be “prepared in accordance with proper practices in relation to accounts”. Therefore a local authority in England shall provide this statement in accordance with Delivering Good Governance in Local Government: Framework (2016) and this section of the Code.

- 2.2** This Framework applies to annual governance statements prepared for the financial year 2016/17 onwards.

CHAPTER THREE

Requirements

- 3.1** The Framework defines the principles that should underpin the governance of each local government organisation. It provides a structure to help individual authorities with their approach to governance. Whatever form of arrangements are in place, authorities should therefore test their governance structures and partnerships against the principles contained in the Framework by:
- reviewing existing governance arrangements
 - developing and maintaining an up-to-date local code of governance, including arrangements for ensuring ongoing effectiveness
 - reporting publicly on compliance with their own code on an annual basis and on how they have monitored the effectiveness of their governance arrangements in the year and on planned changes.
- 3.2** The term ‘local code’ essentially refers to the governance structure in place as there is an expectation that a formally set out local structure should exist, although in practice it may consist of a number of local codes or documents.
- 3.3** To achieve good governance, each local authority should be able to demonstrate that its governance structures comply with the core and sub-principles contained in this Framework. It should therefore develop and maintain a local code of governance/governance arrangements reflecting the principles set out.
- 3.4** It is also crucial that the Framework is applied in a way that demonstrates the spirit and ethos of good governance which cannot be achieved by rules and procedures alone. Shared values that are integrated into the culture of an organisation, and are reflected in behaviour and policy, are hallmarks of good governance.

Applicability and terminology

APPLICABILITY

- 4.1** The Framework is for all parts of local government and its partnerships, including:
- county councils
 - district, borough and city councils
 - metropolitan and unitary councils
 - the Greater London Authority and functional bodies
 - combined authorities, city regions, devolved structures
 - the City of London Corporation
 - combined fire authorities
 - joint authorities
 - police authorities, which for these purposes since 2012 includes both the police and crime commissioner (PCC) and the chief constable
 - national park authorities.
- 4.2** The Framework is applicable to a system involving a group of local government organisations as well as to each of them individually. The Framework principles are therefore intended to be relevant to all organisations and systems associated with local authorities, ie joint boards, partnerships and other vehicles through which authorities now work. However, a one-size-fits-all approach to governance is inappropriate. Not all parts of the Framework will be directly applicable to all types and size of such structures, and it is therefore up to different authorities and associated organisations to put the Framework into practice in a way that reflects their structures and is proportionate to their size.

TERMINOLOGY

- 4.3** The terms ‘authorities’, ‘local government organisations’ and ‘organisations’ are used throughout this Framework and should be taken to cover any partnerships and joint working arrangements in operation.
- 4.4** In the police service, where the accountabilities rest with designated individuals rather than a group of members, terms such as ‘leader’ should be interpreted as relating to the PCC or the chief constable as appropriate.

CHAPTER FIVE

Guidance notes

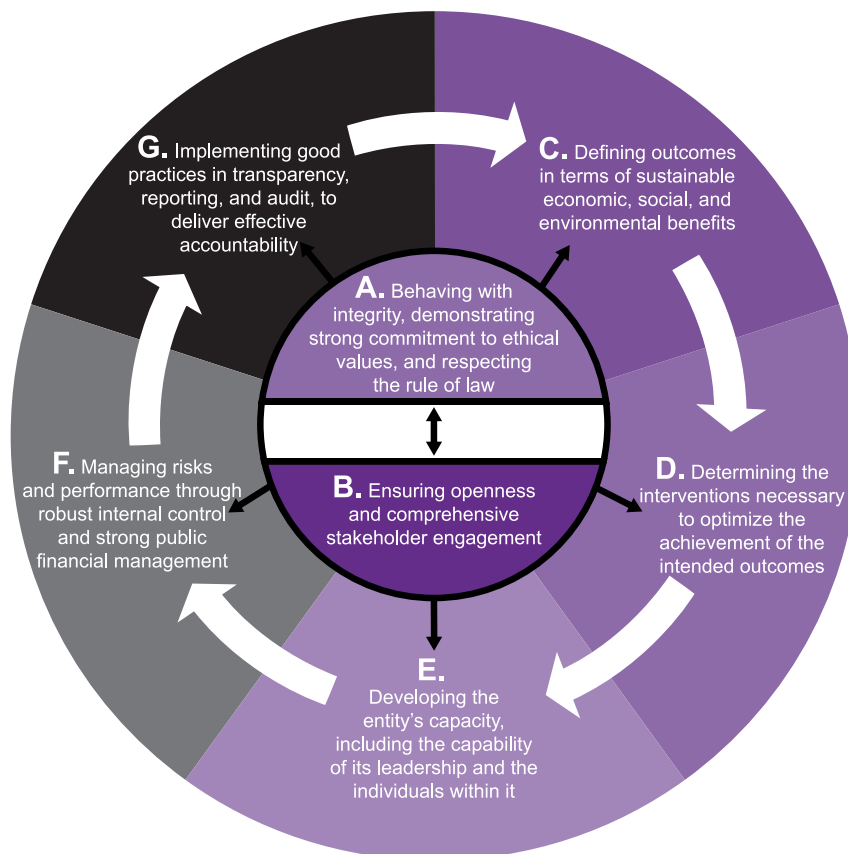
- 5.1** In recognition of the separate legislation applicable to different parts of local government, guidance notes to accompany the Framework have been developed for:
- local government in England (excluding police)
 - local government in Wales (excluding police)
 - police in England and Wales
 - local government in Scotland.
- 5.2** The guidance notes, which should be used in conjunction with the Framework, are intended to assist authorities across their governance systems, structures and partnerships in reviewing their governance arrangements. It will also help them in interpreting the overarching principles and terminology contained in the Framework in a way that is appropriate for their governance structures, taking account of the legislative and constitutional arrangements that underpin them.

The principles of good governance – application

DEFINING THE CORE PRINCIPLES AND SUB-PRINCIPLES OF GOOD GOVERNANCE

6.1 The diagram below, taken from the *International Framework: Good Governance in the Public Sector* (CIPFA/IFAC, 2014) (the ‘International Framework’), illustrates the various principles of good governance in the public sector and how they relate to each other.

Achieving the Intended Outcomes While Acting in the Public Interest at all Times



The International Framework notes that:

Principles A and B permeate implementation of principles C to G. The diagram also illustrates that good governance is dynamic, and that an entity as a whole should be committed to improving governance on a continuing basis through a process of evaluation and review.

DEFINING GOVERNANCE

6.2 The International Framework defines governance as follows:

Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved.

The International Framework also states that:

To deliver good governance in the public sector, both governing bodies and individuals working for public sector entities must try to achieve their entity's objectives while acting in the public interest at all times.

Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders.

6.3 In local government, the governing body is the full council or authority. In the police, PCCs and chief constables are corporations sole and are jointly responsible for governance. The many references to 'members' in the tables which follow should be read in the context that the principles set out apply equally in the police.

PRINCIPLES OF GOOD GOVERNANCE IN LOCAL GOVERNMENT

6.4 The core principles and sub-principles of good governance set out in the table below are taken from the International Framework. In turn they have been interpreted for a local government context.

It is up to each local authority or local government organisation to:

- set out its commitment to the principles of good governance included in this Framework
- determine its own governance structure, or local code, underpinned by these principles
- ensure that it operates effectively in practice.

Core principles and sub-principles of good governance

Core principles (shown in bold)	Sub-principles (shown in bold)
Acting in the public interest requires a commitment to and effective arrangements for:	Behaviours and actions that demonstrate good governance in practice are illustrated in the bullet points.
A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	Behaving with integrity
<p>Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions across all activities and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.</p>	<ul style="list-style-type: none"> ■ Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation ■ Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles) ■ Leading by example and using the above standard operating principles or values as a framework for decision making and other actions ■ Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively
	Demonstrating strong commitment to ethical values
	<ul style="list-style-type: none"> ■ Seeking to establish, monitor and maintain the organisation’s ethical standards and performance ■ Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation’s culture and operation ■ Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values ■ Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with ethical standards expected by the organisation

Core principles (shown in bold)	Sub-principles (shown in bold)
	<p>Respecting the rule of law</p> <ul style="list-style-type: none"> ■ Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations ■ Creating the conditions to ensure that the statutory officers, other key post holders, and members, are able to fulfil their responsibilities in accordance with legislative and regulatory requirements ■ Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders ■ Dealing with breaches of legal and regulatory provisions effectively ■ Ensuring corruption and misuse of power are dealt with effectively
<p>B. Ensuring openness and comprehensive stakeholder engagement</p> <p>Local government is run for the public good, organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.</p>	<p>Openness</p> <ul style="list-style-type: none"> ■ Ensuring an open culture through demonstrating, documenting and communicating the organisation’s commitment to openness ■ Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided ■ Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear ■ Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action <p>Engaging comprehensively with institutional stakeholders</p> <p>NB institutional stakeholders are the other organisations that local government needs to work with to improve services and outcomes (such as commercial partners and suppliers as well as other public or third sector organisations) or organisations to which they are accountable.</p> <ul style="list-style-type: none"> ■ Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably

Core principles (shown in bold)**Sub-principles (shown in bold)**

- Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively
- Ensuring that partnerships are based on:
 - trust
 - a shared commitment to change
 - a culture that promotes and accepts challenge among partners

and that the added value of partnership working is explicit

Engaging with individual citizens and service users effectively

- Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve communities, individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes
- Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement
- Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs
- Implementing effective feedback mechanisms in order to demonstrate how views have been taken into account
- Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity
- Taking account of the impact of decisions on future generations of tax payers and service users

Principles (shown in bold)	Sub-principles (shown in bold)
<p>In addition to the overarching requirements for acting in the public interest in principles A and B, achieving good governance also requires a commitment to and effective arrangements for:</p>	<p>Behaviours and actions that demonstrate good governance in practice are illustrated in the bullet points.</p>
<p>C. Defining outcomes in terms of sustainable economic, social, and environmental benefits</p>	<p>Defining outcomes</p>
<p>The long-term nature and impact of many of local government’s responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the organisation’s purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.</p>	<ul style="list-style-type: none"> ■ Having a clear vision, which is an agreed formal statement of the organisation’s purpose and intended outcomes containing appropriate performance indicators, which provide the basis for the organisation’s overall strategy, planning and other decisions ■ Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer ■ Delivering defined outcomes on a sustainable basis within the resources that will be available ■ Identifying and managing risks to the achievement of outcomes ■ Managing service users’ expectations effectively with regard to determining priorities and making the best use of the resources available
	<p>Sustainable economic, social and environmental benefits</p>
	<ul style="list-style-type: none"> ■ Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision ■ Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation’s intended outcomes and short-term factors such as the political cycle or financial constraints ■ Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs ■ Ensuring fair access to services

Principles (shown in bold)	Sub-principles (shown in bold)
<p>D. Determining the interventions necessary to optimise the achievement of the intended outcomes</p> <p>Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions (courses of action). Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved. They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed frequently to ensure that achievement of outcomes is optimised.</p>	<p>Determining interventions</p> <ul style="list-style-type: none"> ■ Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and associated risks. Therefore ensuring best value is achieved however services are provided ■ Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts <p>Planning interventions</p> <ul style="list-style-type: none"> ■ Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets ■ Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered ■ Considering and monitoring risks facing each partner when working collaboratively, including shared risks ■ Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances ■ Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured ■ Ensuring capacity exists to generate the information required to review service quality regularly ■ Preparing budgets in accordance with objectives, strategies and the medium term financial plan ■ Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy

Principles (shown in bold)	Sub-principles (shown in bold)
	<p>Optimising achievement of intended outcomes</p> <ul style="list-style-type: none"> ■ Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints ■ Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term ■ Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage ■ Ensuring the achievement of ‘social value’ through service planning and commissioning
<p>E. Developing the entity’s capacity, including the capability of its leadership and the individuals within it</p> <p>Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mindset, to operate efficiently and effectively and achieve intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an organisation operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of individual staff members. Leadership in local government is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.</p>	<p>Developing the entity’s capacity</p> <ul style="list-style-type: none"> ■ Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness ■ Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that defined outcomes are achieved effectively and efficiently ■ Recognising the benefits of partnerships and collaborative working where added value can be achieved ■ Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources <p>Developing the capability of the entity’s leadership and other individuals</p> <ul style="list-style-type: none"> ■ Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained ■ Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body ■ Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other’s authority

Principles (shown in bold)**Sub-principles (shown in bold)**

- Developing the capabilities of members and senior management to achieve effective leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by:
 - ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged
 - ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis
 - ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external
- Ensuring that there are structures in place to encourage public participation
- Taking steps to consider the leadership’s own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections
- Holding staff to account through regular performance reviews which take account of training or development needs
- Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing

Principles (shown in bold)	Sub-principles (shown in bold)
<p>F. Managing risks and performance through robust internal control and strong public financial management</p> <p>Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and are crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities.</p> <p>A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery and accountability.</p> <p>It is also essential that a culture and structure for scrutiny are in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful service delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.</p>	<p>Managing risk</p> <ul style="list-style-type: none"> ■ Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making ■ Implementing robust and integrated risk management arrangements and ensuring that they are working effectively ■ Ensuring that responsibilities for managing individual risks are clearly allocated <p>Managing performance</p> <ul style="list-style-type: none"> ■ Monitoring service delivery effectively including planning, specification, execution and independent post implementation review ■ Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation’s financial, social and environmental position and outlook ■ Ensuring an effective scrutiny or oversight function is in place which provides constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation’s performance and that of any organisation for which it is responsible (Or, for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making ■ Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement ■ Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements)

Principles (shown in bold)**Sub-principles (shown in bold)****Robust internal control**

- Aligning the risk management strategy and policies on internal control with achieving objectives
- Evaluating and monitoring risk management and internal control on a regular basis
- Ensuring effective counter fraud and anti-corruption arrangements are in place
- Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor
- Ensuring an audit committee or equivalent group/function, which is independent of the executive and accountable to the governing body:
 - provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment
 - that its recommendations are listened to and acted upon

Managing data

- Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data
- Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies
- Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring

Strong public financial management

- Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance
- Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls

Principles (shown in bold)**G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability**

Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.

Sub-principles (shown in bold)**Implementing good practice in transparency**

- Writing and communicating reports for the public and other stakeholders in a fair, balanced and understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate
- Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand

Implementing good practices in reporting

- Reporting at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way
- Ensuring members and senior management own the results reported
- Ensuring robust arrangements for assessing the extent to which the principles contained in this Framework have been applied and publishing the results on this assessment, including an action plan for improvement and evidence to demonstrate good governance (the annual governance statement)
- Ensuring that this Framework is applied to jointly managed or shared service organisations as appropriate
- Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other, similar organisations

Assurance and effective accountability

- Ensuring that recommendations for corrective action made by external audit are acted upon
- Ensuring an effective internal audit service with direct access to members is in place, providing assurance with regard to governance arrangements and that recommendations are acted upon
- Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations
- Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement
- Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met

Annual review and reporting

THE ANNUAL GOVERNANCE STATEMENT

- 7.1** Local authorities are required to prepare an annual governance statement (see Chapter two) in order to report publicly on the extent to which they comply with their own code of governance, which in turn is consistent with the good governance principles in this Framework. This includes how they have monitored and evaluated the effectiveness of their governance arrangements in the year, and on any planned changes in the coming period. The process of preparing the governance statement should itself add value to the effectiveness of the governance and internal control framework.
- 7.2** The annual governance statement is a valuable means of communication. It enables an authority to explain to the community, service users, tax payers and other stakeholders its governance arrangements and how the controls it has in place manage risks of failure in delivering its outcomes. It should reflect an individual authority's particular features and challenges.
- 7.3** The annual governance statement should provide a meaningful but brief communication regarding the review of governance that has taken place, including the role of the governance structures involved (such as the authority, the audit and other committees). It should be high level, strategic and written in an open and readable style.
- 7.4** The annual governance statement should be focused on outcomes and value for money and relate to the authority's vision for the area. It should provide an assessment of the effectiveness of the authority's governance arrangements in supporting the planned outcomes – not simply a description of them. Key elements of an authority's governance arrangements are summarised in the next section.
- 7.5** The annual governance statement should include:
- an acknowledgement of responsibility for ensuring that there is a sound system of governance (incorporating the system of internal control) and reference to the authority's code of governance
 - reference to and assessment of the effectiveness of key elements of the governance framework and the role of those responsible for the development and maintenance of the governance environment, such as the authority, the executive, the audit committee, internal audit and others as appropriate
 - an opinion on the level of assurance that the governance arrangements can provide and that the arrangements continue to be regarded as fit for purpose in accordance with the governance framework

- an agreed action plan showing actions taken, or proposed, to deal with significant governance issues
 - reference to how issues raised in the previous year's annual governance statement have been resolved
 - a conclusion – a commitment to monitoring implementation as part of the next annual review.
- 7.6** The annual governance statement should be signed by the leading member (or equivalent) and chief executive (or equivalent) on behalf of the authority.
- 7.7** The annual governance statement should be approved at a meeting of the authority or delegated committee (in Scotland, the authority or a committee with a remit including audit or governance).
- 7.8** Local authorities are required to include the annual governance statement with their statement of accounts. As the annual governance statement provides a commentary on all aspects of the authority's performance, it is appropriate for it to be published, either in full or as a summary, in the annual report, where one is published. It is important that it is kept up to date at time of publication.

GOVERNANCE ARRANGEMENTS

- 7.9** Key elements of the structures and processes that comprise an authority's governance arrangements are summarised below. They do not need to be described in detail in the annual governance statement if they are already easily accessible by the public, for example through the authority's code of governance.
- Developing codes of conduct which define standards of behaviour for members and staff, and policies dealing with whistleblowing and conflicts of interest and that these codes and policies are communicated effectively.
 - Ensuring compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful.
 - Documenting a commitment to openness and acting in the public interest.
 - Establishing clear channels of communication with all sections of the community and other stakeholders, ensuring accountability and encouraging open consultation.
 - Developing and communicating a vision which specifies intended outcomes for citizens and service users and is used as a basis for planning.
 - Translating the vision into courses of action for the authority, its partnerships and collaborations.
 - Reviewing the effectiveness of the decision-making framework, including delegation arrangements, decision-making in partnerships, information provided to decision makers and robustness of data quality.
 - Measuring the performance of services and related projects and ensuring that they are delivered in accordance with defined outcomes and that they represent the best use of resources and value for money.

- Defining and documenting the roles and responsibilities of members and management, with clear protocols for effective communication in respect of the authority and partnership arrangements.
- Ensuring that financial management arrangements conform with the governance requirements of the [CIPFA Statement on the Role of the Chief Financial Officer in Local Government \(2015\)](#) or [CIPFA Statement on the Role of the Chief Financial Officer of the Police and Crime Commissioner and the Chief Financial Officer of the Chief Constable \(2014\)](#) as appropriate and, where they do not, explain why and how they deliver the same impact.
- Ensuring effective arrangements are in place for the discharge of the monitoring officer function.
- Ensuring effective arrangements are in place for the discharge of the head of paid service function.
- Providing induction and identifying the development needs of members and senior officers in relation to their strategic roles, supported by appropriate training.
- Reviewing the effectiveness of the framework for identifying and managing risks and for performance and demonstrating clear accountability.
- Ensuring effective counter fraud and anti-corruption arrangements are developed and maintained in accordance with the [Code of Practice on Managing the Risk of Fraud and Corruption \(CIPFA, 2014\)](#).
- Ensuring an effective scrutiny function is in place.
- Ensuring that assurance arrangements conform with the governance requirements of the [CIPFA Statement on the Role of the Head of Internal Audit \(2010\)](#) and, where they do not, explain why and how they deliver the same impact.
- Undertaking the core functions of an audit committee, as identified in [Audit Committees: Practical Guidance for Local Authorities and Police \(CIPFA, 2013\)](#).
- Ensuring that the authority provides timely support, information and responses to external auditors and properly considers audit findings and recommendations.
- Incorporating good governance arrangements in respect of partnerships and other joint working and ensuring that they are reflected across the authority's overall governance structures.



Registered office:

77 Mansell Street, London E1 8AN

T: +44 (0)20 7543 5600 F: +44 (0)20 7543 5700

www.cipfa.org

CIPFA registered with the Charity Commissioners of England and Wales No 231060



Delivering Good Governance in Local Government: Framework (2016 Edition)

Get the most from this publication

It is crucial that leaders and chief executives keep their governance arrangements up to date and relevant.

The main principle underpinning the development of this new Framework continues to be that local government is developing and shaping its own approach to governance, taking account of the environment in which it now operates.

The Framework is intended to assist authorities individually in reviewing and accounting for their own unique approach.

Read the full publication [here](#).



The overall aim is to ensure that resources are directed in accordance with agreed policy and according to priorities, that there is sound and inclusive decision making and that there is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities.

The Framework positions the attainment of sustainable economic, societal, and environmental outcomes as a key focus of governance processes and structures.

WHAT DOES IT DO?

The Framework defines the principles that should underpin the governance of each local government organisation.

It provides a structure to help individual authorities with their approach to governance.

Whatever form of arrangements are in place, authorities should therefore test their governance structures and partnerships against the principles contained in the Framework by:

- reviewing existing governance arrangements
- developing and maintaining an up-to-date local code of governance, including arrangements for ensuring ongoing effectiveness
- reporting publicly on compliance with their own code on an annual basis and on how

they have monitored the effectiveness of their governance arrangements in the year and on planned changes.

To achieve good governance, each local authority should be able to demonstrate that its governance structures comply with the core and sub-principles contained in this Framework.

It should therefore develop and maintain a local code of governance/governance arrangements reflecting the principles set out.

It is essential that the Framework is applied in a way that demonstrates the spirit and ethos of good governance which cannot be achieved by rules and procedures alone. Shared values that are integrated into the culture of an organisation, and are reflected in behaviour and policy, are hallmarks of good governance.

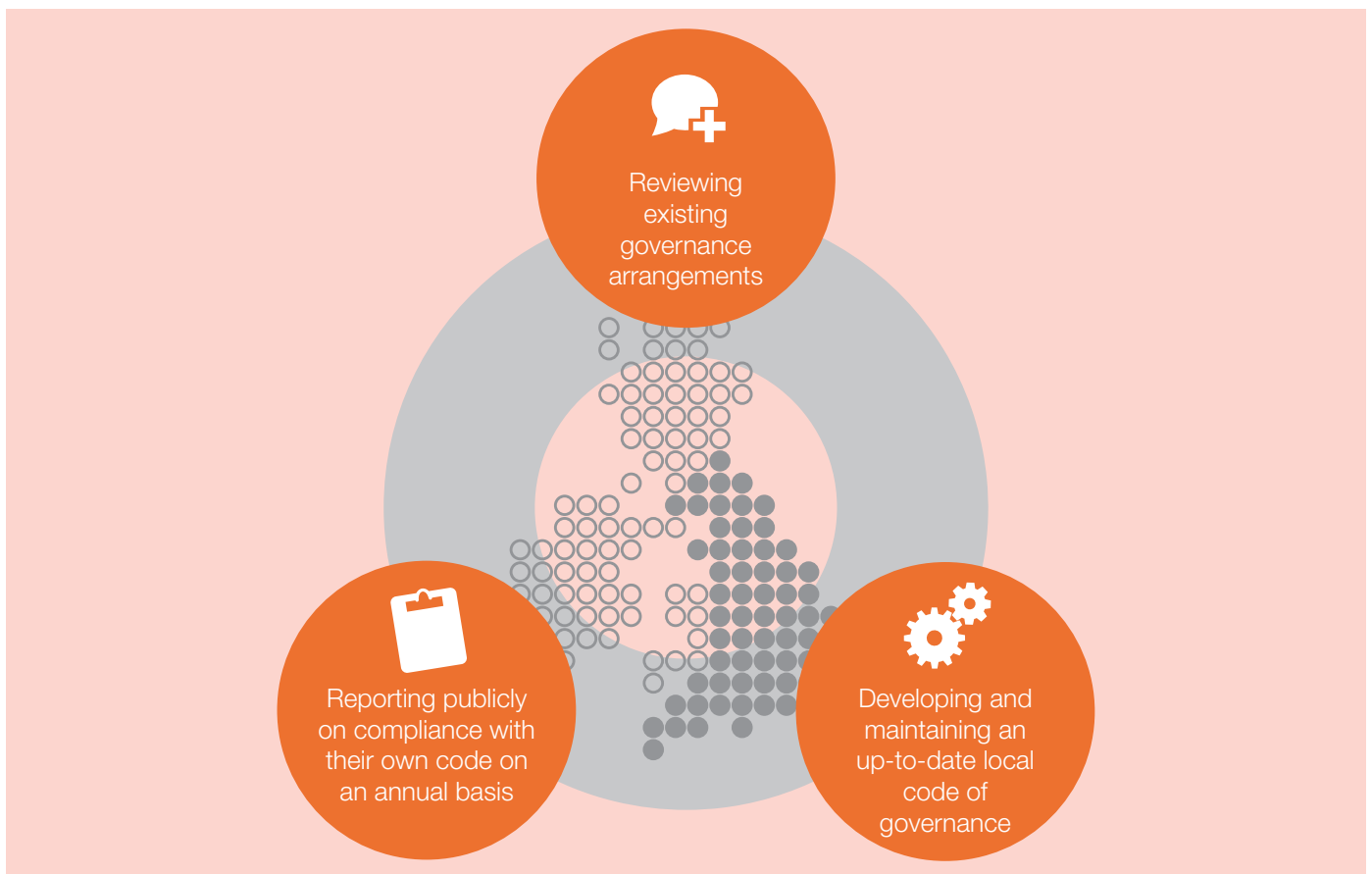
The preparation and publication of an Annual Governance Statement in accordance with this Framework fulfils the statutory requirements across the United Kingdom for a local authority to conduct a review at least once in each financial year of the effectiveness of its system of internal control and to include a statement reporting on the review with its Statement of Accounts.

The Framework applies to annual governance statements prepared for the financial year 2016/17 onwards.

YOU MIGHT ALSO BE INTERESTED IN THIS CIPFA PUBLICATION:

- [Delivering Good Governance in Local Government: Guidance Notes for English Authorities \(2016 Edition\)](#)

Test your governance structures and partnerships against the principles contained in the Framework



Southend-on-Sea Borough Council

Agenda
Item No.

Report of Chief Executive

to
Cabinet

on

8 November 2016

Report prepared by: Veronica Dewsbury, Benefits Manager

Procurement of Remote Processing for Housing Benefits

Policy and Resources Scrutiny Committee
Executive Councillor: Councillor Moring
A Part 1 Public Agenda Item

1. Purpose of Report

To detail the need for flexible, external resources to maintain service levels within Housing Benefits during the full roll out of universal credit.

2. Recommendations

Cabinet to approve a tender process to appoint a provider of third party remote processing to support the Housing Benefit Team during the transition to Universal Credit.

3. Background

The Welfare Reform Act was the biggest change to the welfare state system for over 60 years. It received royal assent on the 8th March 2012. The major initiative under this Act is the replacement of 6 mainstream means tested benefits with Universal Credit. Housing Benefit is administered by Local Authorities, Tax Credits by Her Majesty's Revenues and Customs and the rest by the Department for Work and Pensions.

In the original planned roll out of Universal Credit it would have been fully implemented by October 2015 for working age claimants, with pensioners fully rolled out by 2018. There have been a number of delays, and a reduction in the planned pilot areas, because of system issues. The roll out plan was revised and Southend Jobcentre went "live" with the first universal credit claims in April 2015. This was expected to deliver relatively rapid reductions in the housing benefit caseload over an 18 month period.

Based on these plans the service has limited recruitment of new permanent resources as the training is costly and it would ultimately add to the inevitable redundancy costs following the full roll out of Universal Credit.

Due to further issues, although Southend Jobcentre is officially a live area for Universal Credit, only single people are included at the moment. Only a small number of housing benefit claims have transferred to Universal Credit to date.

A new delivery system for universal credit has now been developed and is live in a few pilot areas. A revised roll out to the rest of the Country has now been announced.

The digital system allows all claim types to make an application for Universal Credit instead of any of the legacy benefits it replaces (Housing Benefit, Tax Credits, Income Support, Income Based Jobseekers Allowance, Income Related Employment and Support Allowance).

Once a jobcentre is on the digital system anyone who is working age and wishes to make a new claim for any of the legacy benefits will have to claim Universal Credit. There would be no new claims for Housing Benefit to the Local Authority for working age people, though they would still have to claim Council Tax Reduction from the LA if applicable.

Apart from a few test sites in November 2015, the main rollout to jobcentres is happening in stages as below:

- 5 a month from May 2016 to July 2016
- 5 a month from October 2016 to December 2016
- 5 a month from February 2017 to June 2017
- 30 in July 2017
- 55 a month from October 2017 to December 2017
- 65 a month from February 2018 until last 57 in September 2018

All the jobcentres due to switch up to and including March 2017 have been named. Southend is not amongst those named and will therefore be in one of the phases from April 2017 to September 2018. The DWP have stated that the remainder sites for 2017/2018 will be announced by November 2016.

The migration of existing working age Housing Benefit caseload will start in July 2019 and will conclude by March 2022. The specific of how this will be operated is not yet known. The plan to incorporate Housing Benefit for pensioners into Pension Credit will not be looked at until the completion of the above Universal Credit timetable in 2022. The pensioner Housing Benefit caseload will stay with Local Authorities until at least then.

These delays and changes have had a continued impact on our internal delivery plans, particularly the need to extend the additional burdens from the welfare reform programme such as the Fraud and Error Incentive Scheme and right time interventions which have increased the workload within the department despite a slight drop in caseload.

Following a restructure of the service in April 2016 and a full service review covering these and other challenges, the need for additional, external and flexible resources was identified.

At the point that Southend Jobcentre go live on the new universal credit solution the housing benefit caseload will start to reduce. There is no data available to quantify how rapidly this will happen so accurate planning is problematic. The overall working age project will not be complete until March 2022 but we could be managing a much smaller working age caseload by then.

One of the outcomes from the service review was that the best way to manage the caseload through these uncertain times would be with the assistance of a third party provider to provide flexible extra resources between now and when the caseload has reduced to a point where the service can manage it internally. The proposal is to tender for this support for a 3 year period with an option to extend for 1 further year.

4. Other Options

- Recruit staff on temporary contracts. The difficulty with this approach is that we cannot recruit trained staff and it takes up to a year to train a new starter.
- Try and cover the work using overtime. This will not be sufficient and will lead to significant delays in processing which will result in subsidy qualifications and increased overpayments.
- Recruit specialist agency staff direct. This would be more expensive than the recommended option and does not deliver the flexibility required.

5. Reasons for Recommendations

The option recommended will assist the service in ensuring a maximum subsidy claim each year in the most reliable and cost effective manner. It will allow reduction in resource year on year, in line with Universal Credit roll out, through the life of the contract.

6. Corporate Implications

6.1 Contribution to Council's Vision & Corporate Priorities

6.2 Financial Implications

If this transition is not managed effectively, the risk of loss of housing benefit subsidy is significant. The annual subsidy claim is in excess of £90 million and claims with delays or errors do not attract full subsidy from the Government leaving the cost to be met from the general fund.

In addition, delays lead to increased overpayment which attract only 40% or 0% subsidy leaving the onus on the Council to recover the overpayments from the created debt. These debts are difficult to recover due to the level of income of the debtors. Whilst recovery is sought, it is resource intensive collection.

The cost of engaging a third party provider for remote processing will be met from the existing budget of the Service and will also assist in reducing overtime and agency costs. The contract will be used to deal with peaks and troughs being experienced in caseload and workload and will provide a flexible, efficient and cost effective approach for the Service over the next three years.

6.3 Legal Implications

Extensive delays to processing housing benefit payments could lead to claimants applying for Judicial Review.

6.4 People Implications

Delays to prompt benefit payments can lead to rent arrears and evictions for the most vulnerable residents.

6.5 Property Implications

None

6.6 Consultation

Not required

6.7 Equalities and Diversity Implications

Covered by the service EIA

6.8 Risk Assessment

None

6.9 Value for Money

The potential loss in subsidy, reputation and the increased cost of homelessness would exceed the cost of the proposed contract.

6.10 Community Safety Implications

None

6.11 Environmental Impact

None

7. Background Papers

None

8. Appendices

None

Southend-on-Sea Borough Council

Agenda
Item No.

Report of Corporate Director for People

to

Cabinet

on

8 November 2016

Report prepared by: Ian Ambrose
Group Manager, Financial Management

Financial Pressures facing the Housing Revenue Account

Policy and Resources Scrutiny Committee
Executive Councillor: Councillor Mark Flewitt
A Part 1 Public Agenda Item

1 Purpose of Report

To update Members, ahead of the Housing Revenue Account (HRA) Budget and Rent Setting 2017/18 report, on various financial pressures facing the HRA as a result of recent changes in Government policy.

2 Recommendation

2.1 That Cabinet note the report.

3 Background

3.1 As part of the June 2015 budget, the Chancellor announced various plans that will affect social housing tenants and the financial standing of the HRA. These are

- Reduction in rents by 1% a year, from 1 April 2016, for 4 years;
- Obligatory “pay to stay” market rents for tenants earning over £30,000; and
- Proposed duty to consider the disposal of higher value stock as it becomes void.

3.2 The June budget also set out plans to reduce the benefits cap and to freeze the level of working age benefits for the life of the Parliament.

3.3 Notwithstanding the enactment of both the Welfare Reform and Work Act 2016 and the Housing and Planning Act 2016, which are the routes for the

introduction of these changes, both Acts rely on regulations yet to be published; there is a lack of firm detail as yet.

4 Decrease in Social Rents

4.1 The Welfare Reform and Work Act 2016 forces local authorities and housing associations to reduce current rent levels by 1% a year for four years starting 1 April 2016. This applies to both formula and affordable rents.

4.2 The Government exempted sheltered housing from this rent reduction in 2016/17 whilst it reviewed supported housing, but has confirmed that these rents too will be reduced by 1% each year from 1 April 2017.

4.3 Based on the Bank of England's forecasts of CPI inflation (August 2016) over coming years, this rent reduction policy will have the following impact on rental yield.

	Previous CPI + 1% policy £M	1% pa reduction policy £M	Loss in anticipated annual rental yield £M / %	
2015/16	25.940	25.940	0.000	0%
2016/17	26.340	25.700	0.640	2.4%
2017/18	26.940	25.440	1.500	5.6%
2018/19	27.740	25.190	2.550	9.2%
2019/20	28.690	24.940	3.750	13.1%
Cumulative loss of income			8.440	

4.4 As can be seen, the HRA will have a cumulative £8.4 million less resources over the next four years, and even though it is assumed that rent increase policy will revert back to CPI from April 2020, the HRA will by then have some £3.750M less rental income each year than otherwise would have been the case.

4.5 Surpluses accrued within the HRA are currently being set aside in a reserve for future HRA capital investment, particularly for new build and regeneration. The loss in rental yield will mean, all things being equal, that there will be £8.4M less in the reserve than previously anticipated over the next four years, meaning that the ability of the HRA to undertake new build or major refurbishment will be more restricted.

4.6 Tenants will see their rents go down. At the time of setting the 2016/17 HRA budget, the average weekly rent for general needs was £89.27 and for sheltered accommodation £77.53. Applying government policy, these rents will fall to £88.38 and £76.75 for 2017/18. Had the rent increase policy remained unchanged, average rents would have been expected to rise by £8.38 to £98.55 for general needs and by £7.20 to £84.73 for sheltered units by 2020. However under the Government's policy of reducing rents, average rents will instead fall by £3.54 to £86.63 and by £2.31 to £75.22 respectively.

4.7 For those tenants that are not on housing benefit, they will see a reduction in their weekly out goings as a result; for the approximately 75% of tenants on

housing benefit, their benefits will go down £ for £ in line with the reduction in their rent, and so all things being equal, will be no better off.

5 Pay to Stay

5.1 As part of the Sumer Budget 2015 the Chancellor announced that a compulsory 'pay to stay' scheme would be introduced. The thresholds were expected to be £40,000 in London and £30,000 elsewhere.

5.2 Measures to introduce a mandatory pay to stay scheme for local authorities are included in the Housing and Planning Act 2016. Detailed provisions will be set out in regulations which will be published in due course. Those Regulations will need to be approved by both Houses of Parliament.

5.3 Although no draft regulations have been proposed as yet, various statements by Government Ministers have added more information to their proposals, namely;

- Pay to Stay will be voluntary for housing associations, and if they choose to apply the scheme, they will retain any proceeds in full;
- Pay to Stay will be mandatory for local authorities, with any proceeds being passed to HM Treasury;
- The thresholds have been confirmed as household income of £40,000 in London and £31,000 elsewhere. These rates will be uprated each year by CPI inflation;
- Household income means the taxable income of tenants or joint tenants and their spouses and partners – if there are other people living in the household (for example, adult children), their income is unlikely to count towards the £31,000 limit;
- Child benefit, Disability Living Allowance and tax credits will not count as part of household income for Pay to Stay and anyone who gets housing benefit or Universal Credit will be exempt from Pay to Stay;
- Once household income is above £31,000 a year, rent will increase by 15 pence for every pound above this threshold. That is for each £1,000 extra in household income, rent will increase by £150 a year - that is, £12.50 a month or £2.88 a week; and
- There is no commitment to exempt people over the age of 65 from Pay to Stay

5.4 For tenants not in receipt of housing benefit, the Council does not have details of household income, and therefore it is not possible to estimate the number of tenants that may be affected or the amount of additional rent that may be raised. In any case the Council will be acting as a revenue collecting agency for the Treasury, not raising additional revenue for itself.

5.5 The policy is due to come into effect from 1 April 2017.

<http://researchbriefings.files.parliament.uk/documents/SN06804/SN06804.pdf>

6 Housing Association Right to Buy and Vacant High Value Local Authority Housing

- 6.1 As part of its manifesto, the Government announced plans to give housing association tenants the right to buy, on the same terms as Council tenants. As part of the proposal, the Government has announced that the cost of the discounts offered to housing association tenants will be funded through the enforced sale of local authority's "most expensive properties" as they fall vacant.
- 6.2 The National Housing Federation, which represents Housing Associations, has negotiated a voluntary agreement which will allow for housing association tenants to exercise right to buy from 2016. This voluntary agreement is included within the Housing and Planning Act 2016, by giving the Secretary of State power to pay a grant to cover the cost of the discounts provided, and by giving the Homes and Communities Agency a role in monitoring the performance of housing associations on right to buy and home ownership.
- 6.3 The Housing and Planning Act places a duty on councils to consider selling higher value vacant social housing when it becomes vacant. The Act has changed the understanding of the nature of the scheme, in that it empowers the Secretary of State to require an upfront payment from the Council calculated by reference to the market value of their "higher value" housing stock, rather than just paying over the proceeds of the actual sales, raising the possibility that should insufficient properties be sold, the HRA will have to fund the levy through other resources.
- 6.4 Details of how 'higher-value' is to be defined, and how the levy is to be calculated, are not yet known. The change in language from 'high-value' used in the draft Bill to 'higher-value' was made in response to concerns raised by peers about the severe impact the policy may have in Central London if a regional definition of high-value were applied. Higher-value is instead thought to indicate that local market conditions will be taken into account.
- 6.5 An assessment of the impact on the Housing Revenue Account must wait for these details to be clarified. If homes are sold to pay the levy, this would reduce the capacity to rehouse households on the waiting and transfer lists, increase the number of households in temporary accommodation and reduce long-term Housing Revenue Account (HRA) income. The alternative of funding the levy from the HRA itself – effectively from tenants rents – will reduce capacity within the HRA to maintain and regenerate the council housing stock. The Regulations setting out the detail of the plans along with what definition of higher-value will be used are due to come back before Parliament. Further information on the timescales for implementation is also expected at this point.

7 HRA Medium Term Financial Plan

- 7.1 The previous financial issues paper (Cabinet – 10 November 2015) predicted that the reduction in rents over the financial years to 2019/20 would move the HRA from a position of annual surplus to one of deficit. As a consequence decisions were taken as part of setting the HRA budget for 2016/17, in consultation with South Essex Homes, to seek further efficiencies in the management fee and to reduce the revenue repairs budget. Officers also undertook to review the depreciation policy with a view to making this charge more stable and sustainable into the future for the revenue account, and at the same time ensuring sufficient funds are being set aside for the future capital maintenance needs of the stock.
- 7.2 That latter piece of work is only partially complete. Depreciation has been substantially reduced and made more stable, but further work needs to be undertaken to ensure that sufficient resources are being set aside for future capital maintenance. This work is nearing completion. Therefore the major repairs allowance assumed in the original self-financing business plan has been used as a proxy within the HRA MTFP.
- 7.3 Fundamentally it is still difficult to model the HRA MTFP with any certainty given the lack of information from the government as to the proposed level of any levy in relation to higher value voids from 2017 onwards. Based on what is currently known, the tables below set out the HRA MTFP up until 2020. Appendix 1 sets out a more detailed version of the HRA MTFP.

	2016/17 Budget £000	2017/18 Forecast £000	2018/19 Forecast £000	2019/20 Forecast £000
Total Expenditure	23,688	24,182	24,715	25,088
Total Income	(28,151)	(27,917)	(27,722)	(27,512)
Net Operating Surplus	(4,463)	(3,735)	(3,007)	(2,424)
Revenue Contribution to Capital	2,176	0	0	0
Surplus taken to Reserves	(2,287)	(3,735)	(3,007)	(2,424)

Table makes no allowance for the impact of the proposed Higher Value Voids Levy

- 7.4 As a result of reducing the cost base of the HRA, notwithstanding that the on-going required rent reductions are reducing resources available, the HRA MTFP indicates that the HRA will remain in surplus, albeit reducing whilst the government require the Council to continue to reduce rent levels. Surpluses being generated are lower than they otherwise would have been, but nonetheless still remain positive.
- 7.5 However what remains clear is that the HRA will only be able to support a higher value voids levy payment in the region of £3.0M a year from the revenue account, without the need to dispose of properties or use existing balances to raise the required funds. Until the government publish the draft regulations and determinations, it is difficult to propose a definitive course of action.

8 Corporate Implications

8.1 Contribution to Council's Vision & Critical Priorities

The proposed statutory provisions will make it more difficult for the Council to address its priorities in relation to the provision of new mixed tenure affordable housing and its ability to enable the planning and development of quality, affordable housing.

8.2 Financial Implications

The financial implications, as far as they can be predicted at this stage, are included throughout the report. The reduction in rent yield within the HRA reduces the amounts available for future reinvestment in the Council Housing Stock.

The proposed Higher Value Voids Levy will further reduce available housing reserves.

8.3 Legal Implications

The report refers to two statutory instruments; the Welfare Reform and Work Act and the Housing and Planning Act. Statutory Regulations that will bring some of the provisions into effect are still awaited.

8.4 People Implications

There are no people implications arising from this report

8.5 Property Implications

There are no immediate property implications arising from this report, although the statutory provisions referred to are likely to see an acceleration of the reduction of the Council's housing stock, and a decrease in the provision of new affordable homes for rent.

8.6 Consultation

There are no consultation implications arising from this report

8.7 Equalities Impact Assessment

There are no equalities implications arising from this report

8.8 Risk Assessment

There are no risk implications arising from this report

8.9 Value for Money

There are no value for money implications arising from this report

8.10 Community Safety Implications

There are no community safety implications arising from this report

8.11 Environmental Impact

There are no environmental implications arising from this report

9 Background Papers

Hyperlink within the report point Members to a House of Commons Library briefing paper relating to this issue.

Financial Pressure facing the Housing Revenue Account - report to Cabinet –
10 November 2015

10 Appendices

Appendix 1 Detailed HRA Medium Term Financial Plan 2016/17 – 2019/20

This page is intentionally left blank

HRA Medium Term Financial Plan 2016/17 to 2019/20

Appendix 1

	2016/17 Budget £000	2017/18 Forecast £000	2018/19 Forecast £000	2019/20 Forecast £000
Employees	276	276	276	276
Premises (excluding repairs)	702	732	764	797
Repairs	4,736	4,831	4,928	5,027
Higher Value Voids Levy	0	?	?	?
Supplies and Services	67	68	69	70
Management Fee	5,618	5,618	5,668	5,718
MATS	1,048	1,074	1,101	1,129
Provision for Bad Debts	372	383	394	406
Depreciation	7,310	7,553	7,803	8,062
Interest and Debt Management Charges	3,559	3,647	3,712	3,603
Total Expenditure	23,688	24,182	24,715	25,088
Fees and Charges	(503)	(513)	(523)	(533)
Dwelling Rents	(25,705)	(25,440)	(25,190)	(24,940)
Other Rents	(940)	(949)	(957)	(965)
Other	(263)	(286)	(286)	(286)
Interest	(210)	(210)	(210)	(210)
Recharged to Capital	(530)	(519)	(556)	(578)
Total Income	(28,151)	(27,917)	(27,722)	(27,512)
Net Operating Expenditure	(4,463)	(3,735)	(3,007)	(2,424)
RCCO	2,176	0	0	0
Appropriation to Earmarked Reserves	2,287	3,735	3,007	2,424
(Surplus) or Deficit in Year	0	0	0	0
General HRA Balance				
Opening Balance	3,502	3,502	3,502	3,502
Used to meet Deficit	0	0	0	0
Closing Balance	3,502	3,502	3,502	3,502
Earmarked Reserves				
Opening Balance	16,800	19,087	22,822	25,829
Appropriation to Earmarked Reserves	2,287	3,735	3,007	2,424
Closing Balance	19,087	22,822	25,829	28,253
Total HRA Balances at year end	22,589	26,324	29,331	31,755

This page is intentionally left blank

Southend-on-Sea Borough Council

Report of Corporate Director for People

to
Cabinet
on
8th November 2016

Agenda
Item No.

Report prepared by: Jenni Naish
Planning and Engagement Manager

Success for All Children Group Annual Report
Department for People Executive Councillor:
Councillor James Courtenay
A Part 1 Agenda Item

1. Purpose of Report

- 1.1 To present a draft of the Success for All Children Group's Annual Report April 2015 – March 2016.

2. Recommendations

- 2.1 That Cabinet notes the report.

3. Background

- 3.1 The Success for All Children Group publishes an annual report as part of their performance management and planning cycle and to inform Cabinet of the progress made in delivering the overarching objectives for children's services across the partnership.

4. Corporate Implications

- 4.1 Contribution to Council's Vision & Corporate Priorities

The delivery of the Children and Young People's Plan and the work of the Success for All Children Group contributes to six of the 15 Southend Borough Council priorities:

- Look after and safeguard our children and vulnerable adults.
- Work in partnership with Essex Police and other agencies to tackle crime.
- Actively promote healthy and active lifestyles for all.
- Improve the life chances of our residents, especially our vulnerable children and adults, by working to reduce inequalities and social deprivation across our communities.
- Ensure residents have access to high quality education to enable them to be lifelong learners and have fulfilling employment.
- Work with and listen to our communities and partners to achieve better outcomes for all.

4.2 Financial Implications

The Children and Young People's plan is delivered within the resources available for children's services within the Council and in partner agencies.

4.3 Legal Implications

None

4.4 People Implications

None

4.5 Property Implications

None

4.6 Consultation

The Children and Young People's plan was devised through discussion and consultation with the agencies and organisations which constitute the Success for All Group. All partners have been consulted in the development of the annual report.

4.7 Equalities and Diversity Implications

The Children and Young People's plan helps to promote equalities by focussing on improving outcomes for all children and young people and narrowing the gap between those who do well and those who do not.

4.8 Risk Assessment

None

4.9 Value for Money

Agreeing key priorities and actions as part of the planning process ensures that resources available are targeted at those areas needing most improvement.

4.10 Community Safety Implications

The report includes delivery of a number of strategies and planned actions for keeping children and young people safe, for example, from abuse and exploitation, bullying and tackling substance misuse.

4.11 Environmental Impact

None

5. **Background Papers**

None

6. **Appendices**

6.1 Success for All Children Group Annual Report April 2015 – March 2016

**Success for All Children Group
Annual Report
For the period
April 2015 – March 2016**

DRAFT

Contents

1. Strategy and Vision

- 1.1 Introduction
- 1.2 Our vision and ambition for children in Southend-on-Sea
- 1.3 What were our priorities in 2015-16?

2. Our approach to joint working and integration

- 2.1 Commissioning
- 2.2 Referring children and families to services
- 2.3 Workforce development strategy
- 2.4 Voice and influence

3. Safeguarding, early intervention and prevention

- 3.1 Early intervention
- 3.2 Improving the safeguarding of children and young people in Southend-on-Sea through multi agency work
- 3.3 Reducing the impact of domestic abuse on children and young people's life chances

4. Services and outcomes for vulnerable children

- 4.1 Children in Care
- 4.2 Narrowing the achievement gap for vulnerable groups
- 4.3 Care leavers in education, employment or training
- 4.4 Children with special educational needs and disabilities

5. Outcomes for all children

- 5.1 Overall school attainment
- 5.2 Healthy schools
- 5.3 Sexual health
- 5.4 Teenage conception
- 5.5 Substance misuse
- 5.6 Improving outcomes for children and young people's emotional wellbeing and mental health
- 5.7 Reducing school absenteeism
- 5.8 Reducing exclusions
- 5.9 Reducing the number of young people not in education, employment or training (NEET)
- 5.10 Reducing the impact of anti-social behaviour and offending on children, young people and the community
- 5.11 Support for young carers

6. Looking Forward

1. Strategy and vision

1.1 Introduction

The Success for All Children Group is Southend's Children's Trust. Since 2007 the Group has worked in partnership to jointly address key issues for Southend's children, young people and families. The group is aligned with the Southend Health and Wellbeing Board and its work supports the delivery of the Health and Wellbeing Strategy. It is the vehicle that facilitates agencies and organisations in Southend-on-Sea to work in partnership with the aim of improving outcomes for children, young people and their families living in Southend-on-Sea.

Member organisations have a key role in delivering services for children and families in Southend. The members come together to agree collective approaches to improving services and their impact on children and families and to hold each other to account for these shared priorities. The group reports to Southend's Health and Wellbeing Board which holds the overarching strategy for the health and wellbeing of all residents in Southend.

The Success for All Children Group has representatives from Southend Borough Council, South East Essex Primary Care Trust, Essex Fire and Rescue, Primary and Secondary Head Teachers, School Governors, South Essex Partnership Trust, Southend Clinical Commissioning Group, Southend University Hospital Foundation Trust, NELFT Emotional Wellbeing and Mental Health Service, the Police and the voluntary sector.

This Annual Report sets out our achievements over the reporting period of April 2015 – March 2016.

1.2 Our vision and ambition for children in Southend-on-Sea

Our vision is simple, Success for All. We are committed to achieving success for all children but remind ourselves that this success needs to be defined with the children and young people and their families. As a partnership we recognise that our role is to fan the potential that exists in every child and work together to remove the injustices and barriers that prevent them from reaching their full potential.

One of our strengths is the way, as organisations, we work together in Southend-on-Sea. Our vision statement clearly sets out the ways we want to continue to work together to give children and young people the best possible start in life. Our vision statement and other key documents can be found at www.southendchildren.org.

1.3 What were our priorities in 2015-2016?

Over the past year the Success for All Group has focused on delivering the priorities of the Children and Young People's Plan 2015-2016. Our priorities were:

1. Closing the divide between more advantaged and less advantaged children and families in Southend-on-Sea
2. Supporting families at the earliest opportunity to prevent their needs escalating and to help them transition through our services
3. Keeping children and young people safe
4. Supporting young people and families to live healthier lifestyles
5. Continuing to improve the life chances for looked after children and those on the edge of care
6. Ensuring agencies proactively seek out and respond to the views of children and young people

2. Our approach to joint working and integration

2.1 Commissioning

Southend Borough Council and Southend CCG now have a shared commissioning team to oversee the procurement of services to meet the needs of children pre-birth to 19 years and their families. The team responds to the needs identified in the Southend Joint Strategic Needs Assessment for Children and Young People and the needs that members of the public identify during the consultations that are organised prior to each contract being commissioned.

(http://www.southend.gov.uk/download/downloads/id/4215/southend_joint_strategic_needs_assessment_for_children_and_young_people_%E2%80%93_december_2015_update.pdf)

2.2 Referring children and families to services

Across our partnership, and beyond, there is a clear pathway of referral in order for children and families to access the services that they need. The Early Help Family Support Assessment underpins the services commissioned jointly by the Success for All Children Group.

The following services are jointly commissioned and can be accessed by referral through the Early Help Family Support Assessment:

Southend On Sea Domestic Abuse Project (SOSDAP) – is a Southend based charity supporting women, men, children, young people and families whose lives are affected by domestic abuse and family breakdown. SOSDAP

is contracted to support children, young people and families by alleviating the impact of domestic abuse and promoting their protection from risk of harm and abuse. The service delivers 5 main outcomes for children, young people and their families:

1. Be Healthy
2. Stay Safe
3. Enjoy and achieve
4. Make a positive contribution
5. Achieve economic well-being.

In 2015-16, over 110 children were referred into the service and over 100 children completed their intervention.

Emotional Wellbeing and Mental Health Service –From the 1st of November 2015, NELFT (North East London Foundation Trust) began providing a Children and Young Peoples Emotional Wellbeing and Mental Health Service (CYP EWMHS) across Essex and Southend. The service will be an integrated CYP EWMHS with a crisis pathway and will work with local services to deliver through a single point of access.

Supporting and Empowering Vulnerable families

Supporting and empowering vulnerable families is in its 7th year in Southend. The service supports children and young people with either a Child Protection Plan or identified as being a Child in Need through the use of community Volunteers delivered through Volunteering Matters. In 2015-16 the service recruited, trained and supported 31 volunteers to support 110 children and young people by supporting and mentoring 61 families with complex needs, such as alcohol or substance misuse where children are at risk of significant harm through neglect. They make weekly visits to the families building up a strong relationship with the parent/s, listening to problems and offering practical help.

The service runs in partnership with the council to target families most in need of support, volunteers help keep families together and reduce the number of children on child protection plans and child in need plans. By improving parenting skills, reducing isolation and improving the quality of family life the reliance on social care services is reduced. Volunteers for this service also supported the council delivery of timely interviews for missing children.

2.3 Workforce development strategy

Member organisations are committed to developing and maintaining the competence, enthusiasm and commitment of our children's workforce.

Our partnership approach to integrated working has created multi-agency and multi-skilled, co-located teams. This facilitates a sharing of skills across professional boundaries and a more holistic understanding of the needs of children, young people and families.

Member organisations and the wider voluntary sector are able to access LSCB Safeguarding programmes which include training on Forced Marriage, Female Genital Mutilation, Intergenerational violence and abuse, PREVENT and Child Sexual Exploitation, plus many other safeguarding related training courses.

2.4 Voice and influence

Across the partnership achieving continuous improvement by way of listening to our service users is an area of continuing development. There are many examples of unique and innovative opportunities provided for young people to engage with services over the course of 2015-2016. Southend CCG opened its doors to a youth group in November 2015 for the Children's Commissioner Takeover Challenge and received feedback and guidance from young people on how best to communicate key messages to this age group, this has led to an ongoing and close relationship between the CCG the Youth Council and Southend University Hospital. Within Southend Borough Councils all children's service areas have a standing forum for young people and their families to provide feedback or engage in solution development. This can be through the open doors of Southend Borough Youth Council or through more specific forums such as the Young Carers forum, the Looked After Children's Council, the forum for children and families with child protection plans, Southend Family Voice (representing families of children with SEND).

In addition to the groups and forums we also undertake survey activity with our service users, either for the purposes of regular feedback benchmarking or to enable us to survey opinion to inform contract specifications for commissioned services. Southend Borough Council also regularly invites young people to participate as interview panel members where a vacancy is for a key strategic role within Children's or Learning Services, or where the role has a direct frontline role working with children and families.

As a partnership we recognise the importance of service user feedback and co-production of service design and will continue to develop and strengthen this area of work.

3. Safeguarding, early intervention and prevention

3.1 Early intervention

A Better Start

The vision of this 10-year, £40million, intervention and prevention programme is to transform the first years of life for children and their families in our target areas; changing the way families engage with the services and the opportunities available in Southend-on-Sea.

Much of the activity this year has been devoted to planning and setting up the programme, assessing systems currently in place and reaching out to the partners we will need if we are going to change the way Southend-on-Sea works in future. But some projects are already underway. *A Better Start Southend* has already introduced a range of new activities and courses for expectant parents and families. *Let's Talk with Your Baby* and *Help Me to Talk* are new courses helping parents communicate with their babies; *Fathers Reading Every Day* and *Dad Factor* are aimed at encouraging Dads to read more with their young children; *Empowering Parents, Empowering Communities - Being a Parent* offers practical advice to parents on bringing up happy and confident children, and is run by parents.

Over the coming months and years these projects and many others will come together to fulfil our ambition to make Southend-on-Sea the best place in the country to bring up a child and be a parent.

Early years provision

High quality Early Years provision is key to children getting an excellent head start on their education and ensures that children are well prepared to enter the Reception Year. Early Years providers in the private, voluntary and independent sectors in Southend have seen improvement maintained over a number of years in the percentage of providers judged as good or better by Ofsted.

The current profile for pre-schools, day nurseries and independent schools is:

Outstanding	19%	(94% Good or Outstanding)
Good	75%	
Requires Improvement	4%	
Inadequate	2%	

The current profile for Southend-on-Sea's registered childminders is:

Outstanding	19%	(87% Good or Outstanding)
Good	68%	
Requires Improvement	13%	
Inadequate	0%	

Furthermore, taking into account the size of settings and the number of children attending, 87% of all children accessing early education in private, voluntary or independent providers are attending a setting rated Good or Outstanding by Ofsted.

3.2 Improving the safeguarding of children and young people in Southend-on-Sea through multi-agency work

In Southend-on-Sea there is a strong ethos of partnership working to safeguard and meet the needs of children and families as early as possible, which is embedded in a broad range of agencies and services.

With our partners and multi-agency practitioners we value and are committed to integrated working which allows us to plan and meet the needs of children in a systematic way. We give safeguarding children the highest priority and our Local Safeguarding Children Board (LSCB) has ensured that the understanding of thresholds is solid, regularly reviewed, and safely maintained across the partnership.

Between April 2015 and March 2016, 884 individual Early Help Assessments were completed, with 765 assessments for the same period in 2014-15.

The table below demonstrates that during 2015/16 508 outcomes for young people were successfully achieved, across 467 cases closing. All early help assessment delivery plans were reviewed and individual outcomes collated and measured against 25 universal aims based upon the original Every Child Matters framework.

