Public Document Pack
SOUTHEND-ON-SEA BOROUGH COUNCIL

Policy and Resources Scrutiny Committee

Date: Thursday, 14th July, 2016 @ 18.30
Place: Committee Room 1 - Civic Suite
Contact: Fiona Abbott 01702 215104

Email: committeesection@southend.gov.uk

AGENDA

**** **Part 1**

1 **Apologies for Absence**

2 **Declarations of Interest**

3 **Questions from Members of the Public**

4 **Minutes of the Meeting held on Thursday, 14th April, 2016** (Pages 1 - 2)

**** **ITEMS REFERRED DIRECT FROM CABINET - Tuesday 28th June 2016**

5 **Notice of Motion - Trade Union Bill** (Pages 3 - 4)
Minute 47 (Cabinet Book 1, item 7 refers)

6 **Corporate Plan and Annual Report - 2016** (Pages 5 - 34)
Minute 49 (Cabinet Book 1, item 9 refers)

7 **2015/16 Year End Performance Report** (Pages 35 - 46)
Minute 50 (Cabinet Book 1, item 10 refers)

8 **Information Management Strategy** (Pages 47 - 70)
Minute 51 (Cabinet Book 1, item 11 refers)

9 **Annual Treasury Management Report** (Pages 71 - 88)
Minute 52 (Cabinet Book 1, item 12 refers)

10 **Debt Management - position to 31 March 2016** (Pages 89 - 100)
Minute 53 (Cabinet Book 1, item 13 refers)

11 **Provisional Capital Outturn 2015/16** (Pages 101 - 108)
Minute 54 (Cabinet Book 1, item 14 refers)

12 **Provisional Revenue Outturn 2015/16** (Pages 109 - 116)
Minute 55 (Cabinet Book 1, item 15 refers)

13 **Annual Report - Regulation of Investigatory Powers Act 2015/16** (Pages 117 - 120)
Minute 56 (Cabinet item 16 refers)

14   **Senior Management Arrangements** (Pages 121 - 128)
       Minute 66 (Cabinet Book 2, item 26 refers)

15   **Council Procedure Rule 46** (Pages 129 - 130)
       Minute 67 (Cabinet Book 2, item 27 refers)

****   <u>**PRE-CABINET SCRUTINY ITEMS - None**</u>

****   <u>**ITEMS CALLED-IN FROM THE FORWARD PLAN - None**</u>

****   <u>**OTHER SCRUTINY MATTERS**</u>

16   **Minutes of the Meeting of Chairmen's Scrutiny Forum held on Tuesday, 28th June, 2016** (Pages 131 - 132)

17   **Suggested in depth Scrutiny projects - 2016 / 17** (Pages 133 - 142)
       Report of Corporate Director for Corporate Services (attached)

18   **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 items of business set out below on the grounds that they 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.

****   <u>**Part II**</u>

****   <u>**ITEM REFERRED DIRECT FROM CABINET - Tuesday 28th June 2016**</u>

19   **Council Procedure Rule 46** (Pages 143 - 144)
       Minute 71 (Confidential Cabinet item 31 refers)

The Chairman & Members:

Cllr B Ayling (Chair), Cllr Kenyon (Vice-Chair), Cllr Arscott, Cllr Cllr Burzotta, Cllr M Butler, Cllr L Davies, Cllr N Folkard, Cllr D Garston, Cllr Gilbert, Cllr Hadley, Cllr Mulroney, Cllr Norman MBE, Cllr Phillips, Cllr M Stafford, Cllr Walker and Cllr Ware-Lane

SOUTHEND-ON-SEA BOROUGH COUNCIL

Meeting of Policy and Resources Scrutiny Committee

Date: Thursday, 14th April, 2016
Place: Committee Room 1 - Civic Suite

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Present: Councillor Flewitt (Chair)
Councillors D Garston (Vice-Chair), Arscott, M Borton, Byford,
A Crystall, J Garston, Holland, Kenyon, McMahon, C Nevin, Salter*
and Waterworth

*Substitute in accordance with Council Procedure Rule 31.

In Attendance: Councillors Gilbert, Norman MBE and Woodley (Executive
Councillors)
J K Williams, F Abbott, S Holland, I Ambrose and J Lansley

Start/End Time: 6.30 - 6.45 pm

783 Apologies for Absence

Apologies for absence were received from Councillor Lamb (substitute Councillor
Salter), Councillor Walker (no substitute) and Councillor Ayling (no substitute).

784 Declarations of Interest

The following interests were declared at the meeting:-

Councillor Gilbert, Norman MBE and Woodley (Executive Councillors) – interest in
the referred item; attended pursuant to the dispensation agreed at Council on 19th
July 2012, under S.33 of the Localism Act 2011.

785 Questions from Members of the Public

The Leader of the Council and Councillor Gilbert responded to the written questions
received from Mr Webb. The response from Councillor Norman MBE to the written
question from Mr Thomas will be circulated.

786 Minutes of the Meeting held on Thursday, 28th January, 2016

Resolved:-

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

787   Monthly Performance Report

The Committee considered Minute 712 of Cabinet held on 15th March 2016, together with the Monthly Performance Report (MPR) covering the period to end February 2016, which had been circulated recently.

In response to a question about CP1.1 (score against BCS crimes), the Executive Councillor for Community & Organisational Development said that he would look into the suggestion that the crime information detailed in this indicator can be separated out, to make it easier to differentiate between the issues.

In response to a question about CP4.4 (% NDR collected), the Council's Group Manager, Financial Management said that he would circulate information on the amount of refunds and how caused (the collection rate at year end has been exceeded and is 97.8%).

Resolved:

That the report be noted.

Note:- This is an Executive Function.
Executive Councillor:- As appropriate to the item.

788   Vote of Thanks

The Chairman thanked the Committee for their contributions over the last Municipal Year.

Chairman: _____

Trade Union Bill Motion

This Council recognises:

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- The positive contribution that trade unions and trade union members make in our workplaces. This Council values the constructive relationship that we have with our trade unions and we recognise their commitment, and the commitment of all our staff, to the delivery of good quality public services.

- This Council notes with concern the Trade Union Bill which is currently being proposed by the Government and which would affect this Council's relationship with our trade unions and our workforce as a whole. This Council rejects this Bill's attack on local democracy and the attack on our right to manage our own affairs.

- This Council is clear that facility time, negotiated and agreed by us and our trade unions to suit our own specific needs, has a valuable role to play in the creation of good quality and responsive local services. Facility time should not be determined or controlled by Government in London.

- This Council is happy with the arrangements we currently have in place for deducting trade union membership subscriptions through our payroll. We see this as an important part of our positive industrial relations and a cheap and easy to administer system that supports our staff. This system is an administrative matter for the Council and should not be interfered with by the UK Government.

This Council resolves:

- To support the campaign against the unnecessary, anti-democratic and bureaucratic Trade Union Bill.

- This Council further resolves to seek to continue its own locally agreed industrial relations strategy and will take every measure possible to maintain its autonomy with regard to facility time and the continuing use of check-off.

Proposer: Cllr Cheryl Nevin **Seconder:** Cllr Margaret Borton

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Southend-on-Sea Borough Council

Report of Chief Executive & Town Clerk
to
Cabinet

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On
28 June 2016

Report prepared by: Tim MacGregor
Team Manager - Policy & Information Management

Corporate Plan & Annual Report – 2016
Relevant Scrutiny Committee(s): People; Place; Policy & Resources Scrutiny
Committees. Executive Councillor: Councillor Lamb
A Part 1 Public Agenda Item

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1. **Purpose of Report**

1.1 To agree the Council's draft Corporate Plan and Annual Report, 2016.

2. **Recommendations**

2.1 That the Council's draft Corporate Plan and Annual Report, 2016, is agreed.

3. **Background**

3.1 The Corporate Plan and Annual Report sets out the Council's vision, aims, priorities as well as the key actions and performance measures for the forthcoming year in one document. It also provides an opportunity for the Council to highlight its key achievements over the past year.

3.2 It is particularly useful in communicating the achievements, priorities, actions and performance measures to residents, staff, partners and other stakeholders.

3.3 Appendix 1 provides the draft text for the 2016 Corporate Plan and Annual Report, which will be subject to further work on design and production, with any changes authorised by the Chief Executive, in consultation, where necessary, with the Leader of the Council. The content and purpose of each section is outlined below:

Section	Purpose
Section 1 – Introduction	Provides context to the rest of the plan and a summary of some key achievements and key themes and aims for the forthcoming year.
Section 2 - Council Governance,	Outlines the Council's governance arrangements
Section 3 - Structure charts,	Sets out the Council's political and officer structures
Section 4 - Council Budget	Sets out the high level Council revenue and capital budget for 2016/17.
Section 5 – Council Values	Outlines the values of the Council
Section 6 – Key achievements,	Sets out the key achievements of the Council over the last year.
Section 7 - Corporate Priorities, 2016/17.	Sets out the Council's 15 Corporate Priorities for 2016/17.
Section 8 – Equality Objectives	2016/17 – Council's Equality Objectives
Section 9 – Corporate Priority performance measures	Sets out the key performance measures identified to help deliver the Corporate Priorities.
Section 10 – Public facing performance measures,	Sets out those performance measures that have particular relevance to residents.
Section 11 - Corporate Priority actions	Sets out the key actions identified to help deliver the Corporate Priorities.

3.4   Progress against the plan will be reported regularly to Cabinet, Scrutiny Committees and the Corporate Management Team to assess whether the Council is delivering against its priorities and actions.

4.   Other Options

4.1   There is no requirement to have an Annual Report or Corporate Plan but it enables the Council to set out its vision, aims and priorities in one document – making it easier to communicate these to staff, residents, partners and others.

5.   Reasons for Recommendation

5.1   To ensure the Corporate Plan and Annual Report reflects the needs of the organisation and the borough's communities.

6.   Corporate Implications

6.1   Contribution to Council's Vision and Corporate Priorities:
The Corporate Plan and Annual Report sets out the Council's vision, Corporate Priorities and related performance targets and actions which can then be monitored to assess whether the Corporate Priorities are being delivered.

6.2   Financial Implications - None specific.

6.3   **Legal Implications** - None

6.4   **People Implications -** None.

6.5   **Property Implications -** None.

6.6   **Consultation –** None specific

6.7   **Equalities and Diversity Implications -** Assessments of the impact of decisions relating to the budget on different sections of the community and staff was undertaken as part of the budget making process and helped to shape the content of the Corporate Plan and Annual Report.

6.8   **Risk Assessment -** Corporate Risks are identified and monitored alongside the actions and indicators in the Corporate Plan.

6.9   **Value for Money -** The Council benchmarks its performance and spend against comparators to ensure that it is providing value for money.

6.10   **Community Safety Implications** - The Council has corporate priorities to 'Create a safe environment across the town for residents, workers and visitors' and to 'Work in partnership with Essex Police and other agencies to tackle crime' and has identified appropriate performance measures and actions.

6.11   **Environmental Impact -** The Council has corporate priorities to 'encourage and enforce high standards of environmental stewardship' and 'continue to promote the use of green technology and initiatives to benefit the local economy and environment'

7.   **Background Papers -** None.

8.   **Appendices**
8.1   Appendix 1: Draft Corporate Plan and Annual Report - 2016.

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Draft

Corporate Plan and Annual Report 2016

Draft Introduction from the Leader and Chief Executive

Welcome to Southend-on-Sea Borough Council's Corporate Plan & Annual Report – 2016. I hope you find this a useful document in outlining our vision, aims and values, showing where the Council spends your money and where we get it from, highlighting the Council's recent activity and in setting out our ambitions for the coming years.

The Council faces enormous challenges in meeting the growing needs of local residents and in finding the savings required of us by central government. Since 2011/12 the Council has taken £56m from its budget with a further £10.5m required for 2016-17 and projected £28m savings for 2017-20.

In achieving these savings we will be doing our best to protect front line services and prioritise those most valued by local people. This also means getting the best value in commissioning services, targeting services to those who need them most, looking at new ways to do things and helping residents and communities to help themselves. This may also mean stopping certain things that we currently do and providing services in different ways. We, therefore, want to hear your views on what sort of borough you want in the future and what sort of Council is needed to make those views a reality.

Despite the challenges the Council has big ambitions for the borough and is continuing to invest in the town's infrastructure, environment, cultural vibrancy and tourism offer. The current year will see the new seafront lagoon open, the energy efficient LED street-light replacement programme continue and more investment going into schools, parks, roads, footways, car parks, homes, the pier and seafront cliff.

The Council is also driving projects to transform the Queensway area, develop the airport business park, including the Med-Tech campus and innovation centre, re-develop Victoria Avenue and create a 'Smart City' that uses new technology to create opportunities for innovation and sustainable growth as well as developing new models of health and social care.

The May 2016 elections saw the Conservative Group return as the administration of the Council and it is determined to ensure it gets the very best outcomes for residents, businesses and visitors. It will be working hard with community groups, partners and residents to make this happen and we hope this Corporate Plan & Annual Report gives you a good flavour of what, and how, this will be done in the coming years.

Councillor John Lamb
Leader of the Council

Rob Tinlin
Chief Executive

About Southend-on-Sea Borough Council

Southend-on-Sea Borough Council serves a population of 177,900 residents. The Council's gross expenditure is approximately £390m and employs around 1,800 staff to provide a huge range of services to meet the needs of local people. The A-Z of all our services can be found at www.southend.gov.uk

The Council's vision of '**Creating a better Southend'** is supported by 5 aims:

- Clean
- Safe
- Healthy
- Prosperous
- Led by an Excellent council

The Council identifies priorities, related actions and performance measures to assess how well it is doing in achieving its aims.

Consultation with residents and our key partners, including Essex Police, NHS South Essex, Essex Fire and Rescue, plus the business and voluntary and community sectors inform the Corporate Priorities.

Governance:

The Council has 51 Councillors representing 17 wards. Councillors serve for four years and one third of the council is elected each year for three years, followed by one year without election. The last elections took place on 5 May 2016, resulting in the following political make-up of the Council:

- Conservative Group   **24**
- Labour Group   **10**
- Independent Group   **9**
- Liberal Democrat Group   **2**
- Southend Independence Group   **3**
- UKIP Group   **2**
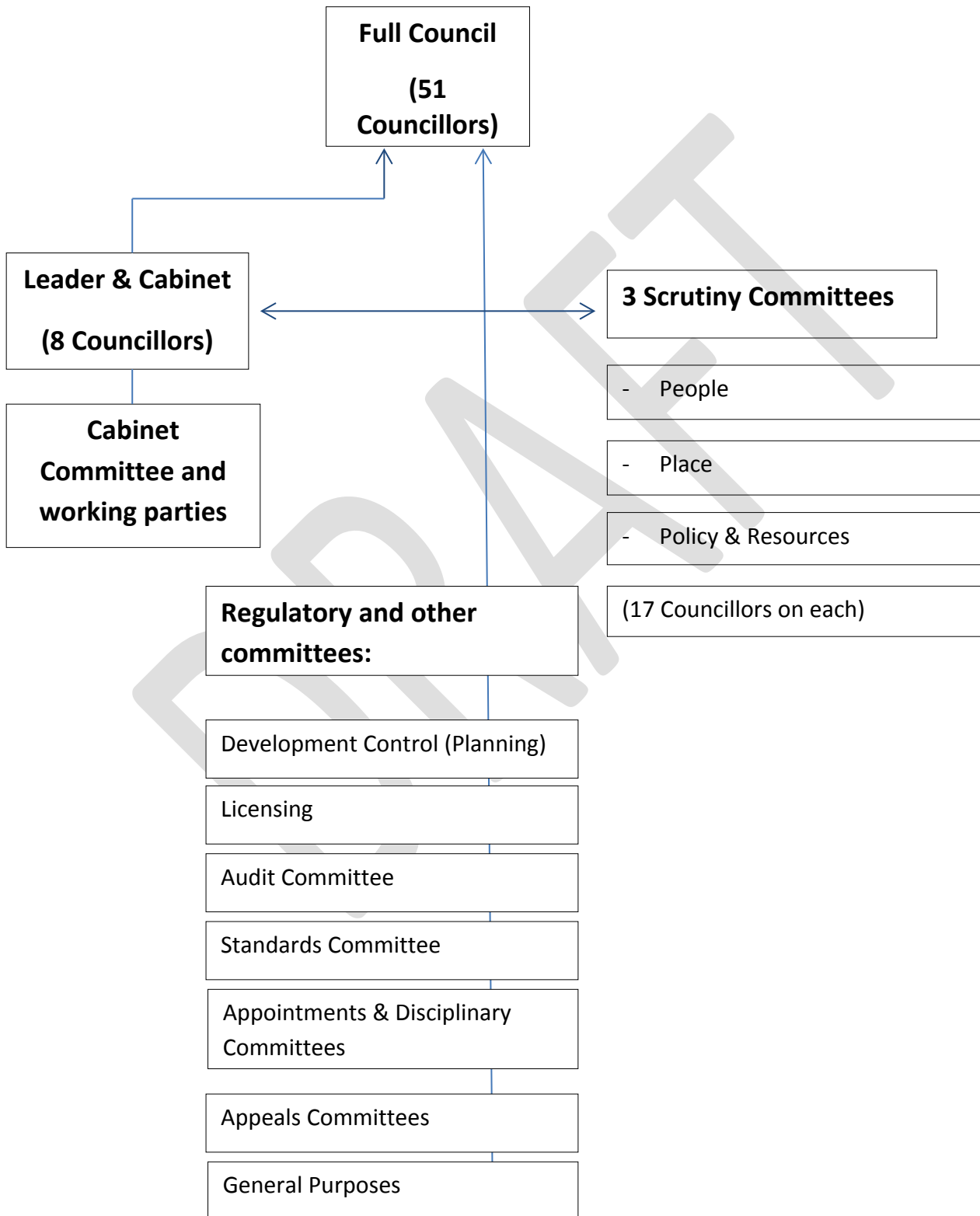- Non-aligned   **1**

Following the local elections, the Conservative Group formed a minority administration.

The Council operates a Leader and Cabinet model. Major functions, such as agreeing the budget and policy framework are taken by the whole Council. Key executive decisions are taken by a Cabinet of eight Councillors with decisions and other issues reviewed by three scrutiny committees, made up of Councillors not in the Cabinet. Other committees undertake specific functions, for example, in relation to Planning and Licensing. Full details of the Council's decision making process are available at www.southend.gov.uk
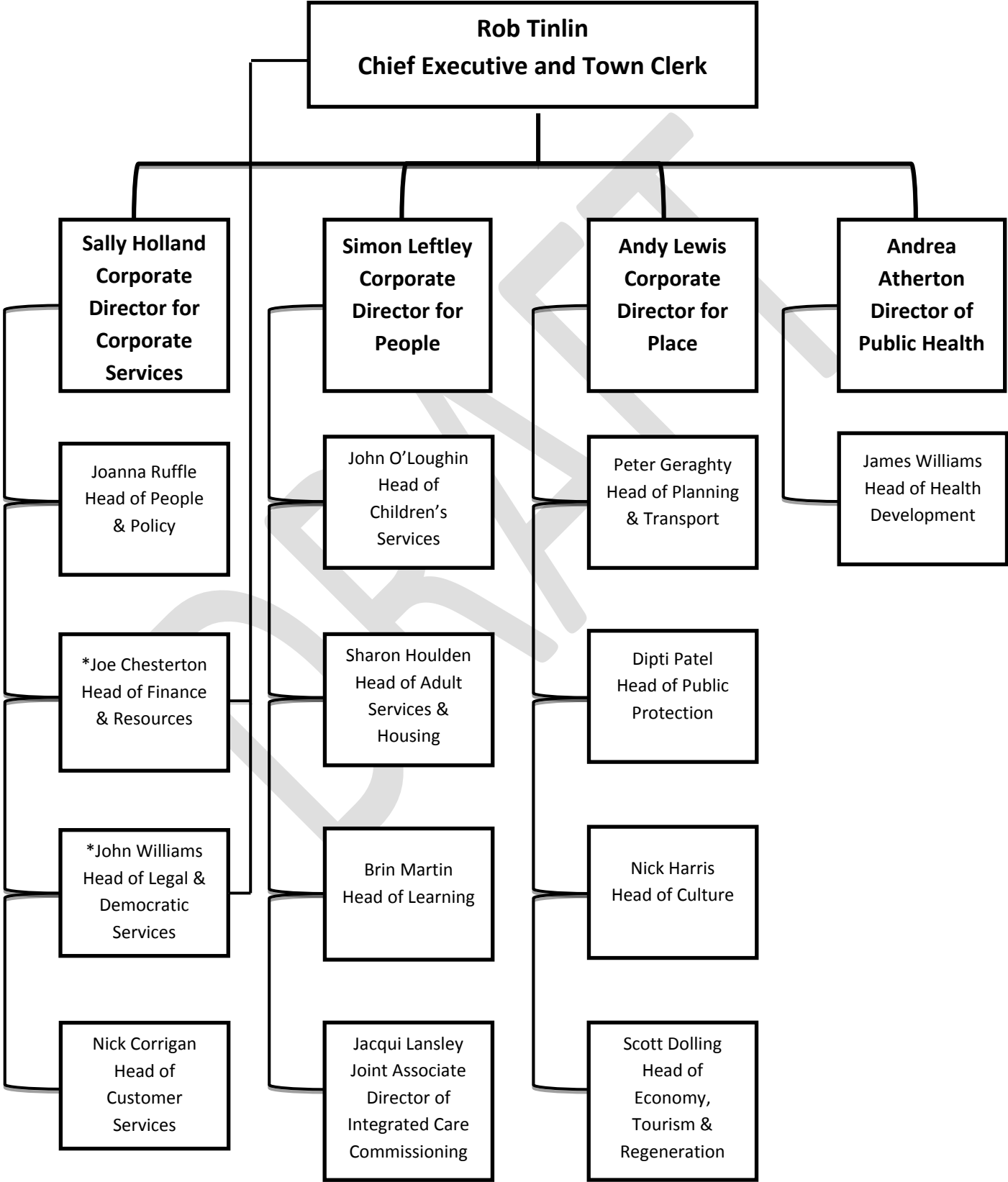
Officer Structure:

The Council has three departments, People, Place and Corporate Services – with 13 separate service areas, which in turn are divided into about 70 service groups. The Council is also responsible for the provision of most public health services.

Structure Chart - Political

Full Council (51 Councillors)

Leader & Cabinet (8 Councillors)

Cabinet Committee and working parties

3 Scrutiny Committees

- People
- Place
- Policy & Resources

(17 Councillors on each)

Regulatory and other committees:

Development Control (Planning)

Licensing

Audit Committee

Standards Committee

Appointments & Disciplinary Committees

Appeals Committees

General Purposes

Senior Officers: Corporate Directors and Heads of Service

Rob Tinlin
Chief Executive and Town Clerk

Sally Holland
Corporate Director for Corporate Services

Simon Leftley
Corporate Director for People

Andy Lewis
Corporate Director for Place

Andrea Atherton
Director of Public Health

Joanna Ruffle
Head of People & Policy

John O'Loughin
Head of Children's Services

Peter Geraghty
Head of Planning & Transport

James Williams
Head of Health Development

*Joe Chesterton
Head of Finance & Resources

Sharon Houlden
Head of Adult Services & Housing

Dipti Patel
Head of Public Protection

*John Williams
Head of Legal & Democratic Services

Brin Martin
Head of Learning

Nick Harris
Head of Culture

Nick Corrigan
Head of Customer Services

Jacqui Lansley
Joint Associate Director of Integrated Care Commissioning

Scott Dolling
Head of Economy, Tourism & Regeneration

*Directly reporting to the Chief Executive in respect to their statutory roles

Council Budget

	Budget	Budget
	2015/16	2016/17
	£000	£000
Portfolios		
Leader	3,285	3,419
Culture, Tourism & the Economy	13,732	14,261
Corporate & Community Support Services	3,323	2,950
Housing , Planning & Public Protection Services	13,664	10,747
Children & Learning	33,477	30,770
Health & Adult Social Care	39,911	40,912
Transport, Waste & Cleansing	25,236	23,127
Technology	(386)	110
Contingencies, Savings etc.	4,775	5,616
Net Cost of Services	137,017	131,912
Capital financing removed	(19,982)	(18,642)
Adjusted Net Cost of Services	117,035	113,270
Levies	550	585
Interest Payable and Receivable	16,062	15,787
Net Operating Expenditure	133,647	129,642
Contribution to /(from) earmarked reserves	(6,671)	(8,656)
Revenue Contribution to Capital	3,090	6,472
General Government Grants	(3,973)	(4,252)
Total to be funded from Council Tax and Government Grant	**126,093**	**123,206**
Funding from Council Tax and Government Grant		
Revenue Support Grant	(28,728)	(21,412)
Business Rates	(33,062)	(33,628)
Council Tax	(63,303)	(65,875)
Adult Social Care Precept	0	(1,291)
Collection Fund Surplus	(1,000)	(1,000)
	0	**0**

Capital investment in Southend

The Council has plans to spend a total of £73.5m on capital schemes for 2016/17

General Fund Services	£m
Highways & Infrastructure Maintenance & Improvements	11.9
Energy Efficiency and Street Lighting	11.2
School Improvement	8.8
Improvements & Priority Works to Council Property	8.5
Pier, Foreshore & Regeneration	5.3
Investment in ICT	3.8
Disabled Facilities Grants and Private Sector Housing	3.1
Transport and Parking Schemes	3.1
Leisure Facilities Improvements	2.6
Investment in Commercial Property	2.0
Adult Social Care	1.5
Cemeteries & Crematorium	0.9
	62.7

Council Housing	£m
Decent Homes Improvements	7.3
Construction of New Housing/Acquisition of Leaseholds	3.1
Sheltered Housing Remodelling	0.4
	10.8

Southend on Sea Borough Council's Values

Living Our Values

Our values guide how we go about our work. They provide a framework for everything we do from day-to-day activities to key business decisions.

EXCELLENCE We aspire for excellence in our work
AS ONE We work as one organisation
RESPONSIBLE We are all responsible for the performance of our organisation
OPEN & HONEST We are open, honest and transparent, listening to other's views
CUSTOMER CARE Good customer care is at the heart of everything we do
SUPPORTIVE We support, trust & develop each other
VALUING ALL We value the contribution of all our people

Key Achievements - 2015/16

(against the 2015/16 Corporate Priorities)

Safe:

1. Create a safe environment across the town for residents, workers and visitors

The Council joined forces with the emergency services and other councils to launch the Safer Essex Roads Partnership aimed at reducing deaths and serious injuries on county roads to zero.

