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SOUTHEND-ON-SEA BOROUGH COUNCIL

Policy and Resources Scrutiny Committee

Date: Thursday, 30th November, 2017 @ 18.30

Place: Committee Room 1 - Civic Suite

Contact: Fiona Abbott - Principal Democratic Services Officer

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, 12th October, 2017**

**** **ITEMS CALLED IN / REFERRED FROM CABINET - Tuesday 7th November 2017**

- 5 **Reference from Council, Thursday 19th October 2017 - Compulsory Licensing Scheme and Rent Control**
Minute 438 (Cabinet Book 1 – Agenda Item 4 refers)
Resolution 1 Referred direct to Scrutiny
Resolution 2 Called in by Councillors B Ayling, R Woodley, D Norman MBE and C Willis

- 6 **Monthly Performance Report**
Referred direct to Scrutiny

Members are asked to bring with them the most recent MPR for period ending September 2017, circulated recently. Comments / questions should be made at the appropriate Scrutiny Committee relevant to the subject matter.

- 7 **Comments, Compliments and Complaints**
Minute 440 (Cabinet Book 1 – Agenda Item 6 refers)
Referred direct to Scrutiny and called in by Councillors C Willis and I Gilbert
- 8 **Alternative Delivery Models - Governance Arrangements**
Minute 442 (Cabinet Book 1 – Agenda Item 8 refers)
Called in by Councillors B Ayling, R Woodley, I Gilbert and D Norman MBE
- 9 **Capital Monitoring for 2017/18 and Revised Capital**
Minute 443 (Cabinet Book 1 – Agenda Item 9 refers)
Called in by Councillors B Ayling and R Woodley

- 10 Corporate Debt Management Policy**
Minute 445 (Cabinet Book 1 – Agenda Item 11 refers)
Called in by Councillors B Ayling, R Woodley, C Willis and D Norman MBE
- 11 Discretionary Relief Policy**
Minute 446 (Cabinet Book 1 – Agenda Item 12 refers)
Called in by Councillors B Ayling, R Woodley, D Norman MBE and C Willis
- 12 Transport Review (Policy)**
Minute 447 (Cabinet Book 1 – Agenda Item 13 refers)
Called in by Councillors B Ayling, R Woodley, A Jones and I Gilbert
- 13 Transport Review (Delivery Models)**
Minute 448 (Cabinet Book 1 – Agenda Item 14 refers)
Called in by Councillors B Ayling, R Woodley, M Borton and I Gilbert
- 14 Council Procedure Rule 46**
Minute 457 (Cabinet Book 2 – Agenda Item 23 refers)
Item 2 refers
Called in by Councillors J Ware-Lane and I Gilbert

**** **PRE CABINET SCRUTINY ITEMS –**
NONE

**** **ITEMS CALLED IN FROM THE FORWARD PLAN –**
NONE

**** **OTHER SCRUTINY MATTERS**

- 15 Summary Report to Scrutiny Committee**
(i) Kent & Essex Inshore Fisheries & Conservation Authority – information from Cllr Lamb
- 16 In depth scrutiny project - 'Additional enforcement resources for Southend' - update**
- 17 Minutes of Chairmen's Scrutiny Forum held Monday 20th November 2017**
- 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.

**** **Part 2**

**** **ITEM CALLED-IN FROM CABINET –**
Tuesday, 7th November 2017

- 19 Council Procedure Rule 46 - Confidential Sheet**

Minute 462 (Agenda Item 28, circulated separately, refers)

Item 2 refers

Called in by Councillors J Ware-Lane and I Gilbert

To – The Chairman & Members of Policy & Resources Scrutiny Committee:

Councillor B Ayling (Chair), Councillor D Kenyon (Vice Chair)

Councillors B Arscott, D Burzotta, M Davidson, N Folkard, D Garston, I Gilbert, R Hadley, D McGlone, J McMahon, D Norman MBE, G Phillips, M Stafford, C Walker, P Wexham and C Willis

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SOUTHEND-ON-SEA BOROUGH COUNCIL

Meeting of Policy and Resources Scrutiny Committee

Date: Thursday, 12th October, 2017
Place: Committee Room 1 - Civic Suite

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Present: Councillor B Ayling (Chair)
Councillors D Kenyon (Vice-Chair), B Arscott, D Burzotta,
M Davidson, N Folkard, D Garston, I Gilbert, R Hadley, D McGlone,
J McMahon, C Mulroney*, D Norman MBE, G Phillips, M Stafford
and C Walker
*Substitute in accordance with Council Procedure Rule 31.

In Attendance: Councillors A Holland and A Moring (Executive Councillors)
J K Williams, F Abbott, Mr S Ford, I Ambrose and M Smith

Start/End Time: 6.30 - 7.00 pm

375 Apologies for Absence

Apologies for absence were received from Councillor P Wexham (substitute Cllr C Mulroney).

376 Declarations of Interest

The following interests were declared at the meeting:-

- (a) Councillors Holland and Moring (Executive Councillors) - interest in the called in / referred items; attended pursuant to the dispensation agreed at Council on 19th July 2012, under S.33 of the Localism Act 2011;
- (b) Councillor McGlone – agenda item relating to Risk Based Verification Framework – non-pecuniary – Board member South Essex Homes;
- (c) Councillor Holland - agenda item relating to in depth scrutiny report update – non-pecuniary – son is a Police Sgt. (but had left meeting by this point).

377 Questions from Members of the Public

Councillor Holland, the Executive Councillor for Culture, Tourism and the Economy responded to two written questions from Mr Webb.

378 Minutes of the Meeting held on Thursday, 13th July 2017

Resolved:-

That the Minutes of the meeting held on Thursday, 13th July 2017 be confirmed as a correct record and signed.

379 Monthly Performance Report (July)

The Committee considered Minute 308 of Cabinet held on 19th September 2017 which had been referred direct by Cabinet and also called in to Scrutiny,

together with the Monthly Performance Report covering the period to end July 2017, which had been circulated recently.

Resolved:-

That the report be noted.

Note:- This is an Executive Function.

Executive Councillor:- As appropriate to the item.

380 Risk Based Verification Framework

The Committee considered Minute 309 of the meeting of Cabinet held on 19th September 2017, which had been called in to Scrutiny together with a report of the Chief Executive which proposed the adoption of a policy for risk based verification within the benefits service.

Resolved:

That the following decision of Cabinet be noted:-

“That the implementation of the Risk Based Verification Policy attached at Appendix 1 to the submitted report, be approved.”

Note: This is an Executive function

Executive Councillor: Moring

381 Debt Position at 31 July 2017

The Committee considered Minute 311 of the meeting of Cabinet held on 19th September 2017, which had been called in to Scrutiny together with a report of the Chief Executive which informed Members of the current position on the outstanding debt to the Council as at 31st July 2017.

In response to questions on the report, the Executive Councillor agreed to:

- (a) ask the Place Department how many PCN's were issued to vehicles with foreign number plates (see section 4.6 or report);
- (b) provide details of figures for previous year in respect of outstanding Council Tax debt pre 1st April 2017 (see Appendix A).

Resolved:

That the following decisions of Cabinet be noted:-

“1. That the current outstanding debt position as at 31st July 2017 and the position of debts written off to 31st July 2017 as set out in Appendices A and B of the submitted report, be noted.

2. That the write offs as detailed in Appendix B, be approved.”

Note: This is an Executive function

Executive Councillor: Moring

382 Appropriation of Land at Burr Hill Chase

The Committee considered Minute 312 of the meeting of Cabinet held on 19th September 2017, which had been called in to Scrutiny together with a report of the Chief Executive proposing the appropriation of land at Priory School and Burr Hill Chase from education use for planning purposes to enable the wider redevelopment of the land following the relocation of the school.

Resolved:

That the following decision of Cabinet be noted:-

“School and Burr Hill Chase be appropriated from education use for planning purposes immediately following the vacation of the site to enable its redevelopment following relocation of the school in accordance with the consent of the Secretary of State for Education.”

Note: This is an Executive function
Executive Councillor: Moring

383 Summary Reports to Scrutiny Committee

Further to Minute 719 of the meeting held on 25th January 2017, the Committee considered the following reports:-

- (a) Essex Fire Authority – Report from Councillor Woodley and Report from EFA to Constituent Authorities presented by Councillor Holland;
- (b) Southend University Hospital – Report from Councillor Davidson; and
- (c) Essex Police & Crime Panel – Report from Councillor Holland.

Resolved:

That the Summary Reports be noted.

384 In depth scrutiny project - 'Additional enforcement resources for Southend' - update

The Committee received an oral update on the progress that had been made in respect of the agreed in depth scrutiny project for 2017/18 – ‘Additional enforcement resources for Southend’. A site visit has been arranged to visit the Joint Enforcement Team at Guildford Borough Council on Friday 20th October to see how they tackle the issues and Councillor Ayling and Councillor Davidson have confirmed they can attend.

Resolved:-

To note that Councillors Ayling and Davidson will be attending the site visit to Guildford Borough Council on 20th October 2017 and the progress be noted.

Note:- This is a Scrutiny Function.

Chairman: _____

Southend-on-Sea Borough Council

Agenda
Item No.

5

Report of Deputy Chief Executive (People)

to
Cabinet

on

7th November 2017

Report prepared by: Sharon Houlden, Director of Adult
Services and Housing

**Compulsory Licensing Scheme and Rents Controls
Reference from Council, 19th October 2017**

**Policy and Resources Scrutiny Committee
Executive Councillor: Councillor Flewitt
Part 1 (Public Agenda Item)**

1. Purpose of Report

- 1.1 To consider the resolutions adopted by Council on 19th October 2017 regarding the introduction of a compulsory licensing scheme and rent controls on private sector landlords.

2. Recommendations

- 2.1 The Cabinet is asked to consider the resolutions of Council.

3. Background

- 3.1 At the meeting of Council held on 19th October 2017, Members received the proposals put forward by Councillor Woodley (under Opposition Business) in relation to the introduction of a compulsory licensing scheme for all residential landlords and rent controls on private sector landlords. Council resolved to recommend to Cabinet:

(a) To introduce a compulsory licensing scheme for all residential landlords in the Borough, such scheme to supersede the voluntary arrangements with South East Alliance of Landlords (SEAL).

(b) To lobby the Government for changes in the law so that there are rent controls on private sector landlords letting properties to tenants and those rent controls to have the effect of reducing private sector rents to the level of social housing rents over the life time of parliament. (i.e 5 years).

- 3.2 The resolutions are therefore before the Cabinet for their consideration.

4 Other Options

4.1 The Cabinet may accept, reject or amend the proposals.

5. Reasons for Recommendations

5.1 To respond to the resolutions of Council.

6. Corporate Implications

6.1 Contribution to Council's Vision & Corporate Priorities

None

6.2 Financial Implications

None

6.3 Legal Implications

None

6.4 People Implications

None

6.5 Property Implications

None

6.6 Consultation

None

6.7 Equalities and Diversity Implications

None

6.8 Risk Assessment

None

6.9 Value for Money

None

6.10 Community Safety Implications

None

6.11 Environmental Impact

None

7. Background Papers

None

8. Appendices

None

MONTHLY PERFORMANCE REPORT

August 2017

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Pages 1 - 11

2017-18 Exceptions – Current Month’s Performance

Current Month’s performance information for indicators rated Red or Amber, and highlighted Green indicators with commentary.
(Green PI’s)

August’s green PI’s with a comment are:

CP 4.3 - Council Tax

CP 4.4 – Non Domestic Rates

CP 3.2 – Discharge from hospital

CP 3.3 – Delayed transfers of care

CP 3.5 – Proportion of adults with a learning disability in paid employment

CP 1.7 – Concluded section 42 enquiries

CP 4.8 – Current rent arrears

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2017-18 Corporate Performance Indicators

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Detail of Indicators Rated Red or Amber

Performance detail for indicators rated Red or Amber

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Budget Management Statements

Budget monitor and forecast by Portfolio

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Capital Expenditure







Summary of Capital Expenditure

Version: **V1.0**

Published by the Policy, Engagement & Communication Team

Further information: timmacgregor@southend.gov.uk (01702) 534025 or Louisabowen@southend.gov.uk (01702) 212039

Key to Columns and symbols used in report

Column Heading	Description
Minimise or Maximise	Indicates whether higher or lower number is better: Minimise = lower is better, maximise = higher is better
Latest Month	The latest month for which performance information is available
Month's Value	Performance to date for the latest month
Month's Target	Target to date for the latest month
Annual Target 2017/18	Annual target for 2017/18
<u>Outcome</u>	<p>Symbol based on a traffic light system; Red, Amber, Green indicating whether an indicator's performance is on track to achieve the annual target. Symbols used and their meaning are:</p> <p> = at risk of missing target</p> <p> = some slippage against target, but still expected to meet year-end target (31/03/2018)</p> <p> = on course to achieve target</p>
Comment	Commentary for indicators not on track providing reasons for low performance and identifying initiatives planned to bring performance back on track
Better or worse than last year	<p>Symbol indicating whether performance for the Latest Month is better or worse than the same month in the previous year. Symbols and their meanings are:</p> <p> = Latest Month's performance is better than the same month last year</p> <p> = Latest Month's performance is worse than the same month last year</p> <p> = Data not available for current or previous year</p>

Version: **V1.0**

Published by the Policy, Engagement & Communication Team

Further information: timmacgregor@southend.gov.uk (01702) 534025 or Louisabowen@southend.gov.uk (01702) 212039

Section 1: 2017-2018 Exceptions - Current Month Performance







Comments on Indicators rated Red or Amber

Generated on: 09 October 2017 09:52

Expected Outcome At risk of missing target
Responsible OUs Department for People

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
6 CP 1.2	Rate of Looked After Children per 10,000 population under the age of 18. [Monthly Snapshot]	Aim to Minimise	August 2017	74.6	66	66			<p>As a result of the current performance an action plan is in place for this indicator and has been presented to Executive DMT which will be monitored on a monthly basis. The rate of looked after children remains above target however it has reduced slightly over the last 3 months.</p> <p>It is acknowledged that we are still some way off target on this indicator but with the drop in child protection numbers we should start seeing a downward trend towards target. In addition to this we are carrying out a piece of detailed analysis on the flow of children in this area with the support of Research in Practice to help us understand where any improvements might be made.</p> <p>Other than children who need to become looked after in an emergency the decision for a child to become looked after is made by the Placement Panel to ensure that all other options are considered before care is agreed. The Panel process has prevented the numbers escalating and where safely possible put other measures in place to support the family. It is anticipated that our planned work around reunification will ensure that children do not remain in care for longer than necessary.</p> <p>Note for CMT: Benchmarking data as requested Eastern region 49.9, Lowest 33.6 (Essex), Highest 86.0 (Thurrock). Southend are 9th out of 11, 1st being the lowest.</p>	People Scrutiny


MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
									Of the 289 children who are looked after, 16 are Unaccompanied Asylum Seeking Children. If these 16 children are removed from the figure, the rate of LAC would be 70.5.	
CP 1.4 10	Percentage of children who have been LAC for at least 5 working days, who have had a visit in the 6 weeks (30 working days), prior to the last day of the month.	Aim to Maximise	August 2017	79.1%	90%	90%			<p>Whilst it is acknowledged that this indicator is below target the trend is upwards and performance has improved every month this financial year. Since April performance has improved from 58.9% to 79.1%. The activity relating to improving this area of performance is working and has been reported in previous months and remains the same, namely that:</p> <ul style="list-style-type: none"> - as a result of current performance an action plan is in place and has been presented to Executive Departmental Management Team (DMT) and monitored on a monthly basis; and - performance continues to improve month on month however it is recognised that the rate of change is too slow. <p>Robust action has been taken in this regard and further improvements have been seen during Aug-17. Work across the service to improve practice, as detailed in plans relating to other areas of performance, will further improve this area of performance. The work includes; visiting being included in all social worker PMR, assurance reporting from team managers on a weekly basis to service managers highlighting children who have not been visited within the last 30 working days (process introduced in April) and proactive use of the weekly performance reports to team managers. Failure to complete visits to children forms part of capability processes where appropriate.</p>	People Scrutiny
CP 3.10	Percentage of Initial Child Protection Conferences that took place with 15 working days of the initial strategy discussion. [Cumulative YTD]	Aim to Maximise	August 2017	59.3%	90%	90%			It is acknowledged that this indicator remains below target. An action plan continues to be progressed and is submitted to EDMT each month. Performance has however improved a further 5% during August. It is anticipated that improvement will continue. As this is a cumulative measure the strength of	People Scrutiny

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
									performance each month will not be fully reflected in this measure as it is weighted down by the poorer performance early in the year.	



Expected Outcome At risk of missing target
Responsible OUs Department for Place

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 2.3	Percentage of household waste sent for reuse, recycling and composting [Cumulative]	Aim to Maximise	June 2017	N/A	-	TBC		-	Discussions with the contractor currently taking place, in relation to relevant data and need to rebalance targets.	Place Scrutiny



Expected Outcome At risk of missing target
Responsible OUs Public Health

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 3.8	Number of people successfully completing 4 week stop smoking course [Cumulative]	Aim to Maximise	August 2017	297	350	1,100			Department of Health guidelines state that quit attempts can be registered up to 42 days after a "quit date" is set. Therefore final data will not be available for this period for a further 2 months. Currently behind trajectory, 4 week quit recovery plan being developed and implemented. Recent statistics show smoking prevalence in adults has fallen to 17.2% and footfall through stop smoking continues to decline.	People Scrutiny







Expected Outcome At risk of missing target
 Cannot group these rows by Responsible OUs



MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 1.6 12	Rate of Children in Need per 10,000 (including CiN, CPP and LAC and Care Leavers). [Monthly Snapshot]	Aim to Minimise	August 2017	325.3	296.6	296.6			<p>This month Performance has once again improved on this indicator (for the 5th consecutive month). This indicates that the processes within Fieldwork Services in relation to contact, referral and assessment are beginning to lead to more positive performance. The positive impact is enhanced by the work being undertaken within longer term teams to ensure families move swiftly to other services when it safe for them to do so.</p> <p>The comment from August 2017 remains appropriate, namely that;</p> <p>As a result of the current performance an action plan is in place for this indicator and has been presented to Executive DMT which will be monitored on a monthly basis. Our rate of children in need has increased from 2015/16 when it stood at 251 per 10,000 however it should be noted that our rate had been low compared to statistical neighbours for a number of years. Robust operational management is now in place to ensure that all children classed as in need do actually require statutory support.</p>	People Scrutiny

Expected Outcome Some slippage against target
Responsible OUs Department of the Chief Executive


MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 5.4	Working days lost per FTE due to sickness - excluding school staff [Cumulative]	Aim to Minimise	August 2017	2.74	2.61	7.20			<p>The Corporate sickness target has not been met for the month of August, and sickness levels are above the year to date target. HR is continuing to provide advice and guidance to managers to enable them to proactively manage sickness absence. The HR team are working with First care to continue to develop management reports so that trends and issues can be highlighted</p>	Policy & Resources Scrutiny

Expected Outcome Some slippage against target
Responsible OUs Department for People


MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 1.1	Rate of children subject to a Child Protection Plan per 10,000 population under the age of 18. [Monthly Snapshot]	Goldilocks	August 2017	41.3	55.7	50.4-55.7			The number of children subject to child protection plans has been decreasing from a high level. The rate of children subject to plans continues to reduce following focussed quality assurance activity in this area.	People Scrutiny
CP 1.5	Percentage of children who have had their Child Protection Plan for at least 20 working days and who have had a visit in the 20 working days prior to the last day of the month.	Aim to Maximise	August 2017	86.1%	90%	90%			<p>An action plan is in place for this indicator and has been presented to Executive DMT which will be monitored on a monthly basis.</p> <p>It is acknowledged that this performance indicator remains below target however there has been good improvement which is expected to continue. This remains an area of continued focus and the action plan taken to Executive DMT is being progressed.</p> <p>The details of that plan is as follows:</p> <ul style="list-style-type: none"> - visiting being included in all social worker PMR, assurance reporting from team managers on a weekly basis to service managers includes children who have not been visited within the last 20 working days (process introduced on 22-Apr-17); and - proactive use of the weekly performance reports to team managers. Failure to complete visits to children forms part of capability processes where required. 	People Scrutiny
CP 3.4	The proportion of people who use services who receive direct payments (ASCOF 1C (2A)) [YTD Snapshot]	Aim to Maximise	August 2017	29.8%	33.5%	33.5%			At the end of August, 522 of 1751 long term service clients were receiving a Direct Payment. Performance on this indicator remains slightly below target but stable and above the national benchmark. It is acknowledged that further action needs to be taken in this area to reach target, the Service Transformation Team will be approached this month for suggestions to contribute towards improving performance in this area.	People Scrutiny

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 5.6	Percentage of new Education Health and Care (EHC) plans issued within 20 weeks including exception cases. [Cumulative YTD]	Aim to Maximise	August 2017	34.4%	56%	56%			Due to the performance of this indicator an action plan is in place and is submitted to EDMT each month. The action plan aims to get us to target by March 2018. Performance continues to improve month on month and performance is actually ahead of the modelled target which forms the basis of the action plan. It is expected that, with all being equal, target will now be reached in January, two months earlier than planned.	People Scrutiny

Expected Outcome Some slippage against target
Responsible OUs Department for Place



MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 2.1 14	Number of reported missed collections per 100,000 [Monthly Snapshot]	Aim to Minimise	August 2017	40	45	45			Reported missed collections have reduced as operations have improved, effective contract management has contributed and no further disruptions from service changes	Place Scrutiny



Expected Outcome Some slippage against target
Responsible OUs Public Health

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 3.9	Take up of the NHS Health Check programme - by those eligible [Cumulative]	Aim to Maximise	August 2017	1,826	2,398	5,740			Currently behind trajectory. Recovery plan being delivered with outreach provider and local GP practices. Public Health team offering support to all practices to improve uptake.	People Scrutiny



Expected Outcome: Indicators on course to achieve target (Greens)





Expected Outcome On course to achieve target
Responsible OUs Department of the Chief Executive

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
15 CP 4.3	% of Council Tax for 2017/18 collected in year [Cumulative]	Aim to Maximise	August 2017	44.30%	44.00%	97.30%			<p>Council Tax collection for current financial year has shown an increase against target and previous year's collection. The increase in collection is as a result of a reviewed collection process of arrears, which still offers some flexibility to vulnerable people and those that are struggling, but in the majority of cases will look to the Council making an arrangement for payment over a shorter period and a promotion of Direct Debit as a payment method.</p> <p>We have developed our working relationships with our stakeholders and advice sector as well as ensuring a more structured performance review with our Enforcement Agents. We have prioritised some of the more difficult to collect debts by using the more involved methods of recovery, for example Committal and Bankruptcy.</p> <p>The collection of Council Tax for our people in receipt of Council Tax support is the highest it has been since the commencement of the scheme in 2013, this is due to a dedicated team of staff working with the advice services to support and inform these people of their responsibilities.</p> <p>The review of discounts and exemptions is continuing to ensure our data base is accurate and appropriate; we will roll out the use of text messages very soon to encourage payment on time to avoid recovery costs.</p> <p>We are considering other incentives and new projects as we move through the financial year, which will all contribute to our collection and working relationships in the borough.</p>	Policy & Resources Scrutiny

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 4.4 16	% of Non-Domestic Rates for 2017/18 collected in year [Cumulative]	Aim to Maximise	August 2017	47.30%	44.50%	97.90%			<p>Business Rates collection for the current financial year has seen an increase against target and previous year's collection. The increase in collection is due to reviewed processes, particularly on the collection of arrears, which will still give some flexibility, allowing us to support local businesses that are struggling, however, it will also ensure that the majority of businesses that fall into arrears will have a shorter timeframe to pay arrears to clear their debt.</p> <p>We promote the support from government that is in place for businesses where appropriate through new initiatives schemes and legislation. We are developing new relationships with our business partners to promote Southend and attract additional business.</p> <p>We have also developed our relationship with our Enforcement Agents with a more structured performance reviews.</p> <p>We have a knowledgeable team who through training and development supported by the authority, play a significant part in what we have achieved in the financial year to date.</p>	Policy & Resources Scrutiny

Expected Outcome On course to achieve target
Responsible OUs Department for People

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 3.2	Proportion of older people (65 and over) who were still at home 91 days after discharge from hospital into reablement/rehabilitation services. [ASCOF 2B(1) [Rolling Quarter]	Aim to Maximise	August 2017	90.1%	88.6%	88.6%			<p>Performance has improved significantly this month, seeing a 4% improvement on last month, taking this indicator above target. This reporting period shows that out of 71 Adults using the reablement service, 64 were still at home 91 days later. Of the 7 not at home, 2 had passed away, 1 moved into nursing care, 4 into residential care. No Adults had been</p>	People Scrutiny

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
									readmitted into hospital this month. This significant recovery in performance is at least in part due to the work of the Service Transformation team which has supported the redesign of the Front Door services, including the monitoring of the reablement service and how the service collects the data. The benefits of all recent changes and ongoing work has achieved an early improvement in the service. This will now be monitored closely for sustained improvement that is expected.	
17 CP 3.3	Delayed transfers of care (people) from hospital which are attributable to social care ONLY, per 100,000 population. [ASCOF 2C(2)] [YTD Average]	Aim to Minimise	August 2017	0.71	1.43	1.43			The improvement in this indicator since April has been dramatic. In the last reporting month there has been; 1 Social Care Acute Delay and 0 Social Care Non-Acute Delays. This improvement in performance has been as a result of a significant amount of work by the service to address business process issues but more importantly to find solutions in time limited, high pressure environments. The Hospital Social Care Team are working with partners to improve patient flow in the acute hospital and embrace the Integrated Discharge Teams who are working with clients when they are first admitted into hospital. Southend Borough Council are working with the region to develop a consistent approach to reviewing, recording and coding DTOC. This is work aimed at improving the local reporting of issues in the system. Work continues with EPUT (non-acute) to establish robust processes to ensure data is accurate and agreed by Social Care.	People Scrutiny
CP 3.5	Proportion of adults with a learning disability in paid employment. (ASCOF 1E) [Monthly Snapshot]	Aim to Maximise	August 2017	11.6%	10%	10%			Performance continues to remain above target, 53 Adults are in paid employment and The Learning Disability Team are working with local employers who are keen to support in offering employment opportunities to clients with	People Scrutiny

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
									Learning Disabilities. We are confident that this indicator will meet the annual target.	
CP 4.9	Percentage of children in good or outstanding schools. [Monthly Snapshot]	Aim to Maximise	August 2017	85.6%	80%	80%			Due to school holidays no inspections were carried out in August. Performance remains the same as in July, above target.	People Scrutiny

Expected Outcome On course to achieve target
Responsible OUs Department for Place





MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 2.2	% acceptable standard of cleanliness: litter [Cumulative]	Aim to Maximise	August 2017	96%	93%	93%			Standards are above the target showing cleansing has improved, effective contract management and maturity of the contract has contributed to this	Place Scrutiny
CP 4.5	Major planning applications determined in 13 weeks [Cumulative]	Aim to Maximise	August 2017	100.00%	79.00%	79.00%			In order to meet the target during a period of vacancies in the planning service it has been necessary to reprioritise some non-statutory functions and engage temporary staff.	Place Scrutiny
CP 4.6	Minor planning applications determined in 8 weeks [Cumulative]	Aim to Maximise	August 2017	95.03%	84.00%	84.00%				Place Scrutiny
CP 4.7	Other planning applications determined in 8 weeks [Cumulative]	Aim to Maximise	August 2017	93.80%	90.00%	90.00%				Place Scrutiny

Expected Outcome On course to achieve target
Responsible OUs Public Health

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 3.7	Public Health Responsibility Deal [Cumulative]	Aim to Maximise	August 2017	19	16	40			Public Health responsibility Deal Well Being Champion network meeting arranged for the 11th October. There is continued positive response from local businesses to support the Public Health Responsibility Deal. We will be	People Scrutiny

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
									undertaking work with Wellbeing Champions from a number of businesses to assist with design of this initiative going forward.	

Expected Outcome On course to achieve target
Cannot group these rows by Responsible OUs

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 1.7 19	The proportion of concluded section 42 enquiries (safeguarding investigations) with an action and a result of either Risk Reduced or Risk Removed. [Cumulative YTD]	Aim to Maximise	August 2017	90.4%	74%	74%			Performance on this measure continues to be significantly above the target and benchmarks. The England Average is 67%.	People Scrutiny
CP 4.8	Current Rent Arrears as % of rent due.	Aim to Minimise	August 2017	1.33%	1.77%	1.77%			This indicator represents the current arrears as a percentage of the total rent collectable for the year. Whilst we will always see seasonal fluctuations in the arrears position, we are currently meeting the target , however the further "roll out" of Universal credit which started on the 19th July, coupled with the school summer holidays has seen the figure increase slightly this month .	Policy and Resources Scrutiny

Section 2: 2017- 2018 Corporate Performance Indicators

Information for all 2013-2014 Corporate Priority Indicators

Generated on: 09 October 2017 09:52



Performance Data Expected Outcome: At risk of missing target 6 On course to achieve target 19 Some slippage against target 7 No Value 1

Aim: SAFE: Priorities • 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.

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Managed By	Scrutiny Committee
CP 1.1	Rate of children subject to a Child Protection Plan per 10,000 population under the age of 18. [Monthly Snapshot]	Goldilocks	August 2017	41.3	55.7	50.4-55.7			John O'Loughlin	People Scrutiny
CP 1.2	Rate of Looked After Children per 10,000 population under the age of 18. [Monthly Snapshot]	Aim to Minimise	August 2017	74.6	66	66			John O'Loughlin	People Scrutiny
CP 1.4	Percentage of children who have been LAC for at least 5 working days, who have had a visit in the 6 weeks (30 working days), prior to the last day of the month.	Aim to Maximise	August 2017	79.1%	90%	90%			John O'Loughlin	People Scrutiny
CP 1.5	Percentage of children who have had their Child Protection Plan for at least 20 working days and who have had a visit in the 20 working days prior to the last day of the month.	Aim to Maximise	August 2017	86.1%	90%	90%			John O'Loughlin	People Scrutiny
CP 1.6	Rate of Children in Need per 10,000 (including CiN, CPP and LAC and Care Leavers). [Monthly Snapshot]	Aim to Minimise	August 2017	325.3	296.6	296.6			John O'Loughlin	People Scrutiny
CP 1.7	The proportion of concluded section 42 enquiries (safeguarding investigations) with an action and a result of either Risk Reduced or Risk Removed. [Cumulative YTD]	Aim to Maximise	August 2017	90.4%	74%	74%			Sharon Houlden	People Scrutiny

Aim: CLEAN: Priorities • 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.

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Managed By	Scrutiny Committee
CP 2.1	Number of reported missed collections per 100,000 [Monthly Snapshot]	Aim to Minimise	August 2017	40	45	45			Carl Robinson	Place Scrutiny
CP 2.2	% acceptable standard of cleanliness: litter [Cumulative]	Aim to Maximise	August 2017	96%	93%	93%			Carl Robinson	Place Scrutiny
CP 2.3	Percentage of household waste sent for reuse, recycling and composting [Cumulative]	Aim to Maximise	June 2017	N/A	-	TBC	-	-	Carl Robinson	Place Scrutiny

Aim: HEALTHY: Priorities • 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 & adults, by working to reduce inequalities and social deprivation across our communities.

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Managed By	Scrutiny Committee
CP 3.1	Proportion of adults in contact with secondary mental health services who live independently with or without support. (ASCOF 1H) [Monthly Snapshot]	Aim to Maximise	August 2017	74.6%	70%	70%			Sharon Houlden	People Scrutiny
CP 3.2	Proportion of older people (65 and over) who were still at home 91 days after discharge from hospital into reablement/rehabilitation services. [ASCOF 2B(1) [Rolling Quarter]	Aim to Maximise	August 2017	90.1%	88.6%	88.6%			Sharon Houlden	People Scrutiny
CP 3.3	Delayed transfers of care (people) from hospital which are attributable to social care ONLY, per 100,000 population. [ASCOF 2C(2)] [YTD Average]	Aim to Minimise	August 2017	0.71	1.43	1.43			Sharon Houlden	People Scrutiny
CP 3.4	The proportion of people who use services who receive direct payments (ASCOF 1C (2A)) [YTD Snapshot]	Aim to Maximise	August 2017	29.8%	33.5%	33.5%			Sharon Houlden	People Scrutiny
CP 3.5	Proportion of adults with a learning disability in paid employment. (ASCOF 1E) [Monthly Snapshot]	Aim to Maximise	August 2017	11.6%	10%	10%			Sharon Houlden	People Scrutiny

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Managed By	Scrutiny Committee
CP 3.6	Participation and attendance at council owned / affiliated cultural and sporting activities and events and visits to the Pier [Cumulative]	Aim to Maximise	August 2017	3,306,027	1,812,500	4,350,000	✔	↑	Scott Dolling	Place Scrutiny
CP 3.7	Public Health Responsibility Deal [Cumulative]	Aim to Maximise	August 2017	19	16	40	✔	↓	Andrea Atherton	People Scrutiny
CP 3.8	Number of people successfully completing 4 week stop smoking course [Cumulative]	Aim to Maximise	August 2017	297	350	1,100	⚠	↓	Lee Watson	People Scrutiny
CP 3.9	Take up of the NHS Health Check programme - by those eligible [Cumulative]	Aim to Maximise	August 2017	1,826	2,398	5,740	⚠	↓	Andrea Atherton	People Scrutiny
CP 3.10	Percentage of Initial Child Protection Conferences that took place with 15 working days of the initial strategy discussion. [Cumulative YTD]	Aim to Maximise	August 2017	59.3%	90%	90%	⚠	↑	John O'Loughlin	People Scrutiny
CP 3.11	The number of Early Help Assessments closed with successful outcomes for the clients (excluding TACAF).	Aim to Maximise	August 2017	91	-	-	-	↓	John O'Loughlin	People Scrutiny

Aim: PROSPEROUS: Priorities • Maximise opportunities to enable the planning and development of quality, affordable housing. • Ensure residents have access to high quality education to enable them to be lifelong learners & have fulfilling employment. • Ensure the town is 'open for businesses' and that new, developing and existing enterprise is nurtured and supported • Ensure continued regeneration of the town through a culture led agenda.

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Managed By	Scrutiny Committee
CP 4.3	% of Council Tax for 2017/18 collected in year [Cumulative]	Aim to Maximise	August 2017	44.30%	44.00%	97.30%	✔	↑	Joe Chesterton	Policy & Resources Scrutiny
CP 4.4	% of Non-Domestic Rates for 2017/18 collected in year [Cumulative]	Aim to Maximise	August 2017	47.30%	44.50%	97.90%	✔	↑	Joe Chesterton	Policy & Resources Scrutiny
CP 4.5	Major planning applications determined in 13 weeks [Cumulative]	Aim to Maximise	August 2017	100.00%	79.00%	79.00%	✔	↑	Peter Geraghty	Place Scrutiny
CP 4.6	Minor planning applications determined in 8 weeks [Cumulative]	Aim to Maximise	August 2017	95.03%	84.00%	84.00%	✔	↑	Peter Geraghty	Place Scrutiny
CP 4.7	Other planning applications determined in 8 weeks [Cumulative]	Aim to Maximise	August 2017	93.80%	90.00%	90.00%	✔	↓	Peter Geraghty	Place Scrutiny

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Managed By	Scrutiny Committee
CP 4.8	Current Rent Arrears as % of rent due.	Aim to Minimise	August 2017	1.33%	1.77%	1.77%			Sharon Houlden	Policy and Resources Scrutiny
CP 4.9	Percentage of children in good or outstanding schools. [Monthly Snapshot]	Aim to Maximise	August 2017	85.6%	80%	80%			Brin Martin	People Scrutiny
CP 4.10	Total number of households in temporary accommodation.	Aim to Minimise	August 2017	99	100	100			Sharon Houlden	People Scrutiny

Aim: EXCELLENT: Priorities • Work with & listen to our communities & partners to achieve better outcomes for all • Enable communities to be self-sufficient & foster pride in the town • Promote & lead an entrepreneurial, creative & innovative approach to the development of our town.

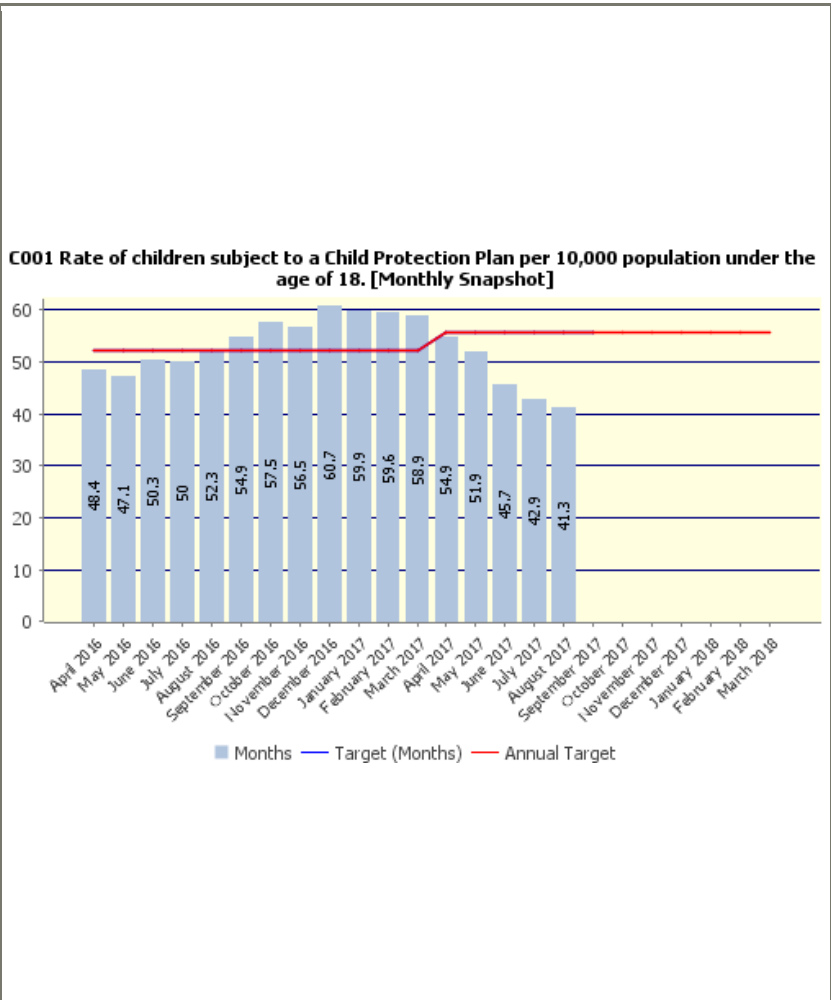
MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Managed By	Scrutiny Committee
CP 5.1 NS	Number of hours delivered through volunteering within Culture, Tourism and Property, including Pier and Foreshore and Events. [Cumulative]	Aim to Maximise	August 2017	14,218	7,917	19,000			Scott Dolling	Place Scrutiny
CP 5.2	Govmetric Measurement of Satisfaction (3 Channels - Phones, Face 2 Face & Web) [Cumulative]	Aim to Maximise	August 2017	85.52%	80.00%	80.00%			Nick Corrigan; Joanna Ruffle	Policy & Resources Scrutiny
CP 5.4	Working days lost per FTE due to sickness - excluding school staff [Cumulative]	Aim to Minimise	August 2017	2.74	2.61	7.20			Joanna Ruffle	Policy & Resources Scrutiny
CP 5.5	Increase the number of people signed up to MySouthend to 35,000 [Cumulative]	Aim to Maximise	August 2017	30,558	26,250	35,000			Ellen Butler; Joanna Ruffle	Policy & Resources Scrutiny
CP 5.6	Percentage of new Education Health and Care (EHC) plans issued within 20 weeks including exception cases. [Cumulative YTD]	Aim to Maximise	August 2017	34.4%	56%	56%			Brin Martin	People Scrutiny

Section 3: Detail of indicators rated Red or Amber

Aim: SAFE: Priorities • 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.
 Expected Outcome: At risk of missing target 3 Some slippage against target 2

CP 1.1	Rate of children subject to a Child Protection Plan per 10,000 population under the age of 18. [Monthly Snapshot]			
Expected Outcome		Format	Goldilocks	
Managed By	John O'Loughlin			
Year Introduced	2014			

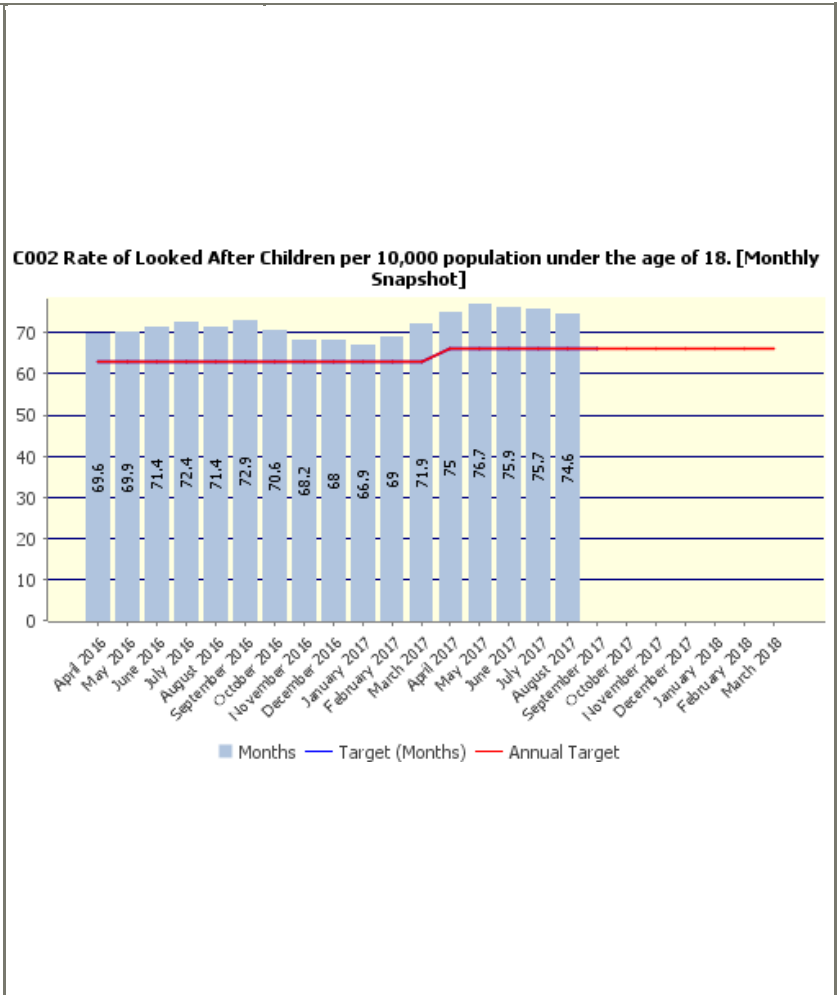
Date Range 1		
	Value	Target
April 2016	48.4	52.3
May 2016	47.1	52.3
June 2016	50.3	52.3
July 2016	50	52.3
August 2016	52.3	52.3
September 2016	54.9	52.3
October 2016	57.5	52.3
November 2016	56.5	52.3
December 2016	60.7	52.3
January 2017	59.9	52.3
February 2017	59.6	52.3
March 2017	58.9	52.3
April 2017	54.9	50.4 - 55.7
May 2017	51.9	50.4 - 55.7
June 2017	45.7	50.4 - 55.7
July 2017	42.9	50.4 - 55.7
August 2017	41.3	50.4 - 55.7
September 2017		
October 2017		
November 2017		
December 2017		
January 2018		
February 2018		
March 2018		



The number of children subject to child protection plans has been decreasing from a high level. The rate of children subject to plans continues to reduce following focussed quality assurance activity in this area.

CP 1.2	Rate of Looked After Children per 10,000 population under the age of 18. [Monthly Snapshot]			<p style="text-align: center;">August 2017 result</p>
Expected Outcome		Format	Aim to Minimise	
Managed By	John O'Loughlin			
Year Introduced	2014			

Date Range 1		
	Value	Target
April 2016	69.6	63
May 2016	69.9	63
June 2016	71.4	63
July 2016	72.4	63
August 2016	71.4	63
September 2016	72.9	63
October 2016	70.6	63
November 2016	68.2	63
December 2016	68	63
January 2017	66.9	63
February 2017	69	63
March 2017	71.9	63
April 2017	75	66
May 2017	76.7	66
June 2017	75.9	66
July 2017	75.7	66
August 2017	74.6	66
September 2017		
October 2017		
November 2017		
December 2017		
January 2018		
February 2018		
March 2018		



As a result of the current performance an action plan is in place for this indicator and has been presented to Executive DMT which will be monitored on a monthly basis. The rate of looked after children remains above target however it has reduced slightly over the last 3 months. It is acknowledged that we are still some way off target on this indicator but with the drop in child protection numbers we should start seeing a downward trend towards target. In addition to this we are carrying out a piece of detailed analysis on the flow of children in this area with the support of Research in Practice to help us understand where any improvements might be made. Other than children who need to become looked after in an emergency the decision for a child to become looked after is made by the Placement Panel to ensure that all other options are considered before care is agreed. The Panel process has prevented the numbers escalating and where safely possible put other measures in place to support the family. It is anticipated that our planned work around reunification will ensure that children do not remain in care for longer than necessary.

Note for CMT: Benchmarking data as requested Eastern region 49.9, Lowest 33.6 (Essex), Highest 86.0 (Thurrock). Southend are 9th out of 11, 1st being the lowest. Of the 289 children who are looked after, 16 are Unaccompanied Asylum Seeking Children. If these 16 children are removed from the figure, the rate of LAC would be 70.5.

CP 1.4	Percentage of children who have been LAC for at least 5 working days, who have had a visit in the 6 weeks (30 working days), prior to the last day of the month.		<p style="text-align: center;">August 2017 result</p>
Expected Outcome		Format Aim to Maximise	
Managed By	John O'Loughlin		
Year Introduced	2017		

Date Range 1		
	Value	Target
April 2017	58.9%	90%
May 2017	63.4%	90%
June 2017	68.8%	90%
July 2017	74.6%	90%
August 2017	79.1%	90%
September 2017		
October 2017		
November 2017		
December 2017		
January 2018		
February 2018		
March 2018		

April 2016	May 2016	June 2016	July 2016	August 2016	September 2016	October 2016	November 2016	December 2016	January 2017	February 2017	March 2017	April 2017	May 2017	June 2017	July 2017	August 2017	September 2017	October 2017	November 2017	December 2017	January 2018	February 2018	March 2018
												58.9%	63.4%	68.8%	74.6%	79.1%							

Whilst it is acknowledged that this indicator is below target the trend is upwards and performance has improved every month this financial year. Since April performance has improved from 58.9% to 79.1%. The activity relating to improving this area of performance is working and has been reported in previous months and remains the same, namely that:

- as a result of current performance an action plan is in place and has been presented to Executive Departmental Management Team (DMT) and monitored on a monthly basis; and
- performance continues to improve month on month however it is recognised that the rate of change is too slow.

Robust action has been taken in this regard and further improvements have been seen during Aug-17. Work across the service to improve practice, as detailed in plans relating to other areas of performance, will further improve this area of performance. The work includes; visiting being included in all social worker PMR, assurance reporting from team managers on a weekly basis to service managers highlighting children who have not been visited within the last 30 working days (process introduced in April) and proactive use of the weekly performance reports to team managers. Failure to complete visits to children forms part of capability processes where appropriate.

CP 1.5	Percentage of children who have had their Child Protection Plan for at least 20 working days and who have had a visit in the 20 working days prior to the last day of the month.			<p style="text-align: center;">August 2017 result</p>
Expected Outcome		Format	Aim to Maximise	
Managed By	John O'Loughlin			
Year Introduced	2017			

Date Range 1		
	Value	Target
April 2017	83.7%	90%
May 2017	79.4%	90%
June 2017	83.2%	90%
July 2017	81.7%	90%
August 2017	86.1%	90%
September 2017		
October 2017		
November 2017		
December 2017		
January 2018		
February 2018		
March 2018		

C009 Percentage of children who have had their Child Protection Plan for at least 20 working days and who have had a visit in the 20 working days prior to the last day of the month.																			
	<table border="1"> <thead> <tr> <th>Month</th> <th>Value</th> <th>Target</th> </tr> </thead> <tbody> <tr><td>April 2017</td><td>83.7%</td><td>90%</td></tr> <tr><td>May 2017</td><td>79.4%</td><td>90%</td></tr> <tr><td>June 2017</td><td>83.2%</td><td>90%</td></tr> <tr><td>July 2017</td><td>81.7%</td><td>90%</td></tr> <tr><td>August 2017</td><td>86.1%</td><td>90%</td></tr> </tbody> </table>	Month	Value	Target	April 2017	83.7%	90%	May 2017	79.4%	90%	June 2017	83.2%	90%	July 2017	81.7%	90%	August 2017	86.1%	90%
Month	Value	Target																	
April 2017	83.7%	90%																	
May 2017	79.4%	90%																	
June 2017	83.2%	90%																	
July 2017	81.7%	90%																	
August 2017	86.1%	90%																	

An action plan is in place for this indicator and has been presented to Executive DMT which will be monitored on a monthly basis.

It is acknowledged that this performance indicator remains below target however there has been good improvement which is expected to continue. This remains an area of continued focus and the action plan taken to Executive DMT is being progressed.

The details of that plan is as follows:

- visiting being included in all social worker PMR, assurance reporting from team managers on a weekly basis to service managers includes children who have not been visited within the last 20 working days (process introduced on 22-Apr-17); and
- Proactive use of the weekly performance reports to team managers. Failure to complete visits to children forms part of capability processes where required.

CP 1.6	Rate of Children in Need per 10,000 (including CiN, CPP and LAC and Care Leavers). [Monthly Snapshot]			<p style="text-align: center;">August 2017 result</p>
Expected Outcome		Format	Aim to Minimise	
Managed By	John O'Loughlin			
Year Introduced	2017			

Date Range 1			C113 Rate of Children in Need per 10,000 (including CiN, CPP and LAC and Care Leavers). [Monthly Snapshot]
	Value	Target	
April 2017	369.3	296.6	
May 2017	366.1	296.6	
June 2017	361.7	296.6	
July 2017	341.6	296.6	
August 2017	325.3	296.6	
September 2017			
October 2017			
November 2017			
December 2017			
January 2018			
February 2018			
March 2018			

This month Performance has once again improved on this indicator (for the 5th consecutive month). This indicates that the processes within Fieldwork Services in relation to contact, referral and assessment are beginning to lead to more positive performance. The positive impact is enhanced by the work being undertaken within longer term teams to ensure families move swiftly to other services when it safe for them to do so.

The comment from August 2017 remains appropriate, namely that;

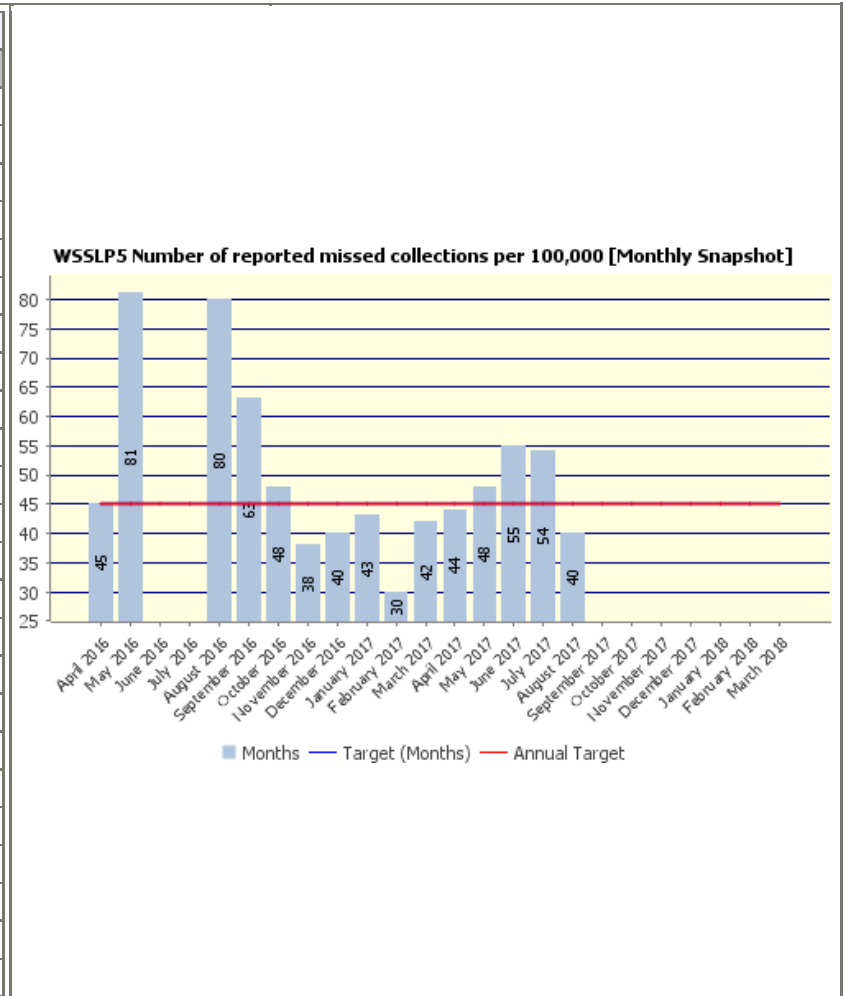
As a result of the current performance an action plan is in place for this indicator and has been presented to Executive DMT which will be monitored on a monthly basis. Our rate of children in need has increased from 2015/16 when it stood at 251 per 10,000 however it should be noted that our rate had been low compared to statistical neighbours for a number of years. Robust operational management is now in place to ensure that all children classed as in need do actually require statutory support.

Aim: CLEAN: Priorities • 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.