Be Healthy	Stay Safe	Enjoy & Achieve	Make a Positive Contribution	Achieve Economic Well-Being	Generic
143	53	220	62	29	1

Troubled Families

The Troubled Families programme initially intends to change the repeating generational patterns of poor parenting, abuse, violence, drug use, anti-social behaviour and crime in the most troubled families in the UK. Troubled families are defined as those that have problems and cause problems to the community around them, putting high costs on the public sector. The aim is to provide partnership support via a dedicated key worker to enable families to turn around and in particular to:

- get children back into school
- reduce youth crime and anti-social behaviour
- put adults on a path back to work

- reduce the high costs these families place on the public sector each year

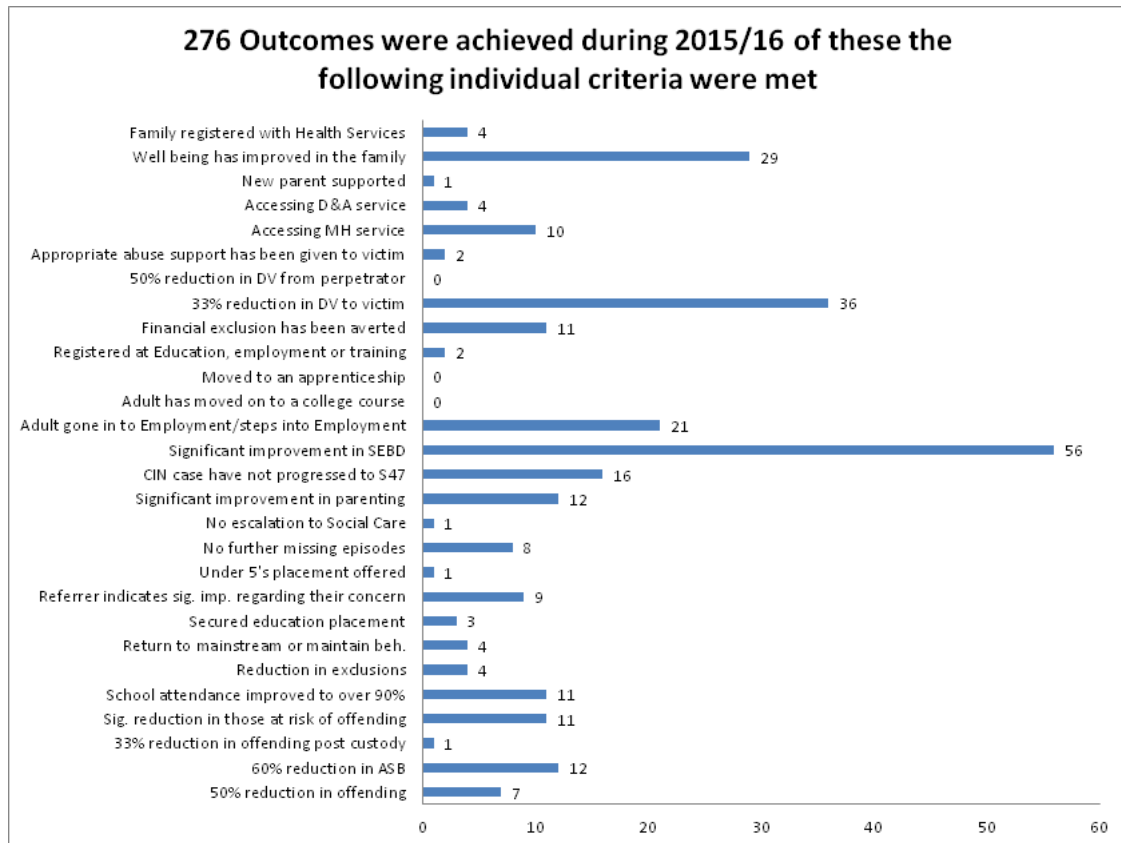
Due to outstanding success of the Southend Troubled Families service in Phase 1, particularly achieved in 2014-15, the Department for Communities and Local Government (DCLG) accepted us as an early Starter in Phase 2, funded for five years, giving more than 1,480 families the opportunity for support and a better quality of life. The DCLG broadened the selection criteria to now meet 6 key issues; adult and youth Crime/Anti-social Behaviour (ASB), Education attendance/behaviours, Unemployment, Domestic Abuse, Children who need help and Health.

This allows for most family issues to be addressed and early help to be provided, preventing later issues and producing cost savings for all partner agencies.

Furthermore, Streets Ahead in the community (Streets Ahead is Southend-on-Sea Borough Council's Troubled Families service) is an innovative approach to family work, providing opportunities for families to access resources in their communities. The programme supports positive change and also prevents families who are on the periphery of the Streets Ahead criteria needing intensive intervention by working with communities to strengthen communication, co-operation and take up of services. Evidence suggests that families who live in flourishing communities experience improved emotional health & wellbeing which reduces long term dependency on services. Our community workers ensure that projects are sustainable and delivered with the involvement of the local community and Streets Ahead families with their aim being to empower, up-skill and foster community cohesion and family resilience, not to create unrealistic expectations or dependency.

From its commencement to end of March 2016 there have been 263 cases opened to Streets Ahead, 399 adults and 652 children.

The chart below shows how together with partner agencies we have worked with families around problematic areas.



Some of the Streets Ahead achievements and practices that have been embedded during 2015-16 are as follows:

- There are now 14 established Community Projects and a Community Hub which give on-going support for the Hard to Reach communities and families.
- By addressing the needs of the whole family, we have worked with the younger siblings as well as the young offender, giving importance to early help and ensuring that is an integral part of the plan, feeding into the sustainable outcomes and preventing generational recurrence of the same issues.
- Our action plans and reviews are inclusive to family and all agencies involved thus preventing escalation and reducing costs. Our families and professionals have a voice and a case will only be closed when everyone is in agreement and all outcomes have been achieved. This also offers challenge to families that do not engage and forms evidence for pursuing any legal action.
- All families are put into “maintenance” and referred to our Community Workers for on-going support within their community. Thus the family feel reassured and it gives them the tools to continue to make the right choices.

- We have employed a Missing/Child Sexual Exploitation (CSE) Co-ordinator as part of the team, this role fulfils a crucial part of the Troubled Families Programme as many of Missing Children/CSE high risk cases are working with Streets Ahead to support the whole family through the issues associated with these cases.

Members of the Success for All Children Group undertook a process to refresh the Early Help provision as part of our ongoing commitment to provide children and families with help as soon as needs present themselves, regardless of age, and to prevent those needs from escalating and requiring more intensive help and support.

The new service, operational from 1st April 2016 is known as Early Help Family Support Service and is underpinned by the following principles:

- Safeguarding and promoting the welfare of children and vulnerable adults is the responsibility of us all.
- Early Help spans a wide spectrum of services, provided by a wide range of agencies to meet a wide range of needs.
- We work with families at the earliest opportunity to prevent needs from escalating.
- All children, young people and families' needs are met by universal services wherever possible.
- Families are encouraged and supported to identify their own issues and solutions.
- We build resilience and the capacity to achieve by having a joined up approach to families' needs.
- We improve the identification of children in need and in need of protection through increased understanding of the impact of an adult's needs on a child's life.
- We have an honest, open and transparent approach to supporting children and their families.
- We operate a multi-agency/disciplinary approach to both assessment and intervention.

The service aims to enable all Southend-on-Sea's contributors to Early Help to: act before the needs of children and families escalate; focus on achieving priority outcomes for those children, young people and families who need it the most; give every child the opportunity to reach their full potential; and to have flexible services that provide the right support, at the right time and at the right level.

Building on existing best practice and processes, it provides:

- A single, integrated system and 'front door' for the identification, referral, assessment, and monitoring of Early Help.
- A core offer to schools, early year's settings and GPs to support them to fulfil their statutory duties with regard to Early Help.

- A traded service to provide additional Early Help support to individual schools, particularly with regard to improving school attendance.
- A specialist whole family support service to meet complex needs.
- An offer of support and guidance to all providers of Early Help services to children and young people.

Development of a Multi-Agency Risk Assessment Team

During 2015-16 a Multi-Agency Risk Assessment Team (MARAT) was developed. It was implemented in June 2016. Close working took place between partner agencies and Essex County Council when developing the MARAT. The team reviews information in relation to high risk domestic abuse incidents and advises agencies of actions they may wish to consider. The cases are then heard at a Multi-Agency Risk Assessment Conference (MARAC). The backlog of cases being heard at MARAC has successfully been removed since the implementation of the MARAT.

The MARAT consists of a Team Manager, children's social worker, adult social worker, early help practitioner, Essex Police, health representative, CRC representative and NPS representative. Each member of the team is line managed by their own agency. They are co-located in Civic 2 and will be moving to the refurbished Southend Police Station in November 2016.

A quality assurance framework is being developed to ensure the consistency and quality of decision making is regularly reviewed and that learning from the process is shared with practitioners.

3.3 Reducing the impact of domestic abuse on children and young people's life chances

SOS Domestic Abuse Projects (SOSDAP) deliver a range of services which enable families, perpetrators, victims and children affected by domestic abuse to undertake therapeutic work. This helps those affected to overcome the effects of domestic abuse and family breakdown. The service offers support to every member of the family over the age of five. Furthermore there are additional services around supporting young male victims and young people in abusive relations of their own.

Over the last two years the council and members of the Success for All Children Group have extensively reviewed the local domestic abuse service offer and identified a number of areas where services could be improved or

are not provided within the current delivery. The decision was to bring together current funding for refuge services and children and families support to deliver an all age service supporting more victims and improving outcomes in Southend-On-Sea. These changes should be completed in the next financial year with more victims supported, raising awareness and developing prevention programmes that can help stop domestic abuse happening in the first place.

An overview of our safeguarding and early intervention performance in 2015-16:

- Despite the doubling of targets in September 2014, all parents wishing to access a funded early education place for their 2 year old were able to find a place.
- 89% of early education settings in the private, voluntary or independent (PVI) sector were judged as Good or Outstanding by Ofsted, with 95% of all children accessing funded places attending these settings.
- 89% of Children's Centres assessed were judged as Good or Outstanding by Ofsted.
- 3 and 4 year old funding take up: 97.1% in Southend-on-Sea (4521 children)
 - 3 year olds (2,253): PVI = 74.6% Maintained = 25.7%
 - 4 year olds (2,268): PVI = 25.4% Maintained = 74.3%
- Referrals resulting in a single social work assessment - During April 2015 – March 2016 1,499 (provisional figures) referrals were received by social care and the rate of referrals resulting in a Single Social Work Assessment was 95.8% (provisional figures), which demonstrates that threshold is understood across the partnership.
- During the reporting period of April 2015 to March 2016, 1673 learners across the partnership registered for safeguarding training provided by the LSCB. Of which 696 were issued with free safeguarding E-learning.
- We have continued to make improvements in management oversight and monitoring of our social work practices, this includes undertaking regular case audits.

We need to further focus on:

- Embedding the Early Help Family Support Service
- Continuing to create a culture and climate that allows partner agencies to embrace and explore further integrated working
- Continue to work with our services users to co-produce our vision and service delivery.
- Driving forward the delivery of A Better Start and Troubled Families to ensure that we see real evidence of impact and outcomes

DRAFT

4. Services and outcomes for vulnerable children

4.1 Children in Care

Since 2006 the number of Looked after Children had been progressively reduced from 302 to 228 in March 2015, however in March 2016, this had risen to 262 children in care.

Improving quality of provision and the life outcomes for Looked after Children has been a consistent feature of our partnership Children and Young People Plan, which articulates our high ambitions for this group.

A very strong track record is evidenced by performance indicators and inspection outcomes of fostering and adoption. The indicator that monitors long term stability of placements has a provisional result of 64.7% in 2015-16, and published figures of 69% in 2014-15 and 69.7% in 2013-14.

Performance on the timeliness of placements for adoption has increased to 92.0% in 2015-16 from 80% for children who were adopted that moved to live with their adoptive parents within 12 months of that decision being made.

96.4% of Looked After Children reviews were held within timescale in 2015-16.

The vast majority of children and young people continue to communicate their views as part of their annual review.

We need to further focus on:

- Working as a partnership to fully embed a concrete knowledge of the pathways for children and families to receive the appropriate level of support at the right time
- Continuing to share learning from the Quality Assurance Framework across the partnership
- Across the partnership ensuring that we listening to the voice and experiences of children in care and care leavers as we further commission and design services.

4.2 Narrowing the achievement gap for vulnerable groups

Looked after Children (LAC)

The Virtual School and Virtual School Headteacher continues to monitor the progress and attendance of Looked after Children as a basis for informing Social Workers, supporting Designated Teachers and raising aspiration and outcomes for this group of children.

The impact of levels of trauma among Looked after Children is reflected in the high proportion of Looked after Children with identified Special Educational Needs (SEN). Currently 48.9% of Southend-on-Sea's Looked after Children (school aged) are identified as having SEN, compared to 15.4% (latest figure available 2014 -2015) for all children nationally. The percentage of Southend-on-Sea Looked after Children with a Statement (or EHCP) 18.4% is also very high compared to all children nationally 2.8% (latest figure available 2014 - 2015).

Data relating to the educational attainment and progress of LAC is now collected by the Council's Data and Performance Team to ensure a more robust and reliable set of data and allow for detailed scrutiny of performance. This will enable the Virtual School team to ensure each individual child receives the most appropriate support.

A Management Board has been established for the Virtual School which meets termly and whose role is to offer a mechanism of accountability for the Virtual School offering both support and challenge.

Looked after Children attainment and progress

Attainment – summer 2015

Comparing the attainment of Southend LAC with National LAC, Southend LAC achieve below LAC national average for all headline measures.

Headline measure	Southend LAC %	Cohort size	National Average (all pupils)%	National Average (LAC) %
<i>KS2 Reading Level 4+</i>	57.1	7	89.0	71.0
<i>KS2 Writing Level 4+</i>	42.9	7	87.0	61.0

Success for All Children Group Annual Report 2015

KS2 Maths Level 4+	42.9	7	87.0	64.0
KS2 R,W & M Level 4+	28.6	7	72.0	52.0
KS4 5A* -C inc. E&M	8.3	12	53.8	13.8

Pregnant girls and young mums

In Southend-on-Sea, school age pregnant girls and young mums (KS4) have made the following achievements in terms of gaining GCSE qualifications:

Outcomes for pregnant girls/young mums KS4	Summer 10	Summer 11	Summer 12	Summer 13	Summer 14	Summer 15
% achieving 5 A* -C Including English and Maths	14.3%	0.0%	0.0%	12.5%	0.0%	8%
% achieving 5 A*-C	28.6%	25.0%	20.0%	25.0%	0.0%	8%
% achieving 1 A* -G Including English and Maths	57.1%	25.0%	100%	62.5%	50.0%	8%
% achieving 1 A*-G	57.1%	75.0%	100%	100%	50.0%	85%

In July 2015, pregnant teenagers and teenage mothers accounted for 29% of all young people Not in Education, Employment or Training (NEET).

In 2014 (most recent data), 43.8% of under 18 conceptions led to abortion, this is an increase from last year's figure of 37.3%.

The Success for All Children Group will continue to provide services for pregnant girls and young mums via the A Better Start, Family Nurse Partnership.

Children eligible for pupil premium grant (PPG)

A key focus of the partnership is addressing the impact of poverty on children and families, particularly in terms of ensuring that education is a form of prevention against future poverty. This means not only working together to address the health and housing needs but also working together to close the attainment gap between pupils eligible for free school meals or Pupil Premium funding and their peers.

In spite of additional funding being made available, many schools have not been successful in accelerating the progress of their disadvantaged pupils and the gap remains stubbornly wide. The impact of poverty and disadvantage can be addressed by all members of the Success for All Children Group and the wider Southend Health and Wellbeing board. There are a range of strategies aimed to improve housing stock conditions, increase the availability of affordable housing, promote healthy lifestyles and to create an economic climate in Southend-on-Sea with secure and stable employment opportunities. A key to success for the members of the group is to give the adults of tomorrow that are currently eligible for free school meals the opportunity for a better chance and outcomes as an adult. Education is a key plank in achieving this; as such during 2015-16 there was a greater focus by partners on the use of Pupil Premium Funding to achieve improved academic attainment and progress for these pupils. Initiatives such as Achievement for All, reading and mathematics interventions, clubs to boost self-esteem, funding towards school trips and music lessons have been commissioned using PPG by individual schools and academies across Southend-on-Sea. In addition pupils coming into the Early Years Foundation Stage should now and in the future be benefitting from the initiatives of the A Better Start programme whilst aged 0-3 years old.

In the Early Years Foundation Stage, 59.5% of children who were eligible for Free School Meals reached a good level of development compared with 71.2% of all pupils. The gap at key stage 1 was 2.7 points, equivalent to roughly 2 and a half terms, and at the end of key stage 2 eligible children were on average 3 terms behind their peers.

The Pupil Premium Strategy Group representing partners from the Council and all school Challenge Clusters has provided challenge and direction for all schools in their efforts to close the gap. Actions taken have included: Link Advisers and school support partners challenging the actions of all schools in raising pupil premium attainment and progress; more detailed analysis of data Cluster by Cluster with weekly challenge to individual school leaders and governors where gaps are not closing; the identification of good practice; the setting of performance targets relating to the gap for individual officers and the raised profile through half termly Pupil Premium Network meetings.

We need to further focus on:

- Continuing to focus on the progress and attainment of looked after children and ensuring that Personal Education Plans have an impact on outcomes
- Evaluating and shaping the use of, and impact of, the Pupil Premium Grant spend allocated to children in care.
- With regard to children in care and their Personal Education Plans (PEPs) partners need to address the issues of compliance (whether or not a PEP is in date) and quality of the PEP's though implementing the new EPEP system
- Addressing the barriers to Pupil Premium attainment and progression.
- Increasing take up of the Free School Meal offer, particularly in KS1.
- Promoting the positive uses of Pupil Premium grant funds on improving outcomes for children on free school meals.
- Increasing the level of challenge to school leaders and governors, drawing where necessary on our full powers of intervention

4.3 Care leavers in education, employment or training

The purpose of the CM16+ team is to ensure that appropriate planning is in place for all allocated young people. As well as promoting formal education for our young people CM16+ has been looking at various strategies to engage our hardest to reach young people initially within less formal education forums. This has been an area of real progress over the previous year and there will be a continuing focus to maintain and expand this success moving forward.

The team will continue to offer drop-in opportunities including sessions focusing on teenage pregnancy and healthy eating and budgeting. The "cook for life" sessions have proved successful in engaging young people around issues of independence, budgeting and healthy cooking and eating and will continue.

The Council and its partners have been successful in engaging young people who are due to leave care, or who have left care, in education, training and employment and in the last year (2015-16) the number of young people recorded as not in education, training or employment (NEET) has fallen from 29% to a current figure of 11.5%. Currently (as at July 2016) 143 young people are being supported by the dedicated CM16+ team.

The decrease in NEET represents excellent progress and is something that the team and partners will build on moving forward. This is a reflection of the high quality of service offered to the young people of Southend-on-Sea as they prepare and embark on an independent adult life.

We need to further focus on

- Working with the data to identify young people at their 15th birthday and flagging this for joint working between the Council and partners
- Continue to explore creative ways with our partners to engage the most difficult to reach young people in educational activities.

4.4 Children with special educational needs and disabilities

In September 2014 reforms within the Children and Families Bill for children with Special Educational Needs and Disabilities (SEND) came into effect. Among other things the reforms introduced:

- The requirement to jointly commission services
- The requirement to produce a Local Offer of services for children and young people with SEND
- A 20 week assessment process leading to an Education Health and Care Plan (EHCP)
- A requirement to convert all current statements to EHCPs by April 2018.
- The right to request a personal budget to secure particular provision specified in the EHCP.

The SEND reform has been a significant change project affecting all staff in settings and services working with children and young people with SEND. The project involved consultation, user engagement, the implementation of new ICT systems and training across organisational boundaries, and work in these areas continues as we learn from implementing the reforms.

The Council and Southend CCG's joint commissioners for children's services are now within the same team as discussed in section 2.1 and health commissioners are working closely with the SEN team to ensure the redesigned community paediatrics service better meets the needs of children and young people with SEND.

Clear steps have been taken to meet the new duties to publish an interactive Local Offer that sets out the support available to all children and young people with SEND from mainstream, targeted and specialist services, including arrangements for leisure, health, social care provision and post-16 education training or employment. Work continues on this to ensure it remains compliant.

The 20 week timeframe for new statutory assessments has proved particularly challenging, with the number of plans completed within 20 weeks around 12%, and around 50% being over 26 weeks. This compares to 96.7% of all cases being completed in 26 weeks the year prior to the reforms. A major challenge for the members of the Success for All Children Group is to address the causes of delay in providing professional advice to inform the individual child's plan. Collaborative work is underway to amend the pathway and support agencies in providing advice within the 6 week limit. Part of this is to

support each agency to better understand whether new advice is required or not.

The Council published a Transition Plan in September 2014 setting out details of how it intended to meet the deadline to convert all statements by April 2018. In the academic year 2014-2015 the aim was to hold transfer reviews for all pupils with statements in Nursery, Year 2, Year 6, Year 9, Year 11 and Year 14, as well as pupils in Year 13 in school sixth forms. However due to delays in completing plans from Year 1, particularly those started in the summer term, it was decided to delay Year 2 pupils for one year. A revised Transition Plan was issued in November 2015. As of March 2016 37% of statements maintained as of September 2014 had been converted.

Since September 2014 parents of children with SEND have been able to request a personal budget which is linked to the Local Offer. Each agency has criteria for personal budget and agreed a common approach to facilitate direct payments building on the success of the arrangements made within social care.

In addition there has been on-going work in relation to implementing the third year of the SEN Strategy (Early Help, Choice, Partnership and Ambition) and consultation across the partners on Working Together to Improve Outcomes, the strategy for the next 3 years.

We need to further focus on:

- Timely Intervention
- Partnership working
- Quality and effective SEND provision
- Raise attainment and expectations
- Ensure value for money

These are the priorities in the 2016-2019 SEN strategy.

5. Outcomes for all children

In this section the members of the Success for All Children Group report on outcomes achieved in specific fields of work from across the partnership, this includes education, sexual health, youth offending, drug and alcohol teams, emotional health and wellbeing, keeping young people in education, employment and training, and support for young carers.

The success, or otherwise, of the activities and interventions set out in this section can be life changing for the children and families receiving the services, and just as importantly can reduce costs and the need for intervention elsewhere in the public sector. Our Success for All Children Group has a strong understanding of this and is proactive in supporting the removal of barriers and challenges across the system.

5.1 Overall school attainment

Schools in Southend-on-Sea work collaboratively with the Success for All Group members to understand how to continuously improve attainment and progress. As a partnership we understand that education provides inspiration and leads to the creation of aspiration and ambition for young people.

In 2015 in the Early Years Foundation Stage 69% of children achieved a Good Level of Development which was 7% higher than in 2014. At Key Stage 1 the percentage of pupils achieving the expected level (Level 2 or above) increased in writing and in maths with more children achieving the higher level 3 in reading, writing and in science. 79% of Southend-on-Sea pupils achieved Level 4 or above at the end of Key Stage 2 in reading, writing and mathematics.

At Key stage 4 results for 2015 show that 65% of Southend-on-Sea pupils achieved 5 or more A*-C grades including English & Maths at GCSE. In 2014 the figure was 62% which was above the national average and put Southend-on-Sea in the top quartile nationally.

The Southend Borough Council Annual Education Report is published on www.southend.gov.uk and provides a more detailed analysis of pupil progress and attainment. The 2016 results will be found within the Annual Education Report published in January 2017.

We need to further focus on:

- The continued development of strong strategic partnerships between strong schools and weaker schools.
- Challenge to the leadership and governance of all schools where progress is not secure enough and the gaps between disadvantaged pupils and all pupils continue to prevail.

A more detailed analysis can be found in our Annual Education Report

5.2 Healthy schools

The Healthy Schools programme addresses many priorities especially those concerned with healthy weight, physical activity, under 18 conceptions, substance misuse and the emotional health and wellbeing of children and young people.

Currently 96% of Southend-on-Sea schools as well as two independent schools and the Virtual School have achieved National Healthy Schools Status (NHSS). This requires schools to meet the criteria around Personal, social and health education (PSHE), Healthy eating, Physical activity and Emotional health and wellbeing.

88% of these schools have moved onto a more in depth piece of work that addresses a specific health priority. Many are working on their 2nd piece of work some even their 3rd piece. For this stage of the process an action plan is submitted and schools work towards achieving Enhanced Healthy School Status.

32 schools have achieved Enhanced Healthy School Status as of November 2015. A further 11 schools are expected to achieve in November 2016. An annual Enhanced Healthy School celebration takes place each November.

Healthy School Programme developments

Involvement and completion of other substantial pieces of work such as the Drug Aware and Equality and Diversity Champion programme also merit Enhanced Healthy School Status. Some of our more outstanding schools are embarking on several projects concurrently.

Eleven schools are about to complete our 2015-16 Equality and Diversity Champion Programme, this programme aims to help the school to promote strong inclusive values and thus significantly reduce discriminatory behaviour and bullying. This programme will be involving a further 10 schools 2016-17.

The Drug Aware programme is continuing in partnership with the Drug and Alcohol Commissioning Team, with 3 schools from the first cohort having achieved Drug Aware Status in November 2015. At least a further 8 schools have signed up to the programme and are working towards achieving the award.

Healthy schools working towards the Drug Aware mark will also achieve Enhanced Healthy School Status on completion due to their extensive work on substance misuse.

Southend-on-Sea schools with secondary aged children continue to be offered the theatre forum, Prince Charming by Outloud Productions which

tackles the subject of teenage relationship abuse. All Southend secondary schools have taken up the offer at least once and approximately 4,750 young people had access to the experience. The tour will be repeated in November 2016 to a new cohort of young people.

A healthy relationship resource 'Getting On' has been developed for year 6 children in conjunction with Outloud Productions. It was launched in June 2016 a copy of the resource a DVD has been sent to each school.

5.3 Sexual health

From 1 July 2015, South Essex Partnership NHS Foundation Trust (SEPT), in conjunction with Southend University Hospital NHS Foundation Trust and Brook Young Peoples Sexual Health Charity, have been commissioned to deliver the SHORE (Sexual Health, Outreach, Reproduction and Education) Integrated Sexual Health Service. The service delivers open access, high-quality, confidential sexually transmitted infections testing and treatment services, contraception provision, sexual health information and targeted interventions in a range of settings.

The Family Planning Association's *Growing up with Yasmine and Tom* relationships and sex education (RSE) online resource has been offered to all primary schools in Southend-on-Sea. The resource provides age appropriate lesson plans that are fun, interactive and meet curriculum requirements. The programme also provides individual support to school staff to enable the confident delivery of the resource, as well as group training on relationship and sexual education (RSE) policy writing and engaging parents/carers.

All Secondary schools, through a partnership with CSN Community Interest Company, have been offered a high quality comprehensive RSE programme. The programme supports RSE delivery across all secondary year groups, providing age appropriate and relevant lesson plans to meet curriculum requirements. The programme supports school staff to deliver the *RSE Scheme of Work* through training sessions; dedicated individual time in each participating school; and, group workshop sessions to explore key themes such as relationships, sexual and reproductive health, and consent and safeguarding.

5.4 Teenage conception

Year	Number of Conceptions	Conception rate per 1,000 women in age group	Percentage change from 1998 Baseline	Percentage of conceptions leading to abortion
1998	155	56.4	0.0	45.8
1999	132	48.5	-14.0	35.6
2000	126	46.8	-17.0	42.1
2001	130	47.4	-16.0	49.2
2002	146	50.9	-9.8	44.5
2003	140	47.7	-15.4	46.4
2004	135	46.8	-17.0	41.5
2005	136	46.2	-18.1	48.5
2006	143	47.5	-15.8	46.9
2007	127	40.7	-27.8	48.8
2008	131	41.8	-25.9	41.2
2009	128	41.4	-26.6	42.2
2010	109	36.1	-36.0	52.3
2011	108	34.8	-38.3	47.2
2012	94	30.4	-46.1	47.9
2013	83	26.6	-46.5	37.3
2014	89	28.8	-42.6	43.8

The under 18 conception rate increased slightly to 28.8 in Southend-on-Sea. The East of England rate reduced to 20.2 from 21.0 and the national England rate reduced from 24.3 in 2013 to 22.8 in 2014.

Prevention work and partnership approaches

Nationally, the areas that have had the most success have made sure all young people have access to effective sex and relationships education and access to contraception, but have also specifically targeted support to at risk groups. This includes young people in and leaving care, NEET and those in the criminal justice system.

Southend-on-Sea continues to take a multi-agency and partnership approach to reducing under 18 conceptions and supporting local young parents. Amongst some of the many programmes of work are:

- The Family Nurse Partnership which offers first time, teenage parents aged under 20 in Southend-on-Sea an evidence based programme to help them to ensure their babies get the best start in life.
- Teen BUMPs and Teen BUMPs + is a multi-agency team offering antenatal and postnatal support specific to the needs of teenagers
- CEOP (Child Exploitation Online Protection) – Early Help Family Support Service and Youth Offending Service deliver internet and social media interventions through its Street Engagement Team.
- Care To Learn provision.
- Sanctuary Housing provides support for young parents with everyday living through housing placements.

Achievements in 2015-2016 include:

- Partners continuing to work through the Teenage Pregnancy Strategy 2015-2018 that will sustain the continual reduction of under 18 conceptions and ensure positive outcomes for teenage parents and their babies.
- Reporting of pregnant teenagers and teenage parents in education, employment or training (EET), thus facilitating focussed approach and work to support teenagers.
- Reporting of school age pregnancy attendance data to a Children Missing in Education group to monitor reduced “maternity attendance” back to full time whenever possible.
- Early Help Family Support and Youth Offending service team have a single front door referral process in place to ensure that teenage parents receive the right support at the right time.
- Initiatives to develop and raise teenagers’ self-esteem and aspirations include opportunities to volunteer at Teen BUMPs and Teen BUMPs+
- Public Health commissioned an integrated sexual health services that will ensure easy and improved access for young people.

We need to further focus on:

- Monitor the Implementation the Teenage Pregnancy Strategy and the action plan for 2016-2017.
- Targeted interventions for vulnerable young people and young parents through Early Help Family Support and Youth Offending Service and LAC and Leaving Care teams.
- Improve awareness of risk taking behaviour and sexual health matters for relationships and sex education leads in schools; for parents and foster carers; and for all professionals working with young people so that children and young people get the education, knowledge and skills they need to experience positive relationship and sexual health.
- Improving access to the local sexual health services.

5.5 Substance misuse

The Drug and Alcohol Commissioning Team (DACT) have commissioned a package of preventive substance misuse education, known as DrugAware, which was piloted with a cohort of nine schools from early 2014. This programme is intended to develop consistent standards of preventive education across the Borough and to enable schools to identify and intervene earlier with students who are at risk of substance misuse. Three schools have completed the DrugAware Award programme so far, with a further 10 schools working towards their accreditation. The DACT are keen to encourage all schools across the Borough to engage in this programme.

Support for families affected by parental substance misuse continues to be delivered through the M-PACT (Moving Parents and Children Together) Programme. National evidence suggests that for every one person in specialist substance misuse treatment, there is at least one child affected by substance misuse; this suggests that in Southend-on-Sea there are likely to be at least 1000 children affected. Three successful M-PACT programmes have been delivered so far to a total of twelve families; a fourth programme is set to commence in September 2016.

Although the number of young people accessing treatment in Southend-on-Sea each year has been reducing, Southend's Young People's Drug and Alcohol Team (YPDAT) have continued to engage with proportionally higher numbers of young people and young adults during 2015-16 than regional and statistical neighbours. During 2015-16, YPDAT engaged 109 under 18's and 20 18-21 year olds. The proportionally higher rate of young people engaging with YPDAT is likely to be due in part to their well-established links with a wide range of young people's services and their positioning within the Early Help Family Support and Youth Offending Service.

5.6 Improving outcomes for children and young people’s emotional wellbeing and mental health

In November 2015, Emotional Wellbeing and Mental Health Services (EWMH) commenced delivery as part of an Essex wide service commissioned by Southend Borough Council, Essex County Council and Thurrock Council and all seven Clinical Commissioning Groups (CCG) in Essex.

The key outcomes of the new service commissioned are:

- Improved emotional wellbeing/ intelligence, resilience and self-esteem for Children, young people, their families and carers.
- Children, young people, their families and carers receive easier access to services with a quick response to their needs and improved consultation, advice, support, training and guidance from the Service for themselves.
- More effective collaboration and support for frontline clinicians from the Service. This will enable them to work more effectively and working jointly builds resilience at front line.
- Improved joint working with adult mental health services with provision of age appropriate services and smoother transition for 14-25 year olds.
- Improved joint working with other services and an integrated holistic approach to ensure improved wellbeing.
- Improve crises pathways for all children and young people and reduced inappropriate use of A&E to access EWMH Services.
- Reduced waiting lists for specific treatments.
- Did Not Attend (DNAs) are reduced.
- Reduced health inequalities across greater Essex through provision of consistent model

Outline of Southend delivery (Nov15-Mar16)

Types of Service	Data Item	Nov 15	Dec 15	Jan 16	Feb 16	Mar 16
Targeted Services	Referral Received	89	131	119	113	141
	Referral Accepted	86	121	110	105	122
	Referral Rejected	3	10	9	8	19
	Completed Assessments	32	31	77	131	94

	First Appointments	132	90	100	128	88
	Follow-up Appointments	152	202	327	352	379
Crisis	Referral Received	10	16	14	18	13
	Completed Assessments	10	13	14	13	13
	First Appointments	7	10	13	11	13
	Follow-up Appointments	6	21	11	15	38
Eating Disorder	Referral Received	0	0	0	0	0
Learning Disabilities	Referral Received	0	0	0	0	0
	Total Contact	1	1	3	1	0
Single Point of Access (Children & young People)	Referrals Received	70	121	101	92	120

In Future in Mind: Children and Young People's Mental Wellbeing by Dr Martin McShane (March 2015), 5 themes were identified which represent best practice in respect of EWMH Services for children and young people.

The five key themes are:

- Promoting resilience, prevention and early intervention
- Improving access to effective support – a system without tiers
- Care for the most vulnerable
- Accountability and transparency
- Developing the workforce

The EWMH service specification and the Local Transformation Plan set out how the key themes are being addressed. Service delivery was still in a developmental stage towards the end of 2015-16 however with immediate effect the crisis support service had longer opening hours and anyone could refer or self-refer to the service.

5.7 Reducing school absenteeism

Improved access to emotional wellbeing and mental health services, a solid approach to Early Help and Troubled Families and a partnership wide focus on the importance of attendance has reduced absence and persistent absence levels in all school sectors compared to last year, resulting in an improvement in the national rankings. The full statistical release for 2014-15 academic year showed that we were below the national and statistical neighbour average for overall absence in Primary and secondary Schools for compulsory school age children.

The largest rank improvement was in Primary schools where Southend-on-Sea improved by 66 places from the 3rd quartile to the 1st quartile nationally. In Primary and Secondary Schools the absence level dropped by 0.2% while there was a decline nationally of 0.1%. In special schools the absence level increased by 4.3% but there were similar declines in performance nationally, 6 out of 10 statistical neighbours also showed a decline in Special schools.

The percentage of persistent absentees has decreased in Southend-on-Sea schools over the last 2 academic years. The biggest improvement was in Secondary schools once again where the figure dropped by 2.0%, meaning that Southend-on-Sea has now fallen below the national and has improved by 97 ranking places to reside in the 1st quartile nationally. Special schools however had a big decline of 55 places; this was due to the percentage of persistent absence pupils increasing by 6.6% (the national figure also increased by 0.8%). The primary school figure reduced by 0.4% which was also larger than national (0.2%). Overall, Southend-on-Sea schools are below national in terms of persistent absence by 0.9%. Furthermore, the local figure of 2.8% is now lower than the statistical neighbour average of 4%.

Persistent absence is a significant factor in children underachieving and gaining lower exams results. The Early Help Family Support Service continue to support a number of priority schools with higher than national persistent absence to offer a tailored support to differing school needs to target and reduce persistent absence. This incorporates various aspects from supporting schools to better analyse their data; increased numbers of early intervention meetings with parents and young people; enforcement and rewards.

The Every School Day Matters project, run by the Youth Offending Service (YOS) started in June 2013 in order to promote the positive aspects of school attendance to children, their families and the wider community. YOS Prevention staff receive information from schools advising who the unauthorised absentees are and attend the home addresses to identify the reasons for non-attendance. If they are not supplied with a valid reason the young people are taken to school and in all cases the parents are informed and advised of consequences of non-attendance.

The project (now known as Operation Newcastle) offers a service to schools in improving attendance levels in line with the Government's targets which in turn reduces risk of youth crime, anti-social behaviour and substance misuse. These patrols are undertaken twice per week, working in partnership with the Police, who have the authority under

Section 16 of the Crime and Disorder Act to both stop young people and return them to school. They inform the young person of the reasons why they had been stopped, inform the school and send a letter to the parents or carers. This project also leads to referrals to the local Troubled Families project when concerns are noted during the home visit. Statistics from the local education department have noted a marked improvement of educational attendance since the inception of this project.

Between April 15 and March 16:

- 53 days of operational deployments
- 73 young people returned to school
- 336 parents educated

We need to further focus on:

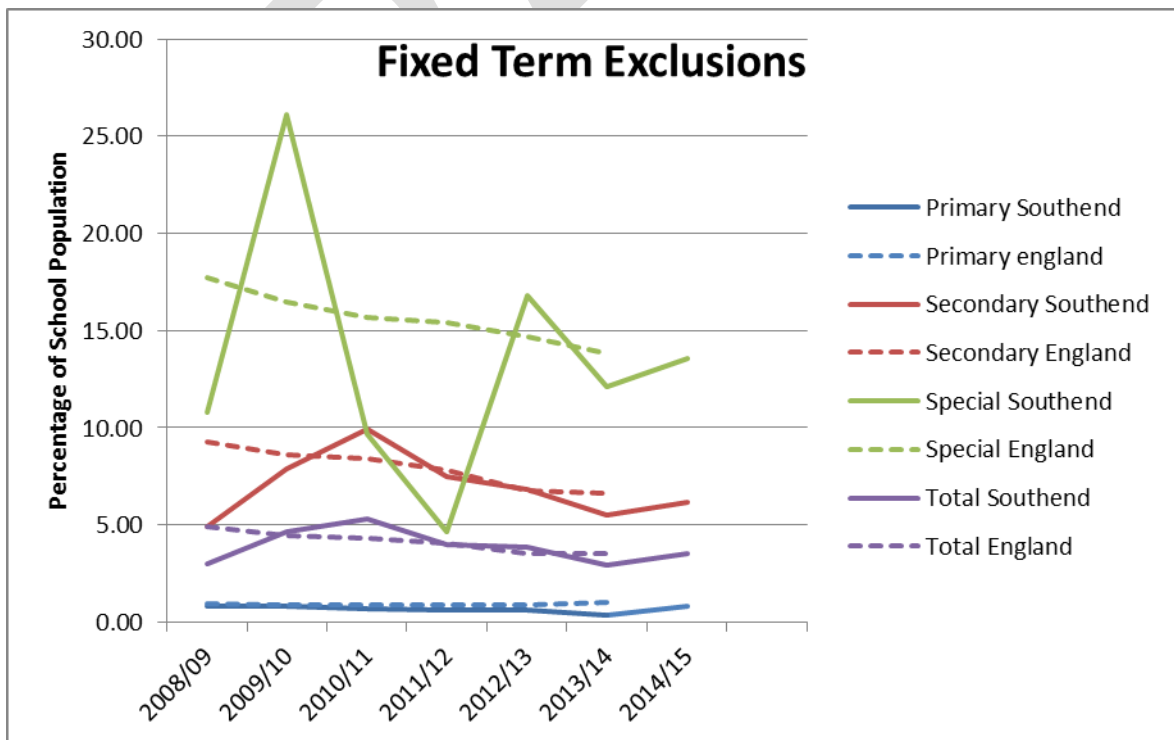
- Continuing to reduce absence and persistent absence in schools with a specific focus in primary schools and early years to embed routines and the importance of attending regularly at school from an early age.
- To work with and alongside the Special Schools to help reduce absence where possible, to help facilitate early intervention meetings so enable parents to feel better equipped with managing long term illness which presents many challenges. Learning how to meet those challenges is a process, but this group of children can, and wish to, achieve like their peers. Education may be a lifeline of opportunity and normality to children and families. Education will not only be school based. In many cases children will need a combination of flexible and school-based, hospital and home tuition. It emphasises the need for strategic partnerships between education and health services, teachers, children and families in understanding the practical and emotional impact of a chronic medical condition on education and development.
- Educating the wider community on the importance of school attendance.

5.8 Reducing exclusions

One measure of how well children behave in schools is to consider the number of fixed term and permanent exclusions from schools across Southend-on-Sea and compare this with national and regional information. It is generally accepted that pupils excluded from school are having their education interrupted, which will have an impact on the progress and achievement of an individual. As a result, schools and Southend Borough Council try as far as possible to manage children's behaviour within the school system, although it is recognised that some young people are not able to be educated in the mainstream school system and may need specialist individual education provision.

Fixed term exclusions

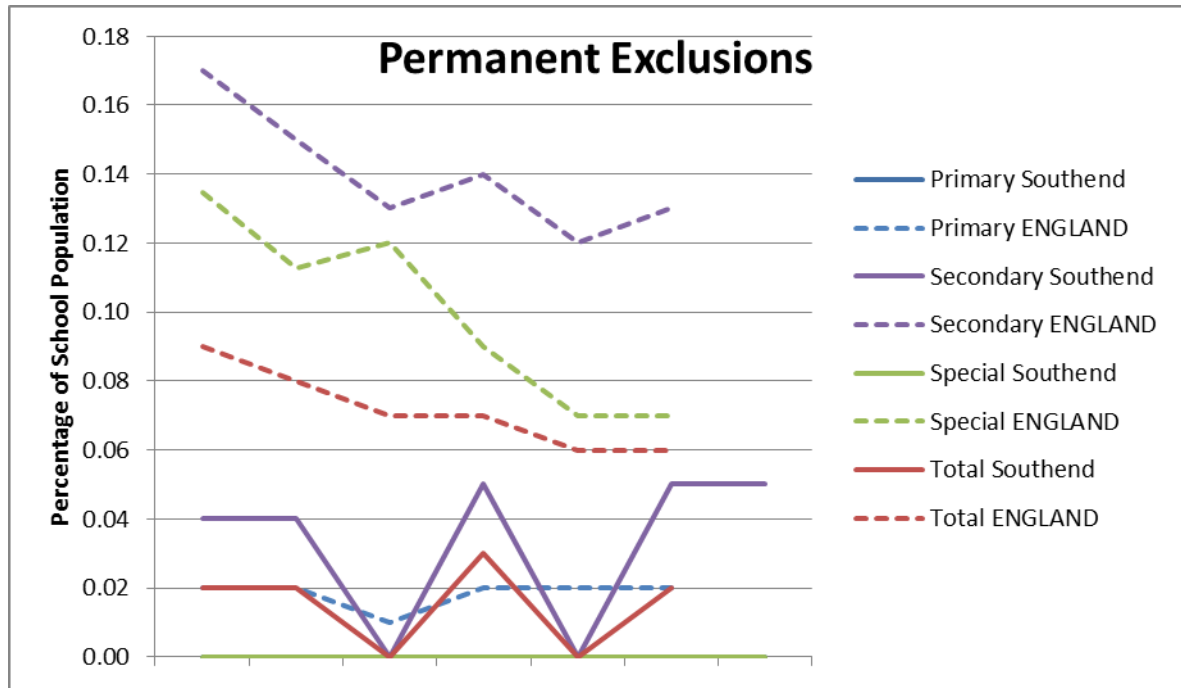
Fixed term exclusions, which are short term exclusions from the school due mainly to inappropriate behaviour and lasting from a day to a week or so, shows an increasing trend over the last five years. While in primary schools the percentage of children subject to fixed term exclusions is consistently less than that nationally, in secondary and special schools the trend is more mixed. Data for 2014-15 and 2015-16 has yet to be released, however internal data suggests that fixed term exclusions within primary schools, special schools and the pupil referral unit has reduced substantially, while there has been a significant increase in fixed term exclusions in secondary schools. It is likely that the increase in school academies and multi academy trusts within Southend-on-Sea, where zero tolerance behaviour policies have become more common, has had a direct impact upon increased fixed term exclusions.



Permanent exclusions

The Council has for many years, together with schools in Southend-on-Sea, had the aim of ensuring no child or young person is permanently excluded

from school. This aim, supported by a range of strategies has seen a significantly lower percentage of pupils permanently excluded from either primary, secondary or special schools than that nationally. The data between 2009-10 and 2015-16 evidences the significance of the much lower permanent exclusion rate in the Borough, in particular within primary and special schools. We have, however, seen a slight increase in permanent exclusions within both secondary and primary schools over the last academic year but this remains less than the current national figure and statistical neighbours.



A new Behaviour Outreach Service has been established through Seabrook College and has prioritised work with schools across Southend-on-Sea with increased fixed term exclusions. The service works in partnership with schools to support the development of effective school strategies to prevent negative behaviour escalating and thus avoiding the need for further exclusions. Over the past year all but 8 schools have received support from the service consisting of either individual child support or whole school support regarding training and behaviour strategies. 81% of primary and 65% of secondary school referrals for individual support were evaluated as showing improvement in behaviour at closure. 6 schools have accessed training from the team comprising of whole school strategies and theme's such as 'responding to behaviours'. The impact of this service will continue to be evaluated at regular periods.

5.9 - Reducing the number of young people not in education, employment or training (NEET)

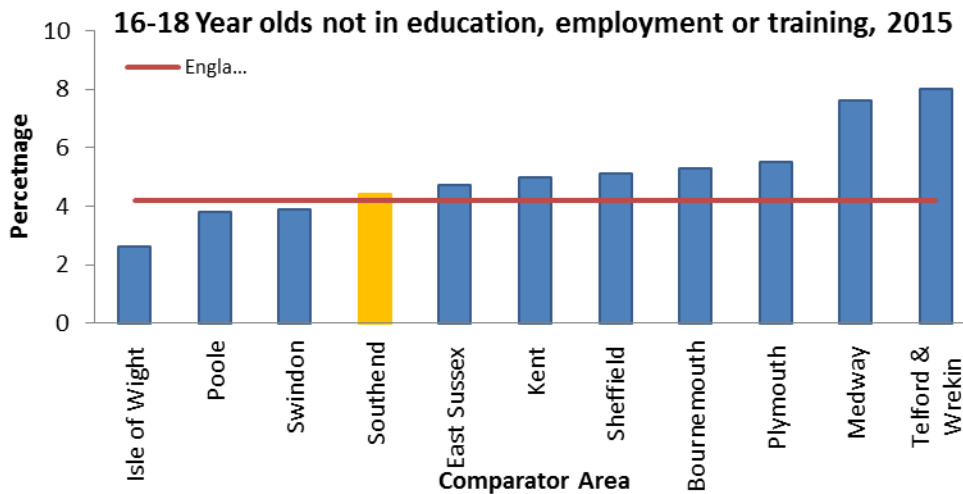
In March 2016 the NEET figure was 4% for 16-18 year olds against a locally set target of 7%. This has shown a move in the right direction from the previous year of 5.6%.

A number of policy measures have been introduced by the Government to reduce the number of people who are NEET, including raising the participation age, this means that from September 2015 all young people in England are required to continue in education or training until their 18th birthday. Options for this include:

- Full-time learning such as in school, college or home education;
- An apprenticeship;
- Part-time education or training if employed, self-employed or volunteering full-time.

The Figure below shows that in 2015 the proportion of 16-18 year olds not in education, employment or training in Southend-on-Sea was similar to the England average and better than the majority of its statistical neighbours (our comparator group of local authorities).

16-18 year olds not in education, employment or training (2015) in Southend compared to statistical neighbours and England



In Southend-on-Sea, the Success for All Children Group needs to ensure that many more young people choose to stay in learning post-16, including those with multiple barriers to learning. To achieve this partners have developed systems and improved processes so that we provide:

- an excellent universal offer for all young people to prevent them disengaging

- a very efficient service for getting back into learning and work those young people who become NEET but have no specific barriers to engagement
- more targeted and intensive support to engage those young people with particular barriers to participation or to re-engagement

In response to the National NEET scorecard that was introduced by the Department of Education during 2015, an action plan in partnership with school improvement, and local educational providers was developed to be used as a working document to improve outcomes. This ensures the continuing offer of courses for young people leaving care as well as programmes for Young Offenders. These programmes have been successful in engaging young people by enabling them to access education and progress onto further education or apprenticeships. By supporting vulnerable learners to gain qualifications and progress into employment the NEET figure is further reduced.

Southend's Early Help Family Support and Youth Offending Services targets those young people who have the most complex needs including those with special educational needs, those known and working with the Youth Offending Service, those who are teenage parents or who are currently pregnant, and those young people with a substance misuse issue and working with Young People's Drug and Alcohol Team.

5.10 Reducing the impact of anti-social behaviour and offending on children, young people and the community

Our aim is to prevent children and young people from entering the criminal justice system.

Southend Youth Offending Service (YOS) believes that youth crime early intervention and preventative work with children, young people and families provides considerable opportunities for joint working at strategic and operational levels. Further it demonstrates that when an early intervention approach is embedded it can relieve the pressure on other public services.

To be effective preventative-opportunities must exist at various stages in a young person's life and the YOS must prioritise partnership efforts effectively whilst adopting a risk-led approach to intervention planning across all its early intervention and prevention programmes.

Early intervention and prevention is not a single, one off event but a process whereby:

- Children, young people and families difficulties are identified before they have reached a point at which the children's development and wellbeing is seriously compromised
- Having been identified early on, the scale and nature of these problems are properly understood and a plan for offering help is developed through a process of high quality assessment, and

- Children, young people and families are offered the support and challenge they need in line with the assessments, for as long as it is needed

Our aims therefore are to

- significantly reduce first time entrants into the criminal justice system
- reduce youth anti-social behaviour
- reduce the risks that lead children and young people to commit asb and crime
- avoid criminalising children and young people, which in turn significantly increases their opportunities for more positive outcomes
- Make the best use of partnerships in a time of financial constraint to ensure gains made can be sustained and built upon

2015-16 Achievements

- Only 47 young people have become First Time Entrants (FTE) throughout 2015-16. This means we have reduced our FTEs by 11.3% compared to the same period last year. This is an above average reduction compared to the country as a whole (a 10.8% drop). Regionally FTE's dropped by 15.6% however we achieved above average reductions compared to the region the year before, so this year represents the rest of the region 'catching up'.
- Our Triage Programme was short listed for a Howard League Award and we received a commendation
- As stated earlier, since Triage being implemented within the Borough in April 2009, 1202 young people have been through the process. This has meant these young people did not enter the criminal justice system and did not receive a substantive outcome for those offences. Whilst young people were initially arrested for the offences, compliance with Triage resulted in no further action being taken. In view of the fact that re-offending rates for Triage over a 7 year period are only 16.9% this clearly demonstrates that the programme is successfully targeting young people at the earliest point of their criminal career and diverting them away from the youth justice system
- Our Challenge & Support programme involves every under 18 year old who is stopped by the police being referred through to the scheme whereby various tools and powers are used from letters, home visits, Acceptable Behaviour Contracts and structured interventions. This scheme is clearly identifying those young people at the earliest opportunity who are at risk and/or vulnerable and ensuring the appropriate level of support is put in place. Likewise, all young people at risk or engaged in crime and anti-social behaviour are able to benefit from a systematic joined up approach. It worked with 217 children and young people during the year April 2015 to end March 2016 through the use of Warning letters, Home visits, and Acceptable Behaviour

Contracts (ABC). 5 ABC's have been issued during the year and 4 Criminal Behaviour Orders (replacing ASBO's).

- Our Street Engagement Team undertake specific operations in identified hotspots between the hours of 7pm and midnight in order to protect children left to wander the streets at night without adult supervision who are at risk of offending, target underage drinking or ASB. These are joint initiatives undertaken by YOS and Police whereby workers engage with children and young people removing them where appropriate and necessary.

Street based deployments are also undertaken delivering street based outreach where and when it is most needed. By offering young people viable and attractive alternatives to anti-social and criminal behaviour they are helping to break the damaging cycle of negative influence and raise aspirations. The team work days, evenings and weekends dependent upon intelligence across the borough, targeting areas with a high level of public concern about youth disorder with the overall aim to signpost young people to more positive activities using a triple track approach of challenge, support and enforcement. During 2015-16 there were:

- 11 Joint police operations
 - 679 deployments
 - 2,145 children and young people engaged
 - 33 NSPCC Child Exploitation Online Protection (CEOP) courses delivered to 803 school teaching staff and students
- Intelligence shows us Friday & Saturday between 4pm-9pm continues to be when youth ASB was most reported and therefore the most effective times for the Street Engagement team to be deployed.

The YOS continues to offer one to one support to young people in the community who are assessed as being at risk of committing crime or Anti-Social Behaviour. Referrals are received from a range of agencies including internally from Early Help Family Support, Social Care, Schools, Police (particularly schools officers). Furthermore, as part of our commitment to prevention, Southend YOS offer voluntary intervention and support to all young people made subject to Youth Cautions. Work at this level is based on diversion and a restorative ethos is used throughout the interventions especially where there is an established victim identified. Young people are also referred to this service for specified CEOP work and as exit strategies from Court Orders.

Between April 15 and March 16:

- 147 were opened for 1:1 work. Of the 147, 13 went on to receive Triage or substantive outcomes for offences committed after they started their Prevention intervention. (8% offending rate)
- 24 x Youth Cautions

- 9 x Youth Conditional Cautions

A total of **507** youth ASB calls were made to the police between April 15 and January 2016 ******(information not available for February 16 & March 16 – NO YOS POLICE OFFICER) in comparison with **643** calls made during the same period this year. Consequently a **21.2%** reduction in youth ASB has been achieved.

To reduce re-offending by children and young people under the age of 18

According to the Youth Justice Board (YJB) data, in 2007 Southend had a cohort of 562 offenders with 181 of those re-offending. This equates to a 32.2% re-offending rate. In the last 8 years Southend YOS has consistently reduced the cohort size, so much so that the latest figures published by the YJB in June 2016 (for the July 2013 to June 2014 cohort) indicates a cohort of 154 offenders with 65 re-offenders - a re-offending rate of 42.2%. Whilst data indicates that Southend has a high re-offending rate, there is a story of place behind this data which is important to demonstrate in order to reflect the actual re-offending characteristics and performance. It is also important to note that while our re-offending rate is still above 40%, it has been consistently reducing across the last 18 months since we peaked at 51.6%.

Much of our work has been displaced following the implementation of our prevention and diversion schemes. The inception of Triage in 2009 has not only had a significant impact on preventing young people entering the criminal justice system but has also been extremely successful in preventing re-offending.

Unfortunately, Triage re-offending data is not included in the YJB performance measures but the Triage re-offending rate is 16.9% over 7 years (cumulative). If Triage was included, our July 2012 to June 2013 cohort would have increased by a further 156 offenders to 310. If 16% of those in the Triage cohort reoffended, the percentage for all re-offending then reduces from 44.1% to 29.0%.

The reality remains however that out of over 16,000 10-17 year olds in the Borough, only 154 were subject to substantive outcomes during the last published period of which only 65 were re-offenders.

Whilst many other YOT's are now operating Triage and this argument could be counter-acted as their re-offending data is on target, Southend was one of the first in the country to operate Triage and consequently this has affected our data for 7 years whereas most other YOT's have only been operating Triage for 2 years.

It is a nationally recognised statistic that 20% of prolific/revolving door offenders are responsible for 80% of crime committed. However for Southend during 2015-16 15% of offenders (13 young people) were responsible for 42% of all youth crime committed in the Borough over that 12 month period. This

demonstrates therefore that our ways of working with these prolific offenders (those committing 5 or more offences within 12 months), by providing additional support and intervention over and above that prescribed by National Standards appears to be achieving results. By way of comparison, in 2013-2014 the figures were that 16% of offenders were prolific and responsible for 40% of youth crime in the Borough, representing performance for prolific offenders that has been consistently better than the national statistics over the last 3 years. This has undoubtedly been achieved through strong and effective partnership working.

Southend YOS has undertaken its seventh Problem Profile for the time period April 15-March 16. Previously this document has focused heavily on offences – those most common, when and where they are committed, and by what age and ethnicity of offender. Over the last year the YOS has overcome challenges brought about by unavoidable changes to policing structure, resulting in us obtaining less data on a regular basis than we have before.

April 2015 also saw the YOS change case management systems to a single joined-up system shared with education departments within the council. We have therefore taken the opportunity to shift focus from offence-based analysis, to offender-based analysis; engagement in education, where they live, what particular features the groups have that indicate where resources might be most effectively targeted. Whilst it is useful for the police to be able to target their efforts at the location of offences, the provision of Family and Community based help by the Early Help Family Support and Youth Offending Services needs to focus on offender location and their families. The incorporation of Early Help into our overall Service area has further allowed us to enhance our innovative approach to the way we deliver services around the needs of hard to reach and vulnerable children, young people and their families.

By looking at the individual crime types it can be seen that throughout this period 75 unique offenders committed 207 offences and these young people were subsequently supervised by the Southend Youth Offending Service as part of a Court Order with a further 17 supervised through a Youth Caution or Youth Conditional Caution. The two most frequent offence types of Assault and Theft accounted for 36% of the overall offences committed. The majority of offenders were aged 16 years of age.

2015-16 Achievements

- The latest YJB reoffending rate demonstrates that Southend has dropped to 42.2%. This brings us within 6% of the South East Average and within 1% of our statistical neighbour average.
- Southend YOS continues to use the YJB Re-Offending Toolkit as a live monitoring and performance measure to ensure analysis informs practice. Performance for year ending 2015-16 was 26% re-offending rate. The YJB published data (as in the bullet point above) is 18 months behind 'real time'. We therefore anticipate that between now and the next published data our re-offending rate will be in line with SE

Average if not considerably better.

- Her Majesty's Inspectorate of Probation conducted a SQS (Short Quality Screening) Inspection of Southend YOS in May 2016 and found overall that 'the YOS was performing well with enthusiastic and experienced staff. The YOS had found a good balance between protecting the public and assuring the safety and wellbeing of the children and young people they worked with. Case managers linked well with other agencies and were flexible in their approach in order to achieve positive outcomes.'
- Significant success in prevention has led to Southend having a small entrenched cohort. This is a challenging cohort of prolific revolving door offenders who we are working hard to engage in different ways such as programme activities. Our ways of working with these prolific offenders, by providing additional support and intervention over and above that prescribed by National Standards is working as the number of prolific young people has been reduced again this year to 13. The fact they remain responsible for 42% of all youth crime is a clear indication of their entrenched patterns of behaviour.
- All young people subject to court orders are required to undertake payback to the community as well as, where appropriate, restorative justice interventions. Undertaking community payback acts as an effective deterrent to further offending and a restriction of liberty. Furthermore it benefits both young people and the wider community as it improves our local communities, develops young people's skills and knowledge bases, whilst encouraging them to take responsibility for the communities in which they live. During this time period 662 hours of reparation were undertaken by young people.

To minimise the use of remand and custody for children and young people

Southend YOS is committed to ensuring that the use of remands and custody is a last resort for young people. Consequently we provide good quality and realistic bail support packages and reports to the courts using experienced staff in order to maintain the courts confidence in both bail provision and community sentences.

2015-16 Achievements

- Historically the YOS has always been subject to the target of less than 5% of court outcomes resulting in custody. Whilst we have been able to

perform close to this target, the reduction in the numbers of young people appearing before the courts has meant that percentages can be misleading - a small cohort of prolific offenders are naturally likely to have a higher custody rate. For this reason in 2014-15 we moved to mirror the MOJ reporting method in our own local performance monitoring. This measures the rate of custody amongst the overall 10-17 year old population – the population is more static than the number of young people in the criminal justice system enabling better comparison.