£1.3m was spent on road resurfacing and pavement renewal based on priority need following an extensive survey of the borough's roads and pavements.

A new surface pedestrian crossing at the Kent Elms junction was installed to improve access, particularly to people with disabilities, prior to Phase 2 of the project, which will see the junction widened to better manage traffic and ease congestion.

The Council implemented new road schemes to improve road safety, particularly around the borough's schools and hospital and the Council's Road Safety Team has delivered numerous events and road safety sessions, encouraging pedestrians, drivers, riders, and cyclist to stay safe

The Council managed the Government's grant programme to support over 100 homes and businesses previously affected by flooding to install flood prevention measures

About 1.2 metric tonnes of illegally picked oysters were seized to help keep the public safe from potentially contaminated products.

The three year £13.5m project to upgrade the borough's 14,000 streetlights with new energy-efficient LED units accelerated thanks to Green Investment Bank funding, enabling the programme to be extended to illuminated street furniture and replacement/refurbishment of ageing light columns.

3,157 environmental investigations were undertaken in relation to local environmental crime, for example fly-tipping, littering, and duty of care breaches

2. Work with Essex Police and other partners to tackle crime

With Essex Police the Council secured and enforced an injunction on dangerous and unauthorised 'car-cruise' events in the borough.

Southend-on-Sea continued as a Purple Flag area, in recognition of its safe and well-managed night-time economy, achieving the national gold standard.

The Council, in partnership with Essex County Council, Essex Police, Thurrock Council and others, contributed to the '#TogetherWeCan' campaign to break the stigma of domestic abuse by getting people to talk about it and show their support, particularly on social media

The Anti-Social Behaviour Team dealt with 638 reports and obtained seven Criminal Behaviour Orders. The Team also conducted 23 mediation sessions with an 82.6% success rate

27 car parks have been awarded the 'Park Mark' award by the Association of Chief Police Officers and the British Parking Association for meeting national standards for safety, security, quality, and facilities management

3. Look after and safeguard our children and vulnerable adults

Hands-on training and support helped to raise awareness of what makes children and adults vulnerable to exploitation by extremists and how they can help prevent it from happening. The Home Office approved training programme, was rolled out across schools and colleges to ensure that teachers and other members of staff know how to intervene appropriately.

A restructured Integrated Locality Service and Streets Ahead (Southend's Troubled Families programme) Team now provides a 'core' integrated Early Help Family Support Service to enable all contributors to early help in the borough to act before the needs of children and families escalate.

Streets Ahead has grown from strength to strength, achieving 100% 'Payment by Results' for 420 'Turned Around Families', enabling the borough to be selected to be one of the Phase 2 'early starters', giving 1480 more families the opportunity for support and a better quality of life over the next 5 years.

A number of local shops and businesses signed up to a new scheme, led by the Safeguarding Adults and Children's Boards in partnership with SHIELDS support group for people with learning difficulties and the Council. The 'Keep Safe' scheme means they will let vulnerable people use their phone to call someone they trust, or make a call on their behalf, with permission

The Council and the Local Safeguarding Children's Board (LSCB) supported a national campaign, to tackle child abuse and encourage local people to report any concerns. The 'Together, we can tackle child abuse' campaign emphasises the role everyone can play in protecting children and young people.

22.2% of appropriate social care clients received direct payments to help them plan their social care a further improvement on 2014/15.

The number of delayed discharges from hospital attributable to adult social care improved again to a rate of 1 per 100,000 of the population - against the 2015 national rate of 3.7.

82.80% of over 65s remained at home 91 days after discharge from hospital to rehabilitation

Southend Dementia Action Alliance, a new partnership of firms, charities, public sector partners and the Council, was launched to help boost the quality of life for those with dementia, their families and carers. There are now 530 Dementia Friends across the borough.

Two adult social care pilot schemes were launched as part of a project to transform the social and healthcare system. 'Discharge to Assess' is supporting timely and appropriate hospital discharges, while 'The Overnight Support' project provides adults with waking-night care from 10pm to 7am for up to five days

The Council was 6th in the country in terms of speed of processing adoptions with no disruptions.

The Council improved the recruitment and retention of foster carers, meaning more children could be fostered locally.

The Council supported over 2700 clients to stay in the community and be as independent as possible - 500 adult clients with a learning disability, 152 adults with mental health conditions and 800 adult clients with a physical or sensory impairment.

The Council agreed to establish a local authority trading company to manage Delaware House, Priory House adult care homes and Viking Day Centre to lead improvements in social care across the borough's care economy

Clean:

4. **Promote the use of green technology and initiatives to benefit the local economy and environment**

The Council has delivered a series of solar Photovoltaics (PV) projects across its property portfolio, which will generate 454KWh of solar energy – enough to power 1,000 houses for a year

The Council delivered the Borough's first carbon positive project at the Pier Lift Tower, which through the installation of solar PV, will see the building generate more energy than it actually uses

The Council's award winning partnership with OVO Energy has helped residents and businesses save around £1.2m from their bills by switching to a Southend specific energy tariff and helping those in fuel poverty.

The Council continued to roll-out a low-carbon and renewable technology programme throughout its buildings. The programme is designed to save costs, reduce CO2 emissions, generate new revenue streams and includes specifically targeted CO2 reduction in schools

Funding has been secured from Innovate UK for a two year project, 'Utilising Emobility Hubs to install electric vehicle charging posts, electric car club, bike and e-bikes for hire, a website for bookings and an integrated smart card system

The borough was recognised as the 'greenest' location in the 2016 UK Vitality Index, annual assessment of every large town/ city outside London, in terms of healthy, expansive economics, and those best placed to support growth and opportunities for business to expand.

Southend-on-Sea was ranked joint first out of 63 cities and towns in the 'Cities Outlook' 2016 report in terms of urban environment with the lowest CO_2 emissions per capita

The Council has been selected, ahead of 36 other councils, by the Environment Agency to work in partnership with their Climate Ready team to use their tools and methods to support progress at a local level in the borough

The Council approved a £1.29m energy efficiency programme for Temple Sutton Primary School, the largest solar PV project in the borough. The project aims to deliver £2.84m gross saving across 25 years (before costs) with 285 tonnes saving in CO_2.

The Council's Strategic Planning Team was successful in securing a grant from the Department of Energy and Climate Change's Heat Network Delivery Unit. Funding was utilised to help identify areas of high heat usage and potential opportunities to operate district heating schemes in Southend-on-Sea

5. Encourage and enforce high standards of environmental stewardship

The Council launched the 'make Southend Sparkle' campaign to recruit volunteers, bring community groups together and attract funding to target 'grot spots' and clean up the borough

A new 15 year recycling, waste and street cleansing service contract started in October 2015, with the new contractor, Veolia, committed to improving recycling rates, maintaining weekly collections and improving the street scene. The new contract will save £22.2m over its life.

The Council managed about 1m waste and recycling collections, collecting about 75,000 tonnes of waste, with about half recycled.

The Council won a prestigious National Cleansing Award from the Chartered Institute of Waste Management and 98% of streets in the borough met the acceptable standard of cleanliness across the whole of the borough

The Council emptied and maintained around 700 litterbins and 300 dog bins within the borough

The Council cleaned more than 400km of streets and roads and also maintains its cleanliness to promote environment stewardship for Southend residents

All seven of Southend's beaches have been awarded achieved a prestigious Keep Britain Tidy 'seaside award', including three beaches achieving the top Blue Flag award

The Council maintains more than 1,000 acres of parkland and open spaces, including 45 parks and open spaces, with five Green Flag award winning parks and open spaces continuing to promote environmental stewardship.

Healthy:

6. Promote healthy and active lifestyles for all

1300 Southend residents were helped to stop smoking with the help of the stop smoking service. A new 'Smoke Free' strategy was agreed following public consultation.

The NHS Health Check programme saw 6619 residents between 40 and 75 take the opportunity to check their health risks, particularly in relation to strokes and heart attacks, exceeding the national target.

A new Older People Strategy was agreed to set out how Southend Clinical Commissioning Group and the Council will commission and deliver services for older people over the next three years.

170 older people completed the Councils extensive 16 week community falls prevention programme. A further 216 older people received a comprehensive assessment and support to help reduce their risk of falling.

Free flu jabs and nasal sprays were made available through GP practices. Two to four year olds are eligible for the vaccine sprays while those entitled to a free jab include over 65s, pregnant women, people with asthma and diabetes and those with chest and heart complaints.

Vaccination, which protect against four different types of meningococcal bacteria, are being offered to teenagers, sixth formers and first year university students as part of the NHS childhood vaccination programme

48 more employers were signed up to the Public health Responsibility Deal, meaning over 100 local organisations have committed to helping local people improve their health and wellbeing.

130 families were supported by the MoreLife programme, a scheme aimed at tackling childhood obesity.

The Warm and Well partnership scheme, continued to target more vulnerable resident, making sure the risk of serious health problems are reduced during the winter months.

The £40m Big Lottery funded programme, Fulfilling Lives: 'A Better Start', continues its work to help parents give their children from 0-3 a better start in life. The project is seeing a wide range of activities and services promoting personal, social and emotional development, communication, health and nutrition over the next nine years and beyond

7. Enable the planning and development of quality, affordable housing

The second phase of the Better Queensway housing regeneration project was begun. The project could see a new community of 1000 homes a new commercial and mixed use re-development that transforms the area in the coming years

The Council continued its drive to create more local affordable homes for rent, with contractors appointed to build 19 new properties across six underutilised garage sites in Shoeburyness.

The Council provided support to 850 households to remain in, or secure, accommodation, preventing homelessness within the Borough.

8. Work with the public and private rented sectors to provide good quality housing

£7.8m was allocated to the decent homes programme to continue improvements to energy efficiency and health and safety in the Council's housing stock.

£1m of capital funding was secured from the Homes and Community Agency's Homelessness Change Programme for three projects in the borough.

264 properties were adapted, through £1m of Disabled Facilities Grants, helping to improve properties and enable more people to live in their home.

Proactively inspected over 100 Houses in Multiple Occupation (HMOs) to ensure basic minimum standards of accommodation were achieved in often high-risk homes.

About 350 serious hazards, such as those relating to fire, damp and sanitation, were removed from privately rented properties

The Council assisted willing landlords and managing agents to improve standards throughout the private rented sector by offering free information sessions and training through Landlords Forums and on-going support to the South East Alliance of Landlords, Agents and Residents (SEAL).

Effective enforcement was undertaken against 'rogue'/'criminal' landlords through, as a last resort, successful prosecutions, to encourage failing landlords to improve and good landlords to maintain their higher standards

Prosperous:

9. **Improve the life chances of our residents, especially our vulnerable children and adults, by working to reduce inequalities and social deprivation across our communities**

A higher proportion of adults with learning disabilities (11%) are in paid employment compared to last year

The Council came 16th out of 45 local authorities in the Stonewall Education Equality Index, showcasing how well they tackle homophobia and homophobic bullying in schools. 11 schools are working towards becoming Equality and Diversity Champions and have undertaken a range of training sessions for students and teachers – including with Show Racism the Red Card

For the seventh year running, the Council retained its position as one of the UK's top 100 employers in the Stonewall Workplace Equality Index, an annual benchmarking exercise that ranks the top 100 employers in Britain. The Council was ranked 82nd overall

10. Ensure continued regeneration of the town through a culture led agenda

The Forum, Southend-on-Sea has was officially opened by The Duke of Kent, unveiling a stunning sculpture of HM The Queen. His Royal Highness carried out the ceremony at the thriving library and learning hub in Elmer Square, developed through a unique three-way partnership

The new Shoeburyness library opened in September 2015 as part of the redevelopment of the Shoebury Youth Centre and new community supported branch libraries were introduced.

83 volunteers regularly supported the library and museum's services

Volunteers gave 18,304 hours of their time in relation to cultural services providing support free of charge for the community encouraging active lifestyles

There were 4,321,179 attendances at and participated at Council owned or affiliated cultural and sporting activities and events

There were 1,084,918 visits to our libraries, including 778,023 at The Forum alone.

The Focal Point Gallery celebrated its 25th Anniversary with a series of imaginative exhibitions, receiving 66,387 visitors during this celebratory year.

A new leisure centres contract with Fusion Lifestyle charity, started in July 2015, which will see a saving of £4m over 10 years and offer more outdoor activities in the summer, healthier lifestyle promotions, a new 'Tennis in the Parks' scheme along with many other new initiatives

The world's first digital park in Chalkwell Park opened, giving art lovers a chance to use their smartphones and tablets to enjoy cutting edge installations

Work to create a new lagoon along Southend seafront started, which together with new toilets and showers at the Three Shell Beach, will provide first class water facilities for the area, including when the tide is out

Work continued with Historic England on the conservation of the London shipwreck site

Major capital funding from the Lawn Tennis Association was received to refurbish tennis courts in Priory and Chalkwell Parks.

£1.98m was been earmarked for non-structural Pier work and improvements to decking, lamp columns, electrics, shelters, and toilets in addition to £2.65m identified for structural works that has been brought forward from 2015 budget

The Council received Sport England Community Sports Activation funding to deliver the Active Women project across the borough

Strong partnership working continued to develop with local arts organisations in the delivery of events such as Village Green, 12,000 people enjoying 45 performances at the Bandstand and 800 people captivated by Royal Opera House and Last Night of the Proms live screenings at Elmer Square.

11. Ensure residents have access to high quality education to enable them to be lifelong learners and have fulfilling employment

The Council supported 810 people into employment either created or safeguarded through the Government's business grants programme, which closed in June 2015

Fit4 Work courses, run by Seejobgroup, were set up to give unemployed Southend residents the best possible preparation for finding jobs. The courses offer a wide range of activities and give practical advice to help people transform their confidence and tackle job applications

Southend firms joined a bid to boost apprenticeships through the Council's Business Partnership Briefing, raising the awareness of apprenticeships and the benefits they can bring to businesses

88% of parents received their first choice primary school place for their child within the borough.

Nearly 83% of Southend school pupils attend a school judged by OFSTED as good or outstanding.

64.7% of pupils in 2015 achieved the national benchmark for GCSE grades A*-C. This has risen from previous years and shows a continuing trend of improvement above the national average.

The percentage of 16-24 year olds Not in Education, Employment or Training (NEET) was 3.9% against 4.3% nationally and 5.4% for our statistically comparable neighbour average.

12. Ensure the town is 'open for business' and that new, developing and existing enterprise is nurtured and supported

The Seaway car park £50m leisure and residential scheme progressed further, with plans continuing to develop a cinema, restaurant units, apartments and car parking in the coming years

Plans continued to potentially develop a state of the art museum to house the unique Saxon King and HMS London findings

A new Traffic Management Contract was awarded to Siemens, which will deliver further efficiencies and see a new state of the art traffic light system introduced to improve traffic flows within the borough.

The Borough's first 'Youth Market' was held to help promote entrepreneurial skills among young people and supported by a 60 Minute Mentor session from Essex Farmers' Market

Thurrock Council bought some of the Council's Town Centre Management expertise and resource.

A Broadband voucher scheme was launched enabling businesses to access financial support to upgrade their broadband provision

The Hive Enterprise Centre was officially opened and is now home to over 25 businesses

Social Saturday supported for the first time as well as small business Saturday which have been supported previously

£3.2m was secured for the Airport Business Park from Local Growth Fund via South East Local Enterprise Partnership (SELEP).

The CONNECT project was launched in partnership with Stobart Group and partner organisations in Cumbria (via the Local Enterprise Partnerships) to maximise opportunities of the new route between Southend and Carlisle airports by improving infrastructure at both ends and developing trade, education and tourism links.

Excellence:

13. Work with and listen to our communities and partners to achieve better outcomes for all

The Council entered into an Service Level Agreement with Southend Carnival Association to support community events through management of a refreshed community events store and support with community event applications as well as delivery of military parades in partnership with the Council.

An Investors in Volunteering assessment highlighted good practice in Southend, particularly the quality of management of volunteers and clear communication – with 101 volunteers across the youth service and good representation from hard to reach groups, people with a disability and those from ethnic minorities.

The Early Help and Family Support and Youth Offending Service has concentrated on improving and developing processes and working toward the Investors in Volunteering quality assurance standard.

The Council consulted with the public and stakeholders over the Southend Central Area Action Plan – a blueprint for the future development of the centre and seafront areas of Southend, which once adopted will inform planning decisions in the area for five years.

The Council's website was viewed 1,605,650 times, with 35,460 online payments made, helping to save resources compared to other payment methods. 31,962 online forms were submitted.

The Council exceeded its staff sickness target with 6.99 days lost per (non-school) member of staff, compared to the local government average of 8.8 days

The Council achieved the Public Service Network (PSN) accreditation from Cabinet Office.

14. Enable communities to be self-sufficient and foster pride in the town

The Hub in Victoria Shopping Centre, Southend continued its success in providing additional support for vulnerable residents and those facing hardship. Advice is provided by a range of voluntary and statutory services and by providing a community facility for use by local people and community groups. The success of the hub has led to the development of a similar facility in Shoeburyness

The MySouthend new online facility now has over 11,000 users, allowing residents, business and landlords to quickly and easily manage Council transactions online, including Housing Benefit, Council Tax and Business Rates. MySouthend aims to expand its facilities in the near future to allow users to access a wider range of tools.

15. Promote and lead an entrepreneurial, creative and innovative approach to the development of our town

Plans were further progressed with Rochford Council for development of the Airport Business Park which could include an Anglian Ruskin Medtech Campus, an innovation centre, hotel and space for local engineering and aviation businesses, together with hi-specification office space

The Hive Southend, business enterprise centre officially opened in Spring 2015. Managed by Enterprise4Good, and based in the Beecroft Art, the centre, and has created over 1500m² of business and meeting space in the town centre and offers businesses a range of flexible accommodation options

The Council promoted the start of the re-development of derelict office blocks in Victoria Avenue through threatened use of compulsory purchase powers.

The Council's award-winning planning team were shortlisted for the prestigious Royal Town Planning Institute (RTPI) Awards for Planning Excellence
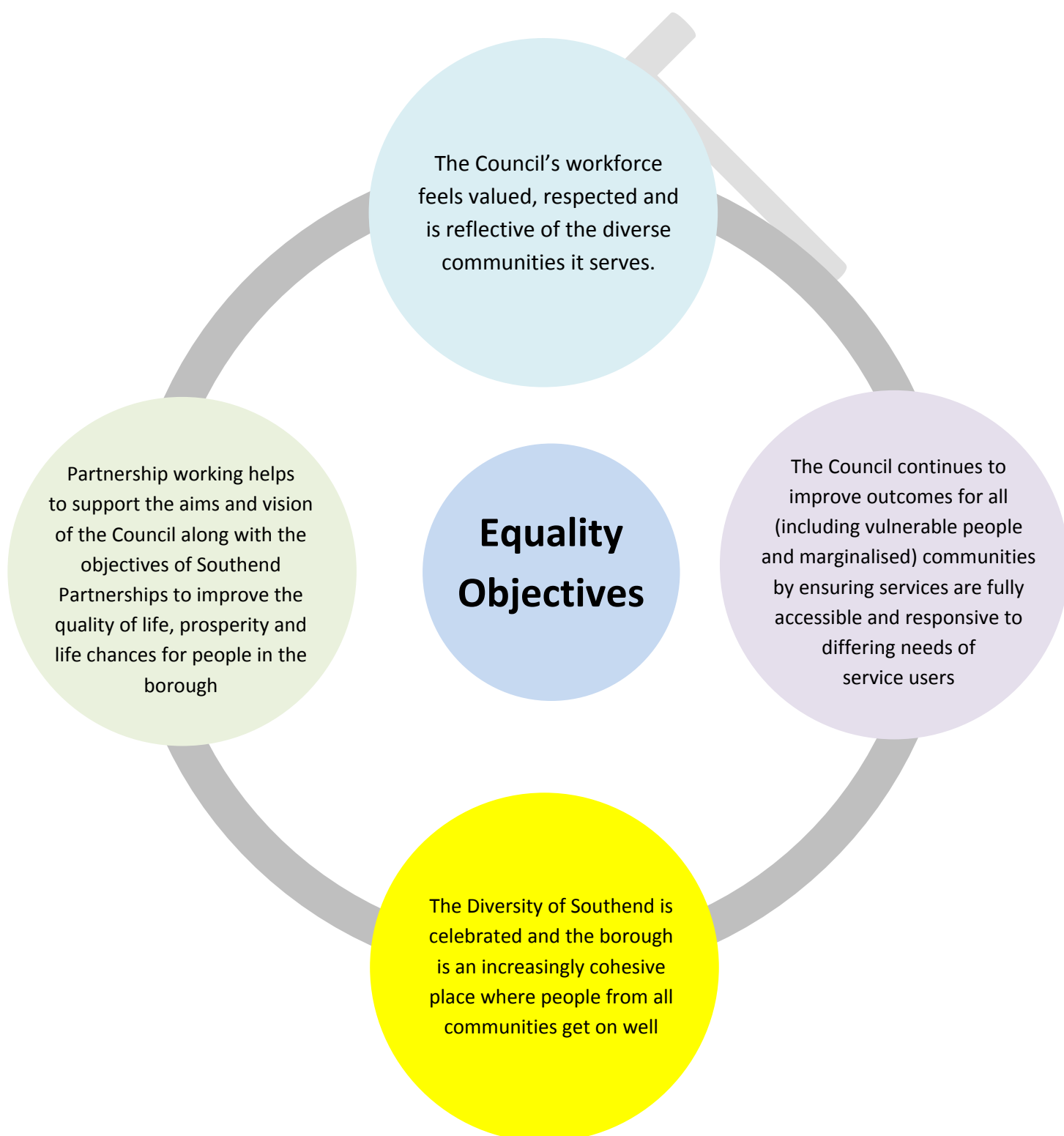
The Council was successful in the Horizon 2020 bid called 'TRACE', that aims to support the award winning 'Ideas in Motion' campaign to promote walking and cycling in the borough by determining the best use of technology and ICT tracking tools.

Corporate Priorities 2016/17

Healthy
Maximise opportunities to enable the planning and development of quality, affordable housing

Prosperous
Ensure continued regeneration of the town through a culture led agenda

Prosperous
Ensure residents have access to high quality education to enable them to be lifelong learners and have fulfilling employment

Prosperous
Ensure the town is 'open for businesses' and that new, developing and existing enterprise is nurtured and supported

Safe
Create a safe environment across the town for residents, workers and visitors

Safe
Work in partnership with Essex Police and other agencies to tackle crime

Excellent
Work with and listen to our communities and partners to achieve better outcomes for all

Excellent
Enable communities to be self-sufficient and foster pride in the town

Safe
Look after and safeguard our children and vulnerable adults

Our Vision
'Creating a better Southend'

Excellent
Promote and lead an entrepreneurial, creative and innovative approach to the development of our town

Healthy
Actively promote healthy and active lifestyles for all

Clean
Encourage and enforce high standards of environmental stewardship

Healthy
Improve the life chances of our residents, especially our vulnerable children and adults, by working to reduce inequalities and social deprivation across our communities

Healthy
Work with the public and private rented sectors to provide good quality housing

Clean
Continue to promote the use of green technology and initiatives to benefit the local economy and environment

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Equality Objectives

The Council's equality objectives, which support the Corporate Priorities, are listed below. These are supported by service level objectives which are specific, measureable and realistic with progress on how the Council is meeting its equality responsibilities reported regularly.

The Council's workforce feels valued, respected and is reflective of the diverse communities it serves.