Expected Outcome: At risk of missing target 1 Some slippage against target 1

CP 2.1	Number of reported missed collections per 100,000 [Monthly Snapshot]			<p style="text-align: center;">August 2017 result</p>
Expected Outcome		Format	Aim to Minimise	
Managed By	Carl Robinson			
Year Introduced				

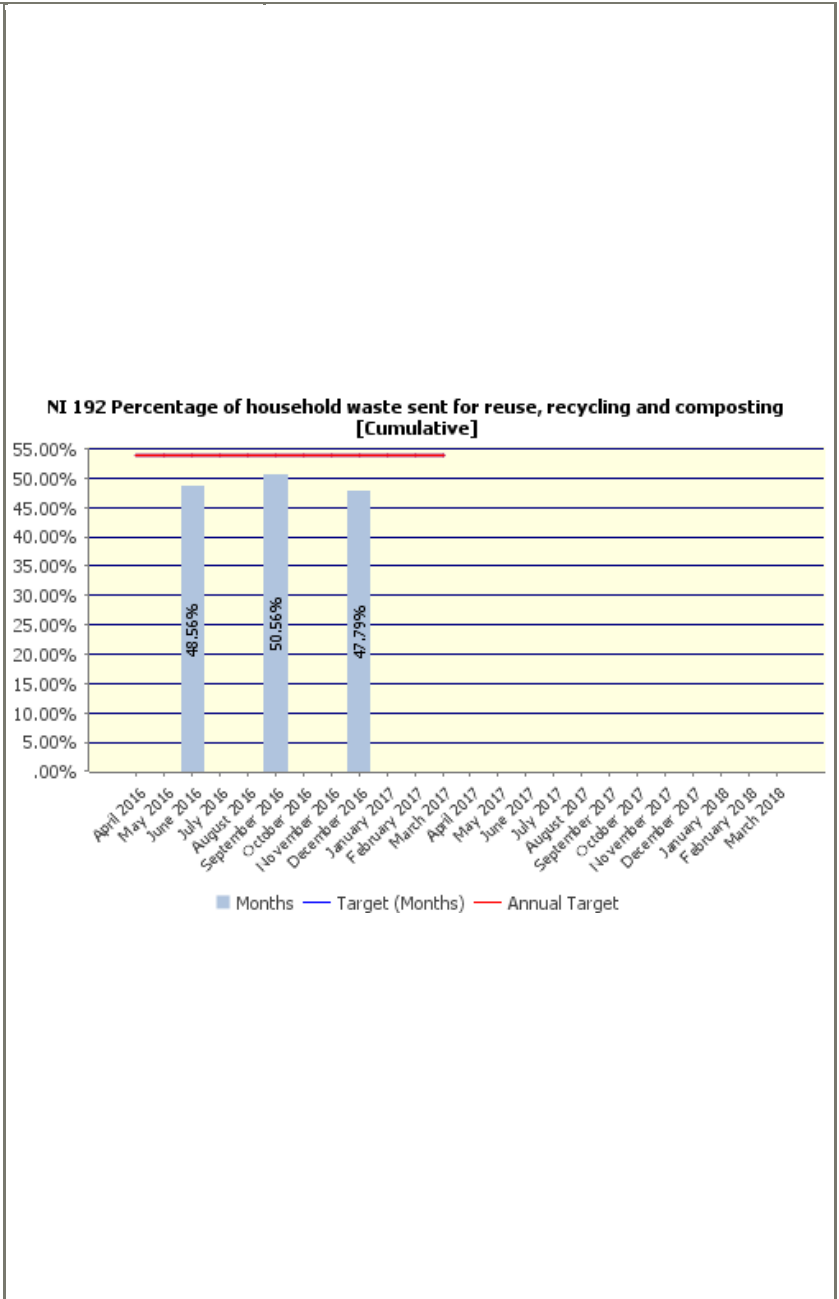
Date Range 1		
	Value	Target
April 2016	45	45
May 2016	81	45
June 2016	N/A	45
July 2016	N/A	45
August 2016	80	45
September 2016	63	45
October 2016	48	45
November 2016	38	45
December 2016	40	45
January 2017	43	45
February 2017	30	45
March 2017	42	45
April 2017	44	45
May 2017	48	45
June 2017	55	45
July 2017	54	45
August 2017	40	45
September 2017		45
October 2017		45
November 2017		45
December 2017		45
January 2018		45
February 2018		45
March 2018		45



Reported missed collections have reduced as operations have improved , effective contract management has contributed and no further disruptions from service changes

CP 2.3	Percentage of household waste sent for reuse, recycling and composting [Cumulative]		June 2017 result N/A
Expected Outcome		Format Aim to Maximise	
Managed By	Carl Robinson		
Year Introduced	2008		


Date Range 1		
	Value	Target
April 2016	N/A	54.00%
May 2016	N/A	54.00%
June 2016	48.56%	54.00%
Q1 2016/17		
July 2016	N/A	54.00%
August 2016	N/A	54.00%
September 2016	50.56%	54.00%
Q2 2016/17		
October 2016	N/A	54.00%
November 2016	N/A	54.00%
December 2016	47.79%	54.00%
Q3 2016/17		
January 2017	N/A	54.00%
February 2017	N/A	54.00%
March 2017	N/A	54.00%
Q4 2016/17		
April 2017	N/A	TBC
May 2017	N/A	TBC
June 2017	N/A	TBC
Q1 2017/18		
July 2017		
August 2017		
September 2017		
Q2 2017/18		
October 2017		
November 2017		
December 2017		
Q3 2017/18		
January 2018		
February 2018		
March 2018		
Q4 2017/18		

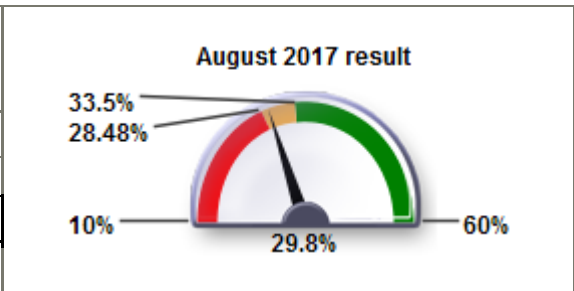


Discussions with the contractor currently taking place, in relation to relevant data and need to rebalance targets.

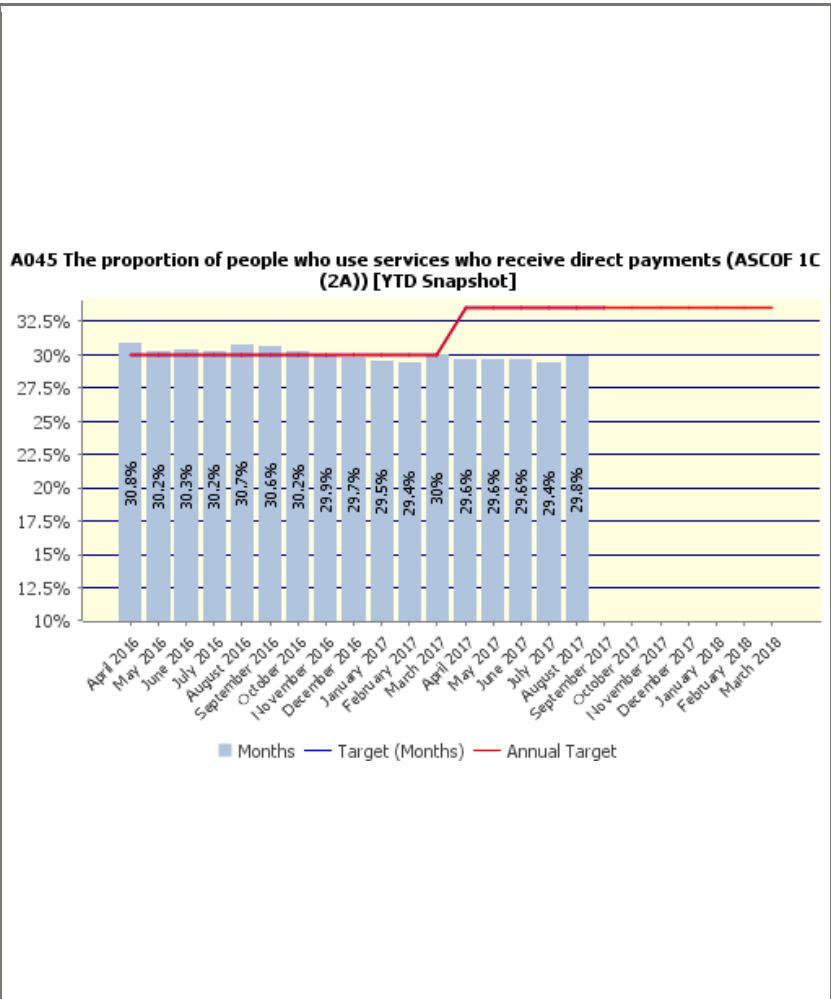
Aim: HEALTHY: Priorities • Actively promote healthy and active lifestyles for all. • Work with the public and private rented sectors to provide good quality housing. • Improve the life chances of our residents, especially our vulnerable children & adults, by working to reduce inequalities and social deprivation across our communities.

Expected Outcome: At risk of missing target 2 Some slippage against target 2


CP 3.4	The proportion of people who use services who receive direct payments (ASCOF 1C (2A)) [YTD Snapshot]		
Expected Outcome		Format	Aim to Maximise
Managed By	Sharon Houlden		
Year Introduced	2015		

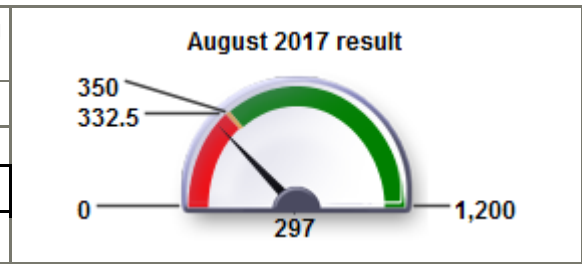


Date Range 1		
	Value	Target
April 2016	30.8%	30%
May 2016	30.2%	30%
June 2016	30.3%	30%
July 2016	30.2%	30%
August 2016	30.7%	30%
September 2016	30.6%	30%
October 2016	30.2%	30%
November 2016	29.9%	30%
December 2016	29.7%	30%
January 2017	29.5%	30%
February 2017	29.4%	30%
March 2017	30%	30%
April 2017	29.6%	33.5%
May 2017	29.6%	33.5%
June 2017	29.6%	33.5%
July 2017	29.4%	33.5%
August 2017	29.8%	33.5%
September 2017		
October 2017		
November 2017		
December 2017		
January 2018		
February 2018		
March 2018		

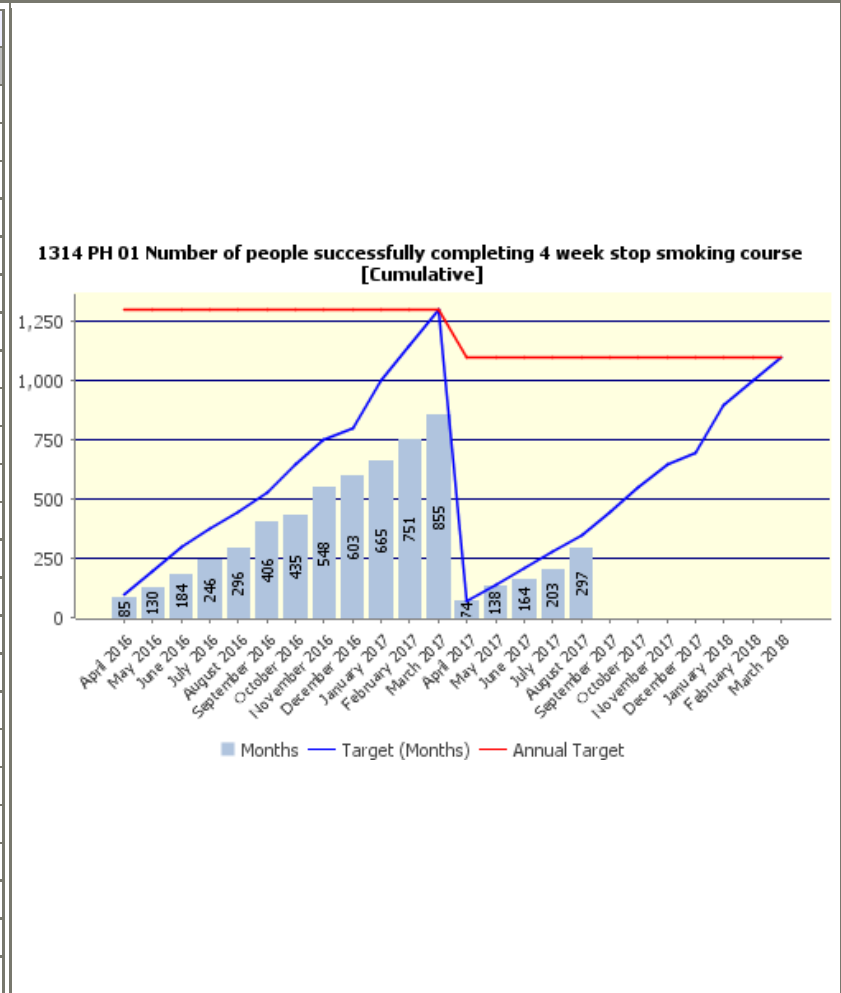


At the end of August, 522 of 1751 long term service clients were receiving a Direct Payment. Performance on this indicator remains slightly below target but stable and above the national benchmark. It is acknowledged that further action needs to be taken in this area to reach target, the Service Transformation Team will be approached this month for suggestions to contribute towards improving performance in this area.


CP 3.8	Number of people successfully completing 4 week stop smoking course [Cumulative]		
Expected Outcome		Format	Aim to Maximise
Managed By	Lee Watson		
Year Introduced	2013		

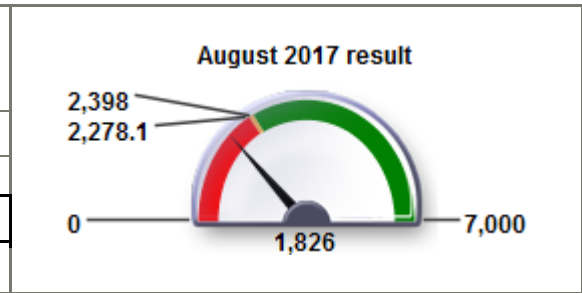


Date Range 1		
	Value	Target
April 2016	85	100
May 2016	130	200
June 2016	184	300
July 2016	246	380
August 2016	296	450
September 2016	406	530
October 2016	435	650
November 2016	548	750
December 2016	603	800
January 2017	665	1,000
February 2017	751	1,150
March 2017	855	1,300
April 2017	74	70
May 2017	138	140
June 2017	164	210
July 2017	203	280
August 2017	297	350
September 2017		450
October 2017		550
November 2017		650
December 2017		700
January 2018		900
February 2018		1,000
March 2018		1,100

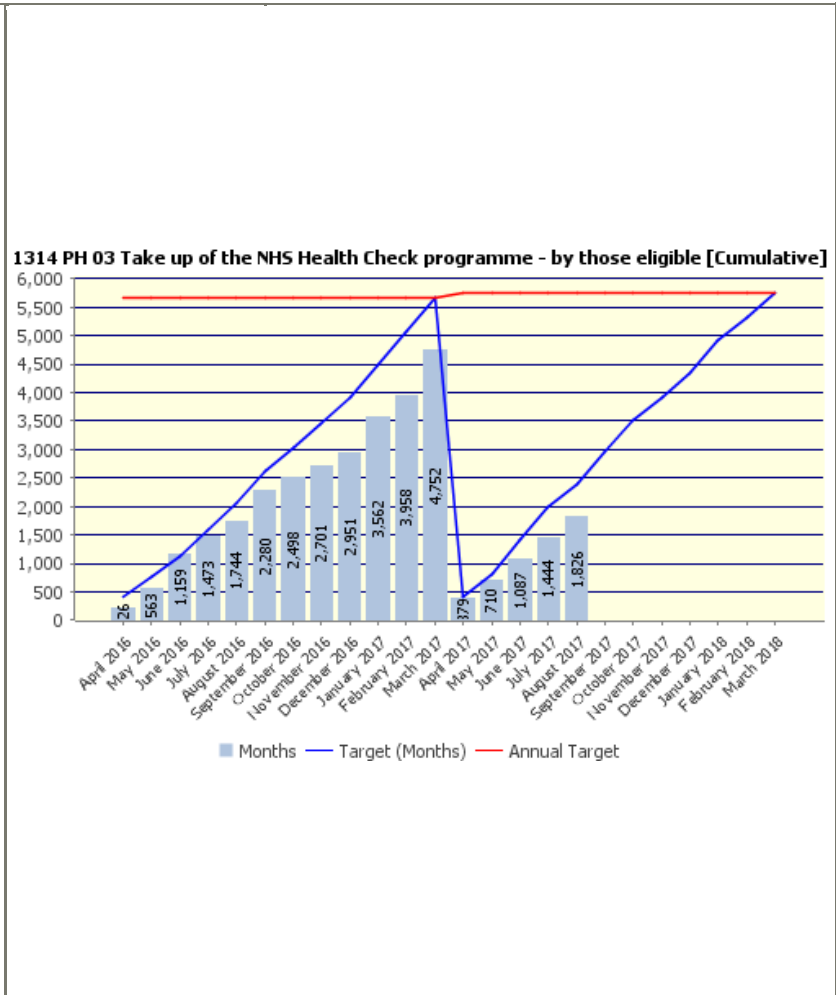


Department of Health guidelines state that quit attempts can be registered up to 42 days after a "quit date" is set. Therefore final data will not be available for this period for a further 2 months. Currently behind trajectory, 4 week quit recovery plan being developed and implemented. Recent statistics show smoking prevalence in adults has fallen to 17.2% and footfall through stop smoking continues to decline.

CP 3.9	Take up of the NHS Health Check programme - by those eligible [Cumulative]		
Expected Outcome		Format	Aim to Maximise
Managed By	Andrea Atherton		
Year Introduced	2013		



Date Range 1		
	Value	Target
April 2016	226	406
May 2016	563	763
June 2016	1,159	1,120
July 2016	1,473	1,592
August 2016	1,744	2,064
September 2016	2,280	2,632
October 2016	2,498	3,038
November 2016	2,701	3,443
December 2016	2,951	3,914
January 2017	3,562	4,482
February 2017	3,958	5,050
March 2017	4,752	5,673
April 2017	379	414
May 2017	710	828
June 2017	1,087	1,406
July 2017	1,444	1,984
August 2017	1,826	2,398
September 2017		2,976
October 2017		3,506
November 2017		3,920
December 2017		4,334
January 2018		4,912
February 2018		5,326
March 2018		5,740



Currently behind trajectory. Recovery plan being delivered with outreach provider and local GP practices. Public Health team offering support to all practices to improve uptake.


CP 3.10	Percentage of Initial Child Protection Conferences that took place with 15 working days of the initial strategy discussion. [Cumulative YTD]		<p style="text-align: center;">August 2017 result</p>
Expected Outcome		Format Aim to Maximise	
Managed By	John O'Loughlin		
Year Introduced	2017		

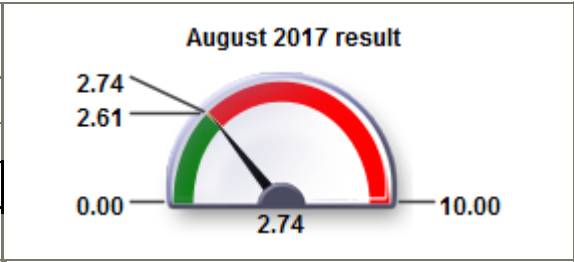
Date Range 1		
	Value	Target
April 2017	27.3%	90%
May 2017	26.5%	90%
June 2017	33.3%	90%
July 2017	54.5%	90%
August 2017	59.3%	90%
September 2017		
October 2017		
November 2017		
December 2017		
January 2018		
February 2018		
March 2018		

Month	Value	Target (Months)	Annual Target
April 2016			90%
May 2016			90%
June 2016			90%
July 2016			90%
August 2016			90%
September 2016			90%
October 2016			90%
November 2016			90%
December 2016			90%
January 2017			90%
February 2017			90%
March 2017			90%
April 2017	27.3%		90%
May 2017	26.5%		90%
June 2017	33.3%		90%
July 2017	54.5%		90%
August 2017	59.3%		90%
September 2017			90%
October 2017			90%
November 2017			90%
December 2017			90%
January 2018			90%
February 2018			90%
March 2018			90%

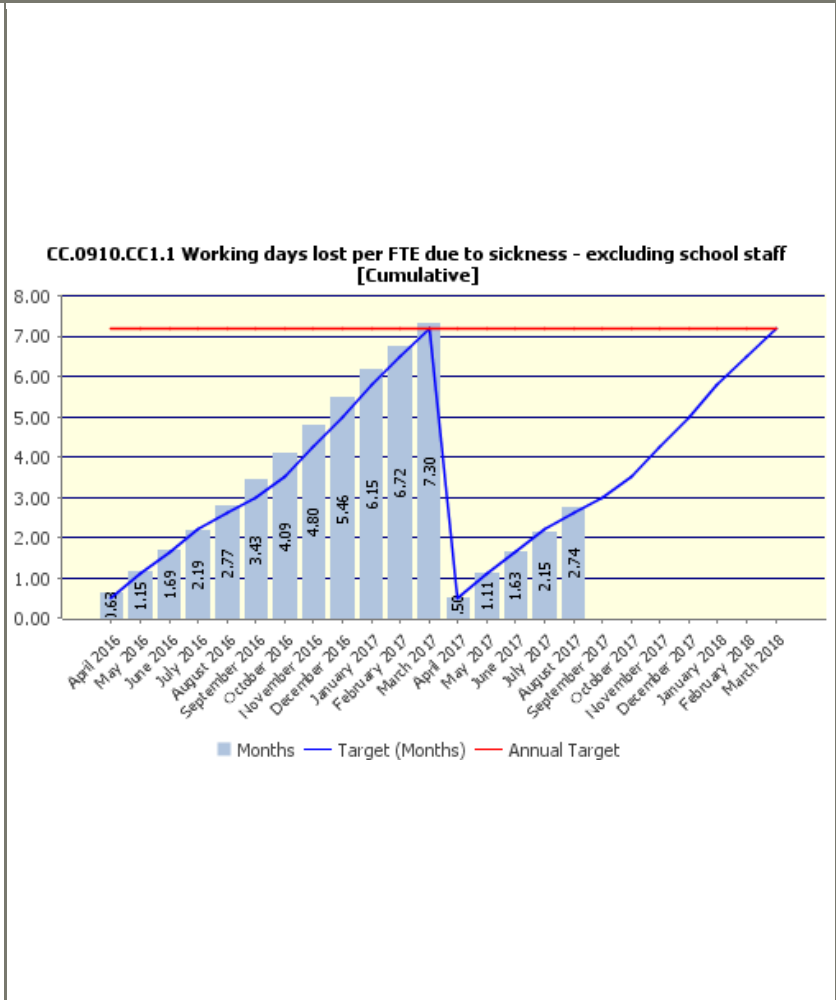
It is acknowledged that this indicator remains below target. An action plan continues to be progressed and is submitted to EDMT each month. Performance has however improved a further 5% during August. It is anticipated that improvement will continue. As this is a cumulative measure the strength of performance each month will not be fully reflected in this measure as it is weighted down by the poorer performance early in the year.

Aim: EXCELLENT: Priorities • Work with & listen to our communities & partners to achieve better outcomes for all • Enable communities to be self-sufficient & foster pride in the town • Promote & lead an entrepreneurial, creative & innovative approach to the development of our town.
 Expected Outcome: Some slippage against target 2


CP 5.4	Working days lost per FTE due to sickness - excluding school staff [Cumulative]		
Expected Outcome		Format	Aim to Minimise
Managed By	Joanna Ruffle		
Year Introduced	2009		

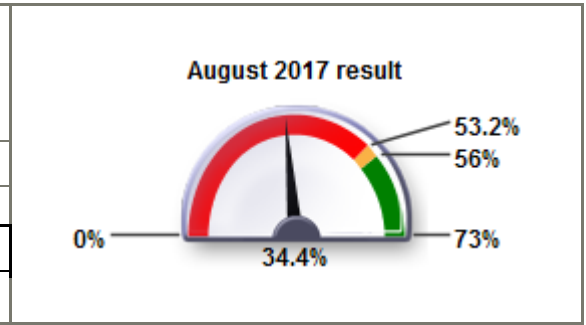


Date Range 1		
	Value	Target
April 2016	0.63	0.51
May 2016	1.15	1.10
June 2016	1.69	1.65
July 2016	2.19	2.21
August 2016	2.77	2.61
September 2016	3.43	3.01
October 2016	4.09	3.51
November 2016	4.80	4.27
December 2016	5.46	4.99
January 2017	6.15	5.82
February 2017	6.72	6.49
March 2017	7.30	7.20
April 2017	0.50	0.51
May 2017	1.11	1.10
June 2017	1.63	1.65
July 2017	2.15	2.21
August 2017	2.74	2.61
September 2017		3.01
October 2017		3.51
November 2017		4.27
December 2017		4.99
January 2018		5.82
February 2018		6.49
March 2018		7.20

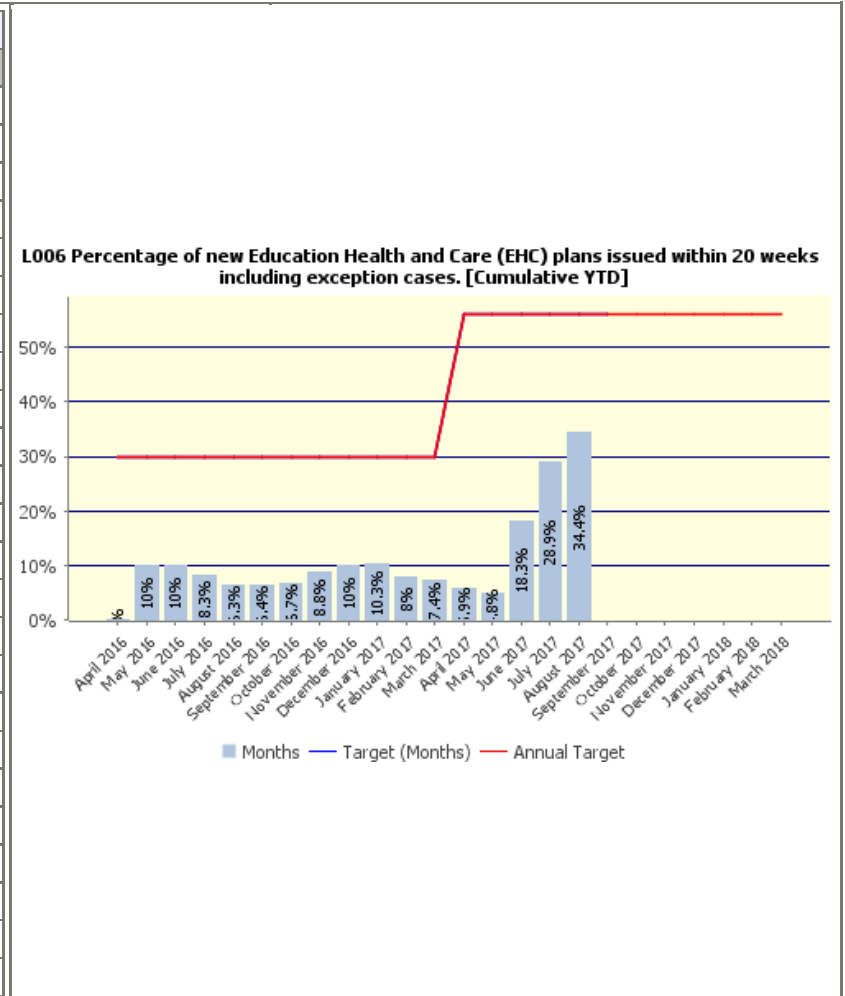


The Corporate sickness target has not been met for the month of August, and sickness levels are above the year to date target. HR is continuing to provide advice and guidance to managers to enable them to proactively manage sickness absence. The HR team are working with First care to continue to develop management reports so that trends and issues can be highlighted.

CP 5.6	Percentage of new Education Health and Care (EHC) plans issued within 20 weeks including exception cases. [Cumulative YTD]		
Expected Outcome		Format	Aim to Maximise
Managed By	Brin Martin		
Year Introduced	2016		



Date Range 1		
	Value	Target
April 2016	0%	30%
May 2016	10%	30%
June 2016	10%	30%
July 2016	8.3%	30%
August 2016	6.3%	30%
September 2016	6.4%	30%
October 2016	6.7%	30%
November 2016	8.8%	30%
December 2016	10%	30%
January 2017	10.3%	30%
February 2017	8%	30%
March 2017	7.4%	30%
April 2017	5.9%	56%
May 2017	4.8%	56%
June 2017	18.3%	56%
July 2017	28.9%	56%
August 2017	34.4%	56%
September 2017		
October 2017		
November 2017		
December 2017		
January 2018		
February 2018		
March 2018		



Due to the performance of this indicator an action plan is in place and is submitted to EDMT each month. The action plan aims to get us to target by March 2018. Performance continues to improve month on month and performance is actually ahead of the modelled target which forms the basis of the action plan. It is expected that, with all being equal, target will now be reached in January, two months earlier than planned.

SECTION 4 – Partnership Indicators

Health and Wellbeing Indicators

	[Potential] Performance Measures	Rationale for inclusion	Latest Performance
1.	<p>Referral for treatment - % of patients referred from GP to hospital treatment within 18 weeks</p> <p>http://southendccg.nhs.uk/news-events/governing-body-papers/june-2017/1752-item-10b-acute-commissioning-and-performance-report-010617/file</p>	National standard, providing a measurement of key area of performance and a key area of public concern. Can be produced monthly and is easy to benchmark.	<p style="text-align: center;">87.6% (May 2017)</p> <p>Against national target of 85%</p>
2.	<p>Cancer treatment - % patients treated within 62 days of GP urgent suspected cancer referral</p> <p>http://southendccg.nhs.uk/news-events/governing-body-papers/june-2017/1752-item-10b-acute-commissioning-and-performance-report-010617/file</p>	National standard, providing a measurement of key area of performance and a key area of public concern. Can be produced monthly and is easy to benchmark.	<p>62 Day Operational Standard 83% (May 2017)</p> <p>Against national average of 82.4%</p> <p>30 out of 36 patients were treated within 62 days.</p>
3.	<p>A&E - % of patients attending Southend Hospital A&E, seen and discharged in under 4 hours (95% target)</p> <p>http://southendccg.nhs.uk/news-events/governing-body-papers/</p>	National standard. Provides information relating to the effectiveness of the urgent care system. Can be produced monthly and is easy to benchmark.	<p style="text-align: center;">90.71% (June 2017)</p> <p style="text-align: center;">92.42% (Year to date)</p>
4.	<p>Mental health - Improving Access to Psychological Therapy (IAPT) - % of people with common mental health problems accessing the service and entering treatment in the current year</p> <p>http://southendccg.nhs.uk/news-events/governing-body-papers/june-2017/1750-item-08-integrated-commissioning-and-performance-report-010617/file</p>	Provides an indicator for a priority area for councillors and one of the HWB Strategy ambitions. Can be produced monthly and is easily benchmarked.	<p>15.8% as at 31st March 2017 (against the target of 15.54%)</p> <p>Based on performance over the rest of the year to date, it seems likely that the target will be close to the national NHS England target for 2017/18 of 16.8%.</p>
5.	<p>Dementia - % of people diagnosed with dementia against the estimated prevalence. (66.7% national ambition).</p> <p>http://southendccg.nhs.uk/news-events/governing-body-papers/june-2017/1750-item-08-integrated-commissioning-and-performance-report-010617/file</p>	Issue of increasing prevalence and concern among the public. Can be produced monthly and is easy to benchmark.	<p>56.54% achieved in April 2017, this is against the 66.7% diagnosis ambition target.</p> <p>This is a 0.6% increase from the February figure. Southend remains the only CCG in the East of England that is compliant with the national target.</p>

6.	<p>Primary Care – GP Patient Survey: - Overall experience of the GP surgery (very/fairly good; fairly/very poor; neither good nor poor)</p> <p>https://gp-patient.co.uk/surveys-and-reports</p>	<p>Provides residents views on the quality of GP service in the borough. Survey is now produced annually.</p>	<p>Overall experience of GP surgery – July 2017</p> <p>Very good – 42% Fairly good – 41% Neither good nor poor – 11% Fairly poor – 4% Very poor – 3%</p> <p>National Average of patients rating 'Good' is 85%</p>
7.	<p>End of life care - Preferred Place of Death (PPoD) – Percentage of patients referred to the Palliative Care Support Register (PCSE) who have expressed a preference for place of death and who achieve this preference. *</p>	<p>Nationally accepted as a key performance indicator for end of life care; integral to Ambitions for Palliative and End of Life Care: a national framework for local action 2015-2020. Can be produced monthly.</p>	<p>Southend: 87%</p> <p>The PPoD achievement for Southend in August 2017 is 47 out of 54.</p> <p>(no national target at present)</p>

*although patients make a preference for a place of death, often home, the reality of the last days/hours of life often prompts patients and/or relatives/carers to change their mind and seek what they consider to be a place of safety and support, which is invariably the acute trust. Patients are documented for PPoD as: Home; Hospital; Hospice; Care/Nursing Home; Community Hospital.

Local Economy Indicators

Performance Measures		Latest Performance Economic Scorecard Reported Quarterly										
1.	Average House Prices	<table border="1" style="margin: auto; border-collapse: collapse;"> <thead> <tr style="background-color: #d3d3d3;"> <th></th> <th style="text-align: center;">April 2016</th> <th style="text-align: center;">April 2017</th> </tr> </thead> <tbody> <tr> <td style="background-color: #d3d3d3;">Average Price</td> <td style="text-align: center;">£242,109</td> <td style="text-align: center;">£261,827</td> </tr> <tr> <td style="background-color: #d3d3d3;">% Change</td> <td style="text-align: center;">14.51% (Apr 15-16)</td> <td style="text-align: center;">8.14% (Apr 16-17)</td> </tr> </tbody> </table>			April 2016	April 2017	Average Price	£242,109	£261,827	% Change	14.51% (Apr 15-16)	8.14% (Apr 16-17)
	April 2016	April 2017										
Average Price	£242,109	£261,827										
% Change	14.51% (Apr 15-16)	8.14% (Apr 16-17)										
2.	Planning Applications	<p style="text-align: center;">Economic Scorecard Reported Quarterly</p> <table border="1" style="margin: auto; border-collapse: collapse;"> <tbody> <tr> <td style="text-align: center;">July 2015 - June 2016</td> <td style="text-align: center;">1734</td> </tr> <tr> <td style="text-align: center;">July 2016 - June 2017</td> <td style="text-align: center;">1913</td> </tr> </tbody> </table>		July 2015 - June 2016	1734	July 2016 - June 2017	1913					
July 2015 - June 2016	1734											
July 2016 - June 2017	1913											
3.	Job Seekers Allowance Claimants	<p style="text-align: center;">Economic Scorecard Reported Quarterly</p> <table border="1" style="margin: auto; border-collapse: collapse;"> <thead> <tr style="background-color: #d3d3d3;"> <th></th> <th style="text-align: center;">June 2016</th> <th style="text-align: center;">June 2017</th> </tr> </thead> <tbody> <tr> <td style="background-color: #d3d3d3;">JSA Claimants (Number)</td> <td style="text-align: center;">1,498</td> <td style="text-align: center;">1,517</td> </tr> <tr> <td style="background-color: #d3d3d3;">JSA Claimants %</td> <td style="text-align: center;">1.4%</td> <td style="text-align: center;">1.4%</td> </tr> </tbody> </table> <p style="text-align: center; margin-top: 5px;">Source: Office of National Statistics</p>			June 2016	June 2017	JSA Claimants (Number)	1,498	1,517	JSA Claimants %	1.4%	1.4%
	June 2016	June 2017										
JSA Claimants (Number)	1,498	1,517										
JSA Claimants %	1.4%	1.4%										

Community Safety Indicators

Short name	Month's value (April-July cumulative)	Comment – explanation of current performance, actions to improve performance and anticipated future performance																																								
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, wounding's, robbery. [Cumulative]	2656	<p>Southend CSP continues to focus its partner resources around key areas of concern, these include night time economy demands (particularly with increasing need to police seafront car cruises, and high footfall events such as Halloween weekend and Fireworks), street based crime (drug/knife crime), and other violence including domestic violence.</p> <p>The changes around crime activities (such as increasing gang related crime and knife crime) do pose challenges to partners and resources to tackle such. Furthermore, new areas of challenge such as strengthening town centre safety and security, and issues related to town centre ASB (eg street drinking and aggressive begging) require new strategic thinking around how best to tackle.</p> <p>The current reviews of CSP structure and remit, the review of Borough wide ASB response, plus a review of the new Community Safety Hub (based at the Police Station) will support new thinking to approach the new challenges (and existing challenges) that confront police and partners in 2017</p> <p>June BCS Breakdown: Theft of a vehicle – 4%; Theft from a vehicle - 7% ; Vehicle interference – 1%; Burglary in a dwelling – 0%; Bicycle Theft – 4%; Theft from the person - 2%; Criminal damage (exc 59) - 19%; HMIC Violence without injury – 39%; Wounding (Serious or Other) – 22%; Personal Robbery – 3%.</p>																																								
Performance Measures	Rationale for inclusion	Latest Performance Available																																								
10 BCS crimes	Provides a broad indication of the level of crime in the borough, is a familiar performance measure and is easy to benchmark.	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: center;">Individual Components of 10 BCS Comparator Crime</th> <th style="text-align: center;">iQuanta (June 2017)</th> <th style="text-align: center;">Essex Police Performance Summary Offences (Rolling 12 months to June 2017)</th> <th style="text-align: center;">Increase/ Decrease (previous years data) %</th> <th style="text-align: center;">Cumulative Solved Rates Difference ** %</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">10 BCS Crimes - total</td> <td style="text-align: center;">*</td> <td style="text-align: center;">7029</td> <td style="text-align: center;">↓1.5</td> <td style="text-align: center;">*</td> </tr> <tr> <td style="text-align: center;">Theft of a vehicle</td> <td style="text-align: center;">36</td> <td style="text-align: center;">369</td> <td style="text-align: center;">↑8.5</td> <td style="text-align: center;">↓0.6</td> </tr> <tr> <td style="text-align: center;">Theft from Vehicle</td> <td style="text-align: center;">67</td> <td style="text-align: center;">879</td> <td style="text-align: center;">↓11.6</td> <td style="text-align: center;">↓1.3</td> </tr> <tr> <td style="text-align: center;">Vehicle Interference</td> <td style="text-align: center;">8</td> <td style="text-align: center;">168</td> <td style="text-align: center;">↓4.0</td> <td style="text-align: center;">↓2.8</td> </tr> <tr> <td style="text-align: center;">Burglary in a dwelling</td> <td style="text-align: center;">0</td> <td style="text-align: center;">641</td> <td style="text-align: center;">↑19.4</td> <td style="text-align: center;">↓2.2</td> </tr> <tr> <td style="text-align: center;">Bicycle theft</td> <td style="text-align: center;">32</td> <td style="text-align: center;">467</td> <td style="text-align: center;">↑15.9</td> <td style="text-align: center;">↓0.4</td> </tr> <tr> <td style="text-align: center;">Theft from the person</td> <td style="text-align: center;">18</td> <td style="text-align: center;">222</td> <td style="text-align: center;">↓18.4</td> <td style="text-align: center;">↓0.5</td> </tr> </tbody> </table>	Individual Components of 10 BCS Comparator Crime	iQuanta (June 2017)	Essex Police Performance Summary Offences (Rolling 12 months to June 2017)	Increase/ Decrease (previous years data) %	Cumulative Solved Rates Difference ** %	10 BCS Crimes - total	*	7029	↓1.5	*	Theft of a vehicle	36	369	↑8.5	↓0.6	Theft from Vehicle	67	879	↓11.6	↓1.3	Vehicle Interference	8	168	↓4.0	↓2.8	Burglary in a dwelling	0	641	↑19.4	↓2.2	Bicycle theft	32	467	↑15.9	↓0.4	Theft from the person	18	222	↓18.4	↓0.5
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Theft from the person	18	222	↓18.4	↓0.5																																						

			Criminal Damage (exc 59)	138	1784	↓7.7	↓2.4
			Violence Without Injury	404	2924	↑13.4	↓4.3
			Wounding (Serious or Other)	165	*	*	*
			Robbery (Personal Property)	23	206	↑14.4	↓0.3
		<p>*Not recorded.</p> <p>**Solved rates show the ratio between the number of police-recorded crimes where the offender has received a formal sanction (includes; charges, cautions, penalty notices and cannabis warnings), and the total number of crimes recorded in the time period covered. (Solved rates do not include restorative justice or a community resolution.</p>					
Potential Performance Measures		Rationale for inclusion		Latest Performance			
				Number (Rolling 12 months to June)		Increase/Decrease %	
2	Total number of crimes +/- incidents	Provides a broad indication of the level of crime in the borough, covering all crimes		Total number of Incidents 4071 (June)	Total number of Crimes 15118	Crimes - ↓3.17%	Incidents ↑9.03%
3	Anti-social Behaviour	A key concern of members and public that is not reflected in the 10 BCS crimes performance measure.		7029		↓1.5%	
4	Number of arrests (cumulative)	Provides key performance information relating to Police activity to tackle crime. However, the measure may be misleading as the number of arrests has been declining as a result of greater use of alternatives to formal charges (penalty notices, community resolution, cautions etc..) – a trend which is likely to continue.		368		↑6.6%	
5	'Positive disposals' (outcomes of crimes 'cleared up' other than a formal conviction –..)	Recognises the full range of possible outcomes taken following arrest, such as community resolution, cautions etc...		189 (14.4%)		↓27.03%	
6	Number of domestic abuse incidents	High profile area of work and a demand pressure on resources.		3749		↑2.27%	
7	Number of incidents of missing people reported	High profile area of work and a demand pressure on resources.		129		↑46.6%	



Revenue Budget Monitoring 2017/18

Period 5

**as at 31 August 2017
Portfolio Summary**

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1. Commentary

This report outlines the budget monitoring position for the General Fund and Housing Revenue Account for 2017/18, based on the views of the Directors and their Management Teams, in light of expenditure and income to 31 August 2017.

The starting point for the budget monitoring is the original budget as agreed by Council in February 2017.

2. Overall Budget Performance – General Fund

As at the end of August, an underspend to the overall Council budget of £1,936,000 is currently being forecast for the year-end. This position reflects a projected overspend of £363,000 in Council departmental spending offset by a £2,299,000 underspend on financing costs. The variances which services are reporting are detailed in section 3. The forecast net underspend of £1,936,000 is currently expected to be transferred to earmarked reserves to ensure the General Fund balance remains at £11 million.

General Fund Portfolio Forecast Comparison 2017/18 at 31 August 2017 - Period 5

Portfolio	Latest Budget 2017/18 £000	Projected Outturn 2017/18 £000	August Forecast Variance £000	July Forecast Variance £000
Leader	2,411	2,361	(50)	(59)
Culture, Tourism & the Economy	12,992	13,099	107	75
Corporate and Community Support Services	11,963	11,805	(158)	(77)
Housing, Planning & Sustainability	5,122	5,122	0	0
Children & Learning	26,709	27,638	929	912
Health & Adult Social Care	39,090	39,312	222	227
Transport, Waste & Regulatory Services	22,776	22,004	(772)	(800)
Technology	4,390	4,475	85	0
Total Portfolio	125,453	125,816	363	278
Non-Service Areas	15,274	12,975	(2,299)	(2,304)
Earmarked Reserves	(17,574)	(15,638)	1,936	2,026
Net Expenditure / (Income)	123,153	123,153	0	0

Where Portfolios are forecasting an overspend by the end of the year, the relevant Director has been advised that appropriate action plans must be in place to address any projected overspend position so that a balanced budget for the Council is produced by the year end.

3. Service Variances - £363,000 forecast overspend

The key variances are as shown in the following table:-

Portfolio	Unfavourable £'000	Favourable £'000	Net £'000	Previous period £'000
Leader				
Part year vacancy for Chief Executive post		(40)		(50)
Treasury Management costs		(10)		(9)
	0	(50)	(50)	(59)
Culture, Tourism & the Economy				
Theatre contract negotiations ongoing	75			75
Grounds Maintenance income shortfall	50			50
Part year vacancies within the Library Service		(50)		0
Part year vacancy within the Parks Service		(18)		0
Water testing costs along the Pier and Foreshore	100			0
Pier admission income		(50)		(50)
	225	(118)	107	75
Corporate and Community Support				
Underspend on PA costs for Director of Legal and Democratic Services		(10)		(10)
Vacant posts in the Financial Planning and Control team		(60)		(60)
Vacant post in Asset Management team		(50)		(33)
Additional rents (including Backrent) for SBC Properties		(50)		(50)
Income relating to Council Tax Court Costs		(80)		(25)
Benefits Admin Team Staffing	50			41
Civic Centre contract cleaning	62			60
Income in the Registrations team				(5)
Vacant hours in the Voluntary Organisations team		(10)		(10)
Members internet costs				(20)
Overtime costs for Mayor's Chauffeur				10
Underspend on residual budget from the deletion of the Programme Office		(40)		0
Vacancies in Legal Services Team		(40)		0
Court Costs and Barrister Fees in Legal Team	45			0
Income for Legal Services	25			25
	182	(340)	(158)	(77)
Housing, Planning & Sustainability				
	0	0	0	0
Children and Learning				
Children with disabilities and associated cost of direct payments	27			20
Children's Placements - forecast for current cohort of PVI looked after children	501			356
Leaving Care accommodation costs and support costs	87			193
Staffing pressure costs in children services	137			120
Support costs for Children under Sect 17 and Sect 20		(54)		(76)
Funding pressures at the Marigold Assessment centre mostly attributable to transport costs	71			82
Forecast on current in-house fostering placements and impact of adoption referral income	160			217
	983	(54)	929	912

...Continued				
Health and Adult Social Care				
People with a Learning Disability - Lower than estimated residential care placements and day care services		(100)		(120)
People with Mental Health Needs - Higher than estimated residential care placements and direct payments	141			110
Older People - residential care packages and complex packages	248			292
Physical and Sensory Impairment - Higher than estimated residential care placements	16			28
Health contribution towards Integrated commissioning		(70)		(70)
Underspend due to vacancies on customer services team		(13)		(13)
	405	(183)	222	227
Transport, Waste & Regulatory Services				
Flood Defences pump station servicing	66			60
Flood Defences land licence	40			40
Job evaluation outcome	22			0
Waste MBT still in commissioning phase		(900)		(900)
	128	(900)	(772)	(800)
Technology				
ICT agency cost to backfill secondments to capital projects	85			0
	85	0	85	0
Total	2,008	(1,645)	363	278

Non Service Variances (£2,299,000 forecast underspend)

Financing Costs – (£2,299K)

This provision is forecast to be underspent against budget at the year-end as; revised Minimum Revenue Provision Policy (£1,924K); PWLB interest is lower (£470K) due to reduced borrowing; HRA interest (£4K); interest on short term borrowing £68K; reduced interest to be received on energy efficiency schemes £25K; VAT Interest due to a Voluntary Disclosure £6K.

4. Appropriations to / from Earmarked Reserves

Net appropriations from Earmarked Reserves totalling £12,282,000 were agreed by Council when setting the 2017/18 budget in February 2017. The current outturn position allows for further in-year net appropriations from reserves totalling £3,355,760. Total net appropriations from/(to) reserves for 2017/18 will therefore equal £15,637,760.

- £4,086,000 from the Capital Reserve as agreed at Cabinet in June 2017
- £590,550 from the Business Transformation Reserve to enable the progression of projects
- £75,000 from the Public Health Reserve Grant Reserve
- £644,710 from the General Grants Reserve
- £20,500 from the Public Health DAAT Reserve
- £125,000 to the Election Reserve (2017-18 is a fallow year)
- £1,936,000 appropriation to Reserves at the year end for projected year end underspend

£3,355,760 Total from Reserves

5. Revenue Contributions to Capital Outlay (RCCO)

The original budget for 2017/18 included planned revenue contributions for capital investments, via the use of Earmarked Reserves, of £3,804,000. Due to additions to the capital programme agreed at Cabinet in June 2017, this budget has now increased to £7,988,000. Earmarked Reserves will fund £7,890,000 of this, with the remaining £98,000 funded from energy savings generated from energy efficiency projects.

6. Performance against Budget savings targets for 2017/18

As part of setting the Council budget for 2017/18, a schedule of Departmental and Corporate savings was approved totalling £7.502 million. These are required to achieve a balanced budget.

A monthly exercise is in place to monitor the progress of the delivery of these savings. A breakdown, by RAG status, of the Departmental Savings is shown below:

Department	Red £000	Amber £000	Green £000	Original Savings Total £000	Projected Outturn £000	Forecast Variance £000
Chief Executive	0	785	205	990	990	0
People	671	751	3,119	4,541	3,428	(1,113)
Place	20	247	1,704	1,971	1,956	(15)
Total	691	1,783	5,028	7,502	6,374	(1,128)

Although the current forecast is showing a shortfall of £1,128,000 against the required savings total of £7.502 million, it is currently expected that the total savings will be delivered in full as part of each Department's overall budget total by the end of the financial year either by finding alternative savings or ensuring amber and red savings are delivered in full.

7. Overall Budget Performance – Housing Revenue Account (HRA)

The HRA budget was approved by Council on 23rd February 2017 and anticipated that £3,392,000 would be appropriated to earmarked reserves in 2017/18.

The closing HRA balance as at 31st March 2017 was £3,502,000.

The current forecast is projecting higher than anticipated rental income of £250,000 due to a lower number of void properties than estimated in the budget. There is also a £29,000 pressure due to resident patrol services in Victoria Ward and a £4,000 pressure on capital financing charges because the interest payable on the HRA's internal borrowing is higher than expected.

8. Budget Virements

In line with the approved financial procedure rules all virements over £50,000 between portfolio services or between pay and non-pay budgets are to be approved by Cabinet.

Below is a table showing the virements which fall within these parameters:-

	DR £	CR £
Virements over £50,000 in reported period	905	(905)
Virements over £50,000 previously reported	3,250	(3,250)
Virements approved under delegated authority	538	(538)
Total virements	4,693	(4,693)

The virements for Cabinet approval this period are:

- £ 78,150 Transfer of Economic Development Group Manager Budget in Tourism
- £ 699,000 Transfer of 16/17 one off investment in Waste
- £ 127,560 Transfer of 4 Posts back to FM in Property Management & Maintenance

£904,710 Total

Due to the changes made at Appointments Council, amendments have been made to the hierarchy structure within this report which has adjusted the opening budget shown in the original budget book. An additional exercise has been undertaken to ensure that all costs are allocated to the correct portfolio service within the Children & Learning Portfolio in line with CIPFA guidance.

General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Portfolio Holder Summary

Portfolio	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
Leader	2,567	(180)	2,387	24	2,411	2,361	(50)	4,027	3,857	(170)
Culture, Tourism & the Economy	16,350	(3,757)	12,593	399	12,992	13,099	107	5,568	5,758	190
Corporate and Community Support Services	121,679	(109,623)	12,056	(93)	11,963	11,805	(158)	5,935	5,002	(933)
Housing, Planning & Sustainability	7,725	(2,603)	5,122	0	5,122	5,122	0	2,199	2,125	(74)
Children & Learning	105,228	(78,991)	26,237	472	26,709	27,638	929	11,110	12,261	1,151
Health & Adult Social Care	67,470	(28,522)	38,948	142	39,090	39,312	222	15,504	15,587	83
Transport, Waste & Regulatory Services	33,996	(11,602)	22,394	382	22,776	22,004	(772)	9,290	8,448	(842)
Technology	5,354	(971)	4,383	7	4,390	4,475	85	1,832	2,041	209
Portfolio Net Expenditure	360,369	(236,249)	124,120	1,333	125,453	125,816	363	55,465	55,079	(386)
Reversal of Depreciation	(23,460)	4,629	(18,831)	0	(18,831)	(18,831)	0	(7,846)	(7,848)	(2)
Levies	590	0	590	0	590	590	0	234	241	7
Financing Costs	16,594	0	16,594	0	16,594	14,295	(2,299)	4,368	3,157	(1,211)
Contingency	5,228	0	5,228	(225)	5,003	5,003	0	1,329	0	(1,329)
Pensions Upfront Funding	7,467	0	7,467	0	7,467	7,467	0	0	0	0
Miscellaneous Income	0	0	0	0	0	0	0	0	228	228
Sub Total	6,419	4,629	11,048	(225)	10,823	8,524	(2,299)	(1,915)	(4,222)	(2,307)
Net Operating Expenditure	366,788	(231,620)	135,168	1,108	136,276	134,340	(1,936)	53,550	50,857	(2,693)
General Grants	0	(3,537)	(3,537)	0	(3,537)	(3,537)	0	(1,211)	(1,503)	(292)
Corporate Savings	0	0	0	0	0	0	0	0	0	0
Revenue Contribution to Capital	3,804	0	3,804	4,184	7,988	7,988	0	1,585	0	(1,585)
Contribution to / (from) Earmarked Reserves	(12,282)	0	(12,282)	(5,292)	(17,574)	(15,638)	1,936	(7,774)	(17,144)	(9,370)
Contribution to / (from) General Reserves	0	0	0	0	0	0	0	0	0	0
Net Expenditure / (Income)	358,310	(235,157)	123,153	0	123,153	123,153	0	46,150	32,210	(13,940)

Use of General Reserves						
Balance as at 1 April 2017		11,000		11,000	11,000	0
Use in Year		0	0	0	0	0
Balance as at 31 March 2018		11,000	0	11,000	11,000	0

**General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Leader
Portfolio Holder - Cllr J Lamb**

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
a Corporate Subscriptions	73	0	73	0	73	73	0	30	68	38
b Corporate and Non Distributable Costs	1,764	(180)	1,584	(26)	1,558	1,508	(50)	3,673	3,424	(249)
c Emergency Planning	85	0	85	0	85	85	0	35	31	(4)
d Strategy & Performance	645	0	645	50	695	695	0	289	334	45
Total Net Budget for Portfolio	2,567	(180)	2,387	24	2,411	2,361	(50)	4,027	3,857	(170)

Virements

£000

Transfer from earmarked reserves
Allocation from Contingency
In year virements

50
0
(26)
24

**General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Leader
Portfolio Holder - Cllr J Lamb**

Forecast Outturn Variance	Year to Date Variance
a.	
b. The Chief Executive post was vacant for the first three months of the year, resulting in an expected underspend of £40k against budget. A forecast underspend of £10k on Debt Management Expenses (enhanced cash fees being deducted at source rather than by invoice).	Year to date budgets for Corporate Initiatives and Pension Costs are currently underspent however due to the ad-hoc and high value nature it is not possible to forecast outturn with any degree of confidence. Any underspend against the Carbon Reduction budget will be used to repay the investment in the Energy/Climate change team.
c.	
d.	Salary mismatch with the Partnership team which will be resolved once further information is received

**General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Culture, Tourism & the Economy
Portfolio Holder - Cllr A Holland**

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
a Arts Development	554	(305)	249	5	254	254	0	209	177	(32)
b Amenity Services Organisation	3,615	(670)	2,945	0	2,945	2,995	50	1,349	1,459	110
c Culture Management	67	(6)	61	200	261	261	0	225	228	3
d Library Service	3,394	(394)	3,000	0	3,000	2,950	(50)	1,490	1,470	(20)
e Museums and Art Gallery	1,135	(68)	1,067	0	1,067	1,067	0	456	461	5
f Parks And Amenities Management	1,693	(665)	1,028	3	1,031	1,013	(18)	355	328	(27)
g Sports Development	53	0	53	0	53	53	0	22	23	1
h Sport and Leisure Facilities	615	(304)	311	0	311	311	0	104	105	1
i Southend Theatres	849	(27)	822	0	822	897	75	348	371	23
j Resort Services Pier and Foreshore and Southend Marine Activity Centre	2,689	(884)	1,805	8	1,813	1,863	50	472	495	23
k Tourism	136	(18)	118	(78)	40	40	0	17	17	0
l Economic Development	571	(250)	321	71	392	392	0	142	210	68
m Town Centre	210	(59)	151	0	151	151	0	79	40	(39)
n Better Queensway	0	0	0	250	250	250	0	0	33	33
o Climate Change	106	(43)	63	(60)	3	3	0	49	98	49
p Closed Circuit Television	450	(32)	418	0	418	418	0	178	173	(5)
q Community Safety	213	(32)	181	0	181	181	0	73	70	(3)
Total Net Budget for Portfolio	16,350	(3,757)	12,593	399	12,992	13,099	107	5,568	5,758	190

Virements

£000

Transfer from earmarked reserves
Allocation from Contingency
In year virements

488

3

(92)

399

**General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Culture, Tourism & the Economy
Portfolio Holder - Cllr A Holland**

Forecast Outturn Variance	Year to Date Variance
a.	
b. There has been a reduction in the income anticipated, based on the current position and compared against income received in 16/17; however staff vacancies are helping to offset some of this pressure.	Bulk of supplies purchased at the start of the year for use throughout. There has also been a reduction in income received to date.
c.	
d. Staff vacancies are forecasted to result in an underspend. These posts will be recruited to later in the year.	
e.	
f. There are currently staffing vacancies which will result in an underspend at year end. The recruitment process is under way to fill these roles.	There are vacant posts within the teams and annual income was received at the start of the year.
g.	
h.	
i. Commercial negotiations in relation to the Theatres contract remain on-going.	
j. Pier admission figures are higher than anticipated so far resulting in increased income to date. However, water testing requirements have also increased which is resulting in a budget pressure within the service.	
k.	
l.	Grant funding is due to be received which will cover project expenditure.
m.	
n.	
o.	Carbon Reduction Credits purchased in advance for future years at a lower price.
p.	
q.	