The rate for 2015-16 was 0.44 custodial sentences per 1,000 10-17 year olds in the Borough. That means that for every 1,000 young people in the Borough, less than 1 received a custodial sentence. Compared to previous years this is a significant reduction: the average for 2011-2015 was 1.10 so to achieve an over 50% reduction is a real achievement. Last year we challenged ourselves to reduce it from 0.68 and the key for 2016-17 will be to maintain this reduction, a challenge that we know will be made more difficult by the concentration of prolific young offenders in the Borough. Many of the young people in Southend who come to work with the Youth Offending Service have entrenched patterns of behaviour and often receive multiple court outcomes in the year. We need to provide substantial well considered options to the court to engage young people in the community as a direct alternative to a custodial sentence.

- Southend YOS will continue to ensure the following are in place - Bail support packages that incorporate a range of specifically tailored interventions (including sport, outdoor pursuits, ETE, social skills), prohibitive measures, including electronically monitored curfews and restrictions on associations and exclusion zones and the use of Troubled Families where appropriate. An early warning notification system of young people at risk of remand to ensure we present robust bail support packages to the court at the earliest opportunity is also embedded within practice.

To minimise the risk of harm posed by children and young people

The Youth Offending Service has a duty to co-operate with the Multi-Agency Public Protection Arrangements (MAPPA) and is committed to its role in supporting local information sharing and management of risk to the public posed by young people.

Those young people who pose a risk of harm, who we classify as high or very high risk of harm or meet the MAPPA criteria and are managed at MAPPA Level 1 are effectively managed within Southend YOS working alongside colleagues from partner agencies where necessary. We did not have any young people who have required management at MAPPA Level 2/3 and therefore require the MAPPA inter-agency management process during 2014/15.

2015-16 Achievements

- Introduced MACE (Multi-Agency Child Exploitation) Panels. The MACE is a new group meeting every 6 weeks. Its overall aim is to ensure that there is an effective multi-agency assessment and response where there are concerns that young people are at high risk of exploitation which relates to the young people that agencies are most worried about – this includes; high risk of sexual exploitation, high risk of exploitation related to gang activity including drug dealing and possibly other criminal activity; places where there are significant concerns that young people are being exploited e.g. through gang activity, drug dealing/taking, sexual exploitation, other criminality etc. ; Perpetrators/alleged perpetrators where there are significant concerns that they are exploiting children and young people. These referrals are most likely to be from the police. The Panel will consist of a core group of senior representatives from Social Care, Early Help Family Support and Youth Offending Service, Health, Education, Police, the Community Safety Partnership. Other agencies will be co-opted to attend according to the subject matter of the discussions.
- Reviewed and revised management oversight of plans and interventions relating to young people who present a risk of harm to others including CSE links
- Delivered 33 NSPCC Child Exploitation Online Protection (CEOP) courses within local schools
- Undertaken multi agency Case Management Forums for all young people assessed as presenting a risk of harm to others

Ensure children and young people are protected from harm and are helped to achieve more

Southend Youth Offending Service has a statutory duty under section 11 of the Children Act 2004 to safeguard and promote the welfare of the child. We are represented on the Local Safeguarding Children's Board and produce a yearly section 11 report to the Board.

Multi agency meetings are held within the YOS (Case management forums) in order to manage vulnerability and risk of harm for all those assessed as being high or very high within these areas.

We are fully integrated with children's specialist services and look forward to opportunities to integrate further with adult services as we embed as one department. Whilst the YOS has a seconded health worker and a full time substance misuse YOS officer, being part of the Early Help Family Support and Youth Offending Service ensures that there are many specialist workers who can specifically contribute to work with young people who have a range of complex needs.

2015-16 Achievements

- Attended joint YOS/Social Care meetings to ensure effective joint management and working arrangements
- CSE Strategic & Operational Groups have been embedded in conjunction with social care, police and health. Risk Assessment Toolkit developed and successfully disseminated to all staff.
- Since April 2015 all children that are reported to the police and registered as Missing are offered a return to home interview, this is to establish the Child's story about their missing period whilst at the same time assessing if they have been at risk of CSE and any safeguarding issues that may need referring to social care and or the police. During this time period 163 children were reported missing to the police with 464 missing periods and 329 home visits were completed (70.90%).

5.11 Support for young carers

Our priority for young carers in Southend-on Sea is to ensure that they are safeguarded from inappropriate caring and to ensure as far as we can that they are able to enjoy and achieve in line with their peers and to have time away from their caring role.

In October 2015 the contract for Young Carers with Premier Care came to an end, and came back "in house" as part of the Early Help Family Support and Youth Offending Service. The Early Help Family Support and Youth Offending Service – previously known as the Integrated Youth Support Service - have continued to raise awareness during 2015-16 in schools, colleges, with other professionals and agencies and also the general public. We also continued to work with partners around the implementation for young carers regarding the Care Act and the Young Carers Development Group, which includes various partner organisations.

We have continued to work closely with the Virtual Head and Virtual Teacher around attendance and achievement in education for young carers and during the year 4 schools gained their Bronze Young Carers School Standards. This work continues and is now also part of the Enhanced Healthy Schools initiative. Furthermore, we have supported Milton Hall School to implement a group for Young Carers, completed a successful Young Carers Group with Macmillan nurses and supported 2 of their volunteers in youth work training.

A Young Adult Carers group was initiated during 2015-16 with Southend Carers Forum employing a part time (7 Hours) worker to develop this group, which is in its early stages but showing positive signs.

The young carers attending SYC&MORE and COOL continued to work on their Children's University passports of which 12 completed and attended the graduation ceremony in 2015 and 6 are invited to the first graduation in 2016.

Each year we continue to work closely with partner organisations raising awareness of Young Carers and provide different activities /trips/events for young carers. Young Carers Festival, in 2015 was led by Southend Carers Forum, (who received funding from Key Med) with support from Brenda Lewis the Young Carers Worker. 22 Young people had the opportunity of attending the weekend held at YMCA, Fairthorne Manor, with 3 of the Young Carers Champions attending as volunteers.

At the end of March 2016 there was a total of 517 Young Carers known to Southend on Sea Borough Council.

We need to further focus on:-

- Care Act and Children and Families Act, ensuring the work is delivered appropriately
- Work with the Health Service in general to ensure the optimum health for Young carers.
- Embed the Single Point of Contact Referral for Young Carers, developing work across teams within the Early Help Family Support and Youth Offending Service.

6. Looking Forward

During the period April 2016 – September 2016 several SFAC partners received reviews/inspections around the support they provide for children in need of help and safeguarding. Although these were outside of the reporting timeframe for this report it would not be appropriate not to comment and the findings from these will reviews play an important part in our direction of travel and future plans for the coming few years:

Inspection of services for children in need of help and protection, children looked after and care leavers

Ofsted inspected services for looked after children as part of the wider inspection in May 2016. Overall the services were judged as 'requires improvement' however the sub-elements of the service (Adoption, and the experiences and progress of care leavers) were judged as 'Good'. To date 106 local authorities have been inspected under this new inspection framework and 24% have been judged as inadequate, 49% requires improvement, 25% good and 2% outstanding (as at 12th September 2016). Ofsted provided 12 recommendations for service improvement, some of which related to services for children in care. Members of the Success for All Children Group are instrumental in helping Southend Borough Council Children's Services to achieve the improvements required and actions set out in our Southend Children's Services Improvement Plan.

A key focus over the next 4 years will be to improve outcomes through the development of innovative and more integrated services. Focussing on the journey of the service user to ensure that needs are better met by more joined up approaches to service delivery across our partnership.

Short Quality Screening (SQS) of youth offending work in Southend

HMIP conducted a SQS Inspection of Southend Youth offending Service (YOS) in May 2016 and found overall that 'the YOS was performing well with enthusiastic and experienced staff. The YOS had found a good balance between protecting the public and assuring the safety and wellbeing of the children and young people they worked with. Case managers linked well with other agencies and were flexible in their approach in order to achieve positive outcomes.'

CQC review of how health services keep children safe and contribute to promoting the health and wellbeing of looked after children and care leavers.

In July 2016 the Care Quality Commission (CQC) undertook a review of health services for looked after children and safeguarding in Southend-on-Sea. The review was conducted under Section 48 of the Health and Social Care Act 2008 which permits the CQC to review the provision of healthcare

and the exercise of functions of NHS England and Clinical Commissioning Groups. The review explored the effectiveness of health services for looked after children and the effectiveness of safeguarding arrangements within health for all children. The focus was on the experiences of looked after children, and children and their families who receive safeguarding services. The CQC reported seeing many good examples of health services supporting early help and working with families to help safeguard children and young people. The report also made a number of recommendations which included a broad theme that relates to communication and record keeping.

HMIC National Child Protection re-inspection of Essex Police

HMIC conducted a National Child Protection re-inspection of Essex Police in September 2016 and noted significant improvements in how Essex Police and their partners managed child protection issues. They made specific references to strong and consistent leadership from all agencies; substantial investment made in developing the police operational response and the involvement of partners and linked joint working as a key driver of progress made. While the overall position was largely positive inspectors raised concerns in a number of areas such as child protection referrals, partnership decision making at strategy discussions and outcomes for children after the use of Police protection powers.

Success for All Children Group Future plans

Looking forward the Success For All Group have a vision for a simpler, slicker and swifter model of service delivery for all of our users, delivered through better integrated services. We want to make things be less complex for families as a result of us providing seamless services that are productive and cost effective. To achieve this vision the group carried out a workshop in September 2016 attended by key people in all partner organisations, to consider how better integrated services for children and young people could be delivered. Our intention is to have produced a strategy and action plan, by spring 2017, for integrated children's services across Southend.

Southend-on-Sea Borough Council

Report of Corporate Director for People to Cabinet on November 8 2016

Agenda
Item No.

Report prepared by: Jenni Naish, Planning & Engagement
Manager

A Local Account of Adult Social Care Services in Southend 2015-16 Department for People – Executive Councillor: Councillor Salter

A Part 1 Public Agenda Item

1. Purpose of Report

- 1.1 To present a draft of the Local Account of Adult Social Care services in 2015-16, including priorities and plans for 2016-17. This is the sixth year of producing an annual report of this sort.
- 1.2 The Local Account aims to provide information about the quality and value of the social care services to the users of services and local people. It is the Council's self assessment of how it provided services during 2015-16 together with plans for the future which contribute to the overall health and wellbeing of the local community.

2. Recommendation

- 2.1 That the draft Local Account be noted as the Council's self assessment for these services**

3. Background

- 3.1 In the years leading up to 2010/11, an annual assessment of adult social care services was undertaken by the Regulator of adult social care services. The last annual assessment was carried out by the Care Quality commission (CQC) for the year 2009/10 where the Council was assessed as "performing well ... consistently delivering above the minimum requirements" and in two out of the seven areas assessed, achieving a rating of "excellent", the highest rating. This was the third year in succession in which adult social care services in Southend had improved.
- 3.2 Annual assessments by CQC have now ended. The Local Account is a self-assessment which summarises what Adult Social Services have done over the

past year, how successful they have been delivered and what their future priorities are. The Local Account includes the most recent Adult Social Care Outcomes Framework (ASCOF) data for 2015-2016.

- 3.3 The intention of the Local Account is to promote transparency and enable local citizens to have a stronger voice in deciding how well services are doing and what Adult Social Care should be reporting on. The Local Account has now replaced the previous performance framework used to judge and rate our services by the national regulator, the Care Quality commission.

4. Other Options

- 4.1 No other options are presented

5. Reasons for Recommendation

- 5.1 The publication of the Local Account of adult social care services for 2015-16 ensures the continuity of information for the public about the performance of this service.

6. Corporate Implications

- 6.1 Contribution to Council's Vision & Corporate Priorities
HEALTHY – Continue to improve outcomes for vulnerable adults and older people
PROSPEROUS – Reduce inequalities and increase the life chances of people living in Southend.
EXCELLENT – Deliver strong, relevant and targeted services that meet the needs of our community.
- 6.2 Financial Implications
The cost of planning the production of future Local Accounts will be met within the existing resources for consultation on adult social care services. Any new costs arising from the Local Account for adult social care services for 2016-17 and future years will need to be considered as part of the relevant annual budget process for the Council.
- 6.3 Legal Implications
None. Although the production of a Local Account allows us to be transparent regarding our adult social care provision and allows us to be held to account.
- 6.4 People Implications
The Account demonstrates how increasingly our staff are working in a more integrated way with other public and voluntary organisations within Southend.
- 6.5 Property Implications
Not applicable
- 6.6 Consultation
Partners and commissioned service providers were consulted on the content of the draft local account.

- 6.7 Equalities and Diversity Implications
Policies for developing adult social care services are subject to equality impact analysis.
- 6.8 Risk Assessment
The Local Account of adult social care in 2015-16 is a report to which risk assessments were applied as part of the service planning.
- 6.9 Value for Money
Financial and performance information has been included within the Account as well as how well we are using our joint resources with health more effectively.
- 6.10 Community Safety Implications
Safeguarding information is included within the Local Account. In addition a safeguarding annual report is produced by the Safeguarding Adults board.
- 6.11 Environmental Impact
Not applicable
- 7. Background Papers**
None
- 8. Appendices**
- 8.1 Appendix : A Local Account of adult social care services in Southend 2015-16;

This page is intentionally left blank

LOCAL ACCOUNT 2015-16

**A review of adult social care in
Southend-on-Sea**

DRAFT

This case study to be published on the inside front or inside back cover

Below is the story of Charles Neale and his wife Grace. Charles went in to hospital and was discharged into a 'discharge to assess' bed for a period of reablement before returning home. This is his account

Charles Neale's Story....

'I was admitted via my GP following 3 days of sickness, loss of appetite and stomach bloating and due to lack of food, fluids and little sleep following admission I then began to show signs of confusion and had hallucinations. I was later diagnosed with chronic constipation. This time in the hospital was largely spent in bed so I was unable to mobilise unaided at time of discharge from hospital with no real prospect of improving.'

'I came into the hospital with no previous care package and on discharge on 13th May I was informed I would need a large care package to support me at home with all personal care and mobility and continence issues. I was so very low.'

'Social Care – Priory dept. - came to see me and we had a discussion about possible rehabilitation at the Priory project. I am aware that Rehab on the ward felt that I had 'low' rehab potential, however the Priory social care team arranged for me to come to the Priory for two weeks. They all believed in my ability to improve, my family were incredibly supportive and encouraging to do this as well.'

Mrs Neale then added 'I was so very relieved and knew I could now sleep at night knowing he was so well looked after! In hospital I could not see any improvement in him personally and his mobility was so poor but on admission to the Priory Rehab unit it seemed that daily he got better, I got my hope back for a future together.'

Mrs Neale further spoke of the most traumatic moments being when Mr Neale was hallucinating whilst on the ward, adding 'it scared me very much', she also further spoke of the kindness and reassurance of all the staff at the Priory 'the way they looked and talked to me and Charlie gave us hope for the future. We have got our life together back!'

Mr Neale wanted to talk about his time at the Priory and the importance of the level of care he had received from all the staff, 'When I arrived (at the Priory) they were all there to meet me, I felt so welcome and expected! They were Angels to us both! What a welcome! I was so shaky, not knowing what to expect and what sort of Unit I was to expect, that concern went immediately and until the day I was discharged home I felt welcome! Do you know that is the first time anyone other than my wife has 'looked' after me (personal care)- it was scary but the staff were so friendly and I got the distinct impression that they knew what they were doing, they were so competent and 'normal' so I did not feel awkward.'

Mr and Mrs Neale both stated 'at mealtimes, all the staff came and sat down with us all and all ate the same meals and they joked and were so friendly- loving, sharing people'. Social Care and Mrs Neale recall the staff adding they wanted to keep Mr Neale with them at the Priory as they would miss his lovely sense of humour and smile (he is a very pleasant man) and Mr Neale became emotional at the memory of the staff at the Priory and playing jigsaws and undertaking the exercise classes and the friendships he had made with other residents.

'I've been so very lucky with people and their friendships, I felt very cared for at the Priory!'

Mr Neale is now able to mobilise around his home entirely independently with a wheeled zimmer frame. He goes out into the community on his motorbility scooter and gets small amounts of shopping from Leigh-on-sea. Leaving his scooter outside and accessing the shops with a shopping list and a walking stick. He has regained his independence and his mobility and his life back.

Mr and Mrs Neale are very grateful to the Priory project and all staff involved for their future.

Local Account 2015-16

Contents

Foreword

Introduction

1. The National Picture
 - The Care Act 2014
 - The Children and Families Act 2014
 - The Better Care Fund
2. The Local Picture – How we support you
 - What is adult social care
 - Financial expenditure
 - Adult social care teams
 - Meeting housing needs
 - Supporting people with Dementia
 - Supporting people with Mental Health Needs
 - Supporting people with Learning Difficulties
 - Supporting people with Autism
 - Advocacy Services
 - Support for Carers
 - Support at 'End of Life'
3. Monitoring and Accountability
 - Healthwatch
 - Southend Health and Wellbeing Board
 - Complaints and compliments
4. Our partnership approach - Integrated pioneer pilot status
5. Adult social care outcomes
6. Safeguarding
7. Improving support through consultation and involvement
8. Plans for 2016-17
9. Useful Contacts

10. Glossary

Foreword

This annual Local Account provides an overview of adult social care in Southend-on-Sea during 2015-16, and our priorities and plans for 2016-17 and beyond.

The purpose of this Local Account is to inform people living in the Borough about the achievements, challenges and priorities for adult social care and the impact these have on people's lives.

A glossary that explains some of the terms used plus a list of useful contacts is included at the end of this document.

Our ambitions for redesigning adult social care

The adult social care redesign programme will change our approach to adults, families, carers and the community. The ambition is to move to an approach that will be empowering, and facilitate the person in taking control of their own lives rather than being told what is best for them, with social workers taking a preventative approach to their practice in community settings. The vision is for social workers, alongside their health colleagues, to have a strong understanding of their local community and engage wholly with Southend residents to maximise independence, inclusion and reduce marginalisation.

The work is driven by our ambition to create a better Southend.

Redesigning adult social care is a transformational programme across the whole social care and health system in order to achieve our ambition; we are turning around culture and mind-set, developing alternatives, developing engagement, communicating a compelling vision, and developing and embedding the narrative that supports this transformational change. The programme will embrace the work of the entire Adult Services and Housing service area as well as Integrated Commissioning.

We are working in partnership with local health providers and voluntary organisations to ensure people who have particular support needs receive preventative information, advice and support and excellent care that enables them to enjoy independence and be a part of society.

We are pleased to present this overview of adult social care in Southend-on-Sea 2015-16.

Simon Leftley

Director for People

Councillor Lesley Salter

Portfolio Holder for Health & Adult Social Care

Introduction

During the course of 2015-16 we undertook an enormous amount of work to ensure that we met the statutory requirements of the Care Act for the delivery of adult social care. We have, as with all other local authorities, had significant reductions to our budgets over several years, and this is likely to continue.

We have a clear long term vision for regeneration and redesign of the provision of adult social care, health and housing within the town. These initiatives will meet current needs and help to prevent future needs from becoming an issue.

Our status as an Integrated Care 'Pioneer' (one of only twenty five local authorities with this status in the United Kingdom) and the pooling of funds between health and social care have given us the opportunity to work more closely between health and social care. Significantly, the Community Recovery Pathway (a programme to reshape and integrate health and social care services) and the Adult Social Care Redesign have initiated a number of transformational changes including: (i) development of six 'Discharge-to-Assess' beds at Priory House to support timely discharges from hospital (ii) Overnight domiciliary care support to minimise admissions into residential care and hospital (iii) transforming the language and approach to social work practice through Asset-Based Community Development (iv) Piloting a GP Community Social Worker to integrate social work practice with primary healthcare and the community.

The impacts of this work for 2015-16 have been monitored through the regular reporting of the Better Care Fund, a fund established to pool funds to commission and operate integrated services. During the course of 2015-16 our integrated activity delivered a 5% reduction to A&E attendances and an 18% reduction to admissions into residential care.

Where possible we aim to commission/buy services from local organisations and businesses, to ensure that local people benefit from employment opportunities and the service users are more familiar with the organisations providing support.

Our in-house services are provided by a dedicated and professional workforce that is focussed on providing the best outcomes for our service users. We are committed to the on-going development of our staff and as a local authority have been awarded Investors in People Gold status (an award which recognises world class best practice in the development of people within an organisation). Our staff's passion for work is reflected in the high quality of services that we deliver. However, we are not complacent and we continue to review our performance in order to continue to deliver excellent services for local people.

We aim to continue to support people to live healthy, active, independent and fulfilling lives. Our plans for 2016-17, as shown in this Local Account, set out how we will make this a reality.

1. The National Picture

The Care Act 2014

In April 2015, the way in which local authorities provide care and support changed as a result of this new national legislation. 'Care and Support' is the term used to describe the help a person may need with things like washing, dressing, eating, reading mail, doing shopping, getting out and about, and keeping in touch with friends and family.

Anyone living in the Borough is entitled to have their needs met if they are assessed as being eligible for 'Care and Support'. Carers are also entitled to an assessment of their needs.

The emphasis of the new approach is on developing the individual's strengths, assets and aspirations, rather than on 'providing services'. We will support people and their carers to be as independent as possible with the right support from their families, friends and wider community network. In doing so, we will create inter-dependence which is sustainable and will reduce long term dependency on state-funded care.

In order to achieve this, people in Southend-on-Sea will be given every opportunity to be part of their assessment and care planning so they are central to all decision-making. Having a personalised care plan is part of this aspiration which will highlight the person's strengths and identify outcomes.

Carers also benefited from the changes in the Care Act. Carers play a vital role in Southend-on-Sea to support people who need additional help. For this first time, legislation has given carers an equal footing with people who need care and support in their own right. We support carers in the most difficult situations in order for them to carry on living fulfilling and happy lives alongside the people they care for.

Anyone who is likely to have difficulty in taking part in the assessment and planning process is also entitled to an independent advocate.

Whether people receive or provide support, under the Care Act, they will now know how much it will cost to meet their needs and how much we will contribute towards the cost. People will have more control over how that money is spent, and will have a personal budget to pay for their care and support.

We have developed a website, Southend's **SHIP** directory (www.southendinfopoint.org), to help people to find out how these changes will affect them. In addition to information and advice, there is a directory of the services available that can provide help, support and advice locally, and a register of organisations and individuals that can provide services in

people's own homes. To find out more visit www.southendinfopoint.org or call Southend-on-Sea Borough Council on: 01702 215008 for more information and to get advice.

The Children and Families Act 2014

The Children and Families Act 2014 has introduced changes for young adults with significant social care needs. The transition stage for young people aged 13 to 25 is an important time for children, young people and their families. They are thinking about the future and considering their options, including how they can manage their own lives and reduce dependency on health and social care services in the future. This is being achieved by:

- replacing statements of Special Educational Needs (SEN) and separate learning difficulty assessments (for young people) with a single, simpler birth to 25 years assessment process and Education, Health and Care (EHC) plan. Young people with EHC plans also have the right to a personal budget for their support.
- providing statutory protection comparable to those currently associated with a statement of SEN for young people up to 25 years old with EHC plans in further education.
- the jointly re-commissioned emotional wellbeing and mental health service in Southend, Essex and Thurrock.

The Better Care Fund

The Better Care Fund was announced, as a plan, in June 2013. The fund introduced a pooled budget of £3.8 billion (nationally) for health and social care services. Each area, (of which Southend-on-Sea is one), was challenged in 2014-15 to develop annual joint plans across health and social care, with the objective of improving outcomes for the public and providing better value for money.

The plan for 2015-16, in addition to delivering a closer working relationship between health and social care, delivered a reduction in social care placements and packages ensuring that residents and patients receive care at the most appropriate place and time.

The planned budget for 2016-17 will continue to deliver efficient health and social care services that are shared between the NHS and local authorities and as a result this will deliver better outcomes for older and disabled people. We continue to work as a Pioneer local authority with our local Health colleagues to plan and deliver better integrated care in Southend-on-Sea as part of this national approach.

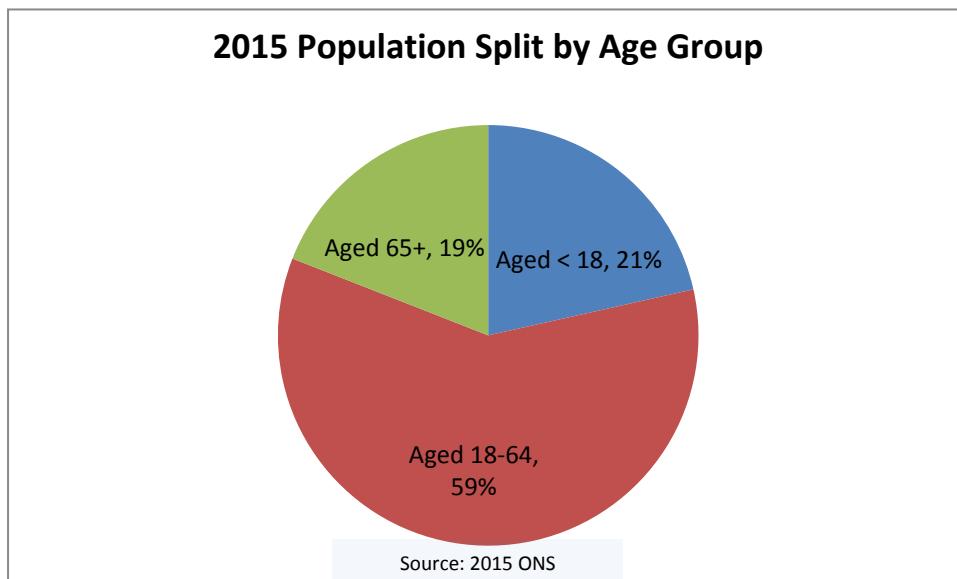
2. The Local Picture – How we support you

What is Adult Social Care?

Adult social care provides advice and support to people over the age of 18 who may need some help. The work we do is driven by our vision to create a better Southend and we acknowledge that:

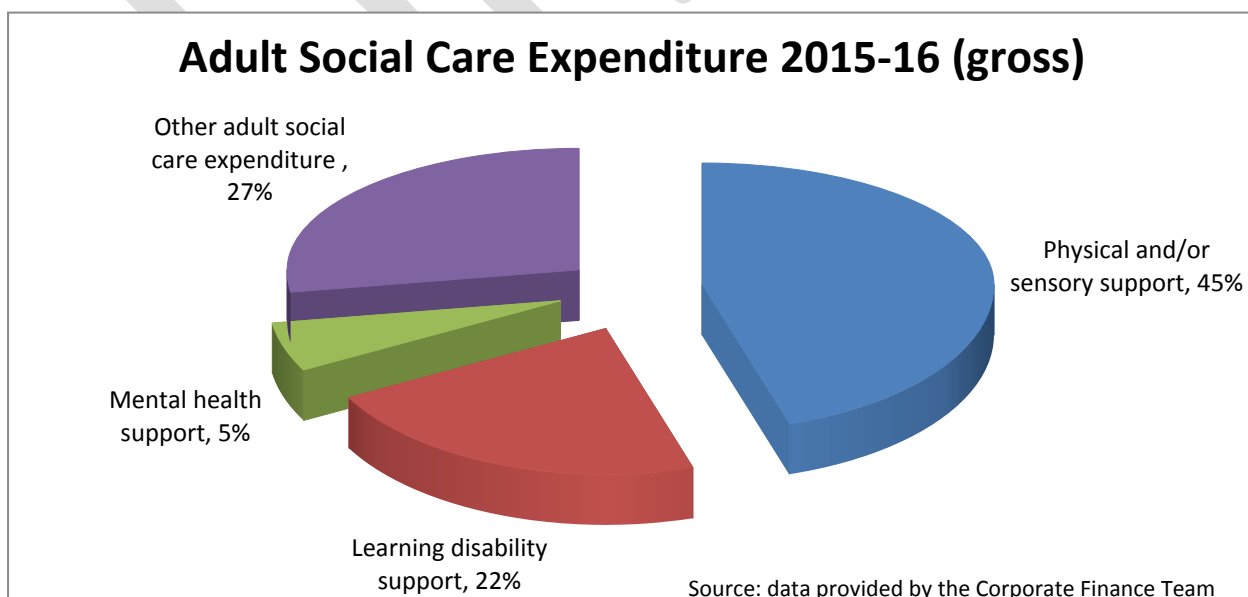
- Everyone in the community can contribute to, and benefit from, creating a better Southend.
- Residents/citizens establish what's important to them.
- Southend-on-Sea Borough Council works with partner agencies to make those things that are important to Southend residents actually happen.
- Agencies continually check out with the community that what we do is in line with what they have decided are the key priorities.
- We all acknowledge that the community knows its strengths and needs best – so we take an asset based approach to our work.
- We all acknowledge that individuals/the community in the first instance are responsible for setting out their agenda and what's important to them, for creating their own solutions, and for meeting their own needs. All of our work supports this principle.
- We work alongside each other – sharing knowledge, skills, and the responsibility for supporting residents to create a better Southend.
- We each have areas of expertise: but we're prepared to flex the boundaries of these and allow people to work across roles/services in order to achieve our overall aim.
- We're committed to working in multi-disciplinary teams of specialists where possible; where not, we work in a joined up way across teams and services with a continuous flow of communication between all parties.

Southend is home to 178,702 residents. Of these, 38,402 (21.5%) are under the age of 18; 106,257 (59.5%) are aged 18-64 and 34,043 (19.1%) are aged 65 and over.



Financial Expenditure

During 2015-16 Southend Borough Council spent £68 million on adult social care. This is 35% of everything the council spends.



Gross Spend for Adult Social Care 2015-16 by Primary Support Reason

Adult Social Care	£'000
Physical support - adults (18–64)	3,484
Physical support - older people (65+)	26,807
Sensory support - adults (18–64)	62
Sensory support - older people (65+)	357
Support with memory and cognition - adults (18–64)	25
Support with memory and cognition - older people (65+)	1,000
Learning disability support - adults (18–64)	13,027
Learning disability support - older people (65+)	1,920
Mental health support - adults (18–64)	2,983
Mental health support - older people (65+)	698
Social support: Substance misuse support	216
Social support: Asylum seeker support	0
Social support: Support for carer	2,235
Social support: Social Isolation	0
Assistive equipment and technology	1,295
Social care activities	6,639
Information and early intervention	287
Commissioning and service delivery	6,966
TOTAL ADULT SOCIAL CARE	68,001

Adult Social Care Services 2015-16

We aim to support people to help themselves, provide a quick and measured response to people who need some limited support and offer support planning and review to those people who have longer term needs.

The Access Team offers advice, information and guidance to carers and people who may need support. They can also offer advice and information to professionals and third parties calling on behalf of a carer, or someone who needs support.

The SPOR (Single Point of Referral) is a multi-disciplinary team which supports people with short term assessment, crisis response and reablement. The team supports people with supporting effective and safe discharges from hospital, minimising admissions into hospital and maximising the opportunities for recovery and enablement.

Since August 2016 the SPOR and Access teams co-located and work at the first point of contact with General Practitioners, nurses, social work professionals and Southend residents.

Adult Social Care Locality Teams generally work with people who have longer term needs – typically, those people who require intensive or prolonged professional involvement. They have statutory responsibilities and work with primary care, community services and local people, to proactively and comprehensively manage local population health and social care needs.

Whilst protecting services for the most vulnerable, the Locality Teams proactively encourage people to help themselves. A cultural shift, from 'I can fix it for you' to 'I will enable you to fix it for yourself' wherever possible.

In **Southend Hospital** there is a team of social workers who undertake needs-led assessments for people aged 18 years and above, who present with a need for care and support. The main aim of the team is to ensure the person returns to their own home in a safe and timely manner. In addition, the initial aim of the care and support provided to the person is through a reablement service to promote their ability to regain their independence.

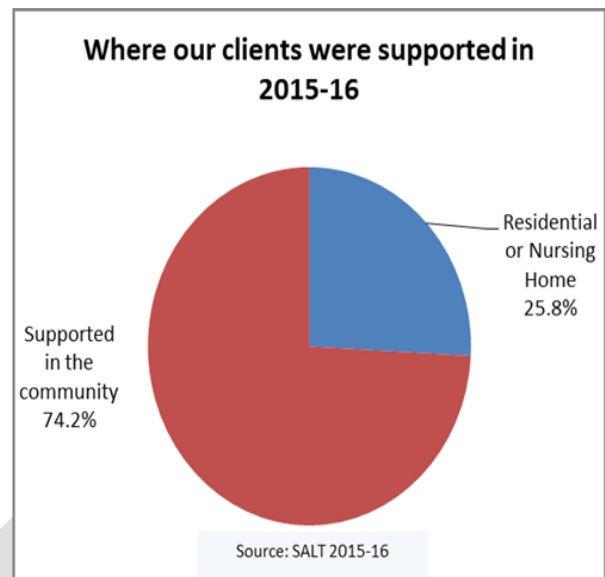
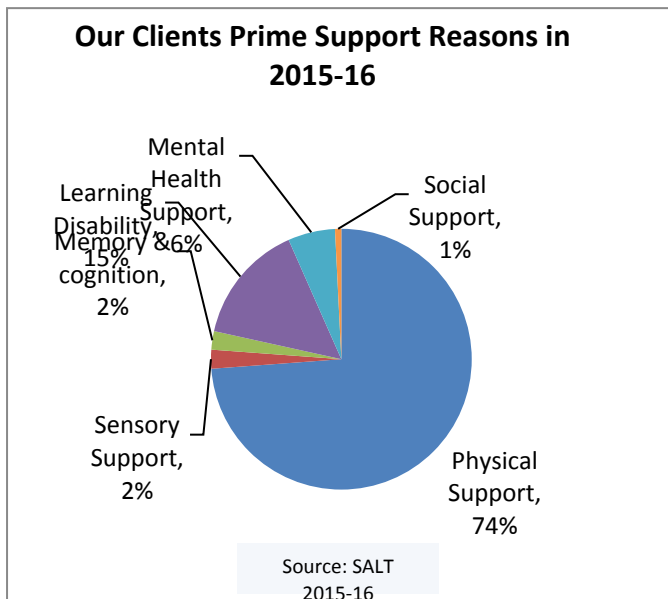
Home care and reablement are services that help residents who would otherwise be unable to live alone, due to illness or disability, live independently. Those most likely to require this type of assistance are those with a limiting long term illness or disability, those with long-term health problems or disabilities living alone, or those with very bad health or limited day to day activities.

During 2015-16 Adult Social Care received a total of 17,025 requests for support into our Access Team and 3,496 referrals from professionals into our Single Point of Referral team.

During 2015-16 the proportion of people who received a short term service to maximise their independence that required no further long term support was 63.1%.

During 2015-16, we supported 3,714 people with long term support, of these 74% were aged 65 or over.

The chart below highlights that the majority of the people supported had a primary support reason of Physical support and 74.2% were supported in the community.



We also received 7,011 new requests for short term support or information and advice, of these 86.9% were from people aged 65 or above.

One of the ways in which we have promoted independence and provided personalised services and given greater choice and control is through the provision of personal budgets and direct payments.

97.1% of people received social care as self-directed support. Self-directed support means people are given choice and control over what kind of support they get.

65.1% of people received social care as a managed budget (this means managed by Southend-on-Sea Borough Council).

32.1% of people received social care as a direct payment.

Meeting Housing Needs

Housing Related Support (HRS) services play an important role in Southend-on-Sea, assisting many vulnerable residents to live independent, healthy lives. It can be provided via accommodation-based services or via floating (visiting) support to an individual's own home. HRS has a broad role and supports a diverse set of client groups, it:

- plays a preventative role, helping avoid unnecessary admission to higher cost settings such as hospital or residential care, as well as preventing homelessness, crime and other factors which will affect someone's health or wellbeing;
- enables people to gain skills that help them sustain daily living in the community: including cooking, healthy eating, managing health conditions, benefits, budgeting and tenancy management, and enjoying life as a member of the community e.g. accessing leisure, education, training and employment;
- is available for a range of vulnerable groups, including people with mental health issues, learning disabilities, physical and/or sensory disabilities, pregnant teenagers, teenage mothers, domestic abuse victims, young people, people who are homeless, ex-offenders, and older people in sheltered housing;
- is, where possible, a route to fully independent living rather than a home for life. There are a number of ways to find accommodation for those who are ready to move on from supported housing.

BOX QUOTE “we are currently supporting approximately 2,500 vulnerable people in Southend to live independent, safe and healthy lives.”

In 2016 the Council changed the commissioning/buying arrangements for **Housing Related Support** throughout the Borough through the development of an Integrated Commissioning team. This new team will ensure a stronger link between the commissioners of specialist services for a particular client group and how the housing services fit in with wider commissioning priorities. The aim of the Housing Related Support programme is to commission/buy high quality services geared towards helping people to establish and maintain their tenancy and to live as independently as possible.

The Adaptations Team deliver home adaptations and accessible housing options to the most vulnerable residents of Southend-on-Sea, improving their independence and meeting their long term housing needs.

The Adaptations Team delivers their service through the guidance of the new Policy for Adaptations and Accessible Housing – 2014.

Adaptations are split into two categories – minor and major. These distinctions are based on the nature of the work required to implement the adaptation, rather than the impact the adaptation will have on the individual concerned. Both minor and major adaptation work can impact significantly on an individual's quality of life. A recent survey shows that approximately 34% of the housing stock has had either major or minor adaptations.

Minor adaptations (typically under £1,000) include ramps, handrails, grab rails and lever taps. Major adaptations (typically over £1,000) require more extensive and complex access

work and include the installation of stair lifts and showers, and bathroom and kitchen conversions.

The Adaptations Team provides a link between the needs of people with physical difficulties and the housing stock we manage. They help support tenants living in the 6,200 social housing properties in Southend-on-Sea. The overall aim is to enable tenants to remain in their home for as long as it is safe and reasonable to do so.

Of the current social housing properties, 24% (1,488) have had major adaptations (at least an adapted shower) and in total 34% (2100) have minor or major adaptations. 90 major adaptations and 144 minor adaptations have been provided for disabled tenants.

We have a policy of recycling existing adapted properties when they become available. This process meets the needs of disabled people where their home cannot be adapted or their circumstances now mean they need adapted accommodation. This is a more efficient way of using the adapted housing stock. During 2015-16, 59 people were best matched with suitable properties - allowing them to live more independently. This helped us avoid costs, leading to savings of approximately £278,000.

During 2015-16 The Adaptation service in Southend-on-Sea was reviewed and is now in the process of change, this will be implemented during 2016-17. The service redesign will deliver the adaptation and accessible housing service to both private residents and social housing tenants within one team.

The cornerstone of the new service is that disabled residents needs are at the centre of the redesign of the service;

- Simplify the process
- Tailor the system to the customer
- Communicate at each stage of the process

"The level access shower has made it much easier to bathe my disabled daughter rather than struggling over the bath" Ms L – May 2016 Adapted home tenant

"Very pleased with my new home, the flat is beautiful" Ms J P – May 2016
Nomination Panel disabled tenant

"The adapted shower and kitchen has made life much easier for me" Ms T –
April 2016 Adapted home tenant.

Delaware House and **Priory House** are two care homes operated by Southend-on-Sea Borough Council for older people.

Delaware House is a 24 bedded Residential Care Home in Shoeburyness. It provides long term care for older people with dementia, especially those with severe level dementia and complex needs.

Priory House is a 28 bedded home to meet the needs of elderly frail people. Within the 28 beds there are 2 respite beds, and 6 'discharge to assess' beds.

Our care homes work closely with colleagues in the NHS e.g. Dementia Nurse Specialists, Dementia Intensive Support Team, District Nurses, GPs etc., working together to continuously improve local services for people.

Delaware House and Priory House are registered with the Care Quality Commission (CQC). The CQC monitor, inspect and regulate Health and Social Care services.

Both Delaware and Priory House were rated as good in recent CQC inspections. A 'good' rating means the service is performing well and meeting expectations.

Supporting People with Dementia

Dementia rates continue to increase both nationally and locally and in Southend-on-Sea we are focusing our efforts on transforming dementia services to enable people with dementia and their carers to truly live well with dementia. We have a variety of services that can offer support for this ambition from pre-diagnosis initiatives through to end of life support and care

Southend-on-Sea has achieved 'Working towards becoming a Dementia Friendly Community' status. A dementia friendly community is described as a city, town or village where people with dementia are understood, respected, supported and confident they can contribute to community life. The status has been awarded thanks to the partnership work of the Southend Dementia Action Alliance (SDAA) which was launched in March 2015 to help the Borough become a 'Dementia-Friendly' town. The SDAA is made up of businesses, services and community groups all working in partnership with the health and social care providers. Southend now has recruited over 3,000 dementia friends and Southend Airport was the first dementia friendly airport in the country.

Pre and post diagnostic dementia support commissioned in Southend-on-Sea include:

A range of dementia support commissioned from the **Alzheimer's Society** which provides information, advocacy, peer support and dementia support to people living with dementia and their carers in Southend-on-Sea. There are also a wide range of activities and groups on offer including support for carers of people with dementia, 'Singing for the Brain' sessions, 'Motivational Men's Groups, information and awareness raising events and peer support.

Dementia Cafés at Leigh on Sea and Southend-on-Sea Providing an informal meeting place for people with dementia and their carers to come together and meet others in a similar situation and receive information and support from staff and visiting professionals. Guest speakers will attend and helpful information is available.

Memory Clinic at Southend Hospital: Runs 4 days a week and is facilitated by a Dementia Support Worker. Clients meet the consultant psychiatrist for the elderly and are also given the option of speaking to the Alzheimer's Society Dementia Support Worker for support, advice and information.

Memory Clinic at Harlands: Clients meet with the Consultant or Dementia Nurses and are also given the option of speaking to the Alzheimer's Society Dementia Support Worker for support, advice and information.

In partnership with the Darby and Joan organisation, we have created **The St Martins Community Dementia Garden**. Based in St Martins Care Home, Imperial Avenue, the sensory garden has been designed specifically for people living with dementia and their carers and has special features such as sensory planting, reminiscence features in the form of a bus stop and post box and sensory water features stimulating sound and touch. The garden is open to visitors on the 3rd Thursday of every month by appointment only. Groups by arrangement at other times. To book an appointment to visit, please call 01702 475891.

We also provide information and support to all providers of dementia care in the Borough through the Southend Dementia Action Alliance and Dementia Friends Initiative.

[INSERT PICTURE OF THE DEMENTIA GARDEN]

Supporting People with Mental Health Needs

We continue to strive to make improvements in the lives of people with mental health issues that live in Southend-on-Sea.

Much work has been focused on working with our local partners across Southend-on-Sea, Essex and Thurrock on the Mental Health 5 year forward view and exploring the development of supported self-management for people with the prospect of new community services and opportunities. It is about commissioning better and more responsive service in the areas where people live and having improved crisis support where people need it. It is also about responding to gaps and commissioning new services where they do not exist locally. We are working with our partners to do this.

In collaboration with Castle Point and Rochford CCG, Essex County Council and a range of community consortium partners **The South East Essex Recovery College** is a wellbeing community that is being established to support people with mental health conditions through an individual recovery journey and supported transition from dependency to longer term self-management.

The service will be offered to those who can step down and out of secondary care as part of a seamless pathway towards recovery, and those who have mental health need whose treatment and management and stabilisation can be achieved without the need for secondary mental health services.

We also commission a range of services for **people with Mental Health needs**, and their carers, to enable people to access advice, guidance, support and advocacy and maximise their independence and choice.

Community Links (Richmond Fellowship) provides individually tailored, one-to-one, and on-going support for individuals to engage in and sustain mainstream activities, in ordinary community settings, alongside other members of the community who are not service users.

Mental Health Supported Accommodation (Richmond Fellowship) is both shared and self-contained accommodation, which is designed to help people move through to more independent living during their recovery journey. People with mental health issues can manage their tenancy, budget successfully, keep safe, learn new life skills to maximise independence, manage their physical health and explore future options, including training, work and learning.

Carers of People with Mental Health conditions (Trustlinks) provides a range of services for carers of people with mental health issues, including information and advice, counselling and a range of groups to participate in.

Mental Health Advocacy (AIM Advocacy In Mind) provides independent advocacy for people with mental health issues which promotes independence and self-advocacy for people who use the service.

Other services available within the Borough

Peer Support (Mind) provides training and support to people with mental health difficulties to become Peer Support Volunteers. Peer volunteers assist other service users to develop their recovery plans and to support them in managing their own care and support arrangements.

Rethink Mental Health Services - Rethink provides services such as self-management courses; community groups; peer groups; work prep course and job club.

In 2015-16, 686 people, aged 18-69 were in contact with secondary mental health services 8.2% were in paid employment, an increase of 3% from 2014-15.

67.5% were in settled accommodation, an increase of 1.4% from 2014-15.

Supporting People with Learning Disabilities

We continue to seek to make improvements in the quality of life of people with Learning Disabilities in Southend-on-Sea.

Much of our focus has been on working with our local partners across Southend-on-Sea, Essex and Thurrock on the Transforming Care Agenda. This is about improving people's lives, to reduce incidence of behaviour that challenges. It is about commissioning better and more responsive services in the areas where people live and having improved crisis support where people need it. It is also about responding to gaps and commissioning new services where they do not exist locally. We are working with our partners to do this. It will create a better overall offer.

A key achievement that we are most proud of this year is the continued improvement in the numbers of Annual Health Checks. Southend-on-Sea has achieved the highest percentage of Annual Health Checks in the East of England. This measure is often taken as showing how good health services are for people with a Learning Disability. We intend to use this to improve health services further and are in a very good position to do this. Our ambition is to ensure that all those eligible receive an annual health check.

Our overall Learning Disability Self-Assessment Framework showed the highest number of Green Rag ratings in 2015 of all areas in the East of England and we will seek further sustainable improvements.

Other key developments this year include the introduction of the Safe Places to Southend-on-Sea. This has created Safe Places for people should they feel vulnerable when visiting the Town Centre. People with Learning Disabilities have set this up. These Safe Places are in a wide range of shops and facilities within the Town Centre. People with Learning Disabilities and Autism (Including Aspergers) can go and make a telephone call if they want to.

During 2015-16, of the people aged 18-64 offered long term support 48% had learning difficulties. Of these

- 10.2% are in paid employment, an increase from 7.2% in 2014-15
- 83.4% live in their own home or with their family, an increase from 81.4% in 2014-15.
- 33% live independently, with or without support

In 2016-17 we will also be strengthening the Southend-on-Sea Learning Disability Partnership and improving the engagement between: people with Learning Disabilities and Autism, providers, and commissioners. It is particularly important that the Learning Disability Partnership links directly to the Health and Wellbeing Board and that there continues to be effective and purposeful activity for people with Learning Disability by all partners.

Supporting people with Autism

The Autism Partnership Board has been set up since early 2015 to improve the lives of people with Autism and Aspergers in Southend-on-Sea. It has a large number of partners on it, including Job Centre Plus and the local police. Its most important members are people with Autism and Aspergers. It is taking a role in overseeing and coordinating action to improve services for people of all ages and is seeking to achieve effective co-production through regular discussion. The Board will also oversee the development of a joint local Autism Strategy with Health partners.

The Autism Partnership Board has a number of strategic priorities that we are working on first. These are: Diagnosis and support; Training; and employment.

Advocacy Services

We commission advocacy services to ensure that older people or those with physical or learning disabilities or mental health needs can access independent assistance, to ensure that their interests and wishes are represented. Information on how to find advocacy support can be obtained through social workers or through our information website: www.southendinfopoint.org. In 2016 we are working with partner agencies to commission one over-arching advocacy service, to provide advocacy for vulnerable people and their carers, in order to simplify the referral process. Advocacy will also be available to children and young people in the Care System and to children with disabilities.

Support for Carers

A carer is someone who provides unpaid care for a friend or family member with an illness or disability, where the individual cannot cope without their support.

In 2015-16, we reviewed the provision of carers services and carried out extensive consultation with carers, providers and key stakeholders. The feedback from this has highlighted opportunities to:

- Improve information, advice and guidance for carers
- Improve the quality and range of options around respite provision
- Review carers assessment processes
- Empower carers to leverage their strengths and make use of local assets

As a result of this work, we are remodelling the adult carers provision in Southend.

We have also identified the need for better quality data on carers and we have worked hard to gather more robust information on carers over the last year. Emerging figures for 2015-16 suggest that we have been able to reach many more of our unpaid carers. Here are a few example of how carers have been supported over the last year.

The Southend Carers Forum provides counselling, advice, online support, group meetings and a helpline for carers.

During 2015-16 139 new carers joined Southend Carers Forum. 1,893 carers received support via the Helpline/Drop In and 987 carers received Outreach support. 37 support groups were run. 35 Young Adult carers received support via 43 group sessions.

The Carers Emergency Respite Scheme (CERS) The aim of this free service is to provide carers with peace of mind if they are suddenly taken ill or find themselves unable to return home, as might happen if they are admitted into hospital.

Carers register with the scheme and are supported to create an emergency plan for such situations. If the Emergency Contacts are unavailable, trained and experienced care workers are then mobilised to provide up to 48 hours of support or 72 hours support over a Bank Holiday, enabling the individual receiving care to remain in their own home and avoiding admission into a residential setting.

During 2015-16 339 carers were registered and 187 care worker hours were provided across 7 emergency call outs.

Services for carers of people with dementia provide a range of specialist support including peer support groups, advice and guidance for carers of people with dementia.

Carers Breakthrough is our specialist provision for carers of people with enduring mental illness. The offer includes counselling, one-to-one listening services and relaxation classes.

During 2015-16 172 carers made contact with the service. 72 carers (including 26 new clients) received 1059 counselling sessions, 43 yoga/relaxation sessions were held and 27 support group sessions were run.

Carers Flexi breaks is currently offered free to any carer who is a Southend-on-Sea resident and provides more than 21 hours of unpaid care each week. This scheme provides up to 30 hours of sitting services for such carers without recourse to a social care assessment.

Prescription Breaks are like the Carers flexi breaks, carers living in Southend-on-Sea and providing more than 21 hours of care each week are eligible for this free service.

During 2015-16, 2031 hours of support were provided across 771 breaks for 97 carers via Flexi and Prescribed breaks.

Hospice at Home is a specialist service for carers of people who are in the later stages of terminal conditions. It provides 24/7 information, advice and emotional support for these carers and the provision of carer respite during this period.

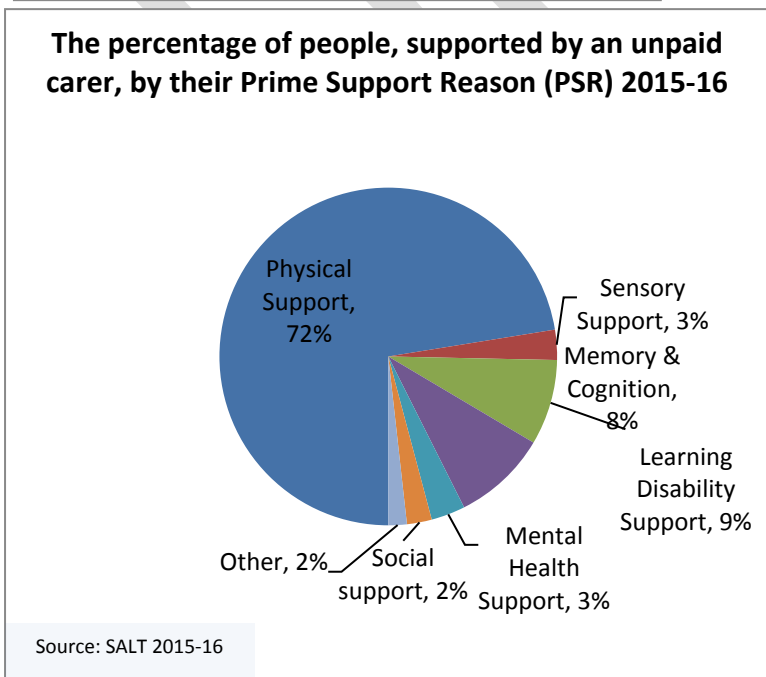
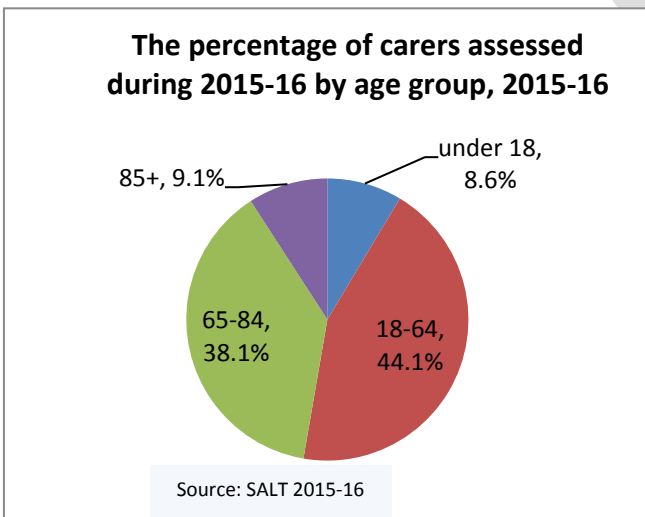
During 2015-16 91 carers received 1,176 hours of support across 333 breaks from Hospice at home.

Carer Assessments

At Southend, we recognise and value the work undertaken by unpaid carers in our community and make sure they and the people they care for are supported to live as independently as possible.

During 2015-16 we assessed 2,561 carers, either jointly with the person they care for, or on their own. The following charts show the ages of our carers and the prime support reason of the person(s) they care for. The largest proportions of carers are aged 18-64. 91.3% are over the age of 18, with 47.2% over the age of 65.

Of those, who are supported by an unpaid carer, 72.5% have a prime support reason of physical support.



27.8% of carers assessed were given advice and information or signposted to organisations to assist those in their chosen outcomes and 23.5% were supported with a direct payment.

Adult carers views are captured in a biennial national survey held by the Health & Social Care Information Centre (HSCIC) – Results from the 2014-15 survey are available on the HSCIC website at <http://www.hscic.gov.uk/catalogue/PUB18423>

The survey covers informal, unpaid carers aged 18 and over, where the carer has been assessed by Adult Services, to seek their opinions on a number of topics that are considered to be indicative of a balanced life alongside their caring role. Findings of the survey are used to populate a number of national measures in the Adult Social Care Outcomes Framework (ASCOF) which can be found at the following website <http://ascof.hscic.gov.uk/>. The next carer's survey is due in 2016-17.

Support at 'End of Life'

People who are nearing the end of their life are entitled to high quality personal care wherever they are being cared for. It is important that their wishes are respected and they are involved in decisions about their care, whenever possible. Care should be focused on maintaining the person's comfort and dignity, and any symptoms they have should be managed.

Gold Standard Framework Trial for Care Homes: Southend-on-Sea Borough Council and Southend CCG are working together to empower care homes to support more people to end their days at home, if this is their wish. We are funding Gold Standard Framework training for five care homes that will then be evaluated to see how we can further develop End of Life support for residents.

Macmillan GP: Macmillan Cancer Support and Southend CCG are joint funding a Macmillan GP that will work with primary care across the Borough to improve services for people with cancer and those who are at end of life.

Serious Illness Conversations: Southend CCG is one of only two CCGs within the UK to participate in an NHS England trial of an approach to support GPs when diagnosing people with serious illnesses.

3. Monitoring and accountability

Healthwatch England

Healthwatch England is the national consumer champion for people who use health and social care services. It was set up as part of the changes to the way the NHS and social care services are run. It represents the views of the public to improve services nationally. Each local Healthwatch is independent of the NHS and local authorities.

Healthwatch Southend

Healthwatch Southend is a health and social care consumer champion for the residents of Southend-on-Sea. They are commissioned by Southend-on-Sea Borough Council using funding provided by the Department of Health and are a confidential, independent and free service for all Southend residents and anyone receiving health or social care services within the Borough.

Healthwatch Southend gives a voice to all the people of Southend-on-Sea; adults and children. It offers a range of services to the people of Southend, including:

- advocacy support for people who wish to raise a concern or complaint about NHS services and who would like help to do so
- information and advice about health and social care services in the area
- improving services by gathering views and passing them on to the people who commission local providers

If repeated concerns are received, Healthwatch can influence both the organisations delivering health and social care services and those that pay for them. Healthwatch researches trends in poor service and reports their findings to Healthwatch England to influence the Department of Health and NHS England. At a local level they report research findings to the people who make the decisions about health and social care, such as the NHS Clinical Commissioning Group (CCG), the hospital, and Southend-on-Sea Borough Council.

Southend Health and Wellbeing Board

There is a Health and Wellbeing Board in each council to oversee the aim of improving the overall health and wellbeing of the population, and reducing health inequalities.

Southend Health and Wellbeing Board (HWB) has increased its strong leadership in the past year, effectively responding to recommendations from a Local Government Association Peer Review follow up in July 2015, by focusing on five “Big Ticket” priorities for the Borough and prioritising quality time for strategic discussions to address health and care system challenges and opportunities.

The HWB Board has established, and regularly monitored, a set of performance indicators which have driven forward progress for the three “Broad Impact Goals” within the Health and Wellbeing Strategy refresh for 2016, these being;

- a) Increased Physical Activity (prevention of ill health);
- b) Increased aspiration and opportunity (addressing inequality);
- c) Increased personal responsibility and participation (sustainability).

The Broad Impact Goals have helped the Board to ‘add value’ to the core ambitions of the first Health and Wellbeing Strategy.

A robust decision making structure is in place and the Health and Wellbeing Board is now looking to develop priorities for a longer term Health and Wellbeing Strategy up to 2020, which will be informed by a recently completed Joint Strategic Needs Assessment (JSNA) as well as messages and feedback from public and stakeholder engagement in the past year.

Complaints and Compliments

The total number of complaints received by the Council regarding adult social care during 2015-16 was 176. There has been a steady upward trend in the number of complaints being received by the Council (6% up on 2014-15).

Financial year	2013-2014	2014-2015	2015-16
Number of complaints	136	166	176

This trend reflects the nationwide picture as outlined in the Local Government Ombudsman’s ‘Annual Review of Local Government Complaints’ (2015-16) which highlights a 6% rise in complaints and enquiries received by them. Reasons cited for this upward trend include the impact of declining resources on council services and growing willingness of the public to make complaints.

Compliments were also received, with numbers shown below.

Financial year	2013-2014	2014-2015	2015-16
Number of comments and compliments	470	407	341

Lessons Learnt and Service Improvements

Whilst responding to feedback in a timely manner it is important for the Council to reflect on lessons learnt and improving outcomes. Examples of service improvements undertaken throughout the year as a result of customer feedback include:

- Procedures were improved to ensure that care providers have a clearly defined retention and disposal policy - a copy of which is sent to the contracts team for review;
- The hospital discharge pack provided by the Hospital Social Work Team was improved;
- The contracts team have strengthened their contract monitoring of care providers to ensure any issues are highlighted and addressed earlier. There is also more focus within the contract monitoring meetings on late/missed visits and complaint response timescales.

DRAFT

4. Our Partnership Approach - Integrated Pioneer Pilot Status

We are continuing to develop our well-established culture of partnership working amongst health, social care, clinical commissioners, Southend Hospital, and a range of local public, private and voluntary sector partners. This enables us and our partners to maintain **integrated health and social care Pioneer status**. In 2013 just 14 Pioneer sites across the country were chosen to showcase innovative ways of creating change in the health service in order to bring services closer together. In January 2015 a further 11 sites were selected as Pioneers, bringing the total to 25. The ambitious plans we have developed in Southend-on-Sea will mean better support at home and earlier treatment in the community to prevent people needing emergency care in hospital or in care homes.