Partnership working helps to support the aims and vision of the Council along with the objectives of Southend Partnerships to improve the quality of life, prosperity and life chances for people in the borough

Equality Objectives

The Council continues to improve outcomes for all (including vulnerable people and marginalised) communities by ensuring services are fully accessible and responsive to differing needs of service users

The Diversity of Southend is celebrated and the borough is an increasingly cohesive place where people from all communities get on well

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Corporate Priority Performance Measures for 2016/17

Performance Measures	Target for 2015/16	Target for 2016/17	Aim
Number of children subject to a Child Protection Plans (per 10,000 population) [Monthly Snapshot]	37.8-45.2	45.7-52.3	**Safe** Create a safe environment across the town for residents, workers and visitors Work in partnership with Essex Police and other agencies to tackle crime Look after and safeguard our children and vulnerable adults
Number of Looked After Children (per 10,000 population) [Monthly Snapshot]	54.4-65	57.7-68.3	
Adults in contact with secondary mental health services living independently, with or without support (expressed as a percentage) [Quarterly Snapshot]	66%	66%	
Percentage of children reported to the police as having run away that receive an independent return to home interview (where parents' consent)[Cumulative]	85%	85%	
Score against 10 British Crime Survey crimes; Theft of vehicle, theft from vehicle, vehicle interference, domestic burglary, theft or cycle, theft from person, criminal damage, common assault, woundings, robbery [Cumulative]	7389	7389	
Percentage acceptable standard of cleanliness: litter [Cumulative]	90%	92%	**Clean** Continue to promote the use of green technology and initiatives to benefit the local economy and environment Encourage and enforce high standards of environmental stewardship
Number of reported missed refuse collections per 100,000 [Monthly Snapshot]	45	45	
Percentage of household waste sent for reuse, recycling and composting [Cumulative]	54%	54%	
Proportion of people who use services who receive Direct payments [Year to date Snapshot]	N/A	30%	**Healthy** Actively promote healthy and active lifestyles for all Work with the public and private rented sectors to provide good quality housing Improve the life chances of our residents, especially our vulnerable children and adults, by working to reduce inequalities and social deprivation across our communities
Proportion of older people 65 and over who are still at home 91 days after discharge from hospital to rehabilitation.	86%	86%	
Proportion of adults with learning disabilities in paid employment [Quarterly Snapshot]	10%	10%	
Delayed transfers of care from hospital for social care per 100,000 population [Average]	N/A	1.43	
Number of Children having participated in an Early Help Assessment (cumulative)	N/A	2000	
Number of attendances at council run or affiliated arts and sports events and facilities [Cumulative]	3,429,000	4,000,000	
Number of people successfully completing 4 week stop smoking course [Cumulative]	1300	1300	
Take up of the NHS Health Check programme – for those eligible [Cumulative]	5673	5673	

Number of Southend employers signed up to the Public Health Responsibility Deal [Cumulative]	40	40	
Percentage of Children in good or outstanding schools	75%	80%	**Prosperous** Maximise opportunities to enable planning and development of quality, affordable housing Ensure residents have access to high quality education to enable them to be lifelong learners and have fulfilling employment Ensure the town is 'open for business' and that new, developing and existing enterprise is nurtured and supported Ensure continued regeneration of the town through a culture led agenda
Major planning applications determined in 13 weeks [Cumulative]	79%	79%	
Minor planning applications determined in 8 weeks [Cumulative]	84%	84%	
Other planning applications determined in 8 weeks [Cumulative]	90%	90%	
Current Rent Arrears as percentage of rent due [Monthly Snapshot]	1.77%	1.7%	
Percentage of Council Tax for 2015/16 collected in year [Cumulative]	97.0%	97.2%	
Percentage of Non-Domestic Rates for 2015/16 collected in year [Cumulative]	97.6%	97.8%	
GovMetric measurements of satisfaction (3 channels – Phones, Face 2 Face & Web) [Cumulative]	≥80%	≥80%	**Excellent** Work with and listen to our communities and partners to achieve better outcomes for all Enable communities to be self-sufficient and foster pride in the town Promote and lead an entrepreneurial, creative and innovative approach to the development of our town
Number of payments made online [Cumulative]	≥50,000	≥50,000	
Number of volunteers hours delivered within cultural services [Cumulative]	12,000	13,000	
Working days lost per FTE due to sickness – excluding school staff [Cumulative]	7.20	7.20	

Public Facing Performance 2016/17

Outward Facing Name	Indicator Name	Annual Target 2015/16	Annual Target 2016/17
How much of your household waste is recycled?	Percentage of household waste sent for reuse, recycling and composting	54%	54%
How quickly are your planning applications decided?	Other planning applications determined in 8 weeks	90%	90%
How reliable are your refuse collections?	Number of reported missed collections per 100,000	45	45
Customer Satisfaction	GovMetric measurement of satisfaction (3 channels)	≥80%	≥80%
How clean are your streets?	Percentage acceptable standard of cleanliness: litter	90%	92%
How many visits to council run or affiliated arts and sports events and facilities in Southend-on-Sea	Number of attendances at council run or affiliated arts and sports events and facilities in Southend-on-Sea	3,429,000	4,000,000

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Corporate Priority Actions 2016/17

	Action	Due Date	Directorate	Aim
1	Deliver the priorities of the Strategic Intelligence Assessment to support a reduction in crime	31 Mar 2017	Place	**Safe** Create a safe environment across the town for residents, workers and visitors
2	Successfully implement the new parking enforcement contract	31 Mar 2017	Place	
3	Implement the outcome of the 20mph Speed Limit Scrutiny Project	31 Mar 2017	Place	
4	Implement and embed the Early Help offer redesign	31 Mar 2017	People	Work in partnership with Essex Police and other agencies to tackle crime
5	Monitor the implementation and delivery of the new commission the new Emotional Health and Wellbeing service	31 Mar 2017	People	
6	Implement and performance manage the Multi-Agency Risk Assessment Team	31 Mar 2017	People	Look after and safeguard our children and vulnerable adults
7	Delivery a high performing waste collection and street cleaning service across the Borough including the recycling / composting rate to 54%	31 Mar 2017	Place	**Clean** Continue to promote the use of green technology and initiatives to benefit the local economy and environment
8	Continue to utilise environmental enforcement powers where appropriate to maintain an attractive street scene for residents and visitors (Clean and Green)	31 Mar 2017	Place	
9	Implement the new model for service delivery for the Grounds Maintenance Service	31 Mar 2017	Place	
10	Deliver the aspirations of the Council's Low carbon Energy Strategy 2015-2020	31 Mar 2017	Place	Encourage and enforce high standards of environmental stewardship
11	Continue to implementation the agreed corporate Energy Projects including the Southend Energy Partnership	31 Mar 2017	Place	
12	Produce a new Highway Asset Management Plan to support the maintenance and improvement of the roads, pavements and street furniture across the Borough	31 Mar 2017	Place	
13	Delivery and implement the Traffic & Highways Capital Programme	31 Mar 2017	Place	
14	Delivery the programmed replacement of old street lighting lantern with new LED type	Multi-year programme with annual targets	Place	
15	Develop and implement an Accident Prevention Strategy	31 Mar 2017	Public Health	**Healthy** Actively promote healthy and active lifestyles for all
16	Develop a Mental Wellbeing Strategy	31 Mar 2017	Public Health	
17	Develop a social marketing programme for health improvement	31 Aug 2016	Public Health	
18	Develop a public health vision that informs prioritisation of public health needs within the community and revise the public health strategy to address these	31 Dec 2016	Public Health	Work with the public and private rented sectors to provide good quality housing
19	Deliver Phase 2 of the Streets Ahead programme	31 Mar 2017	People	
20	Deliver Year 2 of the Fulfilling Lives programme to improve the life chances of children aged 0-3	31 Mar 2017	People	Improve the life chances of our residents, especially our vulnerable children and adults, by working to reduce inequalities and social deprivation across our communities
21	Narrow the achievement gap for all disadvantaged groups	31 Mar 2017	People	
22	Develop and implement an asset based model of assessment and service provision across Adult Social Care	31 Mar 2017	People	
23	Embed the integrated community recovery pathway as the standard model for service delivery in adult social care	31 Mar 2017	People	
24	Delivery the join integrated work plan across children's, adults and community services	31 Mar 2017	People	
25	Work in partnership to develop affordable housing	30 Jun 2016	People	**Prosperous** Maximise opportunities to enable the planning and development of quality affordable housing
26	Deliver the agreed Council strategy for Southend adult social care homes and other care services	31 Mar 2017	People	
27	Develop a secondary school places strategy to cater for the increasing pupil numbers	31 Mar 2017	People	
28	Further develop the School Led School Improvement System (school –	31 Mar 2017	People	

	to – school support)			Ensure residents have access to high quality education to enable them to be lifelong learners and have fulfilling employment
29	Increase the number of schools judged as 'Good' or 'Outstanding'	31 Mar 2017	People	
30	Improve school attendance for the academic year 2016/17	31 Mar 2017	People	
31	Seaway Car Park – to bring forward the development of a leisure-led scheme, including the relocation of coach parking and the seafront area waste depot, 2016/17 actions:		Corporate Services	Ensure the town is 'open for business' and that new, developing and existing enterprise is nurtured and supported
	• To support Turnstone to submit a planning application	31 Mar 2016		
	• To meet the Coach Park Relocation Condition	30 Jun 2016		
	• To support Turnstone in securing prime tenants	31 Aug 2016		
32	Airport Business Park – to bring forward development of land north of Aviation Way over 15-20 years for a Business Park via a development partnership, 2016/17 actions:		Corporate Services / Place	Ensure continued regeneration of the town through a culture led agenda
	• To commence Phase 1 infrastructure works	31 Jul 2016		
	• To agree Westcliff Rugby club relocation strategy and commence work	30 Sep 2016		
	• To submit a planning application for the Innovation centre	30 Sep 2016		
33	Queensway Area Regeneration Project, 2016/17 actions:		Corporate Services / People / Place	
	• Progress the finance option and housing plans for the Queensway area regeneration project	31 Mar 2017		
	• Consultation and communication with existing residents of the Queensway development to inform specifications for the redevelopment	31 Mar 2017		
34	Continue to make the case for Growth Fund Investment in Southend by working with the South Essex Growth Partnership and SELEP	31 Mar 2017	Place	
35	Develop a Smart Cities Strategy and associated projects	31 Mar 2017	Place	
36	Delivery of Seafront Lagoon	31 Mar 2017	Place	
37	Complete detailed design for the Seafront Museum	31 Mar 2017	Place	
38	Implement the recommendations from the Library Review	31 Mar 2017	Place	**Excellent** Work with and listen to our communities and partners to achieve better outcomes for all
39	Southend Way – To continue to embed the Southend Way cultural change programme (Aspiration programme – Council)	31 Mar 2017	Corporate Services	
40	Identify and support opportunities that improve community capacity and resilience (Aspiration programme for the borough)	31 Mar 2017	Corporate Services	Enable communities to be self-sufficient and foster pride in the town
41	Work the Government and local partners develop and deliver a devolution deal which maximises the benefits for Southend, building on City Deal and profile of the Thames Gateway	31 Mar 2017	Place	Promote and lead an entrepreneurial, creative and innovative approach to the development of our town

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Southend-on-Sea Borough Council

Report of Chief Executive & Town Clerk

to

Cabinet

on

28th June 2016

Report prepared by:
Leo Lord – Senior Business Management Advisor
Tim MacGregor – Team Manage, Policy and Information

2015/16 Year End Performance Report
Relevant Scrutiny Committee(s): People; Place; Policy & Resources.
Executive Councillor: Councillor Lamb
A Part 1 - Public Agenda Item

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1. Purpose of Report

1.1 To report on the end of year position of the Council's corporate performance for 2015/16.

2. Recommendation

2.1 **To note the 2015/16 end of year position and accompanying analysis.**

3. Background

3.1 The Council's Monthly Performance Report (MPR) provides members, staff and public with an overview of Council performance in key areas relating to customers, staff, finance and projects. The content is reviewed each year, based on what has been identified as requiring particular focus for that year.

3.2 The MPR is monitored each month by service groups, Departmental Management Teams and Corporate Management Team and at each meeting of Cabinet and each Scrutiny Committee. Each assesses whether performance is on or off target - enabling appropriate action to be taken. This report outlines performance and provides analysis for the end of year position up to March 2016 of the corporate performance indicators reported in the MPR.

3.3 The analysis focuses on:
- performance against targets;
- performance against previous years' performance and
- performance against comparable authorities (where available)

3.4 **Appendix 1** provides detail of the 2015/16 outturn with a commentary against individual indicators, including, where available, comparative performance information against other local authorities.

3.5 Corporate performance monitoring and management has been an important element of the Council's improvement journey and, to provide more context **Appendix 2** provides an overview of this improvement over recent years.

3.6 In considering corporate performance for 2015/16, account should be made of a number of contextual issues, including:
- the significant reductions in council spending for the year,
- the on-going challenging economic climate
- challenges faced in meeting new Government requirements, including changes to welfare provision.
- the challenge of maintaining rates of improvement after periods of sustained better performance.
- other new commitments and priorities.

4. Performance in 2015/16

4.1 Despite the challenges outlined above, the Council continued to perform well in 2015/16 with some indication that the financial and economic climate has had an impact in some areas. In addition, benchmarking analysis indicates that in many areas the council performs better than similar authorities and our statistical neighbours. The following points are of particular note:

- 23 of the 28 (82.1%) performance indicators met their year-end targets

- Of the 28 indicators for which data is available for the previous year, 22 (78.6%) have maintained or improved performance from 2014/15.

- The number of volunteer hours within cultural services exceeded its target by 8,304 hours (18,304 against a target of 12,000) highlighting the boroughs support of the cultural offer in Southend.

- 75 new affordable homes were delivered, up from 50 in 2014/15.

- The proportion of children in good or outstanding schools has increased almost 5% to 83.1%.

- Adult Social Care outcomes have performed well:
  ➢ The number of delayed transfers of care from hospital (social care) reduced for the third consecutive year (2013/14 – 30, 2014/15 – 18, 2015/16 - 17).
  ➢ A greater percentage of older people over 65 remained at home 91 days after discharge from hospital to rehabilitation.
  ➢ A higher proportion of adults with learning disabilities are in paid employment compared to last year.

- The take up of the NHS Health Check programme – by those eligible has exceeded the target by 15.3%.

- A further 43 local employers have signed up to the Public Health Responsibility Deal in Southend.

- Cleansing standards for litter have improved to 96% from 94% in 2014/15.

- The percentage of Non-domestic Rates collected exceeded target by 0.2 % with a 97.8% collection rate. The percentage of Council tax collected also exceeded target by 0.2% with a 97.2% collection rate.

- The council's extensive offer of events and facilities in 2015/16 resulted in 4,321,179 visits to council run or affiliated arts and sports events or facilities, exceeding last year's performance by just over 148,000 visits.

4.2   Corporate performance for 2016/17 will follow a similar format, with the revised performance measures and actions having been agreed by Cabinet in February and these are outlined in the Council's Corporate Plan and Annual report for 2016.

5.   Other Options
Not applicable to this report.

6.   Reasons for Recommendation
Not applicable to this report.

7.   Corporate Implications

7.1   Contribution to Council's Vision & Critical Priorities
The MPR monitors performance of the Corporate Indicators achieved against the Corporate Priorities.

7.2   Financial Implications
The MPR monitors performance achieved against the Corporate Priorities and these priorities are key drivers for the Medium Term Financial Strategy.

7.3   Legal Implications
There are no legal implications.

7.4   People Implications
People implications are included in the monitoring of performance relating to the council's resources where these relate to the Council's priorities.

7.5   Property Implications
There are no property implications.

7.6   Consultation
Performance Indicators relating to the Council's priorities included in the MPR are as included in the Corporate Plan, which was developed through consultation.

7.7   Equalities Impact Assessment

The priorities and outcomes contained with the Corporate Plan are based upon the needs of Southend's communities. This has included feedback from consultation and needs analyses.

7.8   Risk Assessment
The monitoring of performance information supports the council in identifying potential areas of risk as part of the Council's governance processes.

7.9   Value for Money
Value for Money is a key consideration of the Corporate Plan and performance indicators in the MPR assist in identifying Value for Money from services.

7.10   Community Safety Implications
Performance Indicators relating to community safety are included in the MPR.

4.11   Environmental Impact
Performance Indicators relating to environmental factors and impact are included in the MPR.

8.   Background Papers

8.1   Monthly Performance Reports, April 2015 to March 2016.

9.   Appendices

9.1   **Appendix 1: Corporate Priority Indicators – Year End**

9.2   **Appendix 2: Southend-on-Sea BC Improvement Journey**

Corporate Performance Indicators - Year End

Outcome against target: Missed target 5, Achieved target 23

Comparative information, in most cases, is with all unitary authorities in England or with the appropriate 'family' group (eg those authorities with characteristics that are most similar to Southend). The majority of benchmarking data is from 2014/15 as data for 2015/16 from other authorities is not yet available – although this still offers a good indication into how our performance is progressing. Comparative performance is often described in terms of 'quartiles' where:

- Upper Quartile – Top 25% performing councils
- Upper Middle Quartile – Top 50% performing councils
- Lower Middle Quartile – Bottom 50% performing councils
- Lower Quartile – Bottom 25% performing councils

MPR Code	Short Name	Minimise or Maximise	Year End 2015/16	Annual Target 2015/16	Outcome	Year End 2014/15	Comments / Benchmarking
CP 1.1	Score against 10 BCS crimes; Theft of vehicle, theft from vehicle, vehicle interference, domestic burglary, theft of cycle, theft from person, criminal damage, common assault, woundings, robbery. **Cumulative from April**	Aim to Minimise	8382	7389	Not Met Target	7464	Number of crimes per 1000 residents is higher in Southend than both 'most similar group' average and Essex average. Representatives from Essex Police attended Policy and Resources Scrutiny Committee on 3rd December 2015 to provide an update on Southend crime statistics, current demand and future challenges.
CP 1.2	Adults in contact with secondary mental health services who are in stable accommodation (ASCOF H1)	Aim to Maximise	67.5%	66%	Met Target	66.4%	This indicator is in line with the National Social Outcomes Framework. Performance has met target. Against all English Unitary Authorities for 2014/15 the Council is in the upper middle Quartile Performance for this indicator. (LG Inform 26/04/2016)
CP 1.3	The percentage of children reported to the Police as having run away that receive an independent return to home interview [Monthly Snapshot]	Aim to Maximise	69.05%	85%	Not Met Target	66.2%	During the year the police changed the way they triaged missing children which meant an increase in the number of children report to us as missing, as a result performance dropped. We now risk assess and triage all clients ourselves, the result will be a risk assessed and moderated volume ensuring an improvement in the reporting of the performance indicator. In addition we also count children who are placed here by other local authorities. If we excluded these numbers the performance rises to 77.7% with 91% attempted.

MPR Code	Short Name	Minimise or Maximise	Year End 2015/16	Annual Target 2015/16	Outcome	Year End 2014/15	Comments / Benchmarking
CP 1.4	Rate of children subject to a Child Protection Plan per 10,000 (not including temps) [Monthly Snapshot]	Goldilocks	49.2	37.8-45.2	Not Met Target	48.8	The nature of this indicator makes it very difficult to set a relevant target. We have robust thresholds and management oversight to ensure a CPP is appropriate. As such an outturn that is outside of the set range does not imply weak performance. The average rate for the year is 45.7. The Figures are in line with 2014/15 All Unitary average and below 2014/15 children services near neighbour average.
CP 1.5	Rate of Looked After Children per 10,000 [Monthly Snapshot]	Goldilocks	68.3	54.4-65	Not Met Target	60.61	The nature of this indicator makes it very difficult to set a relevant target. We have robust thresholds and management oversight to ensure a child only becomes LAC when necessary. As such an outturn that is outside of the set range does not imply weak performance. The average rate for the year is 63.0. Figures are in line with 2014/15 All Unitary average. The reason for the increase in numbers of LAC has been explored and the decision to bring children into care has been appropriate.
CP 2.1	Number of reported missed collections per 100,000**Snapshot of monthly performance**	Aim to Minimise	40	45	Met Target	45	Benchmarking not available
CP 2.2	% acceptable standard of cleanliness: litter **Cumulative from April**	Aim to Maximise	96%	90%	Met Target	94%	Benchmarking not available
CP 2.3	Percentage of household waste sent for reuse, recycling and composting **Cumulative from April**	Aim to Maximise	47.11%	54%	Not Met Target	51.25%	Target not met due to late commissioning of Partnership MBT Plant which meant that the recycling element at the plant produced less tonnage to contribute to our performance. Poor out turn of garden waste from the summer of 15/16 which is the result of poor growing conditions linked to the weather. Garden waste contributes to the recycling performance. There is a national downturn in recycling rates (the Essex region has also seen a decrease)

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MPR Code	Short Name	Minimise or Maximise	Year End 2015/16	Annual Target 2015/16	Outcome	Year End 2014/15	Comments / Benchmarking
CP 3.1	Proportion of older people 65 and over who are still at home 91 days after discharge from hospital to rehab	Aim to Maximise	87.4%	86%	Met Target	86.2%	This indicator is part of the Adult Social Care Outcomes Framework indicator, which reports those older people (65+) who started reablement to support a hospital discharge and who started reablement between October 2015 and December 2015. This shows 103 people started reablement in this period. During the three month period to the end of March 2015, 90 people were still at home, a success rate of 87.4%. Against all English Unitary Authorities for 2014/15 the Council is in the upper middle Quartile Performance for this indicator. (LG Inform 12/04/2016)
CP 3.2	Delayed transfers of care from hospital (social care) [Cumulative]	Aim to Minimise	17	24	Met Target	18	The annual target has been met. There have been 17 delays in 2015/16. This is a further improvement on 18 in 2014/15 and 30 in 2013/14.
CP 3.3	Number of attendances at council run or affiliated arts and sports events and facilities [Cumulative]	Aim to Maximise	4,321,179	3,429,000	Met Target	4,172,647	Benchmarking not available
CP 3.4	Public Health Responsibility Deal [Cumulative]	Aim to Maximise	43	40	Met Target	43	Target Met and exceeded - 43 businesses signed up to the Southend public health responsibility deal.
CP 3.5	Number of people successfully completing 4 week stop smoking course [Cumulative]	Aim to Maximise	1300	1300	Met Target	1301	
CP 3.6	Take up of NHS Health Checks programme – by those eligible [Cumulative]	Aim to Maximise	6,617	5,673	Met Target	5,739	A range of targeted work around the borough has supported exceeding target and a 15.3% increase from last year's performance.
CP 3.7	Number of new affordable homes acquired [Cumulative]	Aim to Maximise	75	45-72	Met Target	50	50% increase in the number of affordable homes delivered from 2014/15
CP 4.1	Proportion of appropriate people using social care who receive direct payments [Monthly Snapshot]	Aim to Maximise	22.2%	21%	Met Target	17.76%	Performance on this indicator has out turned above the target. Against all English Unitary Authorities for 2013/14 the Council is in the upper middle Quartile Performance for this indicator. (LG Inform 26/04/2016)
CP 4.2	Proportion of adults with learning disabilities in paid employment [Quarterly Snapshot]	Aim to Maximise	10.2%	10%	Met Target	7.1%	We currently have 48 LD service users recorded as being in paid employment from 470 service users. Against all English Unitary Authorities for 2014/15 the Council is in the upper Quartile Performance for this indicator. (LG Inform 12/04/2016.

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MPR Code	Short Name	Minimise or Maximise	Year End 2015/16	Annual Target 2015/16	Outcome	Year End 2014/15	Comments / Benchmarking
CP 4.3	% of Council Tax for 2015/16 collected in-year [Cumulative]	Aim to Maximise	97.2%	97%	Met Target	96.81%	2014/15 England All Unitary Average is 96.62%.
CP 4.4	% of Non-domestic Rates for 2014/15 collected in-year [Cumulative]	Aim to Maximise	97.8%	97.60%	Met Target	97.60%	2014/15 England All Unitary Average is 97.21%.
CP 4.5	Major applications determined in 13 weeks **Cumulative from April**	Aim to Maximise	90.90%	79.00%	Met Target	86%	England Top Quartile = 88% (2014/15)
CP 4.6	Minor planning applications determined in 8 weeks **Cumulative from April**	Aim to Maximise	90.77%	84.00%	Met Target	88%	England Top Quartile = 81% (2014/15)
CP 4.7	Other planning applications determined in 8 weeks **Cumulative from April**	Aim to Maximise	95.48%	90.00%	Met Target	94%	England Top Quartile = 90% (2014/15)
CP 4.8	Current Rent Arrears as % of rent due [Monthly Snapshot]	Aim to Minimise	1.37%	1.77%	Met Target	1.77%	
CP 4.9	% of children in good of outstanding schools [Monthly Snapshot]	Aim to Maximise	83.08%	75%	Met Target	77.2%	The annual target has been met. The council continues to work directly with schools and academies to move to the situation where all schools in Southend are either Good or Outstanding.
CP 5.1	Number of volunteer hours in delivered within cultural services [Cumulative]	Aim to Maximise	18,304	12,000	Met Target	12,334	Benchmarking not available
CP 5.2	Govmetric Measurement of Satisfaction (3 Channels - Phones, Face 2 Face & Web) (Cumulative)	Aim to Maximise	91.98%	80.00%	Met Target	93.24%	
CP 5.3	Number of payments made online	Aim to Maximise	58,494	50,000	Met Target	49,926	Benchmarking not available
CP 5.4	Working days lost per FTE due to sickness - excluding school staff **Cumulative from April**	Aim to Minimise	6.99	7.20	Met Target	6.91	Local Government Association Workforce Survey shows councils reported a median of 8.4 days lost per FTE employee in 2013/14.

Southend on Sea BC Improvement Journey

Key Indicators	2012/13	2013/14	2014/15	2015/16	Comments
Score against 10 BCS crimes; Theft of vehicle, theft from vehicle, vehicle interference, domestic burglary, theft of cycle, theft from person, criminal damage, common assault, woundings, robbery.	7563	7706	7464	8382	Number of crimes per 1000 residents higher in Southend than both 'most similar group' average and Essex.
Adults in contact with secondary mental health services who are in stable accommodation (ASCOF H1)			66.4%	67.5%	This indicator is in line with the National Social Outcomes Framework, performance has met target. Against all English Unitary Authorities for 2014/15 the Council is in the upper middle Quartile Performance for this indicator. (LG Inform 26/04/2016)
The percentage of children reported to the Police as having run away from home that receive an independent return to home visit interview [Monthly Snapshot]			66.2	69.1	
Rate of children subject to a Child Protection Plan per 10,000 (not including temps)			48.8	49.2	Figures in line with 2014/15 All Unitary average and below 2014/15 children services near neighbour average.
Rate of Looked After Children per 10,000			60.61	68.3	Figures in line with 2014/15 All Unitary average. The reason for the increase in numbers of LAC has been explored and the decision to bring children into care has been appropriate.
Number of reported missed collections per 100,000	27	26	45	40	Annual target for 2015/16 of fewer than 45 missed collections per 100,000 has been met.
% acceptable standard of cleanliness: litter	90%	90%	94%	96%	Out turn of 96% continues improvement seen over the last three years.

Key Indicators	2012/13	2013/14	2014/15	2015/16	Comments
Percentage of household waste sent for reuse, recycling and composting	48.28%	53.12%	51.25%	47.11%	Target not met due to late commissioning of Partnership MBT Plant which meant that the recycling element at the plant produced less tonnage to contribute to our performance. Poor out turn of garden waste from the summer of 15/16 which is the result of poor growing conditions linked to the weather. Garden waste contributes to the recycling performance. There is a national downturn in recycling rates (the Essex region has also seen a decrease)
Proportion of older people 65 and over who are still at home 91 days after discharge from hospital to rehab		82.4%	86.2%	87.4%	2015/16 target has been met
Delayed transfers of care from hospital (social care) [Cumulative]	31	30	18	17	Out turn of 17 continues improvement seen over the last three years.
Number of attendances at council run or affiliated arts and sports events and facilities [Cumulative]	3,694,891	4,001,742	4,172,647	4,321,179	The council's extensive offer of events and facilities in 2015/16 meant 4,321,179 visits to council run or affiliated arts and sports events or facilities. This continues the year on year improvements seen over the last three years.
Public Health Responsibility Deal [Cumulative]			43	43	Target Met and exceeded - 43 businesses signed up to the Southend public health responsibility deal.
Number of people successfully completing 4 week stop smoking course [Cumulative]		1304	1301	1300	
Take up of the NHS Health Check programme - by those eligible[Cumulative]		5372	5739	6617	A range of targeted work around the borough has supported exceeding target and a 15.3% increase from last year's performance.