54

General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Corporate and Community Support
Portfolio Holder - Cllr A Moring

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
a Departmental Support for the Chief Executive	771	0	771	0	771	721	(50)	301	18	(283)
b Accountancy	2,071	(352)	1,719	0	1,719	1,659	(60)	734	691	(43)
c Accounts Payable	126	(5)	121	0	121	121	0	52	42	(10)
d Accounts Receivable	185	(75)	110	0	110	110	0	46	45	(1)
e Insurance	155	(245)	(90)	0	(90)	(90)	0	64	67	3
f Asset Management	383	(5)	378	0	378	328	(50)	158	136	(22)
g Community Centres and Club 60	104	(1)	103	0	103	103	0	39	39	0
h Corporate and Industrial Estates	430	(2,611)	(2,181)	0	(2,181)	(2,231)	(50)	(903)	(1,064)	(161)
i Council Tax Admin	854	(595)	259	0	259	179	(80)	111	(64)	(175)
j Non Domestic Rates Collection	165	(305)	(140)	30	(110)	(110)	0	55	40	(15)
g k Housing Benefit and Council Tax Benefit Admin	1,990	(1,195)	795	0	795	845	50	330	166	(164)
l Rent Benefit Payments	98,947	(99,050)	(103)	0	(103)	(103)	0	133	49	(84)
m Internal Audit & Corporate Fraud	835	(188)	647	0	647	647	0	270	216	(54)
n Buildings Management	2,645	(113)	2,532	192	2,724	2,786	62	1,404	1,432	28
o Cemeteries and Crematorium	1,263	(2,525)	(1,262)	0	(1,262)	(1,262)	0	(465)	(338)	127
p Customer Services Centre	1,985	(290)	1,695	0	1,695	1,695	0	704	665	(39)
q Dial A Ride Service	122	(19)	103	(16)	87	87	0	36	26	(10)
r Registration of Births Deaths and Marriages	329	(371)	(42)	0	(42)	(42)	0	(17)	(41)	(24)
s Transport Management	160	0	160	7	167	167	0	70	66	(4)
t Vehicle Fleet	527	(344)	183	(4)	179	179	0	71	88	17
u Partnership Team	277	0	277	0	277	277	0	115	78	(37)
v Support To Voluntary Sector	779	0	779	0	779	769	(10)	324	320	(4)
w Human Resources	1,745	(497)	1,248	8	1,256	1,256	0	520	515	(5)
x People & Organisational Development	406	(91)	315	0	315	315	0	133	104	(29)
y Tickfield Training Centre	290	(97)	193	0	193	193	0	99	101	2
z Democratic Services Support	354	0	354	9	363	363	0	152	145	(7)
aa Mayoralty	185	0	185	0	185	185	0	89	101	12
ab Member Support	705	0	705	25	730	730	0	296	285	(11)
ac Elections and Electoral Registration	352	0	352	(121)	231	231	0	162	88	(74)

ad Local Land Charges	192	(297)	(105)	0	(105)	(105)	0	(11)	(22)	(11)
ae Legal Services	1,170	(243)	927	(58)	869	899	30	361	398	37
af Corporate Procurement	610	0	610	0	610	610	0	254	325	71
ag Property Management and Maintenance	567	(109)	458	(165)	293	293	0	248	285	37
Total Net Budget for Portfolio	121,679	(109,623)	12,056	(93)	11,963	11,805	(158)	5,935	5,002	(933)

Virements

£000

Transfer from earmarked reserves	(125)
Allocation from Contingency	10
In year virements	<u>22</u>
	<u>(93)</u>

**General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Corporate and Community Support
Portfolio Holder - Cllr A Moring**

Forecast Outturn Variance	Year to Date Variance
a. The full budget for the post of PA to the Director of Legal& Democratic Services will not be required. £40k of the residual budget from the decommissioned Programme Office will not be required in year.	An underspend relating to the salary budget for the former Director of Corporate Services will be used to fund the Level 4 Management Review
b. An underspend due to vacant posts in the Accounts Payable and Financial Planning and Control team. A post in the Financial Planning and Control team has been vacant for over a year due to problems recruiting. This has now been filled.	
c.	
d.	
e.	
57 f. Underspend resulting from a vacancy where due to market forces, the post continues to remain unfilled	
g.	
h. Income for rentals is higher than forecast due to back-rent for the café at the Forum, the Cockle Sheds at Leigh, and Borough Combination Ground.	Increase in the on-going rental streams due to the recent acquisition of the Range site and in-year rent reviews
i. Higher than budgeted Court Costs income will be partially offset by a corresponding increase to the Bad Debt Provision	Additional Court Cost income will be reduced by an increase to Bad Debt Provision at year-end.
j.	
k. The DWP imposes targets to avoid Administration Delay and Errors to Housing Benefit claims. It is more cost effective for the service to incur agency and overtime costs than breach the targets. Due to the potential impact to workload once Universal Credit becomes established, it is felt that contractors and agency staff should be used instead of filling established posts.	Income received from ECC and Thurrock for the Social Fund is offsetting an overspend on Housing Benefit Administration
l.	Period 5 monitored position
m.	Vacant posts are offsetting the overspend on contractors

Forecast Outturn Variance	Year to Date Variance
n. The contract cleaning is forecast to over spend against budget. A review is currently underway to reduce this.	
o.	Income for the service is currently below the profiled budget although it is expected to increase during the winter period.
p.	Vacant Post
q.	
r.	Due to the seasonal nature of weddings, income is currently higher than budget.
s.	
t.	
u.	Salary mismatch with the Partnership team which will be resolved once further information is received
v. Vacant hours in the Voluntary Organisation team are expected to result in an underspend.	
w.	
x.	
y.	
z.	
aa.	
ab.	
ac.	2017-18 is a fallow year for local elections with the exception of one by-election. As part of the budget process it was agreed that the underspend will be transferred to the Election Reserve
ad.	
ae. The income budget was increased in the previous financial year, however to date the service has been unable to meet this target due to the reduced uptake by schools as they become Academies.	An underspend on the employees' budget due to vacancies is offsetting a pressure on court costs and legal fees. Work is ongoing to ensure that all relevant costs (outside of day to day business) are being recharged to the correct department.
af.	
ag.	

**General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Housing, Planning & Sustainability
Portfolio Holder - Cllr M Flewitt**

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
Housing										
a Strategy & Planning for Housing	164	0	164	0	164	164	0	0	0	0
b Private Sector Housing	2,734	(1,056)	1,678	0	1,678	1,678	0	694	702	8
c Housing Needs & Homelessness	822	(534)	288	0	288	288	0	169	171	2
d Supporting People	2,508	0	2,508	0	2,508	2,508	0	1,135	1,181	46
Planning										
e Building Control	400	(410)	(10)	0	(10)	(10)	0	(5)	12	17
f Development Control	862	(603)	259	0	259	259	0	108	(16)	(124)
g Regional and Local Town Plan	235	0	235	0	235	235	0	98	75	(23)
Total Net Budget for Portfolio	7,725	(2,603)	5,122	0	5,122	5,122	0	2,199	2,125	(74)

Virements

Transfer from earmarked reserves
Allocation from Contingency
In year virements

£000

0

0

0

0

**General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Housing, Planning & Sustainability
Portfolio Holder - Cllr M Flewitt**

Forecast Outturn Variance	Year to date Variance
a.	
b.	
c.	
d.	
e.	
f.	Development Control income received for a large scale planning application.
g.	

**General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Children and Learning
Portfolio Holder - Cllr J Courtenay**

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
Retained										
a Childrens Commissioning	935	(316)	619	82	701	701	0	298	257	(41)
b Children with Special Needs	1,149	(169)	980	0	980	1,007	27	408	420	12
c Early Years Development and Child Care Partnership	10,769	(9,562)	1,207	0	1,207	1,207	0	494	487	(7)
d Children Fieldwork Services	5,562	(135)	5,427	27	5,454	5,661	207	2,676	2,981	305
e Children Fostering and Adoption	4,546	(191)	4,355	(15)	4,340	4,500	160	1,808	2,127	319
f Youth Service	2,602	(1,483)	1,119	320	1,439	1,439	0	606	544	(62)
g Other Education	940	(754)	186	0	186	186	0	76	69	(7)
h Private Voluntary Independent	3,475	(120)	3,355	0	3,355	3,856	501	1,398	1,877	479
i Children Specialist Commissioning	1,751	(60)	1,691	102	1,793	1,827	34	324	408	84
j School Support and Preventative Services	28,371	(22,347)	6,024	21	6,045	6,045	0	2,520	2,575	55
k Youth Offending Service	1,906	(632)	1,274	(65)	1,209	1,209	0	502	516	14
Delegated										
l Schools Delegated Budgets	43,222	(43,222)	0	0	0	0	0	0	0	0
Total Net Budget for Portfolio	105,228	(78,991)	26,237	472	26,709	27,638	929	11,110	12,261	1,151

Virements

£000

Transfer from earmarked reserves
Allocation from Contingency
In year virements

431
31
10

472

**General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Children and Learning
Portfolio Holder - Cllr J Courtenay**

Forecast Outturn Variance	Year to Date Variance
a.	
b. Small overspend variance on Children with Disabilities	
c.	
d. Overspend pressure on leaving care accommodation and support costs and staffing pressures in relation to teams running at full establishment, with agency cover.	Reflecting Year to date pressures on leaving care accommodation and support costs
e. Over spend pressures within Inhouse fostering care provision due to the increased numbers of children looked after and service running at increased capacity. Early forecasts also indicate continued pressure on transport costs at the Marigold Assessment centre, and a marginal overspend on Adoption services.	Reflecting Year to date pressures on Inhouse fostering care provision, marigold assessment centre
f.	
g.	
h. Overspend pressure due to increased Looked after children numbers during 2016/17. Additional financial pressures are also included due to 2 high cost secured placements. Through the work of the Edge of Care team, the service is undertaking measures to reduce further numbers of Children being taken into care by supporting the family to keep the child safe at home.	Year to date overspend on PVI reflecting current financial pressures.
i.	
j. Note – whilst this report presents the Council’s financial position. It needs to be noted there are significant financial pressures in the High Needs DSG block funding. This position has been highlighted to the Education Board throughout 2016/17, and the Education Board on the 6 th July have agreed the high needs budget allocation for 2017/18 including the required savings targets. There is considerable risk on the delivery of these savings targets within 2017/18. The main financial pressures have risen through increased demand on Education Health And Care plan top up funding to mainstream schools including out of borough top up funding, as well as increased Southend Occupancy attending Southend’s Special school with higher funding needs awarded to pupils. Council Officers and the Education Board are working towards a revised and consistent top up funding	

approach across all school settings for intended implementation from April 2018.

k.

l.

**General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Health and Adult Social Care
Portfolio Holder - Cllr L Salter**

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
Adult Social Care										
a Adult Support Services and Management	224	0	224	0	224	154	(70)	93	102	9
b Commissioning Team	2,120	(346)	1,774	(188)	1,586	1,573	(13)	660	653	(7)
c Strategy & Development	1,797	(215)	1,582	22	1,604	1,604	0	734	808	74
d People with a Learning Disability	14,383	(1,421)	12,962	(250)	12,712	12,612	(100)	5,285	5,239	(46)
e People with Mental Health Needs	3,350	(167)	3,183	250	3,433	3,574	141	1,428	1,499	71
f Older People	28,807	(14,592)	14,215	210	14,425	14,673	248	6,000	6,114	114
g Other Community Services	2,522	(865)	1,657	66	1,723	1,723	0	717	713	(4)
h People with a Physical or Sensory Impairment	4,572	(1,211)	3,361	32	3,393	3,409	16	1,402	1,412	10
i Service Strategy and Regulation	124	(69)	55	0	55	55	0	22	39	17
Health										
j Public Health	6,991	(7,141)	(150)	(21)	(171)	(171)	0	(671)	(840)	(169)
k Drug and Alcohol Action Team	2,313	(2,230)	83	21	104	104	0	(144)	(143)	1
l Young Persons Drug and Alcohol Team	267	(265)	2	0	2	2	0	(22)	(9)	13
Total Net Budget for Portfolio	67,470	(28,522)	38,948	142	39,090	39,312	222	15,504	15,587	83

Virements

Transfer from earmarked reserves	£000
Allocation from Contingency	131
In year virements	22
	(11)
	<u>142</u>

**General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Health and Adult Social Care
Portfolio Holder - Cllr L Salter**

Forecast Outturn Variance	Year to Date Variance
a. Health contribution towards Integrated Commissioning.	
b.	
c.	
d. Early outturn forecasts are predicting the full 2017/18 PE1 Learning Disability saving delivery of £500k. The £100k under spend is in relation to day care services.	
e. Initial outturn on Mental Health is showing a year end pressure of £141K. This is mainly due to opening budget pressures on care package costs, particularly in residential care.	Year to date overspending largely because of higher than anticipated residential care packages.
f. The forecast overspend is reflecting budget pressures on complex intensive homecare services, direct payments and residential care. This forecast will be monitored closely during the financial year.	Pressures on homecare, direct payments and residential care packages.
g.	
h. Early outturn forecasts are predicting budget pressures on complex intensive homecare services and residential care.	
i.	
j.	
k.	
l.	

General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Transport, Waste & Regulatory Services
Portfolio Holder - Cllr T Cox

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
Transport										
a Highways Maintenance	9,830	(2,048)	7,782	158	7,940	7,940	0	3,274	3,408	134
b Bridges and Structural Engineering	412	0	412	0	412	412	0	172	162	(10)
c Decriminalised Parking	1,157	(1,666)	(509)	0	(509)	(509)	0	(185)	(169)	16
d Car Parking Management	1,031	(6,485)	(5,454)	2	(5,452)	(5,452)	0	(2,326)	(2,362)	(36)
e Concessionary Fares	3,217	0	3,217	0	3,217	3,217	0	1,601	1,575	(26)
f Passenger Transport	400	(64)	336	0	336	336	0	184	227	43
g Road Safety and School Crossing	234	0	234	0	234	234	0	98	99	1
h Transport Planning	599	(854)	(255)	0	(255)	(255)	0	(400)	(761)	(361)
i Traffic and Parking Management	503	(5)	498	0	498	520	22	214	217	3
Waste and Cleansing										
j Public Conveniences	550	0	550	7	557	557	0	243	197	(46)
k Waste Collection	4,393	0	4,393	222	4,615	4,615	0	1,918	1,817	(101)
l Waste Disposal	5,533	0	5,533	(158)	5,375	4,475	(900)	2,235	1,706	(529)
m Street Cleansing	1,381	(7)	1,374	34	1,408	1,408	0	614	613	(1)
n Household Recycling	486	0	486	4	490	490	0	215	216	1
o Environmental Care	386	(4)	382	(143)	239	239	0	93	70	(23)
p Waste Management	487	0	487	(10)	477	477	0	114	120	6
Other Services										
q Flood and Sea Defence	745	(11)	734	0	734	840	106	305	396	91
r Enterprise Tourism and Environment Central Pool	1,354	0	1,354	16	1,370	1,370	0	570	607	37
Regulatory										
s Regulatory Business	523	(11)	512	23	535	535	0	218	157	(61)
t Regulatory Licensing	304	(433)	(129)	227	98	98	0	(51)	(80)	(29)
u Regulatory Management	227	0	227	0	227	227	0	92	144	52
v Regulatory Protection	244	(14)	230	0	230	230	0	92	89	(3)
Total Net Budget for Portfolio	33,996	(11,602)	22,394	382	22,776	22,004	(772)	9,290	8,448	(842)

Virements

Transfer from/(to) earmarked reserves
Allocation from Contingency
In year virements

£000

223

158

1**382**

**General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Transport, Waste & Regulatory Services
Portfolio Holder - Cllr T Cox**

Forecast Outturn Variance	Year to date Variance
a.	There is currently a shortfall in the income generated from licences and also for recharging the cost of works in relation to road traffic incidents.
b.	
c.	
d.	
e.	
f.	
g.	
h.	South Essex Active Travel programme currently behind the anticipated spend profile for the grant.
i.	A number of posts within the team have been job evaluated resulting in an increased salary which has also been backdated.
g.	
k.	
l.	As a result of the Waste Mechanical Biological Treatment facility (MBT) remaining in a commissioning phase for longer than anticipated, the gate fee is still at a reduced rate which will result in a significant underspend this year. Our future waste disposal options are still being discussed with Essex County Council and as such, disposal costs in future years remain unquantified.
	As a result of the Waste Mechanical Biological Treatment facility (MBT) remaining in a commissioning phase for longer than anticipated, the gate fee is still at a reduced rate which will result in a significant underspend this year. Our future waste disposal options are still being discussed with Essex County Council and as such, disposal costs in future years remain unquantified.
m.	
n.	
o.	
p.	
q.	Costs have been incurred due to the storage of spoil in relation to the flood defence scheme and the servicing of pumping stations across the Borough.
r.	Costs have been incurred due to the storage of spoil in relation to the flood defence scheme and the servicing of pumping stations across the Borough.

s.

t.

u.

v.

**General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Technology
Portfolio Holder - Cllr T Byford**

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
Information Communications and a Technology	5,354	(971)	4,383	7	4,390	4,475	85	1,832	2,041	209
Total Net Budget for Portfolio	5,354	(971)	4,383	7	4,390	4,475	85	1,832	2,041	209

Virements

Transfer from/(to) earmarked reserves	£000
Allocation from Contingency	7
In year virements	0
	<u>0</u>
	<u>7</u>

70

**General Fund Forecast 2017/18
at 31 August 2017 - Period 5
Technology
Portfolio Holder - Cllr T Byford**

Forecast Outturn Variance	Year to date Variance
a. There are a number of projects across the organisation which are ICT reliant and require the expertise of external contractors who command a high market rate. Despite the team holding some posts vacant, there is significant pressure on the Agency Staff budget.	Further costs to be capitalised once timesheets are completed for those members of staff not working wholly on one project or are working on both revenue and capital projects

Housing Revenue Account Forecast 2017/18
at 31 August 2017 - Period 5
Deputy Chief Executive - Simon Leftley

Description	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
a Employees	215	0	215	215	0	0	0	0
b Premises (Excluding Repairs)	732	0	732	761	29	244	255	11
c Repairs	4,831	0	4,831	4,831	0	1,858	1,855	(3)
d Supplies & Services	68	0	68	68	0	23	5	(18)
e Management Fee	5,827	0	5,827	5,827	0	2,241	2,241	0
f MATS	1,124	0	1,124	1,124	0	375	371	(4)
g Provision for Bad Debts	383	0	383	383	0	0	0	0
h Capital Financing Charges	11,364	0	11,364	11,368	4	2,629	2,633	4
Expenditure	24,544	0	24,544	24,577	33	7,369	7,360	(10)
i Fees & Charges	(393)	0	(393)	(393)	0	(131)	(100)	30
j Rents	(26,673)	0	(26,673)	(26,923)	(250)	(8,896)	(9,097)	(200)
k Other	(277)	0	(277)	(276)	0	(259)	(342)	(83)
l Interest	(135)	0	(135)	(135)	0	0	0	0
m Recharges	(459)	0	(459)	(459)	0	(153)	(122)	31
Income	(27,936)	0	(27,936)	(28,186)	(250)	(9,439)	(9,660)	(221)
n Appropriation to Earmarked reserves	3,392	0	3,392	3,609	217	3,392	3,392	0
o Statutory Mitigation on Capital Financing	0	0	0	0	0	0	0	0
Net Expenditure / (Income)	0	0	0	(0)	(0)	1,322	1,091	(231)
Use of Reserves								
Balance as at 1 April 2017	3,502	0	3,502	3,502	0			
Use in Year	0	0	0	0	0			
Balance as at 31 March 2018	3,502	0	3,502	3,502	0			

72

**Housing Revenue Account Forecast 2017/18
at 31 August 2017 - Period 5
Deputy Chief Executive - Simon Leftley**

Forecast Outturn Variance	Year to Date Variance
a.	
b. Resident patrol services at Victoria Ward partially offset by lower council tax on void properties.	
c.	
d.	
e.	
f.	
g.	
h. Interest on internal borrowing.	
i.	
j. Rental income is higher than estimated because of a lower number of voids than allowed for in the budget.	
k.	
l.	
m.	
n. Underspend will be transferred to the HRA capital investment reserve.	
o.	

73



**Capital Programme Budget
Monitoring 2017/18**

Period 5

**as at 31st August 2017
Departmental Summary**

Capital Programme Monitoring Report – August 2017

1. Overall Budget Performance

The revised Capital budget for the 2017/18 financial year is £94.737million which includes all changes agreed at June Cabinet. Actual capital spend at 31st August is £23.288million representing approximately 25% of the revised budget. This is shown in Appendix 1. (Outstanding creditors totalling £0.867million have been removed from this figure).

The expenditure to date has been projected to year end and the outturn position is forecast to reflect the Project Manager's realistic expectation. This is broken down by Department as follows:

Department	Revised Budget 2017/18 £'000	Outturn to 31 August 2017/18 £'000	Expected outturn 2017/18 £'000	Latest Expected Variance to Revised Budget 2017/18 £'000	Previous Expected Variance to Revised Budget 2017/18 £'000
Chief Executive	24,169	12,784	20,604	(3,565)	(3,565)
People	16,709	1,086	15,827	(882)	(882)
Place	41,751	7,583	40,091	(1,660)	(710)
Housing Revenue Account (HRA)	12,108	1,835	12,108	-	-
Total	94,737	23,288	88,630	(6,107)	(5,157)

The capital programme is expected to be financed as follows:

Department	External Funding			Total Budget £'000
	Council Budget £'000	Grant Budget £'000	Developer & Other Contributions £'000	
Chief Executive	24,163	-	6	24,169
People	5,300	11,393	16	16,709
Place	28,830	10,483	2,438	41,751
Housing Revenue Account (HRA)	11,635	-	473	12,108
Total	69,928	21,876	2,933	94,737
As a percentage of total budget	73.8%	23.1%	3.1%	

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

The grants and external contributions position to 31st August is as follows:

Department	Grant Budget £'000	Developer & Other Contributions Budget £'000	Total external funding budget £'000	External funding received £'000	External funding outstanding £'000
Chief Executive	-	6	6	-	6
People	11,393	16	11,409	4,189	7,220
Place	10,483	2,438	12,921	7,627	5,294
Housing Revenue Account (HRA)	-	473	473	473	-
Total	21,876	2,933	24,809	12,289	12,520

2. Department Budget Performance

Department of the Chief Executive

The revised capital budget for the Department of the Chief Executive is £24.169million. The budget is distributed across various scheme areas as follows

Department of the Chief Executive	Revised Budget 2017/18 £'000	Outturn to 31 August 2017/18 £'000	Expected outturn 2017/18 £'000	Latest Forecast Variance to Year End 2017/18 £'000	Previous Forecast Variance to Year End 2017/18 £'000
Asset Management (Property)	23,319	12,582	19,754	(3,565)	(3,565)
Cemeteries & Crematorium	492	202	492	-	-
Subtotal	23,811	12,784	20,246	(3,565)	(3,565)
Priority Works (see table)	358	-	358	-	-
Total	24,169	12,784	20,604	(3,565)	(3,565)

Priority Works	£'000
Budget available	500
Less budget allocated to agreed schemes	(142)
Remaining budget	358

Actual spend at 31st August stands at £12.784million. This represents 53% of the total available budget.

Asset Management (Property)

Planning consent has now been granted for the Library Car Park reconstruction and enhancement scheme with an expectation to start on site during January 2018. As the scheme will commence so late into the financial year, budget of £3.536million will be included as a carry forward request in the report to November Cabinet.

The contract has now been let for the New Beach Huts phase two and works have now commenced. This scheme is scheduled to be completed in September 2017.

The former gas works site was purchased on 21st July and the Range was purchased on 11th August. Both of these properties are now on the Council's asset portfolio.

The remaining budget of £29k on the Thorpe Hall Avenue Toilet Refurbishment scheme will be used in connection with the tram stop works however this will not be required until 2018/19. A carry forward request of £29k will therefore be included in the report to November Cabinet.

Cemeteries and Crematorium

Landscaping works are continuing on the plot of land identified in Sutton Road Cemetery. It has now been confirmed by the Environment Agency that the new legislation will not have an impact on the project and it is possible to raise the ground level sufficiently as per the original plans. The works are now almost complete.

The installation of the Pergola Walk Memorial is now complete with just the final snagging works taking place.

Priority Works

The Priority works provision budget currently has £358k remaining unallocated.

Summary

Carry forward requests to be included in the report to November Cabinet include £29k for the Thorpe Hall Avenue Toilet Refurbishment scheme and £3.536million for the Library Car Park Reconstruction and Enhancement Scheme.

Department for People

The revised Department for People budget totals £16.709million.

Department for People	Revised Budget 2017/18 £'000	Outturn to 31 August 2017/18 £'000	Expected outturn 2017/18 £'000	Latest Expected Variance to Year End 2017/18 £'000	Previous Expected Variance to Year End 2017/18 £'000
Adult Social Care	1,758	75	876	(882)	(882)
General Fund Housing	3,246	387	3,246	-	-
Children & Learning Other	64	14	64	-	-
Condition Schemes	704	186	704	-	-
Devolved Formula Capital	173	172	173	-	-
Early Years	536	60	536	-	-
Primary and Secondary School Places	10,228	192	10,228	-	-
Total	16,709	1,086	15,827	(882)	(882)

Actual spend at 31st August stands at £1.086million. This represents 6% of the total available budget.

Adult Social Care

The Community Capacity grant is used to enable vulnerable individuals to remain in their own homes and to assist in avoiding delayed discharges from hospital. Plans for 2017/18 include project management for social care redesign, costs of sheltered housing review outcomes, development of independent living centre and investment in technology and equipment to promote independence. Total spend of £500k is forecast for 2017/18 therefore an accelerated delivery request of £54k will be included in the report to November Cabinet.

The majority of the works on the redevelopment of the Priory site will take place in 2018/19 therefore a large proportion of the budgets on the two Priory schemes will be included in the report to November Cabinet. These total £936k.

A property has been identified for adaptation using the Transforming Care Housing grant and works are planned for spring 2018. This is anticipated to use the remainder of the budget and a carry forward request will be considered depending on the timing of the works.

General Fund Housing

The Private Sector Renewal scheme is in place to ensure that the private sector stock is kept in a good condition. Plans are currently in progress for spend of the £625k budget in 2017/18.

The Empty Dwellings Management scheme is in place to fund works authorised under an Empty Dwellings Management Order (EDMO) to bring long term empty homes back into use and to a habitable standard.

The tenders for the Adaptations Framework Agreement are in the process of being evaluated with E-Auction and further plans will be made once this process is complete.

Children & Learning Other Schemes

Retentions of £50k are being held for Kingsdown Special School roof works and will be paid once outstanding snagging and defects works are completed and fully signed off. This figure is included in the outstanding creditors shown above.

Condition Schemes

A budget of £704k has been allocated to address larger conditions in schools where the cost is over the schools capabilities to fund. Most of these works will be undertaken over the school summer holidays to minimise disruption to the schools. Retentions of £30k are being held for works completed last year at nine primary schools.

Devolved Formula Capital

This is an annual devolution of dedicated capital grant to all maintained schools. The grant for 2017/18 is £173k. This grant amount will reduce as further maintained schools convert to academy status.

Primary and Secondary School Places

The primary expansion programme is now complete with final retention payments of £98k being held against five projects until the twelve month snagging period is over. A watching brief of demand against availability will be kept. If a need is identified, a further expansion of primary places will be explored to ensure that the council's statutory duty to provide a good school place for all those that request it can be met.

A secondary expansion programme is progressing to ensure that the extra places supplied in primary are matched in secondary as they are needed. One secondary school has planning permission and the project is about to complete the tender stage. A second secondary school is completing the feasibility stage and two other secondary schools are progressing towards feasibility stage.

Summary

Carry forward requests to be included in the report to November Cabinet are LATC Delaware and Priory for £839k and Priory House Condition Works for £97k.

An accelerated delivery request of £54k will also be included for the Community Capacity scheme.

Department for Place

The revised capital budget for the Department for Place is £41.751million. This includes all changes approved at June Cabinet. The budget is distributed across various scheme areas as follows:

Department for Place	Revised Budget 2017/18 £'000	Outturn to 31 August 2017/18 £'000	Expected outturn 2017/18 £'000	Latest Expected Variance to Year End 2017/18 £'000	Previous Expected Variance to Year End 2017/18 £'000
Culture	5,266	324	5,266	-	-
ICT Programme	4,914	1,128	4,704	(210)	(210)
Enterprise, Tourism & Regeneration	5,848	1,746	5,848	-	-
Southend Pier	3,767	420	3,767	-	-
Coastal Defence & Foreshore	923	74	648	(275)	(275)
Highways and Infrastructure	6,339	1,881	6,339	-	-
Parking Management	612	50	612	-	-
Section 38 & 106 Agreements	2,293	21	2,068	(225)	(225)
Local Transport Plan	2,974	313	2,974	-	-
Local Growth Fund	5,477	1,304	5,477	-	-
Community Safety	420	-	420	-	-
Transport	540	44	540	-	-
Energy Saving Projects	2,378	278	1,428	(950)	-
Total	41,751	7,583	40,091	(1,660)	(710)

Actual spend at 31st August stands at £7.583million. This represents 18% of the total available budget.

Culture

A budget of £20k for works at Southchurch Park Bowls Pavilion has been identified as a match funding contribution to aid a bid to Sport England. The Council are currently working with the Bowls Club on supporting the bid.

The scheme to replace various playground gates within the borough's play areas to enable compliance with health and safety recommendations is currently at the procurement stage with plans to progress the scheme once this is complete.

Works are currently in the process of being programmed for various other culture schemes including Hard Surface Path Improvements, Replacement of Asbestos Stage Safety Curtain

at the Palace Theatre, Belton Hill Steps and External Cladding at the Cliffs Pavilion. Works are expected to commence on these schemes during the financial year.

ICT

As part of the Barracuda Replacement scheme, corporate spam and virus filtering has now been directed to Microsoft 365. Cyber security consultancy services are currently being commissioned to provide a holistic view of all security platforms although progress is likely to be limited due to difficulty in sourcing the appropriate services.

An assessment is underway on the potential use of a data warehouse for advanced reporting and data analysis across the council as part of the Intelligence Hub scheme. A review of extending the use of Tickfield CCTV services for other types of monitoring is also taking place.

The title of the Place Business Transformation in End to End Reporting scheme has been changed to Channel Shift and this scheme will be moved to the Department of the Chief Executive at November Cabinet. A supplier has now been appointed and phase one has been scoped and agreed for delivery in December 2017 with the final part of this phase in March 2018. Phase two will continue in the next financial year therefore a carry forward request of £210k will be included in the report to November Cabinet.

The development of the Liquid Logic Case Management System scheme is on track to be delivered in line with the revised schedule. The live data warehouse build has been completed for both Childrens and Adults and further data migration works are underway.

Enterprise, Tourism & Regeneration

The Regeneration projects include all the work currently taking place on the City Deal Incubation Centre, Airport Business Park and Queensway.

Local Growth Funding (LGF) of £3.2million for the Airport Business Park to support the delivery of on-site infrastructure and the relocation of Westcliff Rugby Club was spent by 31st March 2017 as per the grant conditions. The Westcliff Rugby Club relocation agreement is not yet complete so works on site have not yet commenced as a result. The farmer is to vacate the land from September to enable the start of archaeology works and utility and digital infrastructure work is on-going.

A consultation lead has been appointed for the Better Queensway scheme. The consultation is expected to commence in October 2017 for an outcome and decision by Cabinet in January 2018.

Southend Pier

A structural consultant has been appointed for works on the Southend pier bearing replacement and they are currently producing a specification for tender issue.

Tender evaluation is currently in progress in conjunction with procurement for a structural consultant on phase two of the Prince George extension and the timber outer pier head works.

Coastal Defence and Foreshore

A budget for improving the resilience of the borough to flooding from extreme weather events has been included in the 2017/18 capital programme. Works have now commenced at Harp House and the other main areas to be worked on include the airport, City Beach and Shoebury Common.

The cliff slip investigation works are continuing with feasibility studies to be carried out to the west of Clifton Drive.

Spend of £50k is anticipated on the Shoebury Common Sea Defence scheme this financial year therefore a carry forward request of £275k will be included in the report to November Cabinet.

Highways and Infrastructure

An allocation of £102k has been received from the Department for Transport for the maintenance of pot holes across the borough. The rest of the Highways Maintenance programme is underway and will continue for the remainder of the financial year.

The Street Lighting budget is a multi-million pound, multi-year scheme to be part funded by the Challenge fund from the Department for Transport. The luminaire installations are now 99% complete and the Column installations are complete. A substantial completion date of 30th September has been scheduled for the works on individual and entire road column replacements and concrete sleeves. Lighting works have now completed in the Civic Centre car park and on the pier with works on-going in the parks.

Parking Management

An updated parking strategy has been commissioned which will form the basis of improvement plans to the borough car parks. Feedback from the recent review is currently being assessed for any upgrade requirements.

Section 38 and Section 106 Schemes

There are a number of S38 and S106 schemes all at various stages. Some of the larger schemes include works around Acacia Drive, Bellway Prittlebrook, Essex House and Hinguar.

Various schemes are scheduled to be carried out in 2018/19 therefore a carry forward request of £225k will be included in the report to November Cabinet for these schemes.

Local Transport Plans (LTP Schemes)

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

Works on the Automatic Vehicle Location (AVL) system and upgrades to the older Real Time Passenger Information signs are currently on track to be completed in year. The installation of tourist signage information boards commenced in August.

Local Growth Fund

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

The final business case for A127 Kent Elms junction improvements has been approved by the South East Local Enterprise Partnership and all funding has been received.

Worked commenced at Kent Elms on 21st November 2016 and a dedicated Public Liaison Officer is in place. School crossing patrols are in place for the duration of the works. Utility

diversion works are underway although there has been a delay to Nation Grids works which has had a knock on effect causing a delay to completing BT diversions. Three lanes inbound and two new pedestrian crossings were in place at the end of June. Traffic signal calibration and validation is now complete.

Options are being prepared to put forward for the business case at the Bell junction and air quality implications are to be investigated. A draft engagement and consultation document has been prepared and is to be updated. Air quality specialist work has now commenced.

Transport

The road safety audit stage three has now been reviewed on the A127 Tesco junction improvements with minor adjustments are now complete. Stage four is yet to be completed.

Southend Transport Model is an on-going scheme to support various multi modal transport projects. A review of the model is complete with options on updating the model to be considered.

Energy Saving Projects

Several projects are being surveyed for potential use of the energy efficiency budget. These schemes are unlikely to commence until later in the financial year therefore £450k of the current budget will be included as a carry forward request at November Cabinet.

Procurement documents are in the process of being drafted for legal support for the site agreements as part of the Solar PV scheme. £500k of this budget will be required next financial year therefore a carry forward request will be included in the report to November Cabinet.

Summary

Carry forward requests to be included in the report to November Cabinet are various S106 schemes totalling £225k, Channel Shift for £210k, Shoebury Common Sea Defence scheme for £275k, Energy Efficiency Projects for £450k and Solar PV Projects for £500k.

Housing Revenue Account

The revised budget for the Housing Revenue Account capital programme for 2017/18 is £12.108million. The latest budget and spend position is as follows:

Housing Revenue Account	Revised Budget 2017/18 £'000	Outturn to 31 August 2017/18 £'000	Expected outturn 2017/18 £'000	Forecast Variance to Year End 2017/18 £'000	Previous Forecast Variance to Year End 2017/18 £'000
Decent Homes Programme	7,703	1,640	7,703	-	-
Council House Adaptations	565	160	565	-	-
Sheltered Housing	345	-	345	-	-
Other HRA	3,495	35	3,495	-	-
Total	12,108	1,835	12,108	-	

The actual spend at 31st August of £1.835million represents 15% of the HRA capital budget.

Decent Homes Programme

The 2017/18 programme for Decent Homes is progressing in accordance to plan. Fire safety works at Chiltern will be completed by the end of September and the installation of fire doors and screens to Pennine and Quantock is expected to commence at the end of October. The kitchens and bathrooms contract is due to commence in October as are the installation of the smoke vents to the Balmoral tower blocks. A number of other projects are currently being tendered and they are expected to commence in the new year in accordance with the programme.

Council House Adaptions

This budget relates to minor and major adaptations in council dwellings. Spend depends on the demand for these adaptations and works are currently in progress for 2017/18.

Sheltered Housing

This budget is to be used in conjunction with the Sheltered Housing review.

Other HRA

Following planning permission approval for Rochford Road on 2nd August, the project has commenced on site with the Council's approved contractor nearing completion on the required highways work. As part of these enabling works, it is envisaged that a culvert running through the site will have to be diverted and the relevant application to Anglian Water is in the process of being submitted. The tender for the overall build contractor has been extended until 18th October to accommodate this change.

Summary of Capital Expenditure at 31st August 2017

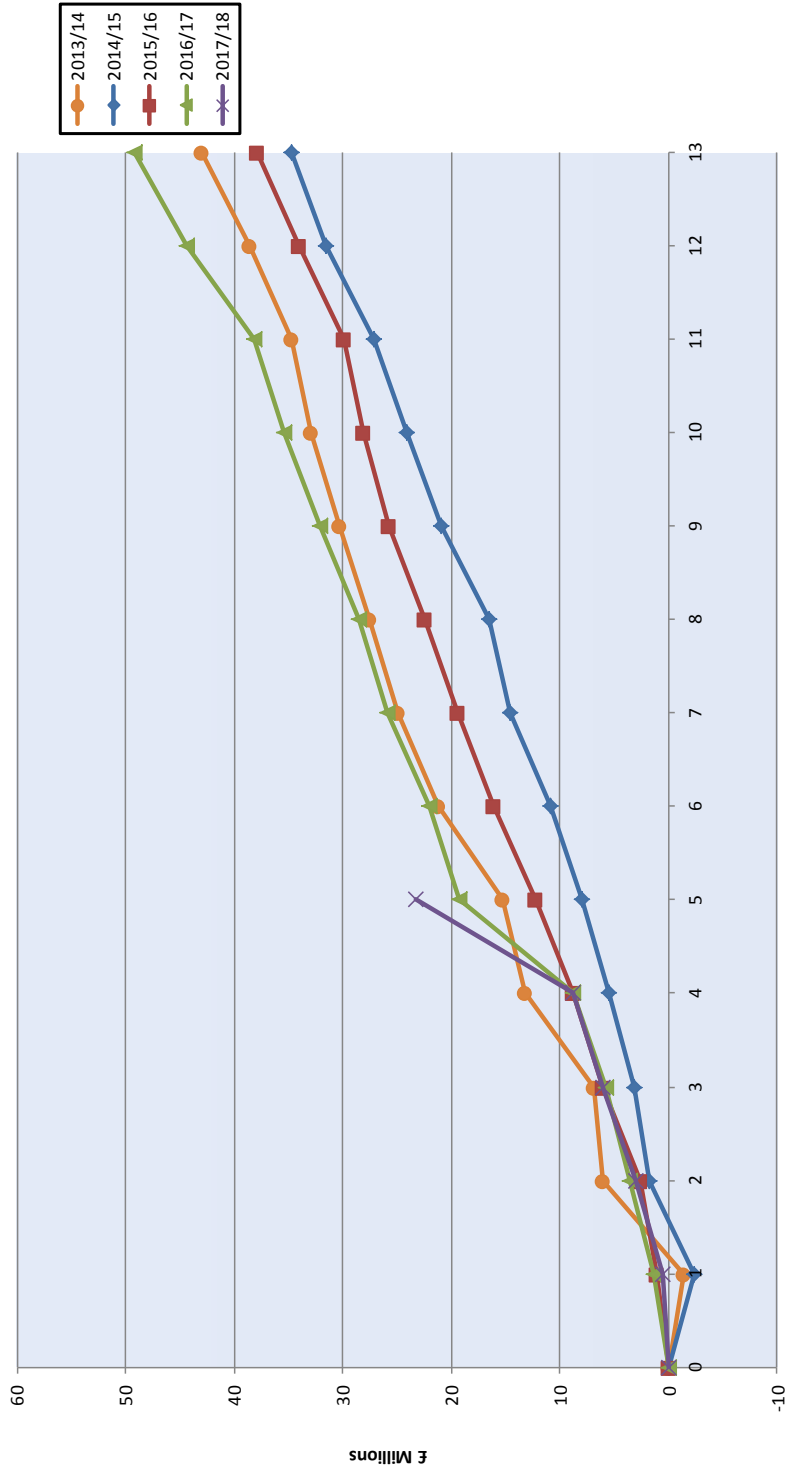
Appendix 1

	Original Budget 2017/18 £000	Revisions £000	Revised Budget 2017/18 £000	Actual 2017/18 £000	Forecast outturn 2017/18 £000	Forecast Variance to Year End 2017/18 £000	% Variance
Chief Executive	6,400	17,769	24,169	12,784	20,604	(3,565)	53%
People	13,582	3,127	16,709	1,086	15,827	(882)	6%
Place	48,140	(6,389)	41,751	7,583	40,091	(1,660)	18%
Housing Revenue Account	8,610	3,498	12,108	1,835	12,108	0	15%
	<u>76,732</u>	<u>18,005</u>	<u>94,737</u>	<u>23,288</u>	<u>88,630</u>	<u>(6,107)</u>	<u>25%</u>
Council Approved Original Budget - February 2017	76,732						
Chief Executive amendments	18,427						
People amendments	(1,041)						
Place amendments	(385)						
HRA amendments	4,864						
Carry Forward requests from 2016/17	6,206						
Accelerated Delivery requests to 2016/17	(856)						
Budget re-profiles (June Cabinet)	(11,927)						
New external funding	2,717						
Council Approved Revised Budget - June 2017	<u><u>94,737</u></u>						

Actual compared to Revised Budget spent is £23.288M or 25%

Appendix 2

Capital programme Delivery
Cumulative Capital Expenditure 2013/14 to 2017/18



Year	Outturn £m	Outturn %
2012/13	61.0	97.9
2013/14	43.3	93.8
2014/15	34.8	83.8
2015/16	37.9	97.0
2016/17	48.8	89.0

MONTHLY PERFORMANCE REPORT

September 2017

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Current Month’s performance information for indicators rated Red or Amber and highlighted Green indicators with commentary.
(Green PIs)

September’s green PIs with a comment are:

CP 5.2 – Govmetric

CP 3.3 – Delayed transfers of care

CP 3.5 – Proportion of adults with a learning disability in paid employment

CP 2.1 – Reported missed collections

CP 2.2 – Cleanliness: Litter

CP 3.7 - Public Health Responsibility Deal

CP 4.8 – Current Rent Arrears

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2017-18 Corporate Performance Indicators

Performance Information for all Corporate Priority Indicators

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Detail of Indicators Rated Red or Amber

Performance detail for indicators rated Red or Amber

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Partnership Indicators

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Budget Management Statements Budget monitor and forecast by Portfolio

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Capital Expenditure Summary of Capital Expenditure

Version: **V1.0**

Published by the Policy, Engagement & Communication Team

Further information: timmacgregor@southend.gov.uk (01702) 534025 or Louisabowen@southend.gov.uk (01702) 212039

Key to Columns and symbols used in report

Column Heading	Description
Minimise or Maximise	Indicates whether higher or lower number is better: Minimise = lower is better, maximise = higher is better
Latest Month	The latest month for which performance information is available
Month's Value	Performance to date for the latest month
Month's Target	Target to date for the latest month
Annual Target 2017/18	Annual target for 2017/18
<u>Outcome</u>	<p>Symbol based on a traffic light system; Red, Amber, Green indicating whether an indicator's performance is on track to achieve the annual target. Symbols used and their meaning are:</p> <p> = at risk of missing target</p> <p> = some slippage against target, but still expected to meet year-end target (31/03/2018)</p> <p> = on course to achieve target</p>
Comment	Commentary for indicators not on track providing reasons for low performance and identifying initiatives planned to bring performance back on track
Better or worse than last year	<p>Symbol indicating whether performance for the Latest Month is better or worse than the same month in the previous year. Symbols and their meanings are:</p> <p> = Latest Month's performance is better than the same month last year</p> <p> = Latest Month's performance is worse than the same month last year</p> <p> = Data not available for current or previous year</p>

Version: **V1.0**

Published by the Policy, Engagement & Communication Team

Further information: timmacgregor@southend.gov.uk (01702) 534025 or Louisabowen@southend.gov.uk (01702) 212039

Section 1: 2017-2018 Exceptions - Current Month Performance



Comments on Indicators rated Red or Amber



Generated on: 06 November 2017 17:03





Expected Outcome At risk of missing target
Responsible OUs Department of the Chief Executive

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 5.4 16	Working days lost per FTE due to sickness - excluding school staff [Cumulative]	Aim to Minimise	September 2017	3.30	3.01	7.20			The Corporate sickness target has not been met for the month of September, and sickness levels are above the year to date target. HR will be working with Team Prevent and First Care to undertake a detailed analysis of absence data in order to provide managers with proactive support.	Policy & Resources Scrutiny



Expected Outcome At risk of missing target
Responsible OUs Department for People

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 1.2	Rate of Looked After Children per 10,000 population under the age of 18. [Monthly Snapshot]	Aim to Minimise	September 2017	71.8	66	66			As a result of the current performance an action plan is in place for this indicator and has been presented to Executive DMT which will be monitored on a monthly basis. The rate of looked after children remains above target however it has reduced over the last 4 months. It is acknowledged that we are still some way off target on this indicator but with the drop in child protection numbers we should start seeing a downward trend towards target. In addition to this we are carrying out a piece of detailed analysis on the flow of children in this area with the support of Research in Practice to help us understand where any improvements might be made. Other than children who need to become	People Scrutiny



MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
									looked after in an emergency the decision for a child to become looked after is made by the Placement Panel to ensure that all other options are considered before care is agreed. The Panel process has prevented the numbers escalating and where safely possible put other measures in place to support the family. It is anticipated that our planned work around reunification will ensure that children do not remain in care for longer than necessary. Note for CMT: Benchmarking data as requested Eastern region 49.9, Lowest 33.6 (Essex), Highest 86.0 (Thurrock). Southend are 9th out of 11, 1st being the lowest. Of the 289 children who are looked after, 16 are Unaccompanied Asylum Seeking Children. If these 16 children are removed from the figure, the rate of LAC would be 70.5.	
96 CP 1.4	Percentage of children who have been LAC for at least 5 working days, who have had a visit in the 6 weeks (30 working days), prior to the last day of the month.	Aim to Maximise	September 2017	84.9%	90%	90%			Whilst it is acknowledged that this indicator is below target the trend is upwards and performance has improved every month this financial year. Since April performance has improved from 58.9% to 84.9%. The activity relating to improving this area of performance is working and has been reported in previous months and remains the same, namely that: - as a result of current performance an action plan is in place and has been presented to Executive Departmental Management Team (DMT) and monitored on a monthly basis; and - Performance continues to improve month on month however it is recognised that the rate of change is too slow. Robust action has been taken in this regard and further improvements have been seen during Aug-17. Work across the service to improve practice, as detailed in plans relating to other areas of performance, will further improve this area of performance. The work includes; visiting being included in all social worker PMR, assurance reporting from team managers on a weekly basis to service managers highlighting children who have not been visited within the last 30 working days (process introduced in April) and proactive use of the weekly performance reports to team managers. Failure to complete visits to children forms part of capability processes where appropriate.	People Scrutiny

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 1.5	Percentage of children who have had their Child Protection Plan for at least 20 working days and who have had a visit in the 20 working days prior to the last day of the month.	Aim to Maximise	September 2017	79.9%	90%	90%			An action plan is in place for this indicator and has been presented to Executive DMT which will be monitored on a monthly basis. It is acknowledged that this performance indicator remains below target however there has been good improvement which is expected to continue. This remains an area of continued focus and the action plan taken to Executive DMT is being progressed. The details of that plan is as follows: - visiting being included in all social worker PMR, assurance reporting from team managers on a weekly basis to service managers includes children who have not been visited within the last 20 working days (process introduced on 22-Apr-17); and - proactive use of the weekly performance reports to team managers. Failure to complete visits to children forms part of capability processes where required.	People Scrutiny
CP 3.10	Percentage of Initial Child Protection Conferences that took place with 15 working days of the initial strategy discussion. [Cumulative YTD]	Aim to Maximise	September 2017	58.7%	90%	90%			It is acknowledged that this indicator remains below target. An action plan continues to be progressed and is submitted to EDMT each month. Performance has however improved a further during August. It is anticipated that improvement will continue. As this is a cumulative measure the strength of performance each month will not be fully reflected in this measure as it is weighted down by the poorer performance early in the year.	People Scrutiny



Expected Outcome At risk of missing target
Responsible OUs Department for Place

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 2.3	Percentage of household waste sent for reuse, recycling and composting [Cumulative]	Aim to Maximise	September 2017	N/A	54.00%	54.00%			Discussions with the contractor currently taking place, in relation to relevant data and need to rebalance targets.	Place Scrutiny







Expected Outcome At risk of missing target
Responsible OUs Public Health



MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 3.8	Number of people successfully completing 4 week stop smoking course [Cumulative]	Aim to Maximise	September 2017	334	450	1,100			Department of Health guidelines state that quit attempts can be registered up to 42 days after a "quit date" is set. Therefore final data will not be available for this period for a further 2 months. Currently behind trajectory, 4 week quit recovery plan being developed and implemented. Recent statistics show smoking prevalence in adults has fallen to 17.2% and footfall through stop smoking continues to decline.	People Scrutiny

Expected Outcome At risk of missing target
 Cannot group these rows by Responsible OUs



MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
94 CP 1.6	Rate of Children in Need per 10,000 (including CiN, CPP and LAC and Care Leavers). [Monthly Snapshot]	Aim to Minimise	September 2017	334.4	296.6	296.6			This month Performance has dropped slightly by 9 children per 10,000. This may be due to the increase in referrals we see when schools return at the end of the summer break. The positive impact we have seen across the year is enhanced by the work being undertaken within longer term teams to ensure families move swiftly to other services when it safe for them to do so. As a result of the current performance an action plan is in place for this indicator and has been presented to Executive DMT which will be monitored on a monthly basis. Our rate of children in need has increased from 2015/16 when it stood at 251 per 10,000 however it should be noted that our rate had been low compared to statistical neighbours for a number of years. Robust operational management is now in place to ensure that all children classed as in need do actually require statutory support.	People Scrutiny

Expected Outcome Some slippage against target
Responsible OUs Department for People



MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 1.1	Rate of children subject to a Child Protection Plan per 10,000 population under the age of 18. [Monthly Snapshot]	Goldilocks	September 2017	38.2	55.7	55.7			The number of children subject to child protection plans has been decreasing from a high level. The rate of children subject to plans continues to reduce following focussed quality assurance activity in this area but there is a concern that this may not explain all the decrease - we are in the process of reviewing the data and practice to identify if this is a concern.	People Scrutiny
95 CP 3.2	Proportion of older people (65 and over) who were still at home 91 days after discharge from hospital into reablement/rehabilitation services. [ASCOF 2B(1) [Rolling Quarter]	Aim to Maximise	September 2017	88.3%	88.6%	88.6%			<p>Performance remains stable and virtually on target this month. This reporting period shows that out of 94 Adults using the reablement service, 83 were still at home 91 days later. Of the 11 not at home, 2 had been admitted back into hospital, 1 moved into nursing care, 3 into residential care and 5 passed away.</p> <p>This significant recovery in performance is at least in part due to the work of the Service Transformation team which has supported the redesign of the Front Door services, including the monitoring of the reablement service and how the service collects the data.</p> <p>The benefits of all recent changes and ongoing work has achieved an early improvement in the service. This will continue to be monitored closely for the sustained improvement that is expected.</p> <p>The national benchmark is 82.7%</p>	People Scrutiny
CP 3.4	The proportion of people who use services who receive direct payments (ASCOF 1C (2A)) [YTD Snapshot]	Aim to Maximise	September 2017	30.2%	33.5%	33.5%			At the end of September, 530 of 1756 long term service clients were receiving a Direct Payment. Performance on this indicator has improved this month but remains slightly below target. The service transformation team are working to review the practice and systems in relation to direct payments and the Direct Payment contract will be going out to the market to tender. It is hoped that a new contract, with enhanced expectations on the service delivery will improve and support the Adults using or thinking of using the Direct Payment Service.	People Scrutiny

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 5.6	Percentage of new Education Health and Care (EHC) plans issued within 20 weeks including exception cases. [Cumulative YTD]	Aim to Maximise	September 2017	40.5%	56%	56%			As a result of the current performance an action plan is in place for this indicator and has been presented to Executive DMT which will be monitored on a monthly basis. Between Apr-17 and Sep-17, 60 out of 148 EHC plans were issued within the 20 week timescale, an improvement of 6.1% over last month. The national benchmark is 55.7%.	People Scrutiny

Expected Outcome Some slippage against target
Responsible OUs Public Health



MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 3.9	Take up of the NHS Health Check programme - by those eligible [Cumulative]	Aim to Maximise	September 2017	2,205	2,976	5,740			Currently behind trajectory. Recovery plan being delivered with outreach provider and local GP practices. Public health team offering support to all practices to improve uptake.	People Scrutiny

Expected Outcome Some slippage against target
 Cannot group these rows by Responsible OUs





MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 4.10	Total number of households in temporary accommodation.	Aim to Minimise	September 2017	102	100	100			Lack of available properties continues to have an impact on temporary accommodation occupancy. One factor is the reduction in availability of 2 bedroom properties. It is also difficult to source affordable properties in the private sector due to a combination of high rents that far exceed LHA levels and landlord's reluctance to accept benefit dependant tenants. The level of temporary accommodation occupation has been an area of concern for SBC for some time.	Policy & Resources Scrutiny

Expected Outcome: Indicators on course to achieve target (Greens)

Expected Outcome On course to achieve target
Responsible OUs Corporate Services; Department of the Chief Executive

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
97 CP 5.2	Govmetric Measurement of Satisfaction (3 Channels - Phones, Face 2 Face & Web) [Cumulative]	Aim to Maximise	September 2017	85.80%	80.00%	80.00%			<p>The Govmetric Measurement of Satisfaction (3 Channels) has maintained a green RAG status during 2017. Whilst the "Face to Face" and "Web" performance have constantly failed to meet target, the "Telephony" results have exceeded target for the year to date.</p> <p>Where there is a drop in the percentage, procedures are changed to ensure targets are met. Feedback, from customers, received is acted on where appropriate.</p> <p>Telephony staff are required to put 100% of calls through to the satisfaction survey and achieving a 20% take up from customers. This forms part of their appraisal and quality monitoring and where targets are not met follow up action is taken.</p> <p>There was no clear cause for dissatisfaction in respect of the website, however, many comments in practice relate to service provision, rather than the website itself (these are forwarded to the relevant departments). July comments regarding the website related either to customers misreading a page or being in the wrong place on the website.</p> <p>All comments regarding the website are considered by the Web Team and improvements made, where possible. It is intended to undertake a survey of web users in the coming months to help identify further improvements for customers.</p>	Policy & Resources Scrutiny

Expected Outcome On course to achieve target
Responsible OUs Department for People

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 3.3 86	Delayed transfers of care (people) from hospital which are attributable to social care ONLY, per 100,000 population. [ASCOF 2C(2)] [YTD Average]	Aim to Minimise	September 2017	0.71	1.43	1.43			The improvement in this indicator since April has been significant. In the last reporting month there has been; 1 Social Care Acute Delay and 0 Social Care Non-Acute Delays. This improvement in performance has been as a result of a significant amount of work by the service to address business process issues but more importantly to find solutions in time limited, high pressure environments. The Hospital Social Care Team are working with partners to improve patient flow in the acute hospital and embrace the Integrated Discharge Teams who are working with clients when they are first admitted into hospital. Plans are now in place to co-locate the Integrated Discharge Team to seek further improvements. The recent release by the Local Government Association of the August 2017 DTOC Figures for England, show Southend Borough Council ranked as 14th out of 152 Local Authorities (152 being the poorest and 1 being the best ranking). Work continues with EPUT (non-acute) to monitor the processes to ensure data is accurate and agreed by Social Care.	People Scrutiny
CP 3.5	Proportion of adults with a learning disability in paid employment. (ASCOF 1E) [Monthly Snapshot]	Aim to Maximise	September 2017	11.9%	10%	10%			Performance continues to remain above target and has increased this month. 55 Adults are in paid employment and The Learning Disability Team are working with local employers who are keen to support in offering employment opportunities to clients with Learning Disabilities. We are confident that this indicator will meet the annual target.	People Scrutiny

Expected Outcome On course to achieve target
Responsible OUs Department for Place

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 2.1	Number of reported missed collections per 100,000 [Monthly Snapshot]	Aim to Minimise	September 2017	39	45	45			Reported missed collections have reduced as operations have improved, effective contract management has contributed and no further disruptions from service changes.	Place Scrutiny
CP 2.2	% acceptable standard of cleanliness: litter [Cumulative]	Aim to Maximise	September 2017	97%	93%	93%			Standards are above the target showing cleansing has improved, effective contract management and maturity of the contract has contributed to this.	Place Scrutiny

Expected Outcome On course to achieve target
Responsible OUs Public Health

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 3.7	Public Health Responsibility Deal [Cumulative]	Aim to Maximise	September 2017	22	20	40			3 new sign-ups for September. Wellbeing Champions Forum on 11th October used to co-design PHRD offer of support	People Scrutiny

Expected Outcome On course to achieve target
 Cannot group these rows by Responsible OUs

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Comment - explanation of current performance, actions to improve performance and anticipated future performance	Scrutiny Committee
CP 4.8	Current Rent Arrears as % of rent due.	Aim to Minimise	September 2017	1.4%	1.77%	1.77%			This indicator represents the current arrears as a percentage of the total rent collectable for the year. Whilst we will always see seasonal fluctuations in the arrears position, we are currently meeting the target, however the further "roll out" of Universal credit coupled with the 1st of the month falling on the weekend has seen the figure increase slightly this month.	Policy and Resources Scrutiny

Section 2: 2017- 2018 Corporate Performance Indicators

Information for all 2013-2014 Corporate Priority Indicators

Generated on: 06 November 2017 17:03



Performance Data Expected Outcome: At risk of missing target 8 On course to achieve target 18 Some slippage against target 6 No Value 1

Priority Aim: SAFE: Priorities • 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.