The ambitions of local partner organisations are brought together in our Joint Health and Wellbeing Strategy. The strategy is owned, regularly refreshed and driven forward by the Health and Wellbeing Board. Within the strategy all partners are committed to:

- listen to the voice of people who use our services
- share a vision about the priorities for local services
- commit to continuing development of integrated work
- reflect the Joint Strategic Needs Assessment (JSNA) for the population of Southend
- contribute to the wider vision for communities shared with partner commissioners
- shape other local commissioning plans to enable integration of services and pathways
- integrate planning so that local resources are used to better effect

There are many examples of our integrated approach that people living in Southend-on-Sea may already have seen as well as many behind the scenes changes that make providing services easier:

- we continue to build upon an Integrated Care Commissioning team between the council and the CCG
- we continue to develop Multi-Disciplinary Teams working across the Borough and focused around GP practices
- the impact has been that we were the first in the country to link and share health and social care data to identify those patients that had slightly more complex needs than others in the community
- a social worker team has been established at the hospital to ensure patients in need of social services receive them at the right time and in the right place
- the way we manage hospital discharge is considered national best practice

- we have recently commissioned a 'discharge to assess' service which is helping to ensure patients discharged from hospital have the right packages of care delivered in the most appropriate place
- we have recently commissioned an overnight support service which supports residents for a short period of time at home and overnight during a time when they might otherwise have been admitted to hospital.

DRAFT

5. Adult Social Care Outcomes

The Adult Social Care Outcomes Framework (ASCOF) is used both locally and nationally to set priorities for care and support, measure progress and strengthen transparency and accountability.

The ASCOF was first published in March 2011 and is updated annually in partnership with local government. Since its introduction ASCOF has been strengthened year on year with the addition of new measures and clearer definitions, reflecting the Department of Health and local government's key priorities for social care. For more information visit <http://ascof.hscic.gov.uk/>

The Table below shows Southend's performance against the Adult Social Care Outcomes Framework 2015-16.

ASCOF Indicators - 2015-16						
Domain 1	Enhancing quality of life for people with care and support needs	Southend-on-Sea			National	
		2013/14	2014/15	2015/16	2015/16	
1A	Social care-related quality of life	18.8	18.8	18.9	3	19.1
1B	Proportion of people who use services who have control over their daily life	73.8	76.6	75.8	3	76.6
1C(1A)	The proportion of people who use services who receive self-directed support	75.4	97.6	97.1	2	86.9
1C(1B)	The proportion of carers who receive self-directed support	x	8.8	19.6	4	77.7
1C(2A)	The proportion of people who use services who receive direct payments	x	30.9	32.1	2	28.1
1C(2B)	The proportion of carers who receive direct payments	x	3.6	19.6	4	67.4
1E	Proportion of adults with a learning disability in paid employment	8.9	7.1	10.2	1	5.8
1F	Proportion of adults in contact with secondary mental health services in paid employment	6.8	7.2	9.2	1	6.7
1G	Proportion of adults with a learning disability who live in their own home or with their family	81.9	81.4	83.4	2	75.4
1H	Proportion of adults in contact with secondary mental health services living independently with or without support	70.4	70.3	67.2	2	58.6
1I(1)	The proportion of people who use services who reported that they had as much social contact as they would like	42.1	45.1	44.1	3	45.4
Domain 2	Delaying and reducing the need for care and support	Southend-on-Sea			National	
		2013/14	2014/15	2015/16	2015/16	
2A(1)	Long-term support needs of younger adults (aged 18-64) met by admission to residential and nursing care homes, per 100,000 population	5.7	11.3	12.2	2	13.3
2A(2)	Long-term support needs of older adults (aged 65 and over) met by admission to residential and nursing care homes, per 100,000 population	633.8	831.0	669.7	3	628.2
2B(1)	The proportion of older people (aged 65 and over) who were still at home 91 days after discharge from hospital into reablement/rehabilitation services	80	77.4	87.4	2	82.7
2B(2)	The proportion of older people (aged 65 and over) who received reablement/rehabilitation services after discharge from hospital	2.8	2.5	1.8	4	2.9
2D	Outcome of short-term services: sequel to service	x	68.4	70.1	3	75.8
2C(1)	Delayed transfers of care from hospital, per 100,000	5	6.6	6.4	1	12.1
2C(2)	Delayed transfers of care from hospital that are attributable to adult social care, per 100,000 population	1.8	1	1.2	1	4.7
Domain 3	Ensuring that people have a positive experience of care and support	Southend-on-Sea			National	
		2013/14	2014/15	2015/16	2015/16	
3A	Overall satisfaction of people who use services with their care and support	61.1	60.2	59.8	4	64.4
3D(1)	The proportion of people who use services who find it easy to find information about support	78.6	75.6	73.5	3	73.5
Domain 4	Safeguarding adults whose circumstances make them vulnerable and protection from avoidable harm	Southend-on-Sea			National	
		2013/14	2014/15	2015/16	2015/16	
4A	Proportion of people who use services who feel safe	69.1	70.0	66.1	4	69.2
4B	Proportion of people who use services who say that those services have made them feel safe and secure.	79.4	87.4	86.0	2	85.4

6. Safeguarding – ‘supporting people to live lives free from abuse’

The work of the **Southend-on-Sea Safeguarding Adults Board (SAB)** supports adults who have care and support needs and who therefore may be unable to protect themselves from abuse.

The SAB is made up of a wide range of public sector organisations both from the statutory and voluntary sectors. The purpose of the Board is to ensure that organisations from around the Borough work together in partnership, to help reduce the risks of abuse and prevent adults being subject to abuse. The Board also ensures that organisations work in a coordinated way to safeguard adults with support and care needs when abuse or neglect is identified.

Strategic links have been developed and enhanced between the Local Safeguarding Children’s Board, the SAB, the Health and Wellbeing Board and the Community Safety Partnership, which has resulted in the sharing of best practice and assurance that the agendas and priorities of the respective boards contribute to the central aim of improving safety.

Safeguarding Adults works collaboratively with the Public Health Team to deliver outcomes that improve wellbeing and reduce the impact of abuse and violence.

The SAB also leads work in the community aimed at raising awareness about abuse, preventing abuse and supporting those who have been harmed by abuse.

Deprivation of Liberty Safeguards

The Deprivation of Liberty Safeguards (DoLS) are part of the Mental Capacity Act 2005. They aim to make sure that people in care homes, hospitals and supported living are looked after in a way that does not inappropriately restrict their freedom. The safeguards should ensure that a care home, hospital or supported living arrangement only deprives someone of their liberty in a safe and correct way, and that this is only done when it is in the best interests of the person and there is no other way to look after them.

The Local authority is the ‘Supervisory Body’ for all Southend-on-Sea and self-funding residents in care homes. As of 1 April 2013, we assumed responsibilities as Supervisory Body for all Southend-on-Sea local authority/Southend Clinical Commissioning Group funded and self-funded people within long stay and acute hospitals. Since 2009, we have also been the Supervisory Body for people placed in care homes and hospitals outside of Southend-on-Sea.

Nationally, local authorities have experienced an increase in DoLS referrals, following a landmark Supreme Court Judgement in March 2014. During 2015-16, the Council received 619 applications from care homes and hospitals. This represents a 54% increase in referrals

from 2014-15. As a result of this we have ensured that additional resources are in place to meet the increase in referrals.

Keeping Safe

'Keep Safe' is an example of how people aged 16+ are being safeguarded in Southend on Sea. Children's Services, the Safeguarding Adults Board and the Safeguarding Children's Boards have funded the pilot year of Keep Safe which launched in 2016. Keep Safe is a scheme to support people aged 16+ who have a learning disability and access the community independently. The scheme is facilitated by SHIELDS Parliament, a self-advocacy group supported by Basildon and Thurrock Independent Advocacy Service (BATIAS). Local businesses are identified and sign up to the scheme by agreeing to provide use of a telephone in a public area for a person who may be experiencing an emergency or who are in distress. Participants in the scheme would look for the yellow and black telephone sticker in the shop window. Using the emergency number card or fob provided, the person themselves would call their carer or parent. If required, the shop would assist or call the police if needed. The scheme aims to support people to reduce the feelings of fear or agitation in accessing the community alone.

PREVENT

We have assumed new responsibilities in assisting the Government to prevent vulnerable people being drawn into terrorist activity. Our new duties are part of the PREVENT Strategy.

The PREVENT Board is a multi-agency initiative chaired by the Department of Place, supported by Adult and Children's Services. We have set up CHANNEL Panels, which are a convened group of safeguarding professionals, representative of statutory services who can assist in supporting a person who is or is at risk of being radicalised.

Domestic Abuse

Adult Social Care is a key partner in the delivery of domestic abuse support in Southend-on-Sea. Adult Social Care has a duty to support people with care and support needs who may be experiencing domestic abuse.

In 2015-16 we have commissioned training around a variety of topics e.g. inter-generational abuse, forced marriage and honour based abuse.

Adult Social Care is a key partner in the development of the new Multi-Agency Risk Assessment Team (MARAT) which went live in June 2016. MARAT will provide a localised response to high risk domestic abuse in terms of information sharing, safety planning and decision making.

7. Improving Support through Consultation and Involvement

As part of the statutory duty to consult and the wider commitment to engage with service users and stakeholders we have conducted a wide range of consultations and engagement activities within adult social care in 2015-16.

The Crisis Care Concordat, made up of stakeholders from South Essex, commissioned a review of personal and carer experiences of crisis mental health support in Southend-on-Sea which has fed into the development of a South Essex action plan to improve crisis care.

Prior to the development of an improved model for carers' support in Southend-on-Sea both carers and those cared for were asked their view on what needed to improve and how best to support carers in their role. Through face to face engagement and group workshops a consultation was developed to help shape the future service.

Local authorities also have a statutory duty to carry out a sample survey of all users of adult social care services. The results from this survey feed into the ASCOF framework mentioned earlier and the measures within the framework can be found at the following website; <http://ascof.hscic.gov.uk/>

Early findings from the Adult Social Care Users Survey

Generally there is a very slight decline across all but one of the ASCOF measures that relate to the survey relative to last year, however we remain in line with the national benchmark for most of the measures.

Summary of Adult Social Care Outcomes Framework measures (2015-16 FINAL)

Weighted Results

	Southend-on-Sea		National
	2014/15	2015/16	2015/16
1A: Social care-related quality of life	18.8	18.9	19.1
1B: Proportion of people who use services who have control over their daily life	76.6	75.8	76.6
1I(1): The proportion of people who use services who reported that they had as much social contact as they would like	45.1	44.1	45.4
3A: Overall satisfaction of people who use services with their care and support	60.2	59.8	64.4
3D(1): The proportion of people who use services who find it easy to find information about support	75.6	73.5	73.5
4A: Proportion of people who use services who feel safe	70.0	66.1	69.2
4B: Proportion of people who use services who say that those services have made them feel safe and secure.	87.4	86.0	85.4

8. Plans for 2016-17

Transforming Adult Social Care

During the course of 2016-17 we will be building on our existing integrated service provision by developing our integrated teams. Our aim is to align our adult social care workers with health colleagues across four Localities in Southend on Sea. These integrated teams will be at the centre of communities to support, signpost and care for people. We want to ensure that people only have to tell their story once because their care is integrated. An example of this is our GP/community social worker pilot which aims to develop stronger partnerships between GP Practices, primary care services and the wider community. The pilot specifically focuses on bringing people together to reduce isolation as well as signposting and giving advice, information and guidance as needed.

We want to make sure that our social work teams have exactly the right knowledge and skills to support people in the community to be as independent as possible. We are strong advocates for people to remain in their own homes rather than in institutional types of care.

Transforming Care

During 2016-17 we will be continuing our work around the Transforming Care agenda with our partners across Southend-on-Sea, Thurrock and Essex. One element of this is around improving support for behaviour that challenges, both preventing it and working with people who have behaviour that challenges. This is about the ability of providers to respond better to the risk of behaviour that challenges in relation to people with learning disabilities and autism and mental health problems. Transforming Care is also about making sure that services are supportive and preventative in the early years and through to adulthood.

Southend Care Ltd.

In 2015 the Council established Southend Care Ltd, a local authority trading company. From April 2017 Southend Care Ltd. will manage Delaware House and Priors House adult care homes and the Viking Learning Disability Day Centre and will lead improvements in social care across the Borough's care economy. Also sitting within Southend Care Ltd. will be Project 49 Day Opportunities, Spencer House, START (Southend Therapy and Recovery Team), Shared Lives, Employment Service and (new service) Domiciliary Care.

South Essex Recovery College

REACH (Recovery, Empowerment, Achievement, Community and Hope) is the name of the new Recovery College that is being piloted across South East Essex during 2016-17. REACH is co-produced and co-lead with people who have lived experience and aims to provide psycho-educational courses and self-management tools for people with on-going mental health issues. As well as a range of courses there will be an active and peer led student union that will offer both support and social opportunities.

Integrated Market Position Statement

The Market Position Statement sets out how Southend's Clinical Commissioning Group and ourselves will work together to commission community care services going forward. In doing so it confirms our strategic vision for care provision and gives providers a steer of how to shape their business. The Market Position Statement is not a statutory document, but it will show how we intend to deliver statutory requirements as set out in the Care Act. It is the start of our commitment to market facilitation. Namely:

- facilitate and shape the market
- focus on outcomes and wellbeing
- promote quality, including workforce development
- support sustainability and ensure choice and
- market oversight and market failure

From our perspective, the term 'market' is used to refer to those people who live in Southend-on-Sea who are entitled to adult based community care services. Moving forward, our commissioners will work with providers to better understand what 'their' market is as we are aware that the two interpretations may not be the same - our providers will also include people coming from out of borough.

In a world where there is not a 'one size fits all' approach to service provision, we will look at the person beyond the condition and work with them, their families, carers, peers, operational staff and providers to offer the right services at the right time for the right cost – our commitment to effective stakeholder engagement will shape future services and our commitment to advocacy will help people to pick the services which are right for them.

We will make sure everyone with an assessed level of need has a personal budget with the opportunity to receive Direct Payments. In our Market Position Statement, we highlight the importance of personalised services and put the citizen at the heart of not only the care package, but also its development; we encourage providers to develop preventative community focused services rather than costly institutional ones that cannot deliver the benefits of community based support.

Moving forward, we intend to produce more detailed client specific chapters, to be refreshed on an ongoing basis, in order to keep providers up-date with our developing vision for provision of services in Southend-on-Sea.

Service Objectives for 2016-17

During the Autumn/Winter of 2015-16 we prepared our corporate priorities, commissioning intentions and service plans for the 2016-17 financial year. The following areas were highlighted as key service objectives for the 2016-17 period:

Maintain excellent safeguarding services for vulnerable people. Further integrate commissioning and delivery of adult social care and health services:

- Commissioning
 - Service delivery
 - Prevention and Engagement
 - ICT
- Ensure that people about whom safeguarding concerns are raised have a timely and coordinated multi-agency response when required.
 - Continue to support people to live independently in their own homes for as long as possible.
 - Maintain frontline housing related support services for vulnerable people.
 - Deliver more affordable housing options in the Borough.
 - Encourage the use of green technology for any new affordable homes built in the Borough.
 - Promote the improvement in quality of the existing stock achieving decent, healthy & environmentally sustainable homes across all tenures.
 - Promoting greater accessibility to different types of housing, promoting independent living for vulnerable groups and continuing work to prevent homelessness.
 - Deliver the national drugs strategy.
 - Deliver the implementation phase of the Better Care Fund.
 - Contributing to the growth and development of a robust economy in the town.

Useful Contacts

Adult Social Care
www.southend.gov.uk
Tel: 01702 215008

Alzheimers Society
www.alzheimers.org.uk
Tel: 01702 345156.
Email: southend@alzheimers.org.uk

Ask SAL
Tel: 08452 66 66 63
www.asksal.org.uk

Carers Emergency Respite Scheme (CERS)
CERS Co-ordinator
Ashley Care LLP
22 Pembury Road
Westcliff on Sea
SS0 8DS
Tel: 01702 348142

Carers of People with Mental Health conditions (Trustlinks)
Tel: 01702 213134
Email: office@trustlinks.org
www.trustlinks.org

Citizen Advice Bureau
1 Church Road
Southend on Sea
SS1 2AL
Tel: 0344 477 0808
www.citizensadvicesouthend.org.uk

Community Links (Richmond Fellowship)
Tel: 01702 431177
www.richmondfellowship.org.uk/

Dial-a-ride Southend
Tel: 01702 212212
www.southend.gov.uk/info/200340/travel_information/39/dial-a-ride

Mental Health Advocacy (AIM Advocacy In Mind)

Tel: 01702 601123

Email: Aimatthurrockmind.org.uk

www.thurrockmind.org.uk

Mental Health Supported Accommodation (Richmond fellowship)

Tel: 01702 352192

www.richmondfellowship.org.uk/

Rethink Mental Health Services

Tel: 01702 330267

www.rethink.org

REACH - Recovery College

Tel: 01702 213134

Email: recoverycollege@trustlinks.org

SHIELDS (Supporting, Helping, Informing Everyone with Learning Disabilities in Southend)

Tel: 07503 059 730

Email: info@shieldsparliament.co.uk

Southend Association of Voluntary Services (SAVS)

29-31 Alexandra Street

Southend-on-Sea,

SS1 1BW

Tel: 01702 356000

www.savs-southend.org

Southend-on-Sea Borough Council Adult Social Care

Tel: 01702 215008

Southend's SHIP Directory (information point and directory of services)

www.southendinfopoint.org

Southend Hospital

Prittlewell Chase,

Westcliff-on-Sea,

SS0 0RY

Tel: 01702 435555

www.southend.nhs.uk

Southend Mencap

100 London Road

Southend-On-Sea
Essex SS1 1PG
Tel: 01702 341250
www.southendmencap.org.uk

Southend MIND
Tel: 01702 601123
Email: office@SEandCEssexMind.org.uk
www.southendmind.org.uk/

South Essex Homes Ltd.
Civic Centre,
Victoria Avenue,
SOUTHEND-ON-SEA,
SS2 6FY
Tel: 0800 833160
www.southessexhomes.co.uk

DRAFT

GLOSSARY

Adult Social Care	Personal care and practical help for adults who have care or support needs due to age, illness or disability to help them live life as independently as possible.
Advocacy	An independent process which supports and enables people to express their views about their needs and choices.
Adult Social Care Survey	An annual questionnaire that seeks to gain an understanding of service users' views and experiences of adult social care. It seeks feedback from service users about how adult social services have affected their lives. This feedback and experience from service users is crucial information for improving adult social services.
Assessment	An assessment is the process by which the Council gains an understanding of a service user's level of need. It will involve asking the service user a series of questions, following which a financial assessment may also take place to determine whether funding can be provided
Asset-Based Community Development	An approach based on the principle of identifying and mobilising individual and community 'assets', rather than focusing on problems and needs.
The Better Care Fund	A pooled fund between Health and Social Care that facilitates the delivery of joined up local services.
Carer	Somebody who provides support, or who looks after a family member, partner or friend who needs help because of physical or mental illness or disability.
Clinical Commissioning Group (CCG)	A CCG is a group of GPs and clinicians which commissions (buys) health services for their local communities.
Commissioning	The process of identifying what services or products are needed, acquiring them and ensuring that they meet requirements.
Community-based services	Care and support services provided in the community rather than in hospital or residential homes.
Community Recovery Pathway	An approach which will deliver appropriate services in the right place at the right time which will enable a seamless navigation through the system for Southend residents, families and carers.

Dementia	A syndrome (a group of related symptoms) associated with an on-going decline of the brain and its abilities.
Direct Payment	Money payment made to people who need care following an assessment, to help them buy their own care or support and be in control of those services.
Deprivation of Liberty Safeguards (DoLs)	DoLs are part of the Mental Capacity Act 2005. They aim to make sure that people in care homes, hospitals and supported living are looked after in a way that does not inappropriately restrict their freedom.
Discharge-to-Assess beds	In Southend we have developed 6 residential care beds into discharge-to-assess beds to enable safe transfers from hospital and support adults who need a short period of reablement, ideally to get them back to their own homes and live as independently as possible;
Domiciliary Care	Personal, domestic, or nursing care provided for people at home rather than in an institution.
Equipment and Adaptations	Specialist items provided to people following an assessment by an occupational therapist or physiotherapist.
Extra care housing	Self-contained homes with design features and support services available to enable self-care and independent living for those requiring higher levels of care than supported living schemes.
GP (General Practitioner)	A doctor who looks after the health of people in their local community.
Health and Wellbeing Board	A group of key leaders from local health and care organisations, with the remit to work together to improve the health and wellbeing of their local population and reduce inequalities.
HealthWatch	A consumer champion for health and social care; intended to give service users a greater voice in decisions about local care and health services.
Harm	Harm to an adult at risk can include physical, psychological, sexual or financial harm by another person, paid/unpaid carer or institution.
Home care	Help at home from paid carers for people with care and support needs.

Integrated care	Care and support provided jointly by health and social care services.
Integrated Pioneer	A Government awarded status for local health and social care systems that are designing new ways of delivering coordinated care.
Joint Strategic Needs Assessment (JSNA)	An assessment of the health and social care needs of a local population.
Learning Disability Partnership Board	The Learning Disability Partnership Board champions the needs of people with learning disabilities in the local community. It is responsible for supporting people with learning disabilities to lead active, independent and full lives.
Local Account	The Local Account summaries what adult social services have done over the past year. It assesses how successful adult social services have been and outlines the future priorities.
Market Position Statement	The Market Position Statement outlines the commissioning priorities for adult social care services, and highlights the key factors influencing developments in the care market. It looks at demand, supply and our commissioning intentions, so that we can support our current and future providers to develop quality care services.
NHS England	The public body that oversees the budget, planning, delivery and day-to-day operation of the commissioning (purchasing) part of the NHS.
Nursing care	Care carried out or supervised by a qualified nurse, including injections and dressings, paid for by the NHS.
Outcome	End result, change or benefit for an individual who uses social care and support services or takes part in other community activities.
Personal Assistant	A person who is employed by an individual with care or support needs. The services of personal assistants can be bought directly by service users, making service become delivered in a person centred way.
Personal budget	Money allocated to someone who needs support, where the money comes from the Council's social care funding.

Primary Care	As many people's first point of contact with the NHS, around 90 per cent of patient interaction is with primary care services. In addition to GP practices, primary care covers dental practices, community pharmacies and high street optometrists.
Procurement	Where commissioning is the process that identifies what services are required, procurement is the process of identifying the best provider to meet that requirement.
Public Health	The Department within Southend Council concerned with changing and preventing harmful behaviours to improve wellbeing.
Reablement	Supports service users to regain and develop the confidence and skills to safely and independently live at home. It provides service users with help to perform certain tasks such as personal care and daily living.
Review	Regular evaluation of a person's needs to make sure their care and support plan is personalised and meets their needs.
Safeguarding	Protecting a vulnerable person's health, wellbeing and human rights, and enabling them to live free from harm, abuse and neglect.
SBC (Southend-on-Sea Borough Council)	The local authority with responsibility for the Borough of Southend-on-Sea.
Secondary Care	Secondary care refers to health services provided by medical specialists who generally do not have the first contact with a patient and patients are usually referred to secondary care by a primary care provider such as a GP.
Self-Directed Support	Support that means people are given choice and control over what kind of support they get. It means that people can choose and arrange some or all of their own support, instead of having it chosen and arranged by other people.
Solution	The meeting of an individual's needs.
Specialised Support	High-level health and social care support.
Stakeholders	A person, group or organisation that has interest or concern in an organisation.
Telecare	Telecare services use technological equipment, devices and services to help users live more independently at home (e.g. fall sensors and safety alarms).

Transition	When young disabled people move from childhood to adulthood.
Wellbeing	Health and happiness.

We welcome feedback, which will help us to continuously improve the information we provide in the document. If you would like to comment on our Local Account, please contact the Department for People on Tel: 01702 215008 or E-mail council@southend.gov.uk. You can use these contact details to request a copy in an alternate format, such as audio, large print or a translated version.

DRAFT

Southend-on-Sea Borough Council

Report of Corporate Director for People

to
Cabinet

on

8th November 2016

Report prepared by: Sharon Houlden
Head of Adult Services and Housing

Agenda
Item No.

Sheltered Housing Review and Review of Housing Need of Older People

People Scrutiny Committee
Executive Councillor: Councillor Mark Flewitt

A Part 1 Agenda Item

1. Purpose of Report

- 1.1 PFA were commissioned in November 2015 to undertake a review of housing need of older people in the borough in order to assist the Council in addressing concerns about the demand/supply equation of housing (both general needs and specialist provision) in the town, and have committed to this Review as a first step towards addressing this issue.
- 1.2 This report accompanies the first presentation of the outcome of the Review to Cabinet via the attached report of Peter Fletcher Associates (PFA).
- 1.3 PFA were commissioned in November 2015 to undertake a review of housing need of older people in the borough; with a specific brief to explore the fitness for purpose and potential of the sheltered housing service to meet current and anticipated need. Their Review Report makes a number of recommendations for the Council to consider as a means of progressing and developing our vision for housing solutions for older people that address identified need, and are congruent with the Council's strategic priorities for creating a better Southend. The Review Report presents options for consideration and is intended to facilitate a process of discussion and consultation. No decisions on the options presented will be made until the appropriate processes of stakeholder consultation have been completed. Key stakeholders in the process are elected Members as representatives of residents and tenants in their wards.

2. Recommendations

- 2.1 That the contents of this report and the accompanying PFA Report are noted;
- 2.2 That Cabinet agree that a series of workshops and working groups be convened for the purpose of exploring in detail the main themes of the report, namely:
 - **Physical structure of the schemes** –including accessibility within Schemes and the size of individual accommodation units.

- **Community & Locality** –location of Schemes in relation to local facilities (i.e. accessibility to local amenities and transport links) and encouraging community access to Scheme facilities as part of a wider Locality approach to services.
 - **Meeting Housing, Care and Support needs of older people** –how Schemes enable tenants to stay in their homes as they become frailer, developing a criteria for sheltered housing based on need, and developing use of Telecare, Telehealth, and assistive technology options.
- 2.3 That the workshops and working groups be convened and facilitated by officers from the strategic housing service, South Essex Homes, and adult social care services, and be supported and attended by elected Members as key stakeholders and decision makers.
- 2.4 That the outcome of these workshops and working groups be presented as a follow up Cabinet report in the spring of 2017 with recommended options for developing a model of sheltered housing provision in order to meet the housing need of older people in Southend.

3. Background

3.1 Peter Fletcher Associates (PFA) were commissioned to provide independent specialist advice on the fitness for purpose of the existing sheltered housing service and stock, and to support the development of a vision for housing for older people that is sustainable going forward.

3.2 The PFA Report is attached to this Report as Appendix 1. Key issues and recommendations can be summarised as follows:-

- **Demographic Trends** indicate that there will be a growing older person's population in the Borough - 66,300 people aged 50+ in 2015, rising to 87,100 by 2035 – increase of 31.4%. 85+ population to increase by 103.8% between 2015 and 2035.
- **Supply** - there is a large supply of sheltered housing for rent including schemes developed in the 1970's and 80's with bedsits managed by providers such as Anchor Trust and Genesis and some small local almshouse providers. The total number of sheltered housing units for social rent is 1,282 units. In addition there are 475 units of Part 1 accommodation (not included in the above table) managed by south Essex Homes bringing the total to 1,757 units.
- **Technical Appraisal of Schemes** - Schemes are generally well maintained, with the usual focus on 'Decent Homes' compliance and following Stock Condition Survey (SCS) forecasts for renewal programmes.

3.3 Recommendations from the report:

- **Strategic** – develop a vision and strategic role for sheltered housing, extra care housing and Careline set within the wider local context of integrated commissioning of services for older people across the Borough.

- **Operational** – improve service delivery in sheltered and extra care housing to achieve better outcomes for residents and ensure value for money for the Council, e.g. by growing Careline to provide services to more older and vulnerable people.
- **Extra Care schemes** - The two Council run extra care schemes are small with only 15 units and the costs to the Council of commissioning care on site 24/7 is over £380,000 per annum (rents and service charge are paid for by residents either self-funded or by Housing Benefit). The future arrangements for these schemes could be reviewed to achieve greater efficiency and better outcomes for residents.
- **Sheltered Housing** - Sheltered housing services in the Borough would benefit from having a more strategic role to play in supporting older people to remain independent. This is the case for the Council schemes and those managed by RP's and small charities.

4. Other considerations and dependencies

- 4.1 The Report takes into account the wider local landscape in relation to housing need and the links with Adult Social Care; considering our ambition to achieve good quality housing across tenures, provide proportionate information and advice in relation to care and support, and maintain our focus on enabling older people to remain living independently in their communities.
- 4.2 **Locality Approach** – Southend Clinical Commissioning Group (CCG) and Southend Borough Council (SBC) have committed to a partnership approach to delivering health and social care services according to a locality model, with four identified Localities in the Borough. This model will support the health and social care integration agenda and it would be prudent to use this opportunity to map our housing resource (as part of a wider package of support) in relation to Localities.

5. Reasons for Recommendations

- 5.1 The provision of good quality housing for older people is an important issue that is crucial to the successful delivery of the Council's strategic objectives in relation to health and wellbeing, safety, prosperity, and value for money.

6. Contribution to Council's Vision & Corporate Priorities

- 6.1 The Sheltered Housing Review will contribute to the Council's vision of "creating a better Southend" through the following:-
- "Healthy" – by looking to provide good quality housing for older people will enable older people to remain living independently for longer.
 - "Safe" – one of the benefits of living in well-designed housing for older people is that they are very safe environments in which to live.

6.2 Financial Implications

There are likely to be financial implications arising from the Review which will need to be considered in the Housing Revenue Account capital programme from 2017/18 onwards. The Registered Provider's older persons housing revenue funding in the borough will be reviewed by the Integrated Commissioning Team.

6.3 Legal Implications

There are no major legal implications arising from this Report.

6.4 People Implications

None

6.5 Property Implications

None

6.6 Consultation

There will continue to be a wide range of consultation undertaken as part of this Review including external and internal stakeholders, including Sheltered Housing tenants themselves.

6.7 Equalities and Diversity Implications

The provision of good quality, accessible accommodation for older people will have a number of positive impacts particularly for those older people with physical disabilities and dementia. The Review will also consider whether the schemes are meeting the need of citizens with designated protected characteristics and a full Equalities Impact Assessment will be undertaken in relation to any recommendations arising from the workshops and working groups.

6.8 Risk Assessment

There are no significant risk issues at this stage.

6.9 Value for Money

6.10 Community Safety Implications

6.11 Environmental Impact

7. Background Papers

8. Appendices

Appendix 1: Peter Fletcher Associates Report

Appendix 2: Peter Fletcher Associates Executive Summary Report

Sheltered Housing Review

Southend on Sea Borough Council

August 2016



Team:
Denise Gillie
Malcolm Gara
Louise Craig

Contents

1. Introduction	4
2. National and local policy context	7
3. Demographics and market analysis.....	15
4. Specialist housing supply	20
5. Council extra care and sheltered housing.....	26
6. Technical appraisal	38
7. Options Appraisal	42
Appendix 1: Policy Context.....	50
Appendix 2: Demographic and Market Analysis	54
Appendix 3: GIS Maps showing South Essex Homes schemes and demography	68
Appendix 4: Sheltered Housing Schemes – Aerial Views and Brief Scheme Details	76

1. Introduction

1.1 Our commission

Peter Fletcher Associates (PFA) was commissioned by Southend-on-Sea Borough Council in November 2015 to review the Sheltered Housing stock against best practice standards, making recommendations on how the Borough Council could adapt their schemes to meet the housing needs of older people in the Borough. Work covered 475 Part 1 and 998 Part 2 schemes and bungalows. The latter includes accommodation not designated for older people.

The reviews looked at the bricks and mortar, service delivery and the context for sheltered housing in the Borough, including:

- Scheme Design and Size
- Location and the access to local amenities
- Types, sizes and numbers of flats
- Number of voids in the last 3 years and current void numbers
- Whether schemes are dementia friendly
- Accessibility for the disabled and wheelchair users
- Number and suitability of lifts
- Heating
- Gardens and external facilities
- Communal Facilities and how well they are being used
- Other facilities including guest rooms, assisted bathrooms and laundries
- Telecare and Digital Inclusion (including assistive technologies and digital inclusion)
- Careline provision
- Care and Support Provision
- Admissions to hospital and residential care settings
- Implications of the Care Act 2014

Work also included a review of sheltered housing contracts managed by the Supporting People team with third sector providers.

Outcomes include:

This written report setting out our findings and future options, including:

- An overview profiling key characteristics of the schemes

- Examples of practice from other Local Authorities and providers of social housing
- Future options for the schemes and sheltered housing services across the Borough (Council and third sector) including how this may fit with the Council's trading company.

1.2 How the work was carried out

Our approach was based on our Sheltered Housing Toolkit developed in partnership with the Northern Housing Consortium, which uses a holistic approach integrating technical information and cost forecasting with a wider set of factors such as location, demographics, demand, tenant satisfaction and the service model.

Throughout the commission we worked in partnership with our commissioners at the Borough Council and with staff at South Essex Homes which is the arms-length management organisation managing Council properties. Set out below are the key areas covered in this report:

- National policy context for housing and services for older people
- Scheme visits
- Resident consultation
- Analysis of property and asset management data
- Discussions and interviews with staff at the Council, South Essex Homes and other stakeholders
- Detailed local market and needs analysis which includes consideration of social care services and local plans and strategies to understand the context for sheltered housing in the Borough
- Consideration of a future arms-length service delivery vehicle, and our recommendations, are set within the context of the trading company recently set up by the Council.

To provide baseline data we requested the completion of our Property and Resident surveys for each of the Part 2 schemes. Unfortunately, this work was not able to go ahead. However, we were provided with asset management data and other scheme based data which we analysed.

Some data was not possible to obtain such as the numbers of residents in receipt of care services. Our report includes analysis of care services commissioned and funded by the Council but not services self-funded by residents or provided informally by family as this data is not held by the Council. Similarly, case audits of residents moving out of sheltered housing into residential care focussed on data held by the Council to understand what had prompted the moves.

We held an initial meeting with our commissioners in November 2015, followed by a meeting in February 2016 with the sheltered housing steering group to set

out initial findings. Following further scheme visits, consultation with residents and data analysis we met with our commissioners in May 2016 to discuss our findings and recommendations.

2. National and local policy context

2.1 National Policy Context

The national policy agenda is increasingly focusing on:

- Promoting the independence and wellbeing of the growing numbers of older people. Between 2010 and 2030 there is expected to be a 50% increase in people aged 65 or older, and a doubling of people aged 85 or older
- Providing increasing levels of care and support within the home. This complements the preferences of older people to remain for as long as possible in their own homes
- Addressing the housing and support needs of older people across all tenures including older owner occupiers

Social care and health policy is focusing on prevention, reablement and enabling older people to sustain independence and well-being in the community and out of hospital and long-term care.

Further policy context can be found in Appendix 1.

2.2 Regional Policy Context

2.2.1 Housing

The *Thames Gateway South Essex Fundamental Review of Strategic Housing Market Assessment Review 2013*¹ identifies that specialist housing offered today may not be appropriate in future years, and that 'any future specialist housing offered needs to both understand not just the numbers of specialist homes required but also the aspirations of what older people want from new supply.' (p.7)

With regards to the supply of specialist housing for older people, the document acknowledges interest from developers and others. Investors are reportedly keen to enter the market but viability is key and desirable sites are required.

¹ Opinion Research Services 'Thames Gateway South Essex Fundamental Review of Strategic Housing Market Assessment Review 2013, Report of Findings December 2013'

2.3 Local Policy Context

2.3.1 Housing

The *Southend-On-Sea Housing Strategy 2011-21*² identifies three strategic aims, which represent the key priority housing themes in Southend-On-Sea:

- Aim 1: Promote the delivery of quality housing, including affordable, to meet local needs and promote a sustainable and balanced housing market.
- Aim 2: Promote the improvement in the quality of the existing housing stock achieving Decent, Healthy & Environmentally Sustainable homes across all tenures.
- Aim 3: Promoting greater accessibility to different types of housing and promoting independent living for vulnerable groups and continuing work to prevent homelessness.

Older people and their housing needs are not specifically listed in these aims. However, the Borough Council's aspiration to 'support older people to remain in their own homes for as long as they are able to possibly with support, assistive technology and a commitment to lifetime homes' is highlighted later in the document, alongside the following actions:

- Close working with clients and commissioners to ensure a suitable range of housing options provided for vulnerable adults
 - Communicating (to planning, developers and builders etc.) the specific needs of individuals with specialist housing requirements and ensuring their provision alongside General Needs affordable housing.
 - Work with providers of specialist housing to achieve the correct mix of accommodation type and tenures for Southend's future needs in line with wider Health and Social Care aims.
 - Continued improvement and development of Supporting People programme as part of delivery of suitable housing options for vulnerable residents.
 - Ensure the housing needs of the town's older persons are reflected through provision of the right balance of housing options e.g. Extra Care, Sheltered, Telecare

The Council will be undertaking a consultation exercise with stakeholders on its Housing Strategy later in 2016 which will consider how the Council will need to respond to the changes to national housing and planning policy and the implications for its approach to meet local housing needs.

² Southend-on-Sea Borough Council 'The Southend-on-Sea Housing Strategy 2011-21'

The *Older People Commissioning Outcomes Plan 2015/16*³ lists the following housing-related commissioning intentions for 2015/16:

- ‘Deliver health, care and housing in a more joined up way to ensure that sufficient and suitable accommodation is available with the required support that will enable older people to live as independently as possible.’
- ‘Information, Advice and Advocacy - Ensuring older people have access to the right information, advice and guidance about their health, care and housing needs.’

The ‘*Strategic Housing Market Assessment: South Essex, May 2016*⁴ report (SHMA) uses the Housing LIN SHOP tool to estimate the future need for specialist older person’s accommodation. Together with the Housing LIN SHOP tool, and data from Edge Analytics and Turley 2015, the following levels of need are provided:

	Basildon	Castle Point	Rochford	Southend-on-Sea	Thurrock	TGSE
Upper end of range – core economic activity assumptions						
Sheltered housing	1,380	1,054	872	1,520	1,084	5,910
Enhanced sheltered housing	221	169	140	243	173	946
Extra care – 24/7 support	276	211	174	304	217	1,182
Total	1,877	1,434	1,186	2,067	1,474	8,038
Annual	82	62	52	90	64	349
Lower end of range – SNPP London						
Sheltered housing	1,326	979	819	1,438	1,057	5,620
Enhanced sheltered housing	212	157	131	230	169	899
Extra care – 24/7 support	265	196	164	288	211	1,124
Total	1,804	1,332	1,114	1,956	1,438	7,644
Annual	78	58	48	85	63	332

Source: Turley, 2015; Housing LIN, 2015; Edge Analytics, 2015

Source: ‘Strategic Housing Market Assessment: South Essex 2016’

³ Southend-on-Sea Borough Council and Southend Clinical Commissioning Group ‘Older People Commissioning Outcomes Plan 2015/16’

⁴ Turley Economics ‘Strategic Housing Market Assessment: South Essex’, May 2016

According to modelling produced by Edge Analytics, there will be an additional 1,073 (lower end of range, 1,151 upper end of range) people aged 75 and over living in residential care establishments in Southend-on-Sea between 2014 and 2037.

The SHMA stresses the importance of considering the housing needs of specific population groups, especially in light of the large projected increase in older people in the housing market area. The document recognizes that many older people will choose to live independently, however the development of further sheltered and extra care housing schemes will contribute towards the objective assessment of need for this population group. Outside of the objective assessment of need, however, is an assumed increase in the communal population in the modelling by Edge Analytics, which is entirely attributable to people aged 75 and over. This indicates that there will be an additional need for approximately 1,073 communal bed-spaces in Southend-on-Sea over the projection period.

2.3.2 Adult Social Care

The *Draft Integrated Southend Market Position Statement (MPS)*⁵ outlines the results of a self-assessment carried out by Southend-on-Sea Council in 2015. The assessment demonstrated that the authority is performing well in the areas of supporting people with disabilities. Southend is 'also very strong at preventing any delays in the care transfer process, moving people from hospital to other care services, this ensures "bed blocking" in our hospital is minimised.' (p.5). The assessment also points to some areas for Southend to focus on. This includes 'ensuring that carers and service users are able to access information about support and services in an easy and straightforward manner and that people who use our services are satisfied with what they receive.' (p.5).

The MPS highlights the importance of understanding the market from the providers' perspective to continue to meet the needs of Southend-On-Sea's residents. A need to better understand the market for self-funded services, the likely impact of the £72,000 cap from 2020 and the citizen's right to subsidise their package is stressed in the document. The MPS suggests Southend will encourage providers to develop preventative community focused services and that Southend is committed 'to effective stakeholder engagement and co-production (that) will shape future services and our commitment to advocacy will help citizens to pick the services which are right for them.' (p.7). Southend will ensure everyone with an assessed level of need has a personal budget with the opportunity to receive Direct Payments.

⁵ Draft Integrated Southend Market Position Statement, November 2015

Southend-On-Sea expects there to be 'an increase in community care provision and recommend existing residential and nursing care providers to consider preventative, high quality care which reduces dependency and maximises interdependency. We would also recommend considering the role of assistive technology as we look to support people to live in their own home.' (p.7)

The MPS also stresses that Southend-On-Sea Borough Council and Southend Clinical Commissioning Group need to work with all providers to jointly explore realistic, sustainable business models which deliver high quality services that support both the current market conditions and economic climate. As the Integrated Commissioning Team identifies efficiencies in service provision, Southend will work with providers to explore the full costs of all provision and review their payment structure accordingly.

Southend-On-Sea's commissioning focus 'will turn to whether we feel services can achieve positive outcomes rather than individual outputs. We believe this shift will encourage creativity, innovation and commitment from providers who will be able make the most of their sector experience to offer better services within the financial constraints.' (p.8). They will also 'place greater emphasis on the impact of social value when considering tenders and expect all service providers to sign up to the Public Health Responsibility Deal. As part of the commissioning process we will consider the social value of providers to the local community before offering a contract.' (p.9).

Key considerations for providers of any service include:

- How it complements existing provision;
- Early diagnosis of conditions to allow for more effective planning of treatment and appropriate support for the person and their family;
- All providers should maximise the use of latest technology;
- Easy access to Information, Advice and Guidance and support for pre and post diagnosis;
- Effective data sharing; and
- Enhanced home support.

The MPS provides an overview of the expenditure for 2013/14 and 2014/15 and the proposed expenditure for 2015/16 by service type.

Adult social care and housing are engaged in redesigning social services and current projects include the community recovery pathway, re-provisioning of the Priory/Delaware/Viking facilities, LD review, Mental Health review and the review of sheltered housing. All the work streams need to connect.

The re-design will be a whole system transformational approach to change and include community groups, health and social care. Using strengths-based

assessments and care planning, it will focus on individual abilities and community assets, rather than on deficits and services to meet need. The approach will be empowering, and facilitate individuals to take control of their own lives with social workers taking a preventative approach to their practice in community settings. The vision is for social workers, alongside their health colleagues, to have a strong understanding of their local community and engage with Southend residents to maximise independence and inclusion and reduce admissions into hospital and long term care.

Figure 2.1: Southend-On-Sea Social Care Expenditure 2013-2015 and Planned Expenditure 2015-16

	2013-14	2014-15	2015-16
Service	Actual	Actual	Budget
Drug & Alcohol Action Team	172,617	156,863	169,300
Older People	19,561,152	18,630,360	17,383,884
Learning Difficulties	14,358,513	14,202,245	14,945,131
Physical or Sensory Impairment	4,125,662	4,634,731	4,033,755
Mental Health Needs	4,079,313	4,318,110	2,933,119
Other Community Services	473,560	380,202	344,694
Service, Strategy & Regulation	485,008	120,305	220,267
	43,255,826	42,442,816	40,030,150

Source: Draft Integrated Southend Market Position Statement, November 2015

Figure 2.2: Adult Social Care Performance Overview, 2011-2015

	2011-12	2012-13	2013-14	2014-15
NUMBER OF SERVICE USERS HELPED	5740	5640	5514	5674
OF WHICH;				
NUMBER OF PEOPLE RECEIVING COMMUNITY BASED SERVICES (18-64)	1210	1231	1282	1066
NUMBER OF PEOPLE RECEIVING COMMUNITY BASED SERVICES (65+)	3363	3255	3126	3524
NUMBER OF PEOPLE IN RESIDENTIAL CARE (18-64)	159	135	148	156
NUMBER OF PEOPLE IN RESIDENTIAL CARE (65+)	986	1003	939	921
NUMBER OF PEOPLE IN NURSING CARE (18-64)	1	0	8	1
NUMBER OF PEOPLE IN NURSING CARE (65+)	27	16	11	6
NUMBER OF PEOPLE ASSESSED (18-64)	393	493	542	-
NUMBER OF PEOPLE ASSESSED (65+)	1710	1813	1714	-
TOTAL ASSESSMENTS	2103	2306	2256	-
New client assessments (18-64)				290
New client Assessments (65+)				1646
Total new clients assessed				1936
TOTAL CARERS SUPPORTED WITH SERVICES and ADVICE	959	1005	1094	1248
NUMBER OF SERVICE USERS RECEIVING DIRECT PAYMENTS	517	587	712	695
NUMBER OF CARERS RECEIVING DIRECT PAYMENTS	119	90	83	23
PERCENTAGE OF CLIENTS AND CARERS RECEIVING DIRECT PAYMENTS	11.30%	13.08%	16.15%	21.20%
NUMBER OF CLIENTS REVIEWED	4762	4688	4536	3913
PERCENTAGE OF CLIENTS REVIEWED	82.96%	83.12%	82.26%	78.49%

Source: Draft Integrated Southend Market Position Statement, November 2015. Please note that in 2014-15 the Adult Social Care Framework of performance changed. 2014-15 data is generally not comparable with historical year's data.

The *Older People Commissioning Outcomes Plan 2015/16*⁶ lists the following adult social care-related commissioning intentions for 2015/16:

- 'To protect social services and reduce hospital admissions through re-ablement services with the aim of improving social care discharge management and admission avoidance.'
- 'Redesigning Social Services - Investment in services that support independent living and reduce reliance on all forms of institutional care.'

⁶ Southend-on-Sea Borough Council and Southend Clinical Commissioning Group 'Older People Commissioning Outcomes Plan 2015/16'

- ‘To reduce hospital and residential care admissions and protect social services by a change to a system built around prevention, early intervention and actively promoting well-being in the community.’
- ‘Promote healthy and active lifestyles for older people and enable our older population to lead fulfilling lives as citizens.’

In terms of what Southend should be like for older people, *Southend-On-Sea’s Older People Strategy*⁷ suggests the following: ‘It is our aim that the older population of Southend-On-Sea should lead fulfilling lives and be given every opportunity to age well in a community that values their experience of life, whilst also helping them to stay healthy enough to remain independent for as long as possible. This includes the most vulnerable and those with complex needs’. (p.7)

The document provides a detailed list of strategic priorities taken from other relevant strategic documents relevant to older people in Southend-On-Sea. This list includes the following:

- Older people and their carers receive appropriate, fair and timely access to services in relation to their needs, particularly for people that are the most disadvantaged.
- Develop alternative services which support people at home and reduce the need for residential care, including reviewing the effectiveness of domiciliary care in sustaining independence.
- Increasing the proportion of older people living independently at home following discharge from hospital.
- Older people and their carers have choice, feel in control and connected through services which are personalised, meet individual eligible needs, are safe, and respect people’s dignity.
- Raise awareness of the link between poor housing and poor health so that older people are referred to appropriate housing services in Southend-on-Sea.
- There should be a review of the future plans for older people’s housing needs in Southend-on-Sea to identify alternatives to residential accommodation, particularly for older people with a mild to moderate dementia diagnosis.

⁷ Southend Clinical Commissioning Group and Southend-on-Sea Borough Council ‘Southend-on-Sea’s Older People Strategy: A Joint Commission Strategy 2015 – 2018’

3. Demographics and market analysis

3.1 Introduction

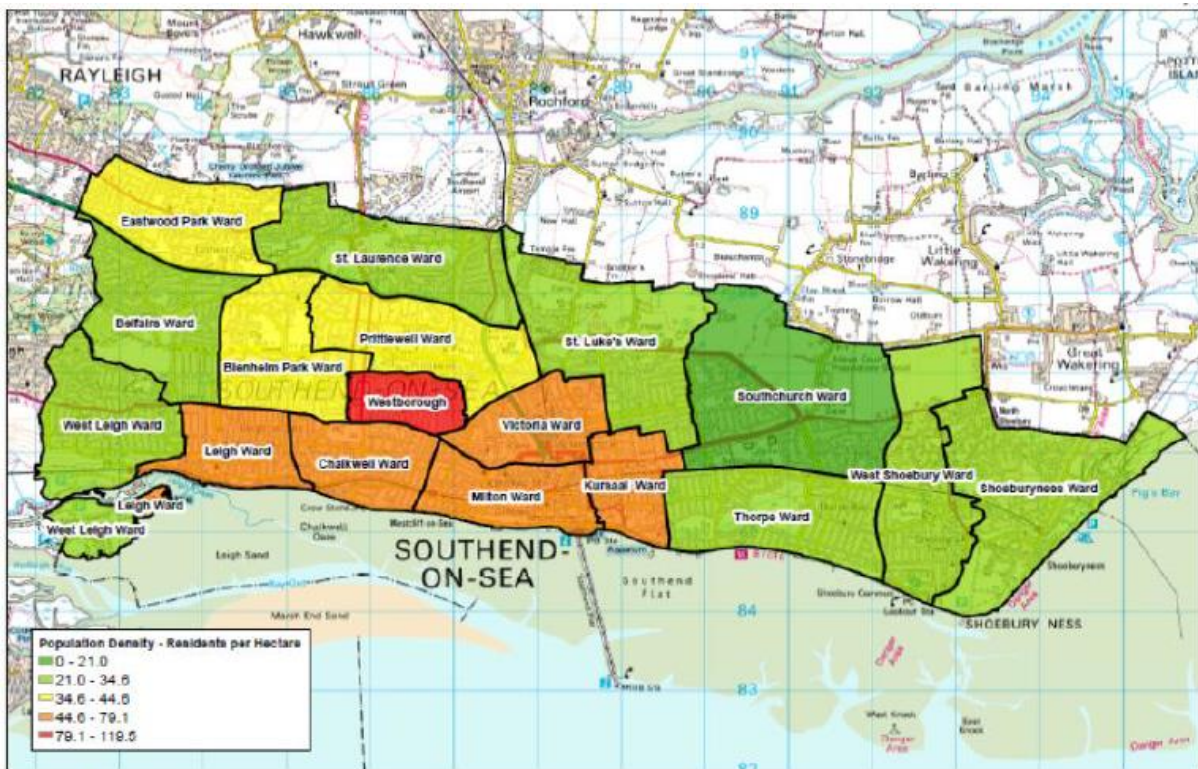
This demographic and market analysis includes data for Southend-on-Sea local authority area and the 19 ward areas that make up Southend-on-Sea. The local authority data has been compared with regional and national data to provide context.

Figure 3.1 provides a list of the ward areas within Southend-on-Sea and Figure 3.2 identifies these wards on a map.

Figure 3.1: Southend-on-Sea Wards

Belfairs Ward	St Luke's Ward
Blenheim Park Ward	Shoeburyness Ward
Chalkwell Ward	Southchurch Ward
Eastwood Park Ward	Thorpe Ward
Kursaal Ward	Victoria Ward
Leigh Ward	Westborough Ward
Milton Ward	West Leigh Ward
Prittlewell Ward	West Shoebury Ward
St Laurence Ward	

Figure 3.2: Southend-on-Sea Ward Map



Source: Joint Strategic Needs Assessment 2012 Summary, Southend-on-Sea

All of the data provided within this analysis has been taken from reliable and up-to-date data sources, including the Office for National Statistics and Projecting Older People Population Information (POPPI). Property prices have been gathered from a variety of websites, including Rightmove, onthemarket.com and the McCarthy and Stone website.

3.2 Summary

Geographical Area	Main Findings
Southend-on-Sea	<ul style="list-style-type: none"> 66,300 people aged 50+ in 2015, rising to 87,100 by 2035 – increase of 31.4%. 85+ population to increase by 103.8% between 2015 and 2035. 97.6% of the 65+ population are White, 1.5% Asian/ Asian British. Higher levels of long-term limiting illness than the regional and national averages. 4,761 people aged 65+ providing unpaid care in 2015, rising to 6,322 by 2030 – increase of 32.8%. 2,520 people aged 65+ estimated to have dementia in 2015, rising to 3,867 by 2030 – increase of 53.5%. 78.1% of pensioner households are owner-occupiers – higher than national average but lower than regional average. 12.2% of pensioner households are living in social rented accommodation and 8.1% in private rented

Geographical Area	Main Findings
	<p>accommodation.</p> <ul style="list-style-type: none"> • 12,600 people aged 65+ living alone in 2015, rising to 17,455 by 2030 – an increase of 38.5%. • Southend has the lowest overall average property price (£204,000) when compared to neighbouring local authority areas.
Belfairs Ward	<ul style="list-style-type: none"> • 4,523 people aged 50+ in 2013 (largest amongst wards) • 95.6% total population are 'white' • 10.6% total population limited 'a lot' by long-term illness/disability • 82.1% pensioner households are owner-occupiers, 13.3% live in social rented accommodation
Blenheim Park Ward	<ul style="list-style-type: none"> • 4,053 people aged 50+ in 2013 • 94.3% total population are 'white' • 10.2% total population limited 'a lot' by long-term illness/disability • 77.4% pensioner households are owner-occupiers, 17.1% live in social rented accommodation
Chalkwell Ward	<ul style="list-style-type: none"> • 3,797 people aged 50+ in 2013 • 89.8% total population are 'white' • 10.8% total population limited 'a lot' by long-term illness/disability (highest amongst wards) • 80.5% pensioner households are owner-occupiers, 5.9% live in social rented accommodation
Eastwood Park Ward	<ul style="list-style-type: none"> • 4,350 people aged 50+ in 2013 • 96.4% total population are 'white' • 8.7% total population limited 'a lot' by long-term illness/disability • 93.1% pensioner households are owner-occupiers, 3.2% live in social rented accommodation
Kursaal Ward	<ul style="list-style-type: none"> • 3,037 people aged 50+ in 2013 • 88.6% total population are 'white' • 9.6% total population limited 'a lot' by long-term illness/disability • 44.9% pensioner households are owner-occupiers (lowest amongst wards), 36.5% live in social rented accommodation, 17.3% in private rented accommodation.
Leigh Ward	<ul style="list-style-type: none"> • 3,179 people aged 50+ in 2013 • 95.4% total population are 'white' • 6.1% total population limited 'a lot' by long-term illness/disability • 83% pensioner households are owner-occupiers, 1.4% live in social rented accommodation, 13.5% in private rented accommodation.

Geographical Area	Main Findings
Milton Ward	<ul style="list-style-type: none"> • 3,430 people aged 50+ in 2013 • 85.4% total population are 'white' • 9.2% total population limited 'a lot' by long-term illness/disability • 68% pensioner households are owner-occupiers, 1.5% live in social rented accommodation, 27.3% in private rented accommodation (the highest amongst ward areas)
Prittlewell Ward	<ul style="list-style-type: none"> • 4,186 people aged 50+ in 2013 • 89.5% total population are 'white' • 9% total population limited 'a lot' by long-term illness/disability • 82.6% pensioner households are owner-occupiers, 11.1% live in social rented accommodation
St Laurence Ward	<ul style="list-style-type: none"> • 4,185 people aged 50+ in 2013 • 93.6% total population are 'white' • 9.4% total population limited 'a lot' by long-term illness/disability • 77.2% pensioner households are owner-occupiers, 17.4% live in social rented accommodation
St Luke's Ward	<ul style="list-style-type: none"> • 3,581 people aged 50+ in 2013 • 92.9% total population are 'white' • 8.4% total population limited 'a lot' by long-term illness/disability • 77.9% pensioner households are owner-occupiers, 10.9% live in social rented accommodation
Shoeburyness Ward	<ul style="list-style-type: none"> • 3,986 people aged 50+ in 2013 • 94.4% total population are 'white' • 9% total population limited 'a lot' by long-term illness/disability • 60.8% pensioner households are owner-occupiers, 30.4% live in social rented accommodation
Southchurch Ward	<ul style="list-style-type: none"> • 4,011 people aged 50+ in 2013 • 91.8% total population are 'white' • 10.1% total population limited 'a lot' by long-term illness/disability • 81.1% pensioner households are owner-occupiers, 12.3% live in social rented accommodation
Thorpe Ward	<ul style="list-style-type: none"> • 4,346 people aged 50+ in 2013 • 93.8% total population are 'white' • 8% total population limited 'a lot' by long-term illness/disability • 93.2% pensioner households are owner-occupiers (highest amongst ward areas), 0.3% live in social rented accommodation (lowest amongst ward areas)
Victoria Ward	<ul style="list-style-type: none"> • 3,121 people aged 50+ in 2013 • 84% total population are 'white' (lowest amongst ward areas)

Geographical Area	Main Findings
	<ul style="list-style-type: none"> • 10.5% total population limited 'a lot' by long-term illness/disability • 47% pensioner households are owner-occupiers, 40% live in social rented accommodation (highest amongst ward areas)
Westborough Ward	<ul style="list-style-type: none"> • 2,693 people aged 50+ in 2013 (the smallest number amongst ward areas) • 84.3% total population are 'white' • 5.8% total population limited 'a lot' by long-term illness/disability • 79.6% pensioner households are owner-occupiers, 1.2% live in social rented accommodation and 17.4% in private accommodation
West Leigh Ward	<ul style="list-style-type: none"> • 3,725 people aged 50+ in 2013 • 97.4% total population are 'white' (highest amongst ward areas) • 5.2% total population limited 'a lot' by long-term illness/disability (lowest amongst ward areas) • 89.3% pensioner households are owner-occupiers, 3.4% live in social rented accommodation
West Shoebury Ward	<ul style="list-style-type: none"> • 3,919 people aged 50+ in 2013 • 92.6% total population are 'white' • 8.7% total population limited 'a lot' by long-term illness/disability • 85.2% pensioner households are owner-occupiers, 9.6% live in social rented accommodation

A detailed analysis is set out in Appendix 2 and a set of maps illustrating the geography of the South Essex Homes schemes alongside demographic features is provided in Appendix 3.

4. Specialist housing supply

This section of the report looks at the different types and tenures of specialist housing available to older people in the Borough.

4.1 Sheltered housing for social rent

Figures 4.1 and 4.2 list sheltered housing provision from South Essex Homes and other Registered Providers respectively.