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Key Indicators	2012/13	2013/14	2014/15	2015/16	Comments
Number of new affordable homes acquired [Cumulative]	20	30	50	75	50% increase in the number of affordable homes delivered from 2014/15
Proportion of appropriate people using social care who receive directed payments	13.08%	16.15%	17.76%	22.2%	
Proportion of adults with learning disabilities in paid employment [Quarterly Snapshot]	9.9%	8.9%	7.1%	10.2%	We currently have 48 LD service users recorded as being in paid employment from 470 service users. Against all English Unitary Authorities for 2014/15 the Council is in the upper Quartile Performance for this indicator. (LG Inform 12/04/2016.)
% of Council Tax collected in-year	97.90%	97.1%	96.8%	97.2%	2014/15 England All Unitary Average is 96.62%. Local Council Tax Support Scheme introduced nationally from 01/04/2013, which had a national downward impact on Council Tax collection rates.
% of Non-domestic Rates collected in-year	97.40%	97.5%	97.6%	97.8%	2014/15 England All Unitary Average is 97.21%.
Major planning applications determined within 13 weeks	84.62%	95.92	86.00%	90.90%	England Top Quartile = 88% (2014/15)
Minor planning applications determined within 8 weeks	90.82%	90.41	86.67%	90.77%	England Top Quartile = 81% (2014/15)
Other applications determined within 8 weeks	94.15%	94.40	94.40%	95.48%	England Top Quartile = 90% (2014/15)
Current Rent Arrears as % of rent due			1.77%	1.37%	
% Children in good of outstanding schools [Monthly Snapshot]			77.2%	83.1%	2015/16 outturn above target and significant improvement on previous year's performance

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Key Indicators	2012/13	2013/14	2014/15	2015/16	Comments
Number of volunteer hours in delivered within cultural services	11,194	12,251	12,334	18,304	Benchmarking not available
Govmetric measurement of 'satisfied' customers (3 channels – Phones, Face to Face and Web)	88.8%	88.8%	93.2%	91.98%	
Number of payments made online	40,331	50,644	49,926	58,494	Benchmarking not available
Working days lost per FTE due to sickness – excluding school staff	7.85	6.21	6.91	6.99	Local Government Association Workforce Survey shows councils reported a median of 8.4 days lost per FTE employee in 2013/14.

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Southend-on-Sea Borough Council

Report of Corporate Director for Corporate Services
To

8

Cabinet

On
28 June 2016

Report prepared by:
Tim MacGregor – Team Manager, Policy and Information
Management

Overarching Information Management Strategy – 2016
People; Place; Policy and Resources Scrutiny Committees
Executive Councillor: Councillor Lamb
A Part 1 Public Agenda item

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1. **Purpose of Report**

1.1. To agree the Council's revised Information Management Strategy

2. **Recommendations**

   It is recommended that:

2.1. Cabinet agrees the Council's Information Management Strategy - set out at Appendix 1.

3. **Background**

3.1 The Council last agreed an Information Management Strategy in October 2013 and the strategy is, therefore, in need of review and updating. While the previous strategy focussed mainly on issues of data security, the revised strategy aims to also place emphasis on how the Council, along with partners and community can make better use of the information it holds, while ensuring best practice in maintaining information security and data protection.

3.2 The strategy outlines the current context for information management, including key drivers, and reports on recent progress by the Council in this area. It provides a vision to promote the effective use of information, a set of principles for officers and members to abide by and an action plan to help make the vision a reality. The strategy also highlights forthcoming legislation, in the form of the EU General Data Protection Regulation which will have a significant impact on the data protection framework for all organisations in the UK (including, as advised by the Information Commissioners Office, if there is a 'leave' vote in the European Union referendum).

4.   Reasons for Decision.

Other Options – Not updating the strategy and related action plan could mean the Council's information security and data protection arrangements will not be as robust as required. This could leave the Council vulnerable to malicious use of its information and heavy fines from the Information Commissioners Office.

5   Reasons for Recommendations

5.1   To ensure the Council's information security and data protection policies and practice are as robust as possible and that the Council is making best use of its information.

6   Corporate Implications

6.1   Contribution to Council's Vision & Corporate Priorities

The strategy helps to enhance the safety and security of residents and will contribute to all of the Council's Aims and Corporate Priorities by encouraging better and more creative use of the Council's information.

6.2   Financial Implications – none specific

6.3   Legal Implications

The Council must ensure that it is compliant with a range of legislation to ensure people's rights are protected. Inappropriate disclosure of data could leave the Council open to legal claims and fines. The collection, use and disclosure of personal information are governed by a number of different areas of legislation, notably:

The Human Rights Act 1998;
Data Protection Act 1998;
Freedom of Information Act 2000;
Environmental Information Regulations 2004;
Computer Misuse Act 1990;
The Access to Health records
Civil Contingencies Act 2004;
Crime and Disorder Act 1998;
Children Act 2004

6.4   People Implications - None

6.5   Property Implications - None

6.6   Equalities and Diversity Implications

The Council collects a range of information to help it meet the needs of its customers and staff, including, where relevant, information on those with 'protected characteristics as defined by the Equality Act 2010 (age, disability, gender

reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, sexual orientation). In line with the Act the Council, each year, publishes a profile of its customers (along with how they rate services) and staff who share protected characteristics. All information is collected and maintained in line with the Data Protection Act, for example, to ensure it is anonymous.

6.7   Risk Assessment

Non-compliance with the law would adversely affect the Council‟s reputation in the community and reduce public trust and could lead to "incidents‟ with regulatory penalties and disruption to business continuity.

6.8   Value for Money – none specific

6.9   Community Safety Implications - None specific

6.10   Environmental Impact - None specific

7.   Background Papers - none

8.   Appendices

        Appendix 1 – Information Management Strategy

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Southend-on-Sea Borough Council

Overarching Information Management Strategy

June 2016

Version Control

Date	Version	Author	Owner
26.4.16	Draft	Tim MacGregor	Sally Holland
29.4.16	Draft	Tim MacGregor	Sally Holland
9.5.16	Draft	Tim MacGregor	Sally Holland
12.5.16	Draft for CMT, 18.5.16	Tim MacGregor	Sally Holland
26.5.16	Revised draft following CMT	Tim MacGregor	Sally Holland
15.6.16	Draft for Cabinet, 28.6.16	Tim MacGregor	Sally Holland

Overarching Information Management Strategy

Contents   **Page**

1. Introduction and purpose

The Council holds and uses a vast range of information in a variety of different formats. The effective management and use of this information is key to ensuring the Council can achieve its vision, aims and priorities. Decision-making, policy development, day-to-day service delivery, and forward planning are all founded on effective use of information, which is also crucial to ensuring the Council's accountability to residents and other stakeholders.

However, increasingly organisations are looking at how they can use the information they hold in far more creative and imaginative ways to improve the customer experience and drive efficiencies. Local authorities across the world have demonstrated that the digitising of services, cross-matching different data sets and using information in different ways is producing new and exciting ways of addressing a range of challenges.

This strategy builds on and replaces the Council's previous Information Management Strategy agreed in 2013. It provides a foundation to help the Council continually improve by promoting better, more creative, use of information, encouraging appropriate sharing and transparency while ensuring data security and compliance with data protection legislation (notably the Data Protection Act 1998 and Freedom of Information Act 2000).

The strategy outlines a vision to promote the effective use of information and principles by which the Council will operate to make the vision a reality. It also highlights impending legislation, which will have a significant impact on how Council information is managed, further areas of work and includes a related action plan for the coming years.

2. The Council's vision for information management

The Council's vision for managing Council information is:

'To create a culture that promotes the creative and innovative use of information to empower residents, enhance efficiency and generate fresh approaches for the Council to achieve its aims. The Council will: ensure personal data is held securely; ensure information is disseminated effectively; be transparent and enabling in its handling of information and operate within the necessary legal framework'.

3. The Council's Information Management Principles

To support the vision, Council officers and Members will adhere to the following principles:

➢ Hold personal data and information securely and safely;

➢ Adopt a proportionate, risk based approach to security and information governance, ensuring that controls do not provide a barrier to innovation;

➢ Promote and apply a transparent approach to the release and provision of information and data, publishing information in a way that is easy to find and in a

format that is easy to re-use;

➢ Support a collaborative approach to the creation, use and sharing of information, both internally and externally, where this is appropriate and in the interests of local communities and service users;

➢ Ensure that data is accurate; valid; reliable; timely; relevant and complete and

➢ Ensure information is stored in a way that it can be found, used and re-used and is available in the event of an interruption to service.

4. Key Drivers

Key issues driving this strategy include:

- Rising customer expectations of the availability and accessibility of information from all organisations, including an intolerance of public services that are not joined up.

- Increasing demands for, and increasing awareness of the need for, security of personal information.

- Digital services, including mobile data devices, are making traditional ways of organising local government obsolete, compelling councils to collaborate more both internally and externally.

- This process is being accelerated by the need to achieve large-scale savings in the short, medium and long term, the drive to integrate health and social care and the Government's devolution agenda.

- The increasing use of 'Big Data' by organisations to improve their effectiveness, through better understanding of customer behaviour and improving business processes, with areas of public health, community safety, community planning and environmental services among those of particular potential benefit for councils.

- The government has been pressing the public sector to share its data under the open government licence (including through the statutory Local Government Transparency Code) which allows data to be copied, adapted or exploited by companies, charities and residents with few limitations.

- The increasing risk of data loss, (heightened by greater sharing and third party hosting of data) through cyber attacks and/or human error and systemic failures - resulting in significant financial and reputational loss.

- The impending EU General Data Protection Regulation (GDPR), due to be in place by 2018, which aims to harmonise the current data protection laws across EU member states.

5. Key aims of the strategy

This strategy is designed to:

1. Support:
   - The Council's vision 'Creating a Better Southend';
   - The Council's 5 aims of creating a: Clean; Safe; Healthy; Prosperous borough, led by an Excellent Council;
   - The Council's Corporate Priorities;
   - The Council's seven values, including: *'Open & honest: we are open, honest and transparent, listening to other's views'*.

2. Provide an overarching framework for a series of other policies, procedures and strategies which complement, underpin, and feed into this strategy. These are outlined in Appendix 1.

3. Help meet the challenges the Council faces in the coming years, notably:
   - Taking an anticipated £30m from the Council's budget over the next 3 years;
   - Developing and sustaining new models of service provision to save resources and improve those services;
   - Enhance organisational capacity, including supporting the increasing demands on staff, equipping them with the rights skills and tools;
   - Meet the increasing demands on services from an aging and increasingly diverse population;
   - The need to create a higher value economy to replace or supplement more traditional businesses and
   - Developing a compelling vision for Southend's community through the 'Our Town, Our Future' programme of community engagement programme.

4. Encourage the development of high quality business intelligence about: service users; the make-up of a changing population; current workforce skills and future requirements and resource availability.

5. Highlight areas where the Council needs to further develop policies, procedures and areas for further training and development.

6. Help raise levels of understanding about the need for effective and secure information management.

7. Agree the Council's key actions in implementing the strategy.

6. Background and context

The Council is transforming the way it operates to meet the challenges and opportunities outlined above.

Information in all its forms is a critical resource for any organisation. It is increasingly recognised as one that is under-exploited and has huge potential for the public sector. While good information management has long been recognised as important, this has often been in the context of the need for robust security and governance. This has included ensuring comprehensive policies and processes are in place in relation to data protection, ICT security, records management, document retention and disposal policies.

The Council, therefore, needs to move information management from predominantly being about compliance to also being about effective and innovative use of information. Advances in technology together with the better use of data held by public authorities offer exciting opportunities to gain better insight into issues that anticipate future demand and informs the development of new policies and services. More data enabled collaboration between public authorities can help ensure citizens receive the services they require, help early intervention to prevent greater costs later, better manage resources and support efforts to reduce fraud and debt.

6.1 Recent progress by the Council in promoting good information management has included:

➢ A comprehensive set of data protection policies and procedures – available on the council's intranet;

➢ Significant streamlining of information management systems following the refurbishment of the civic centre;

➢ Undertaking regular, extensive, data protection training for staff (with 90% of staff completing the data protection e-learning tool);

➢ Regular communication relating to raising awareness of the importance of data protection among staff;

➢ Successfully complying with the requirements of the Information Governance toolkit self-assessment to enable the sharing of health and other personal data (the Council has scored Level 3, the highest possible, from the first year of completion in 2013);

➢ Being a signatory to the Whole Essex Information Sharing Framework (WEISF) designed to enable public, third sector and contracted private organisations across Essex to 'share relevant, minimum and appropriate personal information between them in a lawful, safe and informed way';

➢ Bringing adults and children's services together, with an integrated data team, is, along with an integrated commissioning team, enabling the combination of different systems and a more holistic analysis of matched data. This has already impacted positively on data quality and better intelligence for commissioned services.

➢ Obtaining pioneer status in creating new models for integrating NHS and social care services, feeding into the Better Care Fund. This has specifically focussed on tackling issues of information sharing between partner organisations, with a view to enabling single, comprehensive datasets for the purpose of risk stratification and commissioning, all aligned to single packages of care to encapsulate patient/client needs;

➢ Updating the Council's Information Centre and Publication Scheme to provide regularly requested information in a more accessible and up to date way – helping to reduce the number of Freedom of Information requests;

➢ The Council undertakes work to ensure it is meeting the needs of the Local Government Transparency Code.

➢ An ICT security strategy has been put in place with a complementary cyber security self-assessment undertaken to identify future action;

➢ A digital strategy is in place to vastly improve the borough's connectivity and

➢ Work has begun on delivery of a new 'state of the art' Data Centre ensuring data is stored securely and is capable of being recovered in the event of a disaster.

Freedom of Information (FoI) and Subject Access Requests (SAR)

This progress has been at a time of processing significant numbers of requests for information, notably Freedom of Information requests, Subject Access Requests (SARs) and 'Section 29' third party requests . The desire for more information from the public and other interested parties is shown by the growth of FoI requests in recent years.

2007/8	08/9	09/10	10/11	11/12	12/13	13/14	14/15	15/16
214	297	444	475	647	643	1052	1082	1101

Given the cost of responding to an FoI (some estimates put this at an average of £160 each) the Council has an incentive to ensure that these requests are minimised, or made easy to respond to by ensuring commonly requested information is available on the Council's website, via the Publication Scheme, or other means. The number of SARs has also increased (as outlined below) with growing awareness of the process.

2011-12	2012-13	2013-14	2014-15	2015-16
113	93	160	180	164

The range of work being undertaken was recognised in the successful Information Commissioners Office Audit in 2012 (with a rating of 'reasonable assurance') and the Council being used as a reference authority, in relation to SARs, by the ICO.

However, given the size and nature of the Council, the risk of data breaches through human or systemic error is relatively high. All efforts are made to limit the number of breaches, and raising staff awareness on the issues is critical to mitigating the risk. It should also be recognised that there is a likelihood of increased reporting of breaches as awareness of the need to report incidents grows.

6.2 Sources of information

The Council has a large range of information sources, with a rich seam of data and a huge number of potential uses. Some of the main systems include: Mosaic 'geo-demographic segmentation' system; Govmetric customer satisfaction feedback ; Caretrak social care and patient data sets; Care 1st; Capita One schools and Special Educational Needs, Integrated Youth Support Service; Planning and geographic systems such as Ark GIS mapping; local level property gazetteer (LLPG); housing and employment land monitoring; Uniform planning system; Annual health profiles Symology Highways asset register (condition reports – incidence of flooding etc..); Council Tax and other benefits; births, marriages and deaths data.

Information held in these systems could be invaluable to other service areas and more creative means of achieving this while adhering to the Data Protection Act should be pursued.

The Council also has access to external systems that hold information on the borough and Council. These include: LG Inform and LGInform Plus, borough and ward based performance data; Cipfa stats: providing information on corporate and service specific financial and performance data, helping to assess the value for money; Office for National Statistics demographic data; Nomis (workforce data), DoH 'Finger tips' (public health outcomes framework); POPPI & PANSI (adult and older people projections).

7. The future:

7.1 Channel shift and Digital City revolution

It is recognised that a step change is required in the need for, and use of, intelligence about communities and people in Southend to enable better targeting and tailoring of Council services. This will be aided by the drive for the 'channel shift' of customers away from face to face and phone contact with the Council to 'self-serve', primarily through the My Southend, Citizens Account, so that by 2019/20, 90% of interactions with the council will be online. Currently enabling residents and businesses to manage their Council Tax, Business Rates account, housing benefit and Council Tax Reduction claims and landlord accounts on-line, MY Southend aims to expand its offer to most Council services, with 'place based' services such as waste collection, public protection, highways and parking due next.

In addition, the Council is embarking on an ambitious programme of introducing new digital infrastructure across the borough with pure fibre connection providing super-fast connectivity for Council buildings, schools, businesses and homes. The Council's Digital Strategy outlines how improved connectivity, offering Gigabit speed, will not only help to better drive Council services and reduce costs, but will also provide opportunities 'for energy saving, carbon reduction, citizen focus, innovation and sustainable growth' for its residents and businesses.

2016/17, will see the re-provision of the Council's core infrastructure (the 'Wider Area Network' and 'Local Area Network'), the deployment of wireless and small cell (3G and 4G) units across the borough. In addition to increased connectivity, this work will produce a revenue stream from street furniture leasing, integrating the deployment with the street light / column replacement programme including the use of the Central Management System (CMS) with the wider council infrastructure to provide the basis for a 'Smart City'. Sensors located in street furniture, including street light columns, will provide a wealth of information, particularly in relation to energy efficiency; CCTV (Intelligence Hub); noise detection; movement detection (providing footfall/traffic data); air pollution; independent living enablement and smart metering enablement.

7.2 Big Data

Councils are often said to be sitting on 'an untapped goldmine' of data which could offer valuable insight into understanding the needs of its residents by matching data sets across service areas. Joining up public sector data sources can make public services more efficient, save money, improve service outcomes, tackle crime (particularly identify fraud) and help public bodies better serve their citizens. Police forces are using data to undertake predictive modelling on how best to deploy resources, transport authorities use data to change driver behaviour and London and New York city governments have pioneered new approaches to

using data, including promoting fire prevention and recycling . UK Councils have used a big data platform notably to help tackle debt collection, illegal subletting and fraud, but the potential for extending its use is considerable and could, for example, include helping social workers make better decisions about when and how to intervene.

To make best use of the data requires systems that can talk to each other, the right skills and resources to undertake analysis and a framework for the Council to develop its approach. Local academic institutions, particularly the University of Essex and Anglia Ruskin University, are keen to engage with local authorities to undertake analysis of data and partnerships with these institutions and others could prove mutually very productive.

7.3 Open Data

A further route to help address these issues is to make more Council information and data freely available, with a view to reuse and redistribution. Such information would need to adhere to data protection requirements and making it available would require careful consideration of risks around data quality, potential for mis-use, along with any commercial and financial sensitivities. However, providing data for others, including academics, charities and public, may provide some interesting findings and new policy options that may not otherwise have been considered. This would mean going beyond the requirements of the Local Government Transparency Code.

7.4 Cyber Security

The risk of theft, damage to, or misuse of, hardware, software and the information on IT systems is growing year on year as criminals become more creative in ways to steal or cause harm. This risk will only grow as more business processes are hosted on a variety of platforms including smart, mobile devices, and a range of different networks. The Council has undertaken a review of the vulnerability of the Council to future cyber-attack and has a strategy in place to address this with identified action for the coming years.

8. EU General Data Protection Regulation (GDPR)

This GDPR, due to enforced from 2018, is the most significant change in data protection legislation in the past 20 years. It is designed to create a uniform approach to data protection across Europe while empowering citizens and enhancing economic growth by removing barriers that restrict data flows. However, it poses significant challenges to local authorities in meeting their desired information management needs

Key measures, which the Council will need to address include:
- Obligations on data controllers to demonstrate compliance, including requiring them to: maintain certain documentation; conduct DP impact assessments for more risky processing and implement data protection by design and default;
- Data subjects must freely give their consent to processing of their personal data. Consent for sensitive data must be 'explicit';
- Data Protection Authorities (the ICO in the UK) can impose fine of up to 4% of annual turnover;

- Abolition of the £10 data SAR fee is likely to see an increase in the number of SARs received by the Council and the timeline for processing a request will be a month rather than the current 40 days;
- Data controllers must notify most data breaches to the ICO 'without undue delay' and, where feasible, within 72 hours of awareness and, in some cases, the data controller must also notify the affected data subjects, without undue delay;
- Data processors will have direct obligations. This includes implementing technical and organisational measures and appointing a Data Protection Officer (DPO), with 'sufficient expert knowledge' and
- A 'right to be forgotten' where individuals can require the removal of their personal data without undue delay by the data controller in certain situations;

It should be noted that, in practice, a company outside the EU which is targeting consumers in the EU will also be subject to the GDPR.

In addition, issues relating to 'the EU-US Privacy Shield safe harbour', whereby a European citizen's personal data being processed by a US company on US-based computers is under the same protections as if it were still in Europe on a European-owned system, are still to be resolved.

The regulation will, therefore, require a review of the Council's current data protection policy and practice, particularly in relation to the area of data subject consent and content of existing privacy notices.

9. Governance arrangements

- The Corporate lead for Information Management will be provided by the Senior Information Risk Owner (SIRO), Corporate Director for Corporate Services.
- Co-ordination of the strategy and action plan will be provided by the Team Manager – Policy & Information Management, supported by the Data Governance Advisor – Policy, Engagement & Communication. This will include identifying any gaps and liaising with information management project leads.
- Monitoring of and refresh of the strategy and action plan will be overseen by the Information Management Group, whose membership will include: Corporate Director for Corporate Services; Head of Customer Services; Head of Legal and Democratic Services; Head of Children's Services; Team Manager, Policy & Information Management; Data Governance Advisor.
- Reports will be provided to Corporate Management Team and Good Governance Group as necessary and appropriate.

9.1 Role and responsibilities of the SIRO

The SIRO takes overall ownership of the Council's information management framework and has specific responsibility to:

- Ensure an effective Information Governance Framework is in place;
- Ensure compliance with regulatory, statutory and organisational information security policies and standards;
- Ensure that identified information threats and vulnerabilities are followed up for risk mitigation, and that perceived or actual information incidents are managed in accordance with Council's risk management framework;

- Act as the champion for information risk within the Council;
- Establish a reporting and learning culture to enable the Council to understand where issues exist and develop strategies, policies, procedures and awareness campaigns, to prevent problems occurring in the future;
- Ensure all staff are aware of the necessity for information assurance and of the risks affecting the Council's information;
- Ensure an annual SIRO report on Information Governance is presented to Members;
- Provide leadership for Information Asset Owners (IAOs) of the Council through effective networking, sharing of relevant experience, provision of training and creation of information risk reporting structures;
- Identify business critical information assets and set objectives, priorities and plans to maximise the use of information as a business asset;
- Establish and maintain an appropriate risk appetite with proportionate risk boundaries and tolerances for the use of Council information.

9.2 The Chief Privacy Officers

The Chief Privacy Officers (Data Controllers), the Head of Legal and Democratic and Head of Customer Services oversee all on-going activities related to the development, maintenance of, and adherence to the Data Protection Act 1998. This includes all policies and procedures related to the processing of, and access to personal data in compliance with the Data Protection Act 1998

9.3 Caldicot Guardians

The Head of Children's Services acts as the Council's Caldicot Guardians. [The 1997 Review of the Uses of Patient-Identifiable Information, Chaired by Fiona Caldicott set out six Caldicott Principles on information governance as well as requiring the appointment of Calicott Guardians].

9.4 Information Asset Owners

The Information Asset Register (IAR) is a mechanism for understanding and managing an organisation's information assets and the risks to them. It is a register of information or collection of information, held electronically or in hard copy.

Each asset should have an owner who is responsible for making sure the asset is meeting its requirements (the IAO), and that risks and opportunities are monitored. The Senior Information Risk Owner has overall responsibility for the IAR with Group Managers acting as Information Asset Owners

Addressing the issues outlined above will help increase the effectiveness of the organisation in making robust evidence based decisions and support the provision of information and data to our customers and partners.

Appendix 2 sets out the high level information management governance arrangements.

10. Areas identified for further development:

To help achieve the desired vision and meet the challenges outlined, areas for further work have been identified, including:

- Review and update the current suite of policies and procedures, many of which require review to ensure they are up to date and relevant to ever changing circumstances. In particular, the Council needs to ensure it has up to date policies and practice to withstand a cyber-attack and deal with 'disaster recovery'.

- Increasingly systems are hosted by third party organisations. Any data that is handled or processed on behalf of the Council by contracted third parties remains the responsibility of the Council. An on-going assessment of information security is, therefore, required to assess the adequacy of security controls for all applications/ systems/projects/services that host or process SBC data, prior to systems going live, after a major change or at regular intervals.

  It is essential, that where suppliers/contractors are handling personal information on behalf of the Council, the Council ensures the same standards in handling information as it has for itself. This includes ensuring all contracts include appropriate information security arrangements - with, for example, appropriate non-disclosure agreements, information security policies and relevant data protection clauses.

- Enhance the levels of understanding by staff of their requirements and the potential for the effective management of information so that security is at the heart of the day-to-day activities and aligned to the business objectives. This includes enhanced use of Privacy Impact Assessments for all projects involving the use of personal information.

- Continue the streamlining of ICT and remaining paper based records management systems, including reducing levels of information stored locally, on personal drives, which could otherwise create a barrier to sharing and collaborating.

- Encourage mechanisms for enabling greater awareness of the potential for the creative use of sharing of, information and data across the Council, with other organisations, including academic institutions and the wider public, including learning from best practice and further development of predictive modelling methodology.