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Managed By	Scrutiny Committee
CP 1.1	Rate of children subject to a Child Protection Plan per 10,000 population under the age of 18. [Monthly Snapshot]	Goldilocks	September 2017	38.2	50.4-55.7	50.4-55.7			John O'Loughlin	People Scrutiny
CP 1.2	Rate of Looked After Children per 10,000 population under the age of 18. [Monthly Snapshot]	Aim to Minimise	September 2017	71.8	66	66			John O'Loughlin	People Scrutiny
CP 1.4	Percentage of children who have been LAC for at least 5 working days, who have had a visit in the 6 weeks (30 working days), prior to the last day of the month.	Aim to Maximise	September 2017	84.9%	90%	90%			John O'Loughlin	People Scrutiny
CP 1.5	Percentage of children who have had their Child Protection Plan for at least 20 working days and who have had a visit in the 20 working days prior to the last day of the month.	Aim to Maximise	September 2017	79.9%	90%	90%			John O'Loughlin	People Scrutiny
CP 1.6	Rate of Children in Need per 10,000 (including CiN, CPP and LAC and Care Leavers). [Monthly Snapshot]	Aim to Minimise	September 2017	334.4	296.6	296.6			John O'Loughlin	People Scrutiny
CP 1.7	The proportion of concluded section 42 enquiries (safeguarding investigations) with an action and a result of either Risk Reduced or Risk Removed. [Cumulative YTD]	Aim to Maximise	September 2017	88.6%	74%	74%			Sharon Houlden	People Scrutiny

Aim: CLEAN: Priorities • 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.

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Managed By	Scrutiny Committee
CP 2.1	Number of reported missed collections per 100,000 [Monthly Snapshot]	Aim to Minimise	September 2017	39	45	45	✔	↑	Carl Robinson	Place Scrutiny
CP 2.2	% acceptable standard of cleanliness: litter [Cumulative]	Aim to Maximise	September 2017	97%	93%	93%	✔	▬	Carl Robinson	Place Scrutiny
CP 2.3	Percentage of household waste sent for reuse, recycling and composting [Cumulative]	Aim to Maximise	September 2017	N/A	-	-	-	-	Carl Robinson	Place Scrutiny

Aim: HEALTHY: Priorities • 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 & adults, by working to reduce inequalities and social deprivation across our communities.

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Managed By	Scrutiny Committee
CP 3.1	Proportion of adults in contact with secondary mental health services who live independently with or without support. (ASCOF 1H) [Monthly Snapshot]	Aim to Maximise	September 2017	72.3%	70%	70%	✔	↓	Sharon Houlden	People Scrutiny
CP 3.2	Proportion of older people (65 and over) who were still at home 91 days after discharge from hospital into reablement/rehabilitation services. [ASCOF 2B(1) [Rolling Quarter]	Aim to Maximise	September 2017	88.3%	88.6%	88.6%	⚠	↑	Sharon Houlden	People Scrutiny
CP 3.3	Delayed transfers of care (people) from hospital which are attributable to social care ONLY, per 100,000 population. [ASCOF 2C(2)] [YTD Average]	Aim to Minimise	September 2017	0.71	1.43	1.43	✔	↑	Sharon Houlden	People Scrutiny
CP 3.4	The proportion of people who use services who receive direct payments (ASCOF 1C (2A)) [YTD Snapshot]	Aim to Maximise	September 2017	30.2%	33.5%	33.5%	⚠	↑	Sharon Houlden	People Scrutiny
CP 3.5	Proportion of adults with a learning disability in paid employment. (ASCOF 1E) [Monthly Snapshot]	Aim to Maximise	September 2017	11.9%	10%	10%	✔	↑	Sharon Houlden	People Scrutiny

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Managed By	Scrutiny Committee
CP 3.6	Participation and attendance at council owned / affiliated cultural and sporting activities and events and visits to the Pier [Cumulative]	Aim to Maximise	September 2017	4,199,076	2,175,000	4,350,000			Scott Dolling	Place Scrutiny
CP 3.7	Public Health Responsibility Deal [Cumulative]	Aim to Maximise	September 2017	22	20	40			Andrea Atherton	People Scrutiny
CP 3.8	Number of people successfully completing 4 week stop smoking course [Cumulative]	Aim to Maximise	September 2017	334	450	1,100			Lee Watson	People Scrutiny
CP 3.9	Take up of the NHS Health Check programme - by those eligible [Cumulative]	Aim to Maximise	September 2017	2,205	2,976	5,740			Andrea Atherton	People Scrutiny
CP 3.10	Percentage of Initial Child Protection Conferences that took place with 15 working days of the initial strategy discussion. [Cumulative YTD]	Aim to Maximise	September 2017	58.7%	90%	90%			John O'Loughlin	People Scrutiny
CP 3.11	The number of Early Help Assessments closed with successful outcomes for the clients (excluding TACAF).	Aim to Maximise	September 2017	98					John O'Loughlin	People Scrutiny

Aim: PROSPEROUS: Priorities • Maximise opportunities to enable the planning and development of quality, affordable housing. • Ensure residents have access to high quality education to enable them to be lifelong learners & have fulfilling employment. • Ensure the town is 'open for businesses' and that new, developing and existing enterprise is nurtured and supported • Ensured continued regeneration of the town through a culture led agenda.

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Managed By	Scrutiny Committee
CP 4.3	% of Council Tax for 2017/18 collected in year [Cumulative]	Aim to Maximise	September 2017	52.70%	52.60%	97.30%			Joe Chesterton	Policy & Resources Scrutiny
CP 4.4	% of Non-Domestic Rates for 2017/18 collected in year [Cumulative]	Aim to Maximise	September 2017	55.20%	53.00%	97.90%			Joe Chesterton	Policy & Resources Scrutiny
CP 4.5	Major planning applications determined in 13 weeks [Cumulative]	Aim to Maximise	September 2017	100.00%	79.00%	79.00%			Peter Geraghty	Place Scrutiny
CP 4.6	Minor planning applications determined in 8 weeks [Cumulative]	Aim to Maximise	September 2017	93.81%	84.00%	84.00%			Peter Geraghty	Place Scrutiny


MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Managed By	Scrutiny Committee
CP 4.7	Other planning applications determined in 8 weeks [Cumulative]	Aim to Maximise	September 2017	93.27%	90.00%	90.00%	✔	↓	Peter Geraghty	Place Scrutiny
CP 4.8	Current Rent Arrears as % of rent due.	Aim to Minimise	September 2017	1.4%	1.77%	1.77%	✔	↑	Sharon Houlden	Policy and Resources Scrutiny
CP 4.9	Percentage of children in good or outstanding schools. [Monthly Snapshot]	Aim to Maximise	September 2017	85.6%	80%	80%	✔	↓	Brin Martin	People Scrutiny
CP 4.10	Total number of households in temporary accommodation.	Aim to Minimise	September 2017	102	100	100	⚠	↓	Sharon Houlden	Policy & Resources Scrutiny

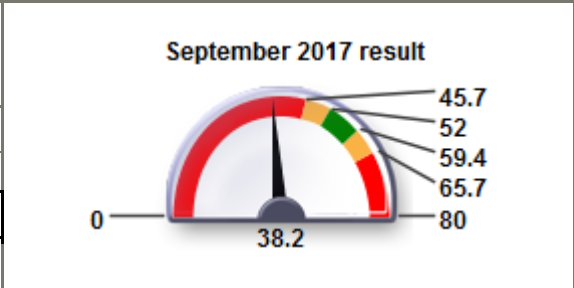
Aim: EXCELLENT: Priorities • Work with & listen to our communities & partners to achieve better outcomes for all • Enable communities to be self-sufficient & foster pride in the town • Promote & lead an entrepreneurial, creative & innovative approach to the development of our town.

MPR Code	Short Name	Minimise or Maximise	Latest Month	Month's Value	Month's Target	Annual Target 2017/18	Expected Outcome	Better or worse than last year	Managed By	Scrutiny Committee
103 CP 5.1	Number of hours delivered through volunteering within Culture, Tourism and Property, including Pier and Foreshore and Events. [Cumulative]	Aim to Maximise	September 2017	15,495	9,500	19,000	✔	↑	Scott Dolling	Place Scrutiny
CP 5.2	Govmetric Measurement of Satisfaction (3 Channels - Phones, Face 2 Face & Web) [Cumulative]	Aim to Maximise	September 2017	85.80%	80.00%	80.00%	✔	↓	Nick Corrigan; Joanna Ruffle	Policy & Resources Scrutiny
CP 5.4	Working days lost per FTE due to sickness - excluding school staff [Cumulative]	Aim to Minimise	September 2017	3.30	3.01	7.20	⊘	↑	Joanna Ruffle	Policy & Resources Scrutiny
CP 5.5	Increase the number of people signed up to MySouthend to 35,000 [Cumulative]	Aim to Maximise	September 2017	31,533	27,500	35,000	✔	↑	Ellen Butler; Joanna Ruffle	Policy & Resources Scrutiny
CP 5.6	Percentage of new Education Health and Care (EHC) plans issued within 20 weeks including exception cases. [Cumulative YTD]	Aim to Maximise	September 2017	40.5%	56%	56%	⚠	↑	Brin Martin	People Scrutiny

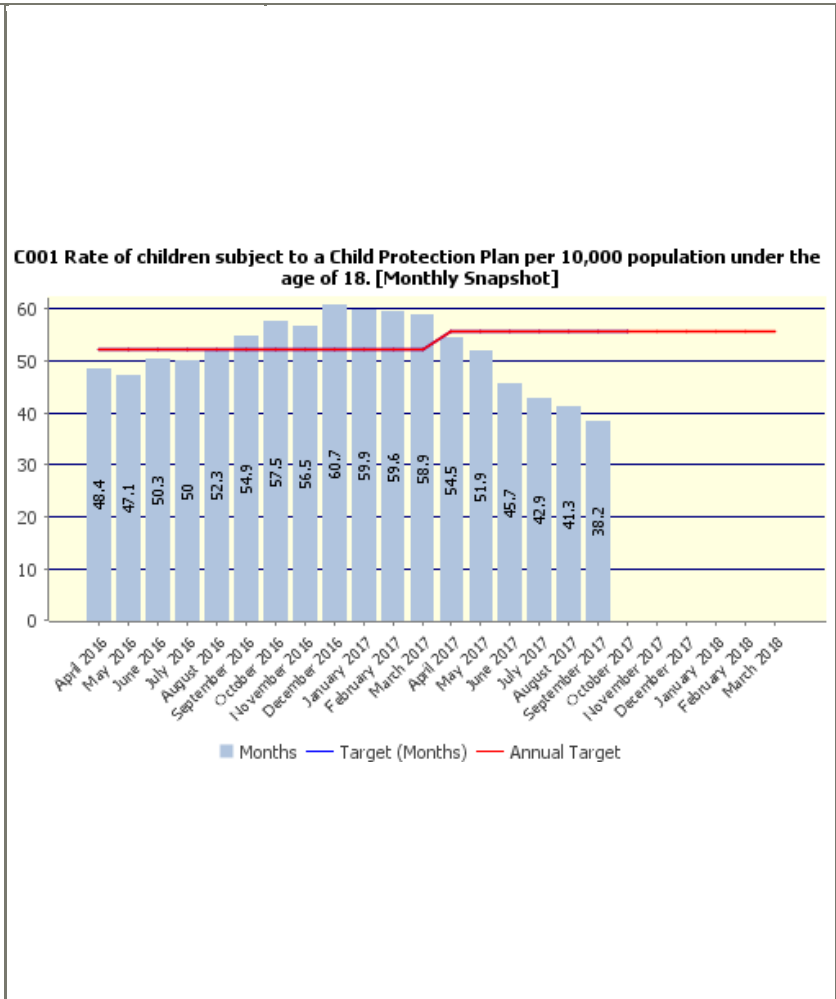
Section 3: Detail of indicators rated Red or Amber

Aim: SAFE: Priorities • 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.
 Expected Outcome: At risk of missing target 4 Some slippage against target 1


CP 1.1	Rate of children subject to a Child Protection Plan per 10,000 population under the age of 18. [Monthly Snapshot]		
Expected Outcome		Format	Goldilocks
Managed By	John O'Loughlin		
Year Introduced	2014		

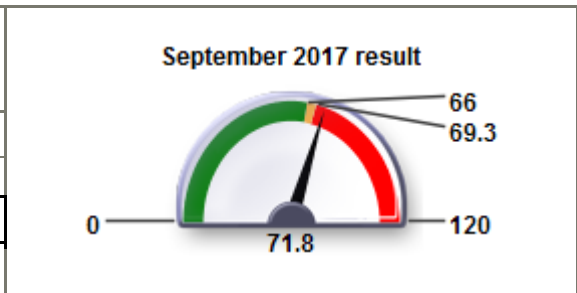


Date Range 1		
	Value	Target
April 2016	48.4	52.3
May 2016	47.1	52.3
June 2016	50.3	52.3
July 2016	50	52.3
August 2016	52.3	52.3
September 2016	54.9	52.3
October 2016	57.5	52.3
November 2016	56.5	52.3
December 2016	60.7	52.3
January 2017	59.9	52.3
February 2017	59.6	52.3
March 2017	58.9	52.3
April 2017	54.5	50.4 - 55.7
May 2017	51.9	50.4 - 55.7
June 2017	45.7	50.4 - 55.7
July 2017	42.9	50.4 - 55.7
August 2017	41.3	50.4 - 55.7
September 2017	38.2	50.4 - 55.7
October 2017		
November 2017		
December 2017		
January 2018		
February 2018		
March 2018		

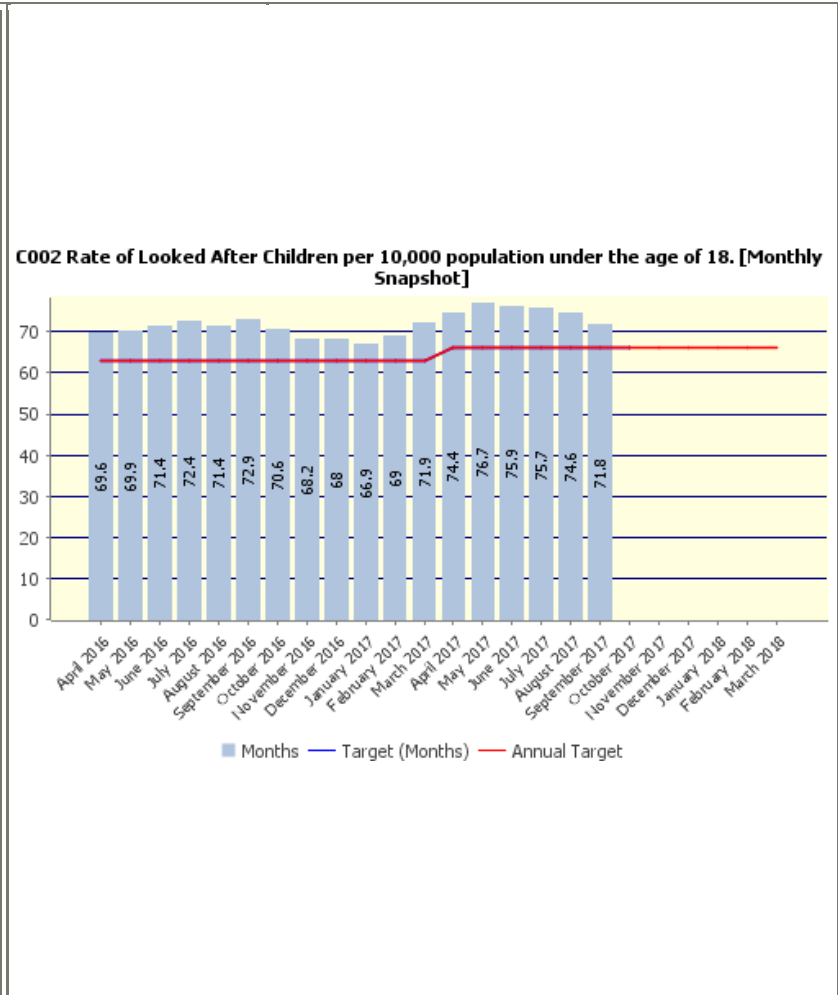


The number of children subject to child protection plans has been decreasing from a high level. The rate of children subject to plans continues to reduce following focussed quality assurance activity in this area but there is a concern that this may not explain all the decrease - we are in the process of reviewing the data and practice to identify if this is a concern.

CP 1.2	Rate of Looked After Children per 10,000 population under the age of 18. [Monthly Snapshot]		
Expected Outcome		Format	Aim to Minimise
Managed By	John O'Loughlin		
Year Introduced	2014		



Date Range 1		
	Value	Target
April 2016	69.6	63
May 2016	69.9	63
June 2016	71.4	63
July 2016	72.4	63
August 2016	71.4	63
September 2016	72.9	63
October 2016	70.6	63
November 2016	68.2	63
December 2016	68	63
January 2017	66.9	63
February 2017	69	63
March 2017	71.9	63
April 2017	74.4	66
May 2017	76.7	66
June 2017	75.9	66
July 2017	75.7	66
August 2017	74.6	66
September 2017	71.8	66
October 2017		
November 2017		
December 2017		
January 2018		
February 2018		
March 2018		

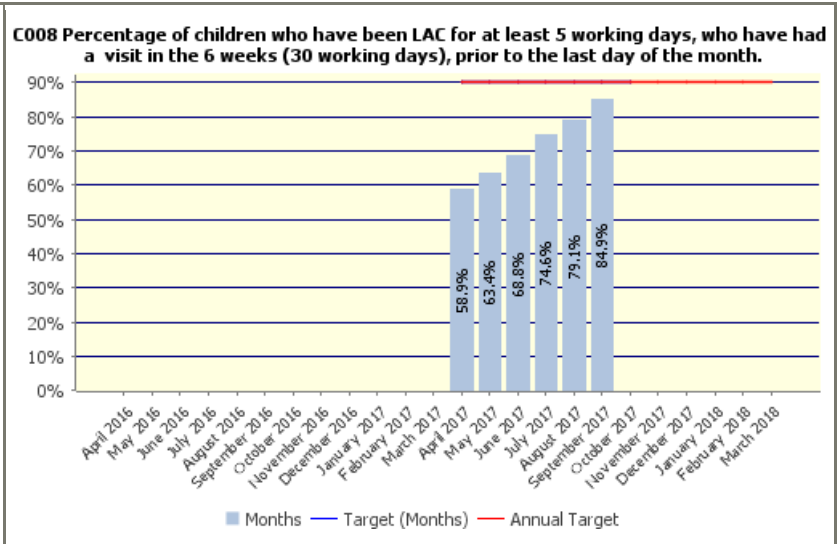


As a result of the current performance an action plan is in place for this indicator and has been presented to Executive DMT which will be monitored on a monthly basis. The rate of looked after children remains above target however it has reduced over the last 4 months. It is acknowledged that we are still some way off target on this indicator but with the drop in child protection numbers we should start seeing a downward trend towards target. In addition to this we are carrying out a piece of detailed analysis on the flow of children in this area with the support of Research in Practice to help us understand where any improvements might be made. Other than children who need to become looked after in an emergency the decision for a child to become looked after is made by the Placement Panel to ensure that all other options are considered before care is agreed. The Panel process has prevented the numbers escalating and where safely possible put other measures in place to support the family. It is anticipated that our planned work around reunification will ensure that children do not remain in care for longer than necessary.

Note for CMT: Benchmarking data as requested Eastern region 49.9, Lowest 33.6 (Essex), Highest 86.0 (Thurrock). Southend are 9th out of 11, 1st being the lowest. Of the 289 children who are looked after, 16 are Unaccompanied Asylum Seeking Children. If these 16 children are removed from the figure, the rate of LAC would be 70.5.

CP 1.4	Percentage of children who have been LAC for at least 5 working days, who have had a visit in the 6 weeks (30 working days), prior to the last day of the month.			<p style="text-align: center;">September 2017 result</p>
Expected Outcome		Format	Aim to Maximise	
Managed By	John O'Loughlin			
Year Introduced	2017			

Date Range 1		
	Value	Target
April 2017	58.9%	90%
May 2017	63.4%	90%
June 2017	68.8%	90%
July 2017	74.6%	90%
August 2017	79.1%	90%
September 2017	84.9%	90%
October 2017		
November 2017		
December 2017		
January 2018		
February 2018		
March 2018		

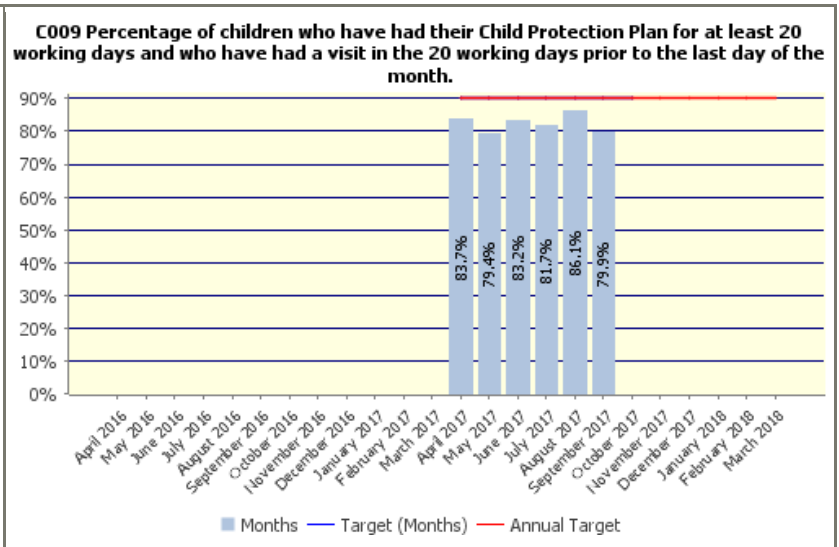


Whilst it is acknowledged that this indicator is below target the trend is upwards and performance has improved every month this financial year. Since April performance has improved from 58.9% to 84.9%. The activity relating to improving this area of performance is working and has been reported in previous months and remains the same, namely that:

- as a result of current performance an action plan is in place and has been presented to Executive Departmental Management Team (DMT) and monitored on a monthly basis; and
- Performance continues to improve month on month however it is recognised that the rate of change is too slow. Robust action has been taken in this regard and further improvements have been seen during Aug-17. Work across the service to improve practice, as detailed in plans relating to other areas of performance, will further improve this area of performance. The work includes; visiting being included in all social worker PMR, assurance reporting from team managers on a weekly basis to service managers highlighting children who have not been visited within the last 30 working days (process introduced in April) and proactive use of the weekly performance reports to team managers. Failure to complete visits to children forms part of capability processes where appropriate.

CP 1.5	Percentage of children who have had their Child Protection Plan for at least 20 working days and who have had a visit in the 20 working days prior to the last day of the month.			<p style="text-align: center;">September 2017 result</p>
Expected Outcome		Format	Aim to Maximise	
Managed By	John O'Loughlin			
Year Introduced	2017			

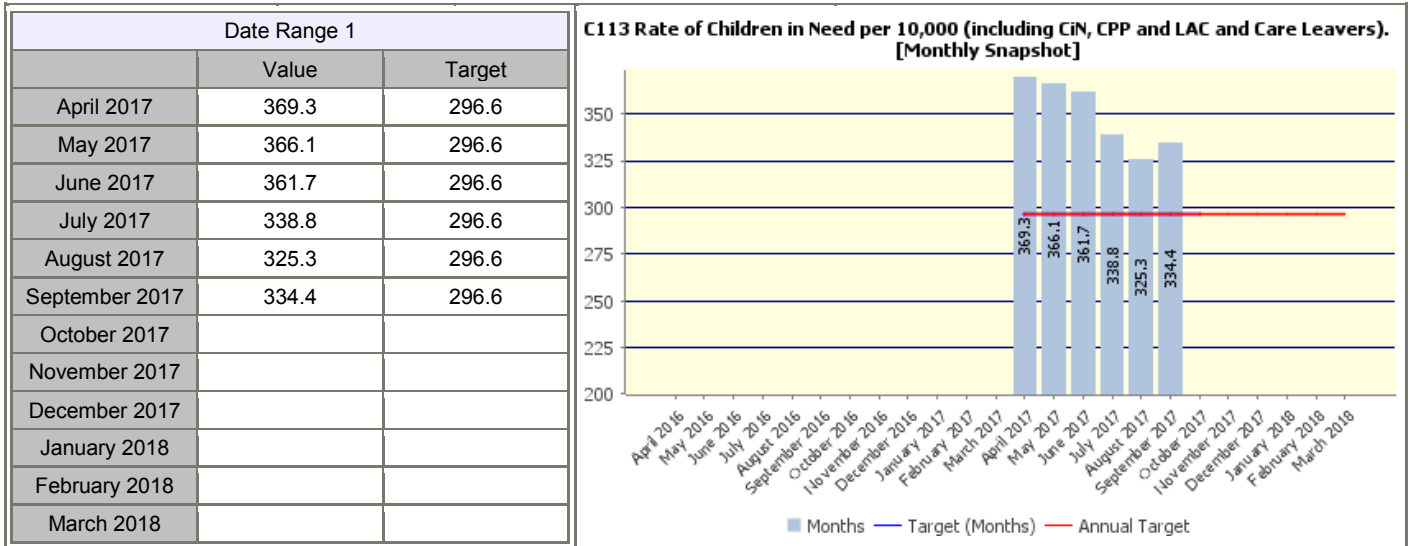
Date Range 1		
	Value	Target
April 2017	83.7%	90%
May 2017	79.4%	90%
June 2017	83.2%	90%
July 2017	81.7%	90%
August 2017	86.1%	90%
September 2017	79.9%	90%
October 2017		90%
November 2017		
December 2017		
January 2018		
February 2018		
March 2018		



An action plan is in place for this indicator and has been presented to Executive DMT which will be monitored on a monthly basis. It is acknowledged that this performance indicator remains below target however there has been good improvement which is expected to continue. This remains an area of continued focus and the action plan taken to Executive DMT is being progressed. The details of that plan is as follows:

- visiting being included in all social worker PMR, assurance reporting from team managers on a weekly basis to service managers includes children who have not been visited within the last 20 working days (process introduced on 22-Apr-17); and
- proactive use of the weekly performance reports to team managers. Failure to complete visits to children forms part of capability processes where required.

CP 1.6	Rate of Children in Need per 10,000 (including CiN, CPP and LAC and Care Leavers). [Monthly Snapshot]			<p style="text-align: center;">September 2017 result</p>
Expected Outcome		Format	Aim to Minimise	
Managed By	John O'Loughlin			
Year Introduced	2017			




This month Performance has dropped slightly by 9 children per 10,000. This may be due to the increase in referrals we see when schools return at the end of the summer break.

The positive impact we have seen across the year is enhanced by the work being undertaken within longer term teams to ensure families move swiftly to other services when it safe for them to do so.

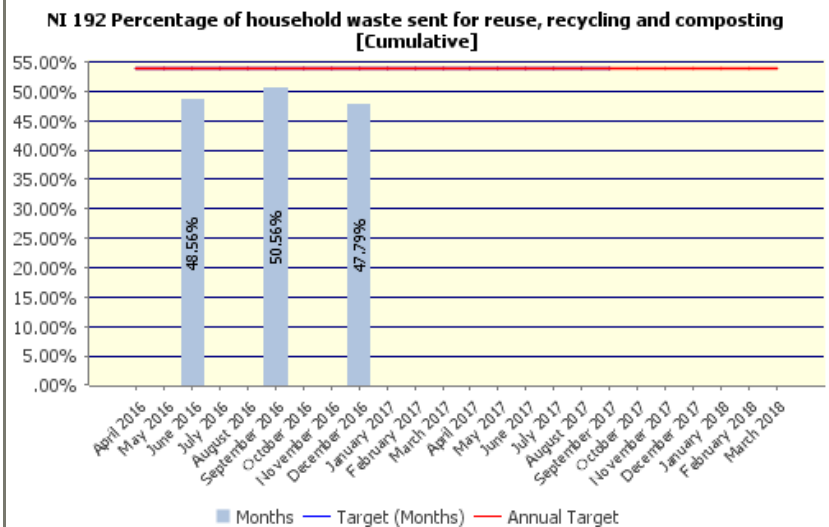
As a result of the current performance an action plan is in place for this indicator and has been presented to Executive DMT which will be monitored on a monthly basis. Our rate of children in need has increased from 2015/16 when it stood at 251 per 10,000 however it should be noted that our rate had been low compared to statistical neighbours for a number of years. Robust operational management is now in place to ensure that all children classed as in need do actually require statutory support.

Aim: CLEAN: Priorities • 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.

Expected Outcome: At risk of missing target 1

CP 2.3	Percentage of household waste sent for reuse, recycling and composting [Cumulative]			September 2017 result N/A
Expected Outcome		Format	Aim to Maximise	
Managed By	Carl Robinson			
Year Introduced	2008			


Date Range 1		
	Value	Target
April 2016	N/A	54.00%
May 2016	N/A	54.00%
June 2016	48.56%	54.00%
Q1 2016/17		
July 2016	N/A	54.00%
August 2016	N/A	54.00%
September 2016	50.56%	54.00%
Q2 2016/17		
October 2016	N/A	54.00%
November 2016	N/A	54.00%
December 2016	47.79%	54.00%
Q3 2016/17		
January 2017	N/A	54.00%
February 2017	N/A	54.00%
March 2017	N/A	54.00%
Q4 2016/17		
April 2017	N/A	TBC
May 2017	N/A	TBC
June 2017	N/A	TBC
Q1 2017/18		
July 2017	N/A	TBC
August 2017	N/A	TBC
September 2017	N/A	TBC
Q2 2017/18		
October 2017		
November 2017		
December 2017		
Q3 2017/18		
January 2018		
February 2018		
March 2018		
Q4 2017/18		

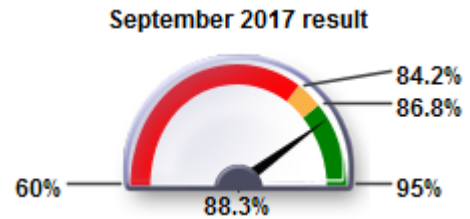


Discussions with the contractor currently taking place, in relation to relevant data and need to rebalance targets.

Aim: HEALTHY: Priorities • 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 & adults, by working to reduce inequalities and social deprivation across our communities.

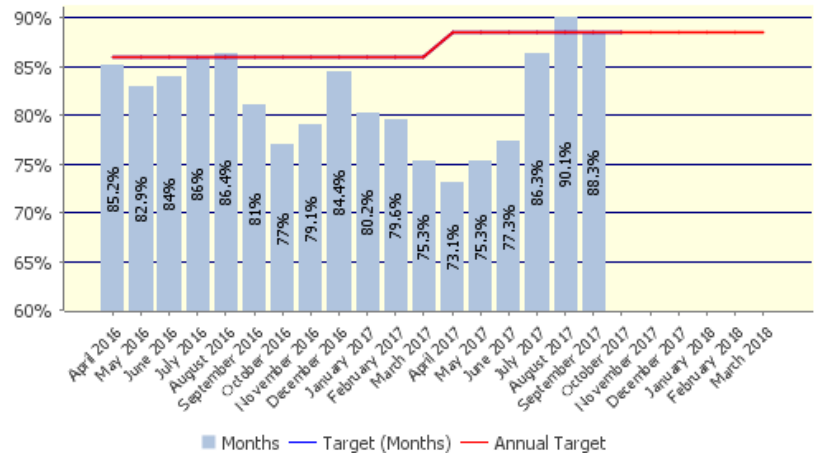
Expected Outcome: At risk of missing target 2 Some slippage against target 3

CP 3.2	Proportion of older people (65 and over) who were still at home 91 days after discharge from hospital into reablement/rehabilitation services. [ASCOF 2B(1) [Rolling Quarter]		
Expected Outcome		Format	Aim to Maximise
Managed By	Sharon Houlden		
Year Introduced	2012		



Date Range 1		
	Value	Target
April 2016	85.2%	86%
May 2016	82.9%	86%
June 2016	84%	86%
Q1 2016/17		
July 2016	86%	86%
August 2016	86.4%	86%
September 2016	81%	86%
Q2 2016/17		
October 2016	77%	86%
November 2016	79.1%	86%
December 2016	84.4%	86%
Q3 2016/17		
January 2017	80.2%	86%
February 2017	79.6%	86%
March 2017	75.3%	86%
Q4 2016/17		
April 2017	73.1%	88.6%
May 2017	75.3%	88.6%
June 2017	77.3%	88.6%
Q1 2017/18		
July 2017	86.3%	88.6%
August 2017	90.1%	88.6%
September 2017	88.3%	88.6%
Q2 2017/18		

A013 Proportion of older people (65 and over) who were still at home 91 days after discharge from hospital into reablement/rehabilitation services. [ASCOF 2B(1) [Rolling Quarter]



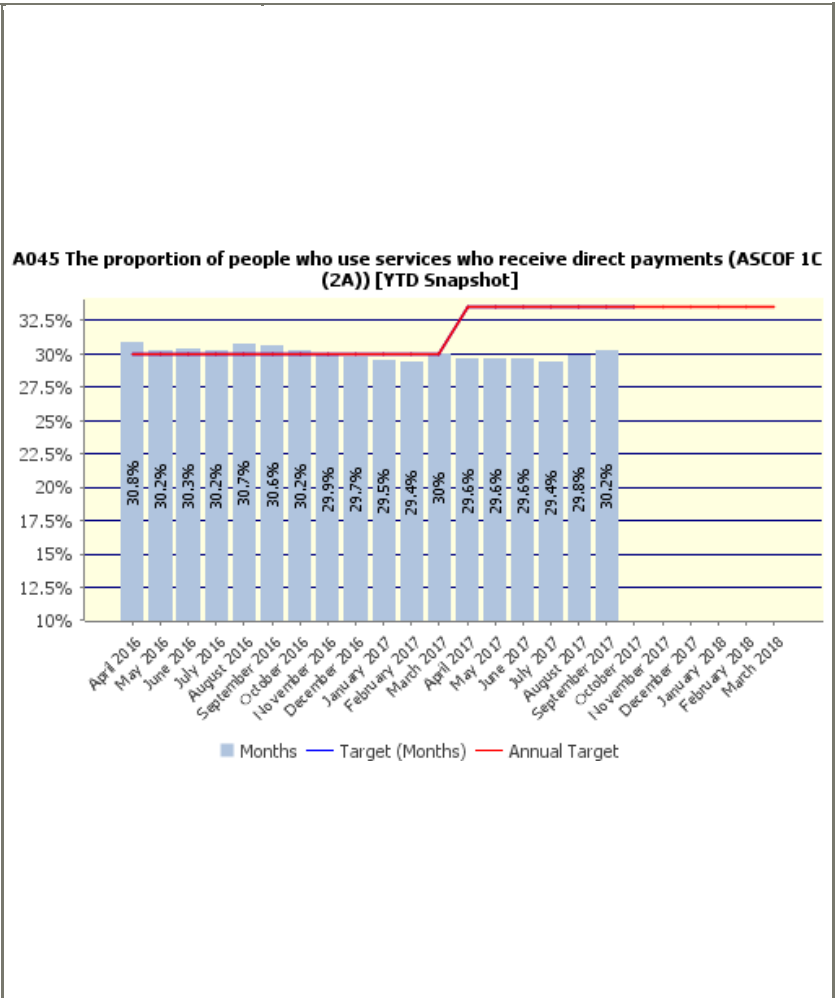
Performance remains stable and virtually on target this month. This reporting period shows that out of 94 Adults using the reablement service, 83 were still at home 91 days later. Of the 11 not at home, 2 had been admitted back into hospital, 1 moved into nursing care, 3 into residential care and 5 passed away.

This significant recovery in performance is at least in part due to the work of the Service Transformation team which has supported the redesign of the Front Door services, including the monitoring of the reablement service and how the service collects the data.


The benefits of all recent changes and on-going work have achieved an early improvement in the service. This will continue to be monitored closely for the sustained improvement that is expected. The national benchmark is 82.7%

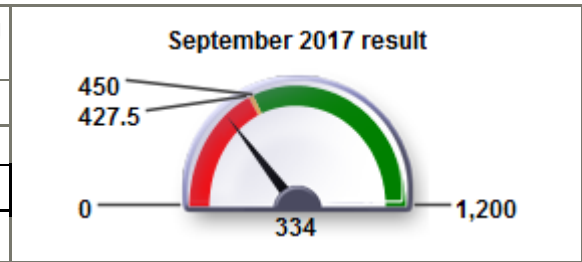
CP 3.4	The proportion of people who use services who receive direct payments (ASCOF 1C (2A)) [YTD Snapshot]		<p style="text-align: center;">September 2017 result</p>
Expected Outcome		Format Aim to Maximise	
Managed By	Sharon Houlden		
Year Introduced	2015		

Date Range 1		
	Value	Target
April 2016	30.8%	30%
May 2016	30.2%	30%
June 2016	30.3%	30%
July 2016	30.2%	30%
August 2016	30.7%	30%
September 2016	30.6%	30%
October 2016	30.2%	30%
November 2016	29.9%	30%
December 2016	29.7%	30%
January 2017	29.5%	30%
February 2017	29.4%	30%
March 2017	30%	30%
April 2017	29.6%	33.5%
May 2017	29.6%	33.5%
June 2017	29.6%	33.5%
July 2017	29.4%	33.5%
August 2017	29.8%	33.5%
September 2017	30.2%	33.5%
October 2017		
November 2017		
December 2017		
January 2018		
February 2018		
March 2018		

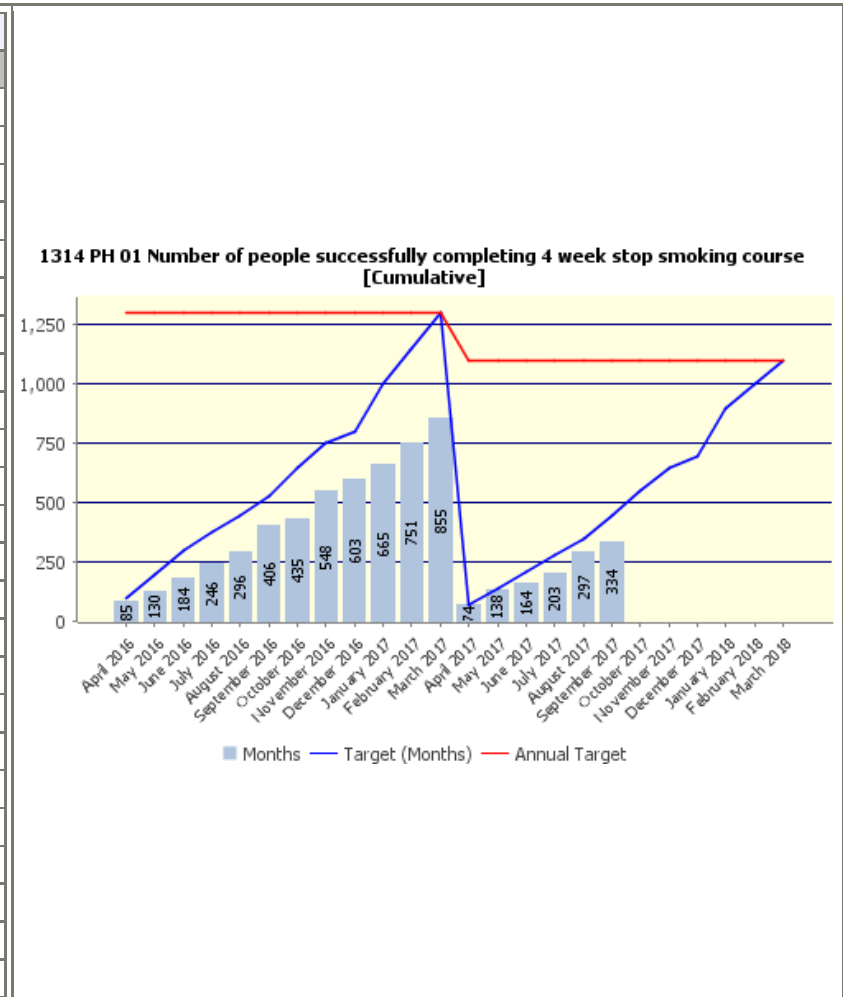


At the end of September, 530 of 1756 long term service clients were receiving a Direct Payment. Performance on this indicator has improved this month but remains slightly below target. The service transformation team are working to review the practice and systems in relation to direct payments and the Direct Payment contract will be going out to the market to tender. It is hoped that a new contract, with enhanced expectations on the service delivery will improve and support the Adults using or thinking of using the Direct Payment Service.


CP 3.8	Number of people successfully completing 4 week stop smoking course [Cumulative]		
Expected Outcome		Format	Aim to Maximise
Managed By	Lee Watson		
Year Introduced	2013		

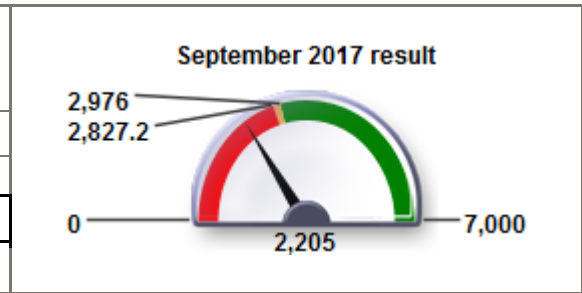


Date Range 1		
	Value	Target
April 2016	85	100
May 2016	130	200
June 2016	184	300
July 2016	246	380
August 2016	296	450
September 2016	406	530
October 2016	435	650
November 2016	548	750
December 2016	603	800
January 2017	665	1,000
February 2017	751	1,150
March 2017	855	1,300
April 2017	74	70
May 2017	138	140
June 2017	164	210
July 2017	203	280
August 2017	297	350
September 2017	334	450
October 2017		550
November 2017		650
December 2017		700
January 2018		900
February 2018		1,000
March 2018		1,100

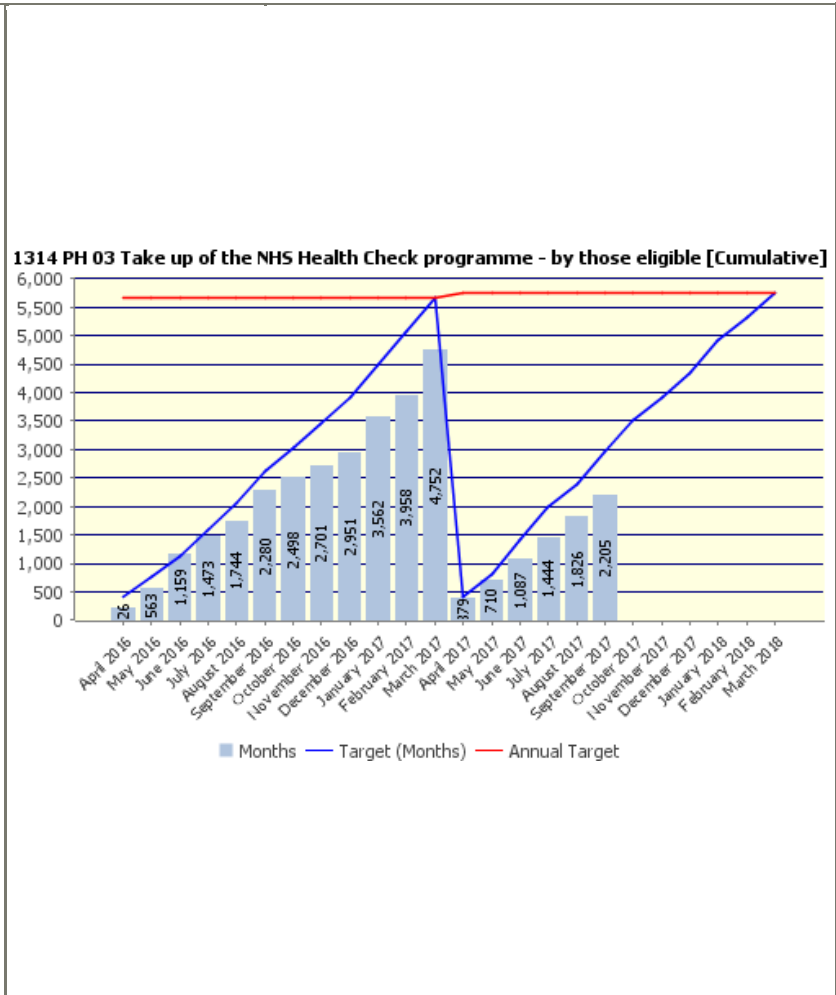


Department of Health guidelines state that quit attempts can be registered up to 42 days after a "quit date" is set. Therefore final data will not be available for this period for a further 2 months. Currently behind trajectory, 4 week quit recovery plan being developed and implemented. Recent statistics show smoking prevalence in adults has fallen to 17.2% and footfall through stop smoking continues to decline.

CP 3.9	Take up of the NHS Health Check programme - by those eligible [Cumulative]		
Expected Outcome		Format	Aim to Maximise
Managed By	Andrea Atherton		
Year Introduced	2013		



Date Range 1		
	Value	Target
April 2016	226	406
May 2016	563	763
June 2016	1,159	1,120
July 2016	1,473	1,592
August 2016	1,744	2,064
September 2016	2,280	2,632
October 2016	2,498	3,038
November 2016	2,701	3,443
December 2016	2,951	3,914
January 2017	3,562	4,482
February 2017	3,958	5,050
March 2017	4,752	5,673
April 2017	379	414
May 2017	710	828
June 2017	1,087	1,406
July 2017	1,444	1,984
August 2017	1,826	2,398
September 2017	2,205	2,976
October 2017		3,506
November 2017		3,920
December 2017		4,334
January 2018		4,912
February 2018		5,326
March 2018		5,740



Currently behind trajectory. Recovery plan being delivered with outreach provider and local GP practices. Public health team offering support to all practices to improve uptake.

CP 3.10	Percentage of Initial Child Protection Conferences that took place with 15 working days of the initial strategy discussion. [Cumulative YTD]		<p style="text-align: center;">September 2017 result</p>
Expected Outcome		Format Aim to Maximise	
Managed By	John O'Loughlin		
Year Introduced	2017		

Date Range 1		
	Value	Target
April 2017	27.3%	90%
May 2017	26.5%	90%
June 2017	33.3%	90%
July 2017	54.5%	90%
August 2017	59.3%	90%
September 2017	58.7%	90%
October 2017		90%
November 2017		
December 2017		
January 2018		
February 2018		
March 2018		

Month	Percentage
April 2017	27.3%
May 2017	26.5%
June 2017	33.3%
July 2017	54.5%
August 2017	59.3%
September 2017	58.7%

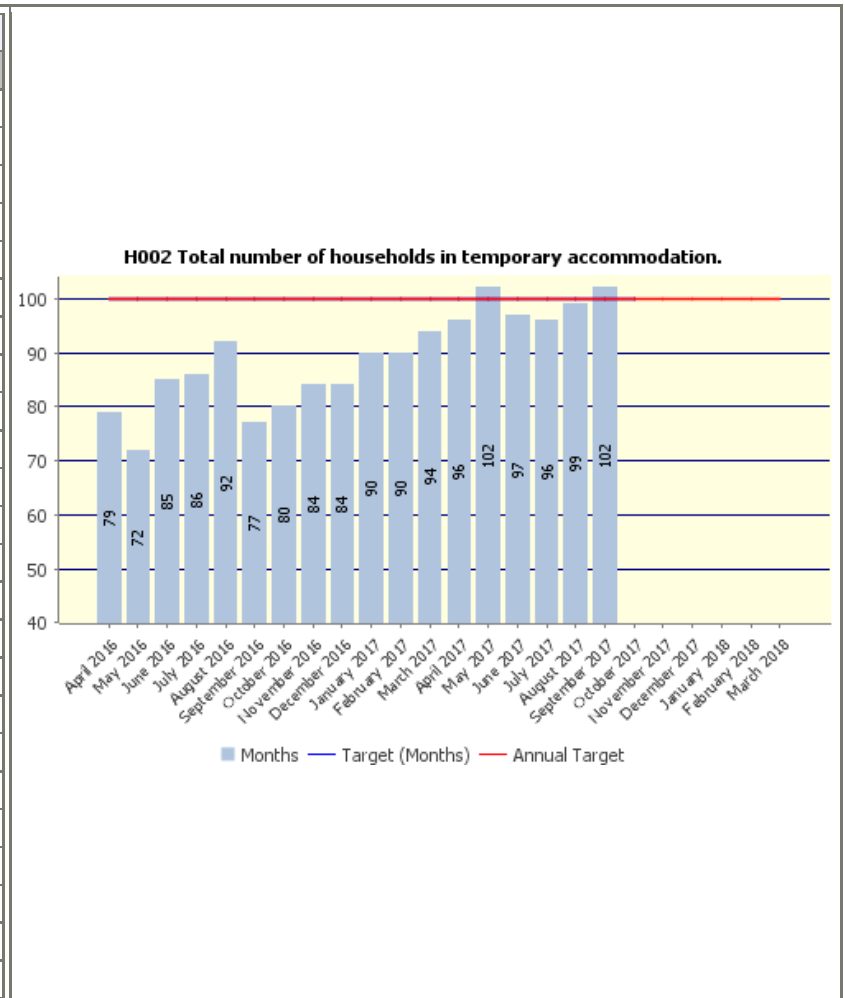
It is acknowledged that this indicator remains below target. An action plan continues to be progressed and is submitted to EDMT each month. Performance has however improved a further during August. It is anticipated that improvement will continue. As this is a cumulative measure the strength of performance each month will not be fully reflected in this measure as it is weighted down by the poorer performance early in the year.

Aim: PROSPEROUS: Priorities • Maximise opportunities to enable the planning and development of quality, affordable housing. • Ensure residents have access to high quality education to enable them to be lifelong learners & have fulfilling employment. • Ensure the town is 'open for businesses' and that new, developing and existing enterprise is nurtured and supported • Ensure continued regeneration of the town through a culture led agenda.

Expected Outcome: Some slippage against target 1

CP 4.10	Total number of households in temporary accommodation.			<p>September 2017 result</p>
Expected Outcome		Format	Aim to Minimise	
Managed By	Sharon Houlden			
Year Introduced				

Date Range 1		
	Value	Target
April 2016	79	100
May 2016	72	100
June 2016	85	100
July 2016	86	100
August 2016	92	100
September 2016	77	100
October 2016	80	100
November 2016	84	100
December 2016	84	100
January 2017	90	100
February 2017	90	100
March 2017	94	100
April 2017	96	100
May 2017	102	100
June 2017	97	100
July 2017	96	100
August 2017	99	100
September 2017	102	100
October 2017		
November 2017		
December 2017		
January 2018		
February 2018		
March 2018		



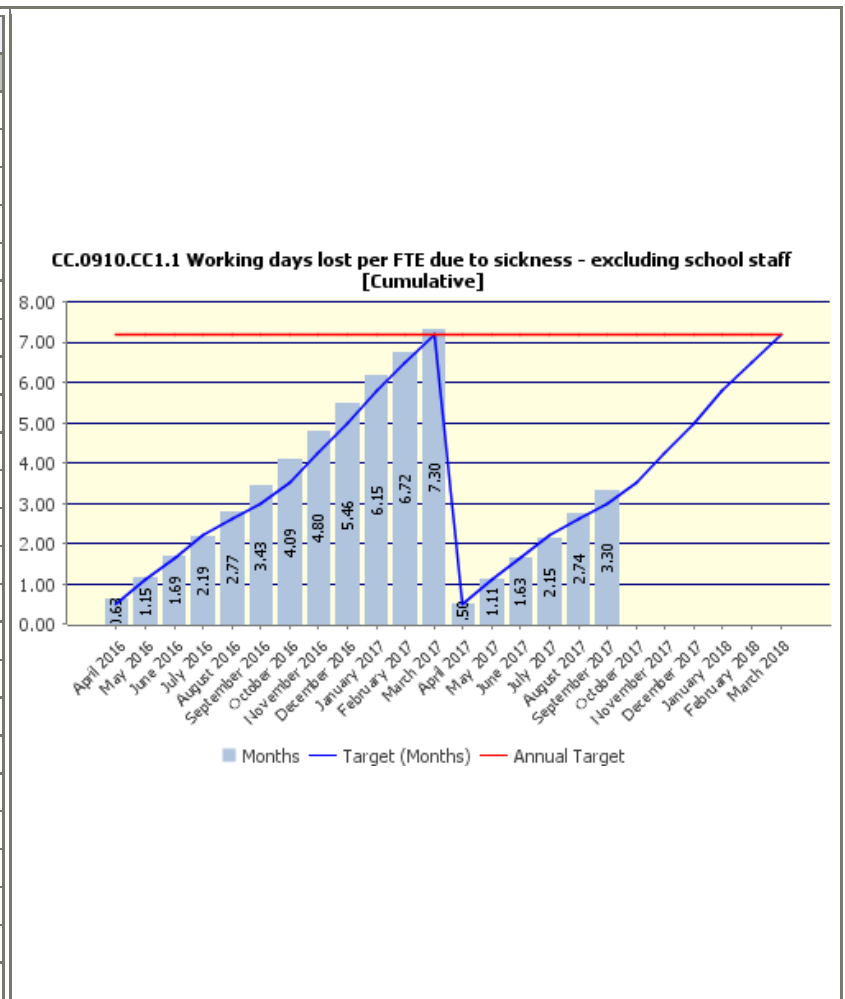
Lack of available properties continues to have an impact on temporary accommodation occupancy. One factor is the reduction in availability of 2 bedroom properties. It is also difficult to source affordable properties in the private sector due to a combination of high rents that far exceed LHA levels and landlord's reluctance to accept benefit dependant tenants. The level of temporary accommodation occupation has been an area of concern for SBC for some time.

Aim: EXCELLENT: Priorities • Work with & listen to our communities & partners to achieve better outcomes for all • Enable communities to be self-sufficient & foster pride in the town • Promote & lead an entrepreneurial, creative & innovative approach to the development of our town.

Expected Outcome: At risk of missing target 1 Some slippage against target 1

CP 5.4	Working days lost per FTE due to sickness - excluding school staff [Cumulative]			<p>September 2017 result</p>
Expected Outcome		Format	Aim to Minimise	
Managed By	Joanna Ruffle			
Year Introduced	2009			

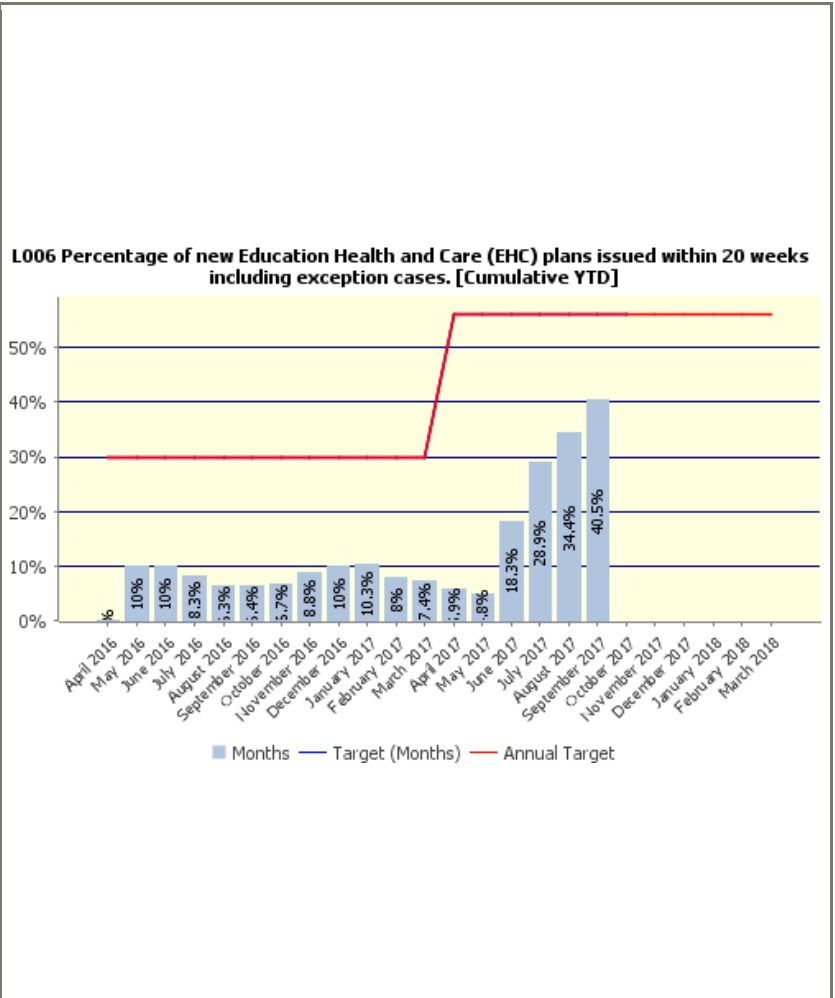
Date Range 1		
	Value	Target
April 2016	0.63	0.51
May 2016	1.15	1.10
June 2016	1.69	1.65
July 2016	2.19	2.21
August 2016	2.77	2.61
September 2016	3.43	3.01
October 2016	4.09	3.51
November 2016	4.80	4.27
December 2016	5.46	4.99
January 2017	6.15	5.82
February 2017	6.72	6.49
March 2017	7.30	7.20
April 2017	0.50	0.51
May 2017	1.11	1.10
June 2017	1.63	1.65
July 2017	2.15	2.21
August 2017	2.74	2.61
September 2017	3.30	3.01
October 2017		3.51
November 2017		4.27
December 2017		4.99
January 2018		5.82
February 2018		6.49
March 2018		7.20



The Corporate sickness target has not been met for the month of September, and sickness levels are above the year to date target. HR will be working with Team Prevent and First Care to undertake a detailed analysis of absence data in order to provide managers with proactive support.