Figure 4.1: South Essex Homes Retirement/ Sheltered Housing in Southend-on-Sea

Scheme Name	Address	Postcode	No. Units	Type Units	Year of Build
Adams Elm House	1271 London Road, Leigh-on-Sea	SS9 2AQ	87	37 studios and 50 one bedroom flats	1983
Bishop House	Western Approaches, Leigh-on-Sea	SS9 6TT	61	19 studios and 42, one bedroom flats	1978
Buckingham House	3 Salisbury Avenue, Westcliff-on-Sea	SS0 7DL	28	14 studios and 14 one bed flats	1978
Crouchmans	46 Centurion Close, Shoeburyness	SS3 9UT	60	30 studios and 30 one bed flats	1976
Furzefield	20 Priorywood Drive, Leigh-on-Sea	SS9 4BU	28	8 studios and 20 one bed flats	1977
Great Mead	200 Frobisher Way, Shoeburyness	SS3 8XJ	48	One bed flats	1986
Kestrel House	96 Eagle Way, Shoeburyness	SS3 9YX	51	5 studios and 46 one bed flats	1978, renovated 1983
Mussett House	49 Bailey Road, Leigh-on-Sea	SS9 3PJ	21	11 studios and 10 one bed flats	1977
Nestuda House	4 Grovewood Avenue, Southend-on-Sea	SS9 5EG	29	20 studios and 9 one bed flats	1978
Nicholson House	299 Southchurch Road, Southend-on-Sea	SS1 2PD	96	1 bed flats	

Norman Harris House	450 Queensway, Southend-on-Sea	SS1 2LY	28	6 studios , 21 one bed and 1 two bed flats	1986
Scott House	171 Neil Armstrong Way, Leigh-on-Sea	SS9 5YZ	58	31 studios and 27 one bed flats	No Data
Senier House	39 Salisbury Road, Leigh-on-Sea	SS9 2JX	20	5 studios and 15 one bed flats	1984
Stephen McAdden House	21 Burr Hill Chase, Southend-on-Sea	SS2 6PJ	66	33 studios and 33 one bed flats	1979
The Brambles	20 Eastern Avenue, Southend-on-Sea	SS2 5NJ	39	19 studios, 19 one bedroom flats and 1 two bedroom flat	1980
The Jordans	Maple Square, Southend-on-Sea	SS2 5NY	72	28, studios and 44 one bed flats	1979
Trafford House	117 Manchester Drive, Leigh-on-Sea	SS9 3EY	26	13 studios and 13 one bed flats	1979
Trevett House	19a Southchurch Rectory Chase	SS2 4XB	29	1 bed flats	1989
Keats House	Shelley Square, Southend on Sea	SS2 5JP	24	20 studios and 4 one bed flats	1975
Nayland House	Manners Way Southend on Sea	SS2 6QT	27	13 Studios and 14 one bed flats	1964
Total			898		

N.B Keats and Nayland are listed on the Elderly Accommodation Counsel website as extra care schemes but are sheltered schemes and are both included in the table. Longmans and Westwood are listed as retirement housing schemes and have not been included in the table as they provide extra care.

Figure 4.2: Retirement/ Sheltered Housing in Southend-on-Sea from other Registered Providers

Scheme Name	Manager	Address	Postcode	No. Units	Type Units	Year of Build
Cambridge Court	Genesis HA	Cambridge Road, Southend-on-Sea	SS1 1EJ	39	Flats and bungalows	1890 renovated 1989
Carnival Estate	Carnival Estates Fund	Carnival Gardens, Eastwood Old Road North	SS9 4NE	19	Studio and 1 bed bungalows	1955, renovated 1999
Cascades	Estuary HA	Prospect Close, Southend-on-Sea	SS1 2JA	34	1 bed flats	1981
Catherine Lodge	Genesis HA	45 Baxter Avenue, Southend-on-Sea	SS2 6FE	55	1 and 2 bed flats	1984, renovated 2006
Churchgate	Riverside	560 London Road, Westcliff-on-Sea	SS0 9HS	21	Studio, 1 and 2 bed flats	1980
Clough House	Anchor	314 Princes Avenue, Westcliff-on-Sea	SS0 0LJ	38	Studio and 1 bed flats	1977
Diana Rose House	Abbeyfield Southend Society Ltd	158 Southchurch Boulevard, Thorpe Bay	SS2 4UY	9	Studio flats	1973
Frank Phillips House	Abbeyfield Southend Society Ltd	107 Oakengrange Drive, Southend-on-Sea	SS2 6QA	12	Studio flats	1982
Fred Laws House	Abbeyfield Southend Society Ltd	25/26 Westcliff Parade, Westcliff-on-Sea	SS0 7QE	12	Studio flats	1920
Shebson Lodge	Jewish Care	1 Cobham Road, Westcliff-on-Sea	SS0 8EG	16	1 bed flats	No Data
St Francis Court	Genesis HA	Stornoway Road, Southchurch	SS2 4PD	26	Studio and 1 bed flats	1976
St Margaret's	Brentwood Branch (CWL) HA	594 Raleigh Road, Leigh-on-Sea	SS9 5HU	14	1 bed flats	1975
St Margaret's House	Abbeyfield Southend Society Ltd	1461 London Road, Leigh-on-Sea	SS9 2SB	10	Studio flats	1920
St Peter's Court	Anchor	342 Prince Avenue, Westcliff-on-Sea	SS0 0NF	26	Studio and 1 bed flats	1979
Charlotte Mews	Genesis	Boston Avenue Southend on Sea	SS2 6JB	20	One and two bed flats	1983

Elizabeth Tower	Genesis	Same site as Catherine Lodge and Charlotte Mews		17	One bed flats	Not known
St. Francis Court	Genesis	Stornoway Road, Southchurch, Southend on Sea	SS2 4PD	26	Studios and one bed flats	1976
Total				394		

N.B Cambridge Court is listed on housingcare.org as being both social rented and leasehold. Leyland Court managed by Estuary and Catherine Lodge managed by Genesis are both listed as sheltered housing and have not been included in the table as they are providing enhanced sheltered or extra care.

There is a large supply of sheltered housing for rent including schemes developed in the 1970's and 80's with bedsits managed by providers such as Anchor Trust and Genesis and small local almshouse providers. The total number of sheltered housing units for social rent is 1,292 units. In addition, there are 475 units of Part 1 accommodation (not included in the above table) managed by South Essex Homes bringing the total to 1,767 units.

The Housing LIN has developed a tool to help predict future need for specialist housing for older people. SHOP@ (www.housinglin.org.uk/SHOPAT/) is an online analysis tool to help local authorities and providers identify potential demand for different types of specialist housing in England and Wales. It uses Office for National Statistics (ONS) population data and supply data generated by the Elderly Accommodation Counsel's (EAC) national records to predict future housing and care needs of older people based on nationally accepted parameters.

The Supply data for Council sheltered housing listed on the site does not include the Part 1 schemes which add significantly to the supply of sheltered housing for social rent in the Borough. However even without these units the SHOP tool is showing a slight over provision (127 units) of sheltered housing against demand (based on 2014 figures). When the tool is used to predict future demand it shows a need for 3,400 units by 2035 which taking account of all the current provision is a need for 1,633 additional units.

At national and local level, the SHOP tool assumes that as the population ages older people will continue to want and need specialist housing. However, it does not take account of other factors such as new technologies or of health and social care services such as re-ablement designed to support independence e.g. after a hospital admission or illness. Community based services are increasingly focused on helping older people remain in their own homes rather than moving into specialist accommodation Also future supply is not simply about units of accommodation it is also about design and quality particularly as the population continues to age.

4.2 Extra care housing for social rent

Figure 4.3: Extra care housing for social rent

Scheme name	Manager	Address	Post code	Number units	Type units	Year of build
Longmans	South Essex Homes	11 Rampart Street, Shoeburyness	SS3 9AY	15	One bed flats	1978
Westwood	South Essex Homes	137, Eastwood Old Road, Leigh-on-Sea	SS9 4RZ	15	One bed flats	1975
Estuary HA	Leyland Court	257, Southchurch Road	SS1 2PE	24	Studio and one bed flats	1990
Genesis HA	Catherine Lodge	45, Baxter Avenue	SS2 6FE	55	One & two bed flats	1984 renovated 2006

N.B All four schemes are listed on the Elderly Accommodation Counsel website but none of them are described as extra care. The data for Longmans and Westwood is out of date. It is not known why Estuary or Genesis do not describe their schemes as Extra Care or Very Sheltered Housing. At Catherine Lodge only 30 of the 55 flats receive a higher level of service.

4.3 Retirement housing for sale

Just over 78% of older people in the Borough own their own homes. The Figure 4.4 provides a snapshot of the specialist accommodation available to older people able to purchase a property. Prices range from £70,000 for a one bedroom apartment to in excess of £300,000 for a two bedroom apartment in a new McCarthy & Stone scheme.

Figure 4.4: Retirement Accommodation for Sale in Southend-on-Sea

Property Name	Address	Property Type	Price	Developer (where known)	Source
Elmtree Lodge	66 Cranleigh Drive, Leigh on Sea	2 bed apartment	£325,000 to £299,950	William Nelson	Rightmove
Orchard Meade	Leigh on Sea SS9 4LW	2 bed cottage	£195,000	Lopia Homes	Rightmove
Crowstone Road	Westcliff-on-Sea, Southend-on-Sea	2 bed apartment	£180,000		Rightmove
Chalkwell Park Drive	Leigh on Sea	2 bed apartment	£169,950		Rightmove
Hamlet Court Road	Westcliff-on-Sea, Southend-on-Sea	2 bed apartment	£169,995		Rightmove
Southchurch Rectory Chase	Southend-on-Sea	2 bed apartment	£160,000		Rightmove

Property Name	Address	Property Type	Price	Developer (where known)	Source
Nevyll Court	Southend-on-Sea	1 bed apartment	£149,995		Rightmove
Kingswell Imperial Avenue	Westcliff-on-Sea, Southend-on-Sea	1 bed apartment	£149,995 to £120,000		Rightmove
Cambridge Road	Southend-on-Sea	1 bed apartment	£139,995		Rightmove
The Rowans	Leigh on Sea	1 bed apartment	£129,995		Rightmove
Martins Court	Southend-on-Sea	1 bed apartment	£95,000 to £84,995		Rightmove
Kings Meade	Westcliff-on-Sea, Southend-on-Sea	1 bed apartment	£90,000		Rightmove
Riviera Drive	Southend-on-Sea	1 bed apartment	£70,000		Rightmove
Montague Court	Westcliff-on-Sea, Southend-on-Sea	2 bed apartment	£238,000 to 199,500	McCarthy and Stone	Rightmove
Centenary Place	Southchurch Boulevard, Southend-on-Sea	1 bed apartment	£224,950	McCarthy and Stone	McCarthy and Stone
Centenary Place	Southchurch Boulevard, Southend-on-Sea	2 bed apartment	from £274,950 to £334,950	McCarthy and Stone	McCarthy and Stone
Homecove House	Westcliff-on-Sea, Southend-on-Sea	1 bed apartment	£134,950 to £175,000	McCarthy and Stone	Rightmove
Cambridge Road	Southend-on-Sea	1 bed bungalow	£139,995		On the market.com

Source: Various as listed

There are no Assisted Living schemes in the Borough. This is the descriptor often used for private sector, leasehold extra care housing. .

5. Council extra care and sheltered housing

5.1 Extra care housing

Extra care provision is in two former sheltered housing schemes, Longmans and Westwood. Both schemes have the same original design footprint. 30 studio apartments were remodelled to provide 15 one bedroom apartments at each scheme. Studio flats at a third scheme, Keats House, were also upgraded to provide extra care but care was never commissioned on site.

Remodelling costs for Longmans were £487,000 (£30,000 per unit) and Westwood £521,000. External units managed by S.E.H at Longmans (George St, Dane Street, John St.) and Westwood (Bradfordbury, Rothwell Close & Eastwood Old Rd.) were not remodelled and are not included in the care contract.

The Council contracts care from independent providers under a block contract for 250 hours per week at each scheme. In addition, the Council spot contracts additional hours. The total amount paid for care in 2015/16 was:

- Longmans £210,971
- Westwood £170,243

The hourly rate is £11.90 during the day and £5.98 at night for sleep in cover. The Council has on occasion funded waking care at night for individual residents. There is no café or meals service or programme of social activities at either scheme.

South Essex Homes provides basic housing management services including repairs and maintenance at both schemes.

There are some issues with voids and two units at Longmans were void, one for over 6 months. Staff responsible for lettings reported that it can take some time to find applicants whose needs match the on-site service. The Council's Care First data shows three residents from the schemes moving into long term care in 2015/16. PFA were not provided with data about the care needs of individual residents in order to establish how many residents would otherwise be living in a care home. In order to be cost effective for the Council both schemes should be offering an alternative to residential care placements funded by the Council and aim to provide residents with a home for life.

Information on the Elderly Accommodation Counsel website is out of data as both schemes are described as sheltered housing with 30 studio apartments for social rent. South Essex Homes website has basic information about the schemes and contact details for the Housing Options Team. Information about the schemes is also included in S.E.H sheltered housing marketing brochure.

Nationally, most extra care housing schemes are new build and providers such as Housing & Care 21, Hanover and Anchor have developed schemes with 40 plus units in order to deliver economies of scale particularly for care services. Compared to larger schemes Longmans and Westwood are small and expensive as they may

have the same number of staff on duty at certain times during the day as a larger scheme. Also one of the main reasons for older people making a permanent move into residential care is to access care at night which is not generally available at either scheme as the staffing is sleep in cover.

The Council is managing allocations and the care contract and S.E.H is providing basic housing management. At an operational level it is not clear if the schemes are able to provide an alternative to residential care or support people with complex needs and without this information it is not possible to make a judgement about their value for money. At a strategic level it is not clear how the schemes fit with integrated commissioning and older person's services more widely.

5.2 Sheltered housing

5.2.1 Care and support needs of residents

Set out below is an overview of residents' ages, gender, ethnicity and disability across the Part 1 and 2 schemes:

Part 1 schemes

- Around half of the residents are aged under 70: 17.3% aged 55 – 59; 16.2% aged 60 – 64; and 16% aged 65 – 69.
- Gender: there are large variations in the gender mix between the schemes with e.g. Rothwell Close 20% female and Ruskin Avenue 80%.
- 86.35% of residents white British.
- Disability: there are large variations in the number of residents who describe themselves as disabled with 60% at Ruskin Avenue and Kipling Mews compared with none of the residents at Bronte Mews, Eastwood Old Road and West Road.

Part 2 schemes

- Age: Part 2 schemes have an older age profile than the Part 1 schemes: 18.8% aged 85 and over; 18.3% of residents aged 70 – 74; and 17.8% aged 75 – 79.
- Gender: there are large variations in the gender mix with 23.1% female at Longmans and 32% at Keats compared with 71% at Great Mead and almost 70% at Trevett House.
- Ethnicity: 89.2% white British.
- Disability: there are large variations in the numbers of residents who describe themselves as disabled with 46.2% at Longmans and 30.3% at Furzefield compared with just over 9% at Bishop House and 10% at Nayland House.

Data from the Council's Care First system shows that there are 8 residents in the Part 1 schemes in receipt of Council funded domiciliary care.

As Figure 5.1 shows, there is a much higher number of people in receipt of Council funded domiciliary care in the Part 2 schemes:

Figure 5.1: Number of recipients in receipt of council-funded domiciliary care by scheme

Name of scheme	Number of residents in receipt of council funded domiciliary care
Adams Elm	9
Bishop House	10
Great Mead	3
Kestrel House	2
Nayland	1
Nestuda	4
Nicholson House	13
Norman Harris House	4
Scott House	2
Senier House	3
Stephen McAdden House	5
The Brambles	2
The Jordans	9
Trafford House	5
Trevett House	3
Total	75

At the time the data was provided there were a total of 1,118 residents living in the Part 2 schemes. No Council funded care was being provided at Buckingham House, Crouchmans, Furzefield or Mussett House.

The Council does not hold data about residents who self-fund their care or for those receiving care from friends and relatives.

The Council funds day care for 10 residents in Part 1 schemes (all living in Randolph) and 3 residents in Part 2 schemes.

The Council has also provided 23 items of equipment in Part 1 schemes and 153 items in Part 2 schemes, including the extra care schemes.

In 2014/15 Care First data shows 32 Part 2 residents, 6 part 1 residents and 14 residents in general needs housing moved into long term care. It is not known how many of these were part or fully funded by the Council. The Part 2 sheltered schemes do not seem able to support frail older people and the numbers moving into long term care seem high based on our knowledge and work with other providers.

5.2.2 Lettings

Interviews with lettings staff and Registered Providers indicate sheltered accommodation is being let to younger more independent older people including those still working. Management staff working for Registered Providers reported few lettings issues even for small studio apartments.

There is a high demand for social housing across the Borough. As a result of this older people are more likely to have their housing need met through sheltered housing. This is because there is a lot of sheltered units compared to general needs housing, turnover in sheltered schemes is higher than general needs and schemes are located throughout the Borough.

Section 7 of this report looks in detail at the sheltered stock, however there are a high number and percentage of studio flats compared with many other local authorities. Only three schemes, Great Mead, Nicholson House and Trevett House do not have any studios and in total there are over 220 studios across the Part 2 schemes. It may only be the shortage of general needs housing that is masking potential lettings issues.

Scheme consultation meetings identified a number of residents who were offered a flat in a sheltered housing scheme without knowing it was in a scheme designated for older people. Residents accepted sheltered accommodation because that was what was available at the time they were in need. None of the residents at the consultation meetings had seen the sheltered housing brochure published by S.E.H and very few had knowledge about sheltered schemes other than the one they lived in with the exception of a former warden and residents who act as the block voice and visit other schemes for meetings.

5.2.3 Sheltered housing service

Council funding to South Essex Homes to provide a housing related support service in the Part 2 sheltered housing schemes ended in April 2016. The service is now funded as intensive housing management and eligible for housing benefit. There are 17 full time equivalent Sheltered Housing Officers working across the Part 2 schemes. Their role is to support residents to remain independent and act as a first point of contact with South Essex Homes. They also act as a response service for Careline when they are on site. Officers work across a number of schemes and a typical rota means an Officer spending two weeks full time at one of the larger schemes and the following two weeks dividing their time (morning and afternoons) across two smaller schemes.

The total annual cost of the service as part of tenant's service charge is £690,345.72 which equates to £15.96 per unit for the financial year 2016/17. It is difficult to compare costs with comparable services. Around the country landlords have put different service models in place as council funding has reduced or withdrawn. Some such as Riverside have different models across their sheltered stock following resident consultation. In London Hammersmith and Fulham schemes have a Scheme manager on duty during office hours Monday – Friday. In December 2012

the LB of Southwark consulted with tenants about developing an enhanced sheltered housing service to include full time on site wardens, overnight security, community alarm and handyperson service.

It is too early to understand how well the new Sheltered Housing Officer role is working.

At the consultation meetings with residents the only issue raised about the Sheltered Housing Officer service was in relation to Careline calls and specifically Officers not responding because they were on duty in another scheme.

5.2.4 Rents and service charges

The example in Figure 5.2 is based on the service charge at Adams Elm House.

Figure 5.2: Service charges at Adams Elm House

Charges	Cost
Communal energy: electricity	£ 2.42
Communal heating: gas	£ 1.42
Estate service	£ 6.42
Warden service	£15.96
Communal aerial	£ 0.18
Door entry	£ 0.41
Fire alarm	£ 0.45
Emergency lighting	£ 0.73
Paladins	£ 0.83
Total	£28.82

Consultation with residents highlighted issues about water and heating charges. With the exception of Adams Elm House schemes do not have water meters and residents have raised issues about the cost. South Essex Homes are working with the water company to move from property rateable value to assessed charges or water meters.

In March 2016 the High Court judged that Southwark Council had overcharged residents prior to 2013 and was reselling water. The overcharging is for reductions in costs for voids and the Council's administrative fee which were not passed on to residents. The judgment may impact on a number of social landlords.

All sheltered residents were overcharged for heating and refunded based on length of tenancy for charges between April 2009 and March 2015. Residents at the consultation meetings said they had not received a detailed breakdown of their individual refunds. The overcharging was discovered as a result of un-pooling scheme service charges and a move to scheme specific charging.

A big issue for residents raised through the consultation work was about transparency of charges. Residents provided examples of what they see as reductions in service e.g. a shift away from on-site caretakers but no corresponding

reduction in charges. At present residents are not provided with a detailed service charge breakdown to help them understand how the weekly charge is calculated.

5.2.5 Housing-related support

The Council currently contracts with a number of providers of social rented sheltered housing for the provision of housing related support services. Figure 5.3 sets out the details.

Figure 5.3: Housing-related support by scheme

Landlord	Scheme name	Weekly unit price	Number of units funded	Annual contract value
Anchor Trust	Clough House	£4.49	27	£6,315.77
	St. Peter's Court	£5.27	23	£6,324.23
CWL	St. Margaret's	£14.42	10	£7,519.00
Riverside Care & Support	Churchgate	£10.39.	18	£9,751.76
Estuary HA	Cascades	£7.37	24	£9,223.03
Genesis HA	Charlotte Mews	£6.15	18	£5,722.21
	Elizabeth Tower	£7.29	16	£6,081.94
	St. Francis Court	£10.39	24	£13,002.33
	Catherine Lodge	£14.62	23	£17,533.56
Jewish Care	Shebson Lodge	£15.73	13	£10,662.69

In addition, the Council contracts with two providers for the delivery of housing related support services in two Very Sheltered/Extra Care housing schemes. Figure 5.4 sets out the details.

Figure 5.4: Housing-related support in very sheltered/ extra care schemes

Landlord	Scheme Name	Weekly unit price	Number of units funded	Annual contract value
Estuary HA	Leyland Court	£40.79	23	£48,918.35
Genesis HA	Catherine Lodge	£43.87	27	£61,762.69

In all instances Council grant is paid in respect of residents who are in receipt of housing benefit or eligible for Council funded adult social care services. Non eligible

residents are required to self-fund the cost of housing related support services. The majority of residents at each of the schemes are funded by the Council. Figure 5.5 shows the total contract funding for each landlord and the total annual cost to the Council.

Figure 5.5: Total contract funding for each landlord

Name of Landlord	Total contract value
Anchor Trust	£ 12,640.30
CWL	£ 7,519.00
Riverside Care & Support	£ 9,751.76
Estuary HA	£ 58,141.38
Genesis HA	£104,152.74
Jewish Care	£ 10,662.69
Total	£202,867.87

The Council previously funded services in Council owned sheltered schemes but this was discontinued in April 2016. The Council continues to fund Careline for residents in receipt of Housing Benefit or those eligible for adult social care services funded by the Council.

The current contracts have been extended up to 31st March 2017 by exception. They cannot be further extended and if the Council wishes to continue to contract services a procurement exercise will be required.

Researchers interviewed the following stakeholders about the current contracts:

- Yvonne Adams – Contracts Manager, Southend Council
- Shidaa Adjin-Tetty – Older Person’s Commissioning Manager
- Vivienne Cornelius – District Manager, Anchor Trust
- Pam Potter, Area Manager, CWL Housing
- Linda Potter, Area Manager, Riverside Care and Support
- Louise Glover, Estuary Housing
- Ann Hayes, Service manager, Genesis Housing

Phone calls and e-mails were sent to the Manager at Shebson Lodge, managed by Jewish Care but it was not possible to arrange an interview.

The contracts are managed by Council staff formerly in the Supporting People team and now in the Integrated Commissioning team.

Staff interviewed from national providers such as Anchor Trust, Riverside and Genesis were all familiar with funding being reduced or withdrawn. The approach adopted by Anchor is to continue to provide the service and to charge for it as a service charge item. Riverside has adopted different approaches on a scheme by scheme basis including:

- Providing a caretaking service

- Intensive housing management service eligible for Housing Benefit
- Basic housing management only

At the time of the interview Riverside were concluding an internal review of scheme services with the aim of having a more strategic approach. The outcome of that process is not known.

At Genesis they have reverted to providing a basic housing management service where funding has been withdrawn.

Local providers such as Estuary were less clear about their approach. CWL stated that they would keep the Scheme Manager on site and consult with residents.

Locally Essex County Council has reduced funding for support services in sheltered housing, Thurrock Council has withdrawn funding for new residents but continues to fund a service for existing residents. London Boroughs such as Lambeth, Southwark and Bromley have all withdrawn funding in sheltered housing. Around the country Councils are reviewing services and funding is being reduced or withdrawn.

In Southend-on-Sea, moves into sheltered housing appear to be primarily to access suitable accommodation rather than to access support services. This was confirmed by providers who stated that new residents (with the exception of the two Very sheltered/Extra care schemes) were generally independent including some who were still working. Discussions with Choice Based lettings staff and the housing related support Contracts Manager confirm this. However, as residents age some of them do need support. Contract monitoring data includes information about the numbers of residents helped to access care packages, falls prevention services and occupational therapy assessments.

Key findings are as follows:

- Providers are expecting funding to be reduced or withdrawn
- There is a big variation in the weekly unit price paid to providers (disregarding the higher level of service funded at Leyland Court and Catherine Lodge)
- Eligibility for Council funding is based on eligibility for Housing Benefit rather than a need for a service
- Leyland Court and Catherine Lodge appear to be meeting the needs of frailer older people including helping to keep them out of long term care
- Overall expenditure is in excess of £200,000 per annum and it is not clear if this is providing the Council with value for money

5.3 Careline

Careline is the community alarm service operated by South Essex Homes. They are accredited members of the Telecare Services Authority (TSA). Careline provides a service to all residents in the Part 2 sheltered housing schemes as a condition of their tenancy. The charge for the service is £1.30 per week which is for a call monitoring service.

The hard wired alarm equipment in the Part 1 schemes was decommissioned and not replaced. Residents were given the choice of a dispersed alarm and this is also offered to new residents at tenancy sign up. Only 173 residents in the Part 1 schemes has a dispersed alarm (lifeline).

Careline also provides a service to other social landlords in the Borough and out-of-hours repairs services for Council properties.

Non-residents can buy or rent a service from Careline, currently £11.27 per month (rental £4.77 and monitoring £6.50) plus VAT. Older or disabled customers may be eligible for VAT exemption.

Consultation with residents in the sheltered schemes included some feedback about the poor quality of the Careline service. This included residents contacting Careline and some confusion about whether or not a Sheltered Housing Officer would respond. Officers will only respond when they are on duty in the scheme from which a call has been made. Unlike some other community alarm service which have mobile response units Careline does not offer a 24/7 response service.

5.4 Resident consultation

The culture in the sheltered schemes is very traditional and consultation and resident engagement includes residents being nominated to act as the 'block voice. They are invited to attend regular meetings and discuss issues with staff and residents from other sheltered schemes. This is useful but has its limitations since they cannot represent everyone at their individual schemes and it is difficult and time consuming to provide feedback to all the residents in their respective schemes.

At the consultation meetings researchers held at schemes it was clear that residents were keen to engage with the Council and South Essex Homes.

The Housing LIN has a number of publications about resident involvement and consultation including a good practice guide for Providers and Commissioners, commissioned by a former Department of Communities and Local Government Sheltered Housing Working Group.

http://www.housinglin.org.uk/library/Resources/Housing/Support_materials/Other_reports_and_guidance/Sheltered_Housing_Consultation_Guide.pdf

Six key messages from the research publication are:

- The importance and value of being involved – effective involvement and consultation leads to a greater ownership and empowerment of residents, in turn leading to increased satisfaction and individual well-being.
- Establish a range of options – this ensures providers and commissioners are better able to capture and address the input from a diverse range and increasing numbers of residents;
- Continuum of involvement – this does not mean that involvement methods higher up the continuum are intrinsically better, rather that offering a wide

range of activities helps in establishing a long-term sustainable commitment to resident involvement;

- Scope and scale of decision making – reviewing and challenging the decisions that could in fact be delegated to residents will strengthen the involvement process.
- Influencing external bodies – as external organisations are often also stakeholders within sheltered housing, positively involving residents can result in stronger relationships and an additional positive benefit to stakeholders, who gain more in-depth knowledge and understanding of residents which in turn may better support their own external roles;
- Resourcing – time, energy and commitment are invaluable resources. If the whole organisation ‘buys-in’ to the process, involvement becomes more meaningful and effective – but the implications for staff and managers in terms of their time, commitment and energy need to be identified and factored in.

The research also includes case studies and examples of different approaches to involvement as well as defining some of the terminology to explain what terms mean and what they can achieve. The aim is to shift organisations from a paternalistic approach which assumes professionals know best to one that fits with self-determination, personal responsibility and maintaining independence.

The Housing LIN has also published guidance about resident involvement in extra care housing.

Providers including Joseph Rowntree Housing Trust, Family Mosaic, Sanctuary and Peabody have all published resident involvement and consultation strategies which are available on the internet.

5.5 Community role of sheltered housing

The sheltered housing service is focused on residents and PFA were not aware of a wider community role for the schemes or the service. Some providers including ALMO’s have developed programmes of social and health related activities using the lounges in sheltered housing schemes as meeting places. These range from low level fitness classes through to services designed to improve the lives of older people with dementia and their carers.

5.6 Recommendations

5.6.1 Extra Care Schemes

The two Council run extra care schemes are both very small with only 15 units and the costs to the Council of commissioning care on site 24/7 is over £380,000 per annum (rents and service charge are paid for by residents either self-funded or by Housing Benefit).

There are two options for the schemes:

- For them to become part of integrated commissioning and aimed at people who would otherwise need to move into a care home. This should improve allocations and reduce voids. This may mean increasing care costs to include waking staff on duty at night to provide care. A cost benefit analysis will be required to determine how many residents would otherwise be in a care home placement funded by the Council and aggregated up to determine if the costs are more or less than those being paid under the current contracts.
- De-commission the schemes as extra care and let them as sheltered housing.

In addition to the Council schemes two Registered Providers Estuary Housing and Genesis manage Leyland Court and Catherine Lodge both of which are aimed at providing frail older people with an alternative to residential care. It is recommended that discussions take place with both providers to agree future funding for care and support services. There is potential at Catherine Lodge to increase the number of residents currently receiving an enhanced service (only 30 out of a total of 55 units receive the service).

Extra care housing needs a more explicit role and marketing to older people and their carers and to be understood by staff working across housing and adult social care. Schemes should be on the Council website with a link to the Elderly Accommodation Counsel website for more information (the EAC data will need updating as all four are currently described as sheltered housing).

5.6.2 Sheltered housing service

Sheltered housing services in the Borough would benefit from having a more strategic role to play in supporting older people to remain independent. This is the case for the Council schemes and those managed by RP's and small charities.

Actions include:

- Developing a shared vision and strategic role for sheltered housing across the Council, SEH and other providers. This could include some basic monitoring about falls and falls prevention, referrals to adult social care and admissions into care homes (this data is currently collected from the RP's as part of the housing related support contracts).
- Improving information on the Council website to include names and addresses of schemes and the organisations that manage them and a link to the Elderly Accommodation Counsel website to get more information. Making clear what services are on offer in sheltered housing and providing examples of costs.
- To start discussions with each of the sheltered housing providers whose support services receive Council funding to understand how they would like to deliver services from April 2017 and what assistance they are looking for from the Council. Any future funding should be equitable across providers and focussed on residents outcomes rather than their eligibility for Housing Benefit. Going forward services could be funded by the Council under a

contract or through providers shifting to an Intensive Housing Management Service funded by Housing Benefit for residents who are eligible.

- Improving consultation with residents in the Council sheltered schemes including providing all residents with a detailed service charge breakdown so those who wish to can understand how their money is being spent and engage with S.E.H about setting future priorities.
- Providing residents with greater clarity about service standards for repairs.

5.6.3 Careline

As part of the sheltered housing service the role of Careline should be clarified to make clear to residents that the standard service is monitoring only with the exception of Part 2 schemes when the Scheme Officer is on duty and s/he may be able to provide a response service.

The information about telecare on the Council website could be improved to provide more local information. Currently the link takes people to a film clip showing the service in North Yorkshire.

There is potential for Careline to grow its services as part of the wider plans for the Council's trading company. It could have a more explicit role in supported older people to return home from hospital with or without telecare devices and could be promoted to self-funders as part of the Council's duty to provide advice and information. Housing LIN case study 87 about Eden Independent Living includes a community alarm service alongside domiciliary care and handyperson services:

http://www.housinglin.org.uk/library/Resources/Housing/Practice_examples/Housing_LIN_case_studies/HLIN_CaseStudy87_Eden.pdf

If it is determined that Careline is not part of the Council's wider plans the Council could consider commissioning monitoring services from outside the Borough.

6. Technical appraisal

This section of the report considers what is involved in strategic property asset management and goes on to provide a technical appraisal of the Council Part 1 and 2 sheltered housing schemes.

In 2008 the Royal Institution of Chartered Surveyors produced a publication entitled 'Public Sector Property Asset Management Guidelines', which was revised and updated in 2012. Whilst primarily focused on the commercial property portfolio, the document can be equally relevant to housing stock.

In this publication the RICS set out to define the differences between a strategic forward looking approach to the management of property assets, as opposed to the traditional approach to the maintenance and upkeep of properties. The paragraphs below are taken from the RICS document and along with the graphic attempt to describe this approach.

6.1 RICS property asset management and property management

There is consensus about the basic characteristics of strategic property asset management for land and buildings, but to distinguish this process from property management is more difficult. Figure 6.1 assists in explaining how these management processes interrelate.

Many of the day-to-day property management activities which keep a facility operational are shown at Level 3. These may be carried out by contractors who will be procured by the property manager, often on a portfolio wide basis in order to reduce the number of suppliers. It is the job of the property manager to ensure that these services are efficiently delivered and that the facility meets the requirements of customers and staff. Across a portfolio, the property manager will oversee many facilities, perhaps with buildings and transactions managers taking care of maintenance.

Level 2 activity defines the property manager's support role for a number of properties and emphasizes the delivery of this critical activity for accommodation, perhaps across a whole organisation.

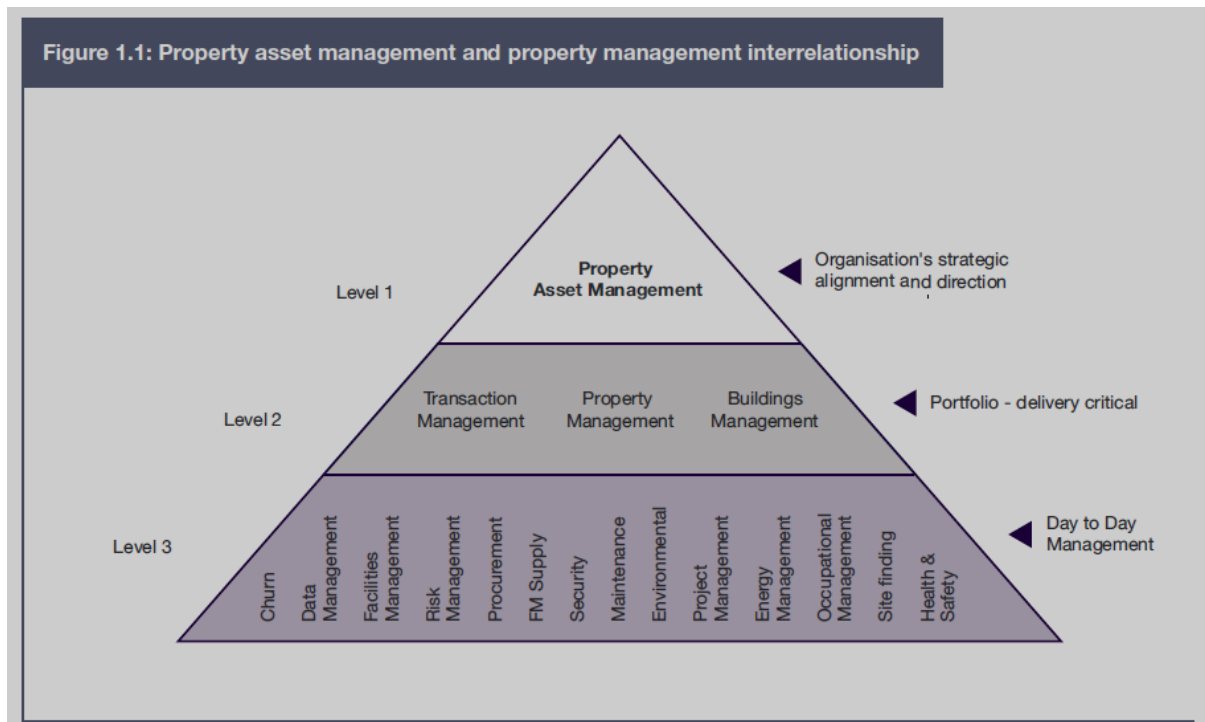
Level 1 - In contrast, the property asset manager ensures that the property asset base of an organisation is optimally structured in the best corporate interest of the organisation and in the case of housing stock, that it should serve the best interests of the relevant population.

The brief of the Asset Manager should be to align the property asset base with the organisation's corporate goals and objectives, shown at the apex of the diagram at Level 1. The job requires business as well as property skills and so it is not imperative that the role is filled by a property professional. However, it is essential that the property asset manager does have an overall knowledge of and experience in property matters. The property asset manager does not respond solely to the

requirements of any particularly operating part of the organisation, but rather, takes all requirements of the authority into account and tries to deliver the optimal solution in terms of the overall operational (including financial) goals and objectives.

The level 1 Asset Management role has an executive orientation. It is a corporate activity and should balance operational and financial requirements with the needs of both the property assets and tenants. The result should produce a match between the business plan and accommodation need.

Figure 6.1: Property asset management and property management interrelationship



Copyright RICS

PFA have been provided with a copy of a 'SEH Asset Management Strategy' dated November 2013. This sets out a strategic approach similar to the model proposed by RICS above, with the added dimension essential for social housing providers, which is a customer focused approach. Within the SEH strategy there are references to ways of working and tools that will be used. It appears that due to financial constraints, including not replacing some staff that leave, many of the stated aims and ways of working set out in the 'SEH Asset Management Strategy' document are not currently in place.

Following a strategic asset management approach (including work such as this borough wide review into sheltered housing provision), supported by appropriate tools and staff who understand and are committed to this way of working, will help ensure future stock investment decisions are only made after taking all relevant factors into account.

6.2 Technical appraisal of SEH sheltered housing stock

The stock is divided into two main categories. This is a standard approach in housing for older persons. The Part 1 stock is meant to be for more independent living, whereas the Part 2 stock can provide more facilities and support, where needed. There are also two small 'Extra Care' facilities, which have been converted from former Part 2 schemes.

Good quality financial information for the schemes was received from SEH allowing thorough desktop analysis supported by scheme visits. Information obtained from the Stock Condition Survey and historic spending records was compiled into a master spreadsheet and analysed at unit cost level.

Our standard methodology also requires the completion of a basic property survey⁸ for each scheme by local staff. In this instance the forms were not completed and similar information had to be gathered by PFA. All information is fed into a spreadsheet that uses a balanced scorecard approach to rate each property against a series of relevant attributes.

Using the observational and factual data which has been pulled together, this allows comparisons to be made and a picture for each scheme begins to emerge together with a general overview of the whole stock.

Schemes are generally well maintained, with the usual focus on 'Decent Homes' compliance and following Stock Condition Survey (SCS) forecasts for renewal programmes. It should be stated that any SCS is a relatively blunt instrument and rather than following forecasts, a review of outputs should always take place to ensure investment decisions are based on both current physical condition and business need.

Reports on future investment needs were obtained from the SCS and analysis of this was taken into account in the following options appraisal. Highlights abstracted from this information are:

- Current backlog on capital investment for 41 schemes = £4.45m
- Total spend on upkeep of 41 schemes required over next 30 years = £39m
- Average annual responsive repair spend over past 6 years = £364 / unit
- Highest spend per unit average over 6 years; Bronte Mews = £659 / unit

On the capital investment side, a positive outcome has been the decision to convert bathrooms to shower rooms in Part 2 flats. The majority of residents liked their new showers and it will mean flats are more able to meet the needs of residents as they age.

Where money has been invested in photo-voltaic solar panels, it is presumed these can be removed from schemes that may be de-commissioned at some point in the future and re-used elsewhere.

There is a general issue with the Part 1 flats and in particular their fundamental suitability for older people because of lack of lift access to the upper floors including 3-storey blocks.

⁸ The PFA 'Property Survey' is designed to capture local knowledge from the commissioner's staff. It is easily completed by persons without a technical background.

Key issues for Southend are:

- The SEH Asset Management Strategy document is in need of updating and should reflect current practice.
- Southend could benefit from producing 'A vision for the future of housing for older people in the Borough'. This would provide clarity about the future role of specialist housing for older people and help to inform future investment decisions such as directing funding into long term sustainable projects.
- Consideration should be given to the long term sustainability of schemes when components are renewed.
- All future reinvestment decisions should be based on a considered business case backed up with figures to show a likely return on capital investment. At present investments are reportedly made in line with Stock Condition Survey reports.
- Individual scheme decisions should be taken in the context of the whole estate and the wider impact of any decision – both positive and negative
- Consideration should be given for change of designation to upper floor flats without mechanical vertical access to general needs housing. It is recognised that this will raise issues about 'Right to Buy' and the potential of future sales to private landlords.

7. Options Appraisal

PFA has sought to take a holistic approach to this sheltered housing review, integrating technical information and cost forecasting with the broader context of a wider set of factors impacting on schemes such as location, local demographics and demand.

The recommendations set out in this section are based on consideration and analysis of the following:

- Findings from physical and virtual surveys of properties which provides baseline data and analysis of Asset Management data.
- A review of the stock against the following criteria:
 - Accessibility to flats and common parts of the buildings for older people including wheelchair users
 - Access to local services and facilities
 - Suitability of each scheme for current and future residents
 - Future planned and cyclical maintenance costs
 - A comparison of current stock and future needs and aspirations of older people
- Findings from the resident consultation meetings, telephone calls and emails to and from residents.
- Choice based lettings data to understand demand for sheltered and general needs housing for social rent.
- Demographic analysis of the current and predicted future older population.
- The local housing market including older person's tenure, house prices and the housing circumstances of older people.
- The availability of specialist housing for older people for rent and sale.
- An overview of care and support services in Southend designed to support older people's independence.
- Local strategies and plans that impact on future services for older people
- Consideration of national policy and good practice.
- The fact that all schemes are letting including over 200 studio units in the Part 2 schemes means that the Council can take a pragmatic and phased approach to upgrading, change of use or decommissioning based around schemes as they start to get lettings problems and come to the end of their natural life.

Following on from the technical appraisal summarised in Chapter 6, PFA looked at each scheme individually and also in the context of the wider stock portfolio. This is summarised in Appendix 4.

This section of the report summarises the findings of the review exercise and provides recommendations for each SEH scheme using a traffic light system:

- Schemes with a green traffic light
- Schemes with an amber traffic light
- Schemes with a red traffic light

This information can be used to inform the vision for housing for older persons in the borough. Timescales for addressing each of the recommendations would be subject to both budgetary and human resources constraints. The report indicates suggested priorities. However, it would be for the Council to decide on the overall timescale they believe is realistic to achieve stock transformation.

7.1 Schemes with a green traffic light

Figure 7.1 lists the schemes PFA recommends to retain as sheltered housing, along with a description of the scheme to justify this recommendation. All these schemes consist of properties with lifts or level access and one bedroom.

Figure 7.1: Schemes to retain as sheltered housing

Scheme Name	Description
Great Mead	In a good location at the East end of the borough, close to Shoeburyness with excellent local facilities close by. A medium size scheme with 48 flats.
Nicholson House	A good scheme close to the town centre. This large scheme has 96 one bedroom flats. Some issues about security in the scheme were raised at the resident consultation meeting.
Trevett House	In a good location on Southchurch Road with local amenities and, close to the town centre. Relatively small with 29 flats.
Bungalows (all areas/ schemes)	Bungalows continue to be desirable, but smaller one bedroom bungalows will become an increasing issue in the medium term and options will need to be explored on a location by location basis. Repair costs are generally high at the bungalow stock and the reasons for this should be investigated.

7.2 Schemes with an amber traffic light

7.2.1 mainly one bedroom flats – possible remodel and conversion of studios flats

Figure 7.2 lists the schemes where more than 50% of the flats are one bedroom and some remodeling may be possible to upgrade studios and convert the whole scheme to one bedroom flats. This would be subject to a detailed feasibility study.

Figure 7.2: Schemes for possible re-model and conversion of studio flats

Scheme Name	Description
Adams Elm House	In a good location on London Road, Leigh on Sea. This is a large scheme with 87 flats, 42% of which are studios. As this is a relatively high proportion it may be difficult to devise a cost effective solution.
Bishop House	There are a total of 77 properties at Bishop House, 16 of which are deck access flats separated from the main scheme by a grassed area. In the main block there are 19 studio flats and 42 one bedroom flats. The property is in a good location and it is envisaged a remodelling study could produce a cost effective solution that would ensure long term sustainability for this property.
The Jordans	Situated in a convenient location for transport and also close to the bungalow schemes at Cedar, Kipling and Bronte Mews.
Kestrel House	Located in the same district as Great Mead. In a good location close to local amenities, only 5 of the flats are studios.
Norman Harris House	Close to the town centre and seafront, this is a relatively small scheme with 28 units, 6 of which are studios.
Scott House	Located at the north end of the borough near to Bishop House. A larger scheme with 58 flats. The scheme is split into a main block with a lift and external flats. The external block may be better suited to general needs use.

7.2.2 Smaller schemes and schemes with a high proportion of studios where the long term future must be considered

These are schemes that could be highlighted in a vision for the future housing of older persons in Southend-On-Sea as possible redevelopment opportunities.

Figure 7.3 lists the schemes recommended by PFA for a more in depth appraisal to determine their future.

Figure 7.3: Schemes for further in depth appraisal to determine their future

Scheme Name	Description
The Brambles	In a good location for transport being situated on the main A1159. This medium sized scheme has 39 flats 19 of which are studios. Being on a compact site, remodeling could prove difficult.
Buckingham House	A small scheme on the west side of the town centre. There are 28 flats, 14 of which are studios. The internal environment is quite institutional with a lot of painted concrete blockwork throughout the communal areas.
Crouchmans	A larger scheme, close to Great Mead and Kestrel House. 60 units, half of which are studios.
Furzefield	A smaller scheme with only 28 units on a tight site tucked away at the end of a cul de sac. Slightly remote from facilities, the property has quite an institutional feel with painted concrete blockwork throughout the communal areas. Of the 28 units, 8 are studios, the property has limited potential for remodeling.
Keats House	A small scheme with 24 units, 20 of these are studios. Close to Shelley Square. This scheme has had previous investment to remodel as an extra care scheme but care was never commissioned on site.
Mussett House	A pleasant but very small scheme close to London Road in Leigh on Sea. 21 units, with 11 of these being studios. Limited potential for remodeling on a relatively small site.
Nayland House	Located at the north side of the borough. This small scheme has 27 units, 13 are studios. Built in the early 60's the property has limited potential for remodeling.
Nestuda House	Located on the far north west tip of the borough, the property has 20 studios out of a total of 29 flats, the highest percentage of all the schemes. Remodeling such a large number of studios into one bedroom flats is unlikely to be a practical proposition.
Senier House	A very small scheme converted and extended from a large private house and located in Leigh on Sea. The scheme has 20 units, 5 of which are studios.
Stephen McAdden House	In a good central location within the borough and occupying a site surrounded by Council owned land that could be developed for older persons housing. There are 66 units, 50% of which are studios.
Trafford House	One block down from London Road, close to Yantlett and Adams Elm House, this is a very small scheme of 26 units in a desirable area. 13 of the units are studios.

7.3 Schemes with a red traffic light

7.3.1 Schemes where some of the properties could be let as general needs

Generally, this is all flats without level access (mainly Part 1 properties) – either upper floor flats without vertical mechanical access arrangements, or isolated ground floor units with long external travel distances from vehicular drop off points.

Where change of use renders communal facilities redundant, these could be redeveloped into additional lettable units, used as additional communal facilities or where possible, let on commercial leasehold terms.

Figure 7.4 lists the schemes recommended by PFA for consideration to let some units as general needs.

Figure 7.4: Schemes that could be let as general needs

Scheme Name	Description
Avon Way / West Road	These flats are deck access blocks adjacent to one another located close to a shopping parade in Shoeburyness. Three storey blocks without vertical mechanical access, these properties are unsuitable for long term older person's accommodation. There are a total of 40 units.
Bradfordbury / Eastwood Old Road / Rothwell Close	2 storey flats in blocks of 4 with a common access. There are also communal facilities within the site. Located close to the Westwood extra care scheme. There are a total of 40 units in 10 blocks.
Cedar Close / Dickens Close	28 flats in Cedar Close, 32 in Dickens Close. Located approx. 400 metres apart at either end of a road containing mainly houses. These are two blocks of 3 storey flats each with 6 flats with the same shared access – a total of 24 flats in the three storey blocks. The remaining flats are in adjacent 2 storey blocks with 4 flats per block.
Kingfisher Close / Sandpiper Close	2 adjacent schemes with a shared communal block between. Located close to Great Mead and Kestrel House, these are recently refurbished two storey blocks with 8 flats in each block.
Nursery Place	In a good location on Southchurch Road close to Nicholson House and Trevett House. A three storey building with a total of 36 flats accessed by 4 separate staircases. There are communal facilities on the ground floor. Access makes the building unsuitable for older persons housing.

Scheme Name	Description
Randolph Close	Two storey flats, similar to general needs properties adjacent to the Bradforbury scheme. These flats have individual access to each unit. The upper flats are not suitable for older persons housing.
Shelley Square	Similar to the 3 storey units at Cedar Close, access makes the property unsuitable for older persons housing. There are two 3 storey blocks 24 flats accessed by 4 separate entrances. A further two blocks of 2 storey units, containing four flats each, are somewhat isolated set behind housing at the rear of Shelley Square.
Sherwood Way	Probably the most challenging and least desirable of the Part 1 units. Similar in design to the Avon Way / West Road flats, these are deck access blocks. There are 24 units in the 3 storey blocks and a further 8 units in 2 storey deck access blocks.
Snakes Lane	Located in the north west corner of the borough close to local facilities. These are a series of deck and shared access flats in two storey blocks. This is a big site with good potential for complete redevelopment. A feasibility study into potential uses for the site is recommended.
Yantlet	Located on London Road close to Adams Elm House. Previously Part 2 accommodation and redesignated as Part 1. This large 4 storey deck access block does have a single lift, however each flat has a large step at the front door to gain access to the flats. There are also 4 flats in a 2 storey block attached to the main building that do not have access to a lift. There are a total of 42 units at this scheme.

7.3.2 Schemes with potential for redevelopment

Several sites have potential for redevelopment, including:

- Schemes which cannot be remodeled to become fit for purpose.
- Schemes which are adjacent to Council owned land and buildings which could be developed to provide a range of types and tenures of housing for older people. Around the country there are examples of local authorities working with providers such as the Extra Care Charitable Trust, Anchor and others to develop care villages.
- Schemes which in future require major investment, where the outcome of a detailed appraisal and feasibility study may be to decommission and redevelop the site. There are some schemes which have a large site footprint

with open spaces at the front and/or large gardens at the rear. These currently place a heavy burden on the service charge for grounds maintenance. There is potential to either add additional units or to undertake a more ambitious site re-design to include different types and tenure of housing.

7.6 Former warden properties

Former warden properties should be let as general needs housing or converted to provide additional accommodation for older people (taking account of earlier recommendations about the future of some schemes).

8. Conclusions

Key issues for the Council are:

Strategic – developing a vision and strategic role for sheltered housing, extra care housing and Careline set within the wider local context of integrated commissioning of services for older people across the Borough and the re-design of housing and adult social care services. This will set the context for the recommendations set out in the Options Appraisal for individual sheltered schemes owned by the Council.

Operational – making changes to services in sheltered and extra care housing, managed by SEH and Registered Providers to improve outcomes for residents and ensuring better value for money for the Council.

Appendix 1: Policy Context

A1.1: Housing

Central government has begun to acknowledge the importance of older people as a population group in the housing market.

The Housing Green Paper (Homes for the future: more affordable, more sustainable, DCLG, July 2007) has a specific section on housing for an ageing population (chapter 6, paragraph 9) which states that “a substantial majority of new households in many regions will be over 65”.

Lifetime Homes, Lifetime Neighbourhoods: A National Strategy for Housing in an Ageing Society was published by DCLG, DH and DWP in February 2008. DCLG believes that this growth in older households may be the most significant driver of the housing market over the next 20 years

Government action is based on three key areas:

- Providing support for people who want to stay at home (e.g. Disabled Facilities Grants and handyperson services)
- Information and Advice (e.g. First Stop National Housing Advice Service)
- Increasing choice for older people who want to move

Laying the Foundations: A Housing Strategy for England (DCLG 2011) reaffirms the government’s commitment to older people’s housing. The strategy makes an explicit commitment to “encourage local authorities to make provision for a wide range of housing types across all tenures, including accessible and adaptable general needs retirement housing, and specialised housing options including sheltered and Extra Care housing for older people with support and care needs.”

In 2014 DCLG commissioned external research and policy development on older people’s housing. A key driver for this was to look at how the volume of suitable housing for older people could be increased across all tenures.

The Government concluded that ‘doing nothing is not an option’, (speech by Terrie Alafat, Director of Housing DCLG, to the Northern Housing Consortium, conference October 2014), and that investment in both specialist and general needs housing that meets the aspirations of older households and is fit for the future makes economic sense.

DCLG has identified the benefits of specialist housing for older people to health and social care:

- On average extra care residents spend less time in hospital
- It is estimated the NHS could save around £75,000 per unit of supported housing

- 19% of older people receiving care at home go into institutional care compared to under 10% of those in extra care housing

Similarly, the 'Housing our Ageing Population: Panel for Innovation (HAPPI)' report of 2009 jointly published by DCLG, DH and the Homes and Communities Agency (HCA) sets out comprehensive guidance on addressing the housing and support needs of older people in a significantly different direction to historic provision, including:

- The provision of housing to help older people to maintain their chosen lifestyles
- Safe, secure, healthy and attractive environments, close to the shops, amenities and social networks
- Homes that are easy to maintain and that can be adapted to changing needs
- Helping older people to be in control of their lives and to make their own decisions about housing and support

HAPPI 3⁹, published in June 2016, sets out the following recommendations for local government and housing associations:

Local Government

- **Councils** need to ensure their Local Plan gives the necessary priority to older people's housing needs – not least as a core component of any new settlements – and that new developments of retirement housing embrace HAPPI design principles.
- **Exemption of retirement housing** from the requirement to build Starter Homes – or to pay a commuted sum in lieu – would provide the opportunity to prioritise this age group. It is important too, to recognise that the Community Infrastructure Levy must not threaten the viability of such developments.
- **Health and Wellbeing Boards** are ideally placed to promote age-exclusive housing and technology-enhanced care services that combat loneliness, prevent the need for residential care and reduce requirements for domiciliary care.
- **Council/ALMO** house-building and Council support for housing association development for older tenants can free up affordable, under-occupied family homes – for example, with bungalows on infill sites within estates – achieving solutions for both younger and older households.

Housing Associations

- **We call on all** the major housing associations to recognise the scale of unmet need for housing in all tenures for older people which they can address as trusted, regulated, experienced providers.
- **We urge the sector's** representative bodies – such as the Chartered Institute of Housing and the National Housing Federation – to be advocates for older people's housing, with government and with those networks representing house builders and retirement housing operators.

⁹ All Party Parliamentary Group on Housing and Care for Older People 'Housing our ageing population: Positive Ideas HAPPI 3 Making retirement living a positive choice', June 2016.

- **As innovative providers**, housing associations could move forward in introducing ‘care ready’ features and could use new connected home technologies to provide greater autonomy and control.
- **We encourage more housing associations** to use their development skills and experience to assist the fledging “senior co-housing movement”, custom building for groups of older people.
- **We call on the housing associations** to forge strong partnerships with their local authorities – including new Combined Authorities – and with institutional investors, with developers and with the Homes and Communities Agency and GLA, to make a very real difference to the housing of our ageing population.

A1.2: Adult social care

The Care Act 2014 has been described by the Government as ‘the most significant reform of care and support in more than 60 years.’ Key responsibilities for Local Authorities include better health and social care integration.

The Care Act also requires Local Authorities to promote wellbeing, prevent the need for care and support, provide information and advice and facilitate a vibrant, diverse and sustainable market of care and support provision.

The Better Care Fund was announced in June 2013 to drive the transformation of local services to ensure that people receive better and more integrated care and support. The fund consists of at least £3.8 billion to be deployed locally on health and social care through pooled budget arrangements between local authorities and Clinical Commissioning Groups. All plans should be signed off by Health and Wellbeing Boards and by constituent Councils and Clinical Commissioning Groups.

The Better Care Fund offers a substantial opportunity to bring resources together to address immediate pressures on services and lay foundations for a much more integrated system of health and care delivered at scale and pace. But it will create risks as well as opportunities. The £3.8 billion is not new or additional money. Guidance makes clear that the Better Care Fund will entail a substantial shift of activity and resource from hospitals to the community.

The NHS Five Year Forward View sets out the future for the NHS and Clinical Commissioning Groups (CCG’s) are required to publish a five-year Sustainability and Transformation Plan which focuses on care in primary care and community based settings and a one-year Operational Plan.

Reducing the demand for health and care services, by enabling people to enjoy a healthy and active life within their communities, is a key priority for the NHS and social care system.

For local authorities and the NHS key outcomes are to achieve:

- Reductions in the numbers in long term residential and nursing home care and increasing alternatives such as extra care housing

- Successful reablement (intensive support to help individuals regain independence following illness and/or hospital stay)
- Achieving identifiable benefits in relation to prevention initiatives that promote independence and self-care and reduce reliance on costlier publicly funded services

The Coalition Government (Department of Health) published its Vision for Adult Social Care in November 2010 with a statement of the purpose of care services and it includes a clear steer for the further development of Extra Care housing.

A1.3: Welfare Reform

Until recently welfare reform has not impacted on sheltered housing as changes have been aimed at working age adults rather than older people. However the government's proposed changes to rents will impact on supported and sheltered housing, including:

- **Local Housing Allowance Cap**
In the Spending Review the Chancellor outlined plans to cap the amount of rent that Housing Benefit will cover in the social sector to the relevant Local Housing Allowance (LHA). In March 2016 the Government announced a 12-month delay on its proposals to bring supported housing rents in line with local housing allowances
- **1% rent reduction**
January 2016 the Government agreed to exempt supported housing for a year from the rent cap due to come into place for social rented accommodation in April 2016

A decision on revenue funding for supported housing is expected in the Autumn. Welfare reform is impacting on Registered Providers' appetite and ability to develop supported housing schemes, with some deferring decisions until the position about the applicability of rent reductions and Local Housing Allowance is known.

Appendix 2: Demographic and Market Analysis

A.2.1 Introduction

This demographic and market analysis includes data for Southend-on-Sea local authority area and the 19 ward areas that make up Southend-on-Sea. The local authority data has been compared with regional and national data to provide context.