These areas are addressed in Information Management Strategy action plan (Appendix 3), which will feed into and complement the Council's 'Do the Right Thing' programme of support and development for Council managers.
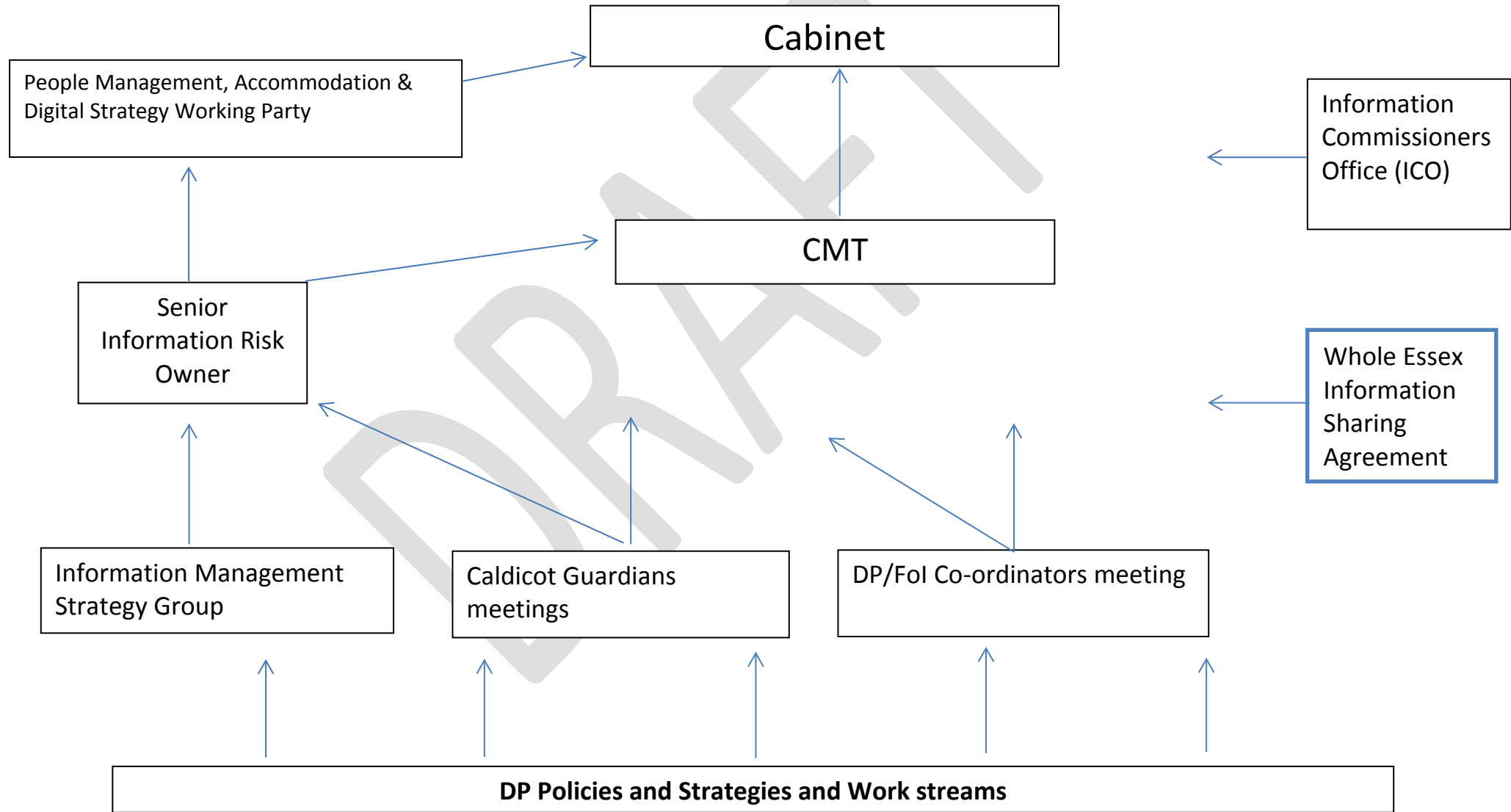
Appendix 1

Key Council Policies, Strategies and Procedures relating to information management

- The Digital Strategy, 2014-18 – 'A Digital Vision'

- Data Protection Policy

- Breach Management Policy

- Incident and breach management procedures

- The Council's Web strategy

- The Whole Essex Information Sharing Protocol

- Records Management Policy

- Document Retention and Disposal policy and Guidance

- ICT Security policy

- Disaster Recovery policy and process

- Home working and flexible working policies

- Confidential Waste Policy

- Information Asset Register

- Social Media Strategy

- Project management guidance

- Contract procedure rules and procurement guidance

- Joint Strategic Needs Assessment (JSNA)

- Business Continuity Plan/s

- Council's Publication Scheme

- Council's Freedom of Information policy and procedure

Southend Council Information Management Governance

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│           Cabinet               │
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People Management, Accommodation & Digital Strategy Working Party

Information Commissioners Office (ICO)

CMT

Senior Information Risk Owner

Whole Essex Information Sharing Agreement

Information Management Strategy Group

Caldicot Guardians meetings

DP/FoI Co-ordinators meeting

DP Policies and Strategies and Work streams

Information Management Strategy 2016 - Key actions: **Appendix 3**

No.	Action	Objective	Target Completion Date	Responsibility
1	Undertake preparatory work to implement the General Data Protection Regulation, to ensure the Council is appropriately prepared by 2018 (GDPR),	Ensure the Council is compliant with the regulation and is able to use it to best effect.	April 2018	Team Manager – Policy & Information Management
2	Data Protection (DP) – Ensure a comprehensive DP action plan is in place and is reviewed on a regular basis.	Ensure the current action plan is up to date and provides an overview of the actions required to be undertaken in relation to DP and security.	On-going	Team Manager – Policy & Information Management
3	Ensure all contract managers take data governance arrangements into account when letting contracts, with contracts explicitly addressing the data security and sharing issues required.	Ensure all third parties delivering services on behalf of the Council have appropriate information security and management arrangements in place. This is likely to require standard wording for contracts and implementation of Privacy Impact Assessments.	Dec 2016	Data Governance Advisor/ Group Manager Procurement
4	Raise the awareness for the requirement to undertake Privacy Impact Assessments (PIAs) and Data Protection by Design for all Council projects involving the holding of personal data.	Ensure all projects requiring the holding of personal information undertake a Privacy Impact Assessment. It is also good practice to adopt a Privacy by Design approach and to carry out a PIA as part of this. This encourages a data minimisation approach.	Mar 17 and on-going	Data Governance Advisor
5	Review, update and implement the Council's Document Retention and Disposal Policy	Ensure the Council is legally compliant and that data quality is as good as possible.	Sept 2016	Data Governance Advisor/ All service managers

18.5.16

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No.	Action	Objective	Target Completion Date	Responsibility
6	Ensure compliance with the Local Government Transparency Code	Ensure the Council is legally compliant and providing information in a way that can be used innovatively by others.	On-going	GM – Policy, Engagement & Communication
7	Creative use of information	Develop a framework for enabling the more creative use of Council information, including the Council's approach to 'Big Data' and enlisting the support of third parties, such as local universities, to help facilitate this.	March 2017	Information Management Group
8	Undertake a data mapping exercise to identify all personal / sensitive information transfers and update records, including Information Asset Registers to ensure additional or changed transfers are identified	Help to ensure there is a common understanding of what information is available across the organisation and, help protect information in transfer.	Sept 2016	Data Governance Advisor
8	Develop an updated communications plan for disseminating this strategy and data protection requirements generally across the Council.	Staff take responsibility for customers' information needs and security. They understand the broad possibilities in using information to add value and effectiveness to their service as well as the risks of not doing so.	On-going	Data Governance Advisor
9	Undertake regular data protection awareness raising and training for members.	Ensure members are aware of their legal obligations in appropriately holding and using personal data	On-going	Head of Legal & Democratic Services
10	Data Sharing – continue to promote appropriate data sharing with partner organisations in line with the Whole Essex Information Sharing Agreement	Enable effective sharing of information between partnership organisations and ensure the requirements in sharing information is made explicit	On-going	Group Manager – Policy, Engagement & Communication

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18.5.16

No.	Action	Objective	Target Completion Date	Responsibility
		managers responsibilities.		
11	ICT Security – Ensure a framework of ICT security policies and procedures are in place covering the governance of security of people, information, assets and systems. The framework is monitored, enforced, audited and reported to ...	Ensure the Council is able to resist a cyber-attack, minimise the risk of data breaches and ensure it is legally compliant	Mar 2017	Head of Customer Services/ Group Manager ICT
12	Cyber Security – Implement the Cyber Security action plan.	Put in place precautionary measures to prevent cyber security attacks on the Council and cyber fraud	Mar 2017 and on-going	Head of Customer Services/ Group Manager ICT
13	ICT Disaster Recovery – Implement the revised disaster recovery strategy, putting in place a hybrid cloud solution enabling active sharing of data with Thurrock Council	Ensure data can be used in the event of a catastrophic failure of the council's ICT systems.	Mar 2017 and on-going	Head of Customer Services/ Group Manager ICT
14	Complete the installation of the new Data Centre and the Civic Centre	Ensure data is stored securely and is capable of being recovered in the event of service interruption		Head of Customer Services
15	Digital Strategy - Implement the Council's Digital Strategy action plan	To provide the foundations for developing Southend as a Smart City, putting in place the required digital infrastructure to provide super-fast connectivity for residents, businesses and other stakeholders.	Mar 2017 and on-going	Head of Customer Services
16	Smart City – Develop the borough's Smart City strategy, building on the	To make Southend a place where the quality of life and local economy is improved, while reducing the	Mar 2017	Head of Customer Services

No.	Action	Objective	Target Completion Date	Responsibility
	Council's Digital Stratgy.	impact on the environment. Intelligence and insight are combined enabling services to be redesigned to meet a shared understanding of need. Citizens can take an active part in local decision making.	and on-going	
17	Continue the drive to remove or archive remaining paper information across Council offices.	Review current processes and change operational methods to help make remaining paper records appropriately digitised.	On-going	Corporate Director, Corporate Services
18	Ensure the Joint Strategic Needs Assessment is complete, updated regularly and available online.	Provide an evidence base for the current and future health and well-being needs of local people which will inform and guide the commissioning of health, well-being and social care services	On-going	Director of Public Health
19	IG Toolkit: Ensure recommendations from the IG Toolkit audit are implemented. Incl**.** Data mapping exercise to identify all Personal / Sensitive information transfers and update records to ensure additional or changed transfers are identified	Enables the Council to demonstrate that it is legally compliant and can be trusted to maintain the confidentiality and security of personal information. Enables the sharing of sensitive personal information, meaning the Council's public health and social care requirements, in particular, can be undertaken.	Mar 2017	Data Governance Advisor
20	Information Asset Register: ensure the register is maintained and up to date and available on the Council's intranet site	Provides a comprehensive list of information management systems and where the Council's data lives. It will also provide a basic form of classification for the data.	On-going	Data Governance Advisor
21	Further examine the intake of FoIs for recent years to identify common themes which could pre-empt further requests/ make responses easier	To reduce the number of FoIs received by the Council and make responses easier to deal with.	On-going	Senior Knowledge and Information Advisor

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18.5.16

No.	Action	Objective	Target Completion Date	Responsibility
22	Establish an information and data cross departmental officer community of practice	Help identify current data sources, improve the use of information and identify and disseminate good practice.	Sept 2016	Team Manager – Policy & Information Management
23	Review 'Section 29' requests	Ensure appropriate signposting of 'Section 29' requests made by the Police to ensure they are responded to promptly	Oct 2016	Caldicot Guardian & Data Governance Advisor

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Southend-on-Sea Borough Council

Report of Corporate Director for Corporate Services
to
Cabinet
on
28th June 2016

Agenda Item No.

9

Annual Treasury Management Report – 2015/16
Policy and Resources Scrutiny Committee
Executive Councillor: Councillor Moring
A Part 1 Public Agenda Item

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1. Purpose of Report

1.1 The Annual Treasury Management Report covers the treasury activity for the period from April 2015 to March 2016, and reviews performance against the Prudential Indicators for 2015/16.

2. Recommendation

That Cabinet;

2.1 **Approves the Annual Treasury Management Report for 2015/16 and the outturn Prudential Indicators for the period from April 2015 to March 2016.**

2.2 **Notes that the financing of capital expenditure of £37.850m has been funded in accordance with the schedule set out in Table 1 of section 4, with a reduced financing requirement of £1.287m.**

2.3 **Notes that Capital Financing and Treasury Management were carried out in accordance with statutory requirements, good practice and in compliance with the CIPFA (The Chartered Institute of Public Finance and Accountancy) Prudential Code during 2015/16.**

2.4 **Notes the following in respect of the return on investment and borrowing;**

- **The loan and investment portfolios were actively managed to minimise cost and maximise interest earned, whilst maintaining a low level of risk.**

- **£1.22m of interest was earned during the whole of 2015/16 at an average rate of 1.27%. This is 0.91% over the benchmark of the 7 day LIBID (London Interbank Bid Rate) and 0.77% over bank base rate.**

- **An average of £60.6m of investments were managed in-house. These earned £0.40m of interest during the year at an average rate of 0.65%. This is 0.29% over the average 7 day LIBID and 0.15% over the bank base rate.**

- **An average of £24.1m of investments were managed by our external fund manager. These earned £0.18m of interest during the year at an average rate of 0.76%. This is 0.40% over the average 7 day LIBID and 0.26% over bank base rate.**

- **An average of £10.7m was managed by two property fund managers. This earned £0.64m during the year from a combination of an increase in the value of the units and income distribution, giving a combined return of 5.95%.**

- **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) decreased from £237.8m to £227.8m (Housing Revenue Account (HRA): £78.0m, General Fund (GF): £149.8m) by the end of 2015/16.**

- **The level of financing for 'invest to save' schemes increased from £0.14m to £3.21m by the end of 2015/16.**

3. Background

3.1 The CIPFA Prudential Code requires the Council to set Prudential Indicators for its capital expenditure and treasury management activities and to report on them after the end of the financial year.

3.2 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 requires the reporting of treasury management activities to:

- Review actual activity for the preceding year (this report) ; and
- Forecast the likely activity for the forthcoming year (in the Treasury Management and Prudential Indicators Report in February).

3.3 The Prudential Code is the key element in the system of capital finance that was introduced from 1ˢᵗ April 2004 as set out in the Local Government Act 2003. The Code has been developed to support Local Authorities in taking capital investment decisions and to ensure that these decisions are supported by a framework which ensures prudence, affordability and sustainability.

3.4 To demonstrate compliance with these objectives of prudence, affordability and sustainability each local authority is required to produce a set of prudential indicators and to update these annually as part of setting the Council's budget.

4.   Prudential Indicators

4.1   Appendix A provides a schedule of the prudential indicators.

4.2   Capital Expenditure

The first of these is the amount of capital expenditure in the year on long term assets. The table below shows this and the ways it has been financed.

Table 1: Capital Expenditure and Financing

	2015/16 Revised Budget £000s	2015/16 Actual £000s	2015/16 Variance £000s
Total Capital Expenditure	39,137	37,850	(1,287)
Financed by:			
Borrowing – internal	10,122	10,201	79
Invest to Save Financing	2,254	2,350	96
Capital Receipts	291	441	150
Capital Grants Utilised	17,450	15,058	(2,392)
Major Repairs Reserve	7,494	7,021	(473)
Other Revenue/ Capital Reserve Contributions	855	1,210	355
Other Contributions	671	1,569	898
Total Financing	39,137	37,850	(1,287)

Under self-financing, there is currently an absolute cap on the amount that the Housing Revenue Account (HRA) can borrow, be it actual external borrowing or notional internal borrowing. For Southend that cap is £102.159m. As at 31 March 2016, actual borrowing by the HRA was £98.740m, comprising £78.011m external borrowing and £20.729m internal borrowing. This means that there is now only £3.419m "headroom" for new borrowing to finance capital spend within the HRA.

The HRA can also finance its capital spend from the major repairs reserve (which itself is generated from the depreciation charge to the HRA), from grants and directly from the HRA by way of revenue contributions to capital.

The available borrowing headroom is a permissory amount, and as such could be changed by Government regulation at a future date, whereas the Council has much more control over actual monetary amounts set aside for capital such as the major repairs reserve.

4.3   Capital Financing Requirement (CFR)

The Council's underlying need to borrow is called the Capital Financing Requirement (CFR). This figure is a measure of the Council's debt position and represents capital expenditure up to the end of 2015/16 which has not yet been charged to revenue. The process of charging the capital expenditure to revenue is a statutory requirement and is done by means of the Minimum Revenue Provision (MRP). The Council's CFR is shown in table 2 and is a key prudential indicator.

Table 2: Capital Financing Requirement (CFR)

	31st March 2016 Revised Budget £000s	31st March 2016 Actual £000s
Balance 1st April 2015	283,646	283,646
Plus: capital expenditure financed by borrowing (internal and invest to save financing)	12,376	12,551
Plus: fixed assets subject to finance leases	98	-
Less: Minimum Revenue Provision	(7,751)	(3,781)
Less: Capital Receipts used to repay borrowing	0	(3,900)
Balance 31st March 2016	288,369	288,516

The CFR is the Council's theoretical need to borrow but the Section 151 Officer can manage the Council's actual borrowing position by either borrowing to the CFR, choosing to use temporary cash flow funds instead of borrowing (internal borrowing) or borrowing for future increases in the CFR (borrowing in advance of need). The Section 151 Officer currently manages the Council's actual borrowing position in the second of the above CFR scenarios.

4.4   Treasury Position on Borrowing and Investments

The overall treasury position at 31 March 2016 compared with the previous year is set out in the table on the next page.

Table 3: Treasury Position

	31 March 2016 Revised Budget	31 March 2016 Actual	
	Principal £000s	Principal £000s	Average Rate (%)
Total Debt# (excluding ECC transferred debt)	255,554	246,028	4.46
Total Investments (including schools cash)	87,135	94,242	1.27
Net Borrowing	168,419	151,786	

This includes PWLB borrowing of £227.816m with the balance being invest to save financing, short term borrowing for cash flow purposes and finance leases (as these are credit arrangements).

In order to ensure that borrowing levels are prudent over the medium term, the Council's external borrowing, net of investments, must only be for a capital purpose. Net borrowing should not therefore, except in the short term, exceed the CFR for 2015/16 plus the expected changes to the CFR over 2016/17 and 2017/18. The table below shows that the Council has complied with this requirement.

Table 4: CFR compared to Net Borrowing Position

	31 March 2016 Revised Budget £000s	31 March 2016 Actual £000s
Net borrowing position	168,419	151,786
Estimated Capital Financing Requirement at 31 March 2018		324,503

4.5 Authorised Limit, Operational Boundary and Ratio of Financing Costs

In addition to ensuring that the net borrowing position is lower than the CFR, the Council is required to set gross borrowing limits. These are detailed on the next page with the actual positions during the year.

Table 5: Borrowing limits

	2015/16 (£000s)
Authorised Limit	270,000
Operational Boundary	260,000
Maximum gross borrowing position during the year	250,236
Financing costs as a proportion of net revenue stream	8.84%

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. The table above demonstrates that during 2015/16 the Council has maintained gross borrowing within its Authorised Limit.

The Operational Boundary is the expected borrowing position of the Council during the year, and periods where the actual position is either below or over the Boundary are acceptable subject to the Authorised Limit not being breached. The Council has maintained borrowing within the boundary throughout 2015/16.

The indicator "financing costs as a proportion of net revenue stream" identifies the cost of capital (borrowing costs net of investment income) as a proportion of the Council's total budget. For the General Fund the actual figure in 2015/16 was 8.84%.

4.6   Incremental impact of capital investment decisions

This indicator identifies the budgetary requirements arising from the proposed changes to the capital programme and calculates the impact on the Band D council tax that would result. The actual figure in 2015/16 was +£1.02 and results from the required financing of the approved capital programme.

4.7   Maturity structure of fixed rate borrowing (against maximum position)

The table on the next page shows the upper limits for which the Council delegates its length of borrowing decisions to the Head of Finance and Resources/Section 151 Officer in 2015/16 and the actual maturity structure of the fixed rate borrowing as at 31st March 2016.

Table 6: Maturity Structure of Fixed Rate Borrowing

	Upper limit %	Outstanding fixed rate debt maturity at 31st March 2016 %
Under 12 months	20	-
12 months and within 24 months	30	-
24 months and within 5 years	40	3
5 years and within 10 years	60	5
10 years and within 20 years	100	56
20 years and within 30 years	100	22
30 years and above	80	14

The percentages in each category for the upper limits do not add up to 100% as they do not represent an actual allocation.

5. Treasury Management Strategy

5.1 During 2015/16 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.

5.2 The Council is aware of the risks of passive management of the treasury portfolio and has taken steps to improve the proactive management of the debt and investments over the year with the support of its treasury management advisers.

5.3 Shorter-term variable rates and likely future movements in these rates predominantly determine the Council's in-house investment return. These returns can therefore be volatile and, whilst the risk of loss of principal is minimised through the annual investment strategy, accurately forecasting future returns can be difficult.

5.4 UK interest rates continued to be low throughout 2015/16. The base rate stayed at its historically low rate of 0.5% throughout the year. With on-going concerns over counterparty risk since the banking crisis and the uncertainty in the financial markets about the timing of future rises in interest rates, investments have been mainly placed in instant access accounts or at 100 days' notice at most. However, as part of the active management of the portfolio and in line with our investment strategy, monies were also placed in a 9 month fixed term deposit.

5.5 Long term interest rates from the Public Works Loans Board (PWLB) fluctuated throughout 2015/16 in response to economic events: 10 year PWLB rates between 2.15% and 3.10%; 25 year PWLB rates between 2.98% and 3.67% and 50 year PWLB rates between 2.81% and 3.58%. These rates are after the PWLB 'certainty rate' discount of 0.20%.

5.6 Revisions to the 2015/16 Annual Investment Strategy were approved at the Cabinet meeting of 23 June 2015 and are outlined below:

- A counterparty will be considered for investment if it meets the ratings criteria of at least one of the ratings agencies rather than the lowest rating of all three agencies being taken;

- The credit ratings matrix was amended in light of the regulatory changes;

- With the Lloyds Banking Group no longer considered as part nationalised for the purposes of the credit ratings matrix and as no material changes are expected to the level of Government ownership of the Royal Bank of Scotland Group for some time, the maximum length of investment for part nationalised banks was set at two years.

The revisions were discussed with our Treasury Management advisers to ensure that the strategy remains a workable and practical document.

5.7 Revisions to the 2015/16 Minimum Revenue Provision (MRP) Policy were approved at the Cabinet meeting of 15 March 2016 and are outlined below:

- to set out that under the regulations capital receipts may be used to repay the principal of any amount borrowed and that if capital receipts are utilised to repay debt in year, the value of MRP chargeable will be reduced by the value of the receipts utilised;

- to set out that the Department of Communities and Local Government (DCLG) guidance specifies that MRP would not have to be charged until an asset came into service and would begin in the financial year following the one in which the asset became operational.

6. Borrowing

PWLB and short term borrowing

6.1 The table below summarises the PWLB borrowing activities during the financial year 2015/16:

Table 7: PWLB borrowing

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 2015	237.8	0	0	(0)	237.8
July to September 2015	237.8	0	0	(0)	237.8
October to December 2015	237.8	0	0	(10)	227.8
January to March 2016	227.8	0	0	(0)	227.8

All PWLB debt held is repayable on maturity. No new PWLB loans were taken out during the year.

6.2 The Council's outstanding PWLB borrowing as at 31st March 2016 was:

- Southend-on-Sea Borough Council £227.816m[*]
- ECC transferred debt £13.145m

[*] £149.8m General Fund and £78.0m Housing Revenue Account.

6.3 Repayments in 2015/16 were:

- Southend-on-Sea Borough Council £10.0m
- ECC transferred debt £0.66m

6.4 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.

6.5   The table below summarises our PWLB borrowing position as at the end of 2015/16:

Table 8: Debt position

	31 March 2016		31 March 2015	
	Principal (£000s)	Average Rate (%)	Principal (£000s)	Average Rate (%)
-PWLB – Fixed	227.816*	4.56	237,816	4.53
-ECC Transferred Debt	13,145	2.50	13,807	2.48

* £149.8m General Fund and £78.0m Housing Revenue Account.

6.6   Some of the Council's borrowings are at a higher interest rate than the current rate of borrowing. To redeem these loans before their maturity date (i.e. to redeem them early) the Council would be required to pay a premium (this is like paying to redeem a mortgage early except the amount of the penalty depends on the prevailing rate of interest). New loans could then be taken out at the current rate.

6.7   In November 2007 the PWLB changed its structure of interest rates so that any early repayment of PWLB debt has a higher repayment rate applied. Then in October 2010, as part of the Spending Review interest rates for PWLB borrowing were increased by 1%. No PWLB restructuring was carried out in 2015/16 due to the higher cost of PWLB repayments making it uneconomical and giving no benefit to the Council.

6.8   On 1st November 2012 HM Treasury implemented a 'certainty rate' at a discount on that level of 0.2% on loans for those local authorities providing improved information and transparency on their locally-determined long-term borrowing and associated capital spending plans. This Council provided the necessary information again in 2015/16 and was therefore eligible for this 'certainty rate'.

6.9   The total interest payments during the year were £10.6m, compared to the original budget of £11.0m. The original budget assumed that the Council would take out £21m of loans during 2015/16. Instead no new loans were taken out by the Section 151 Officer during 2015/16 as there was a greater financial advantage for the Council to use internal rather than external borrowing. This therefore led to the underspend on the interest payments against the original budget.

6.10   In line with the revised MRP policy for 2015/16 (paragraph 5.7) the Section 151 Officer as part of closing the 2015/16 accounts used £3.9m of General Fund capital receipts towards the repayment of a PWLB loan that matured in October 2015. This meant that the value of MRP charged was reduced by this amount and the resulting underspend against budget has enabled a contribution to earmarked reserves for the financing of some future capital schemes and other business transformation activity.

6.11 In addition, short term borrowing was undertaken during the 2015/16 financial year for cash flow purposes. The average rate paid in 2015/16 was 1.04% and the details of the loans are shown in the table below:

Table 9: Short term borrowing

Counterparty	Amount of loan (£m)	Period of loan (days)	Return date
Buckinghamshire County Council	4.5m	730	31/03/2016
Derbyshire County Council #	5.0m	123	18/04/2016
Derbyshire County Council #	3.0m	92	15/06/2016
East Renfrewshire Council #	2.0m	92	15/06/2016
Surrey County Council #	5.0m	31	15/04/2016

These loans spread over financial years 2015/16 to 2016/17.

6.12 The Council undertakes benchmarking with other Local Authorities as part of the CIPFA benchmarking club for Treasury Management. Each year we benchmark our performance against other club members across England and Wales. For 2015/16, the draft report shows that the level of our total borrowing was around the average of the comparator authorities.

Funding for Invest to Save Schemes

6.13 During last year 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 as a minimum the financing costs of the project.

6.14 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 the year.

6.15 At the meeting of Cabinet on 23rd 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 31 March 2016 was £3.09m. There were no repayments during the year.