CP 5.6	Percentage of new Education Health and Care (EHC) plans issued within 20 weeks including exception cases. [Cumulative YTD]			<p>September 2017 result</p>
Expected Outcome		Format	Aim to Maximise	
Managed By	Brin Martin			
Year Introduced	2016			

Date Range 1		
	Value	Target
April 2016	0%	30%
May 2016	10%	30%
June 2016	10%	30%
July 2016	8.3%	30%
August 2016	6.3%	30%
September 2016	6.4%	30%
October 2016	6.7%	30%
November 2016	8.8%	30%
December 2016	10%	30%
January 2017	10.3%	30%
February 2017	8%	30%
March 2017	7.4%	30%
April 2017	5.9%	56%
May 2017	4.8%	56%
June 2017	18.3%	56%
July 2017	28.9%	56%F
August 2017	34.4%	56%
September 2017	40.5%	56%
October 2017		
November 2017		
December 2017		
January 2018		
February 2018		
March 2018		



As a result of the current performance an action plan is in place for this indicator and has been presented to Executive DMT which will be monitored on a monthly basis.

Between Apr-17 and Sep-17, 60 out of 148 EHC plans were issued within the 20 week timescale, an improvement of 6.1% over last month.

The national benchmark is 55.7%.

SECTION 4 – Partnership Indicators

Health and Wellbeing Indicators

	Performance Measures	Rationale for inclusion	Latest Performance
1.	<p>Referral for treatment - % of patients referred from GP to hospital treatment within 18 weeks</p> <p>http://southendccg.nhs.uk/news-events/governing-body-papers/5-october-2017</p>	National standard, providing a measurement of key area of performance and a key area of public concern. Can be produced monthly and is easy to benchmark.	<p style="text-align: center;">86.45% (July 2017)</p> <p>NHS Southend CCG was not compliant for July; with 14,675 pathways of which 1,989 were over 18 weeks and 7 were over 52 weeks.</p> <p>Against national target of 85%</p>
2.	<p>Cancer treatment - % patients treated within 62 days of GP urgent suspected cancer referral</p> <p>http://southendccg.nhs.uk/news-events/governing-body-papers/5-october-2017</p>	National standard, providing a measurement of key area of performance and a key area of public concern. Can be produced monthly and is easy to benchmark.	<p>62 Day Operational Standard 79% (July 2017)</p> <p>Against national average of 82.4%</p> <p>30 out of 38 patients were treated within 62 days.</p>
3.	<p>A&E - % of patients attending Southend Hospital A&E, seen and discharged in under 4 hours</p> <p>http://southendccg.nhs.uk/news-events/governing-body-papers/</p>	National standard. Provides information relating to the effectiveness of the urgent care system. Can be produced monthly and is easy to benchmark.	<p style="text-align: center;">91.1% (August 2017)</p> <p style="text-align: center;">91.83% (Year to date)</p> <p>Against national target of 95%</p>
4.	<p>Mental health - Improving Access to Psychological Therapy (IAPT) - % of people with common mental health problems accessing the service and entering treatment in the current year</p> <p>http://southendccg.nhs.uk/news-events/governing-body-papers/june-2017/1750-item-08-integrated-commissioning-and-performance-report-010617/file</p>	Provides an indicator for a priority area for councillors and one of the HWB Strategy ambitions. Can be produced monthly and is easily benchmarked.	<p>15.0% as at 31st March 2017, however aiming to exceed this and work to 15.8%.</p> <p>Based on performance over the rest of the year to date, it seems likely that the target will be close to the national NHS England target for 2017/18 of 16.8%.</p> <p>Performance in Southend is above the required trajectory</p>

5.	<p>Dementia - % of people diagnosed with dementia against the estimated prevalence. (66.7% national ambition).</p> <p>http://southendccg.nhs.uk/news-events/governing-body-papers/5-october-2017/1879-item-06-integrated-commissioning-performance-051017/file</p>	<p>Issue of increasing prevalence and concern among the public. Can be produced monthly and is easy to benchmark.</p>	<p>61.1% achieved in July 2017, this is against the 66.7% diagnosis ambition target.</p> <p>An increase from 60.1% in June.</p> <p>Southend remains the only CCG in the East of England that is compliant with the national target.</p>
6.	<p>Primary Care – GP Patient Survey: - Overall experience of the GP surgery (very/fairly good; fairly/very poor; neither good nor poor)</p> <p>https://gp-patient.co.uk/surveys-and-reports</p>	<p>Provides residents views on the quality of GP service in the borough. Survey is now produced annually.</p>	<p>Overall experience of GP surgery – July 2017</p> <p>Very good – 42% Fairly good – 41% Neither good nor poor – 11% Fairly poor – 4% Very poor – 3%</p> <p>National Average of patients rating ‘Good’ is 85%</p>
7.	<p>End of life care - Preferred Place of Death (PPoD) – Percentage of patients referred to the Palliative Care Support Register (PCSE) who have expressed a preference for place of death and who achieve this preference. *</p>	<p>Nationally accepted as a key performance indicator for end of life care; integral to Ambitions for Palliative and End of Life Care: a national framework for local action 2015-2020.</p> <p>Can be produced monthly.</p>	<p>Southend: 83%</p> <p>The PPoD achievement for Southend in September 2017 is 36 out of 44.</p> <p>(no national target at present)</p>

*although patients make a preference for a place of death, often home, the reality of the last days/hours of life often prompts patients and/or relatives/carers to change their mind and seek what they consider to be a place of safety and support, which is invariably the acute trust. Patients are documented for PPoD as: Home; Hospital; Hospice; Care/Nursing Home; Community Hospital.

Local Economy Indicators

Performance Measures		Latest Performance Economic Scorecard Reported Quarterly										
1.	Average House Prices	<table border="1" style="margin: auto; border-collapse: collapse;"> <thead> <tr style="background-color: #d3d3d3;"> <th style="width: 30%;"></th> <th style="width: 35%; text-align: center;">August 2016</th> <th style="width: 35%; text-align: center;">August 2017</th> </tr> </thead> <tbody> <tr> <td style="background-color: #d3d3d3;">Average Price</td> <td style="text-align: center;">£250,998</td> <td style="text-align: center;">£276,602</td> </tr> <tr> <td style="background-color: #d3d3d3;">% Change</td> <td style="text-align: center;">12.47% (Aug 15-16)</td> <td style="text-align: center;">10.20% (Aug 16-17)</td> </tr> </tbody> </table>			August 2016	August 2017	Average Price	£250,998	£276,602	% Change	12.47% (Aug 15-16)	10.20% (Aug 16-17)
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Average Price	£250,998	£276,602										
% Change	12.47% (Aug 15-16)	10.20% (Aug 16-17)										
2.	Planning Applications	<table border="1" style="margin: auto; border-collapse: collapse;"> <tbody> <tr> <td style="width: 60%; text-align: center;">September 2017</td> <td style="width: 40%; text-align: center;">162</td> </tr> <tr> <td style="text-align: center;">September 2016</td> <td style="text-align: center;">201</td> </tr> </tbody> </table>		September 2017	162	September 2016	201					
September 2017	162											
September 2016	201											
3.	Job Seekers Allowance Claimants	<table border="1" style="margin: auto; border-collapse: collapse;"> <thead> <tr style="background-color: #d3d3d3;"> <th style="width: 30%;"></th> <th style="width: 35%; text-align: center;">March 2016</th> <th style="width: 35%; text-align: center;">March 2017</th> </tr> </thead> <tbody> <tr> <td style="background-color: #d3d3d3;">JSA Claimants (Number)</td> <td style="text-align: center;">2,170</td> <td style="text-align: center;">2,300</td> </tr> <tr> <td style="background-color: #d3d3d3;">JSA Claimants %</td> <td style="text-align: center;">2.0%</td> <td style="text-align: center;">2.10%</td> </tr> </tbody> </table> <p style="margin-top: 10px; font-size: small;">Source: Office of National Statistics & Southend-on-Sea Borough Council</p>			March 2016	March 2017	JSA Claimants (Number)	2,170	2,300	JSA Claimants %	2.0%	2.10%
	March 2016	March 2017										
JSA Claimants (Number)	2,170	2,300										
JSA Claimants %	2.0%	2.10%										

Community Safety Indicators

Short name	Month's value (April-August cumulative)	Comment – explanation of current performance, actions to improve performance and anticipated future performance																																												
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, wounding's, robbery. [Cumulative]	3384	<p>Southend CSP is now undertaking its 2017 Strategic Intelligence Assessment. The assessment will identify the key crime priorities for the next 12 months commencing in 2018.</p> <p>The SIA processes, as well as the on-going reviews of the CSP and Community Safety Hub, will hopefully re align resources and structures (CSP Action Groups) to ensure the Council and its partners target the key areas which are causing the Borough most harm. This includes issues surrounding the Town Centre (the street community), Violent Crime (such as knife crime, and crime associated with Gangs) and other problems associated with ASB and street drinking – including enforcement practices.</p> <p>August BCS Breakdown: Theft of a vehicle – 4%; Theft from a vehicle - 7% ; Vehicle interference – 1%; Burglary in a dwelling – 8%; Bicycle Theft – 4%; Theft from the person -2%; Criminal damage (exc 59) - 17%; HMIC Violence without injury – 36%; Wounding (Serious or Other) – 18%; Personal Robbery – 2%.</p>																																												
Performance Measures	Rationale for inclusion	Latest Performance Available																																												
10 BCS crimes	Provides a broad indication of the level of crime in the borough, is a familiar performance measure and is easy to benchmark.	<table border="1"> <thead> <tr> <th style="text-align: center;">Individual Components of 10 BCS Comparator Crime</th> <th style="text-align: center;">iQuanta (June 2017)</th> <th style="text-align: center;">Essex Police Performance Summary Offences (Rolling 12 months to June 2017)</th> <th style="text-align: center;">Increase/ Decrease (previous years data) %</th> </tr> </thead> <tbody> <tr> <td>10 BCS Crimes - total</td> <td style="text-align: center;">*</td> <td style="text-align: center;">6840</td> <td style="text-align: center;">↓2.0</td> </tr> <tr> <td>Theft of a vehicle</td> <td style="text-align: center;">31</td> <td style="text-align: center;">361</td> <td style="text-align: center;">↑4.0</td> </tr> <tr> <td>Theft from Vehicle</td> <td style="text-align: center;">83</td> <td style="text-align: center;">858</td> <td style="text-align: center;">↓8.0</td> </tr> <tr> <td>Vehicle Interference</td> <td style="text-align: center;">29</td> <td style="text-align: center;">185</td> <td style="text-align: center;">↑13.0</td> </tr> <tr> <td>Burglary in a dwelling</td> <td style="text-align: center;">90</td> <td style="text-align: center;">352</td> <td style="text-align: center;">*</td> </tr> <tr> <td>Bicycle theft</td> <td style="text-align: center;">23</td> <td style="text-align: center;">442</td> <td style="text-align: center;">↑10.0</td> </tr> <tr> <td>Theft from the person</td> <td style="text-align: center;">29</td> <td style="text-align: center;">220</td> <td style="text-align: center;">↓16.0</td> </tr> <tr> <td>Criminal Damage (exc 59)</td> <td style="text-align: center;">162</td> <td style="text-align: center;">1799</td> <td style="text-align: center;">↓6.0</td> </tr> <tr> <td>Violence Without Injury</td> <td style="text-align: center;">343</td> <td style="text-align: center;">3122</td> <td style="text-align: center;">↑9.0</td> </tr> <tr> <td>Wounding (Serious or Other)</td> <td style="text-align: center;">129</td> <td style="text-align: center;">*</td> <td style="text-align: center;">*</td> </tr> </tbody> </table>	Individual Components of 10 BCS Comparator Crime	iQuanta (June 2017)	Essex Police Performance Summary Offences (Rolling 12 months to June 2017)	Increase/ Decrease (previous years data) %	10 BCS Crimes - total	*	6840	↓2.0	Theft of a vehicle	31	361	↑4.0	Theft from Vehicle	83	858	↓8.0	Vehicle Interference	29	185	↑13.0	Burglary in a dwelling	90	352	*	Bicycle theft	23	442	↑10.0	Theft from the person	29	220	↓16.0	Criminal Damage (exc 59)	162	1799	↓6.0	Violence Without Injury	343	3122	↑9.0	Wounding (Serious or Other)	129	*	*
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Wounding (Serious or Other)	129	*	*																																											

			Robbery (Personal Property)	15	216	↑21.0
		<p>*Not recorded.</p> <p>**Solved rates show the ratio between the number of police-recorded crimes where the offender has received a formal sanction (includes; charges, cautions, penalty notices and cannabis warnings), and the total number of crimes recorded in the time period covered. (Solved rates do not include restorative justice or a community resolution.</p>				
Potential Performance Measures		Rationale for inclusion		Latest Performance		
				Number (Rolling 12 months to August)		Increase/ Decrease % (01/08/2016 – 31/07/2017)
2	Total number of crimes +/- incidents	Provides a broad indication of the level of crime in the borough, covering all crimes		Total number of Incidents 4162 (August)	Total number of Crimes 15418 (August)	Crimes - ↑1 Incidents - ↓6
3	Anti-social Behaviour reported	A key concern of members and public that is not reflected in the 10 BCS crimes performance measure.		6840		↓2
4	Number of arrests (cumulative)	Provides key performance information relating to Police activity to tackle crime. However, the measure may be misleading as the number of arrests has been declining as a result of greater use of alternatives to formal charges (penalty notices, community resolution, cautions etc..) – a trend which is likely to continue.		496		↓12
5	'Positive disposals' (outcomes of crimes 'cleared up' other than a formal conviction –.)	Recognises the full range of possible outcomes taken following arrest, such as community resolution, cautions etc...		240 (16.81%)		↑50
6	Number of domestic abuse incidents	High profile area of work and a demand pressure on resources.		2287		↓1
7	Number of incidents of missing people reported	High profile area of work and a demand pressure on resources.		83		↓51



Revenue Budget Monitoring 2017/18

Period 6

as at 30 September 2017
Portfolio Summary

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1. Commentary

This report outlines the budget monitoring position for the General Fund and Housing Revenue Account for 2017/18, based on the views of the Directors and their Management Teams, in light of expenditure and income to 30 September 2017.

The starting point for the budget monitoring is the original budget as agreed by Council in February 2017.

2. Overall Budget Performance – General Fund

As at the end of September, an underspend to the overall Council budget of £2,104,000 is currently being forecast for the year-end. This position reflects a projected overspend of £225,000 in Council departmental spending and a £2,329,000 underspend on financing costs. The variances which services are reporting are detailed in section 3. The forecast net underspend of £2,104,000 is currently expected to be transferred to earmarked reserves to ensure the General Fund balance remains at £11 million.

General Fund Portfolio Forecast Comparison 2017/18 at 30 September 2017 - Period 6

Portfolio	Latest Budget 2017/18 £000	Projected Outturn 2017/18 £000	September Forecast Variance £000	August Forecast Variance £000
Leader	2,222	2,172	(50)	(50)
Culture, Tourism & the Economy	12,918	13,022	104	107
Corporate and Community Support Services	11,632	11,402	(230)	(158)
Housing, Planning & Sustainability	5,122	5,144	22	0
Children & Learning	26,729	27,740	1,011	929
Health & Adult Social Care	39,086	39,309	223	222
Transport, Waste & Regulatory Services	22,803	21,948	(855)	(772)
Technology	4,540	4,540	0	85
Total Portfolio	125,052	125,277	225	363
Non-Service Areas	15,537	13,208	(2,329)	(2,299)
Earmarked Reserves	(17,436)	(15,332)	2,104	1,936
Net Expenditure / (Income)	123,153	123,153	0	0

Where Portfolios are forecasting an overspend by the end of the year, the relevant Director has been advised that appropriate action plans must be in place to address any projected overspend position so that a balanced budget for the Council is produced by the year end.

3. Service Variances - £225,000 forecast overspend

The key variances are as shown in the following table:-

Portfolio	Unfavourable £'000	Favourable £'000	Net £'000	Previous period £'000
Leader				
Part year vacancy for Chief Executive post		(40)		(40)
Treasury Management costs		(10)		(10)
	0	(50)	(50)	(50)
Culture, Tourism & the Economy				
Pension opt-in costs	14			0
Grounds Maintenance income shortfall	50			50
Part year vacancies within the Library Service		(50)		(50)
Set up costs of the new library ICT system	50			0
Vacancy within the Museums service		(32)		0
Part year vacancy within the Parks Service		(18)		(18)
Theatre contract negotiations ongoing	75			75
Water testing costs along the Pier and Foreshore	100			100
Pier admission income		(50)		(50)
Part year vacancy in the Economic Development team		(20)		0
Staffing underspend due to maternity leave		(15)		0
	289	(185)	104	107
Corporate and Community Support				
Underspend on PA costs for Director of Legal and Democratic Services		(10)		(10)
Underspend on residual budget from the deletion of the Programme Office		(40)		(40)
Vacant posts in the Financial Planning and Control team		(60)		(60)
Vacant posts in the Accounts Payable team		(20)		0
Vacant post in Asset Management team		(50)		(50)
Additional rents (including Backrent) for SBC Properties		(50)		(50)
Income relating to Council Tax Court Costs		(90)		(80)
Unused budget in the NDR Collections team		(10)		0
Benefits Admin Team Staffing	50			50
Civic Centre contract cleaning	60			62
Vacancies in the Customer Service team		(20)		0
Vacant hours in the Voluntary Organisations team		(10)		(10)
Members scrutiny and conference expenses		(10)		0
Overspend on running costs at Porters	20			0
Underspend on Members N.I. and Chairperson Allowance		(20)		0
Income for Legal Services	30			30
	160	(390)	(230)	(158)
Housing, Planning & Sustainability				
Agency costs in the Building Control team	74			0
Additional income generated by the Building Control team		(52)		0
	74	(52)	22	0

...Continued			
Children and Learning			
Children with disabilities and associated cost of direct payments	27		27
Children's Placements - forecast for current cohort of PVI looked after children	538		501
Leaving Care accommodation costs and support costs	169		87
Staffing pressure costs in children services	137		137
Support costs for Children under Sect 17 and Sect 20		(59)	(54)
Funding pressures at the Marigold Assessment centre mostly attributable to transport costs	66		71
Forecast on current in-house fostering placements and impact of adoption referral income	133		160
	1,070	(59)	1,011
			929
Health and Adult Social Care			
People with a Learning Disability - Lower than estimated residential care placements and day care services		(100)	(100)
People with Mental Health Needs - Higher than estimated residential care placements and direct payments	142		141
Older People - residential care packages and complex packages	235		248
Physical and Sensory Impairment - Higher than estimated residential care placements	16		16
Health contribution towards Integrated commissioning		(70)	(70)
Underspend due to vacancies on customer services team		0	(13)
	393	(170)	223
			222
Transport, Waste & Regulatory Services			
Traffic signals maintenance contract		(25)	0
Shortfall in highways income	50		0
Winter service stock carried forward from 2016/17		(80)	0
Parking enforcement contractor underperformance and PCN bad debt provision	178		0
Security costs incurred at the Travel Centre	68		0
Additional streetwork inspectors above the budgeted establishment	66		0
Job evaluation outcome			22
Electricity refunds due to updated meter readings		(15)	0
Public conveniences contractor underspend		(20)	0
Waste service contractor underspend		(200)	0
Waste MBT still in commissioning phase		(900)	(900)
Food processing now generates income rather than costs		(125)	0
Street cleansing contractor overspend	50		0
Standby pay budget no longer required due to service change		(28)	0
Flood Defences pump station servicing	66		66
Flood Defences land licence	40		40
Staffing saving in Business Support to be realised in 2018/19	20		0
	538	(1,393)	(855)
			(772)
Technology			
ICT agency cost to backfill secondments to capital projects	0		85
	0	0	85
Total	2,524	(2,299)	225
			363

Non Service Variances (£2,329,000 forecast underspend)

Financing Costs – (£2,329K)

This provision is forecast to be underspent against budget at the year-end as; revised Minimum Revenue Provision Policy (£1,924K); PWLB interest is lower (£470K) due to reduced borrowing; HRA interest (£4K); reduction in in-house investments due to reduced surplus cash availability £10K; interest on short term borrowing £70K; reduced interest to be received on energy efficiency schemes £25K; VAT Interest due to a Voluntary Disclosure £6K; Investments from the property fund currently have a higher value than anticipated (£50K); Principal repayment of an interest free loan £8K.

4. Appropriations to / from Earmarked Reserves

Net appropriations from Earmarked Reserves totalling £12,282,000 were agreed by Council when setting the 2017/18 budget in February 2017. The current outturn position allows for further in-year net appropriations from reserves totalling £3,049,760. Total net appropriations from/(to) reserves for 2017/18 will therefore equal £15,331,760.

- £4,086,000 from the Capital Reserve as agreed at Cabinet in June 2017
- £402,550 from the Business Transformation Reserve to enable the progression of projects
- £75,000 from the Public Health Reserve Grant Reserve
- £644,710 from the General Grants Reserve
- £20,500 from the Public Health DAAT Reserve
- (£125,000) to the Election Reserve (2017-18 is a fallow year)
- £150,000 from the Specific Corporate Projects Reserve to support ICT projects
- (£100,000) to the Rental Equalisation Reserve
- (£2,104,000) appropriation to Reserves at the year end for projected year end underspend

£3,049,760 Total from Reserves

5. Revenue Contributions to Capital Outlay (RCCO)

The original budget for 2017/18 included planned revenue contributions for capital investments, via the use of Earmarked Reserves, of £3,804,000. Due to additions to the capital programme agreed at Cabinet in June 2017, this budget has now increased to £7,988,000. Earmarked Reserves will fund £7,890,000 of this, with the remaining £98,000 funded from energy savings generated from energy efficiency projects.

6. Performance against Budget savings targets for 2017/18

As part of setting the Council budget for 2017/18, a schedule of Departmental and Corporate savings was approved totalling £7.502 million. These are required to achieve a balanced budget.

A monthly exercise is in place to monitor the progress of the delivery of these savings. A breakdown, by RAG status, of the Departmental Savings is shown below:

	Red £000	Amber £000	Green £000	Original Savings Total £000	Projected Outturn £000	Forecast Variance £000
Department						
Chief Executive	0	785	205	990	990	0
People	671	751	3,119	4,541	3,428	(1,113)
Place	120	134	1,434	1,971	1,688	(283)
Total	791	1,670	4,758	7,502	6,106	(1,396)

Although the current forecast is showing a shortfall of £1,396,000 against the required savings total of £7.502 million, it is currently expected that the total savings will be delivered in full as part of each

Department's overall budget total by the end of the financial year either by finding alternative savings or ensuring amber and red savings are delivered in full.

7. Overall Budget Performance – Housing Revenue Account (HRA)

The HRA budget was approved by Council on 23rd February 2017 and anticipated that £3,392,000 would be appropriated to earmarked reserves in 2017/18.

The closing HRA balance as at 31st March 2017 was £3,502,000.

The current forecast is projecting higher than anticipated rental income of £250,000 due to a lower number of void properties than estimated in the budget. There is also a £29,000 pressure due to resident patrol services in Victoria Ward and a £4,000 pressure on capital financing charges because the interest payable on the HRA's internal borrowing is higher than expected. The HRA's share of interest received on investments is higher than estimated in the budget by £60,000. The overall underspend of £277,000 will be transferred to the Capital Investment Reserve.

8. Budget Virements

In line with the approved financial procedure rules all virements over £50,000 between portfolio services or between pay and non-pay budgets are to be approved by Cabinet.

Below is a table showing the virements which fall within these parameters:-

	DR	CR
	£	£
Virements over £50,000 in reported period	5,013	(5,013)
Virements over £50,000 previously reported	4,155	(4,155)
Virements approved under delegated authority	353	(353)
Total virements	9,521	(9,521)

The virements for Cabinet approval this period are:

- £5,013,420 Transfer of Public Health commissioning budgets to the Integrated Commissions Team.

£5,013,420 Total

Due to the changes made at Appointments Council, amendments have been made to the hierarchy structure within this report which has adjusted the opening budget shown from the original budget book. An additional exercise has been undertaken to ensure that all costs are allocated to the correct portfolio service within the Children & Learning Portfolio in line with CIPFA guidance.

General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Portfolio Holder Summary

Portfolio	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
Leader	2,567	(180)	2,387	(165)	2,222	2,172	(50)	4,646	4,426	(220)
Culture, Tourism & the Economy	16,350	(3,757)	12,593	325	12,918	13,022	104	6,606	6,826	220
Corporate and Community Support Services	121,679	(109,623)	12,056	(424)	11,632	11,402	(230)	6,659	6,430	(229)
Housing, Planning & Sustainability	7,725	(2,603)	5,122	0	5,122	5,144	22	2,481	2,376	(105)
Children & Learning	105,228	(78,991)	26,237	492	26,729	27,740	1,011	13,347	14,636	1,289
Health & Adult Social Care	67,470	(28,522)	38,948	138	39,086	39,309	223	19,538	19,661	123
Transport, Waste & Regulatory Services	33,996	(11,602)	22,394	409	22,803	21,948	(855)	11,599	10,869	(730)
Technology	5,354	(971)	4,383	157	4,540	4,540	0	2,346	2,492	146
Portfolio Net Expenditure	360,369	(236,249)	124,120	932	125,052	125,277	225	67,222	67,716	494
Reversal of Depreciation	(23,460)	4,629	(18,831)	0	(18,831)	(18,831)	0	(9,416)	(9,417)	(1)
Levies	590	0	590	0	590	590	0	281	280	(1)
Financing Costs	16,594	0	16,594	0	16,594	14,265	(2,329)	7,027	5,361	(1,666)
Contingency	5,228	0	5,228	38	5,266	5,266	0	1,902	0	(1,902)
Pensions Upfront Funding	7,467	0	7,467	0	7,467	7,467	0	0	0	0
Miscellaneous Income	0	0	0	0	0	0	0	0	246	246
Sub Total	6,419	4,629	11,048	38	11,086	8,757	(2,329)	(206)	(3,530)	(3,324)
Net Operating Expenditure	366,788	(231,620)	135,168	970	136,138	134,034	(2,104)	67,016	64,186	(2,830)
General Grants	0	(3,537)	(3,537)	0	(3,537)	(3,537)	0	(1,790)	(1,721)	69
Corporate Savings	0	0	0	0	0	0	0	0	0	0
Revenue Contribution to Capital	3,804	0	3,804	4,184	7,988	7,988	0	1,902	0	(1,902)
Contribution to / (from) Earmarked Reserves	(12,282)	0	(12,282)	(5,154)	(17,436)	(15,332)	2,104	(9,190)	(17,222)	(8,032)
Contribution to / (from) General Reserves	0	0	0	0	0	0	0	0	0	0
Net Expenditure / (Income)	358,310	(235,157)	123,153	0	123,153	123,153	0	57,938	45,243	(12,695)

Use of General Reserves							
Balance as at 1 April 2017			11,000		11,000	11,000	0
Use in Year			0	0	0	0	0
Balance as at 31 March 2018			11,000	0	11,000	11,000	0

**General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Leader
Portfolio Holder - Cllr J Lamb**

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
a Corporate Subscriptions	73	0	73	0	73	73	0	36	40	4
b Corporate and Non Distributable Costs	1,764	(180)	1,584	(215)	1,369	1,319	(50)	4,221	3,978	(243)
c Emergency Planning	85	0	85	0	85	85	0	42	37	(5)
d Strategy & Performance	645	0	645	50	695	695	0	347	371	24
Total Net Budget for Portfolio	2,567	(180)	2,387	(165)	2,222	2,172	(50)	4,646	4,426	(220)

Virements

£000

Transfer from earmarked reserves	50
Allocation from Contingency	0
In year virements	(215)
	<u>(165)</u>

**General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Leader
Portfolio Holder - Cllr J Lamb**

Forecast Outturn Variance	Year to Date Variance
a.	
b. The Chief Executive post was vacant for the first three months of the year, resulting in an expected underspend of £40k against budget. A forecast underspend of £10k on Debt Management Expenses (due to enhanced cash fees being deducted at source rather than by invoice).	Year to date budgets for Corporate Initiatives and Pension Costs are currently underspent however due to the ad-hoc and high value nature it is not possible to forecast outturn with any degree of confidence
c.	
d.	Funding for project staff in the Policy, Engagement and Communications team to support SBC compliance with the EU General Data Protection Regulation (with effect from May 2018) has been agreed but is awaiting drawdown.

**General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Culture, Tourism & the Economy
Portfolio Holder - Cllr A Holland**

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
a Arts Development	554	(305)	249	5	254	268	14	197	224	27
b Amenity Services Organisation	3,615	(670)	2,945	4	2,949	2,999	50	1,630	1,734	104
c Culture Management	67	(6)	61	200	261	261	0	230	234	4
d Library Service	3,394	(394)	3,000	(5)	2,995	2,995	0	1,714	1,706	(8)
e Museums and Art Gallery	1,135	(68)	1,067	26	1,093	1,061	(32)	566	524	(42)
f Parks And Amenities Management	1,693	(665)	1,028	6	1,034	1,016	(18)	426	455	29
g Sports Development	53	0	53	0	53	53	0	26	28	2
h Sport and Leisure Facilities	615	(304)	311	0	311	311	0	156	155	(1)
i Southend Theatres	849	(27)	822	0	822	897	75	419	440	21
j Resort Services Pier and Foreshore and Southend Marine Activity Centre	2,689	(884)	1,805	25	1,830	1,880	50	534	537	3
k Tourism	136	(18)	118	(78)	40	40	0	20	8	(12)
l Economic Development	571	(250)	321	71	392	372	(20)	197	296	99
m Town Centre	210	(59)	151	(2)	149	149	0	88	44	(44)
n Better Queensway	0	0	0	44	44	44	0	0	46	46
o Climate Change	106	(43)	63	29	92	92	0	95	110	15
p Closed Circuit Television	450	(32)	418	0	418	418	0	215	212	(3)
q Community Safety	213	(32)	181	0	181	166	(15)	93	73	(20)
Total Net Budget for Portfolio	16,350	(3,757)	12,593	325	12,918	13,022	104	6,606	6,826	220

Virements

£000

Transfer from earmarked reserves
Allocation from Contingency
In year virements

282

23

20

325

**General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Culture, Tourism & the Economy
Portfolio Holder - Cllr A Holland**

Forecast Outturn Variance	Year to Date Variance
a. A member of staff opted into the pension scheme resulting in an unanticipated increase in costs. Furthermore, the opening of Unit 21 has resulted in the café incurring some running costs. A profit share arrangement is in place which it is anticipated will generate some income to compensate this.	
b. There has been a reduction in the income anticipated, based on the current position and compared against income received in 16/17. Furthermore, the bulk of winter materials have been purchased. However, staff vacancies are helping to offset some of the above pressure.	Bulk of supplies purchased at the start of the year for use throughout. There has also been a reduction in income received to date.
c.	
d.	
e. Staff vacancies are forecasted to result in an underspend within the service as the vacant roles have only recently been advertised.	There are vacant posts within the teams, and utility costs are lower than expected.
f. Staff vacancies within the year have resulted in an underspend against the establishment. These vacant posts have now been filled and the team is fully staffed.	
g.	
h.	
i. Commercial negotiations in relation to the Theatres contract remain on-going.	
j. Pier admission figures are higher than anticipated so far resulting in increased income to date. However, water testing requirements have also increased due to environmental factors and are creating a budget pressure.	
k.	
l. Staff vacancies are forecasted to result in an underspend as the current vacant role is yet to be filled.	Grant funding is due to be received which will cover project expenditure.
m.	
n.	
o.	
p.	

134

q. There is a staffing underspend in the Community Safety team as a result of a member of staff being on maternity leave.

**General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Corporate and Community Support
Portfolio Holder - Cllr A Moring**

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
a Departmental Support for the Chief Executive	771	0	771	0	771	721	(50)	368	231	(137)
b Accountancy	2,071	(352)	1,719	0	1,719	1,659	(60)	875	827	(48)
c Accounts Payable	126	(5)	121	0	121	101	(20)	62	52	(10)
d Accounts Receivable	185	(75)	110	0	110	110	0	55	53	(2)
e Insurance	155	(245)	(90)	0	(90)	(90)	0	61	63	2
f Asset Management	383	(5)	378	0	378	328	(50)	189	162	(27)
g Community Centres and Club 60	104	(1)	103	0	103	103	0	47	44	(3)
h Corporate and Industrial Estates	430	(2,611)	(2,181)	(71)	(2,252)	(2,302)	(50)	(1,071)	(1,236)	(165)
i Council Tax Admin	854	(595)	259	0	259	169	(90)	132	7	(125)
j Non Domestic Rates Collection	165	(305)	(140)	30	(110)	(120)	(10)	65	46	(19)
k Housing Benefit and Council Tax Benefit Admin	1,990	(1,195)	795	(300)	495	545	50	246	275	29
l Rent Benefit Payments	98,947	(99,050)	(103)	0	(103)	(103)	0	99	147	48
m Internal Audit & Corporate Fraud	835	(188)	647	0	647	647	0	324	263	(61)
n Buildings Management	2,645	(113)	2,532	213	2,745	2,805	60	1,624	1,651	27
o Cemeteries and Crematorium	1,263	(2,525)	(1,262)	19	(1,243)	(1,243)	0	(561)	(412)	149
p Customer Services Centre	1,985	(290)	1,695	0	1,695	1,675	(20)	844	809	(35)
q Dial A Ride Service	122	(19)	103	(16)	87	87	0	43	30	(13)
r Registration of Births Deaths and Marriages	329	(371)	(42)	0	(42)	(42)	0	(20)	(42)	(22)
s Transport Management	160	0	160	7	167	167	0	84	78	(6)
t Vehicle Fleet	527	(344)	183	(4)	179	179	0	85	101	16
u Partnership Team	277	0	277	0	277	277	0	137	126	(11)
v Support To Voluntary Sector	779	0	779	0	779	769	(10)	389	384	(5)
w Human Resources	1,745	(497)	1,248	8	1,256	1,256	0	624	635	11
x People & Organisational Development	406	(91)	315	0	315	315	0	160	132	(28)
y Tickfield Training Centre	290	(97)	193	1	194	194	0	113	115	2
z Democratic Services Support	354	0	354	9	363	353	(10)	183	165	(18)
aa Mayoralty	185	0	185	(1)	184	204	20	102	111	9
ab Member Support	705	0	705	25	730	710	(20)	355	346	(9)
ac Elections and Electoral Registration	352	0	352	(121)	231	231	0	190	129	(61)

ad Local Land Charges	192	(297)	(105)	0	(105)	(105)	0	(25)	(34)	(9)
ae Legal Services	1,170	(243)	927	(58)	869	899	30	434	450	16
af Corporate Procurement	610	0	610	0	610	610	0	305	392	87
ag Property Management and Maintenance	567	(109)	458	(165)	293	293	0	141	330	189
Total Net Budget for Portfolio	121,679	(109,623)	12,056	(424)	11,632	11,402	(230)	6,659	6,430	(229)

Virements

£000

Transfer from earmarked reserves

(225)

Allocation from Contingency

(257)

In year virements

58

(424)

**General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Corporate and Community Support
Portfolio Holder - Cllr A Moring**

Forecast Outturn Variance	Year to Date Variance
a. The full budget for the post of PA to the Director of Legal & Democratic Services will not be required. £40k of the residual budget from the decommissioned Programme Office will not be required in year.	An underspend relating to the salary budget for the former Director of Corporate Services will be used to fund the Level 4 Management Review
b. An underspend due to vacant posts in the Financial Planning and Control team. A post in the Financial Planning and Control team has been vacant for over a year due to problems recruiting. This has now been filled.	
c. Vacant post	
d.	
e.	
f. Underspend resulting from a vacancy where due to market forces, the post continues to remain unfilled	
g.	
h. Income for rentals is higher than forecast due to back-rent for the café at the Forum, the Cockle Sheds at Leigh, and Borough Combination Ground.	Increase in the on-going rental streams due to the recent acquisition of the Range site and in-year rent reviews
i. Higher than budgeted Court Costs income will be partially offset by a corresponding increase to the Bad Debt Provision	
j. Based on spend to date for the Third Party Payment budget and an analysis of the previous year spend, there is expected to be a £10k underspend against NDR Collection	
k. The DWP imposes targets to avoid Administration Delay and Errors to Housing Benefit claims. It is more cost effective for the service to incur agency and overtime costs than breach these targets. Due to the potential impact to workload once Universal Credit becomes established, it is felt that contractors and agency staff should be used instead of filling established posts.	
l.	Period 6 benefits monitoring is not highlighting a significant variation to budget. The Benefits team are working with Strategic Housing and SEH to identify a methodology to allocate the DHP grant strategically

Forecast Outturn Variance	Year to Date Variance
m.	A staffing restructure, which incorporates the formation of a Business Support Unit, is pending final agreement. Charges to Thurrock and Castle Point will be increased as a result but it is too pre-emptive to forecast any underspend.
n. Contract cleaning is forecast to overspend against budget. A review is currently underway to reduce this and any amendments will be reflected in future forecasts.	
o.	Despite a pressure on the budget, no variance has been forecast at Period 6 as income is expected to increase over the autumn/winter period. In 2017-18, the income budget was increased to reflect the new Pergola Walk project. Due to a number of issues with the contractors, the start of this project has been delayed and the advanced orders cannot be factored into the income calculations until the project is completed.
p. Vacant posts	
q.	
r.	Due to the seasonal nature of weddings, income is currently higher than budget.
s.	
t.	
u.	
v. Vacant hours in the Voluntary Organisation team are expected to result in an underspend.	
w.	
x.	A fully funded restructure has yet to be finalised. Once in place increased income targets will need to be monitored closely to ensure they can be delivered in full.
y.	
z. At Period 6 there is no expenditure against the Members' Scrutiny and Conference Expenses budgets. As this is in line with last year it is expected to result in an underspend at the end of the year.	
aa. Pressure on Repairs & Maintenance and Water Services budgets at Porters	
ab. Underspend on Members' National Insurance and Chairperson Allowance budgets	
ac.	2017-18 is a fallow year for local elections with the exception of one by-election. As part of the budget process it was agreed that the underspend

Forecast Outturn Variance	Year to Date Variance
ad.	will be transferred to the Election Reserve at year-end to cover the costs in future years.
ae. The income budget was increased in the previous financial year, however to date the service has been unable to meet this target due to the reduced uptake by schools as they become Academies.	An underspend on the employees' budget due to vacancies is offsetting a pressure on court costs and legal fees. Work is ongoing to ensure that all relevant costs (outside of day to day business) are being recharged to the correct department.
af.	
ag.	Staff time is still to be capitalised against a variety of capital projects.

**General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Housing, Planning & Sustainability
Portfolio Holder - Cllr M Flewitt**

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
Housing										
a Strategy & Planning for Housing	164	0	164	0	164	164	0	0	0	0
b Private Sector Housing	2,734	(1,056)	1,678	0	1,678	1,678	0	838	833	(5)
c Housing Needs & Homelessness	822	(534)	288	0	288	288	0	143	161	18
d Supporting People	2,508	0	2,508	0	2,508	2,508	0	1,254	1,256	2
Planning										
e Building Control	400	(410)	(10)	0	(10)	12	22	(6)	17	23
f Development Control	862	(603)	259	0	259	259	0	134	(1)	(135)
g Regional and Local Town Plan	235	0	235	0	235	235	0	118	110	(8)
Total Net Budget for Portfolio	7,725	(2,603)	5,122	0	5,122	5,144	22	2,481	2,376	(105)

Virements

Transfer from earmarked reserves
Allocation from Contingency
In year virements

£000

0

0

0

0

0

**General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Housing, Planning & Sustainability
Portfolio Holder - Cllr M Flewitt**

Forecast Outturn Variance	Year to date Variance
a.	
b.	
c.	
d.	
e. Pressure from agency staff costs is likely to cause an overspend on the staffing budget in the Building Control team, This is being partially offset by income performing above expected levels.	Pressure from agency staff costs.
f.	Development Control income received for a large scale planning application.
g.	

**General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Children and Learning
Portfolio Holder - Cllr J Courtenay**

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
<u>Retained</u>										
a Childrens Commissioning	935	(316)	619	82	701	701	0	355	319	(36)
b Children with Special Needs	1,149	(169)	980	0	980	1,007	27	489	504	15
c Early Years Development and Child Care Partnership	10,769	(9,562)	1,207	0	1,207	1,207	0	598	586	(12)
d Children Fieldwork Services	5,562	(135)	5,427	28	5,455	5,688	233	3,200	3,503	303
e Children Fostering and Adoption	4,546	(191)	4,355	7	4,362	4,496	134	2,181	2,538	357
f Youth Service	2,602	(1,483)	1,119	339	1,458	1,458	0	746	650	(96)
g Other Education	940	(754)	186	0	186	186	0	91	83	(8)
h Private Voluntary Independent	3,475	(120)	3,355	0	3,355	3,893	538	1,678	2,272	594
i Children Specialist Commissioning	1,751	(60)	1,691	80	1,771	1,850	79	389	497	108
j School Support and Preventative Services	28,371	(22,347)	6,024	21	6,045	6,045	0	3,018	3,068	50
k Youth Offending Service	1,906	(632)	1,274	(65)	1,209	1,209	0	602	616	14
<u>Delegated</u>										
l Schools Delegated Budgets	43,222	(43,222)	0	0	0	0	0	0	0	0
Total Net Budget for Portfolio	105,228	(78,991)	26,237	492	26,729	27,740	1,011	13,347	14,636	1,289

Virements

£000

Transfer from earmarked reserves
Allocation from Contingency
In year virements

459
23
10

492

**General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Children and Learning
Portfolio Holder - Cllr J Courtenay**

Forecast Outturn Variance	Year to Date Variance
a.	
b. Small overspend variance on Children with Disabilities	
c.	
d. Overspend pressure on leaving care accommodation and support costs and staffing pressures in relation to teams running at full establishment, with agency cover.	Reflecting Year to date pressures on leaving care accommodation and support costs
e. Over spend pressures within Inhouse fostering care provision due to the increased numbers of children looked after and service running at increased capacity. Forecasts also indicate continued pressure on transport costs at the Marigold Assessment centre, and a marginal overspend on Adoption services.	Reflecting Year to date pressures on Inhouse fostering care provision, marigold assessment centre
f.	
g.	
h. Overspend pressure due to increased Looked after children numbers during 2016/17 and into 2017/18. Additional financial pressures are also included due to 2 high cost secured placements. Through the work of the Edge of Care team, the service is undertaking measures to reduce further numbers of Children being taken into care by supporting the family to keep the child safe at home.	Year to date overspend on PVI reflecting current financial pressures.
i.	
j. Note – whilst this report presents the Council’s financial position. It needs to be noted there are significant financial pressures in the High Needs Dedicated School Grant (DSG) block funding. This position had been highlighted to the Education Board throughout 2016/17, and at an exceptional Education Board on the 6 th July 2017 the high needs budget allocation for 2017/18 was agreed including the required savings targets. The financial pressures have continued into 2017/18 and have been recently reported at the Education Board on the 11 th October. As expected, there was considerable risk on the delivery of the 2017/18 savings to be achieved in full. The main financial pressures have risen through increased demand on Education Health And Care plan top up funding to mainstream schools including out of borough top up funding, as well as increased	

Southend Occupancy attending Southend's Special school with higher funding needs awarded to pupils. Council Officers and the Education Board are working towards a revised and consistent top up funding approach across all school settings for intended implementation from April 2018. The Education Board have also agreed, that additional funding due to High Needs block for 2018/19 will firstly be used to restore any depleted DSG reserves. The Education Board, through the advise and guidance of the Finance and Resource sub group are tasked to work on a medium term 2 year financial plan to restore financial sustainability to the DSG. Other financial pressures that need consideration, and raised at the Education Board are the risk on sustainability of the continual transfer of £0.5mil from the Schools block to Early year block (agreed for 2018/19), and potential impact this has on early year provider rates in future years if the early years wish to continue to fund the services delivered through the £0.5mil.

k.

l.

**General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Health and Adult Social Care
Portfolio Holder - Cllr L Salter**

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
Adult Social Care										
a Adult Support Services and Management	224	0	224	0	224	154	(70)	112	111	(1)
b Commissioning Team	2,120	(346)	1,774	(188)	1,586	1,586	0	792	774	(18)
c Strategy & Development	1,797	(215)	1,582	22	1,604	1,604	0	881	839	(42)
d People with a Learning Disability	14,383	(1,421)	12,962	(251)	12,711	12,611	(100)	6,341	6,292	(49)
e People with Mental Health Needs	3,350	(167)	3,183	250	3,433	3,575	142	1,713	1,787	74
f Older People	28,807	(14,592)	14,215	207	14,422	14,657	235	7,193	7,318	125
g Other Community Services	2,522	(865)	1,657	66	1,723	1,723	0	861	866	5
h People with a Physical or Sensory Impairment	4,572	(1,211)	3,361	32	3,393	3,409	16	1,685	1,703	18
i Service Strategy and Regulation	124	(69)	55	0	55	55	0	27	49	22
Health										
j Public Health	6,991	(7,141)	(150)	(21)	(171)	(171)	0	(119)	(117)	2
k Drug and Alcohol Action Team	2,313	(2,230)	83	21	104	104	0	51	50	(1)
l Young Persons Drug and Alcohol Team	267	(265)	2	0	2	2	0	1	(11)	(12)
Total Net Budget for Portfolio	67,470	(28,522)	38,948	138	39,086	39,309	223	19,538	19,661	123

Virements

Transfer from earmarked reserves
Allocation from Contingency
In year virements

£000

131

22

(15)

138

**General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Health and Adult Social Care
Portfolio Holder - Cllr L Salter**

Forecast Outturn Variance	Year to Date Variance
a. Health contribution towards Integrated Commissioning.	
b.	
c.	
d. Outturn forecasts are predicting the full 2017/18 PE1 Learning Disability saving delivery of £500k. The £100k under spend is in relation to day care services.	
e. Outturn on Mental Health is showing a year end pressure of £142K. This is mainly due to opening budget pressures on care package costs, particularly in residential care.	Year to date overspending largely because of higher than anticipated residential care packages.
f. The forecast overspend is reflecting budget pressures on complex intensive homecare services, direct payments and residential care. This forecast will be monitored closely during the financial year.	Pressures on homecare, direct payments and residential care packages.
g.	
h. Outturn forecasts are predicting budget pressures on complex intensive homecare services and residential care.	
i.	
j.	
k.	
l.	

General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Transport, Waste & Regulatory Services
Portfolio Holder - Cllr T Cox

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
<u>Transport</u>										
a Highways Maintenance	9,830	(2,048)	7,782	192	7,974	7,919	(55)	3,936	4,115	179
b Bridges and Structural Engineering	412	0	412	0	412	412	0	206	199	(7)
c Decriminalised Parking	1,157	(1,666)	(509)	0	(509)	(331)	178	(238)	(92)	146
d Car Parking Management	1,031	(6,485)	(5,454)	80	(5,374)	(5,374)	0	(2,822)	(2,852)	(30)
e Concessionary Fares	3,217	0	3,217	0	3,217	3,217	0	2,364	2,361	(3)
f Passenger Transport	400	(64)	336	(3)	333	401	68	209	268	59
g Road Safety and School Crossing	234	0	234	0	234	234	0	117	116	(1)
h Transport Planning	599	(854)	(255)	0	(255)	(189)	66	(364)	(751)	(387)
i Traffic and Parking Management	503	(5)	498	(13)	485	485	0	242	255	13
<u>Waste and Cleansing</u>										
j Public Conveniences	550	0	550	5	555	520	(35)	286	238	(48)
k Waste Collection	4,393	0	4,393	222	4,615	4,415	(200)	2,302	2,192	(110)
l Waste Disposal	5,533	0	5,533	(158)	5,375	4,350	(1,025)	2,682	2,132	(550)
m Street Cleansing	1,381	(7)	1,374	(13)	1,361	1,411	50	678	695	17
n Household Recycling	486	0	486	(16)	470	470	0	234	235	1
o Environmental Care	386	(4)	382	(143)	239	211	(28)	120	89	(31)
p Waste Management	487	0	487	(10)	477	477	0	139	153	14
<u>Other Services</u>										
q Flood and Sea Defence	745	(11)	734	0	734	840	106	366	411	45
r Enterprise Tourism and Environment Central Pool	1,354	0	1,354	16	1,370	1,390	20	687	728	41
<u>Regulatory</u>										
s Regulatory Business	523	(11)	512	23	535	535	0	274	158	(116)
t Regulatory Licensing	304	(433)	(129)	227	98	98	0	(42)	(95)	(53)
u Regulatory Management	227	0	227	0	227	227	0	111	223	112
v Regulatory Protection	244	(14)	230	0	230	230	0	112	91	(21)
Total Net Budget for Portfolio	33,996	(11,602)	22,394	409	22,803	21,948	(855)	11,599	10,869	(730)

Virements

Transfer from/(to) earmarked reserves
Allocation from Contingency
In year virements

£000

223

151

35

409

**General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Transport, Waste & Regulatory Services
Portfolio Holder - Cllr T Cox**

Forecast Outturn Variance	Year to date Variance
a. The winter service is currently fully stocked, primarily due to the salt which was purchased for last winter. As a result, an underspend in the current year seems likely, however budget provision is still available should there be a need to purchase more materials due to a poor winter. A small underspend is also likely on Traffic Signals due to continuing benefits of the LED upgrade. These are both offsetting the potential shortfall in income generated from licenses.	There is currently a shortfall in the income generated from licenses and also for recharging the cost of works in relation to road traffic incidents.
b.	
c. A drop in the number of Parking Charge Notices issued for non-compliance has resulted in a fall in projected income levels. The service is working with the contractor to ensure this is as a result of increased compliance and not underperformance.	A drop in the number of Parking Charge Notices issued for non-compliance has resulted in a fall in income.
d.	
e.	
f. Costs of security requirements at the Travel Centre continue to be above the budget provision available.	Costs of security requirements at the Travel Centre continue to be above the budget provision available.
g.	
h. Costs of additional streetworks inspectors has caused an overspend. These inspectors were employed during a changeover from using contractor staff to employing permanent staff. This arrangement ended in September 2017.	South Essex Active Travel programme currently behind the anticipated spend profile for the grant. EU grant funding for the SUNRISE project has been received at the outset, corresponding expenditure will be spread over the remainder of the year.
i.	
j. Due to a review of meter readings within Public Conveniences, a number of credit notes have been received in relation to costs incurred in previous years.	Due to a review of meter readings within Public Conveniences, a number of credit notes have been received in relation to costs incurred in previous years.
k.	
l. As a result of the Waste Mechanical Biological Treatment facility (MBT) remaining in a commissioning phase for longer than anticipated, the gate fee is still at a reduced rate which will result in a significant underspend this year. Our future waste disposal options are still being discussed with Essex	As a result of the Waste Mechanical Biological Treatment facility (MBT) remaining in a commissioning phase for longer than anticipated, the gate fee is still at a reduced rate which will result in a significant underspend this year. Our future waste disposal options are still being discussed with Essex

County Council and as such, disposal costs in future years remain unquantified.

Due to changes in how the authority processes food waste, the organisation now generates income from this waste stream and this is having a positive effect on the waste budget.

County Council and as such, disposal costs in future years remain unquantified.

m.

n.

o. Due to changes in staffing arrangements, standby pay is no longer paid to staff.

p.

q. Costs have been incurred due to the storage of spoil in relation to the flood defence scheme and the servicing of pumping stations across the Borough for which there is no budget provision.

Costs have been incurred due to the storage of spoil in relation to the flood defence scheme and the servicing of pumping stations across the Borough.

r. Staff savings will not be achieved this financial year resulting in a staffing pressure. This is expected to be addressed in time for the 2018/19 financial year.

s.

t.

u.

v.

**General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Technology
Portfolio Holder - Cllr T Byford**

Service	Gross Expend £'000	Gross Income £'000	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
Information Communications and a Technology	5,354	(971)	4,383	157	4,540	4,540	0	2,346	2,492	146
Total Net Budget for Portfolio	5,354	(971)	4,383	157	4,540	4,540	0	2,346	2,492	146

Virements

Transfer from/(to) earmarked reserves	157
Allocation from Contingency	0
In year virements	0
	<u>157</u>

152

**General Fund Forecast 2017/18
at 30 September 2017 - Period 6
Technology
Portfolio Holder - Cllr T Byford**

Forecast Outturn Variance	Year to date Variance
a.	<p>As at Period 6 an estimated £90k salary costs have been identified as Capital expenditure or are to be recharged to other budget areas.</p> <p>To mitigate any overspend, it has been agreed that a further £130k can be drawdown from the Special Corporate Projects Reserve, against ICT projects (which were identified in 2015-16 but have not yet been finalised).</p>

Housing Revenue Account Forecast 2017/18
at 30 September 2017 - Period 6
Deputy Chief Executive - Simon Leftley

Description	Original Budget £'000	Virement £'000	Latest Budget £'000	Expected Outturn £'000	Forecast Variance £'000	Budget to Date £'000	Spend to Date £'000	To Date Variance £'000
a Employees	215	0	215	215	0	0	0	0
b Premises (Excluding Repairs)	732	0	732	761	29	366	331	(35)
c Repairs	4,831	0	4,831	4,831	0	2,601	2,601	(0)
d Supplies & Services	68	0	68	68	0	34	5	(29)
e Management Fee	5,827	0	5,827	5,827	0	3,138	3,138	0
f MATS	1,124	0	1,124	1,124	0	562	562	0
g Provision for Bad Debts	383	0	383	383	0	0	0	0
h Capital Financing Charges	11,364	0	11,364	11,368	4	5,684	5,686	2
Expenditure	24,544	0	24,544	24,577	33	12,385	7,360	(62)
i Fees & Charges	(393)	0	(393)	(393)	0	(196)	(100)	96
j Rents	(26,673)	0	(26,673)	(26,923)	(250)	(13,336)	(13,477)	(141)
k Other	(277)	0	(277)	(276)	0	(261)	(276)	(15)
l Interest	(135)	0	(135)	(195)	(60)	(68)	(98)	(30)
m Recharges	(459)	0	(459)	(459)	0	(230)	(146)	84
Income	(27,936)	0	(27,936)	(28,246)	(310)	(14,091)	(9,660)	(6)
n Appropriation to Earmarked reserves	3,392	0	3,392	3,609	277	3,392	3,392	0
o Statutory Mitigation on Capital Financing	0	0	0	0	0	0	0	0
Net Expenditure / (Income)	0	0	0	(60)	0	1,686	1,091	(68)
Use of Reserves								
Balance as at 1 April 2017	3,502	0	3,502	3,502	0			
Use in Year	0	0	0	0	0			
Balance as at 31 March 2018	3,502	0	3,502	3,502	0			

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Housing Revenue Account Forecast 2017/18
at 30 September 2017 - Period 6
Deputy Chief Executive - Simon Leftley

Forecast Outturn Variance	Year to Date Variance
a.	
b. Resident patrol services at Victoria Ward partially offset by lower council tax on void properties.	
c.	
d.	
e.	
f.	
g.	
h. Interest on internal borrowing.	
i.	
j. Rental income is higher than estimated because of a lower number of voids than allowed for in the budget.	
k.	
l. HRA's share of interest received on investments is higher than estimated in the budget.	
m.	
n. Underspend will be transferred to the HRA capital investment reserve.	
o.	

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**Capital Programme Budget
Monitoring 2017/18**

Period 6

**as at 30th September 2017
Departmental Summary**

Capital Programme Monitoring Report – September 2017

1. Overall Budget Performance

The revised Capital budget for the 2017/18 financial year is £95.571million which includes all changes agreed at June Cabinet. Actual capital spend at 30th September is £27.790million representing approximately 29% of the revised budget. This is shown in Appendix 1. (Outstanding creditors totalling £0.836million have been removed from this figure).