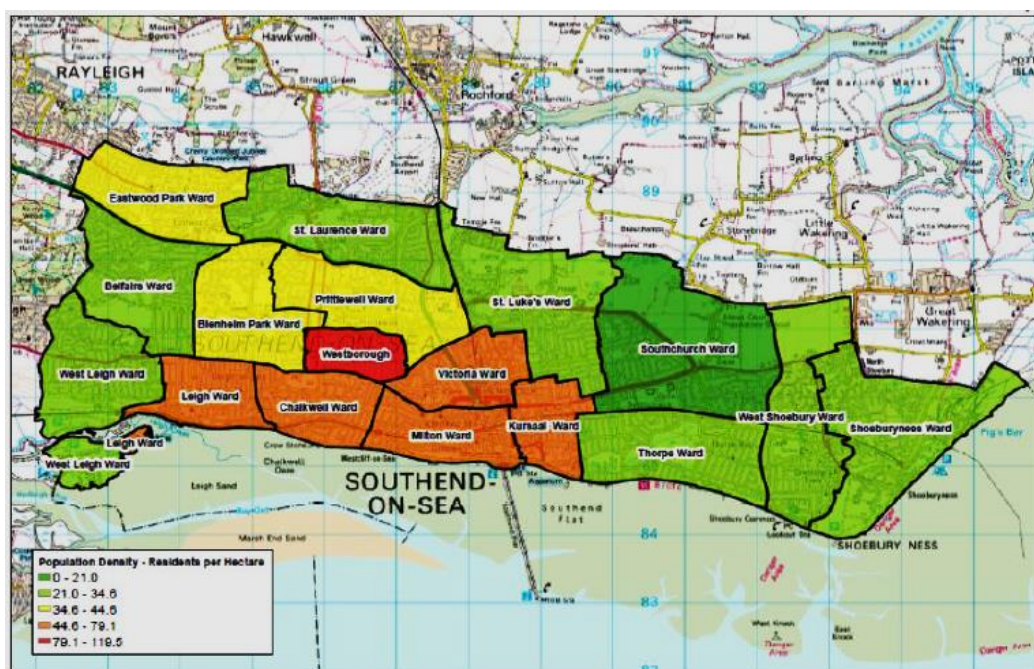
This appendix provides further detailed information to the summary provided in Section 3 of the main report.

Figure A2.1 provides a list of the ward areas within Southend-on-Sea and Figure A2.2 identifies these wards on a map.

Figure A2.1: Southend-on-Sea Wards

Belfairs Ward	St Luke's Ward
Blenheim Park Ward	Shoeburyness Ward
Chalkwell Ward	Southchurch Ward
Eastwood Park Ward	Thorpe Ward
Kursaal Ward	Victoria Ward
Leigh Ward	Westborough Ward
Milton Ward	West Leigh Ward
Prittlewell Ward	West Shoebury Ward
St Laurence Ward	

Figure A2.2: Southend-on-Sea Ward Map



Source: Joint Strategic Needs Assessment 2012 Summary, Southend-on-Sea

All of the data provided within this analysis has been taken from reliable and up-to-date data sources, including the Office for National Statistics and Projecting Older People Population Information (POPPI). Property prices have been gathered from a variety of websites, including Rightmove, onthemarket.com and the McCarthy and Stone website.

A2.2. Population

Local Authority Population Projections

Figure A2.3 provides projection data for the population aged 50 and over in Southend-on-Sea between 2015 and 2035. Numbers of people aged 50+ are projected to rise from 66,300 in 2015 to 87,100 by 2035, an increase of 31.4%.

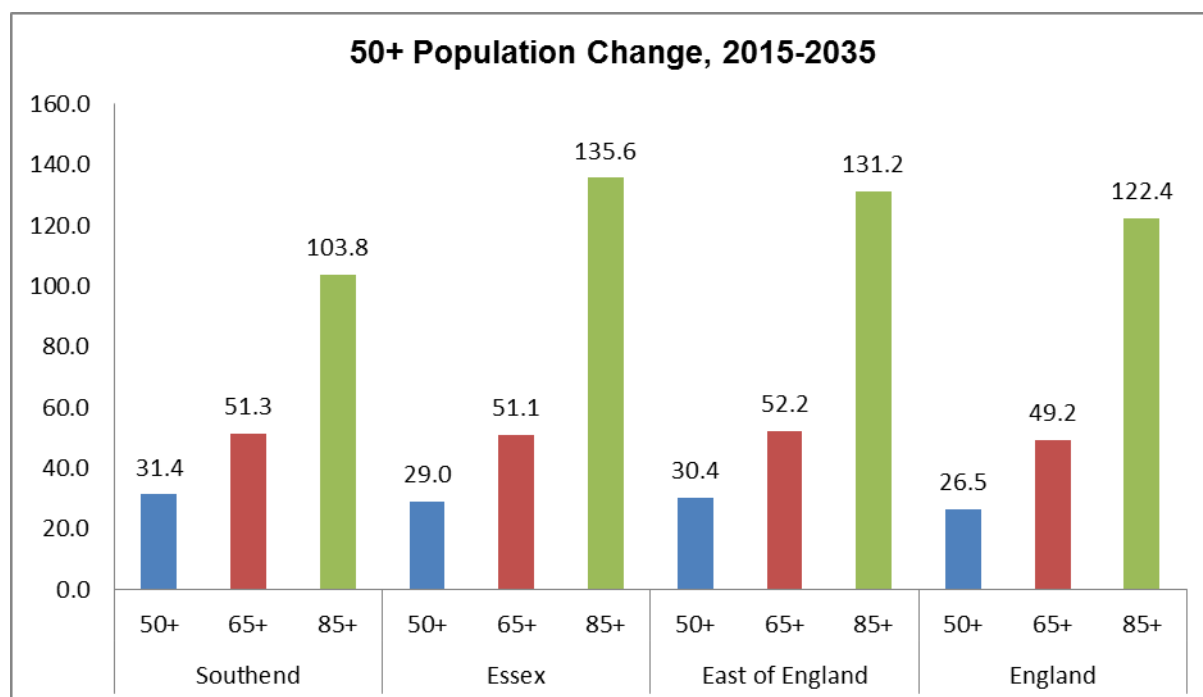
Figure A2.3: Projections for the Population (thousands) aged 50+ in Southend-on-Sea, 2015-2035

Age Group	Year of Projection					% Change 2015-2035
	2015	2020	2025	2030	2035	
50-54	12.5	12.9	12.2	11.6	12.2	-2.4
55-59	10.5	12.4	12.8	12.1	11.6	10.5
60-64	9.4	10.4	12.2	12.7	12.0	27.7
65-69	10.2	9.2	10.2	12.0	12.5	22.5
70-74	7.6	9.7	8.8	9.8	11.6	52.6
75-79	6.1	7.0	8.9	8.2	9.2	50.8
80-84	4.7	5.1	6.0	7.8	7.2	53.2
85-89	3.3	3.5	4.0	4.8	6.3	90.9
90+	2.0	2.3	2.8	3.6	4.5	125.0
Total 50+	66.3	72.5	77.9	82.6	87.1	31.4
Total 65+	33.9	36.8	40.7	46.2	51.3	51.3
Total 85+	5.3	5.8	6.8	8.4	10.8	103.8

Source: ONS 2012-based Sub-National Population Projections

These projections are compared to the regional and national averages in Figure A2.4, showing that the projected rate of change in the population aged 50+ is highest in Southend-on-Sea whilst the projected change in the population aged 85+ is lowest.

Figure A2.4: Projected Population Change Southend-on-Sea and Comparators, 2015-2035



Source: ONS 2012-based Sub-National Population Projections

Ward-Level Population Estimates

Mid-2013 based ward-level population estimates are provided in Figure A2.5 and summarised in Figure A2.6. Population numbers differ quite widely between ward areas, with the highest number of people aged 50+ living in Belfairs ward and the lowest number in Westborough ward.

Figure A2.5: Mid-2013 Ward Population Estimates for South-on-Sea Wards

Ward	Age Group								
	50-54	55-59	60-64	65-69	70-74	75-79	80-84	85-89	90+
Belfairs	627	567	647	772	587	501	396	269	157
Blenheim Park	712	602	652	610	456	397	310	201	113
Chalkwell	647	564	566	535	334	290	296	267	298
Eastwood Park	684	567	628	774	536	459	380	221	101
Kursaal	719	591	486	388	266	221	143	135	88
Leigh	613	534	493	486	338	256	208	147	104
Milton	654	521	473	418	335	318	305	232	174
Prittlewell	734	649	596	673	460	387	321	220	146
St Laurence	753	628	660	679	467	410	299	197	92
St. Luke's	846	601	511	523	336	257	277	150	80
Shoeburyness	847	659	623	708	440	350	179	121	59
Southchurch	638	506	545	688	483	445	347	240	119

Thorpe	710	528	645	697	514	479	371	262	140
Victoria	666	562	469	420	303	256	206	154	85
Westborough	695	550	417	352	261	176	140	72	30
West Leigh	650	558	586	598	417	344	277	185	110
West Shoebury	755	592	580	671	407	348	265	198	103

Source: Table SAPE15DT8: Mid-2013 Population Estimates for 2013 Wards in England and Wales, by Single Year of Age and Sex (experimental statistics)

Figure A2.6: Mid-2013 Ward Population Estimates for South-on-Sea Wards (summary)

Ward	Total 50+	Total 65+	Total 75+	Total 85+
Belfairs	4,523	2,682	1,323	426
Blenheim Park	4,053	2,087	1,021	314
Chalkwell	3,797	2,020	1,151	565
Eastwood Park	4,350	2,471	1,161	322
Kursaal	3,037	1,241	587	223
Leigh	3,179	1,539	715	251
Milton	3,430	1,782	1,029	406
Prittlewell	4,186	2,207	1,074	366
St Laurence	4,185	2,144	998	289
St. Luke's	3,581	1,623	764	230
Shoeburyness	3,986	1,857	709	180
Southchurch	4,011	2,322	1,151	359
Thorpe	4,346	2,463	1,252	402
Victoria	3,121	1,424	701	239
Westborough	2,693	1,031	418	102
West Leigh	3,725	1,931	916	295
West Shoebury	3,919	1,992	914	301

Source: Table SAPE15DT8: Mid-2013 Population Estimates for 2013 Wards in England and Wales, by Single Year of Age and Sex (experimental statistics)

Ethnicity

The ethnic profile of people aged 65+ is provided in Figure A2.7. 97.6% of the 65+ population of Southend-on-Sea is White, a higher level than the national average and lower than the regional average.

Figure A2.7: Ethnic Profile of Population Aged 65+ in 2011, Southend-on-Sea and Comparators (%)

Area	White	Mixed/ multiple ethnic group	Asian/ Asian British	Black/ African/ Caribbean/ Black British	Other Ethnic Group
Southend on Sea	97.6	0.4	1.5	0.4	0.2
Essex	98.5	0.3	0.9	0.3	0.1
East of England	97.6	0.3	1.4	0.5	0.1
England	95.3	0.4	2.7	1.3	0.3

Source: Projecting Older People Population Information (POPPI)

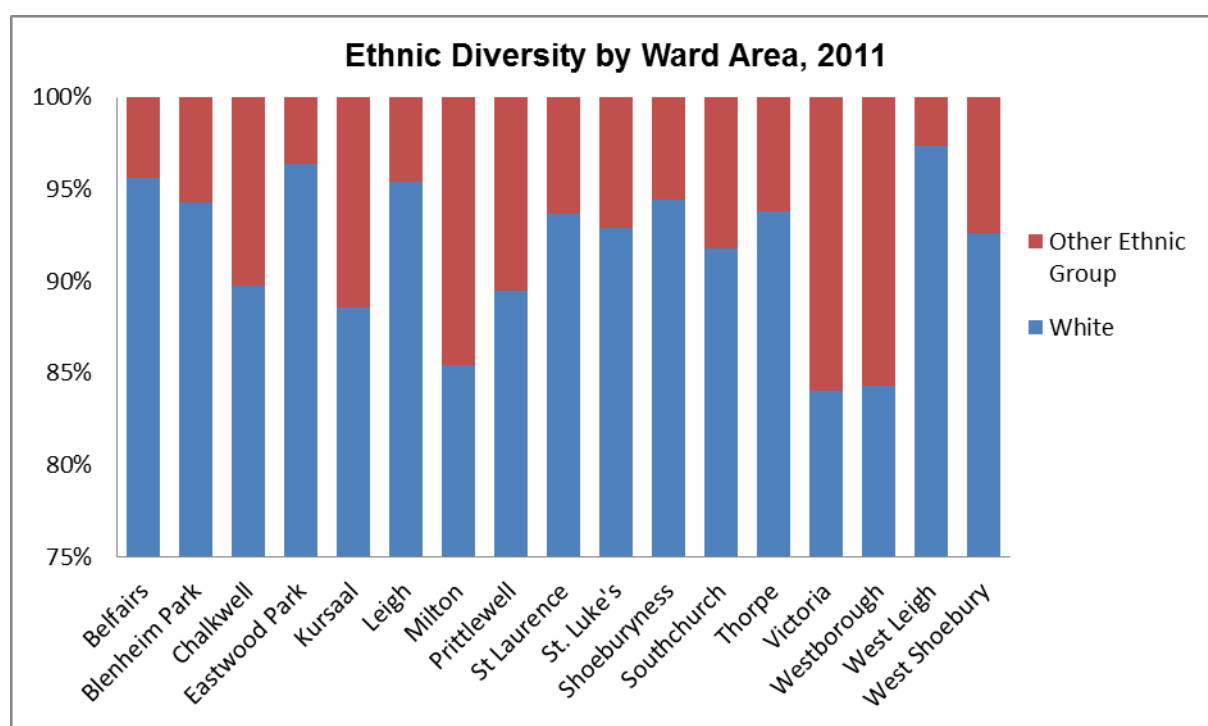
The ward-level ethnic profile is given in Figure A2.8 and Figure A2.9. Ward-level ethnicity data is not available broken down by age, so the data below covers the total population. The Victoria and Westborough wards have the highest levels of ethnic diversity, whilst West Leigh and Eastwood Park have the lowest.

Figure A2.8: Ward-Level Ethnic Profile (all ages), 2011 Census

Ward Area	White	Mixed/ Multiple Ethnic Group	Asian/ Asian British	Black/ Caribbean/ British	African/ Black	Other Ethnic Group
Belfairs	95.6	1.3	1.7	0.9		0.4
Blenheim Park	94.3	1.6	3.0	0.9		0.3
Chalkwell	89.8	3.3	3.0	3.2		0.7
Eastwood Park	96.4	0.9	1.8	0.7		0.2
Kursaal	88.6	3.7	3.3	3.8		0.7
Leigh	95.4	2.2	1.6	0.5		0.3
Milton	85.4	2.8	6.4	4.3		1.0
Prittlewell	89.5	1.8	6.1	2.0		0.7
St Laurence	93.6	1.4	3.2	1.5		0.3
St. Luke's	92.9	2.1	2.4	2.1		0.6
Shoeburyness	94.4	2.0	1.9	1.2		0.4
Southchurch	91.8	1.6	4.5	1.8		0.4
Thorpe	93.8	1.7	3.2	1.0		0.3
Victoria	84.0	3.0	7.5	4.7		0.8
Westborough	84.3	2.9	7.9	3.9		0.9
West Leigh	97.4	1.0	1.1	0.4		0.2
West Shoebury	92.6	1.8	3.4	1.8		0.4

Source: ONS Neighbourhood Statistics, based on 2011 Census data

Figure A2.9: Ethnic Diversity by Ward Area, 2011 Census



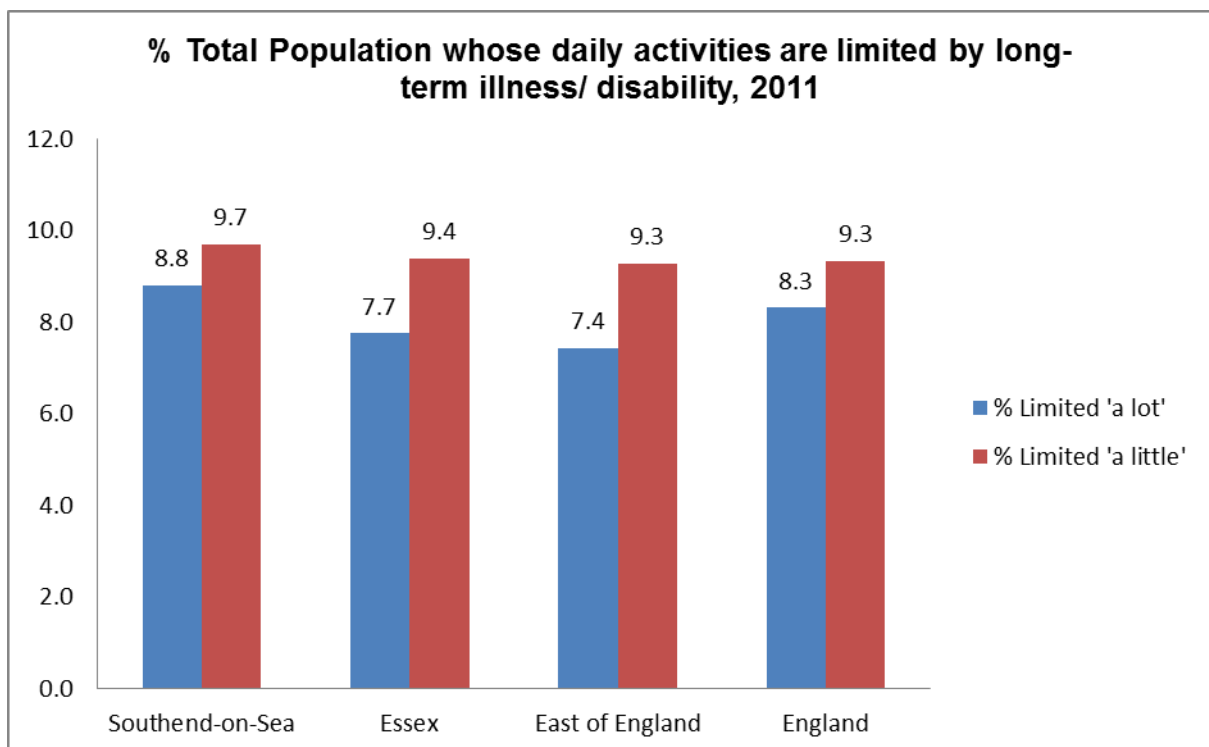
Source: ONS Neighbourhood Statistics, based on 2011 Census data

A2.3. Health

Limiting Long-Term Illness/ Disability

Figure A2.10 shows the percentage of the total Southend-on-Sea population that is limited 'a little' and 'a lot' by long-term illness or disability, compared with the regional and national averages. The levels of limitation are higher in Southend-on-Sea than the comparator areas.

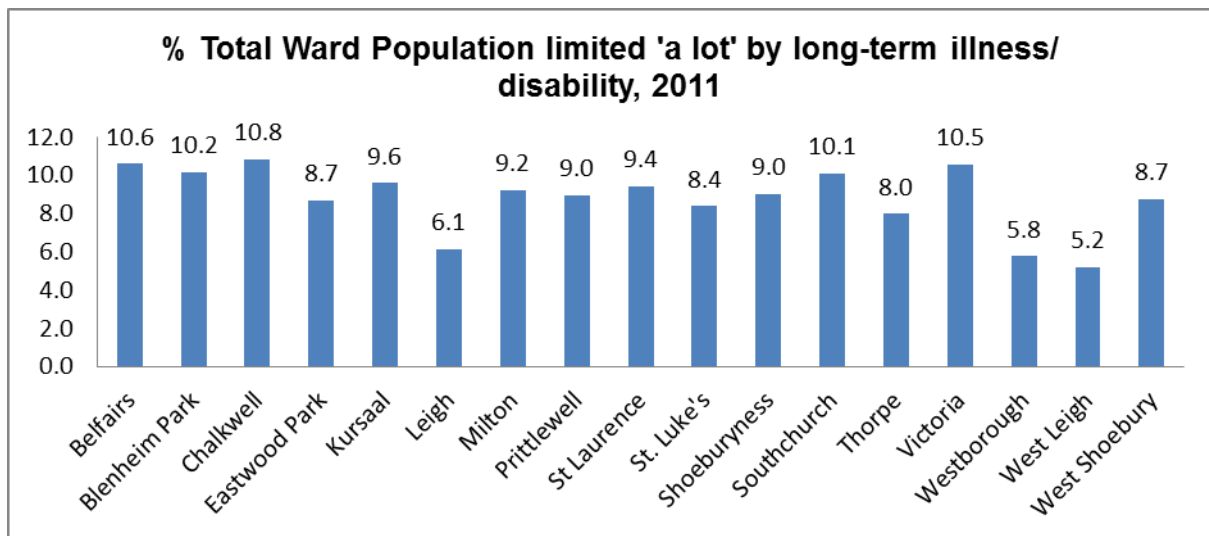
Figure A2.10: % Total Population Limited by Long-term Illness/ Disability 2011, Southend-on-Sea and Comparators



Source: ONS Neighbourhood Statistics, based on 2011 Census Data

Figure A2.11 provides this data at the ward level. There is a high level of diversity between the ward areas, with the Chalkwell ward having the highest level of population limited 'a lot' at 10.8% and the West Leigh ward having the lowest level at 5.2%.

Figure A2.11: % Total Ward Population Limited 'a lot' by Long-term Illness/ Disability, 2011



Source: ONS Neighbourhood Statistics, based on 2011 Census Data

Provision of Unpaid Care

Projection data that estimates the number of people aged 65+ providing unpaid care is given in Figure A2.12. A total of 4,761 people aged 65+ were estimated to be providing unpaid care in 2015. This figure is projected to rise to 6,322 by 2030, an additional 1,561 people and a percentage change of 32.8%.

Figure A2.12: Number of People Providing Unpaid Care by Age and Number of Hours Projected to 2030, Southend-on-Sea

Provision of unpaid care	Year of Projection				Additional No. 2015-2030	% Change 2015-2030
	2015	2020	2025	2030		
People aged 65-69 providing 1-19 hours of unpaid care	1,036	934	1,036	1,219	183	17.7
People aged 70-74 providing 1-19 hours of unpaid care	569	726	659	734	165	29.0
People aged 75-79 providing 1-19 hours of unpaid care	370	424	539	497	127	34.3
People aged 80-84 providing 1-19 hours of unpaid care	238	258	304	395	157	66.0
People aged 85 and over providing 1-19 hours of unpaid care	133	145	170	207	74	55.6
People aged 65-69 providing 20-49 hours of unpaid care	213	192	213	250	37	17.4
People aged 70-74 providing 20-49 hours of unpaid care	132	168	153	170	38	28.8
People aged 75-79 providing 20-49 hours of unpaid care	125	143	182	168	43	34.4
People aged 80-84 providing 20-49 hours of unpaid care	63	68	80	104	41	65.1
People aged 85 and over providing 20-49 hours of unpaid care	52	57	67	81	29	55.8
People aged 65-69 providing 50+ hours of unpaid care	496	447	496	584	88	17.7
People aged 70-74 providing 50+ hours of unpaid care	424	542	491	547	123	29.0
People aged 75-79 providing 50+ hours of unpaid care	374	429	546	503	129	34.5
People aged 80-84 providing 50+ hours of unpaid care	285	309	364	473	188	66.0
People aged 85 and over providing 50+ hours of unpaid care	251	275	321	391	140	55.8
Total population aged 65 and over providing unpaid care	4,761	5,119	5,620	6,322	1,561	32.8

Source: Projecting Older People Population Information (POPPI)

Dementia

There were an estimated 2,520 people aged 65+ with dementia in Southend-on-Sea in 2015. This figure is projected to rise to 3,867 by 2030, a 53.5% increase. The full breakdown of this data by age group and year is provided in Figure A2.13.

Figure A2.13: Number of People aged 65+ in Southend-on-Sea Projected to have Dementia, 2015-2030

Age Group	Year of Projection				Additional No. 2015-2030	% Change 2015-2030
	2015	2020	2025	2030		
65-69	127	115	128	150	23	18.1
70-74	207	265	238	269	62	30.0
75-79	357	410	526	478	121	33.9
80-84	563	620	717	929	366	65.0
85-89	667	700	795	972	305	45.7
90+	600	687	834	1,069	469	78.2
TOTAL 65+	2,520	2,797	3,238	3,867	1,347	53.5

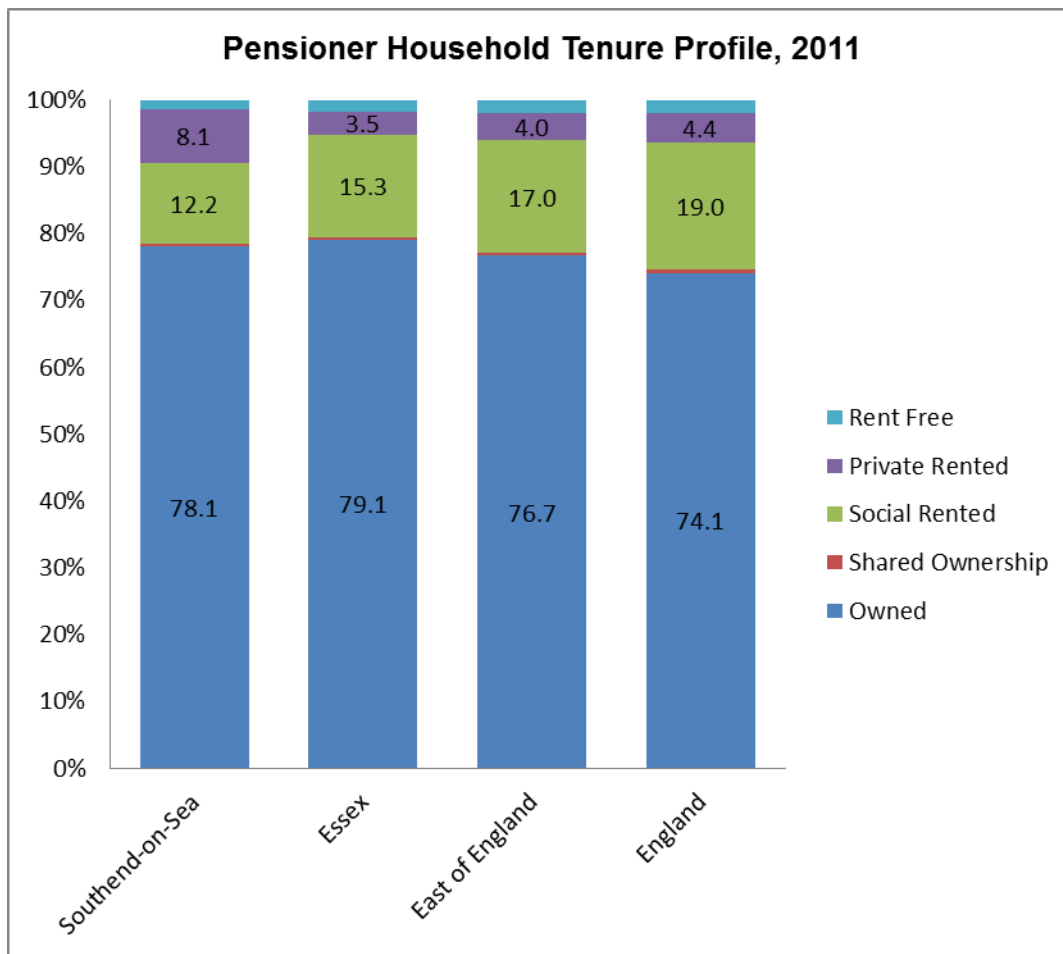
Source: Projecting Older People Population Information (POPPI)

A2.4. Housing

Pensioner Household Tenure

The Southend-on-Sea pensioner household tenure profile, according to the 2011 Census, is shown in Figure A2.14. 78.1% of pensioner households are owner-occupiers, 12.2% live in social rented accommodation, and 8.1% live in private rented accommodation. The level of owner-occupation is higher than the national average yet lower than the regional average. The level of private renting is far higher than all of the comparator areas.

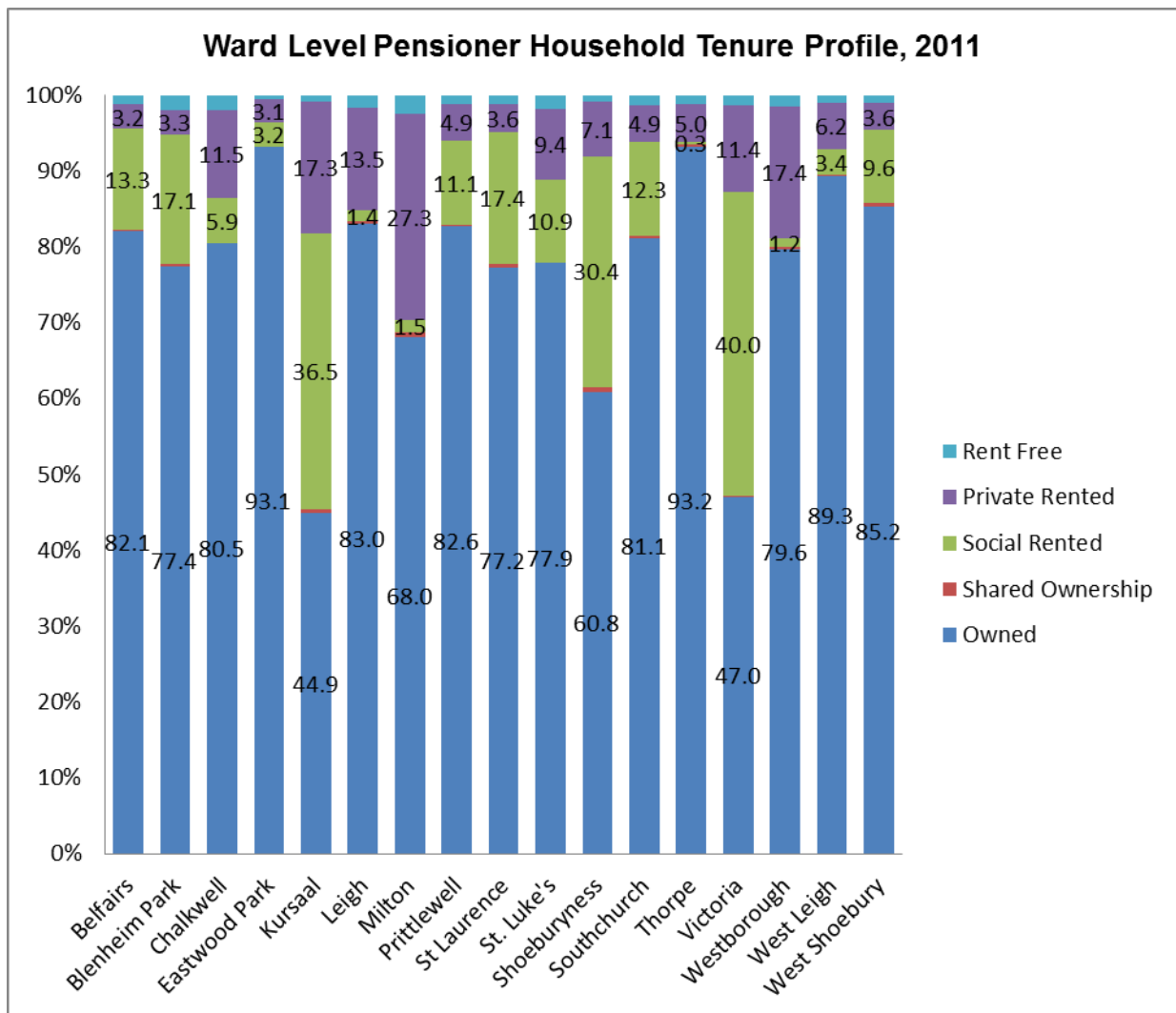
Figure A2.14: Pensioner Household Tenure in Southend-on-Sea and Comparators, 2011



Source: ONS Neighbourhood Statistics, based on 2011 Census data

The ward-level pensioner household tenure profile is provided in Figure A2.15. There is a high level of diversity between the ward areas, ranging from 93.2% owner-occupation in Thorpe to 44.9% owner-occupation in Kursaal. Social renting ranges from 0.3% in Thorpe to 40% in Victoria, and private renting ranges from 3.1% in Eastwood park to 27.3% in Milton.

Figure A2.15: Ward-Level Pensioner Household Tenure Profile, 2011



Source: ONS Neighbourhood Statistics, based on 2011 Census data

Living Alone

Figure A2.16 provides data on the number of people aged 65+ in Southend-on-Sea who are living alone. The total is projected to rise from 12,600 people in 2015 to 17,455 in 2030, an increase of 38.5% over the period.

Figure A2.16: Number of People aged 65+ Living Alone in Southend-on-Sea, 2015-2030

Gender and Age Group	Year of Projection				Additional No.	% Change
	2015	2020	2025	2030		
Males 65-74	1,680	1,820	1,860	2,160	480	28.6
Males 75+	2,244	2,584	3,196	3,638	1,394	62.1
Females 65-74	2,820	2,940	2,880	3,300	480	17.0
Females 75+	5,856	6,405	7,564	8,357	2,501	42.7
Total 65+	12,600	13,749	15,500	17,455	4,855	38.5

Source: Projecting Older People Population Information (POPPI)

Property Prices

Figure A2.17 provides the average property prices by property type in 2014 for Southend-on-Sea and its neighbouring local authority areas. The overall average property price in Southend-on-Sea is lower than the comparator areas, whilst detached and semi-detached properties are higher in price than Rochford and Castle Point but lower than Basildon.

Figure A2.17: 2014 Average Property Prices (£) in Southend-on-Sea and Neighbouring Local Authority Areas by Property Type

Area	All dwelling types	Detached	Semi-detached	Terraced	Flats & Maisonettes
Southend-on-Sea	204,000	340,000	237,000	195,000	137,500
Rochford	240,000	333,498	230,000	204,250	130,000
Castle Point	220,000	250,000	220,000	180,500	147,000
Basildon	210,000	360,000	245,000	176,000	130,000

Source: ONS House Price Statistics for Small Areas 1995-2014

Figure A2.18 looks at the change in average property prices between 2010 and 2014. The prices of all property types in Southend-on-Sea have increased in value between 2010 and 2014.

Figure A2.18: % Change in Average Property Prices 2010-2014, Southend-on-Sea and Neighbouring Local Authority Areas

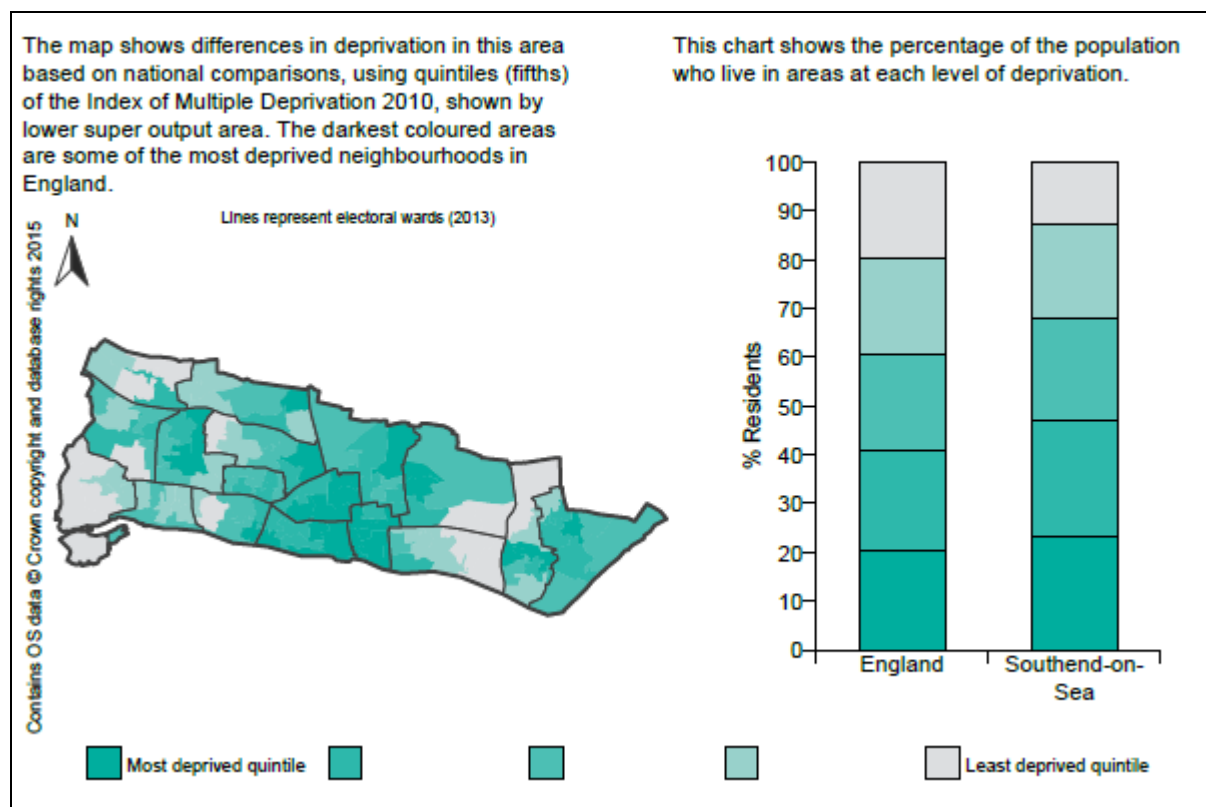
Area	All dwelling types	Detached	Semi-detached	Terraced	Flats & Maisonettes
Southend-on-Sea	13.3	10.7	12.9	12.7	12.1
Rochford	11.6	10.7	12.2	12.1	-6.3
Castle Point	12.8	4.2	12.8	9.4	8.9
Basildon	11.1	9.1	12.5	13.5	0.0

Source: ONS House Price Statistics for Small Areas 1995-2014

A2.5. Deprivation

Figure A2.19 provides a map of Southend-on-Sea that shows levels of deprivation. The darkest areas are those with the highest levels of deprivation. There are a greater percentage of Southend-on-Sea's population falling within the most deprived quintile than the national average.

Figure A2.19: Map of Deprivation in Southend-on-Sea



Source: Health Profile 2015 Southend-on-Sea, Public Health England.

Appendix 3: GIS Maps showing South Essex Homes schemes and demography

Figure A3.1: Map showing location of schemes

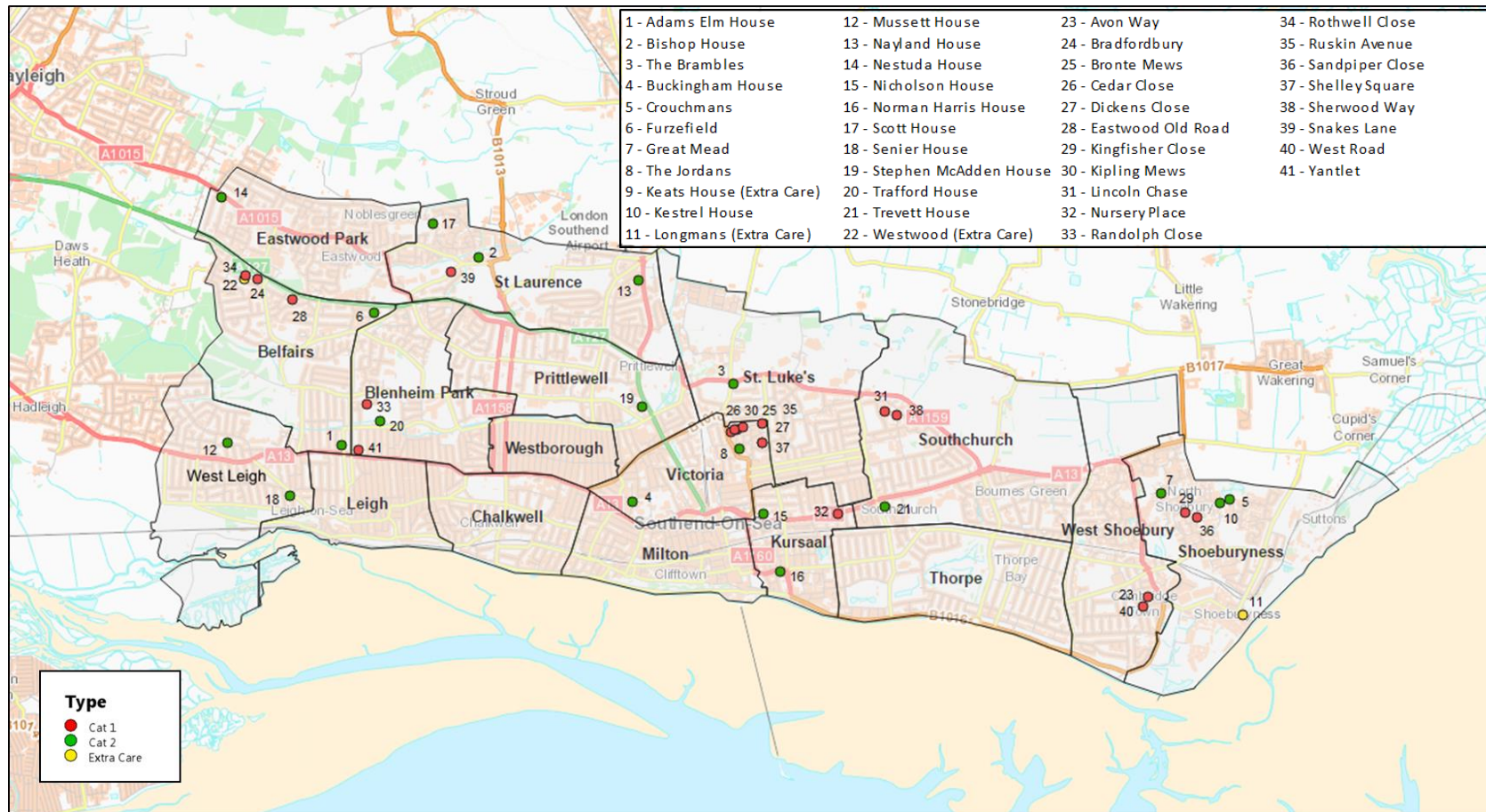


Figure A3.2: Map showing schemes in relation to % total ward population aged 50+

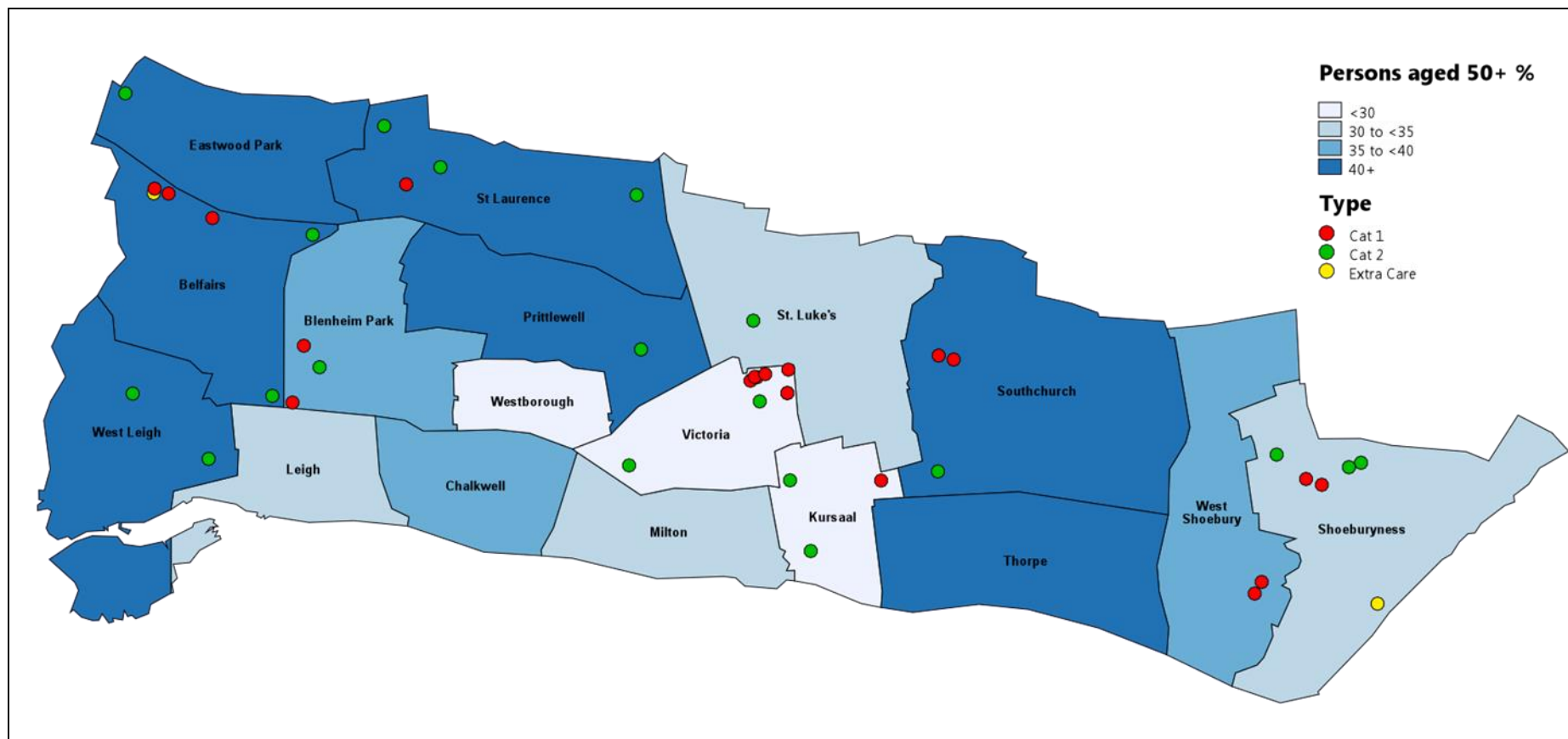


Figure A3.3: Map showing schemes in relation to % total ward population aged 85+

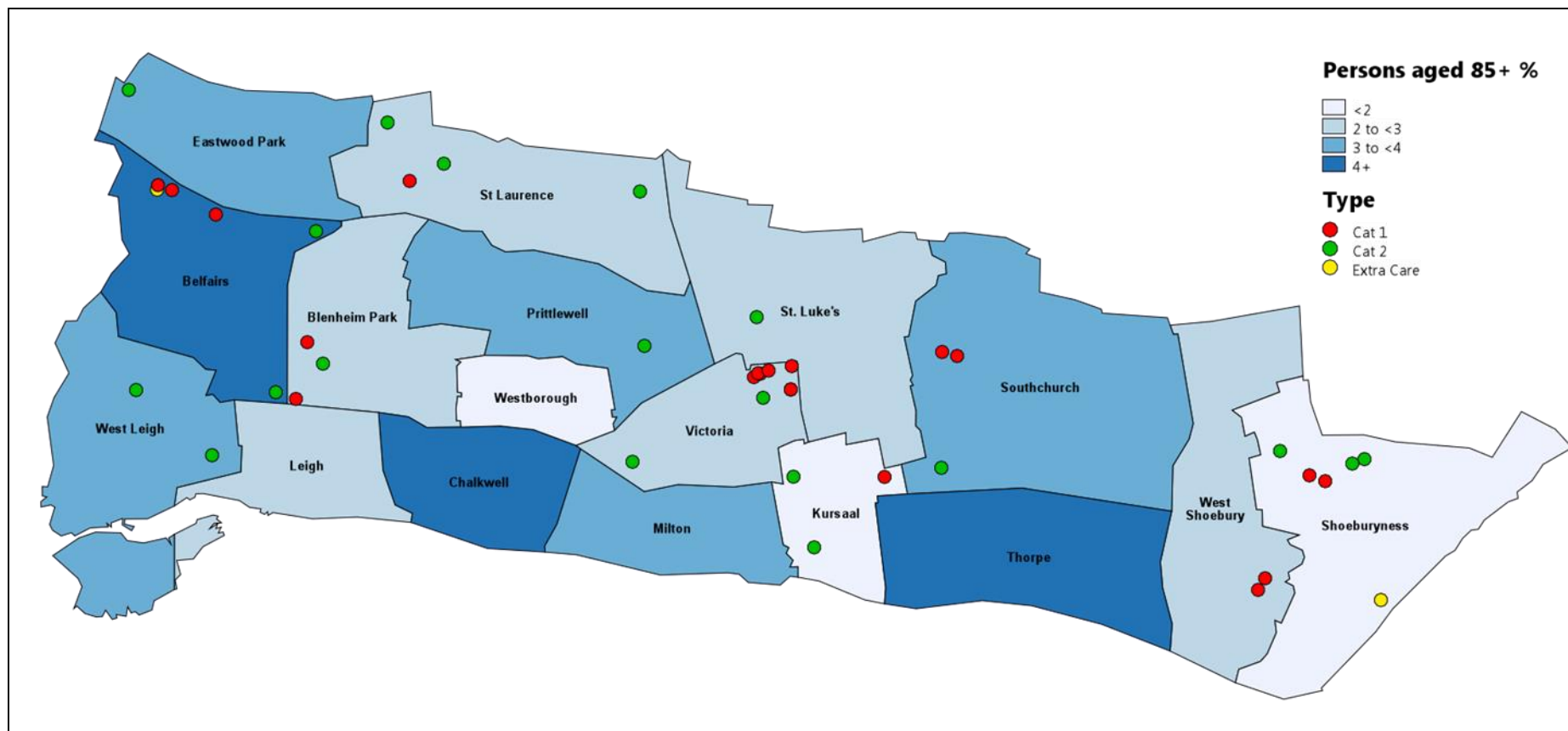


Figure A3.4: Map showing schemes in relation to % pensioner household owner-occupation

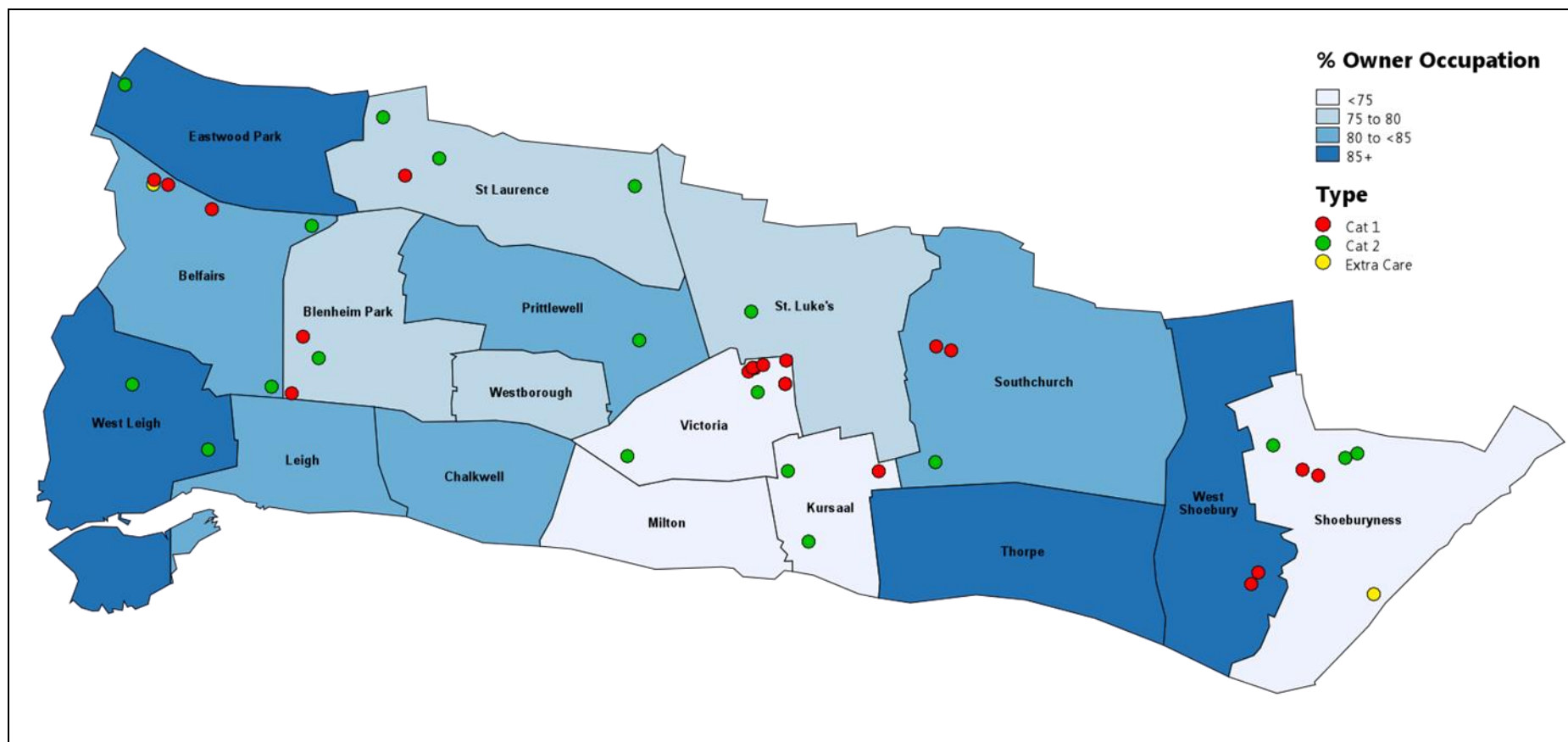


Figure A3.5: Map showing schemes in relation to % pensioner household social renting

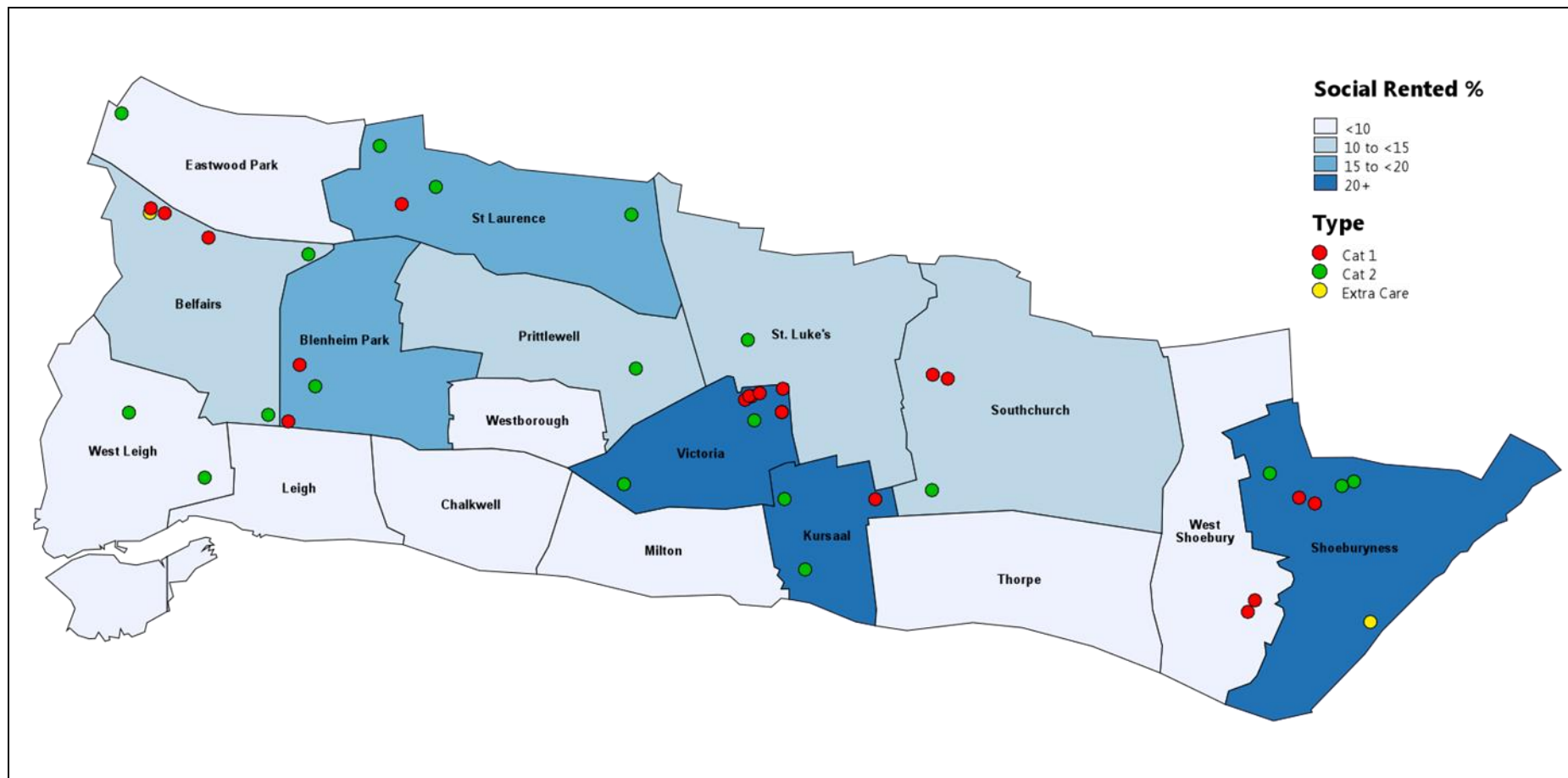


Figure A3.6: Map showing schemes in relation to % total population whose daily activities are limited 'a lot' by long-term illness or disability

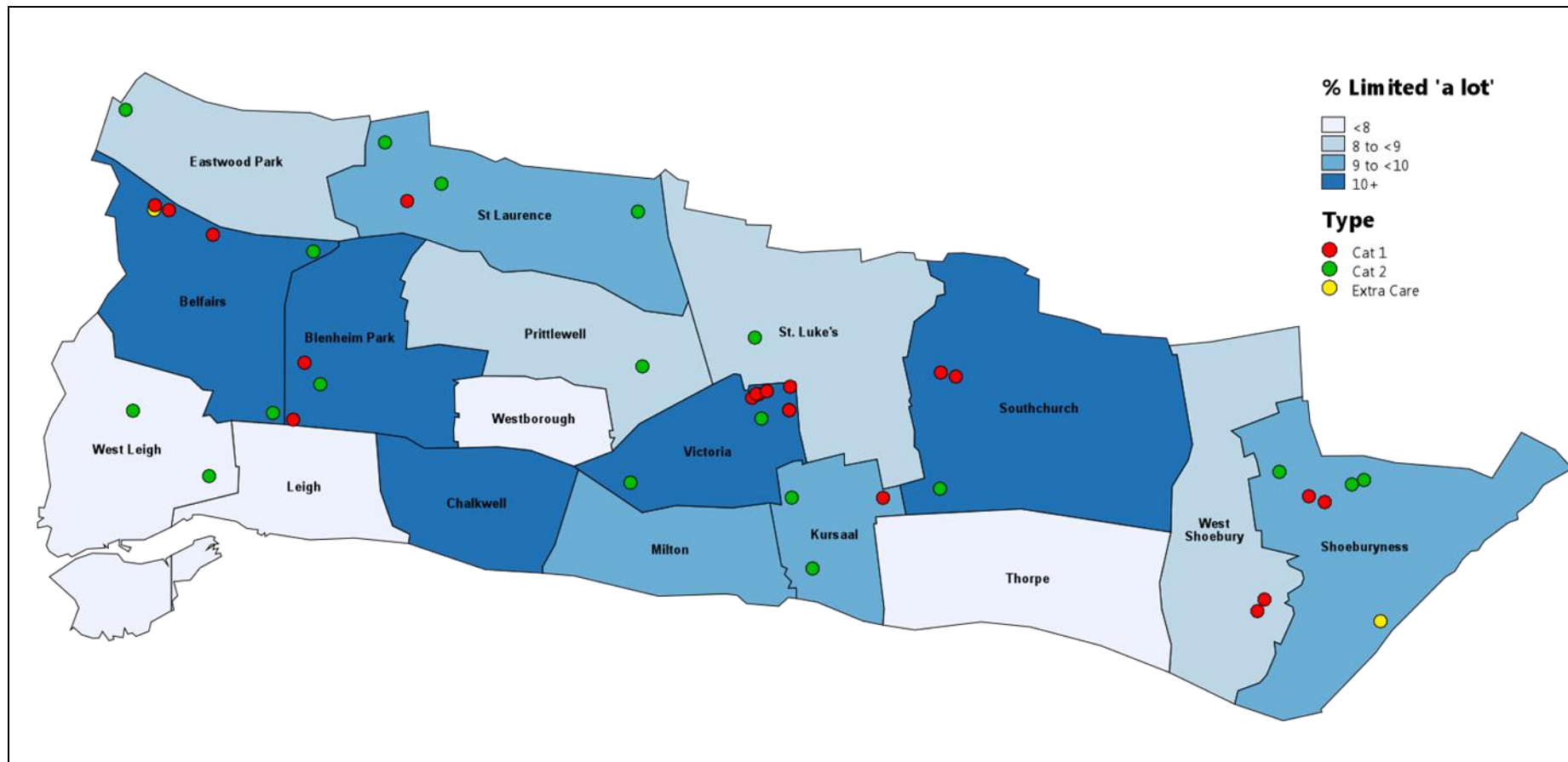


Figure A3.7: Map showing schemes in relation to the Indices of Multiple Deprivation score (the higher the score, the greater the level of deprivation)