7. Investments

7.1 The table below summarises the Council's investment position at the end of 2015/16:

Table 10: Investment position

	31 March 2016	2015/16		31 March 2015	2014/15	
	Principal (£000s)	Average Balance	Average Rate (%)	Principal (£000s)	Average Balance	Average Rate (%)
Notice accounts	10,000	12,379	0.72	10,000	16,412	0.63
Fixed term deposits	5,000	2,903	0.88	0	0	0
Call accounts #	7,315	7,955	0.64	8,037	21,445	0.50
Money Market Funds	24,000	37,410	0.60	33,000	32,091	0.55
Total investments managed in-house	**46,315**	**60,647**	**0.65**	**51,037**	**69,948**	**0.56**
Investments managed by fund manager	22,541	24,120	0.76	24,858	24,760	0.87
Property Funds	12,712	10,708	5.95	0	0	0
Total investments@	**81,568**	**95,475**	**1.27**	**75,895**	**94,708**	**0.64**

This includes the council's main current account.
@ This excludes the cash held by schools.

7.2 The actual rate on investments earned in 2015/16 was 1.27% compared to a forecast of 0.88% which was included in the budget. This forecast was based on the best estimates of future interest rates at the time the budget was set and excluded property fund investment.

7.3 The Council earned a total of £1.217m of interest through the investment of surplus funds both in-house and with the fund managers. The interest earned was £0.652m higher than the budgeted figure of £0.565m. This increased level of interest was due to achieving a higher than forecast interest rate due to the property funds and the average balance of cash was £95m which was higher than the budgeted figure of £64m. These forecasts were based on the best estimates at the time the budget was set.

7.4   The Council's investment policy is governed by the CIPFA Code of Practice for Treasury Management in the Public Sector, which has been implemented in the Annual Investment Strategy approved by the Council on 26 February 2015. The investment activity during the year conformed to the approved strategy, and the Council had no liquidity difficulties.

7.5   The majority of the cash balances held by the Council are required to meet short term cash flow requirements and therefore throughout the year monies were placed 65 times for periods of one year or less. In the light of the banking crisis and the prevailing financial market conditions there has been greater emphasis on counterparty risk and the security of the principal sums invested. The table below 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 11: Counterparties used

Counterparty	Country	No. of Deals	Value of Deals (£m)
Blackrock	Money Market Fund (Various Counterparties)	25	111
Goldman Sachs	Money Market Fund (Various Counterparties)	20	89
Ignis Liquidity Fund plc*	Money Market Fund (Various Counterparties)	13	63
Insight Investment	Money Market Fund (Various Counterparties)	5	12
Santander UK Plc	UK Bank	1	5
Goldman Sachs International Bank (Fixed Term Deposit)	UK Bank	1	5
Total		**65**	**285**

7.6   In addition to the above, use was also made of call accounts during the year, because they provide instant access to funds while paying base rate or better. This meant that funds were available for unexpected cash flow events to avoid having to pay higher rates to borrow from the market. During 2015/16 an average of £7.9m was held in such accounts.

7.7   The performance during the year is compared to the average 7 day LIBID rate. The graph on the next page shows the Council's performance month by month compared to this benchmark and the bank base rate.

Graph1: Investment performance compared to benchmarks

Average interest rate earned on investments compared with benchmarks in 2015/16

- Average Rate of interest earned in the period
- Average 7 day LIBID rate in the period
- Bank of England Base Rate as at end of Period
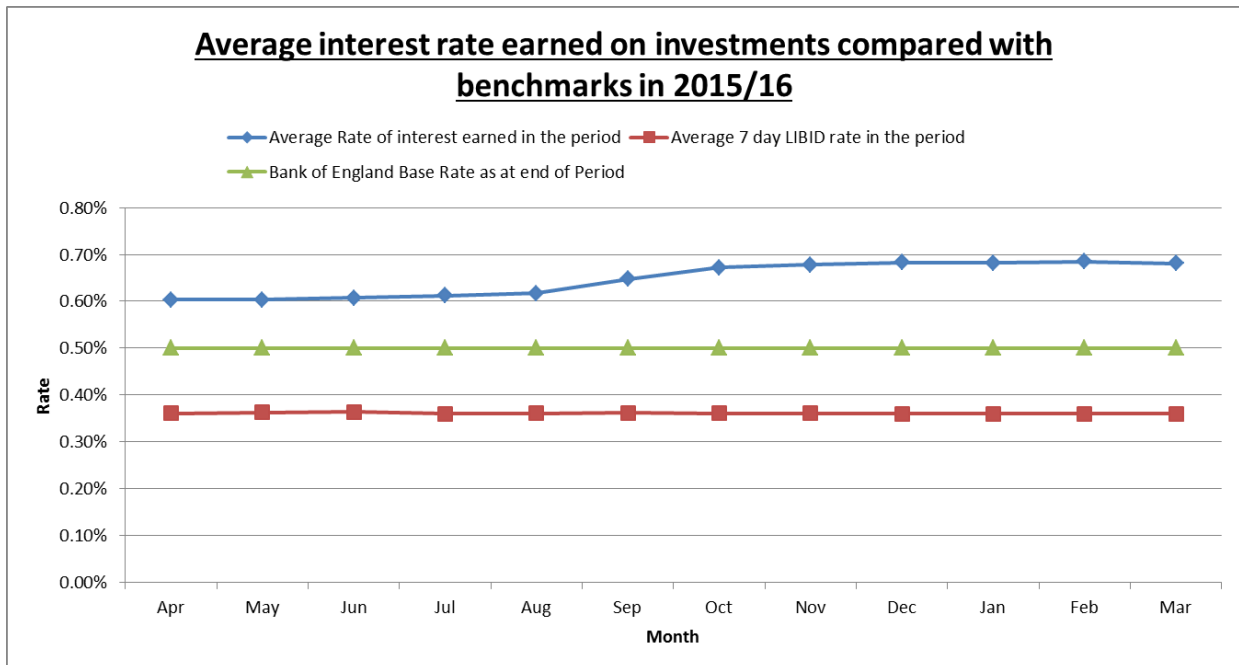
7.8   Overall, performance on in-house managed funds was 0.29% over the average 7 day LIBID rate for the year and averaged 0.15% higher than the base rate for the year.

7.9   An average of £24.1m of investments were managed by fund managers. These earned £0.18m of interest during the year at an average rate of 0.76%. This is 0.40% over the average 7 day LIBID and 0.26% over bank base rate.

8   Property Funds

8.1   Following a tender exercise, two property funds were chosen for the investment of long term funds: Rockspring Property Investment Management Limited and Lothbury Investment Management Limited.

8.2   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.

8.3 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.

8.4 An average of £5.9m was managed by Rockspring Property Investment Management Limited. During the year the value of the fund started at zero but increased by £7.476m due to the initial purchase of units in April 2015 plus the value of new additional units purchased after fees and by £0.025m due to the increase in the unit value. There was also an income distribution relating to that year of £0.314m.

8.5 The Rockspring fund earned £0.339m during the year from a combination of the increase in the value of the units and the income distribution, giving a combined return of 5.76%. The fund started the year at nil and therefore increased in total value to £7.815m by the end of the year.

8.6 An average of £4.8m was managed by Lothbury Property Investment Management Limited. During the year the value of the fund started at zero but increased by £4.751m due to the initial purchase of units in October 2015 and by £0.068m due to the increase in the unit value. There was also an income distribution relating to that year of £0.077m.

8.7 The Lothbury fund earned £0.145m during the year from a combination of the increase in the value of the units and the income distribution, giving a combined return of 6.20%. The fund started the year at nil and therefore increased in total value to £4.896m by the end of the year.

9. Corporate Implications

9.1 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.

9.2 Financial Implications

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

9.3 Legal Implications

Compliance with the CIPFA Prudential Code is a statutory requirement.

9.4   People Implications

None.

9.5   Property Implications

None.

9.6   Consultation

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

9.7   Equalities Impact Assessment

None.

9.8   Risk Assessment

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

9.9   Value for Money

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

9.10   Community Safety Implications

None.

9.11   Environmental Impact

None.

10.   Background Papers

None.

11.   Appendices

Appendix A - Prudential Indicators 2015/16

Prudential Indicators 2015/16

	Figures are for the financial year unless otherwise titled in italics	2015/16 Revised Indicator	2015/16 Actual
1	Capital Expenditure	£39.137m	£37.850m
2	Capital Financing Requirement (CFR)	£288.369m	£288.516m
3	Treasury Position at 31 March Borrowing Investments Net Borrowing	£255.554m £87.135m £168.419m	£246.028m £94.242m £151.786m
4	Authorised Limit *(against maximum position)*	£270.000m	£270.000m
5	Operational Boundary	£260.000m	£260.000m
6	Ratio of financing costs to net revenue stream	12.00%	8.84%
7	Incremental impact of capital investment decisions on the Band D council tax	+£1.01	+£1.02
8	Maturity structure of fixed rate borrowing: *(against maximum position)*		
	Under 12 months	20%	0%
	12 months to 2 years	30%	0%
	2 years to 5 years	40%	3%
	5 years to 10 years	60%	5%
	10 years to 20 years	100%	56%
	20 years to 30 years	100%	22%
	30 years and above	80%	14%
	Total	N/A	100%

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Southend-on-Sea Borough Council

Report of Corporate Director for Corporate Services

To

Cabinet

on

28th June 2016

Report prepared by: Christine Lynch
Revenues Group Manager

Debt Management - Position to 31st March 2016

Policy and Resources Scrutiny Committee
Executive Councillor: Councillor Moring

A Part 1 Public Agenda Item

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1.   Purpose of Report

1.1   The purpose of this report is to apprise Cabinet of the following:

- the current position of outstanding debt to the Council as at 31st March 2016
- debts that have been written off or are recommended for write off in the current financial year;
- Obtain approval for the write off of irrecoverable debts that are over £25,000.

2.   Recommendation

2.1   That Cabinet notes the current outstanding debt position as at 31st March 2016 and the position of debts written off to 31st March 2016 as set out in Appendices A & B.

2.2   That Cabinet approves the write-off as set out in Appendix B.

3.   Background

3.1   It was agreed by Cabinet on 19th March 2013, following a report of debts over £25k to be written off, that the Head of Finance and Resources would submit a report on a regular basis to Cabinet on all aspects of the Council's outstanding debt, along with the required write off position. This is the final report for the financial year 2015/16.

3.2   Southend-on-Sea is made up of a number of service areas responsible for the collection and administration of outstanding debt. The main areas are Accounts Receivable and Revenues which are linked to the billing and collection of the vast majority of debts that fall due to be paid to the Council for chargeable services, such as social care (see 4.5) and statutory levies such as Council tax and Non Domestic Rates (Business Rates).

However, there are other areas of debt that are included in this report, namely recovery of Housing Benefit Overpayments, Parking and Enforcement penalties and library fines. In addition, there are also debts for the Housing Revenue Account for rent arrears and service charges.

3.3   The process and legislative framework for the collection and write off of debt were detailed in the report to Cabinet on 17th September 2013. However, it is worth noting that the Council has a good success rate in collection of debt, and the collection targets are agreed annually and monitored regularly as part of the Councils service planning process.

3.4   Debts are only considered for write off where all other courses of recovery available have been undertaken or explored and the debt is considered irrecoverable.

4.   Councils Debt Types

4.1   Council Tax

£78.3 million of Council tax was due to be collected in 2015/16, and the Council set a collection rate of 97%.

97.2% of the Council Tax due was collected in year, which was 0.2% above the target set.

In 2014/15 96.8% of the Council Tax due was collected, and as normal collection continues for the outstanding arrears for that year and for previous years. The chart below shows the actual in year collection rate over the past 4 years, and the collection rate of each year's charge to date, including debts that have been written off.

	Council Tax Performance	
	As at 31st March of relevant year	As at 31st March 2016
1st April 2011 - 31st March 2012	98%	99.5%
1st April 2012 - 31st March 2013	97.9%	99.4%
1st April 2013 - 31st March 2014	97.1%	98.9%
1st April 2014 - 31st March 2015	96.8%	98.5%

4.2   Non Domestic Rates (Business Rates)

The Council was due to collect approximately £47.6m of Business Rates in 2015/16 and set a collection target of 97.6% in year.

The Council achieved an overall collection of 97.8%, which was also 0.2% above target and collection is continuing for outstanding arrears for previous financial years.

The chart below shows the actual in year collection rate over the past 4 years, and the collection rate of each year's charge to date, including debts that have already been written off.

	Non-Domestic Rates Performance	
	As at 31st March of relevant year	As at 31st March 2016
1st April 2011 - 31st March 2012	97.7%	98.4%
1st April 2012 - 31st March 2013	96.5%	98.3%
1st April 2013 - 31st March 2014	97.5%	98.4%
1st April 2014 - 31st March 2015	97.6%	98.7%

4.3   Housing Benefit Overpayment

This is any entitlement to a rent allowance or rent rebate that a person has received but is not entitled to. Most commonly this accumulates when there is a change to a person's circumstance and they fail to notify us in good time. The overpayment will be invoiced unless they are in receipt of Housing Benefit in which case their benefit entitlement is reduced to enable recovery of the overpayment.

4.4   Libraries

Library debt is made up of overdue fines and replacing lost or non-returned books.

4.5   Department for People - Adult Services (formerly Social care)

Adult Services make charges for the following services;

- Contributions to residential accommodation
- Charges for non-residential services i.e. Home Care, Community Support, Day Services and transport to services
- Charges to other local authorities
- Charges to Health Authority

4.6   Parking

The recovery of unpaid Penalty Charge Notices is undertaken by semi-judicial process under the current Traffic Management Act 2004.

From 1st April 2015 to 31st March 2016 a total of 43,985 Penalty Charge Notices were issued identifying a projected income of £2.266million. It should be noted that Penalty Charge Notices are issued at a higher rate and lower rate (£70.00 and £50.00 respectively) depending on the seriousness of the parking contravention. Penalty Charge Notices may be paid at a discounted rate of 50% of the charge if paid within 14 days of the date of issue.

This value is continuously being amended as payments are received and it should be recognized that payments made at the 50% discount amount will reduce the projected income level. Generally, 75% of paid PCN's are paid at the discounted payment. The value of cancelled notices is £141,868 and cases written off where no keeper has been identified totals £86,452.

4.7   Miscellaneous Income

This will include a range of services that the Council will charge for including such areas as rental income on commercial properties, recharges to other bodies for services we have provided, and recovering overpaid salaries from staff that have left.

It is important to note that collection can vary month by month depending on the value of invoices raised as a reasonable period needs to be allowed for payment to be made.

4.8   Housing

Under the management of South Essex Homes there are the arrears of outstanding debt of Rent and Service Charges. The cost of any write-offs for this category of debt is specifically charged to the Housing Revenue Account and not to Council Tax Payers.

5.   Write-Off Levels

5.1   Write off approval levels currently in place are shown in the tables below, which are in accordance with the Financial Procedure rules set out in the Constitution and the corporate debt recovery policy.

Debt Type: Council Tax/ Accounts Receivable/Adult Care/ Housing and Council Tax Benefit

Designation	Amount
Assistant Manager/Manager	under £5,000
Head of Service	Between £5,000 and £25,000
Cabinet	£25,000 and above

Debt Type: NNDR (Non Domestic Rates)

Designation	Amount
Assistant Manager	under £5,000
Manager	Between £5,000 and £10,000
Head of Service	Between £10,000 and £25,000
Cabinet	£25,000 and above

Debt Type: Parking

Designation	Amount
Notice Processing Officer & Section Leader.	under £5,000
Section Leader	Between £5,000 and £10,000
Group Manager	Between £10,000 and £25,000
Cabinet	£25,000 and above

Debt Type: Housing Rents and Service Charges

South Essex Homes, as managing agent, submit proposed write-offs to the Council, following which the following approval levels are exercised.

Designation	Amount
Head of Service (Finance & Housing)	Under £25,000
Cabinet	£25,000 and above

6.   Council Debt Position (as at 31/3/16)

Appendices A and B show the current debt position within each debt area, and the amount that has been written off so far in the current year.

For Council tax and Non Domestic rates there is a net collectable debt at the beginning of the year. Although this can change depending on changes to liability or property being removed or introduced to the lists, it is fairly consistent.

However, other service areas may see greater fluctuations as new debts are created during the financial year.

7. Other Options

This is a report notifying members of the current position of the Council's debt and related write offs, and therefore there are no other options.

8. Reasons for Recommendations

- All reasonable steps to recover the debt have been taken, and therefore where write off is recommended it is the only course of action available.
- If the Council wishes to pursue debts for bankruptcy proceeding, it will follow the agreed and published recovery policy that covers this.

9. Corporate Implications

9.1 Contribution to Council's Vision & Corporate Priorities

Efficient write off of bad and irrecoverable debts, where appropriate, is good financial practice and reduces the bad debt provision and financial impact in the Authority's accounts.

9.2 Financial Implications

- Debts that are written off will have been provided for within the Councils bad debt provision and as such there should be no specific financial implications. However it is possible that unforeseen and unplanned additional write offs occur, which lead to the value of debts written off in any year exceeding the bad debt provision.

  Where this is likely to happen, this report will act as an early warning system and will enable additional control measures to be agreed and taken to either bring the situation back under control, or to make appropriate adjustments to the bad debt provision.

- Relevant service areas have to bear the cost of debts that are written off within their budget.

9.3 Legal Implications

If there are debts to be written off that exceed the level at which officers have delegated powers to deal with the matter, authorisation is required from the Cabinet.

9.4 People Implications

The people implications have been considered and there are none relevant to this report

9.5   Property Implications

The property implications have been considered and there are none relevant to this report

9.6   Consultation

Consultation is not required for write off of debt

9.7   Equalities and Diversity Implications

Each write-off is considered on an individual basis, there is no equalities and diversity implication to consider

9.8   Risk Assessment

There is a financial implication to the bad debt provision if write offs are not dealt with within the current financial year

9.9   Value for Money

It is a matter of good financial practice and good debt management to report value of debt and write off regularly.

9.10   Community Safety Implications

There are no Community Safety Implications

9.11   Environmental Impact

There is no environmental impact

10.   Background Papers

Full details of recovery action against each recommended write-off are held within the services computer systems.

11.   Appendices

Appendix A   Summary of Outstanding debt
Appendix B   Summary of Write offs

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Summary of Outstanding Debt

Outstanding Debt pre 1st April 2015 (arrears)

Debt pre 1/4/15	Council Tax (a) £'000	Business Rates (a) £'000	Housing Benefit Overpayments (b) £'000	Adult Services £'000	Miscellaneous Income £'000	HRA (Care Line/Service Charges) £'000	Parking (c) £'000	Libraries (d) £'000	HRA Current Tenants (e) £'000	HRA Former Tenants (e) £'000
Net Collectable Debt	6,158	2,065	5,500	5,410	3,197	105	8,598			357
Amount Paid @ 31.03.16	2,420	816	3,436	3,082	2,217	69	7,344	382		38
Total Outstanding	**3,738**	**1,249**	**3,128**	**2,328**	**980**	**36**	**1,254**	**n/a**	**n/a**	**168**
Number of Accounts	10,263	242	1,886	1,037	737	89	n/a			136

Current Year Debt (Debt position in respect of 2015/16)

Debt post 1/4/15	Council Tax (a) £'000	Business Rates (a) £'000	Housing Benefit Overpayments (b) £'000	Adult Services £'000	Miscellaneous Income £'000	HRA (Care Line/Service Charges) £'000	Parking (c) £'000	Libraries (d) £'000	HRA Current Tenants (e) £'000	HRA Former Tenants (e) £'000
Net Collectable Debt at 31.03.16	78,316	47,581	4,608	12,586	28,275	3,653	1,672		32,799	187
Amount Paid @31.03.16	76,146	46,555	3,436	9,885	26,227	3,630	1,162	280	32,749	29
Total Outstanding	**2,170**	**1,026**	**3,032**	**2,701**	**2,048**	**23**	**510**	**n/a**	**450**	**166**
Number of Accounts	9,510	410	2,805	1,580	1,239	107	n/a		1,589	159

NOTES

(a) Council Tax and Business Rates includes adjustments for write offs, credits and outstanding court costs.

(b) HB Overpayment is not attributable to a financial year in the same way that Council Tax or NDR are i.e. a yearly debit is not raised. It is also not feasible to state when a payment is made which age of debt it has been paid against. For these reasons the outstanding amounts in the report reflect the actual outstanding debt at the date requested, it does not reflect the outstanding debt against current year and previous year debts.

(c) Parking total outstanding is net of PCNs cancelled and written off.

(d) The figure of £382k relates to total payments received since January 2005 until 31/03/2015, and the figure of £280k relates to payments received from 01/04/2015 to 31/03/2016.

(e) HRA tenancy debts (residential rent accounts) are rolling amounts, with no breaks in years or rollovers. Any cash received is applied to the oldest rent week outstanding. The figures shown are total arrears outstanding, and therefore include arrears still outstanding from prior years.

Summary of Write Off's

Debts written off in 2015/16
1 April 2015 - 31 March 2016 relating to any year

Write Offs	Council Tax £	Business Rates £	Housing Benefit Overpayment £	Adult Services £	Miscellaneous Income £	HRA (Care Line/Service Charges) £	Parking £	Libraries £	HRA Tenants £
Under £5k	328,786	127,155	31,9695	71,452	69,650	1,769	230,143	21,640	124,338
£5k-£25k	0	153,363	167,113	22,017	0	0	0		11,130
Over £25k	0	347,250	0	0	0	0	0		0
Total	**328,786**	**627,768**	**486,808**	**93,469**	**69,650**	**1,769**	**230,143**	**21,640**	**135,468**

Write offs greater than £25,000 for Cabinet approval

Amount of Write off £	Reason for Write Off	Debt Area
27,159.70	Claimant was made bankrupt on 5th April 2016. All debts included in the bankruptcy included this Housing Benefit Overpayment (OP). The OP was created after a joint investigation with the DWP and the claimant not prosecuted for fraud and therefore the OP is included in the Bankruptcy Order.	Housing Benefit Overpayment

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Southend-on-Sea Borough Council

Report of Corporate Director for Corporate Services
to

Cabinet

on
28th June 2016

Report prepared by: Joe Chesterton
Head of Finance and Resources

Provisional Capital Outturn 2015/16
Policy and Resources Scrutiny Committee
Executive Councillor: Councillor Lamb
A Part 1 Public Agenda Item

1. **Purpose of Report**

1.1 To inform members of the capital programme outturn for 2015/16 and to seek approval for the relevant budget carry forwards and accelerated delivery requests.

1.2 To also seek approval for in year amendments for the current approved programme.

2. **Recommendations**

That Cabinet:

2.1 **Note that the expenditure on the capital programme for 2015/16 totalled £37.850m against a budget of £39.137m, a delivery of 96.7% (sections 3.4 and 3.5).**

2.2 **Approve the relevant budget carry forwards and accelerated delivery requests totalling a net £1.411m as set out in Appendices 1 and 2.**

2.3 **Note the virements, reprofiles and amendments and new external funding for schemes, as detailed in Appendices 3, 4 and 5.**

2.4 **Approve the relevant changes to the budget identified since the approved capital programme was set at Council on 25th February 2016, as detailed in Appendix 6.**

2.5 **Note that the above changes will result in an amended Capital Programme of £191.656m for the period 2016/17 to 2019/20, as detailed in Appendix 7.**

3. Background

3.1. Throughout the 2015/16 financial year the capital programme has been subjected to robust monitoring to ensure delivery and alignment with corporate priorities. As a result of this monitoring, revisions were made during the year to the capital programme budgets with the agreement of Cabinet. The last revision was made in February 2016 and approved by Council on 25th February 2016.

3.2. In addition to the approved capital programme for 2015/16, there were carry forwards from the previous year's programme for schemes nearing completion but not yet finished. As a result of these changes and other amendments agreed during the year by Cabinet the revised Capital Programme differs from the one originally agreed in February 2015 as part of the 2015/16 budget process.

3.3. The changes are summarised in the table below.

	£'000
Original Budget February 2015 Council	**53,505**
June Cabinet adjustment of carry forwards from 2014/15	7,587
Accelerated Delivery of 2015/16 schemes	(582)
Re-profiles, New External funding and other adjustments agreed at 23rd June Cabinet	1,265
Capital schemes approved at 22 September Cabinet	1,482
Re-profiles, New External funding and other adjustments agreed at 10th November Cabinet	(13,518)
Re-profiles and amendments agreed at 11th February Cabinet	(10,757)
New external funding agreed at 11th February Cabinet	155
Revised Capital Programme – 25th February 2016 Council	**39,137**

Brackets indicate a reduction in budget

3.4. Best practice and normal accounting convention requires that the approved Capital Programme includes budgets for all potential capital expenditure. Therefore the Capital Programme contains budgets for schemes such as Section 106 funding where expenditure is contingent on a condition being met, grants that are paid to the Council in full are drawn down over a period of time and schemes managed in partnership or by other bodies, e.g. schools. The summary on the next page shows the actual spend against budget for the different types of schemes.

	Revised Budget £000	Actual £000	Variance £000	% Spent
Adult Social Care	268	274	6	102.2
General Fund Housing	1,207	1,260	53	104.4
Schools Capital Schemes	9,158	9,131	(27)	99.7
Culture	2,908	2,992	84	102.9
Highways and Transport	8,379	8,683	304	103.6
Enterprise, Tourism & Regeneration	625	1,193	568	190.9
Public Protection and Waste	2,171	2,188	17	100.8
Energy Saving Projects	1,493	1,063	(430)	71.2
Section 106 / Section 38	225	278	53	123.6
Works to Property	1,910	1,604	(306)	84.0
ICT Schemes	2,714	1,218	(1,496)	44.9
Other Corporate Services	234	152	(82)	65.0
HRA Capital Schemes	7,845	7,814	(31)	99.6
Total	**39,137**	**37,850**	**(1,287)**	**96.7**

Brackets indicate an underspend against budget

3.5.   The outturn for 2015/16 shows a final spend position of £37.850m against a revised budget of £39.137m, which is an 96.7% outturn position.