The expenditure to date has been projected to year end and the outturn position is forecast to reflect the Project Manager's realistic expectation. This is broken down by Department as follows:

Department	Revised Budget 2017/18 £'000	Outturn to 30 September 2017/18 £'000	Expected outturn 2017/18 £'000	Latest Expected Variance to Revised Budget 2017/18 £'000	Previous Expected Variance to Revised Budget 2017/18 £'000
Chief Executive	24,094	13,097	17,464	(6,630)	(3,565)
People	16,709	2,617	9,278	(7,431)	(882)
Place	42,660	10,078	28,984	(13,676)	(1,660)
Housing Revenue Account (HRA)	12,108	1,998	10,608	(1,500)	-
Total	95,571	27,790	66,334	(29,237)	(6,107)

The capital programme is expected to be financed as follows:

Department	External Funding			Total Budget £'000
	Council Budget £'000	Grant Budget £'000	Developer & Other Contributions £'000	
Chief Executive	24,088	-	6	24,094
People	5,300	11,393	16	16,709
Place	28,905	11,317	2,438	42,660
Housing Revenue Account (HRA)	11,635	-	473	12,108
Total	69,928	22,710	2,933	95,571
As a percentage of total budget	73.1%	23.8%	3.1%	

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

The grants and external contributions position to 30th September is as follows:

Department	Grant Budget £'000	Developer & Other Contributions Budget £'000	Total external funding budget £'000	External funding received £'000	External funding outstanding £'000
Chief Executive	-	6	6	-	6
People	11,393	16	11,409	4,388	7,021
Place	11,317	2,438	13,755	9,056	4,699
Housing Revenue Account (HRA)	-	473	473	473	-
Total	22,710	2,933	25,643	13,917	11,720

2. Department Budget Performance

Department of the Chief Executive

The revised capital budget for the Department of the Chief Executive is £24.094million. The budget is distributed across various scheme areas as follows

Department of the Chief Executive	Revised Budget 2017/18 £'000	Outturn to 30 September 2017/18 £'000	Expected outturn 2017/18 £'000	Latest Forecast Variance to Year End 2017/18 £'000	Previous Forecast Variance to Year End 2017/18 £'000
Asset Management (Property)	23,319	12,889	16,689	(6,630)	(3,565)
Cemeteries & Crematorium	492	208	492	-	-
Subtotal	23,811	13,097	17,181	(6,630)	(3,565)
Priority Works (see table)	283	-	283	-	-
Total	24,094	13,097	17,464	(6,630)	(3,565)

Priority Works	£'000
Budget available	500
Less budget allocated to agreed schemes	(217)
Remaining budget	283

Actual spend at 30th September stands at £13.097million. This represents 54% of the total available budget.

Asset Management (Property)

A budget of £170k in relation to Seaways will be included in the November Cabinet report as a carry forward request as the payment for the unconditional agreement is not anticipated until summer 2018.

The demolition of the former toilets at Darlows Green is currently being specified and is expected to start in early 2018. It is likely that the majority of the works will be carried out from April onwards therefore £40k of the current budget will be included as a carry forward request in the report to November Cabinet.

Following the purchase of the former gas works site on 21st July, the remaining budget of £2million is required for remediation works which are planned to take place in 2019/20. This budget will therefore be included in the November Cabinet report as a carry forward request.

Planning consent has now been granted for the Library Car Park reconstruction and enhancement scheme but the tender process has been delayed resulting in an expected

start date of April 2018. Due to this delay, budget of £3.861million will be included as a carry forward request in the report to November Cabinet.

A scheme to enable the Council to take advantage of any opportunities to acquire commercial properties along Southchurch Road if they come to the market currently has a provision of £500k in 2017/18. No property deals have currently been agreed therefore the full budget of £500k will be included as a carry forward request in the report to November Cabinet.

Planning, building control and the tender process required for the works on Pier Arches toilets is underway and works on site are anticipated for January 2018. £30k of the current budget will be included in the November Cabinet report as a carry forward request.

The remaining budget of £29k on the Thorpe Hall Avenue Toilet Refurbishment scheme is no longer required therefore the full budget will be removed in the report to November Cabinet.

Cemeteries and Crematorium

Landscaping works are being finalised and the site tidied on the plot of land identified in Sutton Road Cemetery.

The final solution has been decided for the boiler replacement at Southend Crematorium and this is now going through the tender process. Works are scheduled for December.

Priority Works

The Priority works provision budget currently has £283k remaining unallocated.

Summary

Carry forward requests to be included in the report to November Cabinet include £170k for Seaways, £40k for Darlows Green former WCs demolition, £2million for Land Acquisition works, £3.861million for Library Car Park Reconstruction and Enhancement, £500k for Queensway Commercial Property and £30k for Pier Aches Toilets Waterproofing Solution.

The £29k budget on Thorpe Hall Avenue Toilet Refurbishment will be removed from the capital programme.

Department for People

The revised Department for People budget totals £16.709million.

Department for People	Revised Budget 2017/18 £'000	Outturn to 30 September 2017/18 £'000	Expected outturn 2017/18 £'000	Latest Expected Variance to Year End 2017/18 £'000	Previous Expected Variance to Year End 2017/18 £'000
Adult Social Care	1,758	79	627	(1,131)	(882)
General Fund Housing	3,246	492	1,510	(1,736)	-
Children & Learning Other	64	14	-	(64)	-
Condition Schemes	704	327	704	-	-
Devolved Formula Capital	173	172	173	-	-
Early Years	536	90	536	-	-
Primary and Secondary School Places	10,228	1,443	5,728	(4,500)	-
Total	16,709	2,617	9,278	(7,431)	(882)

Actual spend at 30th September stands at £2.617million. This represents 16% of the total available budget.

Adult Social Care

The Community Capacity grant is used to enable vulnerable individuals to remain in their own homes and to assist in avoiding delayed discharges from hospital. Plans for 2017/18 include project management for social care redesign, costs of sheltered housing review outcomes, development of independent living centre and investment in technology and equipment to promote independence. Total spend of £450k is forecast for 2017/18 therefore an accelerated delivery request of £4k will be included in the report to November Cabinet.

The majority of the works on the redevelopment of the Priory site will take place in 2018/19 therefore a large proportion of the budgets on the two Priory schemes will be included in the report to November Cabinet. These total £936k.

Plans for the Mental Health funding budget include a technology project to assist people with mental health. This project is likely to take place during 2018/19 therefore the full budget of £36k will be included as a carry forward request in the report to November Cabinet.

In individual has been identified for the use of the Transforming Care Housing budget of £163k but this is unlikely to commence until 2018/19. The full budget will therefore be included as a carry forward request in the report to November Cabinet.

General Fund Housing

The Private Sector Renewal scheme is in place to ensure that the private sector stock is kept in a good condition. £615k of the current budget will be included as a carry forward request in the report to November Cabinet.

The Private Sector Housing Works in Default scheme is currently planning for 2018/19 spend therefore the full budget of £138k will be included in the November Cabinet report as a carry forward request.

The £16k budget on the Warmer Health Homes scheme will be removed from the capital programme at November Cabinet as there are no further works planned.

The Empty Dwellings Management scheme is in place to fund works authorised under an Empty Dwellings Management Order (EDMO) to bring long term empty homes back into use and to a habitable standard. Plans are being made for 2018/19 therefore the full budget of £357k will be included in the report to November Cabinet as a carry forward request.

The Disabled Facilities scheme is programmed to spend around £1.5million in 2017/18 therefore the remaining budget of £610k will be included as a carry forward request in the report to November Cabinet.

Children & Learning Other Schemes

Retentions have now been paid Kingsdown Special School roof works so this scheme is now complete.

The full £64k budget on the Short Breaks for Disabled Children scheme will be carried forward in the report to November Cabinet to enable suitable plans to be made for the remainder of this grant.

Condition Schemes

A budget of £704k has been allocated to address larger conditions in schools where the cost is over the schools capabilities to fund. Most of these works have been undertaken over the school summer holidays to minimise disruption to the schools. Retentions of £20k are being held for works completed last year at seven primary schools.

Devolved Formula Capital

This is an annual devolution of dedicated capital grant to all maintained schools. The grant for 2017/18 is £173k. This grant amount will reduce as further maintained schools convert to academy status.

Primary and Secondary School Places

The primary expansion programme is now complete with final retention payments of £69k being held against five projects until the twelve month snagging period is over. A watching brief of demand against availability will be kept. If a need is identified, a further expansion of primary places will be explored to ensure that the council's statutory duty to provide a good school place for all those that request it can be met.

A secondary expansion programme is progressing to ensure that the extra places supplied in primary are matched in secondary as they are needed. The contractors are currently on site at Shoeburyness High School. St Thomas Moore are entering planning stage and one other secondary school is progressing a feasibility study. Works at Wentworth Road site and Southchurch High School are commencing during October. A carry forward request of £4.5million will be included in the report to November Cabinet to continue the scheme into 2018/19.

Summary

Carry forward requests to be included in the report to November Cabinet are LATC Delaware and Priory for £839k, Mental Health funding for £36k, Transforming Housing Care for £163k, Priory House Condition Works for £97k, Disabled Facilities Grant for £610k, Private Sector Renewal for £615k, Private Sector Renewal Works in Default for £138k, Short Breaks for Disabled Children for £64k, Empty Dwelling Management for £357k and School Improvement and Provision for Secondary School Places for £4.5million.

An accelerated delivery request of £4k will also be included for the Community Capacity scheme.

The £16k budget on Warmer Healthy Homes will be removed from the Capital Programme in the November Cabinet report.

Department for Place

The revised capital budget for the Department for Place is £42.660million. This includes all changes approved at June Cabinet. The budget is distributed across various scheme areas as follows:

Department for Place	Revised Budget 2017/18 £'000	Outturn to 30 September 2017/18 £'000	Expected outturn 2017/18 £'000	Latest Expected Variance to Year End 2017/18 £'000	Previous Expected Variance to Year End 2017/18 £'000
Culture	5,577	332	2,217	(3,360)	-
ICT Programme	4,914	1,371	3,389	(1,525)	(210)
Enterprise, Tourism & Regeneration	6,371	1,824	6,838	467	-
Southend Pier	3,767	489	2,478	(1,289)	-
Coastal Defence & Foreshore	923	101	277	(646)	(275)
Highways and Infrastructure	6,414	3,224	6,339	(75)	-
Parking Management	612	72	492	(120)	-
Section 38 & 106 Agreements	2,293	47	854	(1,439)	(225)
Local Transport Plan	2,974	772	1,698	(1,276)	-
Local Growth Fund	5,477	1,514	3,582	(1,895)	-
Community Safety	420	-	20	(400)	-
Transport	540	51	200	(340)	-
Energy Saving Projects	2,378	281	600	(1,778)	(950)
Total	42,660	10,078	28,984	(13,676)	(1,660)

Actual spend at 30th September stands at £10.078million. This represents 24% of the total available budget.

Culture

Roof repairs at Belfairs Swim Centre are to take place in 2018/19 as part of a new capital bid being put forward therefore £40k of the current budget will be included as a carry forward request in the report to November Cabinet.

A delay in the results of the Geo-Technical surveys means that the works on Belton Hill Steps will not take place until 2018/19. £1.467million of the current budget will be included as a carry forward request in the report to November Cabinet.

Design works are being undertaken at the Central Museum. These works will continue into 2018/19 therefore £120k of the budget will be included as a carry forward request in the November Cabinet report.

Further design works have been commissioned on the external refurbishment works at the Cliffs Pavilion. £250k of the budget will be included as a carry forward request in the November Cabinet report to carry out these works.

Procurement is pending on the works for Energy Improvements in Culture Property Assets. £55k of the budget will be included as a carry forward request in the report to November Cabinet as it is expected that procurement will complete by year end.

Design works are now underway at Leigh Library with the majority of the works programmed for 2018/19. A carry forward request of £156k will be in the November Cabinet report as a carry forward request.

The technical design contract has been awarded for the New Museum scheme and work is gearing up towards the gateway review in spring 2018. £750k of the budget will be included as a carry forward request in the report to November Cabinet.

Work is underway on design for the air handling units at the Palace Theatre but issues with the listed building status are causing delays and it is unlikely these issues will be resolved this financial year to enable the scheme to be completed. £220k of the budget will be included as a carry forward request in the November Cabinet report to enable the works to be programmed for 2018/19.

Works on the publication for the Prittlewell Prince research are currently being finalised by the Museum of London Archaeology but it is unlikely to be published in 2017/18. The full budget of £38k will therefore be included in the report to November Cabinet as a carry forward request.

The Prittlewell Prince Storage scheme is occurring alongside the research and will not be required until the publication has been finalised. Therefore the full budget of £35k will also be included as a carry forward request.

£100k match funding for a bid on Southchurch Hall is currently at the technical design stage. £95k will be included in the November Cabinet report as a carry forward request to progress the scheme further.

A budget of £20k for works at Southchurch Park Bowls Pavilion has been identified as a match funding contribution to aid a bid to Sport England. The Council are currently working with the Bowls Club on supporting the bid and the full budget will be included as a carry forward request in the report to November Cabinet to ensure the match funding is available should the bid prove successful.

The scheme to replace various playground gates within the borough's play areas to enable compliance with health and safety recommendations is currently at the procurement stage with plans to progress the scheme once this is complete. £64k of the current budget will be included as a carry forward request in the report to November Cabinet.

Some issues with the performance of materials on the Southchurch Park Tow Path scheme has delayed the project slightly therefore £50k of the current budget will be included in the November Cabinet report as a carry forward request.

ICT

A budget of £100k has been agreed to enable the Council's network to deliver N3 services to allow service such as SystemOne to be delivered over the Council's network and CareFirst to be delivered over the local NHS network to enable cross-site working and joint delivery of services. This scheme is currently on hold pending review of accommodation

use by the Council and the full budget will be included as a carry forward request in the report to November Cabinet.

A scheme to support the migration of core corporate application and their databases to the newly built ICT infrastructure is subject to the timing of the completion of the Datacentre. This is unlikely to commence before the end of the financial year therefore the full budget of £75k will be included in the November Cabinet report as a carry forward request.

Spend for the ICT Intelligence Hub will be incremental across the next few years. Supplier engagement has commenced and a new link has been put in place between Civic one and Tickfield. £450k of the current budget will be included as a carry forward request in the report to November Cabinet.

The scheme for the Digitisation of Paper Records is currently awaiting the outcome of the review of transformation output on paperless processes therefore the full budget of £45k will be included in the report to November Cabinet as a carry forward request.

Trials have been taking place on remote mobility software to allow staff to work from home more securely. To enable the trials to continue into 2018/19, £45k of the current budget will be included as a carry forward request in the November Cabinet report.

The progress of the Phone Migration scheme has been delayed following the review of One-Essex Telephony with Essex and Thurrock for a joint telephony programme. The full budget of £80k will be included in the report to November Cabinet as a carry forward request.

Delay to the Server Room Migration project has had a knock on effect on the Mobile Device End Point Protection Replacement therefore the full budget of £90k will be included as a carry forward request in the report to November Cabinet.

The title of the Place Business Transformation in End to End Reporting scheme has been changed to Channel Shift and this scheme will be moved to the Department of the Chief Executive at November Cabinet. A supplier has now been appointed and phase one has been scoped and agreed for delivery in December 2017 with the final part of this phase in March 2018. Phase two will continue in the next financial year therefore a carry forward request of £265k will be included in the report to November Cabinet.

The development of the Liquid Logic Case Management System scheme is on track to be delivered in line with the revised schedule. The live data warehouse build has been completed for both Childrens and Adults and further data migration works are underway.

Further carry forwards are required for the Central Government IT Security Compliance for £40k and the Wireless Borough and City Deal for £335k and these will be included in the report to November Cabinet.

Enterprise, Tourism & Regeneration

The Regeneration projects include all the work currently taking place on the City Deal Incubation Centre, Airport Business Park and Queensway.

Local Growth Funding (LGF) of £3.2million for the Airport Business Park to support the delivery of on-site infrastructure and the relocation of Westcliff Rugby Club was spent by 31st March 2017 as per the grant conditions. The Westcliff Rugby Club relocation agreement is not yet complete although most issues have now been resolved and the build contract is expected to be let during October 2017. Roads and utilities design and procurement work continues and the innovation centre advisor appointments are underway.

A re-profiling exercise has taken place with the Local Enterprise Partnership and an accelerate delivery request of £1.042million will be included in the report to November Cabinet.

Project lead and support roles are now in place for the Better Queensway scheme Consultation is scheduled to commence in October and to run until December with reporting and feedback in early 2018. A carry forward request of £575k will be included as a carry forward request in the report to November Cabinet.

Southend Pier

Design works are currently progressing for the Southend Pier Entrance Enhancement scheme and works are likely to continue into 2018/19. A carry forward request of £100k will be included in the report to November Cabinet.

Tender evaluation is currently in progress in conjunction with procurement for a structural consultant on phase two of the Prince George extension and the timber outer pier head works which will be commencing shortly. The current spend projections are subject to favourable weather conditions. A proportion of these budgets for £939k and £250k respectively will be included in the report to November Cabinet as a carry forward request.

Coastal Defence and Foreshore

A budget for improving the resilience of the borough to flooding from extreme weather events has been included in the 2017/18 capital programme. Works have now commenced at Harp House and the other main areas to be worked on include the airport, City Beach and Shoebury Common. £125k of this budget will be included as a carry forward request in the report to November Cabinet.

The cliff slip investigation works are continuing with feasibility studies to be carried out to the west of Clifton Drive. This scheme is currently with procurement awaiting the tender for a Geo-Technical consultant therefore a carry forward request of £246k will be included in the report to November Cabinet.

Spend of £50k is anticipated on the Shoebury Common Sea Defence scheme this financial year therefore a carry forward request of £275k will be included in the report to November Cabinet.

Highways and Infrastructure

An allocation of £102k has been received from the Department for Transport for the maintenance of pot holes across the borough. The rest of the Highways Maintenance programme is underway and will continue for the remainder of the financial year.

The Street Lighting budget is a multi-million pound, multi-year scheme to be part funded by the Challenge fund from the Department for Transport. The Department for Transport have agreed a revised completion date of 31st March 2018 with a programme being developed to spend the remaining funds.

The Cinder Path scheme is still at the discussion stage with Network Rail and the full budget of £75k will be included as a carry forward request in the report to November Cabinet.

Parking Management

An updated parking strategy has been commissioned which will form the basis of improvement plans to the borough car parks. Feedback from the recent review is currently

being assessed for any upgrade requirements. £120k of the current budget will be included in the November Cabinet report as a carry forward request to continue the scheme into 2018/19.

Section 38 and Section 106 Schemes

There are a number of S38 and S106 schemes all at various stages. Some of the larger schemes include works around Acacia Drive, Bellway Prittlebrook, Essex House and Hinguar.

Various schemes are scheduled to be carried out in 2018/19 therefore a carry forward request of £624k will be included in the report to November Cabinet for these schemes. Budgets of £318k will be removed from the capital programme as these funds have already been accounted for within the Schools programme.

S106 General Fund Housing schemes totalling £497k will be transferred to the Department of Place in the report to November Cabinet and these budgets will then be carried forward into 2018/19.

Local Transport Plans (LTP Schemes)

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

The plan to upgrade more Automatic Vehicle Location (AVL) screens has now commenced and new Real Time Passenger Information (RTPI) screens are on order and will be installed before year end.

A carry forward request of £1.276million across the LTP schemes will be included in the report to November Cabinet as a carry forward request following agreement from the Department for Transport that these funds are not ring-fenced in year.

Local Growth Fund

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

The final business case for A127 Kent Elms junction improvements has been approved by the South East Local Enterprise Partnership and all funding has been received.

Worked commenced at Kent Elms on 21st November 2016 and a dedicated Public Liaison Officer is in place. There has been a delay to National Grids works which has had a knock on effect causing delay to completing BT diversions. The BT diversions have caused a delay to the new outbound lane. Three lanes inbound and two new pedestrian crossings were in place at the end of June. The new footbridge will be in place this financial year.

Options are being prepared to put forward for the business case at the Bell junction and air quality implications are to be investigated. A draft engagement and consultation document has been prepared and is to be updated. Air quality specialist work has now commenced.

Local Growth Funds of £1.895million have been reprofiled and will be included in the November Cabinet report as a carry forward request.

Community Safety

Whilst the CCTV Equipment Renewal scheme is moving forward with consultation, the implementation is likely to be delayed into 2018/19 with £400k of the current budget included as a carry forward request in the report to November Cabinet. The scheme ties in with the development of the Southend Intel Hub and the process for testing any camera solutions to ensure future fit for purpose and the subsequent procurement process with take the scheme beyond March 2018.

Transport

The road safety audit stage three has now been reviewed on the A127 Tesco junction improvements with minor adjustments are now complete. Works to the steps at Strawberry Fields are yet to be completed. A carry forward request of £300k will be included in the report to November Cabinet.

Southend Transport Model is an on-going scheme to support various multi modal transport projects. A review of the model is complete with options on updating the model to be considered. A carry forward request of £40k will be included in the report to November Cabinet.

Energy Saving Projects

Several projects have been identified from the energy efficiency budget. The remaining £640k budget will be included as a carry forward request in the report to November Cabinet.

Procurement documents are in the process of being drafted for legal support for the site agreements as part of the Solar PV scheme. £924k of this budget will be required next financial year therefore a carry forward request will be included in the report to November Cabinet.

An energy project for Tickfield is currently being worked on as part of the Schools and Council Buildings Solar PV scheme. £214k of this budget will be required in 2018/19 therefore a carry forward request will be included in the report to November Cabinet.

Summary

Carry forward requests to be included in the report to November Cabinet are Belfairs Swim Centre for £40k, Belton Hills Steps for £1.467million, Central Museum Works for £120k, Cliffs Pavilion External Refurbishment Works for £250k, Energy Improvements in Culture Property Assets for £55k, Library Review for £156k, New Museum Gateway Review for £750k, Palace Theatre Air Handling Units for £220k, Playground Gates for £64k, Prittlewell Prince Research for £38k, Prittlewell Price Storage for £35k, Pump Priming for £95k, Southchurch Park Bowls Pavilion for £20k, Southchurch Park Tow Path for £50k, ICT Priority Works N3 for £100k, Central Government IT Security Compliance for £40k, Core Application and Database Migration for £75k, Intelligence Hub for £450k, Digitisation of Paper Records for £45k, Mobile Working and Enterprise Mobility for £45k, Phones Migration and Retender for £80k, Mobile Device End Point and Protection Replacement for £90k, Channel Shift for £265k, Wireless Borough and City Deal for £335k, Southend Pier Entrance Enhancement for £100k, Southend Pier Prince George Extension for £939k, Southend Pier Timber Outer Pier Head for £250k, Cliff Slip Investigation works for £246k, Improving Resilience of the Borough to flooding from Extreme Weather Events for £125k, Shoebury Common Sea Defence Scheme for £275k, Cinder Path for £75k, Improved Car Park Signage and Guidance Systems for £120k, Better Queensway Regeneration for

£575k, S106, S278 and S38 schemes for £1.121million, LTP schemes for £1.276million, Local Growth Funds for £1.895million, A127 Junction Improvements for £300k, Southend Transport Model for £40k, CCTV Equipment Renewal for £400k, Energy Efficiency Projects for £640k, Schools and Council Buildings Solar PV for £214k and Solar PV Projects for £924k.

An accelerated delivery request of £1.042million will be included for the Airport Business Park.

Budgets totalling £318k will be removed from the capita programme in relation to S106 schemes.

Housing Revenue Account

The revised budget for the Housing Revenue Account capital programme for 2017/18 is £12.108million. The latest budget and spend position is as follows:

Housing Revenue Account	Revised Budget 2017/18 £'000	Outturn to 30 September 2017/18 £'000	Expected outturn 2017/18 £'000	Forecast Variance to Year End 2017/18 £'000	Previous Forecast Variance to Year End 2017/18 £'000
Decent Homes Programme	7,703	1,775	6,703	(1,000)	-
Council House Adaptations	565	174	565	-	-
Sheltered Housing	345	-	345	-	-
Other HRA	3,495	49	2,995	(500)	-
Total	12,108	1,998	10,608	(1,500)	-

The actual spend at 30th September of £1.998million represents 17% of the HRA capital budget.

Decent Homes Programme

The capital programme is progressing albeit slightly slower than planned due to extended mobilisation periods which have been required by various contractors and delays in companies returning their signed contracts. The £2million reprofiled for fire safety works has been partly allocated to completing the remaining two high rise blocks at Queensway however the remaining £1million will be included as a carry forward request in the report to November Cabinet to be used to undertake further fire safety works to medium rise blocks.

Council House Adaptions

This budget relates to minor and major adaptations in council dwellings. Spend depends on the demand for these adaptations and works are currently in progress for 2017/18.

Sheltered Housing

This budget is to be used in conjunction with the Sheltered Housing review.

Other HRA

The housing construction scheme is continuing with the Council's approved contractor having completed the required highways works and also the demolition of the garages at Rochford Road. The application to divert the culvert has now been lodged with Anglian Water and it is anticipated that the outcome will be received in mid-October. The tender for the overall build contractor will be extended to early November to accommodate this

change. Further consultation has been undertaken with both residents and members to keep them up to date with the progress of the project.

A scheme for the acquisition of tower block leasehold properties currently has a budget of £500k in 2017/18. This budget will be included as a carry forward request in the report to November Cabinet.

Summary

Carry forward requests for Common Areas Improvements for £1million and Acquisition of Queensway Tower Block Leaseholds for £500k will be included in the report to November Cabinet.

Summary of Capital Expenditure at 30th September 2017

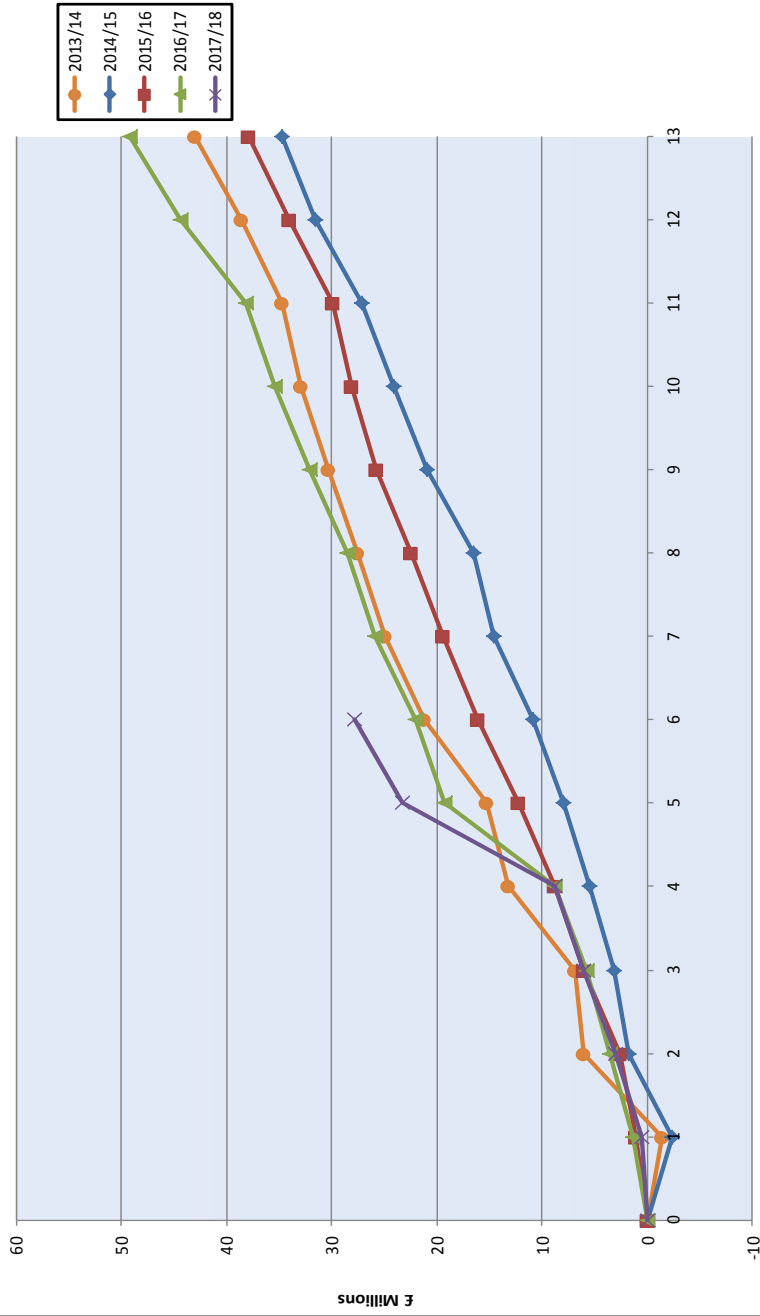
Appendix 1

	Original Budget 2017/18 £000	Revisions £000	Revised Budget 2017/18 £000	Actual 2017/18 £000	Forecast outturn 2017/18 £000	Forecast Variance to Year End 2017/18 £000	% Variance
Chief Executive	6,400	17,694	24,094	13,097	17,464	(6,630)	54%
People	13,582	3,127	16,709	2,617	9,278	(7,431)	16%
Place	48,140	(5,480)	42,660	10,078	28,984	(13,676)	24%
Housing Revenue Account	8,610	3,498	12,108	1,998	10,608	(1,500)	17%
	76,732	18,839	95,571	27,790	66,334	(29,237)	29%
Council Approved Original Budget - February 2017							
	76,732						
Chief Executive amendments	18,352						
People amendments	(1,041)						
Place amendments	(310)						
HRA amendments	4,864						
Carry Forward requests from 2016/17	7,040						
Accelerated Delivery requests to 2016/17	(856)						
Budget re-profiles (June Cabinet)	(11,927)						
New external funding	2,717						
Council Approved Revised Budget - June 2017	95,571						

Actual compared to Revised Budget spent is £27.790M or 29%

Appendix 2

Capital programme Delivery
Cumulative Capital Expenditure 2013/14 to 2017/18



Year	Outturn £m	Outturn %
2012/13	61.0	97.9
2013/14	43.3	93.8
2014/15	34.8	83.8
2015/16	37.9	97.0
2016/17	48.8	89.0

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Southend-on-Sea Borough Council

Agenda
Item No.

7

Report of the Chief Executive

to

Cabinet

On

7th November 2017

Report prepared by:

Val Smith – Knowledge and Information Manager

Charlotte McCulloch – Customer Service & Complaints Manager

Michael Barrett – Complaints Officer

Annual Report – Comments, Complaints and Compliments – 2016/17

All Scrutiny Committees

Executive Councillors: Councillors Courtenay, Cox, Lamb and Salter,

A Part 1 Public Agenda Item.

1. Purpose of Report

1.1 This report is to:

- Fulfil the Council's statutory duty to produce an annual report on compliments and complaints received about its Children and Adult social care functions.
- Provide performance information about comments, complaints and compliments received across the Council for 2016-17
- Fulfil the duty of the Monitoring Officer to report to members on the findings of certain Local Government Ombudsman investigations
- Seek agreement for minor updating of the Corporate comments, complaints and compliments process
- Contribute towards the Council's values to be open, honest and transparent.

2. Recommendation

2.1. **To note the Council's performance in respect of compliments, comments and complaints for 2016-17 and to refer each separate report to the respective Scrutiny Committee.**

3. Background

3.1. Legislation requires that statutory processes are in place to deal with complaints relating to children and adults social care, to advertise that process and produce annual reports.

3.2. As the statutory process requires the Children and Adults' Social Care reports to be shared with the Care Quality Commission and the Department of Health this necessitates three separate reports for the Council, including a separate report on the Council's corporate comments, complaints and compliments process.

- 3.3. The latter encompasses the Monitoring Officer's duty under section 5(2) of the Local Government and Housing Act and the Local Government Act 1974 to report to members a summary of the findings of the Local Government Ombudsman.
- 3.4. Details of performance are contained in the respective reports under:
Appendix A – Compliments, Concerns and Complaints – Adult Social Care Services.
Appendix B – Compliments and Complaints – Children's Social Care Services.
Appendix C - Corporate Comments, Complaints and Compliments and Monitoring Officer report.
- 3.5. The table below sets out a comparison of the total number of complaints received for the previous three years by Department.

As can be seen, the figures reflect a steady upward trend in the number of complaints being received by the Council.

The largest increase in volume was in the Department for Place and was as a result of a peak in complaints over a 3 month period following major alterations to refuse collection days.

Department	2013/2014	2014/2015	2015/16	2016/17
Department of the Chief Executive	44	43	66	54
Department for People (including statutory)	227	246	304	326
Department for Place	375	376	351	486
Public Health	0	0	1	0
Grand Total	646	665	722	777

- 3.6. Comments and compliments are also received, with numbers shown below.

Department	2013/2014	2014/2015	2015/16	2016/17
Department of the Chief Executive	1694	1326	1673	1301
Department for People (including statutory)	521	474	416	302
Place	288	222	337	838
Grand Total	2503	2022	2426	2462

The largest increase in volume was in the Department for Place and resulted from a large number of comments about alterations to refuse collection days.

4. Lessons Learnt and Service Improvements

4.1 Whilst responding to feedback in a timely manner it is important for Council services to reflect on lessons learnt and improving outcomes. This is recognised by the Local Government Ombudsman's principles of good complaints handling of being customer focused, putting things right and seeking continuous improvement.

Examples of service improvements undertaken throughout the year as a result of customer feedback include:

- Individual complaint findings being fed directly into the review of anti-social behaviour service provision
- Website content with advice for those with suicidal thoughts, training being commissioned for staff who may interact with customers with suicidal thoughts
- The introduction of an independent formal Subject Access Request review process for customers who feel they have not been supplied with all relevant information
- Guidance for Housing staff regarding housing applicants with overnight care and for certain applicants for housing who have a previously un-discharged main homelessness duty
- Improved explanatory information for customers about charges for adult social care
- Introduction of real-time alerts for missed adult social care appointments
- Staff reminded to involve both parents when concerns about a child are raised
- Staff reminded to ensure families are told of changes to their child's social worker

More detailed examples are contained in App A (Appendix 8), Appendix B (paragraph 12) and Appendix C (para 4.7).

5. Future developments

5.1 In the process of preparing this report, informal discussions were held with a number of senior officers to identify changes which might be necessary to the complaints procedures.

5.2 It is intended that there will be changes to the level within the organisation at which responsibility for complaints responses within the corporate non-statutory procedure will lie. In future, this will be as follows:

- Stage 1 response – Supervisor, Team Leader or similar
- Stage 2 response – Group Manager or Director
- Stage 3 response – Chief Executive or Deputy Chief Executive and Leader or Deputy Leader

This will better reflect the current senior management structure and will provide more flexibility within the process, aiming to avoid the delays which can occur at peak times or in periods of absence.

- 5.3 To ensure quality of response, those unfamiliar with the role will receive appropriate training and guidance before taking on the responsibility.
- 5.4 It is recognised that more effective and contemporaneous use could be made of insight from complaints. Data will in future be analysed to a greater extent and more frequently to learn lessons, identify areas of concern and improve service delivery.
- 5.5 To recognise a change in methods of communication, the corporate non-statutory procedure will be expanded to include complaints received over Social Media. Any response to such a complaint will however be routed through more conventional channels. The procedure will in future also include any complaints regarding the standard of spoken English of frontline staff. This is to comply with the Code of Practice on the English language requirements for public sector workers (Part 7 of the Immigration Act 2016).
- 5.6 The review highlighted that a small number of customers are behaving in an unreasonable manner when interacting with the Council. This might be abusive, threatening or offensive in nature or overly frequent contact which inhibits the Council's ability to carry out essential work.
- 5.7 Although this applies to a minority of customers, such contacts can result in a disproportionate uptake of Council resources and may be distressing to the parties concerned. For this reason guidance on how the Council will respond to unreasonable complainant behaviour will be produced. In the interest of transparency, it will be published on the Council's website.
- 5.8 In a separate matter, the Local Government Ombudsman service has recently renamed itself as the Local Government and Social Care Ombudsman. This is to better reflect their jurisdiction over all registered social care providers and their ability to investigate complaints about care funded and arranged privately, as well as that arranged through local authorities.

6. Corporate Implications

6.1 Contribution to Council's Vision & Corporate Priorities

Customer feedback and complaints management is directly relevant to the Council's corporate priorities to deliver strong, relevant and targeted services that meet the needs of our community. This remains important in the coming years as budget constraints continue to impact on service delivery.

6.2 Financial Implications

The commissioning of independent people to deal with children's stage two statutory complaints incurs additional cost. The continued decrease in stage 2 complaints this year has reduced the costs of investigations. The use of mediation and early intervention within all the processes is used in an effort to restrict the number of complaints escalating, limiting the amount of officer time spent on complaints as well as improving the outcome for the complainant.

In 0.5% of complaints, payments have been made to customers to recognise difficulties they have experienced when interacting with the Council. Separately, in the course of investigating complaints, monies found to be owed to complainants has been paid. All payments made are within the existing budgets of Council Departments.

6.3 Legal Implications

These reports ensure compliance with statutory complaints processes and reporting obligations.

6.4 People and Property Implications

People and property implications are considered through the Council's normal business management processes.

6.5 Consultation

The Advocacy Services and Representations Procedure (Children) (Amendment) Regulations 2004 confer a duty on local authorities to provide information about advocacy services and offer help to obtain an advocate to a child or young person wishing to make a complaint. All children and young people wishing to make a complaint are offered the services of an advocate.

6.6 Equalities and Diversity Implications

All three processes are receiving feedback from customers from Southend communities including minority groups. Similarly, alternative approaches to facilitate complaint resolution are offered including advocacy and meetings.

Corporate equalities considerations continue to be part of the process.

6.7 Risk Assessment

Processes are reviewed periodically and reduce any risk which could adversely affect the Council's reputation in the community and reduce public trust/satisfaction. Whilst an anticipated increase in complaints did materialise after 2013, notably in respect of services delivered corporately, the number recorded is still significantly less than the 1100 reported for 2009 at the beginning of the revised process.

6.8 Value for Money

Early resolution of complaints, together with learning lessons from the process, contribute to service improvements and getting things right first time.

6.9 Community Safety and Environmental Impact Implications

The process is implemented to ensure both community safety and effects on the environment are fully considered.

7. Background Papers

None

8. Appendices

Appendix A - Compliments Concerns & Complaints received throughout 2016/17
for Adult Social Care Services

Appendix B - Compliments and Complaints – Children’s Social Care 2016/17

Appendix C - Corporate Comments, Complaints and Compliments – 2016/17

Appendix A

Compliments Concerns & Complaints received throughout 2016/17 for Adult Social Care Services

Southend-on-Sea Borough Council

Report of Deputy Chief Executive (People)
to
Cabinet
on
7 November 2017

Report prepared by: Charlotte McCulloch

**Compliments Concerns & Complaints received throughout 2016-17
for Adult Social Care Services**

**People Scrutiny Committee – Executive Councillor: Lesley Salter
A Part 1 Public Agenda Item**

1. Purpose of Report

- 1.1 To discharge the local authority's statutory duty to produce an annual report on compliments concerns and complaints received about its adults' social care function throughout the year.
- 1.2 To provide statistical and performance information about compliments concerns and complaints received throughout 2016/2017.

2. Recommendation

- 2.1 That the Department's performance during 2016/2017, and comparison to the previous three years be noted.
- 2.2 That the report be referred to the People Scrutiny Committee for detailed examination.

3. Background

- 3.1 This is the eighth Annual Report following the changes to the legislation governing the statutory complaints process for adult social care services. The Local Authority Social Services and National Health Service Complaints (England) Regulations 2009 came into force on 1 April 2009 and created a single process for health and social care services. With the increase in integrated services, the single process makes it easier for patients and service users to make complaints and allows them to make their complaint to any of the organisations involved in their care. One of the organisations will take the lead and co-ordinate a single response.
- 3.2 Strong working relationships have been established with complaints colleagues within the Health organisations in the area. This, together with a joint protocol agreed by the Essex Complaints Network, has made it easier for people making

complaints that span Health and social care services. In 2016/2017 there were 0 joint complaints.

- 3.3 The new process is based on the principles of the Department of Health's *Making Experiences Count* and on the Ombudsman's principles of good complaints handling:
- Getting it right
 - Being customer focused
 - Being open and accountable
 - Acting fairly and proportionately
 - Putting things right
 - Seeking continuous improvement.
- 3.4 There is a single local resolution stage that allows a more flexible, customer focused approach to suit each individual complainant. At the outset, a plan of action is agreed with the complainant to address their complaint. Amendments to the plan can be agreed at any stage of the process.
- 3.5 The regulations do not specify timescales for resolution and a date for response is agreed and included in each plan. Response times are measured against the agreed dates in the plans.
- 3.6 When the local authority believes that it has exhausted all efforts to achieve a local resolution, and the customer remains dissatisfied, the next step is referral to the Local Government Ombudsman.

4 Compliments; concerns and comments received in 2016/2017

- 4.1 Compliments are a very important feedback and motivational tool and members of staff are encouraged to report all compliments they receive to the Customer Services Manager for recording. All compliments are reported to the Group Manager of the Service to pass on their thanks to the staff member and the team. This practice has been well received by staff. Data gathered from compliments are used to inform commissioning decisions of the authority.
- 4.2 Adult and Community Services received 269 compliments about its social care services in 2016/2017.

Table to show the number of compliments received in 2016/2017 and a comparison with previous three years

Apr 13- Mar 14	Apr 14 – Mar 15	Apr 15 – Mar 16	Apr 16 – Mar 17
Number	Number	Number	Number
470	407	341	269

There has been a decline in the number of recorded compliments received, however we are unable to ascertain why this is the case. It could simply be that compliments are not being passed to the Complaints Team to be formally logged.

Examples of the types of compliments received can be found in Appendix 1

- 4.3 The current regulations require the local authority to record concerns and comments as well as complaints. Some people wish to provide feedback to help improve services but they do not wish to make a complaint, and this process facilitates that.
- 4.4 Adult and Community Services received 3 concerns about its social care services in 2016/2017. Of these, 2 were regarding commissioned homecare services and 1 was about an internal service provided directly by Southend Council.
- 4.5 All concerns and comments are considered to identify areas for improvement and responses are made where appropriate or requested.

5 Complaints received in 2016/2017

- 5.1 Adult and Community Services received 190 complaints about its social care services in 2016/2017. 74 of which were about internal services provided directly by Southend Council, and 116 were about services supplied through externally commissioned providers (domiciliary care & residential care)

Table to show the total number of complaints received during 2016/2017 and comparison with previous three years

Apr 13 – Mar 14	Apr 14 – Mar 15	Apr 15 – Mar 16	Apr 16 – Mar 17
Number	Number	Number	Number
136	166	176	190

This represents an overall increase of 8% in the number of complaints received during the previous year, and a 40% increase in the last 4 years.

There has been an increase in complaints year on year and 190 complaints represents 6.6% of the number of service users receiving support throughout the year.

The main increase in complaints this year has been seen within the commissioned services with an increase from 101 in 2015/16 to 116 in 2016/17, an increase of 14.8%.

Complaints about domiciliary care = 107 (56% of all complaints received in 16/17)

Complaints about Residential care = 9 (4.8% of all complaints received in 16/17)

Our Contracts Team and Complaints Team continue to work with the residential and domiciliary care providers to address issues and effect improvements around complaints handling.

Complaints about internal services have remained level, with 75 in 2015/16 and 74 in 2016/17 (39% of all complaints received in 2016/17)

- 5.2 Appendix 2 shows complaints by internal and commissioned services. Appendix 3 shows the number of complaints received about internal services by team. Appendix 4 shows the number of complaints by service user group. The majority of complaints (161) were received about services to older people. This is the largest service user group and the 161 complaints represent 7.8% of the number of older people who receive services from the department.
- 5.3 Southend Borough Council commissions Essex Partnership University Trust (EPUT, formally known as SEPT) to provide its mental health and substance misuse services and EPUT received 12 complaints from Southend clients. 4 were not upheld, 1 was upheld, and 6 were partially upheld. Also 1 was not investigated due to information not provided by the complainant. These were dealt with by EPUT and are not included in the figures in the table in section 5.1 above.
- 5.4 Under the current regulations, any complaints received verbally and resolved to the complainant's satisfaction within 24 hours do not have to be recorded as complaints.

6. Complaints subject to independent investigation

- 6.1 An independent investigation is an option for reaching a local resolution but it is not an automatic progression. Action taken to address a complaint will be discussed with the complainant at the outset and the primary aim is to find a resolution but action must be proportionate.
- 6.2 There were no independent investigations in 2016/2017. An independent investigation can be costly and it is to everyone's advantage if staff can resolve complaints satisfactorily without them.

Table to show the number of complaints subject to independent investigation, and as a percentage of the total number complaints during 2016/2017, and comparison with the previous three years.

Apr 13 – Mar 14	Apr 14 – Mar 15	Apr 15 – Mar 16	Apr 16 – Mar 17
Number	Number	Number	Number
0 (0%)	0 (0%)	0 (0%)	0 (0%)

- 6.2 Other ways used to resolve complaints include:
- Written response/explanation
 - Acknowledgment if there has been a failure
 - Apology
 - Change to service
 - Mediation/conciliation
 - Meeting
 - Internal review
 - Redress

7 Complaints referred to the Local Government Ombudsman

- 7.1 There were 5 social care complaints considered by the Local Government Ombudsman in 2016/2017.
- 7.2 One complaint was referred to the LGO, they found a minor fault and we agreed to apologise to the complainant.
- 7.3 One complaint was referred to the LGO, following an investigation no fault found
- 7.4 Three complaints that were referred to the LGO and following an investigation did find fault with SBC. Apologies were sent to the complainants and amendments were made to financial information provided.

8 Response times

- 8.1 Adherence to response times is measured by compliance with the agreed dates set out in the individual complaints plans. There is no statutory requirement with regards to response timescales, however we recognise the importance of trying to achieve a speedy resolution to complaints and generally aim to resolve complaints within 10 working days. Depending on the complexity of the complaint raised, agreement is made with complainants on an acceptable timescale for a response
- 8.2 104 complaints were responded to within the timescales agreed locally between the complaints service and the complainant. This represents 54.7% of responses made.
- 8.3 Of the 86 not responded to within the agreed timescale, 49 were attributed to our contracted care providers. Our Contracts Team and Complaints Team continue to work with our commissioned providers to address this issue and effect improvements around complaints handling. A target has been introduced and their performance will be discussed with each provider at their quarterly contract review meetings.
- 8.4 Compliance with response times is shown at [Appendix 2](#)

9 Types of issues raised

- 9.1 The bar chart at [Appendix 5](#) shows all the issues split between internal and commissioned services.
- 9.2 Overall, the top 5 issues were:
 - I. Missed Calls
 - II. Late Calls
 - III. Communication/ Consultation
 - IV. Quality of Service
 - V. Conduct/Behaviour of Staff

10 Outcome status of complaints (upheld; partially upheld; not upheld)

- 10.1 190 complaints received refer to 223 issues which were reported and responded to. 96 were upheld; 34 were partially upheld; 85 were not upheld; 14 were unable to reach a finding; 3 were not progressed and 1 was not responded to by the provider; this was addressed with the provider with a re-imbusement resolution for the complainant.
- 10.2 Overall the number of complaints upheld or partially upheld has remained the same at 58% for both 2016/17 and 2015/16.
- 10.3 Tables at Appendix 7 show outcomes of the main issues in internal, homecare and residential complaints. There has been increase in complaints upheld or partially upheld regarding missed and late home care calls from 40 in 2015/16 to 55 in 2016/17 and there remains the challenge by many providers to recruit and retain good quality care staff. Work continues with providers to develop the existing electronic systems to give real time alerts to providers to enable a proactive approach to delivering care.

11. Monitoring & Reporting

- 11.1 Statistical data regarding complaints about our commissioned home care providers are provided quarterly to inform the Contract Monitoring Meetings.
- 11.2 Complaints are monitored by the Complaints Manager for any trends/emerging themes and alerts the relevant service accordingly.
- 11.3 Complaints information is fed into the monthly operational meetings where issues regarding providers are shared. This is to ensure that a full picture is gathered regarding the providers service delivery and indentify any concerns or trends that may be emerging.

12 Learning from Complaints

- 12.1 The Council continues to use complaints as a learning tool to improve services and to plan for the future. Local authorities are being asked to show what has changed as a result of complaints and other feedback that it receives.
- 12.2 Improvements have been categorised under the following headings:
- Improved process
 - Increased awareness of improved outcomes for Adults
 - Increased staff awareness/training
 - Improved conduct of staff
 - Improved performance of provider

Examples of improvements made as a result of complaints are shown in [Appendix 8](#).

- 12.3 Complaints about communication are a reoccurring theme for internal services and whilst they are not particularly high in proportion to the number of service users being dealt with on a daily basis, this is the most common issue. The

Complaints Manager continues to work with the Service Managers & Team Managers on identifying ways to improve client satisfaction with all channels of communication.

13. Corporate Implications

13.1 Resource Implications (Finance, People, Property).

If resolutions are not found at an early stage and there are undue delays, compensation may have to be paid to acknowledge the time and trouble that the complainant has expended.

In some cases, the initial input in terms of staff time to find a resolution through a meeting/conciliation may be quite intensive but where the complainant has an ongoing relationship with the service, it can save resources in the long term.

13.2 Contribution to Council's Vision & Critical Priorities

A robust and responsive complaint handling process adds to the public's confidence and satisfaction with the way they are dealt with by the local authority when they have concerns to raise.

Effective complaints handling and a well advertised procedure contributes to the corporate priorities:

- EXCELLENT - Work with and listen to our communities and partners to achieve better outcomes for all
- SAFE - Look after and safeguard our children and vulnerable adults

13.3 Equalities and Diversity Implications

All those involved in dealing with complaints are mindful of ensuring a consistent approach with all complainants in line with Equalities principles.

13.4 Value for Money

Some complaints may have elements where improvements may be made to ensure value for money.

13.5 Community Safety Implications

Some complaints may have elements where improvements may be made to ensure community safety.

14. Background Papers

Complaints papers are kept by the Customer Services & Complaints Manager. Data about individual compliments concerns comments and complaints are held electronically.

15. Appendices

Appendix 1	Examples of complimentary comments received regarding Internal teams
Appendix 2	Number of complaints by internal and commissioned services (residential & homecare) Compliance with response times
Appendix 3	Internal service complaints by team
Appendix 4	Commissioned and internal service complaints by service user group
Appendix 5	Issues raised in complaints
Appendix 6	Issues outcomes split between internal and commissioned services
Appendix 7	Outcome status of the top issues split between internal; homecare and residential care complaints
Appendix 8	Examples of learning/service improvements

Appendix 1

Compliments received 2016 -17

Some examples from the 269 compliments received about Southend Council's Internal Services :-

**Superb service given all round, Supply of equipment quick & well designed.
Glynns professional attitude & caring empathy exceeded all I expected.
Thanks again**

~

To All Staff at Priory House; I would just like to thank all the management & staff for the love & care you showed my mother while she was under your care. I know my mother was happy & contented living at Priory in her twilight years

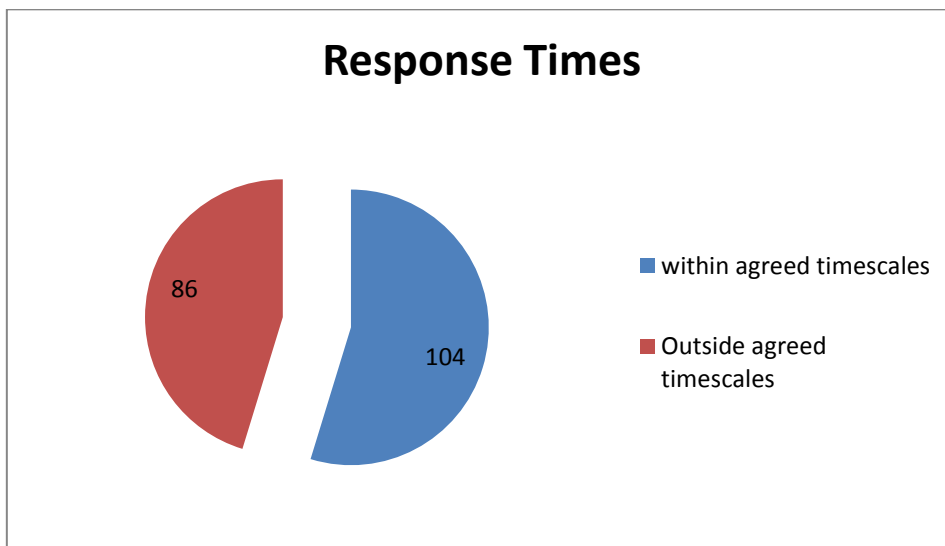
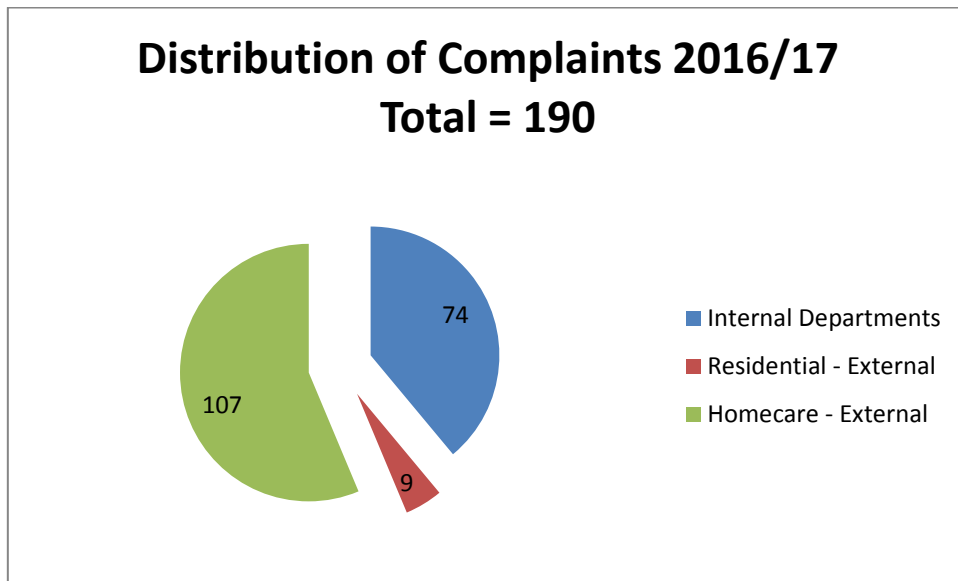
~

Firstly I would just like to thank you for all that you did for xxx and the kindness and compassion that you extended to her. You have been an enormous help during a very difficult time and I have really appreciated your help and guidance and nothing was too much trouble, that meant a lot. Once again my sincere thanks for all that you have done.