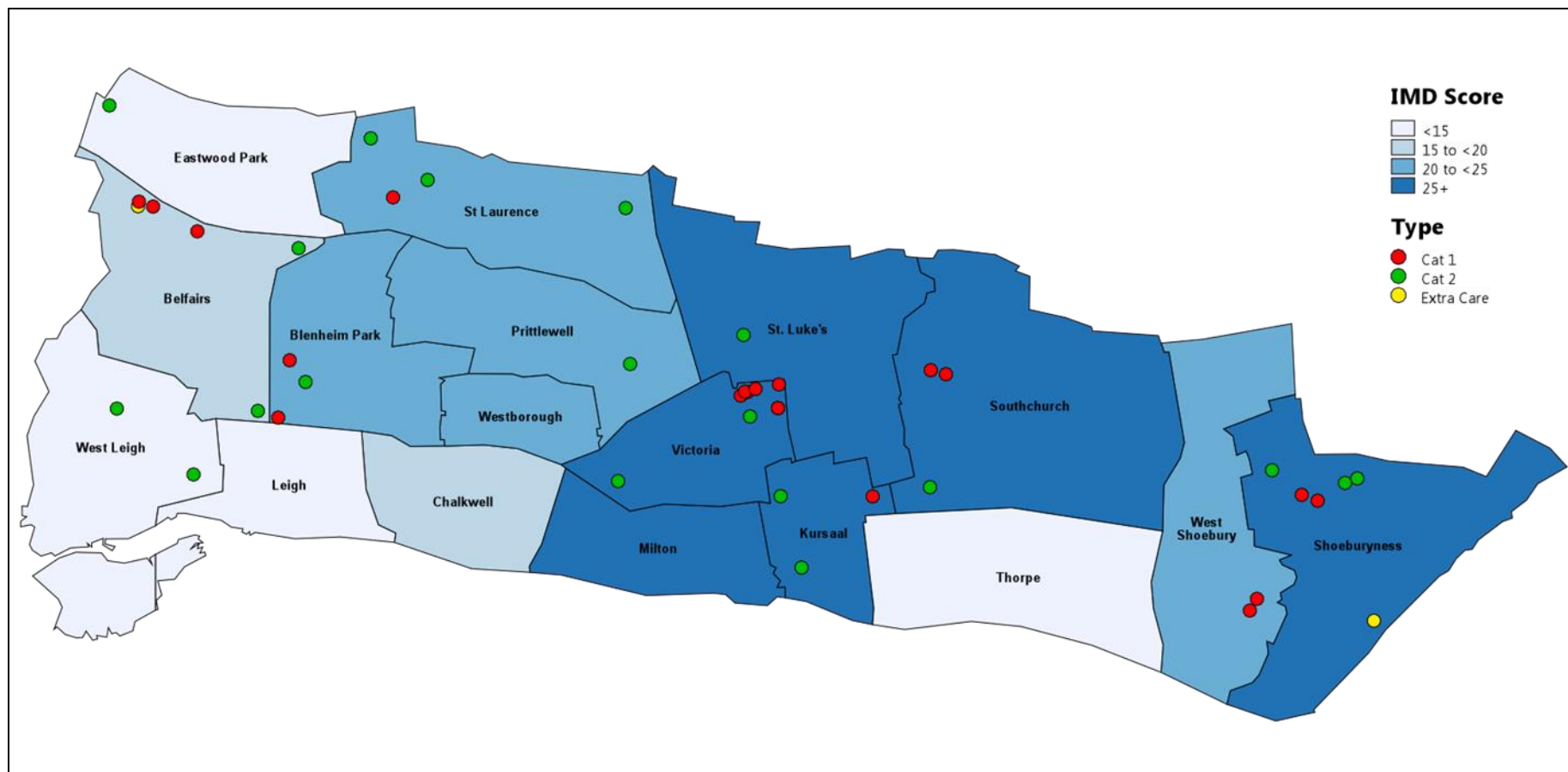
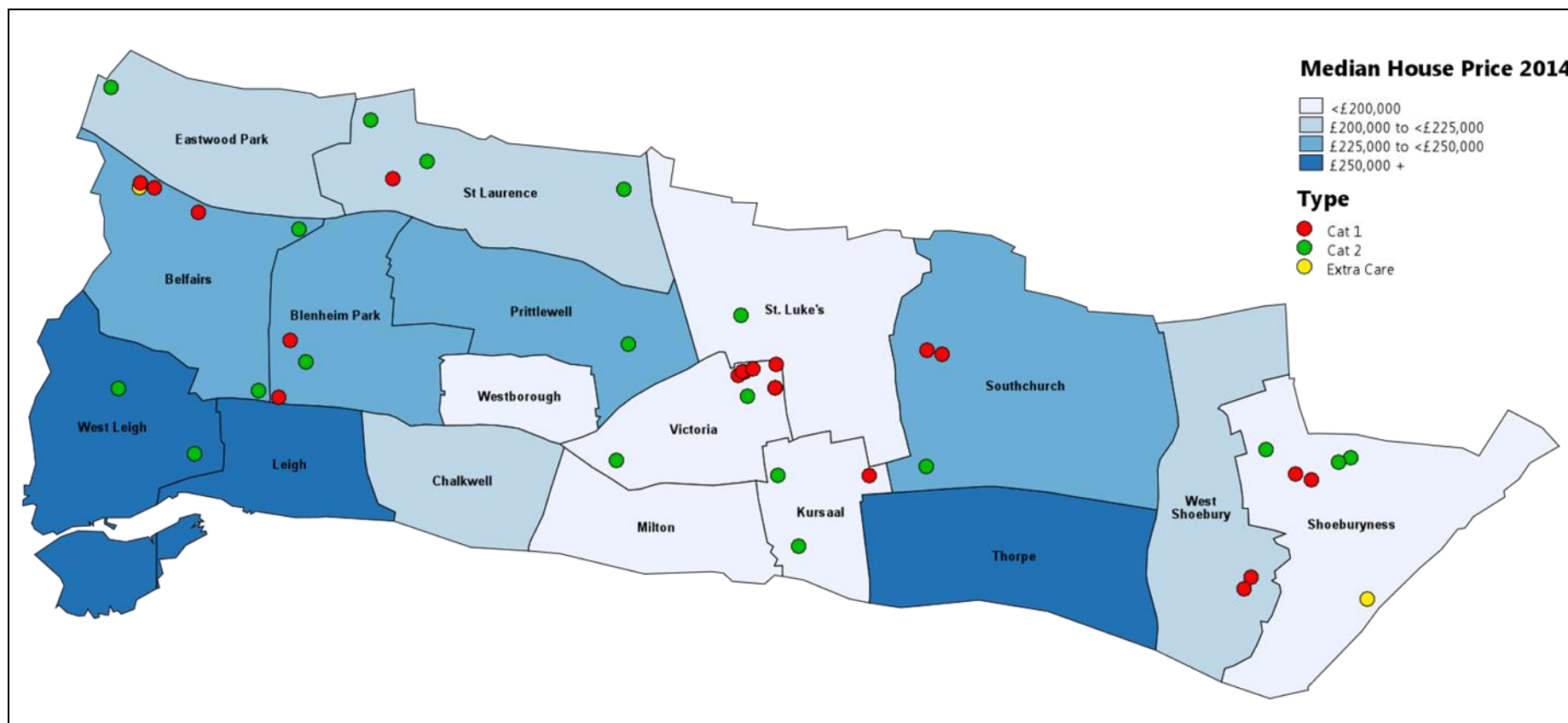


Figure A3.8: Map showing schemes in relation to 2014 median house prices



Appendix 4: Sheltered Housing Schemes – Aerial Views and Brief Scheme Details

Contents

<p><u>Part 2 Schemes</u></p> <p><u>Adams Elm House</u></p> <p><u>Bishop House</u></p> <p><u>The Brambles</u></p> <p><u>Buckingham House</u></p> <p><u>Crouchmans</u></p> <p><u>Furze field</u></p> <p><u>Great Mead</u></p> <p><u>The Jordans</u></p> <p><u>Keats House</u></p> <p><u>Kestrel House</u></p> <p><u>Longmans</u></p> <p><u>Mussett House</u></p> <p><u>Nayland House</u></p> <p><u>Nestuda House</u></p> <p><u>Nicholson House</u></p> <p><u>Norman Harris House</u></p> <p><u>Scott House</u></p> <p><u>Senier House</u></p> <p><u>Stephen McAdden House</u></p> <p><u>Trafford House</u></p> <p><u>Trevett House</u></p> <p><u>Westwood</u></p>	<p><u>Part 1 Schemes</u></p> <p><u>Avon Way</u></p> <p><u>Bradfordbury</u></p> <p><u>Bronte Mews</u></p> <p><u>Cedar Close</u></p> <p><u>Dickens Close</u></p> <p><u>Eastwood Old Road</u></p> <p><u>Kingfisher Close</u></p> <p><u>Kipling Mews,</u></p> <p><u>Lincoln Chase</u></p> <p><u>Nursery Place</u></p> <p><u>Randolph Close</u></p> <p><u>Rothwell Close</u></p> <p><u>Ruskin Avenue</u></p> <p><u>Sandpiper Close</u></p> <p><u>Shelley Square</u></p> <p><u>Sherwood Way</u></p> <p><u>Snakes Lane</u></p> <p><u>West Road</u></p> <p><u>Yantlet</u></p>
---	---

Adams Elm House, 1271 London Road, SS9 2AQ



Part 2 Sheltered Housing.

- 87 flats. Built in 1983. Sizes 37 studio flats, 50 1 bedroom.
- Resident management staff and community alarm service Lift, lounge, laundry, and guest facilities.
- Historic Capital spend 2010 – 2015: £1,138k. Including: windows, bathrooms, electrics and ventilation.
- The property is very large with wide well-lit corridors. There is only one lift located at the rear of the building, close to the Car Park. Internal circulation although level throughout can be somewhat tortuous due to the long corridors and single lift.
- There is lots of exposed brickwork in common area which gives the scheme a somewhat dated and institutional feel. This could also present a Health & Safety Hazard for someone falling against the rough textured surface.

Bishop House, Western Approaches, SS2 6TT



Part 2 Sheltered Housing.

- 77 flats in total. Built in 1978. 19 studio, 42 1 bedroom flats. Part 1 Scheme adjacent has 16 one bedroom flats – deck access, no lift.
- Resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities, garden, hobby room, hairdressing salon
- Access to site easy, but less so for less mobile people. Distances: bus stop 20 yards; shop 0.5 mile(s); post office 1 mile(s); town centre 3.5 mile(s); GP 0.5 mile(s); social centre 0.5 mile(s).
- A single lift for this large scheme, located near the common room in the middle of a series of linked wings, makes internal circulation for anyone with mobility issues challenging.
- Historic Capital spend 2010 – 2015: £709k. Including: windows, bathrooms, kitchens and heating.

The Brambles, 20 Eastern Avenue, SS2 5NJ



Part 2 Sheltered Housing.

- 39 flats. Built in 1980. 19 studio, 19 one bedroom, 1 two bedroom flats.
- Non-resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities and garden.
- Historic Capital spend 2010 – 2015: £99k. Including: windows and water supply.

Buckingham House, Salisbury Avenue, Westcliff on Sea, SS0 7DL.



Part 2 Sheltered Housing.

- The low rise property shown in the centre foreground. Contains 28 flats. Built in 1978. 14 studio, 14 one bedroom flats.
- Non-resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities and garden.
- Historic Capital spend 2010 – 2015: £260k. Including: windows, bathrooms and heating.
- Internally there is a lot of exposed painted concrete blockwork in communal areas, this gives a general impression of a low value property and is not attractive, in addition this could present a health & safety hazard for anyone falling against the exposed blockwork.

Crouchmans, Centurion Close, Shoeburyness, SS3 9UT.



Part 2 Sheltered Housing.

- 60 flats. Built in 1976. 30 studio, 30 one bedroom.
- Non-resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities and garden.
- 100 metres from Kestrel House scheme. 750 metres from Great Mead and 400 metres from Kingfisher / Sandpiper Close.
- Historic Capital spend 2010 – 2015: £239k. Including: heating and electrical system.

Furzefield, 20 Priorywood Drive, Leigh one Sea, SS9 4DP.



Part 2 Sheltered Housing.

- 28 flats. Built in 1977. 8 studio, 20 one bedroom flats.
- Non-resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities and garden.
- Adjacent to a private development of flats.
- Historic Capital spend 2010 – 2015: £214k. Including: windows, bathrooms, heating and solar photo voltaic panels.

Great Mead, 200 Frobisher Way, Shoeburyness, SS3 8XJ.



Part 2 Sheltered Housing.

- 48 flats. Built in 1986. 48 one bedroom flats.
- Community alarm service.
- Lift, lounges, laundry, guest facilities, hobby room, hairdressing, library and garden.
- Whole site accessible by wheelchair. Access to site easy, but less so for less mobile people. Distances: bus stop 30 yards; shop 30 yards; post office 30 yards; town centre 0.5 mile(s); GP 30 yards.
- 650 metres from Kestrel House scheme. 750 metres from Crouchmans and 450 metres from Kingfisher / Sandpiper Close.
- Historic Capital spend 2010 – 2015: £103k. Including: windows and bathrooms.

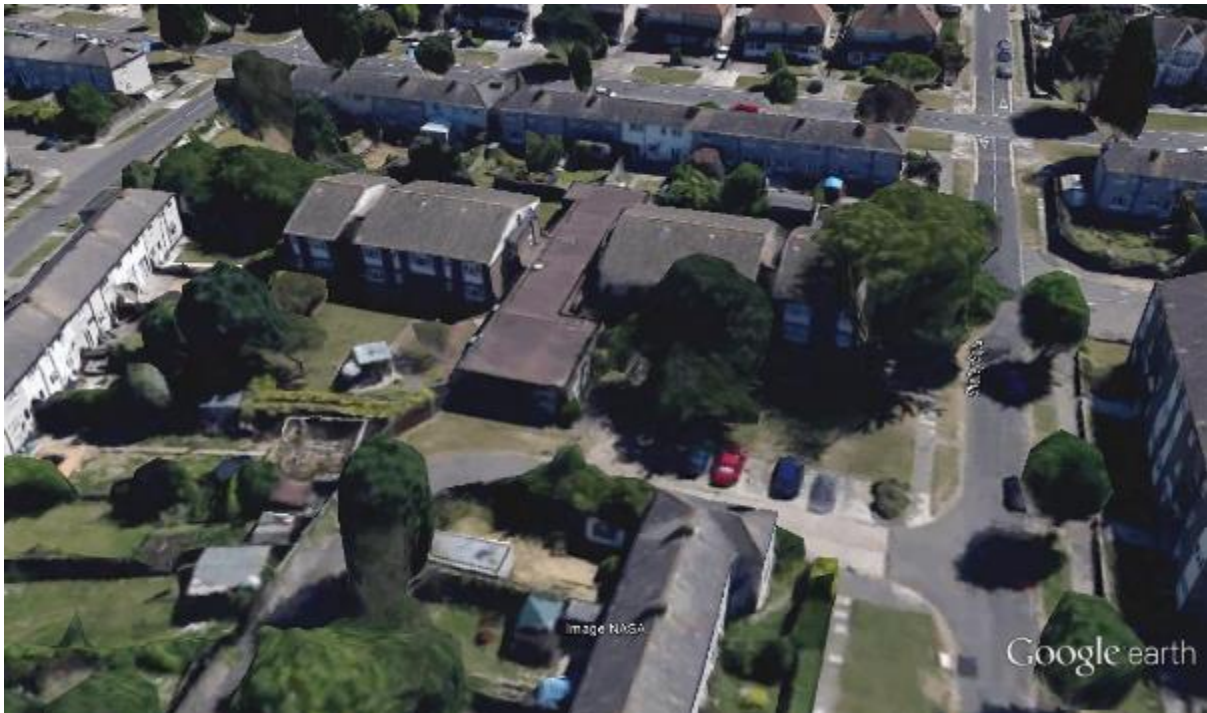
The Jordans, Maple Square, SS9 5NY



Part 2 Sheltered Housing.

- 73 flats. Built in 1979. 28 studio flats, 44 one bedroom flats and one 2 bed. Located in an area of predominantly social housing.
- Non-resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities, activities room and garden.
- 200 metres from Keats House and Shelley Square.
- Historic Capital spend 2010 – 2015: £810k. Including: windows, bathrooms, electrics, heating and ventilation. Of this sum £129k was also for solar photo voltaic panels.

Keats House, Shelley Square, SS2 5JP.



Extra care housing.

- 24 flats. Built in 1975 and renovated in 2008. 20 studio, 4 one bedroom flats.
- Resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities and garden.
- Adjacent to Shelley Square Part 1 schemes. 200 metres from The Jordans.
- Historic Capital spend 2010 – 2015: £114k. Including: heating and Disability Discrimination Act compliance work.

Kestrel House, 96 Eagle Way, Shoeburyness, SS3 9SQ.



Part 2 Sheltered Housing.

- 51 flats. Built in 1978 and renovated in 1983. 5 studio, 46 one bedroom flats.
- Non-resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities, conservatory, hobby room and garden.
- 100 metres from Crouchmans scheme, 650 metres from Great Mead and 250 metres from Kingfisher / Sandpiper Close.
- Historic Capital spend 2010 – 2015: £478k. Including: windows, bathrooms, heating and Disability Discrimination Act compliance work.

Longmans, 11 Rampart Street, Shoeburyness, SS3 9AY.



Extra care housing.

- Built in 1978, refurbished / converted 2012. 15 one bedroom flats.
- Resident management staff and community alarm service.
- Lounge, lifts, laundry, guest facilities and garden.
- Historic Capital spend 2010 – 2015: £487k. Including: conversion work to form extra care scheme. Running costs for this small scheme are higher than they would be for a typical purpose built extra care facility.

Mussett House, 49 Bailey Road, Leigh on Sea, SS9 3PJ



Part 2 Sheltered Housing.

- 21 flats. Built in 1977. 11 studio, 10 one bedroom flats. A small scheme with the majority of units being studios. The tight site doesn't lend itself to remodelling the existing units.
- Non-resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities and garden.
- Historic Capital spend 2010 – 2015: £233k. Including: windows, bathrooms, kitchens, heating and Disability Discrimination Act compliance work.

Nayland House, Manners Way, SS2 6QT



Part 2 Sheltered Housing, with 4 Extra Care Flats.

- 27 flats. Built in 1964 and renovated in 2010. 13 studio, 14 one bedroom flats.
- Extra Care scheme with non-resident management staff and community alarm service.
- Lounge, lift, laundry, guest facilities and garden.
- Historic Capital spend 2010 – 2015: £123k. Including: bathrooms, kitchens and Disability Discrimination Act compliance work.

Nestuda House, Grovewood Avenue, Leigh on Sea, SS9 5EF.



Part 2 Sheltered Housing.

- 29 flats. Built in 1978. 20 studio, 9 one bedroom flats.
- Non-resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities and garden.
- Historic Capital spend 2010 – 2015: £283k. Including: windows, heating, electrics, passenger lift and Disability Discrimination Act compliance work.

Nicholson House, 299 Southchurch Street, SS1 2PB.



Part 2 Sheltered Housing.

- 96 flats. Built 1989. 96 one bedroom flats
- Resident management staff and community alarm service
- Lift, lounge, laundry, guest facilities, hobby room, hairdressing and roof terrace.
- Access to site easy. Distances: bus stop 30 yards; shop 0.25 mile(s); post office 0.25 mile(s); town centre 0.25 mile(s); GP 0.25 mile(s)
- The last and largest scheme to be built in the borough. With its roof top terrace providing views of Southend pier and across the borough. Situated in a prime location and benefiting from a range of local shops; within walking distance of the town centre.
- Historic Capital spend 2010 – 2015: £1,159k. Including: passenger lift renewal, bathrooms, heating and kitchens.

Norman Harris House, 450 Queensway, SS1 2LY.



Part 2 Sheltered Housing.

- 28 flats. Built in 1986. 6 studio, 21 one bedroom, 1 two bedroom flats.
- Non-resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities and garden.
- Historic Capital spend 2010 – 2015: £533k. Including: roofing work, kitchens, bathrooms, heating, electrics and external works.

Scott House, 171 Neil Armstrong Way, Leigh one Sea, SS9 5YZ.



Part 2 Sheltered Housing.

- 58 flats. Built 1978. 31 studio flats, 27 one bedroom flats.
- Non-resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities and garden.
- Historic Capital spend 2010 – 2015: £171k. Including: fire safety, heating, electrics and Disability Discrimination Act compliance work.

Senier House, Salisbury Road, Leigh on Sea, SS9 2JX.



Part 2 Sheltered Housing.

- 20 flats. Built in 1984. 5 studios, 15 one bedroom flats.
- Non-resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities and garden.
- Original large detached house was converted and extended. In an area of predominantly private housing.
- Historic Capital spend 2010 – 2015: £206k. Including: windows, bathrooms, kitchens and Disability Discrimination Act compliance work.
- With a new build incorporated into an old property the internal layout is compromised and could be confusing for older persons. Externally the newer parts of the building have not worn well. The external balconies at the front of the property detract from the overall presentation of the property, as does the entrance being located in a covered parking area.

Stephen McAdden House, 21 Burr Hill Chase, SS2 6PJ.



Part 2 Sheltered Housing.

- 66 flats. Built in 1979. 33 studios, 33 one bedroom flats.
- Non-resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities and garden.
- Historic Capital spend 2010 – 2015: £400k. Including: kitchens, bathrooms and electrical work
- On a large gently sloping site, the travel distances internally from the main entrance / car park are quite long.
- There is redevelopment potential for the surrounding area, which could re-provide better facilities and accommodation for older persons, this could include incorporating this property into the proposals.

Trafford House, 117 Manchester Drive, Leigh on Sea, SS9 3EY.



Part 2 Sheltered Housing.

- 26 flats. Built in 1979. 13 studios, 13 one bedroom flats.
- Resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities, garden.
- In an area of predominantly private housing, backs onto a large allotment site. Whole site accessible by wheelchair. Access to site easy. Distances: bus stop 300 yards; shop 400 yards; post office 0.5 mile(s); town centre 1.5 mile(s); GP 0.5 mile(s); social centre 1 mile(s).
- Historic Capital spend 2010 – 2015: £2325k. Including: electrics, heating, kitchens and water system.

Trevett House, Southchurch Rectory Chase, SS2 4XB.



Part 2 Sheltered Housing.

- 29 flats. Built in 1989. 29 one bedroom flats.
- Non-resident management staff and community alarm service.
- Lift, lounge, laundry, guest facilities and garden.
- Historic Capital spend 2010 – 2015: £284k. Including: kitchens, bathrooms and heating. Sum includes £52k on solar photo voltaic panels.

Westwood, 137 Eastwood Old Road, Leigh on Sea, SS9 4RZ.



Extra Care Scheme.

- Built in 1975, converted / refurbished 2012. 15 one bedroom flats.
- Resident management staff and community alarm service.
- Lounge, laundry, guest facilities and garden.
- Historic Capital spend 2010 – 2015: £521k. Including: remodel to extra care scheme, fire safety and internal doors.

Avon Way, (No's 2 to 51), SS3 9DZ.



Part 1 Scheme.

- 31 Units. 2 Studios, 26 one bed, 3 two bed flats.
- Adjacent and connected to West Road flats (upper left in photo).

Bradfordbury, (No's 2 to 70), SS9 4SW. – see also Eastwood Old Road.



Part 1 Scheme.

- 28 no. units. One bedroom flats. No lift, ground and first floor flats, with a separate common room on site.
- Adjacent to Eastwood Old Road and close to Rothwell Close.

Bronte Mews No's 1 to 8), SS2 5EN. – See also Kipling Mews and Ruskin Avenue.



Part 1 Scheme.

- 7 No. Purpose built bungalows, not hard wired.
- Adjacent to Kipling Mews.

Cedar Close, (No's 1 to 29, no Number 13), SS2 5HW.



Part 1 Scheme.

- 28 no. one bedroom flats, in three 2 storey blocks and one 3 storey block. No lift.
- 325 metres from Dickens Close.

Dickens Close, (No's 1 to 33, No number 13), SS2 5HN.



Part 1 Scheme.

- 32 no. one bedroom flats. In four 2 storey blocks and one 3 storey block. No lift.
- 325 metres from Cedar Close.

Eastwood Old Road, (No's 117 to 131), SS9 4RP.



Part 1 Scheme.

- 8 No. one bedroom flats, no lifts ground and first floor.
- Adjacent to Bradfordbury and close to Rothwell Close.

Kingfisher Close, (No's 57 to 103), SS3 9YD.



Part 1 Scheme.

- Adjacent to and identical to the flats in Sandpiper Close.
- 24 No. flats in 3 x two storey blocks of 8 flats. No lift – Common Room between Kingfisher and Sandpiper.

Kipling Mews, (No's 1 to 5), SS2 5EH. – See also Bronte Mews and Ruskin Avenue.



Part 1 Scheme.

- 6 purpose built one bedroom bungalows.
- Adjacent to Bronte Mews and Ruskin Avenue.

Lincoln Chase (No's 1 to 11), SS2 4QS.



Part 1

- Purpose Built one bedroom Bungalows.
- 11 in total.

Nursery Place (No's 530 to 596), Southchurch Road, SS1 2QD.



Part 1

- Flats on Southchurch Road.
- Located on busy shopping road with many local amenities.
- 34 flats. 3 storey block, no lift 4 separate stairwells, leading to 6 flats, 3 on first floor and 3 on second floor in each block. Common Room on ground floor.

Randolph Close (No's 18 to 72), SS9 4HU.



Part 1 scheme.

- 28 units. One bedroom ground and first floor flats. These flats are identical to flats located adjacent to Bradfordbury that are designated general needs.
- Spencer House located on this road, adjacent to the Cat 1 flats, is a 15 flat development for adults with learning difficulties.

Rothwell Close (and part Bradfordbury), (No's 20 to 23), SS9 4SN.



Part 1 scheme.

- 4 units of one bedroom flats.
- Adjacent to Bradfordbury and Eastwood Old Road flats and close to Westwood Extra Care scheme.

Ruskin Avenue, (No's 14 to 24 even), SS2 5HB.



Part 1 scheme.

- 6 one bedroom Bungalows only.
- Set in a courtyard off Ruskin Avenue in between and opposite entrance road to Bronte Mews and Kipling Mews.

Sandpiper Close, (No's 58 to 120), SS3 9YN.



Part 1 scheme.

- Flats, adjacent to and identical to the flats in Kingfisher Close.
- 32 flats in 4 x two storey blocks of 8 flats. No lift – Common Room between Kingfisher and Sandpiper.

Shelley Square, flats 5 to 29 (no number 13) & 36 to 39 &, 46 to 49), SS2 5JP.



Part 1 scheme.

- 32 flats.
- Flats 5 to 29 (13 excluded) – 3 storey blocks – no lift. 2 x blocks of 12 flats – total 24.
- Flats 36 to 39 – 2 storey block – no lift 1 x block 4 flats.
- Flats 46 to 49 – 2 storey block – no lift 1 x block 4 flats.
- Adjacent to Keats House Extra Care scheme.
- Flats 36 to 49 are located behind main part of site with poor pedestrian access. Potential redevelopment site (0.25 Ha).

Sherwood Way, (No's 8 to 52, 57 to 62, 65 to 68 & 77 to 82), SS2 4SR.



Part 1 Scheme (not the tower block)

- 64 One bedroom flats across this large site.
- Four blocks of 3 storey flats. No's 8 to 52 (no number 13). Each pair of blocks is linked with a communal entrance and there is one shared common room located beneath arrow. 12 flats in each block.
- Two storey blocks of 4 flats each. 57 to 62, 65 to 68 and 77 to 82.
- 3 storey flats are 'deck access' design, lightweight construction, with flat roof. Potentially poorly insulated.

Snakes Lane, (no's 68 to 114A even), SS2 6UD.



Part 1 scheme.

- 2 storey flats, on quite a large ribbon site.
- 48 one bedroom flats.
- Flats 68 – 114 ground floor, 68A – 114A first floor flats. No lift.
- Good area, potential for redevelopment.
- Site approx. 185 metres x 42 metres. 0.75 Ha.

West Road, (No's 120 to 136), SS3 9DT.



Part 1 scheme.

- 9 one bedroom flats. 3 storey deck access, same design as Sherwood Way.
- Adjacent and part connected to Avon Way flats. No lift.

Yantlet, (No's 1 to 43 excl 13), London Road, Leigh on Sea, SS9 3JD.



Part 1 scheme.

- 5, 4 and 2 storey block, There is a lift in the 5/4 storey block, but the flats are not level access. There is no lift in the 2 storey block.
- Close to shops and estuary.

Sheltered Housing Review
Southend on Sea Borough Council
Executive Summary

August 2016

Team:
Denise Gillie
Malcolm Gara
Louise Craig



1. Introduction

Peter Fletcher Associates (PFA) was commissioned by Southend-on-Sea Borough Council in November 2015 to review the Sheltered Housing stock and service. Work covered Part 1 and Part 2 schemes and bungalows.

Our methodology was based on our sheltered housing toolkit developed with the Northern Housing Consortium which brings together technical data and cost forecasting together with consideration of wider factors such as location, demographics, demand, tenant satisfaction and the service model.

We worked in partnership with our commissioners at the Council, South Essex Homes and other stakeholders.

1.1 National Policy Context

The national policy agenda is increasingly focusing on:

- Promoting the independence and wellbeing of the growing numbers of older people. Between 2010 and 2030 there is expected to be a 50% increase in people aged 65 or older, and a doubling of people aged 85 or older
- Providing increasing levels of care and support within the home in line with the preferences of older people.
- Addressing the housing and support needs of older people across all tenures including older owner occupiers

Social care and health policy is focusing on prevention, reablement and enabling older people to sustain independence and well-being in the community and out of hospital and long-term care.

1.2 Local policy Context

The Strategic Housing Market Assessment, South Essex May 2016 highlights large projected increases in the older population many of whom will wish to live independently and a need for more sheltered and extra care housing.

The Draft Integrated Market Position Statement for adult social care services expects an increase in community care provision.

The Older Person's Commissioning Outcomes Plan 2015/16 includes reducing hospital admissions, improving social care discharge, management and admissions avoidance; redesigning social services to reduce reliance on institutional care; moving towards a system built around prevention, early intervention and well-being and promoting healthy and active lifestyles for older people.

The Council's Older People Strategy aims for older people to lead fulfilling lives with the opportunity to age well in a community that values their experience whilst helping them remain independent for as long as possible.

2. Demographics and market analysis

The demographic and market analysis includes data for Southend-on-Sea local authority area and the 19 ward areas that make up Southend-on-Sea. The local authority data was compared with regional and national data to provide context.

The main findings include:

- 66,300 people aged 50+ in 2015, rising to 87,100 by 2035 – increase of 31.4%. 85+ population to increase by 103.8% between 2015 and 2035.
- 97.6% of the 65+ population are White, 1.5% Asian/ Asian British.
- The Council has higher levels of long-term limiting illness than the regional and national averages.
- 4,761 people aged 65+ providing unpaid care in 2015, rising to 6,322 by 2030 an increase of 32.8%.
- 2,520 people aged 65+ are estimated to have dementia in 2015, rising to 3,867 by 2030 which is an increase of 53.5%.
- 78.1% of pensioner households are owner-occupiers – higher than the national average but lower than the regional average. 12.2% of pensioner households are living in social rented accommodation and 8.1% in private rented accommodation
- 12,600 people aged 65+ living alone in 2015, rising to 17,455 by 2030, an increase of 38.5%.
- Southend has the lowest overall average property price (£204,000) when compared to neighbouring local authority areas.

3. Specialist housing supply

South Essex Homes manages 475 Part 1 sheltered housing properties and 998 Part 2 sheltered housing units. The latter includes 30 units of extra care housing.

Registered Providers of social housing include Anchor Trust, Estuary, Genesis and Riverside, together with provision managed by the local Abbeyfield Society and charities providing a total of 394 units.

The total number of sheltered units for social rent in the Borough is 1,767.

There are four extra care schemes in the Borough. Longmans and Westwood each provide 15 units of accommodation in one bedroom flats. Estuary Housing Association manages Leyland Court which provides 24 units and Genesis Housing Association manages 55 units at Catherine Lodge.

Just over 78% of older people in the Borough own their own home and there are a number of retirement housing schemes offering properties for sale. The majority of properties are apartments which range in price from under £100,000 to over £300,000.

4. Council extra care and sheltered housing

4.1 Extra care housing

Extra care provision is in two former sheltered housing schemes, Longmans and Westwood where 30 studio apartments were remodelled to provide 15 one bedroom apartments at each scheme. Remodelling costs for Longmans were £487,000 and Westwood £521,000.

The Council contracts care from independent providers under a block contract for 250 hours per week at each scheme and spot contracts additional hours. South Essex Homes provides housing management services including repairs and maintenance at both schemes.

At the time of the review there were some issues with voids and two units at Longmans were void, one for over 6 months.

The Council's Care First data shows three residents from the schemes moving into long term care in 2015/16.

At an operational level it is not clear if the schemes are able to provide an alternative to residential care or support people with complex needs and without this information it is not possible to make a judgement about their value for money. At a strategic level it is not clear how the schemes fit with integrated commissioning and older person's services more widely.

4.2 Sheltered housing

Residents in the Part 1 schemes are younger than those in Part 2 schemes where almost 20% of residents are aged 85 and over.

Data from the Council's Care First system shows 8 residents in the Part 1 schemes and 75 residents in Part 2 schemes in receipt of Council funded domiciliary care.

In 2014/15 Care First data shows 32 Part 2 residents and 6 part 1 residents moving into care homes. The Part 2 sheltered schemes do not seem to be supporting frail older people and preventing moves into care.

There is a high demand for social housing across the Borough and as a result older people are more likely to have their housing need met through a move into sheltered housing.

There are a high number and percentage of studio flats, only three schemes do not have any studios and it may only be the shortage of social housing that is masking potential lettings issues.

A typical service charge for a Part 2 property is £28.82 per week which includes £15.96 for the Scheme Officer service.

Consultation with residents highlighted the following issues:

- High water charges compared with larger properties. This issue is being addressed by SEH and the water company
- Historical overcharging for heating for which monies were refunded
- Lack of transparency in charges - residents would like to be provided with detailed scheme specific service charge breakdowns

5. Housing related support

The Council is currently contracting with Genesis, Estuary, CWL, Riverside, Jewish Care and Anchor for the delivery of housing related support services in ten sheltered schemes. In addition the Council contracts with Estuary and Genesis to deliver support in two extra care housing schemes. Contracts expire on 31st March 2017 and cannot be extended. In interviews with providers they are all expecting funding to be reduced or withdrawn. Total expenditure is in excess of £200,000 per annum and it is not clear if this is providing the Council with value for money.

5.1 Careline

Careline is the community alarm service operated by South Essex Homes which provides a service to all residents in the Part 2 schemes at a weekly charge of £1.30. A further 173 residents in Part 1 schemes have a lifeline alarm. Non-residents can buy or rent a service from Careline.

6. Recommendations

6.1 Extra Care Schemes

Options for the two Council schemes include:

- To become part of integrated commissioning aimed at people who would otherwise need to move into a care home. This may require an increase in overnight staffing, or
- Let them as sheltered housing.

Estuary Housing and Genesis manage schemes which are aimed at providing frail older people with an alternative to residential care. It is recommended that discussions take place with both providers to agree future funding for care and support services.

Extra care housing would benefit from a more explicit role; marketing to older people and their carers and to be understood by staff working across housing and adult social care.

6.2 Sheltered housing service

Sheltered housing services in the Borough would benefit from having a more strategic role to play in supporting older people to remain independent. Actions include:

- Developing a shared vision and strategic role for sheltered housing across the Council, SEH and other providers.
- Improving information on the Council website to include names and addresses of schemes and the organisations that manage them and a link to the Elderly Accommodation Counsel website to get more information.
- Discussions about the future of Council funded support services with Registered Providers.
- Improving consultation with residents in the Council sheltered schemes.

6.3 Careline

Operationally Careline should make clear to residents in the Part 2 schemes that the service is monitoring only unless the Scheme Officer is on duty when s/he may be able to respond.

At a strategic level information about telecare on the Council website should be improved. There is also potential for the service to grow, including as part of the Council's trading company, providing services to support older people to return home after a hospital stay.

If Careline is not part of the Council's wider plans, community alarm monitoring services could be purchased from outside the Borough.

7. Technical appraisal

Analysis of the Stock Condition Survey highlights the following:

- Current backlog on capital investment for 41 schemes = £4.45m
- Total spend on all 41 schemes required over next 30 years = £39m

Key issues are:

- The SEH Asset Management Strategy document is in need of updating
- Southend would benefit from producing 'A vision for the future of housing for older people in the Borough' to provide clarity about its role and to inform future investment decisions
- Consideration should be given to the long term sustainability of schemes when components are renewed.
- All future reinvestment decisions should be based on a considered business case backed up with figures to show a likely return on capital investment.
- Individual scheme decisions should be taken in the context of the whole estate and the wider impact of any decision – both positive and negative

- Consideration should be given for change of designation to upper floor flats without mechanical vertical access to general needs housing.

8. Options Appraisal

A traffic light system has been used. Schemes with a green traffic light are those with lifts or level access and one bedroom. These include:

- Great Mead
- Nicholson House
- Trevett house
- Bungalows (all areas)

Schemes with an amber traffic light include those with studio flats where there is potential to remodel and provide one bedroom accommodation. Schemes include:

- Adams Elm
- Bishop House
- The Jordans
- Kestrel House
- Norman Harris House
- Scott House

Also in this category are schemes that would benefit from a more detailed scheme specific appraisal to determine their future. These include:

- The Brambles
- Buckingham House
- Crouchmans
- Furzefield
- Keats House
- Mussett House
- Nayland House
- Nestuda House
- Senier House
- Stephen McAdden House
- Trafford House

Schemes with a red traffic light are those without lifts or level access or isolated ground floor units with long travel distances from vehicle drop off points. It is suggested that units in the following schemes should be let as general needs housing:

- Avon Way/West Road
- Bradfordbury/Eastwood Old Road/Rothwell Close
- Cedar Close/Dickens Close
- Kingfisher Close/Sandpiper Close
- Nursery Place

- Randolph Close
- Shelley Square
- Sherwood Way
- Snakes Lane
- Yantlet

There may also be some schemes where the sites lend themselves to redevelopment, such as those which cannot be remodelled, schemes adjacent to Council owned sites, schemes with a large site footprint and those which require major investment for which there is no business case.

It is also recommended that former warden properties be let as general needs housing or converted for older people, taking account of recommendations about the future of schemes.

Southend-on-Sea Borough Council

Agenda
Item No.

Report of Deputy Chief Executive (Place)

to

Cabinet

on

8 November 2016

Report prepared by Adam Penn,
Regulatory Services Manager.

Gambling Act 2005 - Approval of draft Statement of Gambling Licensing Policy

Place Scrutiny Committee
Executive Councillor: Councillor Flewitt
Part I Public Agenda Item

1. Purpose of Report

- 1.1 To set out the legal obligations on the Council, acting as Licensing Authority, and the timetable for the review in respect of the Gambling Licensing policy.
- 1.2 To set out a draft revised Policy Statement, as the basis for formal consultation. (This is contained in Appendix 1).

2. Recommendation

- 2.1 **That Cabinet endorses the draft revised Policy document, enabling consultation to commence.**

3. Background

- 3.1 The Council's Statement of Policy under the Act was approved in December 2015, and came into force on 31st January 2016. It is valid for a maximum period of 3 years.
- 3.2 The Act requires that the policy is kept under constant review and amended before the statutory period ends where significant change is identified.
- 3.3 Before determining the Policy for each three year period, the Licensing Authority must consult:
 - a) The Chief Officer of Police for the Licensing Authority's area;
 - b) One or more persons who the Licensing Authority considers to represent the interests of persons carrying on gambling business in the authority's area, and
 - c) One or more persons who appears to the Licensing Authority to represent the interests of persons affected by the exercise of the authority's functions under the Act

- 3.4 In determining its policy the Licensing Authority must have regard to the Gambling Commission publication 'Guidance to Licensing Authorities'.
- 3.5 The Gambling Commission published version 5 of their Guidance to Licensing Authorities (GLA) too late to be included in the policy which took effect in January 2016. There were significant changes made, most notably a requirement for "Local Area Risk Assessments" to be undertaken by gambling operators. At the same time changes were made to the Commission's Licensing Conditions and Codes of Practice (LCCP). These are conditions to which licence holders are required by the Act to adhere to.
- 3.6 The Council was aware that this situation would arise and therefore in 2015 took the decision of re-adopting the previous policy, as it stood with just some cosmetic amendments, for the next statutory three-year period (January 2016 to January 2019) with an undertaking to carry out a full review of the policy once the Gambling Commissions changes to the LCCP and GLA had been published and analysed.
- 3.7 A review of the changes made by the Gambling Commission has now been carried out and a draft policy produced for consultation with those outlined in 3.3 of this report. A full list of the proposed consultees can be found in appendix A of the draft policy. The consultation will be open for a period of 8 weeks.
- 3.8 The changes to the proposed statement of policy document include the following matters:-
- a) Acknowledgement that the Licensing Authority will respect Primary Authority agreements (13.6)
 - b) Requirements (set out in the LCCP) for Local Area Risk Assessments to be undertaken by operators (14.9)
 - c) Details of a Local Area Profile (LAP) which will be published to assist operators in completing local area risk assessments. (14.16-14.18)
 - d) A suggested template for operators to utilise when carrying out their Local Area Risk Assessments. (annex E)
 - e) Clear guidance to operators on how applications are judged in respect to the Protection of children (14.20)
 - f) An updated definitions list (Annex C)
 - g) The changes at b) and c) above have necessitated a full revision of the manner in which the Licensing Authority looks at the location of a premises when considering an application. This review can be found in sections 14.7 to 14.18 of the draft policy.
- 3.9 The Local Area Profile will naturally be an evolving document and cannot be included as part of the policy because it would create requirement to review the whole policy every time local circumstances required an amendment of the LAP. (For example crime statistics change from year to year). Therefore, it is proposed to publish it as a standalone document which is referred to within the policy. The LAP can contain location details of the following establishments and area features.
- Children's Centres and Schools Sixth Form Centres, Nurseries & other educational establishments
 - Areas with a significant presence of children (e.g. Parks)

- Places of Worship, faith communities and community groups.
- Community Centres
- Hostels or Shelters for Vulnerable People
- Addiction Support Facilities (e.g. drug/ alcohol)
- Mental Health Centres
- Pawn Brokers and Pay-day loan Companies
- Other gambling premises in the area
- Residential Care establishments
- Hospitals & GP surgeries
- Job Centres
- Pawn Broker/ Pay Day Loan businesses in the area
- Post Offices Banks and/ or ATM facilities nearby
- Transport links
- Crime and Disorder Statistics
- Known anti-social behaviour issues
- The area footfall (e.g. is it a residential area, are there mainly visitors)
- Other premises in the area (type and operation)
- Known issues with ludomania
- The economic makeup of the area
- The surrounding night time economy
- Anything else the Licensing Authority considers pertinent.

4. Other Options

- 4.1 Should the Council fail to review and subsequently approve a final Statement of Policy, it will be in breach of its statutory duty under Section 349 of The Gambling Act 2005.
- 4.2 It is not considered that another option exists.

5. Reason for Recommendation

- 5.1 To enable the Council to comply with its statutory duty under Section 349 of The Gambling Act 2005

6. Corporate Implications

6.1 Contribution to Council's Vision & Corporate Priorities

A statement of licensing policy will be instrumental in the effective assessment of applications, and in helping to ensure proper conduct of approved premises. It is thus supportive of the Council's Vision. Further, the licensing objective of

"Preventing gambling from being a source of crime or disorder, being associated with crime or disorder, or being used to support crime" is central to the Council's Critical Priority of creating a Safer and Prosperous Southend

6.2 Financial Implications

The annual licence fees form part of the overall budget for the Council; however fee levels do not form part of this policy. The Act requires that fees are set at a

level which covers the cost of administering the system without making a profit with a statutory maximum fee for each type of licence.

6.3 Legal Implications

Section 349 of the Gambling Act requires all licensing authorities to prepare and publish a statement of the principles that they propose to apply in exercising their functions under the Act during the three-year period to which the policy applies.

6.4 People Implications

No people implications

6.5 Property Implications

No property implications

6.6 Consultation

Section 349 of the Gambling Act requires that all Licensing Authorities consult on a draft policy prior to approving a final policy. The list of persons to be consulted when preparing this Licensing Authority's Statement of Policy is outlined at annex A in the policy.

6.7 Equalities and Diversity Implications

None. An equalities assessment was carried out for this policy

6.8 Risk Assessment

The main risks identified are that failure to review and subsequently adopt a policy which has regard to the amended Gambling Commission 'Guidance to Licensing Authorities', or publish the final policy, would put the Council in breach of its statutory duty under the Act.

6.9 Value for Money

The annual licence fees form part of the overall budget for the Council; however fee levels do not form part of this policy. The Act requires that fees are set at a level which covers the cost of administering the system without making a profit.

6.10 Community Safety Implications

None

6.11 Environmental Impact

None

7. Background Papers

7.1 Gambling Act 2005.

7.2 Gambling Commission Guidance to Local Authorities, September 2015, 5th Edition.

8. Appendices

Appendix 1: Draft Statement of Gambling Licensing Policy.

This page is intentionally left blank



GAMBLING LICENSING POLICY STATEMENT

~~2016-2018~~
2017-2019

Note:
text with ~~strikethrough~~ is
removed,
italic text is new,
all other text is unchanged

Version History

Version No:	Period to which policy applies:	Review date:
1	2007-09	2009
2	2010-12	2012
3	2013-15	2015
4	2016-18	2016-17*
5	2017-2019	2019

* =Review date will be determined once the Gambling Commission have published their Guidance to Local Authorities

SOUTHEND-ON-SEA BOROUGH COUNCIL GAMBLING LICENSING POLICY STATEMENT
--

<u>Section</u>	<u>Contents</u>	<u>Page No</u>
<u>PART A</u>		
1.0	Introduction	4
2.0	The Licensing Objectives	4
3.0	Description of the District	4
4.0	Responsibilities under the Act	4
5.0	Statement of Licensing Policy	5
6.0	Consultation	6
7.0	Approval of Policy	6
8.0	Declaration	6
9.0	Responsible Authorities	6
10.0	Interested Parties	7
11.0	Exchange of Information	8
12.0	Public Register	8
13.0	Compliance and Enforcement	8

PART B - PREMISES LICENCES

14.0	General Principles	9
15.0	Provisional Statements	14
16.0	Reviews	14
17.0	Adult Gaming Centres	14
18.0	(Licensed) Family Entertainment Centres	15
19.0	Casinos	15
20.0	Bingo Premises	15
21.0	Betting Premises	15
22.0	Tracks	16
23.0	Travelling Fairs	16

PART C - PERMITS/TEMPORARY OR OCCASIONAL USE NOTICES/REGISTRATIONS

24.0	General	16
25.0	Unlicensed Family Entertainment Centre Gaming Permits	16
26.0	(Alcohol)Licensed Premises Gaming Machine Permits	16
27.0	Prize Gaming Permits	17
28.0	Club Gaming and Club Machine Permits	18
29.0	Temporary Use Notices	18
30.0	Occasional Use Notices	19
31.0	Small Society Lotteries	19

ANNEXES

<u>Contents</u>	<u>Page No</u>
Annex 'A' - List of Consultees	20
Annex 'B' - List of Responsible Authorities	22
Annex 'C' - Definitions	24
Annex 'D' - Map of the Area	31
<i>Annex 'E' – Local Area Risk Assessment template</i>	32

PART A

1.0 INTRODUCTION

1.1 This Statement of Licensing Policy sets out the principles by which Southend-on-Sea Borough Council, as the Licensing Authority under the Gambling Act 2005 (referred to in this document as 'the Act'), intends to apply in discharging its functions to license premises for gambling under the Act as well as:-

- designating the body responsible for advising the Authority on the protection of children from harm;
- determining whether or not a person is an "Interested Party";
- exchanging information with the Gambling Commission and others; and
- inspecting premises and instituting court proceedings for offences committed under the Act.

2.0 THE LICENSING OBJECTIVES

2.1 In exercising most of its functions under the Act, Licensing Authorities must have regard to the Licensing Objectives as set out in 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; and
- Protecting children and other vulnerable persons from being harmed or exploited by gambling.

3.0 DESCRIPTION OF THE DISTRICT

3.1 The County of Essex comprises 12 District and 2 Unitary Authorities. Southend-on-Sea Borough Council is one of those Unitary Authorities. The number of premises licensed under the Act saw steady growth when the legislation came into force but started to stagnate in 2012 and decreased in 2013 and 2014. *There has been little change since then although in 2016 there was some small growth in the Adult Gaming Centre sector.* A map of the area is attached to this Policy document at Annex 'D'

4.0 RESPONSIBILITIES UNDER THE ACT

4.1 The Act introduced a licensing regime for gambling, to be conducted by the Gambling Commission and by Licensing Authorities, depending on the matter to be licensed.

4.2 Southend-on-Sea Borough Council is the Licensing Authority for the area shown on the attached map, whose responsibilities must be discharged by the Licensing Committee created under Section 6 of the Licensing Act 2003.

4.3 The Gambling Commission is responsible for issuing Operating and Personal Licences to persons and organisations who:-

- operate a casino;
- provide facilities for playing bingo or for pool betting;
- provide betting or act as intermediaries for betting.
- make gaming machines available for use in Adult Gaming Centres and Family Entertainment Centres;
- manufacture, supply, install, adapt, maintain or repair gaming machines;
- manufacture, supply, install or adapt gambling machine software; or
- promote a lottery.

4.4 The Licensing Authority is responsible for licensing premises in which gambling takes place. All types of gambling are included, other than spread betting and the National Lottery. It is also responsible for issuing permits for premises with gaming machines and for receiving notices from operators wishing to use unlicensed premises for gambling on a temporary basis. The Licensing Authority has additional responsibility for the registration of certain types of exempt Small Society Lotteries.

4.5 The Licensing Authority cannot become involved in the moral issues of gambling and must aim to permit the use of premises for gambling in so far as it thinks it :-

- a) in accordance with any relevant Code of Practice under Section 24 of the Act;
- b) in accordance with any relevant Guidance issued by the Gambling Commission under Section 25;
- c) reasonably consistent with the Licensing Objectives (Subject to paragraphs a) and b))and
- d) in accordance with the Licensing Authority's Statement of Licensing Policy (subject to paragraphs a) and c)).

Before the Licensing Authority can determine an application for a Premises Licence, an Operating and Personal Licence, or both, must have been obtained from the Gambling Commission.

5.0 STATEMENT OF LICENSING POLICY

5.1 The Licensing Authority is required by the Act to publish a Statement of Licensing Policy which contains the principles it proposes to apply when exercising its functions under the Act.

5.2 This Policy must be reviewed and published every three years. The Policy must also be reviewed from 'time to time' and any proposed amendments and/or additions must be subject to fresh consultation. The 'new' Policy must then be published.

5.3. This Policy takes effect on ~~31 January 2016~~, ~~???~~ 2017, and replaces the policy previously in force.

6.0 CONSULTATION

6.1 In producing this Policy, the Licensing Authority consulted widely before finalising and publishing it. In addition to the statutory consultees (listed below), the Council chose to consult with additional local groups and individuals. A full list of all groups and persons consulted is provided at Annex 'A'.

6.2 The Act requires that the following parties are consulted by the Licensing Authority:-

- The Chief Officer of Police for the Authority's area;
- 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
- 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 the Act.

6.3 The other groups and people consulted were:-

- Organisations, working with people who are problem gamblers, Other elements of local government;
- Businesses who are, holders of Premises Licences;
- Responsible Authorities under the Act.

6.4 Consultation took place between ??? and ????

7.0 APPROVAL OF POLICY

7.1 This Policy was approved at a meeting of the full Council on 10th December 2015 and was published via its website on 1st January 2016. Copies are available on request.

7.2 It should be noted that this Policy does not override the right of any person to make an application, to make representations about an application, or to apply for a review of a licence, as each case will be considered on its own merit and according to the requirements of the Act.

8.0 DECLARATION

8.1 The Licensing Authority declares that it has had regard to the Licensing Objectives, formal Guidance issued to Licensing Authorities and any responses from those consulted during the consultation process, and will adopt the Principles of Better Regulation.

8.2 The Council recognises its responsibilities under equality legislation and will monitor the impact of these statutory duties through its various corporate schemes such as the Councils "Comprehensive Equality Policy".

9.0 RESPONSIBLE AUTHORITIES

9.1 A full list of the Responsible Authorities designated under the Act and their contact details are given in Annex 'B'. It should be noted that under the Act, the Licensing Authority itself is designated as a Responsible Authority.

9.2 The Licensing Authority is required to designate, in writing, a body that is competent to advise it about the protection of children from harm. In making this designation the following principles have been applied:-

- the competency of the body to advise the Licensing Authority;
- the need for the body to be responsible for an area covering the whole of the Licensing Authority's area; and

- the need for the body to be answerable to democratically elected persons rather than any particular interest group etc.

9.3 In accordance with the Gambling Commission's Guidance to Local Authorities, the Licensing Authority designates Southend-on-Sea Borough Council's Department of Children and Learning.

10.0 INTERESTED PARTIES

10.1 Interested Parties can make representations about licensing applications or apply for a review of an existing licence. An Interested Party is defined in the Act as follows:-

'... a person is an interested party in relation to a premises licence or in relation to an application for or in respect of a premises if, in the opinion of the Licensing Authority which issues the licence or to which the application 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 paragraphs (a) or (b).'*

10.2 Interested parties can be people who are democratically elected such as councillors and Members of Parliament. Where appropriate this will include county, parish and town councillors.

Interested parties can also be trade associations, trade unions, residents' associations and tenants' associations. Providing that these people represent those living or having business interests in the area which might be affected, no specific evidence of authorisation is required.

Otherwise, the licensing authority will generally require a third party to produce some form of authorisation to speak on behalf of an interested party.

10.3 Whether a person is an interested party will be determined on a case by case basis. The types of organisations which may be considered to have business interests will be given a wide interpretation.

10.4 In determining if a person lives or has business interests sufficiently close to the premises that they are likely to be affected by the authorised activities, the Licensing Authority will consider the following factors:-

- The size of the premises;
- The nature of the premises;
- The distance of the premises from the location of the person making the representation;
- The potential impact of the premises (e.g. number of customers, routes likely to be taken by those visiting the establishment);
- The circumstances of the complaint. This does not mean the personal characteristics of the complainant but the interest of the complainant, which may be relevant to the distance from the premises;
- The catchment area of the premises (i.e. how far people travel to visit); and
- Whether the person making the representation has business interests in that catchment area that might be affected.

10.5 The Licensing Authority will decide if a representation made in respect of an application is valid based on the following factors:

- It is not frivolous or vexatious.
- It raises issues that relate to Guidance issued by the Gambling Commission.
- It raises issues that relate to this policy.
- It relates to the Licensing Objectives.

11.0 EXCHANGE OF INFORMATION

11.1 In its exchange of information with parties listed in Schedule 6 of the Act, the Licensing Authority will have regard to:-

- the provisions of the Act, which include the provision that the Data Protection Act 1998 will not be contravened;
- the Guidance issued by the Gambling Commission;
- relevant Legislation and Regulations

11.2 In accordance with Section 350 of the Gambling Act 2005, the Licensing Authority may exchange information with the following statutory bodies or individuals:

- A constable or police force
- An enforcement officer
- A licensing authority
- Her Majesty's Revenue and Customs
- The Gambling Appeal Tribunal
- The Secretary of State
- Scottish Ministers
- Any other person or body designated by the Secretary of State in accordance with the Act.

11.3 The Licensing Authority may also exchange information provided by applicants with law enforcement agencies for purposes connected with the prevention and detection of crime, but we will only share any personal details for this purpose unless required to do so by law.

12.0 PUBLIC REGISTER

12.1 The Licensing Authority is required to keep a public register and share information in it with the Gambling Commission and others. Regulations prescribe what information should be kept in the register. Copies of the register may be obtained on payment of a fee.

13.0 COMPLIANCE AND ENFORCEMENT

13.1 In exercising its functions with regard to the inspection of premises and to instituting criminal proceedings in respect of offences specified, the Licensing Authority will follow best practice. This requires that actions should be

- Proportionate – Intervention will only be when necessary. Remedies should be appropriate to the risk posed and costs identified and minimised.
- Accountable – The Authority must be able to justify decisions and be subject to public scrutiny.
- Consistent – Rules and standards must be joined up and implemented fairly.
- Transparent – Enforcement should be open and regulations kept simple and user friendly.

- Targeted – Enforcement should be focused on the problems and minimise side effects.

13.2 The Licensing Authority will endeavour to avoid duplication with other regulatory regimes, so far as is possible, and adopt a risk based inspection programme. All enforcement action is taken having regard to the Regulatory Services Enforcement policy.

13.3 The main enforcement and compliance role of the Licensing Authority in terms of the Act, is to ensure compliance with the Premises Licence and other permissions which it authorises. The Gambling Commission is the enforcement body for Operating and Personal Licences. Concerns about the manufacture, supply or repair of gaming machines are not dealt with by the Licensing Authority but will be notified to the Gambling Commission.

13.4 The Licensing Authority will keep itself informed of developments as regards the work of the Better Regulation Executive in its consideration of the regulatory functions of Local Authorities, and will have regard to best practice.

13.5 Where appropriate, complaints will be investigated in accordance with the stepped approach outlined in the Regulatory Services Enforcement Policy. A copy of this document is available on the Council website. In the first instance we encourage complaints to be raised directly with the licensee or business concerned.