3.6.   The key variances in the table in paragraph 3.4 are as follows:

Highways and Transport – the LED street lighting project is progressing ahead of schedule. Net budget carry forward, accelerated delivery requests and other budget adjustment for highways and transport of £307k have been put forward as part of this report;

Enterprise, Tourism & Regeneration – the lagoon element of the Coastal Communities Fund works have progressed ahead of schedule to enable a summer opening and there has been accelerated delivery of the pier condition works. Net budget carry forward and accelerated delivery requests of £567k have been put forward as part of this report;

Energy Saving Projects – the energy projects are underway with completion in 2016/17 – budget carry forward requests of £(431)k have been put forward as part of this report;

Works to Property – for the Queensway site on-going exploration of the underground utility services is needed in 2016/17 in preparation for the regeneration works, the demolition of the toilet block in Thorpe Hall Avenue has been completed but the refurbishment works will be completed in 2016/17. Net carry forward, accelerated delivery requests and other budget adjustments of £(291)k has been put forward as part of this report;

ICT schemes – a number of projects span financial years and there have been delays to some projects whilst others have delivered ahead of schedule, so net budget carry forward, accelerated delivery requests and other budget adjustments of £(1,499)k have been put forward as part of this report. £1.3m of this relates to the Data Centre with the detailed design finished in June and the intention to finish the project in September 2016;

3.7. A range of schemes have been identified that are funded from external contributions and grants. These have been included in the capital programme but there is flexibility in when these schemes are delivered either by the funder determining when it is appropriate or the Council matching delivery to available resources.

3.8. In total there are a number of schemes with unspent budgets in 2015/16 where the budget is needed in 2016/17 in order to complete the schemes. These schemes have started and/or are fully committed to but due to various factors have not completed or reached the anticipated stage by the 31st March 2016. These budget commitments total £4.332m and are summarised in Appendix 1.

3.9. In addition, some schemes have exceeded their 2015/16 budget allocation. The two causes of this are unforeseen costs being incurred or schemes spending ahead of profile in order to accelerate delivery, i.e. multi year schemes being delivered earlier or preliminary works starting on 2016/17 schemes to ensure their prompt completion. The sum of this accelerated delivery totals £2.807m and is analysed in Appendix 2.

3.10. Schemes that have exceeded their 2015/16 budget allocation will be financed by compensatory under spending on other schemes and in some cases by extra income received. The net overspend for the whole programme for 2015/16 after carry forward and accelerated delivery requests is £0.238m. This has been adjusted further with budget adjustments of £0.311m with the resulting underspend after all adjustments of £0.73m.

3.11. In summary these adjustments are set out in the following table:

	General Fund £000	Housing Revenue Account £000	Total £000
Net variance	(1,256)	(31)	(1,287)
Net position of carry forward and accelerated delivery requests (Appendices 1 and 2)	1,384	27	1,411
Additional external income received / budget adjustments (Appendix 6)	(197)	-	(197)
Adjusted net variance	(69)	(4)	(73)

Brackets indicate an underspend against budget and additional income

3.12. An amended Capital Programme reflecting all the changes above is attached at Appendix 7.

Major schemes in 2015/16 continuing into 2016/17 and future years

3.13 Within the Department for Corporate Services the Airport Business Park is a major scheme to transform an area of land into a new business park, bringing in private sector investment and generating new jobs. Henry Boot Developments have been appointed as the development partner to enable the plans to go ahead and infrastructure works are expected to start during 2016/17.

3.14 Within the Department for People the major schemes are the schools capital schemes which are set out below in paragraphs 3.17 to 3.21, and the Disabled Facilities Grants scheme which relates to adaptations and installation of equipment in the homes of disabled people.

3.15 Within the Department for Place the LED street lighting project is a major scheme to replace the street lighting lanterns within Southend with LED units, to replace many street lighting columns, to bring all the illuminated street furntrue in line with proposed new traffic sign regulations and to introduce a computer controlled Central Management System to manage the street lighting efficiently.

3.16 Another major scheme within the Department for Place is the A127 Growth Corridor with is a joint project with Essex County Council to deliver improvements along the A127. Specifically within Southend this includes the junctions at Kent Elms and the Bell.

Schools Capital Schemes

3.17 Expenditure on the education capital programme for 2015/16 was £9.13 million. Of this, £4.37million was to complete projects to provide new pupil places at Friars, Thorpedene, Bournemouth Park, Darlinghurst, Porters Grange and Sacred Heart Primary Schools, the Federation of Greenways Schools and Hamstel Infant and Junior Schools.

3.18 £1.89 million was spent on major projects completing in 2015/16 and beyond. These included St Helens, St Marys, Sacred Heart and Thorpe Greenways. These projects are part of the Primary Places Programme (PPP) to expand Primary Schools to meet the demand created by a sustained increase in the birth rate, including the set up and expansion of two year old childcare facilities.

3.19 £3.5 million was spent on major projects completing in 2016/17 and beyond. These included expansions at St Helens Primary School and St Marys Primary School. These projects are part of the Primary Places Programme (PPP) to expand Primary Schools to meet the demand created by a sustained increase in the birth rate including the set up and expansion of two year old childcare facilities. As this programme completes, the Secondary Expansion Programme is in feasibility and design stage with initial spend due to start in 2016/17.

3.20   £1.09 million was spent purely on condition works that included projects at Thorpedene, Belnheim, Earls Hall, Edwards Hall, Friars, Leigh North Street and Temple Sutton Primary Schools. In addition, £311k was devolved formula capital to maintained schools to manage their own smaller capital works.

3.21   Much of the schools capital programme scheme involves multi-year projects. Net budget carry forward, accelerated delivery requests and other budget adjustments of £24k have been put forward as part of this report;

Capital Financing of the Programme

3.22   The capital programme is fully financed. When the budget is set, estimates are made on the likely levels of capital receipt, grant that will be received during the year, the likely level of borrowing required as well as the proposed level of expenditure. As the actual expenditure differs from the proposed budget, the associated financing needs to be amended also to reflect this.

3.23   The capital expenditure in 2015/16 is financed as follows;

	2015/16 Actual (£m)
Total Capital Expenditure	**37.850**
Financed by:	
Borrowing – internal	**10.201**
Invest to Save Financing	**2.350**
Capital Receipts	**441**
Capital Grants Utilised	**15.058**
Major Repairs Reserve	**7.021**
Other Revenue/ Capital Reserve Contributions	**1.210**
Other Contributions	**1.569**
Total Financing	**37.850**

Other changes to the budget for 2016/17 onwards

3.24   Since the approved capital programme was set at Council on 25th February 2016, there have been some changes to the capital budget. They are not significant in number but are required to provide a continually updated programme to enhance the delivery of schemes, and are therefore detailed in Appendix 6. These changes are reflected in the amended Capital Programme attached at Appendix 7.

3.25   Removal of budgets no longer required

A request to remove a few S106 budgets are included within this report as they are no longer required.

3.26   Borough Broadband

A request to include an additional budget of £100k to support the delivery of the City Fibre project, to be financed from set aside capital reserves for this major scheme is included within this report.

4.   Other Options

4.1   None, as this report provides information about activity in 2015/16.

5.   Reasons for Recommendations

5.1   This report provides information about activity in 2015/16.

6.   Corporate Implications

6.1   Contribution to Council's Vision & Corporate Priorities

When the Capital Programme is determined consideration is given to the alignment of the scheme objectives to the Councils priorities.

6.2   Financial Implications

These are dealt with throughout this report.

6.3   Legal Implications

None, as this report provides information about activity in 2015/16.

6.4   People Implications

None, as this report provides information about activity in 2015/16.

6.5   Property Implications

When the Capital Programme is determined consideration is given to the property implications.

6.6   Consultation

When the Capital Programme is determined consideration is given to consultation.

6.7   Equalities and Diversity Implications

When the Capital Programme is determined consideration is given to Equalities and Diversity Implications.

6.8   Risk Assessment

When the Capital Programme is determined consideration is given to the risk assessment.

6.9   Value for Money

When the Capital Programme is determined consideration is given to the value for money.

6.10   Community Safety Implications

When the Capital Programme is determined consideration is given to community safety implications.

6.11   Environmental Impact

When the Capital Programme is determined consideration is given to the environmental impact.

7.   Background Papers

None.

8.   Appendices

Appendix 1 – Proposed Carry Forwards

Appendix 2 – Proposed Accelerated Delivery Requests

Appendix 3 – Virements Between Approved Schemes

Appendix 4 – Reprofiles

Appendix 5 – New External Funding

Appendix 6 – Summary of Changes to the Capital Programme

Appendix 7 – Amended Capital Programme

Southend-on-Sea Borough Council

Report of Corporate Director of Corporate Services
to
Cabinet
on
28 June 2016

Report prepared by: Ian Ambrose
Group Manager, Financial Management

Provisional Revenue Outturn 2015/16
Policy and Resources Scrutiny Committee
Executive Councillor: Councillor Lamb
A Part 1 Public Agenda Item

1 Purpose of Report

To advise the Cabinet of the provisional revenue outturn for 2015/16, and therefore the likely level of revenue balances going into 2016/17.

2 Recommendation

2.1 That the provisional revenue outturn for the General Fund and HRA for 2015/16 be noted; and

2.2 That following due consideration, Cabinet approve the appropriation of revenue funds to and from earmarked reserves, as set out in paragraph 4.6 (General Fund) and paragraph 5.4 (HRA).

3 Background

3.1 This report provides an overall summary of the provisional revenue outturn for the financial year 2015/16. The closure of the 2015/16 accounts is still ongoing at the time of drafting this report, and therefore there is some potential for change.

4 General Fund

4.1 The table below summarises the provisional revenue outturn for the General Fund and the consequential use of balances for 2015/16. The outturn has been prepared on the assumption that all appropriations to and from earmarked reserves are approved. Members are invited to consider the appropriate level of appropriations later in this report.

Portfolio	Original Budget £000	Probable Outturn £000	Forecast Period 11 £000	Actual £000
Adult Social Care & Health	39,911	42,058	42,010	41,281
Children & Learning	33,477	32,860	32,915	32,397
Community & Organisational Development	2,613	2,470	2,139	2,274
Enterprise, Tourism & Economic Development	13,943	15,324	15,435	15,903
Leader	4,098	5,753	3,689	3,721
Public Protection, Waste & Transport	25,236	25,445	25,160	23,957
Housing & Regulatory Services	12,964	13,007	12,942	7,608
Portfolio Net Expenditure	**132,242**	**136,917**	**134,290**	**127,141**
Reversal of Depreciation	(19,982)	(20,261)	(18,432)	(15,484)
Levies	550	549	550	519
Financing Costs	16,062	15,029	15,006	11,107
Contingency	4,825	2,988	2,898	0
Pension Adjustments etc	(4,782)	(4,782)	(4,782)	(4,297)
Net Operating Expenditure	**128,915**	**130,440**	**129,530**	**118,986**
Government Grants	(3,973)	(3,973)	(3,973)	(3,838)
Corporate Savings	(50)	0	0	0
Revenue Contribution to Capital	3,090	855	855	1,209
Contribution to / (from) Earmarked Reserves	(1,889)	(1,229)	(319)	10,504
Net Expenditure / (Income)	**126,093**	**126,093**	**126,093**	**126,861**
Government Grants and Local Taxation	(126,093)	(126,093)	(126,093)	(126,861)
Contribution (to) / from General Reserves	**0**	**0**	**0**	**0**

Use of Reserves				
Balance as at 1 April 2015	11,000	11,000	11,000	11,000
Use in Year	0	0	0	0
Balance as at 31 March 2016	**11,000**	**11,000**	**11,000**	**11,000**

4.2 The table above shows that net expenditure for 2015/16 totalled £126.861 million. This was £0.768 million (0.61%) above the month 11 forecast. This was compensated by additional retained business rate income of £0.768 million, and as a result there has been no draw down from the General Fund Reserve to support expenditure. Given that the overall gross spend of the Council is in the region of £380 million, this variance is within acceptable parameters.

4.3 Members have been in receipt of monthly budget monitoring information, so most variances have been well documented. This report therefore concentrates on variances between the month 11 forecast and the outturn.

4.4　Although the outturn is in line with the period 11 forecast, there are of course numerous under and overspends on individual services. In particular Directors have continued to bear down on in year costs in preparation for the further budget reductions in place for 2016/17, giving rise to savings over and above the period 11 forecast.

4.5　Additionally year end accounting differs from that employed during the year, as management accounts are transformed into statutory reporting formats. This involves many self-balancing adjustments between accounting lines to display income and expenditure in its "appropriate" place together with final allocations from the contingency fund. In particular in compliance with International Accounting Standard 20 and the Local Government Statement of Recommended Practice, service grant income received in year has been fully recognised, even where it has not necessarily been or planned to be spent. In these cases the spending power of the grant has been preserved through the use of earmarked reserves. There are however a number of principal variances:

	£000
Revenue Contribution to Capital	354
Treasury Management etc	(3,899)
Waste and Cleansing	(1,906)
Various net underspends	(155)
Various self-balancing appropriations, particularly relating to the carry forward of the spending power of service specific grants	
Additional appropriations relating to capital, business transformation and other earmarked contingency sums	6,905
Unused contingency budget	(1,299)
Total Variance	**0**

Appropriations to and from Earmarked Reserves

4.6   Set out below are the recommended appropriations to and from ( ) earmarked reserves, subject to the approval of Cabinet, annotated as appropriate where the appropriation is materially different from that planned.

Reserve	Planned to period 11 £000	Self-Balancing* £000	Additional £000	Total £000
Capital Reserves Additional reserves have been set aside for future capital programme items	111	100	1,500	1,711
Insurance Reserves Following a review, there has been a realignment of the balance between the insurance provision and reserve	0	899	0	899
Corporate Reserves Additional reserves have been set aside for future business transformation as the Council continues to adjust to lower government funding, and to build reserves for potential pension pressures arising from the forthcoming pensions revaluation.	2,878	773	4,655	8,306
Service Reserves Additional reserves have been set aside in particular to facilitate the on-going welfare reform agenda and the Queensway regeneration.	(1,567)	582	750	(235)
Grant Reserves Preservation of the spending power of service grants between years	(1,741)	1,564	0	(177)
	(319)	**3,918**	**6,905**	**10,504**

* Self Balancing appropriations are particularly those where an underspend in grant received is matched by a balancing underspend in expenditure, with the unspent grant being carried forward through earmarked reserves. Another example would be where there has been a need to top up the Insurance provision (via the revenue account) from the Insurance Reserve.

5   Housing Revenue Account

5.1   The table below summarises the provisional revenue outturn for the Housing Revenue Account and the consequential use of balances for 2015/16.

	Original Budget £000	Revised Budget £000	Forecast Period 11 £000	Actual £000
Employees	279	279	279	286
Premises (including repairs)	5,909	5,969	5,969	5,629
Supplies and Services	66	66	66	112
Management Fee	9,264	9,264	9,264	9,264
MATS	956	956	956	957
Provision for Bad Debts	361	361	361	101
Depreciation, Impairment etc	8,989	7,075	7,075	25,984
Interest Charges	3,410	3,551	3,551	3,549
Debt Management	37	55	55	54
Total Expenditure	**29,721**	**27,576**	**27,576**	**45,936**
Fees and Charges	(3,789)	(3,949)	(3,989)	(4,071)
Dwelling Rents	(26,281)	(26,584)	(26,624)	(26,806)
Other Rents	(596)	(593)	(593)	(603)
Other	(227)	(242)	(242)	(232)
Contribution from Leaseholders	0	0	0	(167)
Interest	(90)	(150)	(150)	(154)
Recharged to Capital	(530)	(530)	(530)	(537)
Total Income	**(31,513)**	**(32,048)**	**(32,128)**	**(32,570)**
Net Operating Expenditure	**(2,242)**	**(4,472)**	**(4,552)**	**13,366**
Statutory Mitigation on Capital Financing	(1,813)	0	0	(20,776)
Revenue Contribution to Capital	1,334	94	94	0
Appropriation to Earmarked Reserves	2,721	4,378	4,458	7,410
(Surplus) or Deficit in Year	**0**	**0**	**0**	**0**

	Original Budget £000	Revised Budget £000	Forecast Period 11 £000	Actual £000
Use of Reserves				
Balance as at 1 April 2015	3,502	3,502	3,502	3,502
Used in year	0	0	0	0
Balance as at 31 March 2016	**3,502**	**3,502**	**3,502**	**3,502**

5.2   The table above shows a balanced outturn for 2015/16 as anticipated.

5.3   There are however a number of under and overspends on individual budget lines. These include additional rental income coupled with additional fees and charges. There are significant increases in the value of impairments being charged into the HRA, as a result of the revaluation of the stock which saw the carrying value of the assets fall; this is fully mitigated under statutory rules so has no impact on revenue balances. There is also an underlying fall in the depreciation charge to the HRA following a revision in the calculation methodology, that creates a revenue saving. Finally, rather than build a higher general reserve for the HRA, additional net appropriations to HRA earmarked reserves are proposed.

5.4   Therefore the recommended HRA appropriations are;

HRA Reserve	Planned £000	Additional £000	Total £000
Repairs Contract Pensions Reserve	60	0	60
Queensway Reserve	(75)	0	(75)
Capital Investment Reserve	4,398	3,027	7,425
	4,383	**3,027**	**7,410**

6   Other Options

6.1   This is a factual report setting out the provisional outturn. As such there are no other options. Members are of course able to suggest changes to the amounts appropriated to and from earmarked reserves, which would result in a compensating adjustment to the amount taken to or from general reserves.

7   Reasons for Recommendations

7.1   As part of the year end processes, Members need to approve any appropriations to or from earmarked reserves. This report fulfils that purpose.

8   Corporate Implications

8.1   Contribution to Council's Vision & Critical Priorities

This report outlines the delivery of the Council's objectives and priorities in financial terms

8.2   Financial Implications

As set out in the report

8.3   Legal Implications

None

8.4   People Implications

None

8.5   Property Implications

        None

8.6   Consultation

        None

8.7   Equalities Impact Assessment

        None

8.8   Risk Assessment

        None

8.9   Value for Money

        As set out in the report

8.10   Community Safety Implications

        None

8.11   Environmental Impact

        None

9   Background Papers

        None

10   Appendices

        None

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Southend-on-Sea Borough Council

Report of Corporate Director for Corporate Services

to
Cabinet
on
28th June 2016

Report prepared by:
John Williams, Head of Legal & Democratic Services

Annual Report re the Regulation of Investigatory Powers Act 2000 (RIPA)

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

A Part 1 Item

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1. **Purpose of Report**

   To report on the Council's use of the surveillance powers available to it under the Regulation of Investigatory Powers Act 2000 ("RIPA") in respect of the period 1st April 2015 to the 31st March 2016 and to endorse the Council's "Policy and Procedures for undertaking Directed Covert Surveillance and the use of Covert Human Intelligence Sources".

2. **Recommendations**

2.1 **To note that the Council has not used the surveillance powers available to it under RIPA between 1st April 2015 and the 31st March 2016 and neither has it used any covert human intelligence sources during this period.**

2.2 **To endorse the Council's "Policy and Procedures for undertaking Directed Covert Surveillance and the use of Covert Human Intelligence Sources" attached at Appendix 1 with the amendments highlighted.**

3. **Background to RIPA**

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 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" (**Appendix 1**).

This document (which is available on the internet and intranet) was originally produced in 2007 and has been subsequently updated to reflect legislation including the provisions of the Protection of Freedoms Act 2012, the RIPA (Directed Surveillance & Covert Human Intelligence Sources) (Amendment) Order 2012 and the minor recommendations in the last inspection report undertaken by the Office of Surveillance Commissioners in 2013.

Further minor amendments are now being proposed:
- to incorporate additional information on surveillance outside RIPA (Section 6);
- re the Internet and use of Social Media (section 8);
- to reflect the responsibilities of the Principal Legal Executive; and
- to improve clarity.

These amendments are highlighted in **Appendix 1** and need to be endorsed.

3.4   In the previous period between 1st April 2014 and the 31st March 2015 one covert surveillance operation was authorised under RIPA which related to an investigation to establish whether a person claiming Housing Benefit and Council Tax Benefit in respect of a property in Southend actually resided at the property.

In the period covered by this report between 1st April 2015 and the 31st March 2016 the Council has not used the surveillance powers available to it under RIPA.

No use has ever been made of a CHIS, but the Council is obliged to have appropriate Policy & Procedures in place.

3.5 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.

This report reflects this Code by providing details of surveillance undertaken and asking the Council to endorse the Council's "Policy and Procedures for undertaking Directed Covert Surveillance and the use of Covert Human Intelligence Sources" with the amendments highlighted (**Appendix 1**).

4.   Other Options

None

5.   Reasons for Recommendations

To comply with the Home Office Codes of Practice re RIPA.

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 has been prepared to comply with Home Office Guidance on RIPA.

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

The Council's existing RIPA Policy and Procedures ensure 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 –   "Policy and Procedures for undertaking Directed Covert Surveillance and the use of Covert Human Intelligence Sources"

Southend-on-Sea Borough Council

Report of Chief Executive

to
Cabinet
on
28 June 2016

Report prepared by the Chief Executive

Proposed Amendments to Senior Management and Departmental Arrangements

Relevant Scrutiny Committee: Policy & Resources
Executive Councillor: Councillor John Lamb
Part 1 Public Agenda Item

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1. **Purpose of Report**

   This report seeks approval for amendments to the senior management structures and departmental arrangements to reflect continuing reductions in staff numbers, budget pressures and the need to consolidate the public health service in the wider Council structure.

2. **Recommendations**

   2.1 It is recommended that Cabinet supports the proposed amendments to the senior management numbers and structures and, subject to no substantive adverse response to consultations, delegates implementation of the proposals to the Chief Executive in consultation with the Leader of the Council.

   2.2 That the Chief Executive be delegated the authority to make the necessary adjustments to responsibilities and duties as a result of these changes and that appropriate amendments be made to the Constitution to reflect the new senior management structure once implemented.

   2.3 Note that the Chief Executive will bring forward a second report in the Autumn to address the outcome of the review of the public health function and to address other structural issues to facilitate recruitment and retention and succession planning.

3. **Background**

3.1 **The Current Senior Management Structure**

The current senior management structure was approved and put into place in 2006. When approved the structure consisted of 20 officers – the chief executive, four

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corporate directors and fifteen heads of service, together with a joint appointment with the PCT for the Director of Public Health. This structure replaced one comprising the chief executive, six directors and 17 assistant directors.

In 2006 this senior management structure was one of the slimmest in English unitary councils and has remained so since. The structure has been slimmed since 2006, firstly in 2008 with the deletion of the post of Head of Revenues and its services absorbed within the post of Head of Finance & Resources. The structure was reduced again in 2012 with the deletion of the post of Head of Policy and Performance and the functions transferred to other heads of service. The senior management arrangements were last amended in 2013 when the Corporate Director for People replaced the previous two Director positions responsible for Children and for Adults. The Public Health function was also incorporated into the Council, from the NHS, at that time.

The senior management arrangements have operated effectively, delivering consistent improvements in service. Whilst each of the corporate directors leads a group of linked services each also contributes to the management and delivery of corporate activities. Heads of service are also expected to make similar contributions.

The current structure comprises two outward facing service based departments and one department which delivers both customer facing services and corporate support for the whole operation. The Director of Public Health currently reports to the Chief Executive.

In line with other upper tier councils, the director roles are corporate, leading a range of services, and not tied to specific disciplines. The statutory roles of monitoring officer and chief finance officer are specified at head of service level and have direct reporting lines to the chief executive as head of paid service. The membership of the chief executive's Corporate Management Team comprises the chief executive, the three corporate directors, Head of Legal & Democratic Services (the monitoring officer), Head of Finance & Resources (the chief finance officer), the Head of People & Policy, and the Director of Public Health.

The chief executive has, over the years, monitored the scale and capacity of the senior management structure to ensure that it is capable of delivering the appropriate management and leadership for the organisation in line with service pressures, outside advice and requirements and the need to address and deliver against corporate pressures such as current financial contractions.

At an establishment of 18, including public health, the current senior management capacity remains at a very competitive size in comparison with other English unitary and metropolitan councils.

This paper, and its recommendations, is brought forward now for two reasons:
- in recognition of the continuing reduction in overall staff numbers as a result of successive Government Spending Reviews and the continuing pressures and the need to make savings.
- To reflect the recommendations from the Peer Review of Public Health, carried out last Autumn, and to embed more effectively the public health service within the Council.

This paper, and one to follow in the Autumn, is also designed to start to address issues of retention and succession planning as advised in the Corporate Peer Review of 2015.

These recommendations reflect practice in some other upper tier councils. These recommendations are tempered by the need to maintain both clear specialist leadership and also overall management capacity to adequately identify and deliver the increasingly demanding and time consuming corporate fiscal and service challenges. If approved and delivered the senior management structure will, again, be one of the leanest in English upper tier local government.

3.2   The proposed revised structure

It is proposed that the current post of Corporate Director of Corporate Services be deleted and that the Chief Executive assume line management responsibility for the range of services currently delivered by the department.

It is also proposed that the Public Health service be reviewed and redesigned to reflect the recommendations of the 2015 Peer Review of Public Health, to rationalise the commissioning and data management functions, and to ensure a core structure which best reflects the statutory roles and focuses on the specific needs of the borough. This review will further develop the opportunities for public health to provide leadership and integration within the Council and plan and cope with recent and pipeline reductions in available resources.

Given the significant challenges currently being experienced, particularly driven by funding reductions, and the known continuing funding and service challenges to be faced over coming years, these recommendations are designed to minimise structural and operation disruption which would be caused by wholesale redesign (and which is not proposed as necessary in any case) and also to maintain sufficient senior corporate capacity to lead and drive and manage the changes and savings without undue risk to services. The challenges facing the Council will drive the need for continuing transformation to ensure that we are fit for the future. Therefore, as these recommendations are implemented there will be a need to consider the implications for the effective and continuing corporate leadership and advice on major corporate projects and activities, organisational development and morale, finances, and planning for retention and succession.

These proposals, whilst properly reflecting the overall reduction in capacity of the organisation and maintaining equity and proportionality in staffing reductions, will reduce the capacity and resilience of the senior leadership team. In supporting these recommendations the Council must pay heed to the need to review the way it operates, the expectations it places on officers, the working partnership between officers and Members, and the need for clear Member support for their officers. The current programme and debate on the future role for the Council and the town gives the opportunity to develop new approaches to reflect this continuing reduction in overall capacity.

A further report, to be brought forward in the Autumn will consider how to bolster leadership capacity in middle management to support these revised arrangements,

and also to provide career development opportunities which will help address talent retention and progression as well as allow for succession planning.

Future reports will also need to consider how the Council will manage proposed changes to its responsibilities for education and for further integration with health functions.