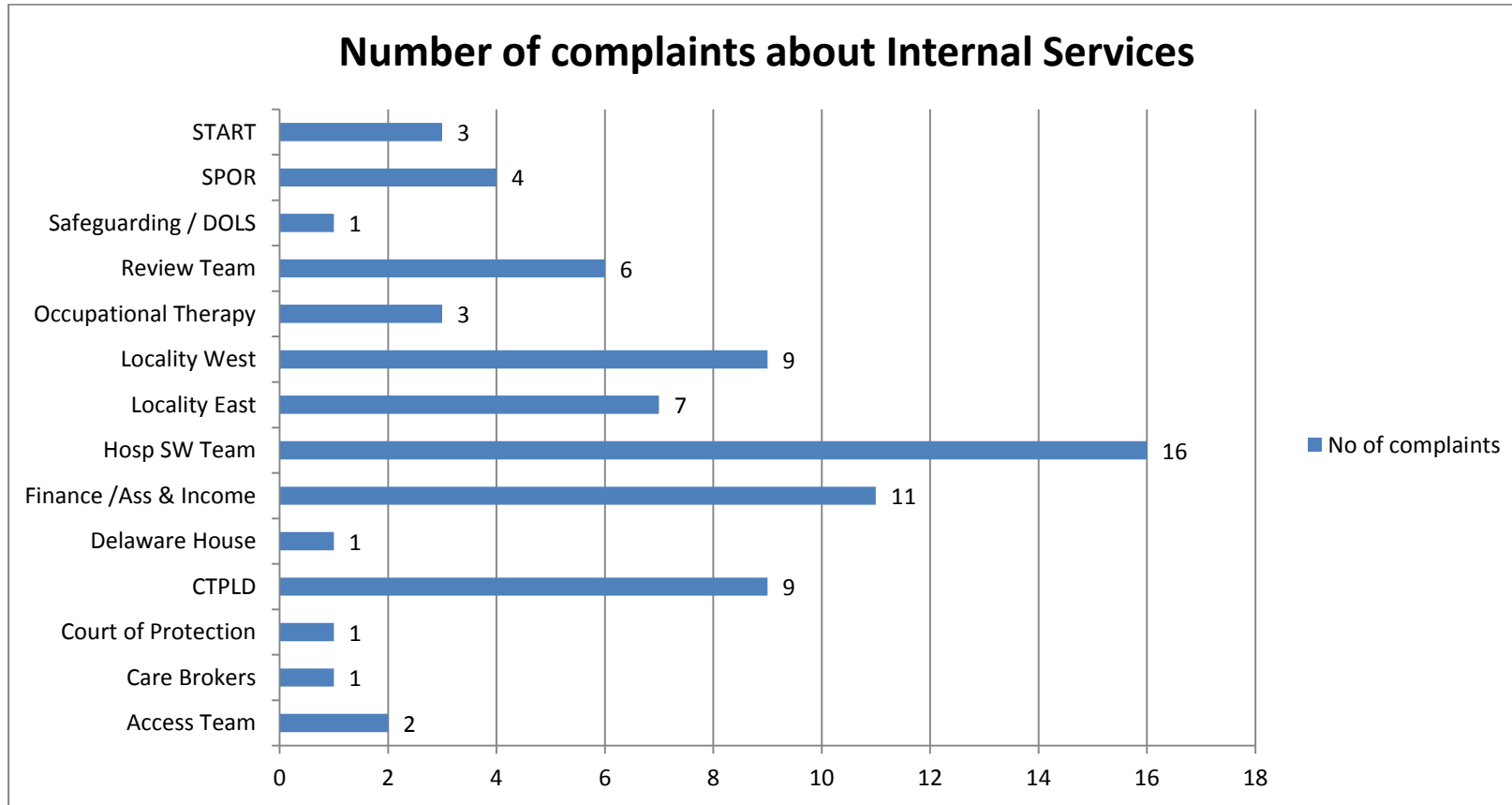
~

Both Sue & Rob were brilliant. Could not have been kinder or more helpful & efficient. We are very grateful to them

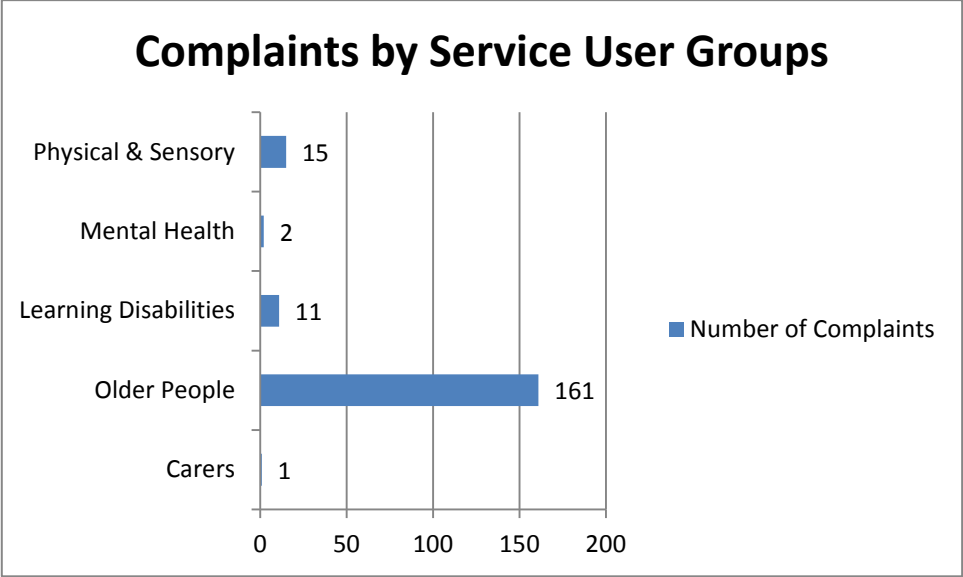
Appendix 2



Appendix 3

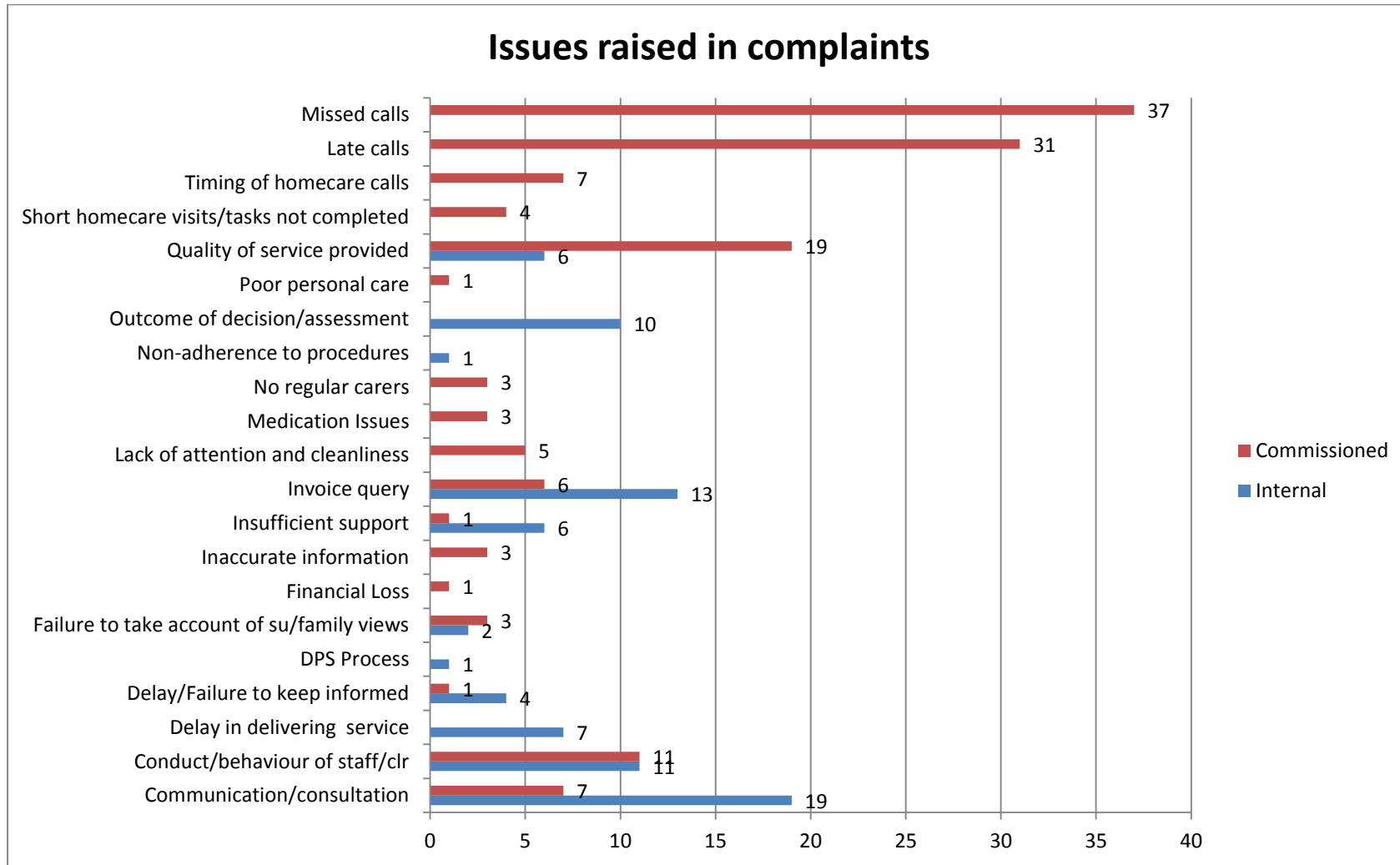


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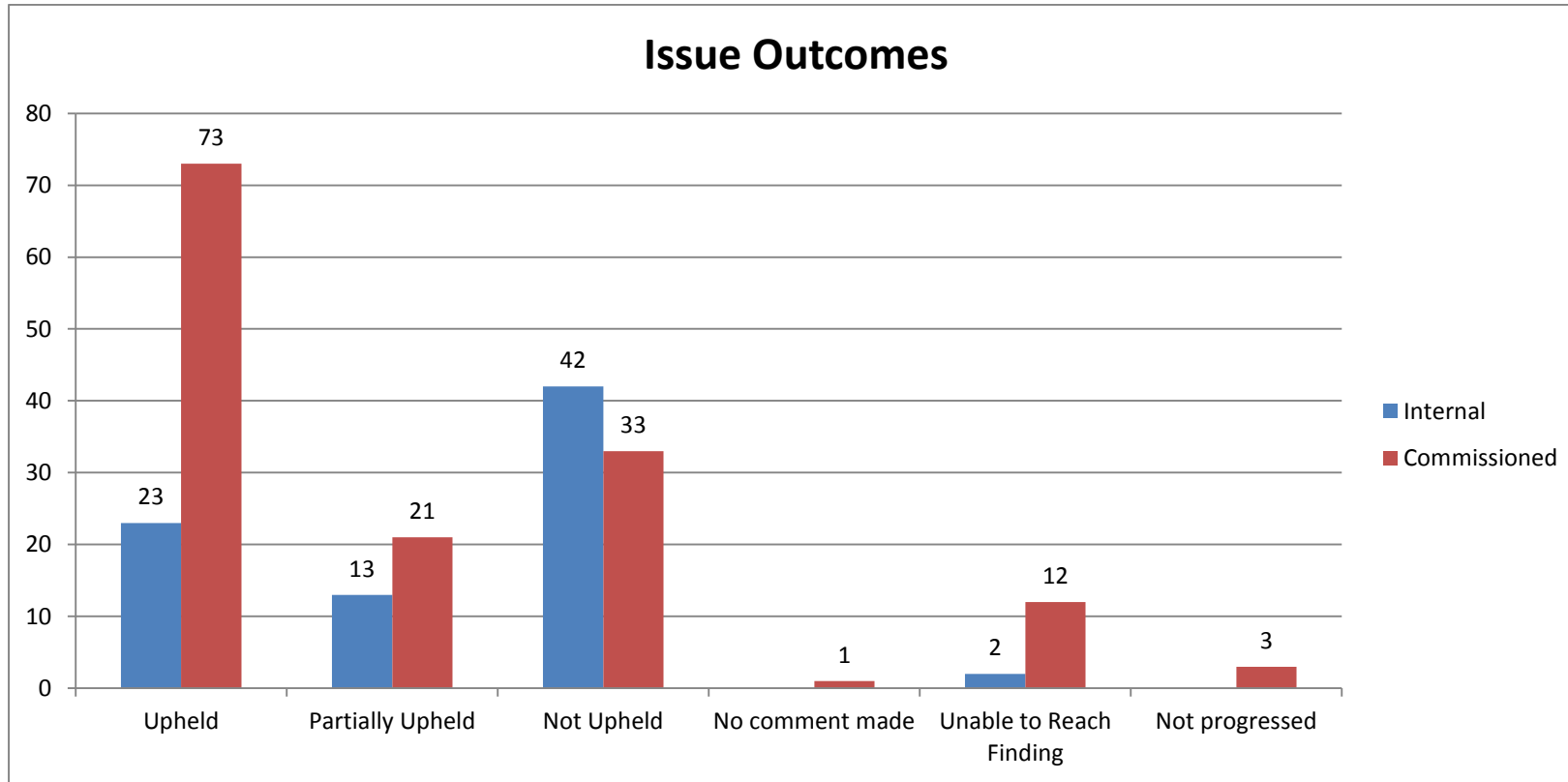
Appendix 5

197



Appendix 6

198



Appendix 7

Top issues complained about

SBC - Internal Service	Upheld	P/upheld	not upheld
Communication/consultation	6	5	8
Invoice Query	5	2	6
Conduct/behaviour of staff	2	3	6
Outcome of decision/assessment	1	1	8

Commissioned Services (Homecare & Residential)	Upheld	P/upheld	not upheld	Unable to reach a finding	Not progressed
Missed calls	26	3	8		
Late calls	24	2	3		1
Quality of Service	4	7	4	3	1
Conduct Behaviour of staff	2	2	3	4	

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Appendix 8

Issue	Improvements
Concern about letters sent via finance, outlining the hourly charge for care. The letter did not make it clear that the hourly charge was per carer.	Updated to letter to make the charges clearer, that if a service user was receiving 2 carers then the hourly charge would be per carer.
Issue with the number of missed calls or late calls.	Trial of real time alerts on the electronic call monitoring system (CM2000) this meant the care provider could identify where calls have not been made, and be pro-active in making alternative arrangements if necessary.
Confusion caused by the terminology used by Social Workers when explaining the costs associated with care.	Complaints and their outcomes are fed back to Social Workers within team meetings to make Social Workers aware of the language they use verbally and in writing and the confusion it could cause.

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Appendix B

Compliments and Complaints – Children’s Social Care 2016/17

Southend-on-Sea Borough Council

Report of Deputy Chief Executive (People)

to

Cabinet

on

7 November 2017

Report prepared by: Michael Barrett

**Compliments and Complaints relating to Children's Social Care Services
People Scrutiny Committee - Executive Cllr James Courtenay
A Part 1 Public Agenda Item**

1 Purpose of Report

- 1.1 To fulfil the local authority's statutory duty to produce an annual report on compliments and complaints received about its children's social care function throughout the year.
- 1.2 To provide statistical and performance information about compliments and complaints received from April 2016 to March 2017 at all three stages of the statutory process.

2 Recommendation

- 2.1 That the Department's performance during 2016/2017 be noted.

3 Summary

- We received 20 compliments in 2016/17 a reduction from the 65 received in 2015/16.
- Statutory complaints at Stage 1 have increased by 4 (4.7%) to a total of 89 in 2016/17.
- 37% of Stage 1 complaints were responded to within 10 working days, the 2015/16 rate was 51%
- 18% of stage 1 complaints were responded to in a period between 10 and 20 working days.
- 55% of stage 1 complaints were responded to within 20 working days compared to 87% in 2015/16.
- 45% of stage 1 complaints were responded to in over 20 working days compared to 13% in 2016/17

- 5 complaints escalated to stage 2 in 2016/17, a decrease of 1 from 6 2015/16. Of these 5, 3 then escalated to stage 3.
- 3 complainants approached the Local Government Ombudsman in 2016/17. It was 7 in 2015/16.

4 Background

4.1 The statutory process for complaints regarding children’s services has three stages. Stage 1 affords an opportunity to try to find a local resolution usually at team manager level. If the complainant is not satisfied with the stage 1 process or the outcome, they may request to proceed to stage 2. At stage 2, the Department appoints an Investigating Officer, and an Independent Person to investigate the complaint. The Investigating Officer is a senior social worker who has not been associated with the case, and the Independent Person is someone who is not employed by the council, but has experience of children’s issues, social care or investigations. The stage 2 response is reviewed and approved by the Head of Service. If the complainant is still not satisfied, they may proceed to stage 3. At this stage, the complaint is referred to an Independent Review Panel of three independent panel members with one member acting as Chair. They will review the stage 2 investigation and outcome, and will make recommendations. These recommendations are reviewed by the Corporate Director, who formally responds to the complainant. The process is based on the premise that at each stage, a more senior officer responds on behalf of the Department.

If complainants remain dissatisfied at the end of the three stages, they may refer their complaint to the Local Government Ombudsman.

Some complainants welcome an independent investigation of their concerns; for others, the process can seem unwieldy. The regulations encourage consideration of alternative dispute resolutions where appropriate and with the Complainant’s agreement. The Complaints team encourages and supports Team Managers to resolve complaints at the earliest stage, including before they become formal complaints.

5 Compliments received in 2015/2016

5.1 The Department recorded 20 compliments about Children’s Social Care in 2016/17 compared with 65 in 2015/16. We believe this is an issue of recording and communication within the department, rather than an actual decline in the quality of support provided. This is also supported by the fairly consistent number of complaints.

The table below shows the number of compliments received in 2015/16 in comparison with previous years.

Apr 11 – Mar 12	Apr 12 – Mar 13	Apr 13 – Mar-14	Apr 14 – Mar-15	Apr 15 – Mar 16	Apr 16 – Mar 17
25	41	44	60	65	20

6 Number of complaints received in 2015/2016

6.1 Stage 1

- 6.1.1 The Department received 89 statutory complaints directly at stage 1 in 2016/17 compared with 85 in 2015/16. This represents an increase of 4.7%. Complaints are always welcomed and viewed as a way to improve practice and Managers are informed of any emerging trends in complaints.
- 6.1.2 94% of complaints were resolved at Stage 1 which is consistent with the figure from the previous year which was 93%.
- 6.1.3 The table below shows the number of Stage 1 complaints received in 2016/17 in comparison with previous years.

Apr 11 – Mar 12	Apr 12 – Mar 13	Apr 13 – Mar-14	Apr 14 – Mar-15	Apr 15 – Mar 16	Apr 16 – Mar 17
58	60	38	61	85	89

Since 20011/12 statutory complaints have increased by 31 or 65%.

6.2 Stage 2

- 6.2.1 A total of 5 statutory complaints were not resolved at Stage 1 and progressed to Stage 2 of the complaints process during 2016/17, a decrease of 1 from 2015/16. 2 of these were resolved at stage 2, with 3 going to stage 3.

6.3 Stage 3

- 6.3.1 3 complaints went to stage 3, the same number as in 2015/16.

7 Complaints by category

- 7.1 Complaints were categorised by the main issues raised. The table below shows the percentage of complaints in each category in 2016/17.

Category of complaint	2016/17 Total	% of Total
Children's Social care	2	2.2%
Communication	12	13.5%
Council decision making	14	15.7%
Data Protection Breach	1	1.1%
Policy or procedure	3	3.4%
Providing a service	5	5.6%
quality of service	3	3.4%
Staff conduct / Employee Behaviour	49	55.1%
	89	100.0%

The selection of categories is fairly subjective and many of the complaints could comfortably fit a number of the complaint descriptions, which makes a year on year comparison less useful

The 3 categories with the highest percentage of complaints were:

- Staff conduct / Employee Behaviour 55.1%
- Council decision making 15.7%
- Communication 13.5%

These 3 categories represent over 84% of all complaints received.

- 7.2 Social workers have been reminded of their responsibilities about returning calls, responding to correspondence promptly and that regular communication is key to positive working relationships with service users.

It is apparent that many Complainants still believe that it is the Social Worker alone who makes decisions regarding child protection procedures and agreed actions. Work needs to continue to ensure that Service Users and their families understand the role of the Social Worker. There is a need for Social Workers to be more conscious of ensuring that explanations about difficult decisions are given in the context of wider policies when discussing and meeting with Service Users.

- 7.3 After investigation of each complaint at stage 1, 66 or 74% of complaints were not upheld. This is a slight increase from 2015/16 when 69% were not upheld.

8 Response times and the Department's performance

8.1 Stage 1

- 8.1.1 In statutory Stage 1 complaints the timescale for responses is 10 working days, with a further 10 days for more complex complaints or additional time if an advocate is required. However, in these cases it is important that the complainant is kept informed about any progress or delays in dealing with the complaint.

- 8.1.2 The percentage of stage 1 complaints responded to within the statutory timescale of 0–20 working days in 2016/17 was 55% compared with 88% in 2015/16.

- 8.1.4 The table below shows response times for all the stage 1 complaints received in 2016/17 compared with the previous 2 years.

Response Performance	2014-15 % of total	2015-16 % of total	2016-17 % of total
Within 10 working days	73.7	51	37
10 – 20 days	19.7	37	18
Over 20 days	6.6	12	45

8.2 Stage 2

8.2.1 Stage 2 statutory response times:

A stage 2 complaint should be investigated and responded to within 25 working days, with a maximum extension to 65 working days.

The Stage 2 process starts as soon as a complainant decides to pursue their complaint to stage 2.

Stage 2 complaints are likely to involve an investigating officer, an independent person and an advocate if the complainant wishes. The Investigating Officers are SBC staff who has not been involved with the case previously. In the process at stage 2, complaints are subject to independent investigations involving interviews with the complainant and relevant members of staff, and the submission of a report to be responded to by the Head of Service. Delivering this is often a challenge within 65 days.

5 complaints were pursued to Stage 2 in 2016/17.

This year one of the Stage 2 investigations was completed within 65 working days. Previously this has proved a challenge and we have completed none within the timescale. However, regular contact has been maintained in each case, between the complainant and the Investigating Officer.

8.3 Stage 3

8.3.1 Stage 3 statutory response times:

The recommendations from a Stage 3 Review Panel should be responded to within 15 working days of the date of the meeting.

8.3.2 **3 complaints were escalated to stage 3 during 2016/17, there was 1 in 2015/16.**

8.3.3 Two Stage 3 complaints were responded to within the timescale of 15 working days, the third is review panel is due to sit in early October 2017.

9 Outcome status of complaints

9.1 Stage 1

Whatever the outcome of these complaints, we can classify them as either upheld or not upheld. In 2016/17, of the 89 complaints received, 66 (74%) were not upheld, and 23 (26%) were upheld.

Stage 2 & 3

There are often several points in a complaint at Stage 2 & 3 and these are addressed separately in a single response. The complaint may be upheld; not upheld; partially upheld, or inconclusive/no finding.

Stage 2 – Of the 89 complaints received, 5 escalated to Stage 2. From these 5 complaints, there were 26 separate issues. 4 of the stage 2 complaints have

been resolved, and the 5th is due to be completed soon. The 4 completed complaints had 21 issues to be considered. The following table shows the outcomes from the 4 completed complaints of these issues;

Upheld	Partially Upheld	Not Upheld	No Finding
4	4	13	0

Stage 3 – Of the 5 complainants at stage 2, 3 requested that their complaint be escalated to Stage 3. 2 of the stage 3 complaints have been concluded, and they had 13 issues to be considered. The following table shows the outcomes from the 2 completed complaints of these issues;

Upheld	Partially Upheld	Not Upheld	No Finding
4	0	7	2

10 Local Government Ombudsman

10.1 Of the complaints arising in 2016/17, 5 complainants approached the Local Government Ombudsman. 3 of these had been through the 3 stages of the process, while the other 2 approached the LGO directly earlier in the process.

11 Developments in the complaints process

11.1 Senior Managers receive regular reports from the Complaints Manager which serve to highlight trends and performance.

11.2 The Complaints Manager offers ongoing support and advice to Team Managers on how to appropriately respond to complaints.

12 Areas for improvement / Learning from Complaints

12.1 Service Managers and social workers are being asked to ensure that families are aware of changes in their children's social worker.

12.2 Team Managers have been reminded that when concerns are raised it essential that every effort is made to contact **both** parents to inform them of the concerns and offer an opportunity for them to be involved in the resolution of the concern.

12.3 Complaints about Communication issues continue to be an issue. All staff have been reminded that if a call cannot be answered by a member of staff, the call should be passed to the duty team, who will deal with the issue or will pass a message on to the appropriate social worker.

13 Corporate Implications

13.1 Contribution to Council's Vision & Corporate Priorities.
Complaints management is relevant to the Council's corporate priority of continuing to improve the outcomes for vulnerable children.

13.2 Financial Implications

The commissioning of independent people to investigate Stage 2 complaints incurs additional cost. The Department seeks to provide efficient resolution to complaints at the earliest stage possible, as well as securing value for money from Investigating Officers. Costs are met from the existing base budget.

13.3 Legal Implications –

The complaints process complies with statutory requirements.

13.4 People Implications

None.

13.5 Property Implications

None.

13.6 Consultation

The Advocacy Services and Representations procedure (Children) (Amendment) Regulations 2004 confer a duty on local authorities to provide information about advocacy services and offer help to obtain an advocate to a child or young person wishing to make a complaint. The Authority has a contract with the National Youth Advocacy Service.

In 2016/17 3 complaints (3.5%) were made by children/young people. This is the same number as in 2015/16. All children and young people wishing to make a complaint in were offered the services of an advocate.

13.7 Equalities and Diversity Implications

All those involved in dealing with complaints are mindful of ensuring a consistent approach with all complainants in line with Equalities principles.

13.8 Value for Money

Since the joining of the Adult and children's complaints teams, the complaint process is implemented by 2fte posts with support from the Customer Service Manager, when needed.

We now use SBC Managers to undertake the role of Investigating Officers, which has reduced the use of external Investigating Officers for Stage 2 complaints.

13.9 Community Safety Implications

None

13.10 Environmental Impact

None

14. Background papers

None

Appendix C

Corporate Comments, Complaints and Compliments Report

Southend-on-Sea Borough Council

Agenda
Item No.

Report of the Chief Executive

to
Cabinet
on

7 November 2017

Report prepared by: Val Smith, Knowledge and Information
Advisor and John Williams, Monitoring Officer

Corporate Comments, Complaints and Compliments and Local Government and Social Care Ombudsman Annual Report - 2016-17

All Scrutiny Committee – Executive Councillor: Councillor Lamb

A Part 1 Public Agenda Item

1. Purpose of Report

- 1.1 To report on the performance relating to the Corporate Comments, Complaints and Compliments procedure and to provide comparisons with previously reported results.

(Certain complaints and compliments in respect of adult and children's social care functions are subject to their own statutory processes and are not monitored by the Corporate procedure. Their results are reported separately.)

- 1.2 To fulfil the Monitoring Officer's duty under section 5(2) of the Local Government and Housing Act 1989 and the Local Government Act 1974 to report to Members a summary of the findings of all complaints relating to the Council where in 2016/17 the Local Government and Social Care Ombudsman (LGO) has conducted an investigation and upheld the complaint.

2. Recommendations

- 2.1 **To note the performance relating to the Corporate Comments, Complaints and Compliments process between 1st April 2016 and 31st March 2017.**
- 2.2 **To note the summary of LGO findings.**

3. Background

3.1 The Council's Corporate Comments, Complaints and Compliments procedure deals with all general feedback about the Council. It has been in place since 2009 and is well established throughout the organisation. Along with the children and adult social care statutory complaints there are certain other functions which are outside of the Corporate procedure and which have their own processes. Examples include appeals against parking tickets and concerns about schools.

3.2 The benefits in operating a feedback process include:

- To learn lessons from the types of feedback made
- To help improve service delivery
- To improve the consistency and timeliness of responses
- To reflect sector wide and LGO best practice.

3.3 This report provides:

- an update on how the process is working
- an analysis of customer feedback data
- A particular focus on the Council's performance in connection with complaints under the 3 Stage process outlined in [Appendix 1](#)
- A summary of LGO findings
- details of minor changes to the process

4. PERFORMANCE TO DATE

4.1 Performance in respect of complaints

Detailed performance data for 2016/17 is set out in [Appendices 2 to 5](#).

545 Stage 1 complaints were received during 2016/17, reflecting an increase of 35.6% compared to the 402 complaints reported for 2015-2016 and 425 complaints in 2014-15.

The increase in volume of Stage 1 complaints can be attributed to the challenges of changing waste collection days with the introduction of the Veolia contract. The Department for Place received 48% of their annual complaints in the three months following the change (235 complaints).

The monitoring system that is in place highlights trends and issues that are subject to complaints. Areas that have been of note, at all stages, for 2016/17 include:

- Providing a service – 28.4%
- Quality of service – 22.3%
- Staff conduct/employee behaviour – 12.7%

4.2 Complaints by Department with Response Times

Department	Stage 1 & 2 Total Complaints Apr 2014-Mar 2015	Responded to in 10 working days	Stage 1 & 2 Total Complaints Apr 2015-Mar 2016	Responded to in 10 working days	Stage 1 & 2 Total Complaints Apr 2016-Mar 2017	Responded to in 10 working days
Dept. of the Chief Executive	38	92%	62	81%	52	94%
Department for People	44	80%	41	68%	41	49%
Department for Place	379	92%	344	83%	479	85%
Public Health			1	100%		
Grand Total	461	87%	448	80%	572	84%

4.3 Stage 3 Complaints

There were 15 complaints received at Stage 3 of the complaints procedure, the same number as in 2015/16. Two further complaints were raised at Stage 3 but then not pursued by the complainant.

Complaints that escalate to Stage 3 are by their nature more complex and sometimes involve situations where it is not possible for the Council to meet complainants' wishes.

In 2016/17 over 50% of the Stage 3 complaints for the year were received in June and July. This peak of work resulted in multiple complaints having to be processed simultaneously and had a negative impact on response times for the remainder of the year.

From June 2017 a new structure has been introduced within Policy, Engagement and Communication (where Stage 3 complaints are investigated) combining a variety of Knowledge and Information functions over several posts. This approach allows more flexibility in investigative resources and improves resilience by being less susceptible to peaks of work. Now that historic complaints are completed, there will be an improvement in the timely resolution at Stage 3 of the process.

4.4 Nature of Complaints

[Appendix 2](#) sets out the nature of all complaints under the following headings:

- Communication
- Decision making
- Discrimination
- Policy or procedure
- Providing a service
- Service not provided by council
- Staff conduct/staff behaviour
- Quality of service

The main areas of concern for 2016-17 were: providing a service (167); quality of service (131); staff conduct/behaviour (75) and communication (55).

4.5 How the Complaints Were Received

The four year trend chart in [Appendix 3](#) shows that 93% of complainants contacted the Council by e-mail or through the website, an increase from 65% for 2015/16 (and 62% in 2013/14). This reflects the work undertaken to encourage customers to use electronic means as their channel of choice. It may however not be a complete picture if customer service officers have completed an on-line form on behalf of a telephone caller.

Complaints submitted by letter, phone and face to face are consequently on a downward trend. The Council remains committed to keeping all complaint channels available in order to meet its equalities obligations and to comply with LGO best practice. A formal complaint may be received over social media but would be moved to more conventional channels for resolution.

4.6 Progression of complaints and satisfaction

- 93% of Stage 1 complainants were satisfied with their response and did not take their complaint further through the process. This is an increase when compared with the 2015/16 reported figure of 89%.
- Of the 44 complaints that were addressed at Stage 2 (there were 45 in 2015/16) 11 related to the providing of a service and a further 11 to decision making.
- Of the 44 Stage 2 complaints, 17 went on to Stage 3 (although 2 were not pursued).
- In 2016/17, six complaints that had completed the full Corporate process were investigated by the LGO. In four cases the LGO found no fault with the Council. In two cases they agreed with the fault that had already been identified by the Council and found that it had been appropriately remedied at Stage 3 and needed no further remedy from the LGO.

4.7 Complaint Resolution

The emphasis on learning from customer feedback continues. This is evidenced by how complaints have been resolved:-

- Specific action has been taken in 81.8% of cases - by doing something that had not been done, carrying out work or putting something right.
- 7.0% of customers that complained received an apology when the Council had not got things right and no further action was needed, other than to apologise, or explain why the Council had taken a particular course of action.
- 8.3% of complaints required no action. This was where our actions were reviewed but deemed to be correct and no apology was required.
- No cases required a process review.

The chart in [Appendix 4](#) reflects the breakdown of complaints by resolution.

4.8 Learning Points

Feedback through the complaints procedure from customers is continuously reviewed to establish where improvements to services are required.

In particular, Stage 3 of the process includes an organisation-wide view of the complaint to identify lessons learned and to inform broader service reviews where appropriate. In this way an individual complaint can have an impact on organisational change.

Examples of service improvements as a result of complaints and customer feedback include:

- Individual complaint findings being fed directly into the review of anti-social behaviour service provision (currently underway)
- Website content being commissioned to provide a pathway to advice for those with suicidal thoughts or those who might be concerned about someone with suicidal thoughts
- Training being commissioned for staff who may interact with customers with suicidal thoughts
- Nominated points of contact being put into place for customers experiencing difficulty in their interactions with the Council or with whom officers are experiencing difficulty
- The introduction of an independent formal Subject Access Request review process for customers who feel they have not been supplied with all relevant information
- Guidance for Housing staff regarding bedroom need allocation for housing applicants with overnight care
- Guidance for Housing staff regarding applicants for housing who have a previously un-discharged main homelessness duty

4.9 Comments and Compliments

GovMetric, the customer satisfaction measurement tool used by the Council, specifically captures the provision of face to face and telephone service by the Customer Service Centre and over the Council's primary website. These figures are reflected in the Department of the Chief Executive analysis. Compliments are most frequently received in relation to face to face or telephone contact, with the helpful or pleasant nature of the member of staff often being cited as the reason for the compliment.

It is anticipated that as we move more towards increased use of on-line channels with less personal interaction between the Council and its customers, so the opportunities to receive compliments will decrease.

Of the 1,301 comments and compliments recorded by the Department of the Chief Executive, 487 were categorised as compliments, which compares to 814 recorded last year.

When comments are received they are responded to by the service concerned and the person making the comment is acknowledged and where appropriate advised if their suggestion is to be taken up. Compliments are acknowledged and shared with the appropriate line management to inform the service or member of staff. This may then inform the staff member's performance review discussion.

The table below shows a 3 year comparison of the total number of comments and compliments received by each Department.

Department	Total 2014/2015	Total 2015/2016	Total 2016/2017
Department of the Chief Executive	1326	1673	1301
Department for People (excluding statutory complaints)	7	2	19
Department for Place	222	337	838
Public Health			21
Grand Total	2022	2426	2462

4.10 Minor Revisions to the Procedure

The Corporate Comments, Complaints and Compliments procedure is having minor revision to reflect the revised senior management structures; a requirement that the Deputy Leader acts in the absence of the Leader and that LGO best practice is incorporated. The revised procedure for customers is attached at [Appendix 1](#).

5. Local Government and Social Care Ombudsman (LGO)

The Local Government and Social Care Ombudsman (LGO) has provided an annual summary of statistics for the year ended 31 March 2017. This relates to cases upon which they have made a decision in that year.

The LGO's annual review letter, including the breakdown of the results is attached at [Appendix 5](#).

58 decisions relating to the Council were made by the Ombudsman. This compared to 56 for 2015/16.

24 cases were referred back for local resolution, 9 directly to the Council. This is most commonly because the complainant has approached the LGO without first going through the Council's complaints procedure.

14 cases were closed after the LGO had made initial enquiries, 13 of these involved SBC providing supporting information.

2 cases were incomplete or invalid, and for 3 more, advice to the complainant from the LGO was considered sufficient action.

In 15 cases the LGO decided to conduct a detailed investigation. In 8 of these the LGO upheld the complaint, in 7 cases they did not, an uphold rate for detailed investigations of 53% (the average LGO uphold rate being 54% in a range of 64% to 44%).

Of the 8 detailed investigations where the complaint was upheld, 5 were in relation to Adult Care Services, 1 was in relation to Housing and 2 to Education and Children's services.

A breakdown of approaches to the LGO is attached at [Appendix 6](#) and a summary of findings for those cases where the LGO found fault is included at [Appendix 7](#).

Alongside statistical information, the LGO also publishes a yearly report on local government complaint handling. The report includes a summary of complaint statistics for every local authority in England which provides an opportunity for the Council to compare its performance against other Councils. The table below shows comparisons with a small number of similar authorities.

Local authority	Complaints/ enquiries made 15/16	Complaints upheld 14/15	Complaints/ enquiries made 16/17	Complaints investigated & upheld 16/17	Uphold rate
Southend on Sea	54	7	54	8	53%
Blackpool	47	7	45	8	53%
Medway	97	19	87	13	50%
Plymouth	102	19	98	15	56%
Thurrock	82	9	65	10	59%
Isle of Wight	60	14	43	13	68%
Central Bedfordshire	65	10	54	8	53%

6 MONITORING AND REPORTING

Regular reporting continues within Departmental Management Teams to coincide with their monthly report on performance.

7 CONCLUSIONS

The process continues to deliver a professional response to individual complaints, a robust system of complaint monitoring and real service improvements. Minor updating of the procedure is underway as outlined in 4.10 above.

8 Corporate Implications

8.1 Contribution to Council's Vision & Corporate Priorities

Customer feedback and complaints management is directly relevant to the Council's Corporate priorities.

8.2 Financial Implications

Service improvements continue to result in meaningful outcomes for customers. A robust complaint process with thorough investigation and a positive approach reduces the likelihood of financial penalties from the LGO.

8.3 Legal Implications

This process is overseen by the Local Government and Social Care Ombudsman

8.4 People Implications

Effective complaint handling is resource intensive but benefits the organisation by identifying service improvements and managing the process for customers who are dissatisfied.

8.5 Property Implications

None

8.6 Consultation

None

8.7 Equalities and Diversity Implications

The complaints process is open to all and has multiple methods of access for customers. Equality and diversity implications are a routine part of the process in recording customer details and are considered as part of any response.

Although most commonly the process is accessed through e-mail and on-line forms, traditional methods such as post are available and where necessary a complaint can be transcribed over the telephone or be made in person.

This supports persons who might otherwise be inhibited from using the process, perhaps through vulnerability.

8.8 Risk Assessment

Personal data regarding complaints are recorded in an approved centralised system which can only be accessed by nominated officers.

8.9 Value for Money

Resolving a complaint as early as possible in the process reduces officer time spent dealing with concerns as well as providing the opportunity to improve service delivery.

8.10 Community Safety Implications - None

8.11 Environmental Impact - None

9 Background Papers – None

10 Appendices

- Appendix 1 Summary of the Council's Comments, Complaints and Compliments Procedure
- Appendix 2 Nature of Complaints
- Appendix 3 How Stage 1 Complaints Were Received
- Appendix 4 Complaint Resolution
- Appendix 5 Local Government Ombudsman Annual Review Letter 2017
- Appendix 6 Breakdown of approaches to the LGO by Service
- Appendix 7 Summary of complaints upheld by the LGO

Appendix 1 – Complaints Leaflet

www.southend.gov.uk/complaints



Safe • Clean • Healthy • Prosperous • Excellent

Comments, Complaints and Compliments Procedure

'Creating a better Southend'

- | | |
|---|---|
|  Braille |  Audio |
|  Large print |  EasyRead |
|  Disk or email |  BSL & subtitles |



B20 Comment Complaint or Compliment – October 2017

A summary of this booklet can be provided in alternative formats such as Braille, audio-tape or in large print. Translations of this document in alternative languages are also available

Albanian: Nëse dëshironi një kopje të kësaj fletushke në gjuhën tuaj amtare, ose nëse doni të në kontaktoni, ju lutemi telefononi në numrin e poshtë-shënuar. Ne do të përdorim një përkthyes për mes telefonit të ndihmojmë me kërkesën tuaj.

Czech: Zkrácená verze této publikace je k dostání i v alternativních formátech, konkrétně v Braillu, na audiokazetě a tištěná ve kláms typem písma, které je snadno čitelné. Tento dokument byl přeložen i do dalších jazyků a tyto překlady jsou vám také k dispozici.

Ndebele: Lolugwalo luyatholakala njalo lunciphisiwe ngalezi indlela; ngombhalo weziphofu (Braille), kasethi (audio tape), loba lulotshwe ngamabala amakhulu. Luyatholakala njalo lolugwalo lulotshwe ngezihlobo ezitshiyeneyo.

Polish: Streszczenie tej publikacji jest dostępne w innych formach, takich jak pismo Braille'a, taśmy audio lub w dużym druku. Dostępne są także przekłady tego dokumentu na inne języki.

Portuguese: Um resumo desta publicação pode ser fornecida em formatos alternativos tais como Braille, cassette áudio ou em impressão de letras grandes. Também temos disponíveis traduções deste documento em outros idiomas.

Punjabi

ਦਿਸ ਪੁਸਤਕ ਦਾ ਸਾਰ ਸ਼੍ਰੇਣੀ, ਆਡੀਓ-ਟੇਪ ਵਰਗੇ ਬਦਲਵੇਂ ਰੂਪਾਂ ਜਾਂ ਵੱਡੇ ਫਿੰਟ ਵਿੱਚ ਉਪਲਬਧ ਕਰਵਾਇਆ ਜਾ ਸਕਦਾ ਹੈ। ਇਸ ਦਸਤਾਵੇਜ਼ ਦਾ ਬਦਲਵੀਆਂ ਭਾਸ਼ਾਵਾਂ ਵਿੱਚ ਅਨੁਵਾਦ ਵੀ ਉਪਲਬਧ ਹੈ।

Pfupikiso yegwaro iri inowanika zvakare seBraille (bhuku rinoverengwa nemapofu), tepi yekuteerera nezvakanyorwa nerunyororunoneka. Gwaro iri rakaturikirwa mune imwe mitauro zvakare, uye magwaro acho aripo

Chinese

如欲索取本雜誌的其他語文或格式版本、或希望訂閱更多份雜誌，請致電下列號碼

Urdu

اس رسالے کی کاپی کسی بھی دیگر زبان یا شکل میں حاصل کرنے یا اس کی مزید کاپیاں آرڈر کرنے کے لیے برائے مہربانی درج ذیل نمبر ڈائل کریں۔

Bengali

অন্য কোন ভাষা, আকারে এই ম্যাগাজিনের কপির জন্যে, অথবা অতিরিক্ত কপি অর্ডার করার জন্যে অনুগ্রহ করে যে নম্বরে ফোন করবেন সে নম্বর নিচে উল্লেখ করা হলো

1. OUR COMMITMENT TO YOU

Every day we make thousands of decisions and try hard to give the best possible service. If you are unhappy about the standard of service you receive, our actions or lack of action, please tell us. Your comments – good or bad – help us plan for the future.

- We aim to provide a full and clear response to your comment or complaint within 10 working days.
- We will look into your comment or complaint fully and fairly. If your comment is not to be progressed we will explain why.
- We will be honest and polite.
- We will preserve the confidentiality of information supplied as far as possible.
- We will apologise if we have made a mistake.
- We will tell you what we are doing to put things right.
- We are totally opposed to all forms of unfair discrimination. We are committed to conducting Council business in a way that is fair and appropriate to all sections of the community.
- We recognise the need to deliver services in ways that are appropriate to everyone and whenever possible removing barriers that will limit access.
- We will tell staff when a compliment is received about them.

2. MAKING COMMENTS AND COMPLIMENTS

If you have made a comment on how to improve our services we will respond to you within 10 working days.

To make a comment or compliment you can complete our online form at www.southend.gov.uk/complaints or alternatively you can [download a form to complete](#). Details on how to contact us are published on page 9. If you make a comment that is not to be progressed then we will explain why.

3. COMPLAINTS

3.1 What is a complaint?

We want our services to be excellent but we know things can go wrong. A complaint is:

“an expression of dissatisfaction about a Council service (whether that service is provided directly by the Council or by a contractor or partner) that requires a response.”

A complaint can highlight any of following:

- A failure to provide a Council service at an appropriate level or standard.
- A slow response in dealing with a matter raised with us, such as a query or request for a service.
- Unsatisfactory behaviour by a member of staff, for example rudeness, unfair discrimination, malice or bias.

- Failure to follow agreed policies or procedures, or to take relevant factors into account.
- Failure to inform you of your rights, relative to a matter raised with the Council.

3.2 Are there matters outside this Complaints Procedure?

This Complaints Procedure can be used for most complaints. However, there are some exceptions, there are certain complaints which have their own special procedures which are listed in section 4, which also deals with:

- Anonymous complaints
- Unreasonably persistent complainants
- Unreasonable behaviour

3.3 How to make a complaint

1 Stage

You can contact us by:

- By email council@southend.gov.uk
- Via our website www.southend.gov.uk/complaints
- Phone 01702 215 000
- In person Customer Services in the reception area at the Civic Centre, Victoria Avenue, Southend-on-Sea, Essex, SS2 6ER
- By filling a form. You can [download a form](#) from our website.
- In writing Southend-on-Sea Borough Council Customer Services, PO Box 6, Civic Centre, Victoria Avenue, Southend -on-Sea, Essex, SS2 6ER

A response will be sent to you within 10 working days. In the event that this is not possible an interim response will be provided with confirmation of when the final response can be expected.

You can also ask your local Councillor to take up your complaint on your behalf.

2 Stage

We hope that we can resolve your complaint at Stage 1. However if you are not satisfied with our response, please contact us (see section 6), and the Group

Manager or Director of the service you are complaining about will investigate the matter.

Our aim is for you to receive a written response within 10 working days. In the event that this is not possible, we will advise you when a final response can be expected.

Stage **3**

If you are still dissatisfied, you have the right to have your complaint reviewed by one of the Council's most senior managers, the Chief Executive or Deputy Chief Executive, and the Leader of the Council by writing to us at the address shown in section 6 of this booklet.


They will consider your request and will let you know their decision in writing within 35 working days of your request. In the event that this is not possible, we will advise you when a final response can be expected.

Still Unhappy

Local Government Ombudsman and the Council's External Auditors



If you feel that we have not given you a satisfactory explanation you can contact the Local Government and Social Care Ombudsman. The Ombudsman will investigate complaints about how the Council has done something or failed to do something, providing a poor service or failure to provide a service, or administrative failure. You can contact the Local Government Ombudsman at:


 www.lgo.org.uk
 0300 061 0614

 Please telephone the LGO for details

The Ombudsman has adopted a "Council First" procedure and would usually expect you to go through the Council's Complaints Procedure first before contacting the Ombudsman. More details can be found on the Ombudsman's website.



If your complaint is in respect of financial matters you can complain to the Council's external auditors, BDO at:


 www.bdo.co.uk/
 01473 320700

 16 The Havens
Ransomes Europark
Ipswich
Suffolk IP3 9SJ

Data Protection Act & Freedom of Information Act issues

If a complaint relating to either of these matters cannot be resolved by the Council, then you can complain to the Information Commissioner's Office at:

 www.ico.org.uk
 0303 123 113 or 01625 545745 or fax: 01625 524510

 Information Commissioner's Office
Wycliffe House, Water Lane
Wilmslow
Cheshire SK9 5AF

4. MATTERS OUTSIDE THIS COMPLAINTS PROCEDURE


4.1 There are certain matters for which you cannot use this Complaints Procedure. These are:

- The merits of a national policy, local policy or a formal decision taken by Councillors at Cabinet, Committee or by the Full Council.
- A decision taken by the Council or Council officers, where a formal appeal procedure exists, e.g. refusal of a housing benefit application.
- An objection to a planning application that has not yet been determined or a comment in response to a consultation exercise.
- A matter where legal action is in progress and/or there is a potential insurance claim. In such circumstances it will be passed to the Council's insurers to deal with. After insurance issues are resolved, the matter may then be dealt with under this procedure.
- A personnel issue, if you are a member of staff or ex-member of staff.
- Initial submission of a service request e.g. reporting a faulty street light. If such a service request is not dealt within the prescribed service standard then a complaint can be made under this Complaints Procedure.
- The following special types of complaint which have their own individual complaints procedure:

a) Complaints about Councillors

Councillors are subject to a Code of Conduct. A complaint that a Councillor has breached this Code will be dealt with by the Council's Standards Committee. You can make your complaint at:


 www.southend.gov.uk/complaints

 The Monitoring Officer
Southend-on-Sea Borough Council
PO Box 6, Civic Centre, Victoria Avenue
Southend-on-Sea, Essex SS2 6ER

b) Complaints about the Council's Social Care provided to Adults

These complaints are dealt with under a statutory complaints procedure. The system is administered by the Customer Services Manager in Adult & Community Services at:


 www.southend.gov.uk/complaints

 Customer Service & Complaints Manager
Department for People
Southend-on-Sea Borough Council
PO Box 6, Civic Centre, Victoria Avenue Southend-on-Sea, Essex SS2 6ER

c) Complaints about the Council's Social Care provided to Children

Such complaints are dealt with under a statutory complaints procedure. The system is administered by the Childrens Services Complaints Manager in Department for People at:

 www.southend.gov.uk/complaints

 Childrens Services Complaints Manager
Department for People
Southend-on-Sea Borough Council
PO Box 6, Civic Centre, Victoria Avenue
Southend-on-Sea, Essex SS2 6ER


d) Complaints against Schools

There is a separate procedure for handling complaints against schools. The process is administered by the school. In the first instance a complaint should be directed to the Head Teacher and if this does not resolve the matter, then to the School's Governing Body.

e) Complaints against the issuing of Parking (Penalty Charges) Notices

If you wish to challenge a Penalty Charge Notice (PCN) you should submit your appeal in one of the following ways:


 www.southend.gov.uk/pcn

 The Parking Management Team
Southend-on-Sea Borough Council
PO Box 6, Civic Centre, Victoria Avenue
Southend-on-Sea, Essex SS2 6ER

If you are not happy with the response from the Parking Management Team you can refer an appeal to the National Parking Adjudication Service at:

 www.trafficpenaltytribunal.gov.uk




 info@trafficpenaltytribunal.gov.uk

 01625 44 55 55 Fax: 01625 44 55 60

✉ Traffic Penalty Tribunal,
Springfield House,
Water Lane,
Wilmslow,
Cheshire SK9 5BG

f) Complaints about the management, maintenance and administration of Council houses and flats

These complaints are dealt with by South Essex Homes (the Council's Arms Length Management Organisation). For further information please contact:

 www.southessexhomes.co.uk/
 complaints@seh.southend.gov.uk
 0800 833160 or 0800 833161

✉ The Service Improvement Team
South Essex Homes Ltd,
Civic Centre, Victoria Avenue,
Southend-on-Sea, Essex SS2 6FY

4.2 Anonymous Complaints

Anonymous complaints will be investigated where they raise serious concerns and it is possible to do so. But it would help us if you were able to supply us with your contact details in case we need to ask additional questions.

4.3 Unreasonably Persistent Complainants

There are a small number of complainants who, because of the frequency of their contact with the Council, hinder consideration of their, or other people's complaints. In exceptional circumstances, action will be taken to limit the contact of such unreasonably persistent complainants with the Council. The decision to do so and the form of such limitations will be taken by the Council's Chief Executive & Town Clerk or a Deputy Chief Executive.

4.4 Unreasonable Behaviour


The Council does not expect its staff to tolerate behaviour by complainants which is unreasonable, for example, which is abusive, offensive or threatening. The Council will take action to protect staff from such behaviour. In appropriate circumstances action will be taken to limit the contact of such complainants with the Council. The decision to do so and the form of such limitations will be taken by the Council's Chief Executive & Town Clerk or a Deputy Chief Executive.


5. MONITORING OUR PERFORMANCE

We are keen to improve not only our services but also the way we deal with your complaints and feedback. We will carry out satisfaction surveys to assess whether you were satisfied with this feedback process. If you are asked to participate we hope that you will respond.

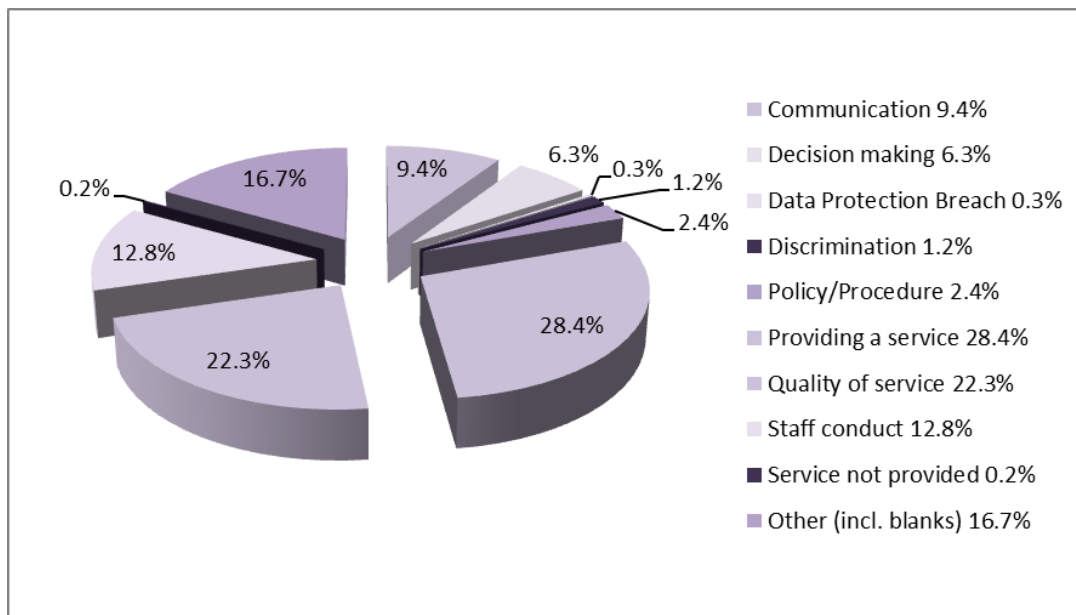
6. HOW TO CONTACT US

 www.southend.gov.uk/complaints

 01702 215000

 Performance Adviser, Compliments & Complaints
Policy, Engagement and Communication
Department of the Chief Executive
Southend-on-Sea Borough Council
PO Box 6, Civic Centre, Victoria Avenue
Southend-on-Sea, Essex SS2 6ER

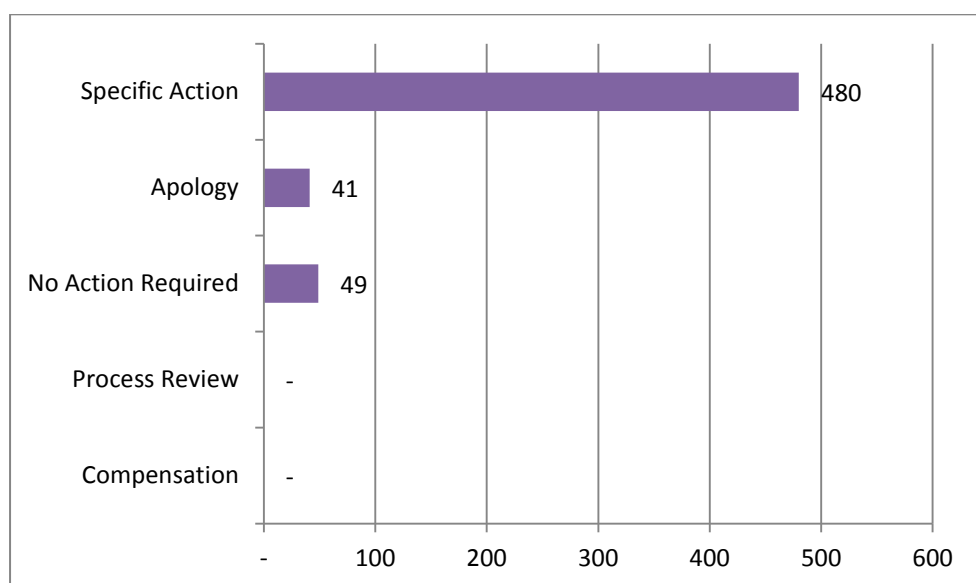
Appendix 2 – Nature of Complaints – April 2016 to 2017



Appendix 3 – 3 Year Comparison of How Stage 1 Complaints Were Received

	2013/2014	2014/2015	2015/2016	2016/2017
Email/Internet	47%	62%	65%	93%
Telephone	37%	31%	25.0%	2%
Other	1%	1%	0.5%	0.4%
Letter / post	10%	6%	9%	4%
In person	5%	1%	1%	0%

Appendix 4 - Complaint Resolution April 2016 to 2017



Appendix 5 - Local Government Ombudsman Annual Review Letter 2017

Annual Review letter 2017

I write to you with our annual summary of statistics on the complaints made to the Local Government and Social Care Ombudsman (LGO) about your authority for the year ended 31 March 2017. The enclosed tables present the number of complaints and enquiries received about your authority and the decisions we made during the period. I hope this information will prove helpful in assessing your authority's performance in handling complaints.

The reporting year saw the retirement of Dr Jane Martin after completing her seven year tenure as Local Government Ombudsman. I was delighted to be appointed to the role of Ombudsman in January and look forward to working with you and colleagues across the local government sector in my new role.

You may notice the inclusion of the '*Social Care Ombudsman*' in our name and logo. You will be aware that since 2010 we have operated with jurisdiction over all registered adult social care providers, able to investigate complaints about care funded and arranged privately. The change is in response to frequent feedback from care providers who tell us that our current name is a real barrier to recognition within the social care sector. We hope this change will help to give this part of our jurisdiction the profile it deserves.

Complaint statistics

Last year, we provided for the first time statistics on how the complaints we upheld against your authority were remedied. This year's letter, again, includes a breakdown of upheld complaints to show how they were remedied. This includes the number of cases where our recommendations remedied the fault and the number of cases where we decided your authority had offered a satisfactory remedy during the local complaints process. In these latter cases we provide reassurance that your authority had satisfactorily attempted to resolve the complaint before the person came to us.

I would like to record that in one complaint about your Council concerning friends and family carers, the Council was very open to accepting the fault and the proposed remedy, despite the size of the payment. I commend your Council for its constructive approach in settling this complaint.

We have chosen not to include a 'compliance rate' this year; this indicated a council's compliance with our recommendations to remedy a fault. From April 2016, we established a new mechanism for ensuring the recommendations we make to councils are implemented, where they are agreed to. This has meant the recommendations we make are more specific, and will often include a time-frame for completion. We will then follow up with a council and seek evidence that recommendations have been implemented. As a result of this new process, we plan to report a more sophisticated suite of information about compliance and service improvement in the future.