13.6 *Where there is a Primary Authority Scheme in place, the Licensing Authority will seek guidance from the Primary Authority before taking any enforcement action on matters covered by that scheme. At the time of the publication of this policy there were four Primary Authority arrangements with host local authorities:*

- Coral - London Borough of Newham
- Ladbrokes - Milton Keynes
- Paddy Power - Reading
- William Hill - City of Westminster

PART B PREMISES LICENCES

14.0 GENERAL PRINCIPLES

14.1 Premises Licences are subject to the permissions/restrictions set out in the Act as well as the specific mandatory and default conditions detailed in Regulations issued by the Secretary of State. The Licensing Authority is able to exclude default conditions and also attach others, where it is thought appropriate.

14.2 In accordance with section 150 of the Act, premises licences can authorise the provision of facilities on:

- casino premises
- bingo premises
- betting premises, including tracks and premises used by betting intermediaries
- adult gaming centre premises (for category B3, B4, C and D machines)
- family entertainment centre premises (for category C and D machines) (note that, separate to this category, the licensing authority may issue a family entertainment centre gaming machine permit, which authorises the use of category D machines only).

14.3 Each case will be decided on its merits, and will depend upon the type of gambling that is proposed, as well as taking into account how the applicant proposes that the Licensing Objective concerns can be overcome.

14.4 The Licensing Authority is required by the Act, in making decisions about Premises Licences, to permit the use of premises for gambling so far as it thinks it:-

- a) in accordance with any relevant Code of Practice under Section 24 of the Act;
- b) in accordance with any relevant Guidance issued by the Gambling Commission under Section 25;
- c) reasonably consistent with the Licensing Objectives (Subject to paragraphs a) and b))and
- d) in accordance with the Licensing Authority's Statement of Licensing Policy (subject to paragraphs a) and c)).

14.5 Definition of Premises

In the Act 'premises' is defined as including 'any place'. It is for the Licensing Authority (having due regard for the Gambling Commission Guidance) to determine on the merits of each application whether different parts of a building can be regarded properly as separate premises.

The Licensing Authority will pay particular attention to applications where access to the licensed premises is through other premises (which themselves may be licensed or unlicensed).

14.6 Demand

Demand is a commercial consideration and is not an issue for the Licensing Authority.

14.7 Location

Location will only be a material consideration in the context of the Licensing Objectives.

14.8 *The Act is clear 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 Licensing Authority will pay particular attention to the objectives of protection of children and vulnerable persons from being harmed or exploited by gambling, as well as issues of crime and disorder.*

14.9 *In order for location to be considered, the Licensing Authority will need to be satisfied that there is sufficient evidence that the particular location of the premises would be harmful to the licensing objectives. From 6th April 2016, it is a requirement of the Gambling Commission's Licence Conditions and Codes of Practice (LCCP), under section 10, that licensees assess the local risks to the licensing objectives posed by the provision of gambling facilities at their premises and have policies, procedures and control measures to mitigate those risks. In making risk assessments, licensees must take into account relevant matters identified in this policy.*

14.10 *The LCCP also states that licensees must review (and update as necessary) their local risk assessments:*

- a) *to take account of significant changes in local circumstance, including those identified in this policy;*
- b) *when there are significant changes at a licensee's premises that may affect their mitigation of local risks;*
- c) *when applying for a variation of a premises licence; and*
- d) *in any case, undertake a local risk assessment when applying for a new premises licence.*

- 14.11** *The Licensing Authority expects the local risk assessment to consider as a minimum:*
- *whether the premises is in an area of deprivation*
 - *whether the premises is in an area subject to high levels of crime and/or disorder*
 - *the ethnic profile of residents in the area, and how game rules, self-exclusion leaflets etc. are communicated to those groups*
 - *the demographics of the area in relation to vulnerable groups*
 - *the location of services for children such as schools, playgrounds, toy shops, leisure centres and other areas where children will gather*
- 14.12** *In every case the local risk assessment should show how vulnerable people, including people with gambling dependencies, are protected.*
- 14.13** *Other matters that the assessment may include:*
- *The training of staff in brief intervention when customers show signs of excessive gambling, the ability of staff to offer brief intervention and how the manning of premises affects this.*
 - *Details as to the location and coverage of working CCTV cameras, and how the system will be monitored.*
 - *The layout of the premises so that staff have an unobstructed view of persons using the premises.*
 - *The number of staff that will be available on the premises at any one time. If at any time that number is one, confirm the supervisory and monitoring arrangements when that person is absent from the licensed area or distracted from supervising the premises and observing those persons using the premises.*
 - *Arrangements for monitoring and dealing with under age persons and vulnerable persons, which may include dedicated and trained personnel, leaflets, posters, self-exclusion schemes, window displays and advertisements not to entice passers-by etc.*
 - *The provision of signage and documents relating to games rules, gambling care providers and other relevant information be provided in both English and the other prominent first language for that locality.*
 - *Where the application is for a betting premises licence, other than in respect of a track, the location and extent of any part of the premises which will be used to provide betting machines.*
- 14.14** *Such information 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.*
- 14.15** *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.*
- 14.16** **Local Area Profile**
Each locality has its own character and challenges. In order to assist applicants, where there is an issue in a local area which impacts on how the applicant should complete their risk assessment, the Licensing Authority has published a local area profile (LAP). The LAP is published as a separate document to this policy and does not form part of it. the LAP may be reviewed by the Licensing Authority at any time. Such a review would not constitute a review of this policy.
- 14.17** *The LAP should be given careful consideration when making an application. Applicants may be asked to attend a meeting with licensing officers to discuss the LAP and assessment, appropriate measures to mitigate risk in the area and how they might be relevant to their application. The local area profile will be presented to any subsequent licensing sub-committee when they determine an application that has received representations. The LAP should not be taken as the definitive overview of a particular area and applicants are encouraged to use their own local knowledge in addition to the content of the LAP to inform their local risk assessments.*

14.18 *The Licensing Authority recognises that it cannot insist on applicants using the local area profiles when completing their risk assessments. However, an applicant who decides to disregard the LAP should be alert to the risk that they may face additional representations and the expense of a hearing as a result. A template of a suggested local risk assessment form for is included at **Annex D**. applicants may use this template or create their own.*

14.19 Duplication with other Regulatory Regimes

Duplication with other statutory/regulatory regimes will be avoided where possible. The Licensing Authority will not consider whether a licence application is likely to be granted Planning Permission or Building Control consent.

14.20 The Licensing Objectives

Premises Licences granted must be reasonably consistent with the three Licensing Objectives. With regard to these Objectives, the following will be considered:-

- **Preventing gambling from being a source of crime or disorder, being associated with crime or disorder, or being used to support crime –**

The Licensing Authority is aware that there is a distinction between disorder and nuisance and that the prevention of nuisance is not a Licensing Objective under the Act.

Whilst the Licensing Authority is aware that the Gambling Commission takes a leading role in preventing gambling from being a source of crime, it will pay attention to the proposed location of gambling premises in terms of this Licensing Objective.

Where an area has known high levels of organised crime, the Licensing Authority will consider carefully whether gambling premises are suitable to be located there and the need for conditions, such as the provision of Door Supervisors.

- **Ensuring that gambling is conducted in a fair and open way –**

The Gambling Commission does not generally expect Licensing Authorities to be concerned with ensuring that gambling is conducted in a fair and open way. *However, the Licensing Authority 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 Licence Conditions and Code of Practice.*

- **Protecting children and other vulnerable persons from being harmed or exploited by gambling –**

In practice, the Objective of protecting children from being harmed or exploited by gambling often means preventing them from taking part in, or being in close proximity to, gambling.

There is no definition of the term 'vulnerable person' in the Act, but this could include people who are gambling beyond their means and people who may not be able to make informed or balanced decisions about gambling due to a mental impairment, or substance misuse of alcohol or drugs.

The Licensing Authority will consider very carefully whether applications for Premises Licences in respect of gambling premises located close to schools, centres for gambling addicts, or residential areas where there may be a high concentration of families with children, should be granted, *and will fully scrutinise the control measures outlined in an operator's local area risk assessment in this regard.*

The Licensing Authority will 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.

14.21 Conditions

The Licensing Authority is aware that the mandatory and default conditions imposed by the Gambling Commission will normally be sufficient to regulate gambling premises. In exceptional cases where there are specific risks or problems associated with a particular locality, specific premises or class of premises the Authority may consider attaching individual conditions related to the Licensing Objectives.

Any conditions attached to Licences will be proportionate and will be:-

- relevant to the need to make the proposed premises suitable as a gambling facility;
- directly related to the premises and the type of licence applied for;
- fairly and reasonably related to the scale and type of premises; and
- reasonable in all other respects.

In addition, the Licensing Authority will examine how applicants propose to address the Licensing Objectives. In considering applications the Licensing Authority will particularly take into account the following, if deemed appropriate:-

- Proof of age schemes;
- Closed Circuit Television;
- Door Supervisors;
- Supervision of entrances/machine areas;
- Physical separation of areas;
- Location of entrances;
- Notices and signage;
- Specific opening hours; and
- With particular regard to vulnerable persons, measures such as the use of self-barring schemes, provision of information, leaflets, helpline numbers for organisations such as Gamcare;

14.22 It is recognised that there are conditions which the Licensing Authority cannot attach to Premises Licences. These are:-

- any conditions on the Premises Licence which make it impossible 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 Act specifically removes the membership requirement for casino and bingo clubs and this provision prevents it being reinstated);
- conditions in relation to stakes, fees, and the winning of prizes.

14.23 Credit

Credit facilities are prohibited from being provided in casinos and bingo licensed premises. Cash machines (ATM's) may be installed in such premises but the Licensing Authority may apply conditions as to where they are sited.

14.24 Betting Machines [See Annex C for definition]

In relation to Casinos, Betting Premises and Tracks, the Licensing Authority can 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 or to a Casino Premises Licence (*where betting is permitted in the Casino*).

14.25 When considering whether to impose a condition to restrict the number of betting machines in particular premises, the Licensing Authority, among other things, shall 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 by children and young persons or by vulnerable persons.

14.26 In deciding whether to impose conditions to limit the number of betting machines, each application will be considered on its own merit and account will be taken of Codes of Practice or Guidance issued under the Act.

15.0 PROVISIONAL STATEMENTS

15.1 An application for a provisional statement may be made in respect of premises which the applicant

- expects to be constructed
- expects to be altered
- expects to acquire a right to occupy.

The applicant should refer to the Act and the detailed information provided in the Guidance

16.0 REVIEWS

16.1 Applications for a Review of a Premises Licence may be made by Responsible Authorities and Interested Parties.

16.2 It is for the Licensing Authority to decide whether the review is to be carried out. This decision will generally be on the basis of whether the request for the review is relevant to the matters listed below:-

- Whether the grounds for the request raises issues relevant to the principles to be applied by the Licensing Authority and set out within the Licensing Authority Statement of Policy;
- Whether the grounds for the request are frivolous or vexatious.
- Whether the grounds for the request would certainly not cause the Licensing Authority to alter/revoke/suspend the Premises Licence;
- Whether the grounds for the request are substantially the same as previous representations or requests for a review.
- In accordance with any relevant codes of practice issued by the Gambling Commission.
- In accordance with any relevant guidance issued by the Gambling Commission.
- Reasonably consistent with the Licensing Objectives.

16.3 In accordance with the Guidance. The Licensing Authority can also initiate a review of a Licence on the basis of any reason which it thinks is appropriate

17.0 ADULT GAMING CENTRES

17.1 An Adult Gaming Centre is defined in Annex 'C'. Entry to these premises is age restricted.

17.2 The Licensing Authority will take account of any conditions applied to an Operating Licence in respect of such premises.

18.0 LICENSED FAMILY ENTERTAINMENT CENTRES

18.1 A Licensed Family Entertainment Centre is defined in Annex 'C'. Entry to these premises is not generally age restricted although entry to certain areas may be restricted, dependent on the category of machines available for use.

18.2 The Licensing Authority will take account of any conditions applied to an Operating Licence in respect of such premises.

19.0 CASINOS

19.1 A casino is defined in Annex 'C'. Entry to these premises is age restricted

19.2 The Licensing Authority is empowered to pass a resolution not to issue new licences for casinos in its area. No such resolution has been made.

19.3 The Licensing Authority will take account of any conditions applied to an Operating Licence in respect of such premises.

19.4 Betting Machines

Conditions may be imposed, in accordance with paragraphs 14.24, 14.25 and 14.26 ~~14.13, 14.14 and 14.15~~ above.

19.5 In deciding whether to impose conditions to limit the number of betting machines, each application will be on its own merits and account will be taken of Codes of Practice or Guidance issued under the Act.

19.6 Credit

Credit facilities are prohibited in casinos, however, this does not prevent the installation of cash dispensers (ATMs) on the premises, although the Licensing Authority may attach conditions as to the siting of such machines.

20.0 BINGO PREMISES

20.1 Bingo is defined in Annex 'C'. Entry to these premises is not generally age restricted although entry to certain areas may be restricted, dependent on the category of machines available for use.

20.2 The Licensing Authority will take account of any conditions applied to an Operating Licence in respect of such premises.

20.3 Credit

Credit facilities are prohibited in premises licensed for Bingo, however, this does not prevent the installation of cash dispensers (ATMs) on the premises, although the Licensing Authority may attach conditions as to the siting of such machines.

21.0 BETTING PREMISES

21.1 Betting is defined in Annex 'C'. Entry to these premises is age restricted.

21.2 The Licensing Authority will take account of any conditions applied to an Operating Licence in respect of such premises.

21.3 Betting Machines

Conditions may be imposed, in accordance with paragraphs 14.24, 14.25 and 14.26 ~~14.13, 14.14 and 14.15~~ above.

21.4 In deciding whether to impose conditions to limit the number of betting machines, each application will be on its own merits and account will be taken of Codes of Practice or Guidance issued under the Act.

22.0 TRACKS

22.1 A Track is defined in Annex 'C'. Entry to these premises may be age restricted. Please refer to the Gambling Commission Guidance.

22.2 The Licensing Authority will take account of any conditions applied to an Operating Licence in respect of such premises.

22.3 Betting Machines

Conditions may be imposed, in accordance with paragraphs 14.24, 14.25 and 14.26 ~~14.13, 14.14 and 14.15~~ above.

22.4 In deciding whether to impose conditions to limit the number of betting machines, each application will be on its own merits and account will be taken of Codes of Practice or Guidance issued under the Act

23.0 TRAVELLING FAIRS

23.1 The facilities for gambling (being category D machines and/or equal chance prize gaming without a permit) must amount to no more than an ancillary amusement at the fair. The Licensing Authority will determine whether this requirement is being met.

<p>PART C PERMITS</p>

24.0 The Act introduced a range of permits for gambling which are granted by Licensing Authorities. Permits are required when premises provide a gambling facility but either the stakes and prizes are very low or gambling is not the main function of the premises. The permits regulate gambling and the use of gaming machines in a specific premises. With the exception of limiting machine numbers on Licensed Premises Gaming Machine permits, the Licensing Authority may only grant or reject an application for a permit. No conditions may be added.

**25.0 UNLICENSED FAMILY ENTERTAINMENT CENTRE
GAMING MACHINE PERMITS**

25.1 Where a premises does not hold a Premises Licence but wishes to provide Gaming machines, it may apply to the Licensing Authority for a Permit. It should be noted that the applicant must show that the premises will be wholly or mainly used for making gaming machines available for use.

25.2 The Licensing Authority will expect the applicant to show that there are written 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. The suitability of such policies and procedures will be considered on their merits, however, they may include:-

- A basic Criminal Records Bureau or equivalent criminal record check for the applicant and the person having the day to day control of the premises;
- Proof of age schemes;
- How the applicant proposes to ensure that children will be protected from harm whilst on the premises;
- Training covering how staff would deal with:-
 - unsupervised, very young children being on the premises,
 - children causing perceived problems on/around the premises, or
 - suspected truant children

In addition applicants should be able to demonstrate a full understanding of maximum stakes and prizes (and that staff are suitably trained in this respect)

26.0 (ALCOHOL) LICENSED PREMISES GAMING MACHINE PERMITS

26.1 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 via a notification to the Licensing Authority.

26.2 Gaming machines can only be located on licensed premises that have a bar for serving customers.

26.3 Premises restricted to selling alcohol only with food, will not be able to have gaming machines or apply for a Permit.

26.4 Where an application for more than two gaming machines is received, the Licensing Authority will specifically have regard to the need to protect children and vulnerable persons from harm or being exploited by gambling and will expect the applicant to satisfy the Authority that there will be sufficient measures to ensure that under 18 year olds do not have access to the adult only machines. Measures will cover such issues as:-

- Adult machines being in sight of the bar;
- Adult machines being in sight of staff who will monitor that the machines are not being used by those under 18;
- Appropriate notices and signage; and
- As regards the protection of vulnerable persons, the Licensing Authority will consider measures such as the use of self-barring schemes, provision of information, leaflets/help line numbers for organisations such as Gamcare.
- Relevant codes of practice issued by the Gambling Commission

The Licensing Authority can decide to grant an application with a smaller number of machines and/or a different category of machines than that applied for but conditions other than these cannot be attached.

27.0 PRIZE GAMING PERMITS[See Annex C for definition]

27.1 The Licensing Authority will expect the applicant to show that there are written 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. The suitability of such policies and procedures will be considered on their merits, however, they may include:-

- A basic Criminal Records Bureau or equivalent criminal record check for the applicant and the person having the day to day control of the premises.
- Proof of age schemes
- How the applicant proposes to ensure that children will be protected from harm whilst on the premises.
- Training covering how staff would deal with:-
 - unsupervised, very young children being on the premises,
 - children causing perceived problems on/around the premises, and
 - suspected truant children

In addition applicants should be able to demonstrate a full understanding of maximum stakes and prizes (and that staff are suitably trained in this respect)

In making its decision on an application for a Permit, the Licensing Authority does not need to have regard to the Licensing Objectives but must have regard to any Gambling Commission guidance.

28.0 CLUB GAMING AND CLUB MACHINE PERMITS

28.1 Members' Clubs and Miners' Welfare Institutes may apply for a Club Gaming Permit and/or a Club Gaming Machine Permit, but are restricted by category and number of machines and to equal chance gaming and games of chance.

28.2 Commercial clubs may apply for a club machine permit, subject to restrictions

28.3 The gambling provided under the authority of a club gaming permit must also meet the following conditions:

(a) in respect of gaming machines:

no child or young person may use a category B or C machine on the premises

that the holder must comply with any relevant provision of a code of practice about the location and operation of gaming machines.

(b) the public, children and young persons must be excluded from any area of the premises where the gaming is taking place.

28.4 Section 273 of the Act sets out the conditions that will apply to the club machine permit, including that in respect of gaming machines no child or young person uses a category B or C machine on the premises and that the holder complies with any relevant provision of a code of practice about the location and operation of gaming machines.

PART D OCCASIONAL AND TEMPORARY PERMISSIONS

29.0 TEMPORARY USE NOTICES (TUN)

29.1 A 'TUN' is defined in Annex 'C'.

29.2 A TUN may only be granted to a person or company holding an Operating Licence relevant to the temporary use of the premises. Regulations issued by the Secretary of State prescribe the activities to be covered. At present a Temporary Use Notice can only be issued for equal chance gaming.

29.3 For the purposes of a TUN, a set of premises is the subject of a TUN if any part of the premises is the subject of the Notice. This prevents one large premises from having a TUN in effect for more than 21 days per year by giving a Notice in respect of different parts.

29.4 The definition of 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 Licensing Authority will consider, amongst other things, the ownership/occupation and control of the premises.

29.5 The Licensing Authority will 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.

30.0 OCCASIONAL USE NOTICES

- 30.1** Occasional Use Notices (OUN) are defined in Annex 'C'.
- 30.2** The Licensing Authority has very little discretion as regards these Notices, aside from ensuring that a statutory limit of 8 days in a calendar year is not exceeded.
- 30.3** The Licensing Authority will, however, consider the definition of a track and whether the applicant is permitted to avail him/herself of the Notice.

31.0 SMALL SOCIETY LOTTERIES

- 31.1** The definition of a Small Society Lottery is contained in Annex 'C' and these require registration with the Licensing Authority.

32.0 APPENDICES

- 32.1** Appendices have been attached to this Statement providing further information and guidance and they are intended only to assist readers and should not be interpreted as legal advice or as constituent of the Licensing Authority's policy. Readers of this document are strongly advised to seek their own legal advice if they are unsure of the requirements of the Act, or the guidance or regulations issued under the Act.

33.0 DELEGATION OF POWERS

- 33.1** The Licensing Authority has agreed a scheme of delegation for discharging its functions under the Act.

34.0 DEFINITIONS – Annex 'C'

35.0 FEES – Annex 'F'

36.0 USEFUL CONTACTS

The Gambling Commission maintains a list of useful contacts on organisations involved in gambling and their contact details can be found on the Commission's website www.gamblingcommission.gov.uk Some of these organisations provide codes of practice on their particular interest area.

ANNEX 'A'

List of Consultees

The draft policy was placed on the Council Website and in accordance with the Act the following organisations and individuals were consulted as part of the formal consultation exercise on the Statement of Gambling Licensing Policy.

- All responsible Authorities for the Gambling Act (as specified in Annexe 2).
- The Licensing Committee
- Holders of Premises Licences and Permits under the Gambling Act 2005
- *Private Members' Clubs holding registrations;*
- *Licensees of alcohol licensed premises who have given notification of the use of gaming machines*
- *A sample of organisations who had previously sought registration for the purposes of local lotteries;*
- *Religious groups including: Anglican Church (Prittlewell Vicarage), Bahai's in Essex, the Bishop of Bradwell, Churches Together in Southend, Greek Orthodox Community, Hindu Association, Mayor's Chaplain, Reform Synagogue, Roman Catholic Deanery (Leigh-on-Sea), Salvation Army (Southend), Society of Friends, Southend and Westcliff Hebrew Congregation, Southend Islamic Trust, Southend Sikh Society.*
- *Educational establishments including local secondary schools, colleges of further education and Essex University.*
- *Trade Associations including Business in Sport and Leisure, BACTA, the Casino Operators Association, the Bingo Association, the Association of British Bookmakers Ltd., the British Casino Association, Southend Seafront Illumination and Business Association Ltd (SSIBA).*
- *Voluntary and support groups including Gamblers Anonymous, GamCare, Responsibility in Gambling Trust, Age Concern, Southend Mencap, Housing and Money Advice Service (Southend-on-Sea Borough Council), Youth and Connexions (Southend-on-Sea Borough Council), Womens Aid Federation of England, The Samaritans, Citizens Advice Bureau, Southend District Mental Health Association, Southend Association of Voluntary Services, South Essex Victims Support, NSPCC.*
- *Other relevant authorities and organisations including Southend Transport Police, Regulatory Services (Southend-on-Sea Borough Council), Trading Standards (Southend-on-Sea Borough Council), Southend Primary Care Trust, Youth Offending Service.*
- *Leigh-on-Sea Town Council;*
- *Leigh Society;*

- *The Milton Conservation Society.*
- *Licensing Consultants and Legal Advisers in private practice, including 21st Century Licensing, Hook and Partners and Drysdale,*
- *Club Watch (Southend), / Pubwatch (Leigh and Shoebury)*
- *Southend Community Safety Partnership*
- *Southend Ethnic Minority Forum,*
- *Chinese Association Centre,*
- *Essex Bangladeshi Welfare Association,*
- *Residents and Tenants Associations.*

In addition to those specifically consulted, ?? requests were received for copies of the draft Policy Document.

~~(note the consultation list is deliberately light as this policy is a re-adoption of the previous policy pending the outcome of the Gambling Commission Guidance review. Once that review is complete this policy will be reviewed and the Licensing Authority will revert to the fuller consultation process used for all previous policy reviews).~~

ANNEX 'B'

Contact Details for the Licensing Authority and Responsible Authorities

The Licensing Authority is:

The Licensing Authority
Public Protection Division (Floor 13)
Southend-on-Sea Borough Council
Civic Centre
Victoria Avenue
Southend-on-Sea, SS2 6ZG

Telephone: 01702 215005

Email: licact2003@southend.gov.uk

The Responsible Authorities are:

- a) The Chief Officer of Police
Essex Police Licensing Unit
PO Box 12306
Police Station
Newland Street,
Witham, CM8 2AS

Telephone: 101 ext 452035

E:mail licensing.applications@essex.pnn.police.uk

Guidance from Essex Police on their expectations for licence applications can be found on their website at: www.essex.police.uk/licensing

- b) The Fire and Rescue Authority
Essex County Fire and Rescue Service
Southend Service Delivery Point
Sutton Road (Rear of Fire Station)
Southend-on-Sea, SS2 5PX

Telephone 01376 576740

- c) The Local Planning Authority
The Development Control Section
Southend-on-Sea Borough Council
Civic Centre
Victoria Avenue
Southend-on-Sea. SS2 6ZG

Telephone: 01702 215327

- d) The Local Authority with functions related to prevention of risk of pollution of the environment:-

The Environmental Protection Team
Public Protection Division (Floor 13)
Southend-on-Sea Borough Council
Civic Centre, Victoria Avenue
Southend-on-Sea SS2 6ZG

Telephone: 01702 215005

Email: environmentalprotection@southend.gov.uk

- e) The body designated by the Licensing Authority as being competent to advise on the Authority about protection of children from harm.

The Department of Children & Learning
(Child Protection Advisor)
PO Box 59
Southend-on-Sea Borough Council
Queensway House
Essex Street
Southend-on-Sea, SS2 5TB

Telephone: 01702 534417

- f) The Gambling Commission
Victoria Square House
Victoria Square
Birmingham
B2 4BP

Telephone: 0121 230 6500

- g) Her Majesty's Revenue and Customs
National Registration Unit
Betting & Gaming
Cotton House
& Cochrane Street
Glasgow
G1 1HY

Telephone: 03000 516023

Email: NRUBetting&Gaming@HMRC.gsi.gov.uk

In relation to vessels only, the Navigation Authority having functions in relation to any place where the vessel is or is likely to be while activities are carried on in reliance on a premises licence. For this purpose, correspondence should be sent to:

Surveyor-in-Charge
Maritime & Coast Guard Agency
Marine Office
Central Court
1B Knoll Rise
Orpington, BR6 0JA

Telephone: 01689 890400

Any further enquiries or assistance can be obtained from the Licensing Authority on the *email address or telephone number* given above. These addresses were correct at the time of going to press but are subject to change without notice. Any change made will not form part of a review of the Council's Statement of Licensing Policy

ANNEX 'C'

DEFINITIONS

Please note, definitions listed below are for guidance only and do not form part of the Council's Statement of Licensing Policy or will necessarily appear within it.

Term	Description
ATM	<i>Auto teller machine or cash machine.</i>
Adult Gaming Centre	Premises in respect of which an Adult Gaming Centre Premises Licence has effect.
Authorised Local Authority Officer	A Licensing Authority Officer who is an authorised person for a purpose relating to premises in that Authority's area.
Betting	In this Act "betting" means making or accepting a bet on— (a) the outcome of a race, competition or other event or process, (b) the likelihood of anything occurring or not occurring, or (c) whether anything is or is not true.
Betting Machines	A machine designed or adapted for use to bet on future real events [not a gaming machine].
Bingo	Bingo is not given a statutory definition in the Act other than that it means any version of the game irrespective of by what name it is described. It is to have its ordinary and natural meaning. Two types of bingo are commonly understood: <ul style="list-style-type: none">• cash bingo, where the stakes paid make up the cash prizes that are won• prize bingo, where various forms of prizes are won, not directly related to the stakes paid.
Casino	An arrangement whereby people are given an opportunity to participate in one or more casino games.
Casino Resolution	Resolution not to issue Casino Premises Licences.
Child	Individual who is less than 16 years old.
Club Gaming Machine Permit	Permit to enable the premises to provide gaming machines [3 machines of Categories B,C or D.]
Conditions	Conditions to be attached to licences by way of:-

	<ul style="list-style-type: none"> ❑ Automatic provision ❑ Regulations provided by Secretary of State ❑ Conditions provided by Gambling Commission ❑ Conditions provided by Licensing Authority <p>Conditions may be general in nature [either attached to all licences or all licences of a particular nature] or may be specific to a particular licence.</p>
<i>Crane grab machine</i>	<i>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.</i>
Default Conditions	Conditions, <i>prescribed in regulations</i> , that will apply unless the Licensing Authority decides to exclude them. This may apply to all Premises Licences, to a class of Premises Licence or Licences for specified circumstances.
Delegated Powers	Decisions delegated either to a Licensing Committee, Sub-Committee or Licensing Officers.
Disorder	No set interpretation. However, likely to be connected to the way gambling is being conducted. In the case of Gambling Premises' Licences, disorder is intended to mean activity that is more serious and disruptive than mere nuisance.
Equal Chance Gaming	Games that do not involve playing or staking against a bank and where the chances are equally favourable to all participants.
Exempt Lotteries	<p>Lotteries specified in the Gambling Act as permitted to be run without a licence from the Gambling Commission. There are four types:</p> <ul style="list-style-type: none"> • Small Society Lottery [required to register with Licensing Authorities. • Incidental Non Commercial Lotteries. • Private Lotteries. • Customer Lotteries.
Family Entertainment Centre (FEC)	<p>There are two types of FEC:-</p> <p>A licensed FEC (ie one with a Premises Licence) has no limit on the number of category C or D machines permitted</p> <p>An unlicensed FEC (ie one with a Permit) has no limit on the number of category D machines permitted</p>

<i>Fixed Odds Betting Terminals (FOBTs)</i>	<i>FOBTs are a type of gaming machine which generally appear in licensed bookmakers. (Betting Shops) 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.</i>
Gaming & game of chance	In the Act "gaming" means playing a game of chance for a prize. and "game of chance"— (a) includes— (i) a game that involves both an element of chance and an element of skill, (ii) a game that involves an element of chance that can be eliminated by superlative skill, and (iii) a game that is presented as involving an element of chance, but (b) does not include a sport
Gaming Machine	Machine covering all types of gambling activity, including betting on virtual events, <i>but not including home computers even though users can access online gambling websites.</i>
Guidance to Licensing Authorities	Guidance issued periodically by the Gambling Commission
Incidental Non Commercial Lottery	A lottery promoted wholly for purposes other than private game, and which are incidental to non commercial events [commonly charity fundraising events, lottery held at a school fete or at a social event such as a dinner dance]
Lottery	An arrangement which satisfies the statutory description of either a simple lottery or a complex lottery in Section 14 of the Act.
Members' Club	A club, as defined by the Licensing Act 2003, that must:- <ul style="list-style-type: none"> □ Have at least 25 members; □ Be established and conducted 'wholly or mainly' for purposes other than gaming; □ Be permanent in nature; □ Not be established to make commercial profit; □ Be controlled by its members equally.
<i>Money prize machine</i>	<i>A machine in respect of which every prize which can be won as a result of using the machine is a money prize.</i>
<i>Non-money prize machine</i>	

	<p><i>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:</i></p> <p><i>(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</i></p> <p><i>(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.</i></p>
Occasional Use Notice (OUN)	Betting may be permitted on a 'track' by an OUN without the need for a full Premises Licence.
Odds	<i>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.</i>
Off Course Betting	Betting that takes place other than at a track, i.e. at a licensed betting shop.
Off Course Betting - Tracks	Betting that takes place in a self-contained betting premises with the track premises providing facilities for off course betting, i.e. on other events, not just those taking place on the track. Normally operates only on race days.
On Course Betting - Tracks	Betting that takes place on a track while races are taking place.
Operating Licence	Licence to permit individuals and companies to provide facilities for certain types of gambling. It may authorise remote or non remote gambling.
Permits	Authorisation to provide a gambling facility where the stakes and prizes are very low or gambling is not the main function of the premises.
Personal Licence	Formal authorisation to individuals who control facilities for gambling or are able to influence the outcome of gambling. Cannot be held by companies.
Pool Betting - Tracks	<p>Betting offered at a horse racecourse by the Tote and at a dog track by the holder of the Premises Licence for the track.</p> <p><i>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 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</i></p>

	<i>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.</i>
Private Lotteries	<p>There are three types of Private Lotteries:</p> <ul style="list-style-type: none"> ❑ Private Society Lotteries - tickets may only be sold to members of the Society or persons who are on the premises of the Society; ❑ Work Lotteries - the promoters and purchasers of tickets must all work on a single set of work premises; ❑ Residents' Lotteries - promoted by, and tickets may only be sold to, people who live at the same set of premises.
Prize Gaming	Where 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 Permit	A permit to authorise the provision of facilities for gaming with prizes on specific premises.
<i>Regulations or Statutory instruments</i>	<i>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.</i>
<i>Representations</i>	<i>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.</i>
Responsible Authorities	<p>Public Bodies that must be notified of all applications and who are entitled to make representations in relation to Premises Licences, as follows:-</p> <ul style="list-style-type: none"> ❑ The Licensing Authority in whose area the premises is partly or wholly situated ❑ The Gambling Commission ❑ The Chief Officer of Police ❑ Fire and Rescue Service ❑ The Planning Authority for the local authority area ❑ Environmental Health Service for the local authority area

	<ul style="list-style-type: none"> ❑ The Body competent to advise on the protection of children from harm ❑ HM Revenue and Customs ❑ Authority in relation to vulnerable adults ❑ Vessels only - the Navigation Authority whose statutory functions are in relation to waters where the vessel is usually moored or berthed, i.e. the Environment Agency, British Waterways Board, the Maritime and Coastguard Agency <p>Full details of Responsible Authorities for the Borough are contained in Appendix 'B' to this Policy.</p>
<i>Skill machine / Skill with prizes machine</i>	<i>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.</i>
Small Society Lottery	A lottery promoted on behalf of a non commercial society, i.e. lotteries intended to raise funds for good causes.
Society	The society, or any separate branch of such a society, on whose behalf a lottery is to be promoted.
Stake	<i>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).</i>
Table gaming	<i>Card games played in casinos.</i>
Temporary Use Notice (TUN)	To allow the use of a premises for gambling where there is no Premises Licence but where a gambling operator wishes to use the premises temporarily for providing facilities for gambling.
Tote [or Totalisator]	Pool betting on tracks. "Tote" is short for Totaliser, a system introduced to Britain in 1929 to offer pool betting on racecourses.
Track	Sites where races or other sporting events take place, e.g. horse racing, dog racing or any other premises on any part of which a race or other sporting event takes place or is intended to take place.
Vehicles	Defined as trains, aircraft, sea planes and amphibious vehicles other than hovercraft. No form of commercial betting and gaming is permitted.

Vulnerable Persons	<p>No set definition, but likely to mean group to include people who:-</p> <ul style="list-style-type: none"> □ gamble more than they want to □ gamble beyond their means <p>who may not be able to make informed or balanced decisions about gambling due to a mental impairment, alcohol or drugs</p>
Young Person	<p>An individual who is not a child but who is less than 18 years old.</p>

ANNEX 'D'



ANNEX 'E'

Local Area Risk Assessment Example Template

<i>1: Local Area</i>			
<i>No</i>	<i>Local Risks:</i>	<i>Licensing objective(s) at risk: (CD, FO or CV)</i>	<i>Control Measures</i>
1.1			<i>Systems</i>
			<i>Design</i>
			<i>Physical</i>
1.2			<i>Systems</i>
			<i>Design</i>
			<i>Physical</i>
1.3			<i>Systems</i>
			<i>Design</i>
			<i>Physical</i>

<i>2: Gambling Operation</i>			
<i>No</i>	<i>Local Risks:</i>	<i>Licensing objective(s) at risk: (CD, FO or CV)</i>	<i>Control Measures</i>
2.1			<i>Systems</i>
			<i>Design</i>
			<i>Physical</i>
2.2			<i>Systems</i>
			<i>Design</i>
			<i>Physical</i>
3.3			<i>Systems</i>
			<i>Design</i>
			<i>Physical</i>

3: Internal and External Premises Design			
No	Local Risks:	Licensing objective(s) at risk: (CD, FO or CV)	Control Measures
3.1			Systems
			Design
3.2			Systems
			Design
3.3			Systems
			Design
3.3			Physical
			Physical

Actions following assessment:			
1: Local Area			
Action	Person/Dept tasked	Date tasked	Date completed
2: Gambling Operation			
Action	Person/Dept tasked	Date tasked	Date completed
3: Internal and External Premises Design			
Action	Person/Dept tasked	Date tasked	Date completed

Signed:		Date:	
----------------	--	--------------	--

Print Name:	
--------------------	--

Notes: This risk assessment must be completed for all new premises or when the premises licence is varied. The assessment must also be reviewed when there are any significant changes to either the local circumstances and/or the premises. see section 14 of this policy)

*Risks: Area of consideration that may impact on one or more of the licensing objectives
Local Risks: These are the identified factors that may pose a risk to the licensing objectives by virtue of the provision of gambling facilities at the premises*

Licensing Objectives: these are the three licensing objectives under the Gambling Act 2005 to which the risk factors have been identified as potentially impacting. For ease of reference within this assessment the objectives have been given codes that should be used to replace the full objective. These codes are CD for the Crime and Disorder objective, FO for the Fair and Open objective and CV for the protection of children and the vulnerable.

Control Measures: These are measures that the operator can put in place to mitigate the risk to the licensing objectives from the risk factors. These control measures are split into three categories, systems, design and physical.

The fact that there are three subsections in each section of the template should not be taken to suggest that you should limit your assessment to three risks for each section. The above template is an example only. You are at liberty to use your own design.

ANNEX 'F'

Non statutory fees are reviewed by the Licensing Authority on an annual basis in accordance with the Gambling (Premises Licence Fees) (England and Wales) Regulations 2007. Details of current fees can be obtained by contacting

The Licensing Authority
Public Protection Division (Floor 13)
Department *for Place of Enterprise, Tourism and the Environment*
Southend-on-Sea Borough Council
Civic Centre
Victoria Avenue
Southend-on-Sea
Essex SS2 6ZG Telephone: 01702 215005

Email: licact2003@southend.gov.uk

or alternatively by viewing the Council's Website www.southend.gov.uk

Southend-on-Sea Borough Council

Agenda

Item No.

Report of Deputy Chief Executive (Place)

to
Cabinet
on

8th November 2016

Report prepared by: Rosemary Pennington, Group Manager:
Cultural Development & Sharon Wheeler, Culture Strategy &
Leisure Development Manager

Celebrating 125 years of the Borough of Southend-on-Sea & the Centenary of Priory Park being gifted to the Town

Place Scrutiny Committee

**Executive Councillor: Councillor Holland
Part 1 (Public Agenda Item)**

1. Purpose of Report

- 1.1 To propose a programme of events in 2017 celebrating both the 125th anniversary of the Borough Charter for Southend-on-Sea and the centenary of Priory Park being gifted to the Borough.

2. Recommendations That Cabinet;

- 2.1 Approve the proposed series of celebrations to mark the 125th anniversary of the signing of the Borough Charter and the centenary of Priory Park.**
- 2.2 Note the nationally significant award of Poppies: Wave exhibition to Shoeburyness which will form part of the year's celebrations.**
- 2.3 Approve one-off financial support of the collective activity up to £580k and funded from the Business Transformation Reserve across 2016/17 and 2017/18**

3. Background

- 3.1 On Friday 5th August 1892 Her Royal Highness Queen Victoria signed the Royal Charter that incorporated Southend-on-Sea. On the day the charter was signed Southend had a population of 13,000 residences with a rateable value of £82,000.
- 3.2 Incorporation Day was held on Wednesday 19th September 1892, this was the day that the official letter and charter document from the queen were delivered to Southend from Osbourne House.

- 3.3 The official messenger arrived from London to be met by the Lord Mayor of London, Lord Lieutenant of the County of Essex, Brass Bands, and the Southend Lifeboat which had been specially taken from the water and placed in a wheeled cradle to parade through the town. The parade made its way down the High Street and then along the pier to the pier head.
- 3.4 Upon reaching the end of the pier a lunch was held, during which Thomas Dowsett became the first Mayor of Southend, the charter document was handed over and Southend became the newest town in England.
- 3.5 To commemorate the occasion of the charter the 1,743 school children registered within the new borough were each presented with medals. A tea party was held for them in a large marquee at the site that later became Whitefield Road.
- 3.6 In 1992 to mark the centenary of the Borough a series of events were hosted by the council all of which were badged under a special centenary logo and included:-
- Construction of a large scale stage along the seafront for a series of concerts
 - The Lord Mayor of London took part in a Civic Procession and opened the Centenary Garden in Priory Park (including the planting of a time capsule) also the extension and refurbishment of Cliffs Pavilion.
 - A marquee in Priory Park which hosted a Flower Festival.
 - A series of exhibitions and other events throughout the summer season (April – October) - see attached for a copy of the 1992 Centenary Programme which was covered extensively in the Southend Evening Echo.
- 3.7 2017 will mark 125 years of the incorporation of the Borough; in addition this year will also see the centenary of Priory Park, gifted to the borough by R A Jones in 1917, and also falls within the 4 year centenary commemoration of World War 1.
- 3.8 To mark these series of significant milestones for the Borough the Cultural Officers Working Party have put together a programme of potential activities which could take place across 2017 to mark each of these particular events.

The following are a list of the potential events / themes which could be incorporated into the programme:-

- 3.8.1 **Poppies: 14-18 NOW:** First World War Centenary Art Commissions invited expressions of interest from across the UK to host during 2017 and 2018 the iconic ceramic poppy sculptures *Wave* and *Weeping Window* from the installation *Blood Swept Lands and Seas of Red* at the Tower of London in 2014.
- 3.8.1.1 The council submitted an Expression of Interest to host the iconic "Weeping Window" element of the sculpture in the town, ideally in 2017 to accentuate the celebrations for the 125th anniversary of the Borough.

- 3.8.1.2 The expression of interest identified the Heavy Duty Quick Firing Battery Gun structure within Gunners Park as the preferred location for the sculpture. However, during unannounced visits to the location by 14-18 NOW, the artists involved identified Barge Pier as a location they wanted to pursue. They also considered that the “Wave” element of the sculpture would be more suited to the site.
- 3.8.1.3 14-18 NOW and the artists involved with the project felt that the history of the Old Ranges and the feel of the site offered a location that fitted with the sentiment of the sculpture and in particular liked how Barge Pier would add to the experience.
- 3.8.1.4 Barge Pier currently belongs to the Avant Homes, the developer of the Garrison, but is due to be transferred to the Council as part of the sea wall transfer.
- 3.8.1.5 Given the limitations and potential challenges of siting the sculpture on Barge Pier, 14-18 NOW agreed to part fund a structural survey of the pier; from their perspective the outcome was to determine if the site could be considered by the final judging panel.
- 3.8.1.9 The survey took place at the ends of September 2016; the findings of which were shared with 14-18 NOW. Subsequently, the Council was informed at the beginning of October that it had been selected and will be one of 6 locations in the country to host one of the prestigious Poppies Installations.
- 3.8.1.10 Shoeburyness will be the only location of any exhibition in the South East of England in 2017 providing a significant opportunity to attract new audiences and cross promote the Southend cultural and tourism offer.
- 3.8.1.11 The 2017 locations and dates are:
- WAVE:**
12TH April – 25th June: Barge Pier, Shoeburyness, Southend-on-Sea
15th July – 19th November: Plymouth Naval Memorial
- WEEPING WINDOW:**
22nd March – 29th May: Maritime Museum, Hull
9th June -23rd July: Silk Mill, Derby
5th August – 25th September: National Assembly of Wales, Cardiff
14th October – 3rd December: Ulster Museum, Belfast
- 3.8.1.12 Now that the award has been finalised; the news of which can be shared publicly. The required preparatory work to host a successful exhibition in Southend is underway and project plans are being developed to maximise the opportunity that this provides for raising the profile of the borough locally, nationally and internationally.

3.8.2 Southend - 125 years pageant

It is proposed that consideration be given to a pageant type of event which will re-enact key historical events and milestones in the history of Southend over the last 125 years. This is likely to take the form of a series of performances within Warrior Square Gardens on the weekend prior to the 125th Anniversary date of 19th September 2017.

It is intended that a local arts organisation would be invited to make an application for funding for the delivery of the pageant activity to the HLF; it is anticipated that the Council would make a match funding contribution in the region of £7,000.

3.8.3 Priory Park Centenary

The main focus of activity will be the replacement of the Crowns on the entrance gates with copies of the original lions which were installed on the gates when the park was gifted to the public. There will be other park related events such as a significant flower festival to celebrate the park's centenary year.

3.8.4 Silk River

The Council have been invited by Kinetika to participate in their Silk River project which will take place in 2017. The project will be a series of artistic exchanges between UK and Indian Artists to mark 70 years of Indian Independence as part of the UK Year of Indian Culture.

Kinetika have recently been successful in their application for project funding through Arts Council England's "Re-imagine India" funding stream. There would be a contribution of £10,000 required by the Council (plus an in-kind contribution).

Kinetika are researching communities, schools and groups situated along the Thames who have historical or current links with India and might be interested to participate in the project outlined below.

British artist **Ali Pretty** and her company [Kinetika](#) is developing a creative project [Re-imagining the River](#) in partnership with Indian Arts organisation [Banlanatak](#)

It explores the unique relationship between London and Kolkata through a year-long artistic exchange between communities along the Thames Estuary and West Bengal drawing inspiration from the Thames and Hooghly rivers.

In both India and the UK the project will:

- Engage with 10 communities along the river selected from locations of cultural and historical importance.
- Work with schools and local artists to create new stories through drawing and oral storytelling activities.

- Host an artistic workshop for a team of selected contemporary artists and craftspeople to create silks, reflecting the stories, landscape and heritage of each community.
- Work with a team of local people/children to create an animated walk using the silks in a way that draws upon the Bengali tradition of Patua to share their stories.

An international group of artists, writers, photographers, and musicians will journey on foot and by boat along these two mighty rivers and connect to the communities that lie along them through a series of animated walks; the grand finale of which will be on Sunday 24th September 2017 in Southend-on-Sea at the Royal Pavilion.

The outcome of the project will be:

- 20 hand-painted Murshidabad silks designed under the artistic direction of Ali Pretty. 10 silks created in London and 10 in Kolkata; all 20 will be exhibited in both places.
- An illustrated publication capturing the story of the project with contributions from writers, photographers and artists in both places.
- An international exchange online, creating the opportunity for an international artistic and literary community to follow and contribute to the project via digital platforms.
- This project will continue the momentum of focus around the Thames to further the new Museum message.

3.8.5 Other potential events / activities:-

- Royal visit
- Planting 125 trees / creating an orchard
- Local organisations supporting their 125 related events some with grant support / seed funding future community focused events.
- Series of Bandstand concerts (programmed around the celebrations)
- Flower festival in Priory Park
- Planting of floral displays with a specifically designed logo
- Hosting a concert / musical event during the Village Green weekend – utilising the large stage already in situ. This event could include a performance of “Anthem”, the 2012 Olympic Torch Relay commissioned choral work
- Series of sporting events badged under “125” banner
- Public Art commission to mark the anniversary (the lions sculpture on top of the gates at Priory Park
- Incorporation day itself will take place on Tuesday 19th September 2017; this will be marked by a Civic Charter Service at a local church; this will be attended by the Mayor and other local dignitaries

The financial implications of these activities are set out in section 6.2 of this report.

4 Other Options

The council could choose not to mark the occasion on such a large scale and opt for the celebration events to be limited to the Poppies exhibition, Silk River Project a formal civic event / service on 19th September 2017 and the recreation of the lions on the Priory Park Gates for its centenary or alternatively pick a selection of the proposed events indicated above.

5. Reasons for Recommendations

To mark the anniversary and use the occasion as an opportunity for community cohesion and for the residents of the Borough to be aware of their own local history and create a sense of Civic Pride.

The Poppies: Wave installation will provide significant national publicity. We will develop linked communications to maximise the opportunities to support tourism and the wider economy.

The wider celebrations will provide further opportunities for marketing of the town and its cultural offer.

6. Corporate Implications

6.1 Contribution to Council's Vision & Corporate Priorities

The celebrations will contribute to the following Corporate Priorities:

- **Prosperous-** *Ensure continued regeneration of the town through a culture led agenda*
- **Excellent** – *Enable communities to be self-sufficient and foster pride in their town*
- **Healthy** – *sports participation will be included in the programme to address health objectives.*
- **Clean** – *Make Southend sparkle will be an intrinsic part of the message through civic pride.*

6.2 Financial Implications

In order to host a memorable programme of activities a budget in the region of £580k is proposed. Much of this activity will also lever match and external funding to the area. Outline costs for the proposed activity is shown below:

Event	Indicative costs
<p>Poppies exhibition- (based on discussions with Liverpool and Lincoln who have both hosted the exhibitions as well as our own costings in terms of security costs, transport and construction).</p> <p>This exhibition will require on-going maintenance as directed by the artist who will be very involved in the day to day appearance of the exhibition throughout its display. The</p>	£300,000

biggest anticipated cost with this exhibition will be the requirement to have a security presence 24 hours a day throughout the whole period of time; this will include the building and deconstruction stages.	
Silk River Project - to deliver the finale event of both the Silk River Project and the anniversary celebrations.	£10,000
Pageant: A local arts organisation will be procured to make an application to the Heritage Lottery Fund for this - there is likely to be a requirement for match funding contribution from the Council	£7,000
Priory Park Gates: this will include the commissioning of an artist to create and install the replica lions	£35,000
Publicity: - to raise the profile and promote participation in the events.	£10,000
Royal visit	£5,000
Grants to local organisations to support their 125 related events: aimed at engaging and involving the local community and creating a sense of belonging and civic pride	£25,000
Planting 125 trees / creating an orchard	£37,500
Series of Bandstand concerts (programmed around the celebrations)	£1,000
Flower festival in Priory Park: to mark the centenary of the Park	£75,000
Encourage local organisations to badge their planned 2017 events as part of the 125 years anniversary celebrations	Free
Planting of floral displays with the logo: new logo to be created for the celebrations	£5,000
Concert / musical event during the Village Green weekend: this would be either the Friday evening or the Sunday utilising the large stage which will already be in situ. This could include a performance of "Anthem", the 2012 Olympic Torch Relay commissioned choral work.	£33,000
Picnics in the parks across the borough	£500
Series of sporting events badged under "125" banner.	£5,000
Civic Service: Incorporation day itself will take place on Tuesday 19 th September 2017; this will be marked by a Civic Charter Service at a local church; this will be attended by the Mayor and other local dignitaries.	£500 (refreshments)
Project Manager: to have oversight and co-ordinate the programme of events and activities throughout the year; in particular the Poppies exhibition.	£30,000

Total	£579,500
--------------	-----------------

The estimated budget has not taken into account the potential for various elements of the programme to attract sponsorship. The centenary celebrations benefited from some sponsorship support. It will be important to get sponsors on board and a project manager appointed as early as possible to realise these opportunities. Any sponsorship generated will be used to offset the funding for the project.

There is no existing budgetary provision for this project and if Members approve the project then one-off funding could be met from the Business Transformation Reserve. The profiling of this funding across 2016/17 and 2017/18 will be determined with the Project Manager.

6.3 Legal Implications

Licensing / event applications will need to be made where appropriate. All events will be subject to a risk assessment. We do not anticipate the need for road closures for any of the celebratory events.

There will be very stringent branding, merchandising and marketing guidelines associated with the Poppies: Wave exhibition. The council will be required to enter into an agreement with 14-18 NOW to adhere to those guidelines.

In terms of Barge Pier, this location is currently in the possession of Avant Homes. Ownership is due to be transferred to the Council as part of the sea wall transfer.

Whilst currently being owned by Avant Homes, Barge Pier is located within MOD land. The appropriate discussions are being held with the MOD to gain the necessary permissions required during the period the sculpture will be on display.

6.4 People Implications

The delivery of a large scale celebration will undoubtedly involve a large HR element; the programme will be overseen by the Cultural Events Officer Group; many of the planned events will be delivered in conjunction with local partner organisations.

For the celebrations to be successful it is imperative that a Project Manager is identified to have oversight and control over the celebrations.

Initial resources will be needed to develop a Communications and Engagement Plan for the celebratory year. This initial piece of work can be undertaken within the Cultural Events Officer Working Group.

Many of the planned events will rely heavily on volunteers and a recruitment campaign will need to be undertaken.

6.5 Property Implications

The events will utilise cultural assets across the borough including Parks, Museums, Theatres and libraries as well as the seafront and Pier.

6.6 Consultation

A range of discussions have taken place with officers from a range of departments as well as volunteers. Some of the proposed events will involve competitions and will naturally involve members of the local community.

One of the proposals involves a “Community Fund” whereby local groups / organisations and individuals will have the opportunity to submit a bid for a small amount of funding to support any 125 related event they wish to deliver (we have capped this pot of funding at £25,000).

A means of determining criteria for fair allocation of this fund will be developed.

6.7 Equalities and Diversity Implications

The programme will be wide ranging and we will look to incorporate specific events to celebrate the diversity of the borough as it is today.

6.8 Risk Assessment

Each event will be subject to the appropriate Events Permit requirements and will need to have a full risk assessment and Event Management Plan. These will be monitored by the Officers Group and in some instance, the SAG (for larger events).

Risk	Likelihood (L) & Impact (H)	Mitigation
Outdoor events will be subject to weather conditions	H / M	All outdoor events will be publicised as subject to weather conditions and advice given to dress appropriately Selling of 125 branded ponchos at events
Finding unexploded ordinance at the Poppies location	M / H	Included costs for a specialist ordinance scanning company, however, may be additional costs for disposal of any items found.
Unforeseen cost associated with the Poppies exhibition	M/ M	Draft budget collated for Wave. Will seek support from colleagues in Finance to have oversight on budget projections. Any large scale damage to the Poppies during the exhibition will

		be covered by the Council's insurance policy.
Capacity to deliver the scale of events identified	H/H	Project Manager role has been built into the costings for the celebrations.
Higher level of Policing costs than anticipated due to their change in focus of local policing	H / M	Policing costs will only apply to larger scale events. Early opportunity through the SAG to understand and identify any excess policing costs.
Insufficient numbers of volunteers to support and deliver the events	M / H	Use Museums & Libraries Volunteer Co-ordinator to recruit appropriate numbers and will connect with existing volunteer networks within the town. Southend Sparkle Co-ordinator will be able to assist with recruitment & mobilisation of existing volunteers.
Inability of Pageant Organiser to attract external funding	M / H	Review programme against allocated overall budget & sponsorship monies and prioritise events for delivery
Clash with the planned events as part of the Alternative City of Culture	H/M	Negotiate with event organisers to agree which events will be 125 related, which will be Alternative City of Culture and those that can be branded jointly.

6.9 Value for Money

We will work with external partners and local organisations, including the Southend BID to ensure that events delivered in the Borough during 2017 are done so under the 125 Banner.

We will need to work with a range of local media partners to raise awareness and promote the events with the local community. Social Media and websites will be key to informing people of the events at relatively low cost.

Communications across the year will be drawn together with a project manager and other resources working closely to ensure a media plan reaches external as well as internal markets adding to the economic value of the year's activity.

6.10 Community Safety Implications

Each of the events will have its own Risk Assessment. We will share the programme of events with the Safety Advisory Group as soon as possible so that all safety implications and potential resources required by emergency services can be identified as early as possible.

Road closures will be minimised and only considered for key events which have the capacity to attract large numbers.

6.11 Environmental Impact

Consideration will be given for each event in terms of accessibility, parking, travel, noise and litter.

7. Background Papers

Copy of 1992 Centenary Celebrations Media Coverage
Borough Charter

8. Appendices

There are none

This page is intentionally left blank

SOUTHEND-ON-SEA BOROUGH COUNCIL

Meeting of London Southend Airport Monitoring Working Party

Date: Tuesday, 20th September, 2016

Place: Committee Room 1 - Civic Suite

Present: Councillor T Cox (Chairman)
Councillors M Davidson, C Willis, B Arscott and S Buckley

In Attendance: J K Williams, D Hermitage, O Allen, J Marchetti LSA, J Horne LSA

Start/End Time: 6.30 - 7.05 pm

1 Apologies for Absence

Apologies for absence were received from Councillors Callaghan (no substitute) and Robinson (no substitute).

2 Declarations of Interest

(a) Councillor Davidson – Agenda Item 4 – Member of the Southend Airport Consultative Committee – Non-pecuniary interest.

3 Minutes of the Meeting held on Wednesday 4th November 2015

Resolved:-

That the Minutes of the Meeting held on 4th November 2015 be confirmed as a correct record and signed.

4 London Southend Airport Monitoring Report

The Working Party considered the report of the Corporate Director for Corporate Services which:

(a) Detailed the strict controls on operations at London Southend Airport (LSA) contained in the section 106 Planning Agreements and the leasing arrangements;

(b) Explained how these controls are monitored; and

(c) Provided monitoring data for the period 1 March 2015 -29 February 2016 to demonstrate how the controls have been complied with.

The Chairman welcomed Jon Horne (Chief Operating Officer at LSA) and Jo Marchetti (Community Affairs Co-ordinator at LSA) to the meeting. Mr Horne provided an overview of the Annual Report of LSA for 2015-16 and both officers answered questions from members of the Working Party.

Resolved:

1. That the monitoring data contained in London Southend Airport Annual Report 2015-16 for the 12 month period 1st March 2015 – 29th February 2016 and the Section 106 Agreement Year Summary 2015 / 2016 which demonstrates general compliance with the obligations contained in the relevant planning agreements and leases, be noted.
2. That the details of complaints received in the 12 month period 1st March 2015 – 29th February 2016 as contained in the Annual Report, be noted.
3. That the rest of the contents of the Annual Report and the very satisfactory and successful position reported, be noted.

Chairman: _____

CABINET

Tuesday, 8th November 2016

COUNCIL PROCEDURE RULE 46

The following action taken in accordance with Council Procedure Rule 46 is reported. In consultation with the appropriate Executive Councillor(s):-

1. The Corporate Director for Corporate Services authorised:

1.1 SO.46 Pier Entrance and 21 Pier Arches

The Portfolio Holders for Corporate and Community Support Services and Culture Tourism and the Economy concur with the actions of the Corporate Directors of Corporate Services and Place to facilitate significant works to improve the pier entrance and to fit out and bring into occupation 21 Pier Arches (subject to formal budget approval). (Please note that, in view of the confidential nature of this matter in relation to the tenancies, any discussion on this must be taken in part 2 of the meeting)

1.2 Enforcement of Injunction Against Campers on the Cliffs

In accordance with paragraph 1.3.8 of Part 3, Schedule 3 of the Council's Constitution and in view of the profile of the matter, approval to commence legal proceedings in respect of the above-mentioned matter.

2. The Corporate Director for Place authorised:

2.1 Application to the DfT Access Fund 2017/20: Application by Essex County Council, Southend-on-Sea Borough Council and Thurrock Council

The submission of a joint bid to this fund, in a partnership with Essex County Council and Thurrock Council, with Southend as lead partner, for total revenue funding across South Essex of approximately £3.2m over 3 years. The bid is designed to focus on economic growth and skills in six Growth Areas (Southend Central Area, Southend Airport and Business Park, Basildon, Lakeside, Tilbury & London Gateway). The bid is also designed to continue the award winning work of the Ideas in Motion behavioural change campaign and to roll this out across the South Essex area.

2.2 South East Business Boost ERDF Project

The signing and completion of the funding agreement and all other relevant submission documentation up to full delivery stage for the above-mentioned project.

This page is intentionally left blank