The proposed structure will comprise:

1. Chief Executive & Town Clerk

This post will be supported by:

Head of People & Policy
Head of Legal & Democratic Services (Monitoring Officer)
Head of Finance & Resources (Chief Financial Officer)
Head of Customer Services

2. Corporate Director for People (comprising the statutory roles of director of children's service and director of adult social services)

This post will be supported by:

Head of Children's Services
Head of Adult Services and Housing
Head of Learning (bringing together all child and adult education)
Joint Associate Director of Integrated Care Commissioning

3. Corporate Director for Place

This post will be supported by:

Head of Planning & Transport
Head of Public Protection
Head of Economy, Regeneration & Tourism
Head of Culture

The Director of Public Health and the public health functions will be incorporated within these arrangements following the proposed review.

4.   Other Options

4.1   There are other options which could be considered.

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.

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.

The Council could carry out a complete review of the entire senior leadership structure but this is not, in my opinion, necessary, and would cause unnecessary and potentially damaging uncertainty and disruption to the delivery of services. A wholescale review would also ignore that the current and proposed structures reflect best practice across unitary councils.

5. Reasons for Recommendations

5.1 The Council last approved alterations 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 has also incorporated the public health function, transferred from the NHS, and has allowed it to embed within the organisation. The Council invited the Local Government Association to carry out Peer Reviews into the corporate operations of the Council, and into the functioning of its public health function in the Autumn of 2015. These recommendations are intended to ensure that the overall reductions in staffing are also appropriately reflected in the senior structure, that the peer review recommendations to review and resite the public health function are carried through, that specific activities within the public health function which relate to similar activities elsewhere in the Council are better aligned, and in a report to come forward in the Autumn, that the Council begins to address issues of retention and succession.

6. Corporate Implications

6.1 Contribution to Council's Vision & Corporate Priorities

This report particularly addresses the goal to ensure that the Council continues to be an excellent organisation, ensuring equity of approach to staffing, financial stewardship, service delivery and planning for the future.

6.2 Financial Implications

The implementation of these recommendations will incur one-off costs relating to the deletion of the post of Corporate Director, and the possibility of some additional one-off costs as a result of the review and potential restructuring of the public health function. These costs will be offset by staff cost savings resulting from the reviews. It is proposed to fund these one-off costs from the transformation reserve.

6.3   Legal Implications

The Head of Paid Service is charged with advising the Council on the appropriate resources and structures needed to deliver statutory functions and the Council's own priorities.

These proposals do not affect the legal requirements for employing a Director of Public Health and delivering a public health service.

6.4   People Implications

This report is intended to minimise the overall disruption to staff and service delivery.   These proposals will however, if implemented, make one post redundant and will have implications for a number of posts and the allocation of responsibilities in Public Health.   The Council's HR policies will apply in the production of proposals for consultation and in managing any resultant implications.

6.5   Property Implications

There are no property implications.

6.6   Consultation

Consultation will be carried out following the decision by the Cabinet on the proposals in this paper.

6.7   Equalities and Diversity Implications

This proposal will, if implemented, reduce the gender balance on the senior leadership team.   There may be some other adjustments to balance following the refresh of the public health function but appropriate equality and diversity assessments will be undertaken as part of that review.

6.8   Risk Assessment

There are risks associated with the proposals contained within this report.

Reducing the senior leadership team complement by one director will reduce the overall capacity to provide leadership, management and resilience in what is already a small leadership team. Risks will arise in the identification, planning and delivery of the corporate and service budgets and in the management of corporate initiatives. These issues will need to be offset by a reprioritisation of workloads across the leadership team, and by councillors; by proposals to be brought forward in the Autumn to bolster middle management; and by the occasional and selective use of specialist advice.

Reviewing and refreshing the public health function may have short term implications for staff morale and focus but these should be offset by a service better prepared and more resilient to the reductions in resources, better co-ordination and integration with other council and health functions and a clearer

leadership focus and prioritisation. Involvement by the regional leads for Public Health England will help minimise disruption.

6.9   Value for Money

The current senior leadership structure is one of the leanest in unitary local government and, as a result, provided excellent value for money. The Council regularly carries out a market review of the competitiveness of its senior salaries and this evidences that the current structure, and consequently the proposed structure, provides value for money.

The Review and refresh of the public health functions and structure will focus the available resources on statutory requirements and local priorities, ensure that particular activities will be aligned with similar activities in other parts of the Council, and address the funding reductions intimated by Government.

6.10   Community Safety Implications

Any community safety responsibilities associated with the affected roles will be aligned to the proposed revised management arrangements.

6.11   Environmental Impact

There is no environmental impact from these proposals.

7.   Background Papers

7.1   The background papers which inform this report are the Corporate Peer Review report, produced and provided to the Council by the Local Government Association in October 2015, and the Public Health Peer Review report produced and provided to the Council by the Local Government Association in October 2015.

8.   Appendices

8.1   There are no appendices to this report.

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CABINET

Tuesday, 28th June 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 Elm Road Development Brief
As a result of various changes in circumstance in the area of the Elm Road Development Brief and in consideration of feedback from the latest public consultation, the brief not to be adopted or progressed and will carry any weight as an planning document.

1.2 Lease of 21 Pier Arches, Pier Approach, Southend-on-Sea
The letting of the above-mentioned property on the terms agreed between the parties as detailed in the confidential sheet.

2. The Corporate Director for People authorised:

2.1 West Leigh Junior School
Approval of the arrangements with the Portico Academy Trust in respect of the West Leigh Junior School converting to Academy status on 1st April 2016.

2.2 Porters Grange Primary School and Nursery
Approval of the arrangements with the Portico Academy Trust in respect of the Porters Grange Primary School and Nursery converting to Academy status on 1st April 2016.

2.3 Extension to South Essex Homes Management Contract
Pursuant to Minute 403 of Cabinet held on 10th November 2015, approval of the Heads of Terms forming the basis of the discussions with South Essex Home and any appropriate amendment to the management Agreement.

3. The Corporate Director for Place authorised:

3.1 Application to the Sustainable Transport Transition Year 16/17 Revenue Fund
The submission of a bid for funding from the above-mentioned DfT fund to support the capital programme aimed at sustainable transport choices to and from the JAAP area, Town Centre and Southend Airport together with continuing the award winning work of the Ideas in motion behavioural change campaign.

3.2   Response to the Draft Thurrock Local Plan Consultation (February 2016)
        Approval to formally respond to the above-mentioned consultation as a neighbouring authority within the statutory time period concluding on 7th April 2016 and to be continually involved throughout the plan-making process as part of the Duty to Co-operate.

3.3   Response to the Draft Basildon Local Plan Consultation (January 2016)
        Approval to formally respond to the above-mentioned consultation as a neighbouring authority within the statutory time period and to be continually involved throughout the plan-making process as part of the Duty to Co-operate.

3.4   Response to the Lower Thames Crossing Consultation
        The content and submission of the Council's response to the above-mentioned consultation

SOUTHEND-ON-SEA BOROUGH COUNCIL

Meeting of Chairmen's Scrutiny Forum

Date: Tuesday, 28th June, 2016
Place: Committee Room 7, Civic Centre, Southend-on-Sea 16

Present: Councillors B Ayling, Kenyon, C Nevin, K Robinson and P Wexham

In Attendance: J K Williams and F Abbott

Start/End Time: 6.00 - 6.55 pm

1 **Appointment of Chairman.**

Resolved:-

That Councillor Robinson be appointed Chairman of the Forum for the current Municipal Year.

2 **Apologies for Absence**

Apologies for absence were received from Councillor Moyies.

3 **Declarations of Interest**

No declarations of interest were made at the meeting.

4 **Role of Forum - extract from Constitution**

The Head of Legal and Democratic Services briefly outlined the role and constitution of the Forum. He also referred to the letter sent to the new Scrutiny Chairmen recently, which had also been copied to the Vice Chairmen for their information.

5 **Minutes of the Meeting held on 8th September 2015**

Resolved:-

That the Minutes of the Meeting held on Tuesday 8th September, 2015 be confirmed as a correct record.

6 **Discussion on potential In depth scrutiny projects for 2016/17 for Place, People & Policy & Resources Scrutiny Committees**

The Forum discussed the progress on the in depth scrutiny projects undertaken in 2015/16 and the Scrutiny Officer provided the following update:-

(a) 'Transition arrangements from children's to adult life' – the draft report was agreed at the People Scrutiny Committee meeting in April 2016 and agreed by Cabinet at its meeting held earlier in the day;

(b) 'Control of personal debt' – the final report has been drafted and will be shared with project team Members shortly;

(c) '20 mph speed limits in residential streets' – the final report is in the process of being drafted.

Councillor Wexham requested an update on the in depth scrutiny project pursued in 2014/15, 'Understanding erosion taking place on the foreshore'. This study was discontinued at the end of the 2014/15 Municipal Year, as the subject matter proved to be overly technical for a scrutiny review topic (particularly given the fact that a comprehensive study and report had been obtained by Professor Bradbury and was the subject of a report to Scrutiny Cttee in October 2013). No conclusions could be reached on the matter without the Council itself commissioning a major piece of work from expert consultants, involving a significant period of study and monitoring over a period of time. In any event the subject matter is being dealt with in another way as the Environment Agency is undertaking annual monitoring and additional sampling and this data will be passed to the Council's consultants and reported to the Place Scrutiny Committee later in the year.

The Forum then discussed the possible projects to be undertaken during 2016/17. Each Scrutiny Committee is due to agree its in depth project at the July meetings. It was agreed that the options be explored further by Scrutiny Chairmen.

7 Scrutiny Training

The Scrutiny Officer confirmed that the training session on scrutiny has been arranged for Thursday 7th July 2016 and noted the proposed programme. The training will now begin at earlier start time of 5.30 pm on that evening and is aimed at new Councillors in particular.

8 Any Items from Forum Members

New Councillors – Councillor Wexham said that in his role as Vice Chairman of the Place Scrutiny Committee, he would find it helpful to have a copy of the photos of the new Members on the Committee.

9 Date of next meeting

The next meeting of the Forum will be arranged for early January 2017 (date to be confirmed).

Southend-on-Sea Borough Council

Report of Corporate Director for Corporate Services
to
Place, People and Policy & Resources Scrutiny Committees

On 11th, 12th and 14th July 2016

Report prepared by:
Fiona Abbott

In depth Scrutiny projects – 2016 / 17
A Part 1 Agenda Item

1. Purpose of Report

1.1 For each Scrutiny Committee to agree the in depth scrutiny project to be undertaken in the 2016 / 17 Municipal Year.

1.2 The report also attaches some information about the work carried out by each of the Scrutiny Committees in the 2015 / 16 Municipal Year.

2. Recommendations

2.1 That each Scrutiny Committee select the topic it wishes to undertake for in-depth study in 2016/17.

2.2 To note the information attached at **Appendix 3**, the summary of work of the 3 Scrutiny Committees during 2015 / 2016.

3. In depth scrutiny projects

3.1 Involvement with in-depth studies enables Members to 'get their teeth into' a particular topic and also to influence and shape proposals before they are implemented.

3.2 Each of the studies are led by a Member project team / programme working party and the appointments were agreed at Council on 19th May 2016 (refer to **Appendix 1**).

3.3 Members should always aim to select a topic which can identify real service improvements and results in benefits / outcomes. To assist the Committees in selected a topic for this Municipal Year, a list of previous topics undertaken for in depth study since 2010 is attached at **Appendix 2.**

3.4 Each Scrutiny Committee is now requested to select the topic it wishes to undertake for in depth study in 2016/17.

3.5 Work undertaken by each of the Scrutiny Committees in the 2015 / 16 - attached at **Appendix 3** is a summary of the work undertaken by each of the Scrutiny Committees in the 15/16 Municipal Year.

4. Corporate Implications

4.1 <u>Contribution to Council's Vision and Critical Priorities</u> – Becoming an excellent and high performing organisation.

4.2 <u>Financial Implications</u> – there are costs associated with organising in depth projects relating to officer time but this will all be contained within existing resources.

4.3 <u>Legal Implications</u> – none.

4.4 <u>People Implications</u> – none.

4.5 <u>Property Implications</u> – none.

4.6 <u>Consultation</u> – as described in report.

4.7 <u>Equalities Impact Assessment</u> – none.

4.8 <u>Risk Assessment</u> – none.

5. Background Papers
None

6. Appendices

Appendix 1 – membership of project teams / programme working parties
Appendix 2 – list of previous in depth topics since 2010
Appendix 3 – summary of work of the 3 Scrutiny Cttees 2015 / 2016

Membership of project teams (Programme Working Parties)

PEOPLE SCRUTINY PROGRAMME WORKING PARTY

Party	Members	Total 8	Substitutes
CON	Helen Boyd Steve Buckley Maureen Butler Chris Waker	4	All
LAB	Margaret Borton Cheryl Nevin	2	All
IND	Caroline Endersby	1	All
SIG	James Moyies	1	

PLACE SCRUTINY PROGRAMME WORKING PARTY

Party	Members	Total 8	Substitutes
CON	Alex Bright Meg Davidson Nigel Folkard Jonathan Garston	4	All
LAB	Helen McDonald Kevin Robinson	2	All
IND	Derek Kenyon	1	All
SIG	Tino Callaghan	1	

POLICY & RESOURCES SCRUTINY PROGRAMME WORKING PARTY

Party	Members	Total 8	Substitutes
CON	Bernard Arscott David Burzotta Maureen Butler David Garston	4	All
LAB	Ian Gilbert David Norman	2	All
IND	Mike Stafford	1	All
SIG	Lawrence Davies	1	All

Scrutiny project list

Members should always aim to select a topic which can identify real service improvements.

The Council has undertaken a number of in depth scrutiny projects and since 2010 has looked at the following areas:

- Transition arrangements from children's to adult life – 2015/16 (People Scrutiny Cttee)
- Control of personal debt and the advantages of employment – 2015/16 (Policy & Resources Scrutiny Cttee)
- 20mph speed limits in residential streets - 2015/16 (Place Scrutiny Cttee)
- How the Council assists and excites individuals and community groups to achieve healthier lifestyles – 2014/15 (People Scrutiny Committee)
- The Council's Community Leadership role in promoting safer communities – 2014/15 (Policy & Resources Scrutiny Committee)
- Understanding erosion taking place on the Foreshore – 2014/15 (Place Scrutiny Committee)
- Southend primary schools' falling grammar school entry figures - 2013/14 (People Scrutiny Committee)
- Impact of welfare changes - 2013/14 (Policy & Resources Scrutiny Committee)
- Promoting a positive image for the town - 2013/14 (Place Scrutiny Committee)
- Housing – how we plan to meet the growing demand for social rented housing in the current poor national economic climate – 2012 / 13 (Economic & Environmental Scrutiny Committee)
- To identify improvements so that looked after children are given the best chances in life and that they do not become NEET statistics (not in education, employment or training – 2012 / 13 (Children & Lifelong Learning Scrutiny Committee)
- Developing strong partnership links to encourage investment in the town and the supply of employment opportunity – 2012 / 13 (Economic & Environmental Scrutiny Committee)
- Child poverty – 2011/12 (Children & Lifelong Learning Scrutiny Committee)
- Volunteering in Cultural Services - 2011/12 (Community Services & Culture Scrutiny Committee)
- Youth anti social behaviour – perception & reality – 2011/12 (Economic & Environmental Scrutiny Committee)
- End of life care for adults – 2010/11 (Community Services Scrutiny Committee)
- Young Carers – 2010/11 (Children & Lifelong Learning Scrutiny Committee)

For further information please go to www.southend.gov.uk and then to the Council & Democracy pages

PLACE SCRUTINY COMMITTEE - Work programme 2015/2016 - evaluation

During the 2015/16 Municipal Year, the **Place Scrutiny Committee** held **5** meetings and met on the following dates: 13th July 2015, 12th October 2015, 30th November 2015, 25th January 2016 and 11th April 2016.

During this year, Members undertook the following scrutiny work:-

Call-ins/references from Cabinet – the Scrutiny Committee considered **16 call-in items** from Cabinet and **3 call-in items** from Cabinet Committee. No items were called in from the Forward Plan. All budget items (plus one other item) were **referred direct** to the Scrutiny Committee and considered at the meeting in January 2016 (**3 budget items**).
The following items were referred back to Cabinet/Cabinet Committee for reconsideration:
- PVX Review – 11th April 2016 (Minute 767 refers)
- Members' Request (Introduction of waiting restrictions from 11.00 a.m. to 12 noon in St James Avenue & Marcus Avenue between Fermoy and Johnstone Road and removal of existing waiting restrictions in Fermoy Road between Marcus Avenue and St James Avenue on alternate sides – 12th October 2015 (Minute 310 refers)
- Members' Request (amendments to the operational hours of existing waiting restriction in Tyrone Road and Fermoy Road (Minute 586 refers)

Pre Cabinet items – the Scrutiny Committee considered the following items by way of pre-Cabinet Scrutiny:
(a) Transport Asset Plan – 13th July 2015.
(b) Introduction of a Policy in respect of the Installation of Bollards – 25th January 2016
(c) Southend Physical Activity Strategy – 11th April 2016

Scheduled items - each meeting as appropriate:
- Monthly Performance report – exceptions reports also considered.
- Minutes of the meetings of the Chairmen's Scrutiny Forum held on 8th September 2015 - reported to October 2015 meeting (Minute 311 refers)
- Questions from members of the public – the Executive Councillor for Enterprise, Tourism & Economic Development responded to **2** questions and the Executive Councillor for Public Protection, Waste and Transport responded to **1** question from a member of the public at the meeting on 13th July 2014; the Executive Councillor for Enterprise, Tourism & Economic Development responded to **1** question and the Executive Councillor for Public Protection, Waste and Transport responded to **1** question from a member of the public at the meeting on 12th October 2014; the Executive Councillor for Enterprise, Tourism & Economic Development responded to **2** questions at the meeting on 30th November 2015; and the Executive Councillor for Enterprise, Tourism & Economic Development responded to **1** question and the Executive Councillor for Public Protection, Waste and Transport responded to **2** questions from a member of the public at the meeting on 11th April 2016.

In-depth scrutiny project: *20mph Speed Limits in Residential Streets* - topic agreed at meeting on 13th July 2015 (Minute 125 refers). Project plan agreed at meeting on 12th October 2015 (Minute 312 refers). Updates to meeting on 30th November 2015 (Minute 436 refers) and 25th January 2016 (Minute 589 refers). Final report will now be considered in this Municipal Year.

Presentations & other matters considered:
- Work programme evaluation 2014/15 – 13th July 2015 (Minute 125 refers)
- International Marketing – 30th November 2015 (Minute 433 refers)

Items for 2015/16

Member briefing sessions
At the Chairmen's Scrutiny Forum meeting in January 2014, Members discussed the format of member briefing sessions / presentation. The Forum resolved that copies of any handouts / presentation slides from Member briefings / presentations should be placed centrally on the Council's intranet so they can be easily accessible to all Members. There is now a dedicated page on the intranet see here

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PEOPLE SCRUTINY COMMITTEE
Work programme 2015/2016 - evaluation

During the 2015/16 Municipal Year, the **People Scrutiny Committee** held **6** meetings and met on the following dates – 14th July 2015, 7th September 2015 (special mtg), 13th October 2015, 1st December 2015, 26th January 2016 and 12th April 2016.

During the year, Members undertook the following scrutiny work:-

Call-ins/ references from Cabinet – the Scrutiny Committee considered **14 call-in items** from Cabinet. No items were called in from the Forward Plan. All budget items (plus one other item) were **referred direct** to the Scrutiny Committee and considered at the meeting in January 2016 (**3 budget items**).

Pre Cabinet items – the Scrutiny Committee considered **3** pre Cabinet items**:**
- 13th October 2015 – (a) Local Account of ASC 2014/15; (b) Smoke Free Southend: A strategy to tackle smoking in Southend-on-Sea 2015- 2018
- 12th April 2016 (a) Southend Physical Activity Strategy

Scheduled items - each meeting as appropriate:
- Monthly Performance report – exceptions reports also considered.
- Schools Progress report.
- Minutes of the meetings of the Chairmen's Scrutiny Forum held on 8th September 2015 - reported to October 2015 meeting (Minute 325 refers)
- Questions from members of the public –
  - the Executive Councillor for Health & Adult Social Care responded to 2 written questions from a member of the public at the meeting on 14th July 2015; 3 written questions from members of the public at the special meeting on 7th September 2015; a written question from a member of the public at the meeting on 13th October 2015; 2 written questions from members of the public at the meeting on 12th April 2016.
  - The Executive Councillor for Children & Learning responded to a written question from a member of the public at the meeting on 13th October 2015; responded to a written question from a member of the public at the meeting on 1st December 2015; responded to a written question from a member of the public at the meeting on 12th April 2016.

In-depth scrutiny project *Transition arrangements from children's to adult life* - topic agreed at meeting on 14th July 2015 (Minute 138 refers). Project plan agreed at meeting on 13th October 2015 (Minute 326 refers). Updates to meeting on 1st December 2015 (Minute 445 refers) and 26th January 2016 (Minute 604 refers). Final report agreed at meeting on 12th April 2016 (Minute 779 refers).

Agenda items considered:
- 14th July 2015 – (a) update on the Southend JSNA; (b) agreed the draft scrutiny report – how the Council assists and excites individuals and community groups to achieve healthier lifestyles; (c) work programme evaluation 2014/15.
- Special meeting 7th September 2015 – (a) health services in Shoebury; (b) primary care in St Luke's GP health centre and response to consultation; (c) update on primary care strategy.
- 13th October 2015 – (a) presentation – Turning Tides; (b) School organisation data.
- 1st December 2015 - Briefing paper on multi-academy Trusts and Academies.
- 26th January 2016 - update on Urgent Care Services review.
- 12th April 2016 – update from Cllr Crystall re Southend University Hospital Trust.

Chairman's Update Report:

- 14th July 2015 meeting – (a) update on the Joint Cttee to review specialised urological cancer surgery proposals; (b) constitutional changes; (c) approach re Quality Accounts; information on The Practice Northumberland Avenue. (Health scrutiny briefing circulated on 1st June 2015).
- 13th October 2015 (a) update on the Joint Cttee to review specialised urological cancer surgery proposals; (b) information re closer working between SEPT/ NEP; (c) CAMHS new provider is NELFT; (d) proposals by NHS England to move PET CT scanner service to existing fixed scanner at Southend Hospital.
- 1st December 2015 – (a) update on the Joint Cttee to review specialised urological cancer surgery proposals and membership of Joint Cttee; (b) update on PET-CT scanner; (c) school admission - information on sibling admission criteria; (d) information on community dental services in Essex.
- 12th April 2016 – (a) update on the Joint Cttee to review specialised urological cancer surgery proposals; (b) proposals by NHS England re PET CT scanner service & appointment of 2 Cllrs to sit on a Joint Cttee with Essex & Thurrock; (c) update on plans by NHS Southend CCG re gluten free foods; (d) LSCB / SAB Scrutiny Panel; (e) information on Success Regime; (f) approach for dealing with Quality Accounts from SEPT and Southend Hospital.

Member presentations
- Emotional wellbeing & mental health service - NELFT - 14th January 2016.
- Child Sexual Exploitation – 25th November 2016.
- Safeguarding – presentation by independent Chair, Christine Doorly – 5th April 2016.

Items for 2016/17
- Success Regime
- Work of the Joint Scrutiny Committee with Essex & Thurrock – urological cancer surgery
- Joint Committee – PET – CT scanner

Member briefing sessions
At the Chairmen's Scrutiny Forum meeting in January 2014, Members discussed the format of member briefing sessions / presentation. The Forum resolved that copies of any handouts / presentation slides from Member briefings / presentations should be placed centrally on the Council's intranet so they can be easily accessible to all Members. There is now a dedicated page on the intranet see here

POLICY & RESOURCES SCRUTINY COMMITTEE
Work programme 2015/2016 - evaluation

During the 2015/16 Municipal Year, the **Policy & Resources Scrutiny Committee** held **5** meetings and met on the following dates – 16th July 2015, 15th October 2015, 3rd December 2015, 28th January 2016 and 14th April 2016

During the year, Members undertook the following scrutiny work:-

Call-ins/ references from Cabinet – the Scrutiny Committee considered **24 call-in items** from Cabinet. No items were called in from the Forward Plan. All budget items (plus one other item) were **referred direct** to the Scrutiny Committee and considered at the meeting in January 2016 (**5 budget items**).

Pre Cabinet items – the Scrutiny Committee considered **1** pre Cabinet item (a) Corporate asset management strategy – 16th July 2015.

Scheduled items - each meeting as appropriate:
- Monthly Performance report – exceptions reports also considered.
- Minutes of the meetings of the Chairmen's Scrutiny Forum held on 8th September 2015 - reported to October 2015 meeting (Minute 345 refers)
- Questions from members of the public – a question from a member of the public at the meeting on 15th October 2015, 2 questions from members of the public at meeting on 3rd December 2015; 2 questions from members of the public at meeting on 14th April 2016.

In-depth scrutiny project: *Control of personal debt and the advantages of employment* - topic agreed at meeting on 16th July 2015 (Minute 158 refers). Project plan agreed by project team and then the full Committee on 15th October 2015 (Minute 346 refers). Updates to meeting on 3rd December 2015 (Minute 473 refers) and 28th January 2016 (minute 622 refers). Final report will now be considered in next Municipal Year.

Presentations & other matters considered:
- Work programme evaluation 2013/14 – 16th July 2015 (Minute 158 refers)
- Presentation on Council's housing responsibilities – 16th July 2015
- SEH – activities across sheltered housing network – 15th October 2015
- Chief Superintendent Luke Collison and Southend District Commander Simon Anslow – attended meeting on 3rd December 2015 to answer questions on crime stats
- Reports from Council nominee(s) from 4 specific outside bodies to October mtg & January 2016 mtg – Essex Police & Crime Panel; Essex Fire Authority, Kent & Essex Inshore Fisheries & Conservation Authority, Southend University Hospital NHS Foundation Trust – 15th October 2015 (Minute 344 refers) and 28th January 2016 (Minute 621 refers)
- Presentation from England Illegal Money Lending Team – 5th January 2016
- Review of sheltered housing - item requested by Cllr Flewitt – 28th January 2016

Items for 2016/17
- Policing update.

Member briefing sessions
At the Chairmen's Scrutiny Forum meeting in January 2014, Members discussed the format of member briefing sessions / presentation. The Forum resolved that copies of any handouts / presentation slides from Member briefings / presentations should be placed centrally on the Council's intranet so they can be easily accessible to all Members. There is now a dedicated page on the intranet see here

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