This is likely to be just one of several changes we will make to our annual letters and the way we present our data to you in the future. We surveyed councils earlier in the year to find out, amongst other things, how they use the data in annual letters and what data is the most useful; thank you to those officers who responded. The feedback will inform new work to provide you, your officers and elected members, and members of the public, with more meaningful data that allows for more effective scrutiny and easier comparison with other councils. We will keep in touch with you as this work progresses.

I want to emphasise that the statistics in this letter comprise the data we hold, and may not necessarily align with the data your authority holds. For example, our numbers include enquiries from people we signpost back to the authority, but who may never contact you.

In line with usual practice, we are publishing our annual data for all authorities on our website. The aim of this is to be transparent and provide information that aids the scrutiny of local services.

The statutory duty to report Ombudsman findings and recommendations

As you will no doubt be aware, there is duty under section 5(2) of the Local Government and Housing Act 1989 for your Monitoring Officer to prepare a formal report to the council where it appears that the authority, or any part of it, has acted or is likely to act in such a manner as to constitute maladministration or service failure, and where the LGO has conducted an investigation in relation to the matter.

This requirement applies to all Ombudsman complaint decisions, not just those that result in a public report. It is therefore a significant statutory duty that is triggered in most authorities every year following findings of fault by my office. I have received several enquiries from authorities to ask how I expect this duty to be discharged. I thought it would therefore be useful for me to take this opportunity to comment on this responsibility.

I am conscious that authorities have adopted different approaches to respond proportionately to the issues raised in different Ombudsman investigations in a way that best reflects their own local circumstances. I am comfortable with, and supportive of, a flexible approach to how this duty is discharged. I do not seek to impose a proscriptive approach, as long as the Parliamentary intent is fulfilled in some meaningful way and the authority's performance in relation to Ombudsman investigations is properly communicated to elected members.

As a general guide I would suggest:

- Where my office has made findings of maladministration/fault in regard to routine mistakes and service failures, and the authority has agreed to remedy the complaint by implementing the recommendations made following an investigation, I feel that the duty is satisfactorily discharged if the Monitoring Officer makes a periodic report to the council summarising the findings on all upheld complaints over a specific period. In a small authority this may be adequately addressed through an annual report on complaints to members, for example.
- Where an investigation has wider implications for council policy or exposes a more significant finding of maladministration, perhaps because of the scale of the fault or injustice, or the number of people affected, I would expect the Monitoring Officer to consider whether the implications of that investigation should be individually reported to members.

- In the unlikely event that an authority is minded not to comply with my recommendations following a finding of maladministration, I would always expect the Monitoring Officer to report this to members under section five of the Act. This is an exceptional and unusual course of action for any authority to take and should be considered at the highest tier of the authority.

The duties set out above in relation to the Local Government and Housing Act 1989 are in addition to, not instead of, the pre-existing duties placed on all authorities in relation to Ombudsman reports under The Local Government Act 1974. Under those provisions, whenever my office issues a formal, public report to your authority you are obliged to lay that report before the council for consideration and respond within three months setting out the action that you have taken, or propose to take, in response to the report.

I know that most local authorities are familiar with these arrangements, but I happy to discuss this further with you or your Monitoring Officer if there is any doubt about how to discharge these duties in future.

Manual for Councils

We greatly value our relationships with council Complaints Officers, our single contact points at each authority. To support them in their roles, we have published a Manual for Councils, setting out in detail what we do and how we investigate the complaints we receive. When we surveyed Complaints Officers, we were pleased to hear that 73% reported they have found the manual useful.

The manual is a practical resource and reference point for all council staff, not just those working directly with us, and I encourage you to share it widely within your organisation. The manual can be found on our website www.lgo.org.uk/link-officers

Complaint handling training

Our training programme is one of the ways we use the outcomes of complaints to promote wider service improvements and learning. We delivered an ambitious programme of 75 courses during the year, training over 800 council staff and more 400 care provider staff. Post-course surveys showed a 92% increase in delegates' confidence in dealing with complaints. To find out more visit www.lgo.org.uk/training

Yours sincerely



Michael King
Local Government and Social Care Ombudsman for England
Chair, Commission for Local Administration in England

Local Authority Report: Southend-on-Sea Borough Council
 For the Period Ending: 31/03/2017

For further information on how to interpret our statistics, please visit our website:
<http://www.lgo.org.uk/information-centre/reports/annual-review-reports/interpreting-local-authority-statistics>

Complaints and enquiries received

Adult Care Services	Benefits and Tax	Corporate and Other Services	Education and Children's Services	Environment Services	Highways and Transport	Housing	Planning and Development	Other	Total
11	2	0	14	2	7	12	4	2	54

Decisions made

				Detailed Investigations			
Incomplete or Invalid	Advice Given	Referred back for Local Resolution	Closed After Initial Enquiries	Not Upheld	Upheld	Uphold Rate	Total
2	3	24	14	7	8	53%	58

Notes

Our uphold rate is calculated in relation to the total number of detailed investigations.
 The number of remedied complaints may not equal the number of upheld complaints. This is because, while we may uphold a complaint because we find fault, we may not always find grounds to say that fault caused injustice that ought to be remedied.

Complaints Remedied

by LGO	Satisfactorily by Authority before LGO Involvement
7	1

Appendix 6 Breakdown of approaches to the LGO by Service

Adult Care Services	
12	Decisions of the LGO
3	Referred for local resolution
3	Closed after initial enquiries
1	Detailed investigation – not upheld
5	Detailed investigation - upheld

Benefits and Council Tax	
2	Decisions of the LGO
2	Referred for local resolution

Education and Children's Services	
14	Decisions of the LGO
4	Referred for local resolution
3	Closed after initial enquiries
5	Detailed investigation – not upheld
2	Detailed investigation - upheld

Environmental Services and Public Protection and Regulation	
2	Decisions of the LGO
2	Referred for local resolution

Highways and Transport	
8	Decisions of the LGO
1	Incomplete or Invalid
3	Referred for local resolution
3	Closed after initial enquiries
1	Detailed investigation – not upheld

Housing	
14	Decisions of the LGO
2	Advice given by LGO
8	Referred for local resolution
3	Closed after initial enquiries
1	Detailed investigation - upheld

Planning and Development	
4	Decisions of the LGO
2	Referred for local resolution
2	Closed after initial enquiries

Other (not specified by LGO)	
2	Decisions of the LGO
1	Advice given by LGO
1	Incomplete or Invalid

Appendix 7 Summary of complaints upheld by the LGO

Service	Maladministration/Fault	Agreed Remedy
Adult Social Care	Care provider did not retain records for an appropriate time resulting in safeguarding investigation being unable to be provided with some information. No fault found with safeguarding investigation.	Letter of apology to customer £250 remedial payment in recognition of uncertainty caused All care providers to be reminded of necessity for document retention Monitoring of document retention compliance as part of contract management
Adult Social Care	Their liability to pay care home fees was not made sufficiently clear to complainant	Disputed fees to be written off Advisory letters to be amended to be clear and unambiguous
Adult Social Care	No fault found with safeguarding investigation but a conference was not organised at the end of the process as policy dictated and the family requested	Letter of apology
Adult Social Care	Investigation delayed because the views of the alleged perpetrator, a medical professional, were not sought which would have provided greater clarity at an earlier stage	Written apology £150 remedial payment in recognition of avoidable time, trouble and frustration New protocol developed and amended guidelines introduced between (SBC/NHS Southend CCG/NHS England)
Adult Social Care	Their liability to pay a top up fee for temporary residential care was not made sufficiently clear to complainant	Written apology SBC to pay the top-up fee Advisory leaflets to be amended to cover temporary care scenario Staff to be advised to be aware of the need to advise clients clearly of their liabilities in such circumstances
Education and Children's Services	A complaint from a birth parent about the failure to trace them regarding an adoption some years previously was refused as out of time. As the complainant had only recently discovered the adoption, the	Agreed to put the complaint through the Corporate process

	LGO decided the complaint should have been accepted	
Education and Children's Services	A classification of family foster carers should have been given in specified circumstances.	After considerable legal discussions with the LGO, SBC decided to accept their judgement and pay a sum of arrears to the complainant. In their annual letter the LGO has commended the Council for its constructive approach in settling the complaint.
Housing	An application based on homelessness was wrongly removed from the housing register when a short term leased property was found. This disadvantaged the customer when they once again became under threat of homelessness.	The LGO concluded that the fault had already been recognised and sufficiently remedied by the Council in its complaints process

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Southend-on-Sea Borough Council

Report of the Chief Executive
to
Cabinet
on
7 November 2017

Report prepared by: Ian Ambrose
Group Manager, Financial Management

Agenda
Item No.

8

Alternative Delivery Models – Governance Arrangements
Policy and Resources Scrutiny Committee
Executive Councillor: Councillor Andrew Moring
A Part 1 Public Agenda Item

1 Purpose of Report

To explore the current range of alternative delivery vehicles that the Council controls, the current governance arrangements and to propose potential ways forward.

2 Recommendations

- 2.1 That the current group structure of the Council Companies, Joint Ventures and Charitable Trusts and the associated governance arrangements be noted.
- 2.2 That a new advisory forum reporting to Cabinet be established to be called “The Shareholder Board” to provide an effective means of Council governance of the Council Companies and this shall replace the existing Member Advisory Forum (re Trading Companies).
- 2.3 That the terms of reference of the Shareholder Board shall be added as a new section 4.6 in Schedule 2 of Part 3 to the Constitution as set out in **Appendix 3** with a membership that is politically proportional and that includes the following members of Cabinet:
 - The Leader
 - The Deputy Leader
 - Executive Councillor for Corporate & Community Support Services
 - One other Executive Councillor
- 2.4 That Cabinet receive an annual report on the operation of the Council’s Joint Ventures and Charitable Trusts.

3 Background

- 3.1 The Council has organically grown a group structure over recent years. Ignoring the various partnerships and associations with other organisations the Council currently wholly owns 6 companies (“the Council Companies”), participates in 2 joint ventures established as legal entities (“the Joint Ventures”) and is sole trustee to 8 charitable trusts (“the Charitable Trusts”) .
- 3.2 A structure chart of the group is shown at **Appendix 1**.
- 3.3 Each entity has its own internal governance arrangements.

The Council Companies have governance arrangements in compliance with the Companies Act 2006.

In terms of the Joint Ventures, “Southend-on-Sea Forum Management Ltd” similarly complies internally with the Companies Act 2006. PSP Southend LLP, being a partnership, follows essentially the same arrangements.

The Charitable Trusts, although subject to the Charities Act 2011, are not managed as separate entities; instead they are managed as part of Culture service area, and working in compliance with the Councils’ own arrangements.

- 3.4 In addition, where there are services provided by the Council Companies to the Council, there are a range of performance and contract monitoring arrangements.
- 3.5 However there is no common unified governance structure between the Council and its group that covers all of the legal entities in which the Council has control or significant influence. Other than the limited information provided through the Council’s Statement of Accounts, there is a lack of transparent provision of shareholder information to the “body corporate”, or recognised place for the exercise of the Council’s shareholder role.
- 3.6 The Council does have the Member Advisory Forum (re Trading Companies). However its purpose was to advise the Southend Income Generation & Trading Board which is now obsolete and so the Forum no longer has a role and it has not met since February 2014.

4 Trading Companies

Current governance

- 4.1 **Appendix 2** sets out details of the 6 Council Companies (and the subsidiary of South Essex Homes). Their financial size is set out below.

	Annual Turnover £	(Deficit) £
South Essex Homes Ltd (group)	10,083,000	(215,000) after pensions
Southend Care Ltd	5,551,000	(441,000) year 1 estimate
Southend Independent Living Ltd	1,600	(1,400)
Southend Housing Ltd	Not trading	
Southend Business Services Ltd	Not trading	
Southend Trading Corporation Ltd	Not trading	

- 4.2 The results and in-year performance of each Council Company (where operating) is reported to the company board. It is not reported to the Council as shareholder and owner. Similarly the operational performance is discussed and monitored at various company – officer meetings, but not received and commented on by the Council.
- 4.3 South Essex Homes produce an Annual Governance Statement (AGS) (as will Southend Care), reported to their own Audit Committee and then onwards to the Council’s Audit Committee. The AGS gives assurance of the internal governance of the company, but offers no performance information.
- 4.4 The Council is not just the shareholder of these Council Companies. As owner, the companies still involve the expenditure of public money and the stewardship of public resources. It is not sufficient to create a company to deliver certain functions and then effectively treat it as a contractor. The Council needs to be more proactive if it wants to fully exploit the potential of the Council Companies to add value and benefit for our residents.
- 4.5 That means understanding in the fullest sense why we have the Council Companies and what we want from them. Questions that the Council can usefully ask, and revisit on a regular basis include:

Council as shareholder

- Holding Directors / Board to account
 - Against objectives set
 - Against performance set
 - Against business plan
 - Against financial performance
 - Annual report and accounts

- What sort of return
 - Dividend
 - Reduced price
 - Other / wider community benefit

Council as Parent Company

- What does the Council want from its companies
 - Teckel compliant access
 - Reduced cost base (non LG terms and conditions)
 - Profit
 - Buyer of Council / other subsidiary services
 - Support services on a commercial basis
 - Arbitrage on borrowing / assets etc
- What does the Council want the company to do
 - Strategic fit
 - Service provider
 - Market maker
 - Provider of last resort
 - Market competitor
 - Market intervention
- How does the Council protect its interests
 - Board representation
 - Agreed policies and procedures (common across the group)
 - Nolan principles
 - Conflicts of interest
 - Code of Practice between the Council and its companies

Shareholder Governance Proposals

4.6 The implementation board for Southend Care Ltd have recently proposed arrangements for shareholder governance.

“The company will present an Annual Report to the Cabinet of the Council. This will cover, inter alia, the following:

- *Overview of operational performance, including activity and service plans;*
- *Overview of financial performance;*
- *Strategic plans and developments; and*
- *Report on quality and safety”*

4.7 This arrangement reflects the common arrangements seen elsewhere, as evidenced by research undertaken by Grant Thornton. Their report concluded

“A theme emerging from our interviews with LATCs and councils was the balance between council influence and excessive interference. It is important that the

company board is allowed to deliver the strategic and operational plans of the company without excessive interference from the council, audit or procurement. It is equally important that appropriate governance structures are established to safeguard councils from excessive risk taking or poor performance.

The parties need to strike a balance between the LATC's rights and those of the council.

Operational management, corporate reporting, risk management, internal control and audit are the responsibility of the LATC board. The LATC is under no obligation to appoint the same external auditor, to have an internal audit service – or, if it does have one, to share internal audits reports – nor to report to council audit committees. However, councils need oversight of LATC activities and assurance that the LATC is following the strategic direction agreed, is not taking excessive risks and is delivering its service and financial performance.

In our experience, shareholder committees are an effective means of council governance. They provide:

- an effective focus for the contact between the company's management and the council*
- a mechanism to communicate the shareholders' views to the company*
- a means to evaluate the effectiveness of the board and the delivery of the company against strategic objectives.”¹*

- 4.8 It is suggested that this approach be adopted at Southend and extended across all of the Council Companies.
- 4.9 It is the Cabinet, who is responsible for approving the business case to establish a company, of setting the right balance between the economic, social and environmental objects of a company when it is established and of subsequently exercising the Council's powers as shareholder.
- 4.10 Once established, the Council Company must then get on with the business of delivering the objectives with which it has been tasked, within the parameters set for it. It must be otherwise free, however, to operate in its own best interests and to compete on an even basis with its competitors in the marketplace.
- 4.11 It is suggested that a new advisory forum reporting to Cabinet be established to be called “The Shareholder Board” to provide an effective means of Council governance of the Council Companies and this shall replace the existing Member Advisory Forum (re Trading Companies). This Shareholder Board will allow dedicated time and focus, rather than being shoe-horned into existing business.
- 4.12 It is recommended that the terms of reference of the Shareholder Board shall be added as a new section 4.6 in Part 3 of Schedule 2 to the Constitution as set out in

¹ Grant Thornton – *Spreading their wings - Building a successful local authority trading company 2015*

Appendix 3 with a membership that is politically proportional and that includes the following members of Cabinet:

- The Leader
- The Deputy Leader
- Executive Councillor for Corporate & Community Support Services
- One other Executive Councillor (The aim should be for this to be an Executive Councillor whose responsibilities relate to the subject matter of one or more of the Council Companies.)

The Shareholder Board will be advised by the following Officers or their Deputies:

- The Chief Executive
- The Director of Finance and Resources
- The Director of Legal & Democratic

The Shareholder Board will be open to the public, save where Part 2 business is considered.

- 4.13 The Shareholder Board would make recommendations and report to Cabinet. Any decisions made by Cabinet would be available for call-in and scrutiny in the usual way.

The Audit Committee would be able to consider the governance in place between the Council and the Council Companies but not the internal governance of the companies themselves. To that end, the Annual Governance Statement for the Council should be expanded to comment on the governance arrangements between the Council and the Council Companies (and arguably the Joint Ventures and the Charitable Trusts as well). On that basis there would no longer be a need for Audit Committee to separately receive the Annual Governance Statement for individual companies.

- 4.14 It would be appropriate and expected that representatives of the Council Company boards make themselves available to the Shareholder Board to present their annual report and accounts, and to answer questions.

5 The Joint Ventures

Current Governance

- 5.1 **Appendix 4** sets out details of the two Joint Ventures the Council currently has interests in. Their financial size is set out below.

	% control	Share of Turnover £	Share of Assets £
PSP Southend LLP	50%	117,505	1,285,484
Southend-on-Sea Forum Management Ltd	47.2% shares 33.3% voting	267,867	88,163*

* the assets comprise the value of net current assets. The Council owns the freehold of the building, with onward long term leases, via the Forum Company, to the three occupiers.

- 5.2 Given the nature of the activity of PSP Southend LLP, authority to place surplus Council assets into the partnership is sought through a report to Cabinet. Onward redevelopment of the asset and its eventual disposal is overseen and monitored by officers of both parties to the partnership and its joint board. Outcomes are not currently formally reported back to the Council.
- 5.3 With regard to Southend-on-Sea Forum Management Ltd, the activity of the company is more straightforward, being the management and maintenance of the Forum building. Governance arrangements are similarly more straightforward, effectively a meeting of the three occupying bodies with the company, with more formal board meetings as necessary. Once again there is no formal reporting back of the outcomes, activities or future business plans of the company back to the Council.

Shareholder Governance Proposals

- 5.4 Given that the Council does not have a controlling interest in these Joint Ventures, it is not possible to fully dictate the governance arrangements; rather they need to be negotiated. However there is no reason why the essence of the suggested arrangements cannot be applied, particularly in terms of the reporting of activities, performance and plans into the suggested Shareholder Board.
- 5.5 However the boards of each Joint Venture comprise, amongst others, some or all of the proposed Shareholder Board members. It is therefore suggested that rather than have a series of substitutions to the Shareholder Board, oversight of the Council's interests in the Joint Ventures be undertaken by Cabinet itself, with suitable declarations of interest as appropriate. This would entail an annual report being presented to Cabinet explaining the activity, plans and outcomes of the Joint Ventures.

6 Trusts

Current governance

- 6.1 **Appendix 5** sets out details of the 8 Charitable Trusts for which the Council is the sole trustee. Their financial size is set out below.

	Annual Turnover £	Cost to the Council £
Beecroft Art Trust	219,755	180,516
Jones Memorial Recreation Ground Trust	49,191	45,562
Palace Theatre Charity	155,233	155,233
Prittlewell Priory Museum Trust	134,448	110,320
Priory Park Trust	152,398	122,390
The Shrubbery Trust	39,697	2,747
Victory Sports Ground Trust	40,154	29,614
Youth Commemoration Ground Trust	214,786	146,731
	1,005,662	793,113

- 6.2 As previously stated the Charitable Trusts are essentially managed as part of the Council's own services; exploiting their status when useful for fund raising, but otherwise following the Council's own governance arrangements.

Trustee Governance Proposals

- 6.3 The issue with the Charitable Trusts lies more in that their separate legal status get lost. As part of year end procedures, Finance produce and submit charity accounts, but the results are never transparently surfaced with the Council. In addition given that the Charitable Trusts are treated as Council services during the year, there is a blurring of the trustee role with that of the wider Council interests. Fundamentally when dealing with activities and services that use charity assets, decisions need to be made in the interests of the Charitable Trust and in accordance with its purpose.
- 6.4 It is suggested that the trustee role be highlighted through the Cabinet receiving an annual report into the operation of the Charitable Trusts each year. It would not be appropriate for this to be merged with any shareholder board as the Council does not own the Charitable Trusts; it is the Trustee. The Trustee report would cover not only the annual financial performance of each Charitable Trust, but also the activities and future business plans, so that Cabinet, as Trustee, can determine that it is being run in accordance with its purpose.

7 Other Options

There is no statutory requirement that the Council has a shareholder board. Council itself is the legal owner and shareholder of its companies. However currently the Council deals with its shareholder role in an ad-hoc manner, addressing issues as and when they arise. It could continue to do so, but would miss the opportunity to properly address the Council's shareholder role, heighten awareness and aid transparency to the governance arrangements.

8 Reasons for Recommendations

To provide a common unified governance structure between the Council and Council Companies, Joint Ventures, and to ensure proper exercise of its role as trustee of its Charitable Trusts.

9 Corporate Implications

9.1 Contribution to Council's Vision & Critical Priorities

The objectives of the Council Companies align with the Council's vision and priorities around housing and vulnerable adults, and the aim to create alternative income streams and effective solutions to enable on-going service provision

9.2 Financial Implications

None arising directly from this report, although the proposed approach will bring additional transparency and awareness of the finances of the Council Companies, Joint Ventures and Charitable Trusts, and how this interacts with the Council's own finances. It will also bring greater awareness of the financial opportunities and risks associated with these alternative delivery vehicles

9.3 Legal Implications

None arising directly from this report, although the proposed approach will bring sharper focus on the Council's legal obligations associated with these alternative delivery vehicles

9.4 People Implications

None arising from this report

9.5 Property Implications

None arising from this report

9.6 Consultation

None arising from this report

9.7 Equalities Impact Assessment

None arising from this report

9.8 Risk Assessment

The formation of the proposed Shareholder Board will enable detailed Member focus on the opportunities and risks that arise out of the Council’s approach to local authority trading companies. The proposed annual reporting to Cabinet similarly will enable this focus on the opportunities and risks associated with its other alternative delivery vehicles.

9.9 Value for Money

On-going focus on why we have the alternative delivery vehicles and what we want from them will enable the Council to more fully exploit their potential to add value and benefit for our residents

9.10 Community Safety Implications

None arising from this report

9.11 Environmental Impact

None arising from this report

10 Background Papers

None

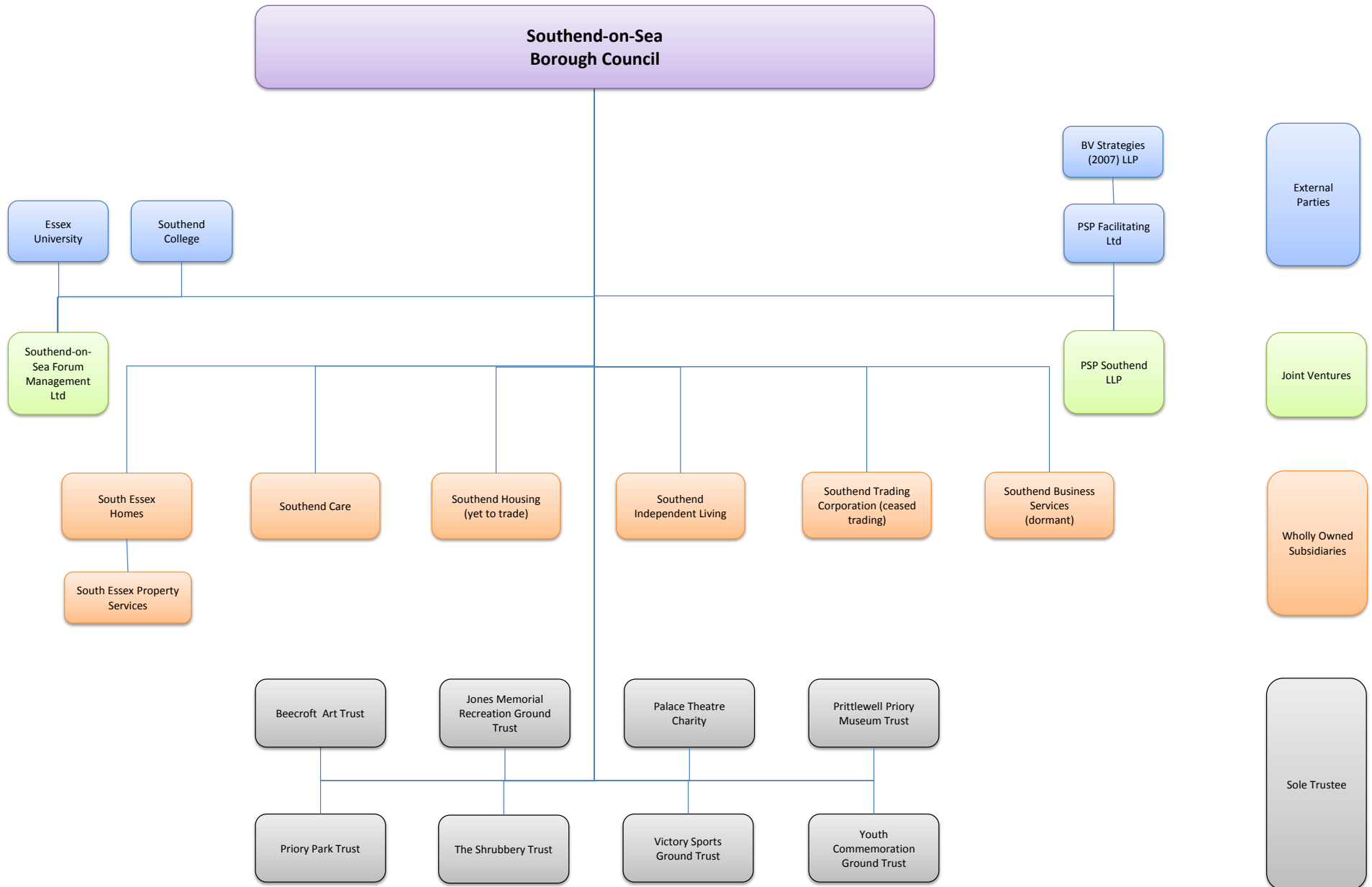
11 Appendices

- | | |
|-------------------|--|
| Appendix 1 | Southend-on-Sea Borough Council – Group Structure |
| Appendix 2 | Council Company details |
| Appendix 3 | Proposed terms of reference for the new Shareholder Board to be added as a new section 4.6 in Schedule 2 of Part 3 to the Constitution |
| Appendix 4 | Details of the Joint Ventures |
| Appendix 5 | Details of the Charitable Trusts |

Southend-on-Sea Borough Council Group Structure

Appendix 1

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Council Companies**South Essex Homes Ltd**

- Company Number 05453601
- Incorporated 16 May 2005
- Limited by guarantee
- Wholly owned by Southend-on-Sea Borough Council
- 3 Councillors as Directors (Davidson, McGlone, Norman), 5 independents, 3 Residents. No SBC officers
- Primary purpose – management and maintenance of housing stock
- Active

South Essex Property Services Ltd

- Company Number 08821807
- Incorporated 19 December 2013
- Limited by shares
- Wholly owned by South Essex Homes Ltd
- 2 Independents Directors. No SBC officers
- Primary purpose – facilities management
- Active

Southend Care Ltd

- Company Number 10138562
- Incorporated 21 April 2016
- Limited by shares
- Wholly owned by Southend-on-Sea Borough Council
- 5 Independents Directors, 1 SBC officer (not intended to be permanent)
- Primary purpose – adult social care provider services
- Active

Southend Independent Living Ltd

- Company Number 08021188
- Incorporated 5 April 2012
- Limited by shares
- Wholly owned by Southend-on-Sea Borough Council
- 2 SBC Officers as Directors
- Primary purpose – disability / elderly equipment services
- Active

Southend Housing Ltd

- Company Number 1018058
- Incorporated 16 May 2016
- Limited by shares
- Wholly owned by Southend-on-Sea Borough Council
- 2 SBC Officers as Directors
- Primary purpose – housing development
- Yet to Trade

Southend Business Services Ltd

- Company Number 08291007
- Incorporated 13 November 2012
- Limited by shares
- Wholly owned by Southend-on-Sea Borough Council
- 1 SBC Officer as Director
- Primary purpose – provision of support services
- Yet to Trade

Southend Trading Corporation Ltd

- Company Number 07828208
- Incorporated 31 October 2011
- Limited by shares
- Wholly owned by Southend-on-Sea Borough Council
- 1 SBC Officer as Director
- Primary purpose – provision of telephony services
- Ceased trading

Proposed Terms of Reference for the Shareholder Board

(To be added as a new section 4.6 in Schedule 2 of Part 3 of the Constitution)

4.6 Shareholder Board

4.6.1 Membership

9 Members including the Leader, Deputy Leader, Executive Councillor for Corporate and Community Support Services and one other Executive Councillor.

The Chairman shall be the Leader or such other Executive Councillor as the Leader shall appoint

Substitutes: permitted in accordance with Standing Order 31

Proportionality: By convention proportionality shall apply.

4.6.2 Quorum

3

4.6.3 Terms of Reference

(a) To provide an effective means of governance of Council Companies and to oversee the activities of such Council Companies,

(b) To represent the Council's interests as shareholder and to communicate the Council's views to the Council Companies.

(c) To safeguard the Council from excessive risk taking or poor performance by the Council Companies.

(d) To provide assurance that the Council Companies are following the strategic direction and objectives which have been agreed and is delivering its service and financial performance.

(e) To make recommendations to Cabinet as to any action which needs to be taken as corporate shareholder of the Council Companies.

4.6.4 Status of Meetings

Open to the public – save in respect of Part 2 business.

4.6.5 Reports to

Cabinet

Joint Ventures

PSP Southend LLP

- Partnership Number OC370692
- Incorporated 12 December 2011
- Partly owned by Southend-on-Sea Borough Council
- 3 Councillors (Lamb, Holland and Moring) as Directors, 3 from PSP Facilitating Ltd
- Primary Purpose – redevelopment of surplus Council assets
- Active

Southend-on-Sea Forum Management Ltd

- Company Number 07830172
- Incorporated 1 November 2011
- Limited by shares
- Partly owned by Southend-on-Sea Borough Council
- 2 Councillors (Holland and Jarvis) as Directors, 2 from Essex University, 2 from South Essex College
- Primary purpose – management and maintenance of the Forum building
- Active

The Charitable Trusts

Beecroft Art Trust

The promotion of the study of art, music and literature and in particular, but without prejudice to the generality of the foregoing, the provision and maintenance of the Beecroft Art Gallery at Southend-on-Sea in the County of Essex as a public art gallery and library.

Jones Memorial Recreation Ground Trust

The provision and maintenance of a recreation ground for the benefit of children and young persons who have not reached the age of 25 years and are resident in the borough of Southend-on-Sea, without distinction of political, religious or other opinions.

The Palace Theatre Charity

The Palace Theatre was conveyed to the Council by Mrs GE Mouillot in a deed of gift as an expression of her interest and goodwill towards the then County Borough Council. The Theatre is used for the general benefit of the inhabitants of Southend-on-Sea.

Prittlewell Priory Museum Trust

To provide a museum for the general benefit of the inhabitants of Southend-on-Sea.

Priory Park Trust

To be dedicated, held, used and enjoyed as and for the purposes of a public park for the benefit of the inhabitants of the Borough of Southend-on-Sea and the recreation of the public area.

The Shrubbery Trust

For the enjoyment of the public as an open space under the Open Spaces Act 1906.

Victory Sports Ground Trust

A public park to be known as the "Victory Sports Ground" for the benefit of the inhabitants of the Borough of Southend-on-Sea and the recreation of the public.

Youth Commemoration Ground Trust

The provision and maintenance of a recreation ground for the benefit of children and young persons who have not reached the age of 25 years and are resident in the Borough of Southend-on-Sea.

The assets of these trusts were donated by individuals to provide facilities for the good of the local community.

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Southend-on-Sea Borough Council

Report of the Chief Executive
to
Cabinet
on
7 November 2017

Agenda
Item No.

9

Report prepared by: Joe Chesterton
Director of Finance and Resources

Capital Monitoring for 2017/18 and Revised Capital Programme 2017/18 to 2020/21
Policy and Resources Scrutiny Committee
Executive Councillor: Councillor Lamb
A Part 1 Public Agenda Item

1. Purpose of Report

- 1.1 The purpose of this report is to set out the capital expenditure as at 30 September 2017 and to recommend in-year amendments to the approved Capital Programme for 2017/18 to 2020/21.

2. Recommendations

That the Cabinet recommend to Council that it;

- 2.1 Note the actual capital expenditure position as at 30 September 2017 of £27.790million as shown in Section 4 and Appendix 1.**
- 2.2 Note the financing position of the Capital programme as at 30 September 2017, as set out in Section 5 of this report.**
- 2.3 Approve the proposed changes to the Capital Programme as set out in Appendix 6 to this report.**
- 2.4 Approve the revised Capital Programme for 2017/18 to 2020/21 that results from these changes, as set out in Appendix 7.**

3. Introduction and Background

- 3.1 In February 2017 the Council approved a Capital Programme for 2017/18 to 2020/21 totalling £213.044million.
- 3.2 The Capital Outturn report (June 2017) agreed a number of schemes where there were budget under-spends but financial commitments in 2017/18. In addition, due to the Council's improved ability to deliver capital schemes, some

capital expenditure due in 2017/18 was delivered early in 2016/17. These revisions were agreed at the Cabinet meeting on 20 June 2017 resulting in a total programme for 2017/18 to 2020/21 of £232.293million.

- 3.3 Throughout the year changes to the approved capital programme are put forward to Cabinet for approval and also members review the latest spending position of the programme on a monthly basis. A mid-year review of the programme has also been carried out which included capital challenge sessions with the Chief Executive and each Deputy Chief Executive, led by the Executive Councillor for Corporate and Community Support Services and supported by the Director of Finance and Resources. This review was to re-align the budgets as necessary, to reflect the latest view on the delivery and funding timescales of the projects and to delete/amend schemes as necessary to assist with the financing of the overall programme.
- 3.4 This report sets out the capital expenditure as at 30 September 2017 and the in-year amendments to the approved Capital Programme for 2017/18 to 2020/21 with the following appendices:
- Appendix 1 - latest capital expenditure position for the financial year;
 - Appendix 2 – graph showing the capital delivery over the last 5 years;
 - Appendix 3 - proposed virements between approved schemes;
 - Appendix 4 - proposed re-profile of budgets between years;
 - Appendix 5 – new schemes financed by new external funding (e.g. s106 and other grants);
 - Appendix 6 -summary of the changes to the approved Capital Programme agreed to date and proposed changes;
 - Appendix 7 – amended Capital Programme for 2017/18 to 2020/21.

4. Capital Expenditure Position As at 30 September 2017

- 4.1 For this report, Appendix 1 shows the latest budget and the expected capital expenditure outturn position as at 30 September 2017. The departmental figures set out in this section are as at 30 September 2017. The resulting virements, re-profiles, budget deletions and new external funding are included in the relevant attached appendices.
- 4.2 The revised Capital budget for the 2017/18 financial year at 30 September was £95.571million. This includes all changes and budgets carried forward from the previous year as agreed as part of the 2016/17 capital outturn report at June Cabinet. Actual Capital spend at 30 September was £27.790million. (Outstanding creditors totalling £0.836million have been removed from this figure.) The budget and spend to date is broken down by Department as follows:

Department	Revised Budget 2017/18 £'000	Outturn to 30 September 2017/18 £'000	Expected outturn 2017/18 £'000	Latest Forecast Variance to Year End 2017/18 £'000
Chief Executive	24,094	13,097	17,464	(6,630)
People	16,709	2,617	9,278	(7,431)
Place	42,660	10,078	28,984	(13,676)
Housing Revenue Account (HRA)	12,108	1,998	10,608	(1,500)
Total	95,571	27,790	66,334	(29,237)

4.3 Department of the Chief Executive

4.3.1 The revised capital budget for the Department of the Chief Executive is £24.094million. The budget is distributed across various scheme areas as follows:

Department of the Chief Executive	Revised Budget 2017/18 £'000	Outturn to 30 September 2017/18 £'000	Expected outturn 2017/18 £'000	Latest Forecast Variance to Year End 2017/18 £'000
Asset Management (Property)	23,319	12,889	16,689	(6,630)
Cemeteries & Crematorium	492	208	492	-
Subtotal	23,811	13,097	17,181	(6,630)
Priority Works (see table)	283	-	283	-
Total	24,094	13,097	17,464	(6,630)

Priority Works	£'000
Budget available	500
Less budget allocated to agreed schemes	(217)
Remaining budget	283

4.3.2 Actual spend at 30 September stands at £13.097million. This represents 54% of the total available budget.

4.3.3 Asset Management (Property)

A budget of £170k in relation to Seaways has been included in this report as a carry forward request as the payment for the unconditional agreement is not anticipated until summer 2018.

The demolition of the former toilets at Darlows Green is currently being specified and is expected to start in early 2018. It is likely that the majority of the works will be carried out from April onwards therefore £40k of the current budget has been included as a carry forward request in this report.

Following the purchase of the former gas works site on 21st July, the remaining budget of £2million is required for remediation works which are planned to take place in 2019/20. This budget has therefore been included in this report as a carry forward request.

Planning consent has now been granted for the Library Car Park reconstruction and enhancement scheme but the tender process has been delayed resulting in an expected start date of April 2018. Due to this delay, budget of £3.861million has been included as a carry forward request in this report.

A scheme to enable the Council to take advantage of any opportunities to acquire commercial properties along Southchurch Road if they come to the market currently has a provision of £500k in 2017/18. No property deals have currently been agreed therefore the full budget of £500k has been included as a carry forward request in this report.

Planning, building control and the tender process required for the works on Pier Arches toilets is underway and works on site are anticipated for January 2018. £30k of the current budget has been included in this report as a carry forward request.

The remaining budget of £29k on the Thorpe Hall Avenue Toilet Refurbishment scheme is no longer required therefore the full budget has been removed in this report.

4.3.4 Cemeteries and Crematorium

Landscaping works are being finalised and the site tidied on the plot of land identified in Sutton Road Cemetery.

The final solution has been decided for the boiler replacement at Southend Crematorium and this is now going through the tender process. Works are scheduled for December.

4.3.5 Priority Works

The Priority works provision budget currently has £283k remaining unallocated.

4.3.6 Summary

Carry forward requests included in this report include £170k for Seaways, £40k for Darlows Green former WCs demolition, £2million for Land Acquisition works, £3.861million for Library Car Park Reconstruction and Enhancement, £500k for Queensway Commercial Property and £30k for Pier Aches Toilets Waterproofing Solution.

The £29k budget on Thorpe Hall Avenue Toilet Refurbishment has been removed from the capital programme.

4.4 Department for People

4.4.1 The Department for People revised Capital budget totals £16.709million.

Department for People	Revised Budget 2017/18 £'000	Outturn to 30 September 2017/18 £'000	Expected outturn 2017/18 £'000	Latest Expected Variance to year end 2017/18 £'000
Adult Social Care	1,758	79	627	(1,131)
General Fund Housing	3,246	492	1,510	(1,736)
Children & Learning Other	64	14	-	(64)
Condition Schemes	704	327	704	-
Devolved Formula Capital	173	172	173	-
Early Years	536	90	536	-
Primary and Secondary School Places	10,228	1,443	5,728	(4,500)
Total	16,709	2,617	9,278	(7,431)

4.4.2 Actual spend at 30th September stands at £2.617million. This represents 16% of the total available budget.

4.4.3 Adult Social Care

The Community Capacity grant is used to enable vulnerable individuals to remain in their own homes and to assist in avoiding delayed discharges from hospital. Plans for 2017/18 include project management for social care redesign, costs of sheltered housing review outcomes, development of independent living centre and investment in technology and equipment to promote independence. Total spend of £450k is forecast for 2017/18 therefore an accelerated delivery request of £4k has been included in this report.

The majority of the works on the redevelopment of the Priory site will take place in 2018/19 therefore a large proportion of the budgets on the two Priory schemes have been included in this report. These total £936k.

Plans for the Mental Health funding budget include a technology project to assist people with mental health. This project is likely to take place during 2018/19 therefore the full budget of £36k has been included as a carry forward request in this report.

An individual has been identified for the use of the Transforming Care Housing budget of £163k but this is unlikely to commence until 2018/19. The full budget has therefore been included as a carry forward request in this report.

4.4.4 General Fund Housing

The Private Sector Renewal scheme is in place to ensure that the private sector stock is kept in a good condition. £615k of the current budget has been included as a carry forward request in this report.

The Private Sector Housing Works in Default scheme is currently planning for 2018/19 spend therefore the full budget of £138k has been included in this report as a carry forward request.

The £16k budget on the Warmer Health Homes scheme has been removed from the capital programme in this report as there are no further works planned.

The Empty Dwellings Management scheme is in place to fund works authorised under an Empty Dwellings Management Order (EDMO) to bring long term empty homes back into use and to a habitable standard. Plans are being made for 2018/19 therefore the full budget of £357k has been included in this report as a carry forward request.

The Disabled Facilities scheme is programmed to spend around £1.5million in 2017/18 therefore the remaining budget of £610k has been included as a carry forward request in this report.

4.4.5 Children & Learning Other Schemes

Retentions have now been paid Kingsdown Special School roof works so this scheme is now complete.

The full £64k budget on the Short Breaks for Disabled Children scheme has been carried forward in this report to enable suitable plans to be made for the remainder of this grant.

4.4.6 Condition Schemes

A budget of £704k has been allocated to address larger conditions in schools where the cost is over the schools capabilities to fund. Most of these works have been undertaken over the school summer holidays to minimise disruption

to the schools. Retentions of £20k are being held for works completed last year at seven primary schools.

4.4.7 Devolved Formula Capital

This is an annual devolution of dedicated capital grant to all maintained schools. The grant for 2017/18 is £173k. This grant amount will reduce as further maintained schools convert to academy status.

4.4.8 Primary and Secondary School Places

The primary expansion programme is now complete with final retention payments of £69k being held against five projects until the twelve month snagging period is over. A watching brief of demand against availability will be kept. If a need is identified, a further expansion of primary places will be explored to ensure that the council's statutory duty to provide a good school place for all those that request it can be met.

A secondary expansion programme is progressing to ensure that the extra places supplied in primary are matched in secondary as they are needed. The contractors are currently on site at Shoeburyness High School. St Thomas Moore are entering planning stage and one other secondary school is progressing a feasibility study. Works at Wentworth Road site and Southchurch High School are commencing during October. A carry forward request of £4.5million has been included in this report to continue the scheme into 2018/19.

4.4.9 Summary

Carry forward requests included in this report are LATC Delaware and Priory for £839k, Mental Health funding for £36k, Transforming Housing Care for £163k, Priory House Condition Works for £97k, Disabled Facilities Grant for £610k, Private Sector Renewal for £615k, Private Sector Renewal Works in Default for £138k, Short Breaks for Disabled Children for £64k, Empty Dwelling Management for £357k and School Improvement and Provision for Secondary School Places for £4.5million.

An accelerated delivery request of £4k has also been included for the Community Capacity scheme.

The £16k budget on Warmer Healthy Homes has been removed from the Capital Programme in this report.

4.5 Department for Place

4.5.1 The Department for Place have a revised capital budget of £42.660million. Budget and spend breakdown of the key capital schemes are tabulated below.

Department for Place	Revised Budget 2017/18 £'000	Outturn to 30 September 2017/18 £'000	Expected outturn 2017/18 £'000	Latest Expected Variance to Year End 2017/18 £'000
Culture	5,577	332	2,217	(3,360)
ICT Programme	4,914	1,371	3,389	(1,525)
Enterprise, Tourism & Regeneration	6,371	1,824	6,838	467
Southend Pier	3,767	489	2,478	(1,289)
Coastal Defence and Foreshore	923	101	277	(646)
Highways and Infrastructure	6,414	3,224	6,339	(75)
Parking Management	612	72	492	(120)
Section 38 & 106 Agreements	2,293	47	854	(1,439)
Local Transport Plan	2,974	772	1,698	(1,276)
Local Growth Fund	5,477	1,514	3,582	(1,895)
Community Safety	420	-	20	(400)
Transport	540	51	200	(340)
Energy Saving Projects	2,378	281	600	(1,778)
Total	42,660	10,078	28,984	(13,676)

4.5.2 Actual spend at 30th September stands at £10.078million. This represents 24% of the total available budget.

4.5.3 Culture

Roof repairs at Belfairs Swim Centre are to take place in 2018/19 as part of a new capital bid being put forward therefore £40k of the current budget has been included as a carry forward request in this report.

A delay in the results of the Geo-Technical surveys means that the works on Belton Hill Steps will not take place until 2018/19. £1.467million of the current budget has been included as a carry forward request in this report.

Design works are being undertaken at the Central Museum. These works will continue into 2018/19 therefore £120k of the budget has been included as a carry forward request in this report.

Further design works have been commissioned on the external refurbishment works at the Cliffs Pavilion. £250k of the budget has been included as a carry forward request in this report to carry out these works.

Procurement is pending on the works for Energy Improvements in Culture Property Assets. £55k of the budget has been included as a carry forward request in this report as it is expected that procurement will complete by year end.

Design works are now underway at Leigh Library with the majority of the works programmed for 2018/19. A carry forward request of £156k has been in this report as a carry forward request.

The technical design contract has been awarded for the New Museum scheme and work is gearing up towards the gateway review in spring 2018. £750k of the budget has been included as a carry forward request in this report.

Work is underway on design for the air handling units at the Palace Theatre but issues with the listed building status are causing delays and it is unlikely these issues will be resolved this financial year to enable the scheme to be completed. £220k of the budget has been included as a carry forward request in this report to enable the works to be programmed for 2018/19.

Works on the publication for the Prittlewell Prince research are currently being finalised by the Museum of London Archaeology but it is unlikely to be published in 2017/18. The full budget of £38k has therefore been included in this report as a carry forward request.

The Prittlewell Prince Storage scheme is occurring alongside the research and will not be required until the publication has been finalised. Therefore the full budget of £35k has also been included as a carry forward request.

£100k match funding for a bid on Southchurch Hall is currently at the technical design stage. £95k has been included in this report as a carry forward request to progress the scheme further.

A budget of £20k for works at Southchurch Park Bowls Pavilion has been identified as a match funding contribution to aid a bid to Sport England. The Council are currently working with the Bowls Club on supporting the bid and the full budget has been included as a carry forward request in this report to ensure the match funding is available should the bid prove successful.

The scheme to replace various playground gates within the borough's play areas to enable compliance with health and safety recommendations is currently at the procurement stage with plans to progress the scheme once this is complete. £64k of the current budget has been included as a carry forward request in this report.

Some issues with the performance of materials on the Southchurch Park Tow Path scheme have delayed the project slightly therefore £50k of the current budget has been included in this report as a carry forward request.

4.5.4 ICT Programme

A budget of £100k has been agreed to enable the Council's network to deliver N3 services to allow service such as SystemOne to be delivered over the Council's network and CareFirst to be delivered over the local NHS network to enable cross-site working and joint delivery of services. This scheme is currently on hold pending review of accommodation use by the Council and the full budget has been included as a carry forward request in this report.

A scheme to support the migration of core corporate application and their databases to the newly built ICT infrastructure is subject to the timing of the completion of the Datacentre. This is unlikely to commence before the end of the financial year therefore the full budget of £75k has been included in this report as a carry forward request.

Spend for the ICT Intelligence Hub will be incremental across the next few years. Supplier engagement has commenced and a new link has been put in place between Civic one and Tickfield. £450k of the current budget has been included as a carry forward request in this report.

The scheme for the Digitisation of Paper Records is currently awaiting the outcome of the review of transformation output on paperless processes therefore the full budget of £45k has been included in this report as a carry forward request.

Trials have been taking place on remote mobility software to allow staff to work from home more securely. To enable the trials to continue into 2018/19, £45k of the current budget has been included as a carry forward request in this report.

The progress of the Phone Migration scheme has been delayed following the review of One-Essex Telephony with Essex and Thurrock for a joint telephony programme. The full budget of £80k has been included in this report as a carry forward request.

Delay to the Server Room Migration project has had a knock on effect on the Mobile Device End Point Protection Replacement therefore the full budget of £90k has been included as a carry forward request in this report.

The title of the Place Business Transformation in End to End Reporting scheme has been changed to Channel Shift and this scheme has been moved to the Department of the Chief Executive in this report. A supplier has now been appointed and phase one has been scoped and agreed for delivery in December 2017 with the final part of this phase in March 2018. Phase two will continue in the next financial year therefore a carry forward request of £265k has been included in this report.

The development of the Liquid Logic Case Management System scheme is on track to be delivered in line with the revised schedule. The live data warehouse build has been completed for both Childrens and Adults and further data migration works are underway.

Further carry forwards are required for the Central Government IT Security Compliance for £40k and the Wireless Borough and City Deal for £335k and these have been included in this report.

4.5.5 Enterprise, Tourism & Regeneration

The Regeneration projects include all the work currently taking place on the City Deal Incubation Centre, Airport Business Park and Queensway.

Local Growth Funding (LGF) of £3.2million for the Airport Business Park to support the delivery of on-site infrastructure and the relocation of Westcliff Rugby Club was spent by 31st March 2017 as per the grant conditions. The Westcliff Rugby Club relocation agreement is not yet complete although most issues have now been resolved and the build contract is expected to be let during October 2017. Roads and utilities design and procurement work continues and the innovation centre advisor appointments are underway.

A re-profiling exercise has taken place with the Local Enterprise Partnership and an accelerate delivery request of £1.042million has been included in this report.

Project lead and support roles are now in place for the Better Queensway scheme Consultation is scheduled to commence in October and to run until December with reporting and feedback in early 2018. A carry forward request of £575k has been included as a carry forward request in this report.

4.5.6 Southend Pier

Design works are currently progressing for the Southend Pier Entrance Enhancement scheme and works are likely to continue into 2018/19. A carry forward request of £100k has been included in this report.

Tender evaluation is currently in progress in conjunction with procurement for a structural consultant on phase two of the Prince George extension and the

timber outer pier head works which will be commencing shortly. The current spend projections are subject to favourable weather conditions. A proportion of these budgets for £939k and £250k respectively have been included in this report as a carry forward request.

4.5.7 Coastal Defence and Foreshore

A budget for improving the resilience of the borough to flooding from extreme weather events has been included in the 2017/18 capital programme. Works have now commenced at Harp House and the other main areas to be worked on include the airport, City Beach and Shoebury Common. £125k of this budget is included as a carry forward request in this report.

The cliff slip investigation works are continuing with feasibility studies to be carried out to the west of Clifton Drive. This scheme is currently with procurement awaiting the tender for a Geo-Technical consultant therefore a carry forward request of £246k has been included in this report.

Spend of £50k is anticipated on the Shoebury Common Sea Defence scheme this financial year therefore a carry forward request of £275k has been included in this report.

4.5.8 Highways and Infrastructure

An allocation of £102k has been received from the Department for Transport for the maintenance of pot holes across the borough. The rest of the Highways Maintenance programme is underway and will continue for the remainder of the financial year.

The Street Lighting budget is a multi-million pound, multi-year scheme to be part funded by the Challenge fund from the Department for Transport. The Department for Transport have agreed a revised completion date of 31st March 2018 with a programme being developed to spend the remaining funds.

The Cinder Path scheme is still at the discussion stage with Network Rail and the full budget of £75k has been included as a carry forward request in this report.

4.5.9 Parking Management

An updated parking strategy has been commissioned which will form the basis of improvement plans to the borough car parks. Feedback from the recent review is currently being assessed for any upgrade requirements. £120k of the current budget has been included in this report as a carry forward request to continue the scheme into 2018/19.

4.5.10 Section 38 and Section 106 Schemes

There are a number of S38 and S106 schemes all at various stages. Some of the larger schemes include works around Acacia Drive, Bellway Prittlebrook, Essex House and Hinguar.

Various schemes are scheduled to be carried out in 2018/19 therefore a carry forward request of £624k has been included in this report for these schemes. Budgets of £318k have been removed from the capital programme as these funds have already been accounted for within the Schools programme.

S106 General Fund Housing schemes totalling £497k have been transferred to the Department of Place in this report and these budgets have then been carried forward into 2018/19.

4.5.11 Local Transport Plans (LTP Schemes)

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

The plan to upgrade more Automatic Vehicle Location (AVL) screens has now commenced and new Real Time Passenger Information (RTPI) screens are on order and will be installed before year end.

A carry forward request of £1.276million across the LTP schemes has been included in this report as a carry forward request following agreement from the Department for Transport that these funds are not ring-fenced in year.

4.5.12 Local Growth Fund

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

The final business case for A127 Kent Elms junction improvements has been approved by the South East Local Enterprise Partnership and all funding has been received.

Worked commenced at Kent Elms on 21st November 2016 and a dedicated Public Liaison Officer is in place. There has been a delay to National Grids works which has had a knock on effect causing delay to completing BT diversions. The BT diversions have caused a delay to the new outbound lane. Three lanes inbound and two new pedestrian crossings were in place at the end of June. The new footbridge will be in place this financial year.

Options are being prepared to put forward for the business case at the Bell junction and air quality implications are to be investigated. A draft engagement and consultation document has been prepared and is to be updated. Air quality specialist work has now commenced.

Local Growth Funds of £1.895million have been reprofiled and have been included in this report as a carry forward request.

4.5.13 Community Safety

Whilst the CCTV Equipment Renewal scheme is moving forward with consultation, the implementation is likely to be delayed into 2018/19 with £400k of the current budget included as a carry forward request in this report. The scheme ties in with the development of the Southend Intel Hub and the process for testing any camera solutions to ensure future fit for purpose and the subsequent procurement process will take the scheme beyond March 2018.

4.5.14 Transport

The road safety audit stage three has now been reviewed on the A127 Tesco junction improvements with minor adjustments are now complete. Works to the steps at Strawberry Fields are yet to be completed. A carry forward request of £300k has been included in this report.

Southend Transport Model is an on-going scheme to support various multi modal transport projects. A review of the model is complete with options on updating the model to be considered. A carry forward request of £40k has been included in this report.

4.5.15 Energy Saving Projects

Several projects have been identified from the energy efficiency budget. The remaining £640k budget has been included as a carry forward request in this report.

Procurement documents are in the process of being drafted for legal support for the site agreements as part of the Solar PV scheme. £924k of this budget will be required next financial year therefore a carry forward request has been included in this report.

An energy project for Tickfield is currently being worked on as part of the Schools and Council Buildings Solar PV scheme. £214k of this budget will be required in 2018/19 therefore a carry forward request has been included in this report.

4.5.16 Summary

Carry forward requests included in this report are Belfairs Swim Centre for £40k, Belton Hills Steps for £1.467million, Central Museum Works for £120k, Cliffs Pavilion External Refurbishment Works for £250k, Energy Improvements in Culture Property Assets for £55k, Library Review for £156k, New Museum Gateway Review for £750k, Palace Theatre Air Handling Units for £220k, Playground Gates for £64k, Prittlewell Prince Research for £38k, Prittlewell Price Storage for £35k, Pump Priming for £95k, Southchurch Park Bowls Pavilion for £20k, Southchurch Park Tow Path for £50k, ICT Priority Works N3 for £100k, Central Government IT Security Compliance for £40k, Core Application and Database Migration for £75k, Intelligence Hub for £450k, Digitisation of Paper Records for £45k, Mobile Working and Enterprise Mobility for £45k, Phones Migration and Retender for £80k, Mobile Device End Point

and Protection Replacement for £90k, Channel Shift for £265k, Wireless Borough and City Deal for £335k, Southend Pier Entrance Enhancement for £100k, Southend Pier Prince George Extension for £939k, Southend Pier Timber Outer Pier Head for £250k, Cliff Slip Investigation works for £246k, Improving Resilience of the Borough to flooding from Extreme Weather Events for £125k, Shoebury Common Sea Defence Scheme for £275k, Cinder Path for £75k, Improved Car Park Signage and Guidance Systems for £120k, Better Queensway Regeneration for £575k, S106, S278 and S38 schemes for £1.121million, LTP schemes for £1.276million, Local Growth Funds for £1.895million, A127 Junction Improvements for £300k, Southend Transport Model for £40k, CCTV Equipment Renewal for £400k, Energy Efficiency Projects for £640k, Schools and Council Buildings Solar PV for £214k and Solar PV Projects for £924k.

An accelerated delivery request of £1.042million has been included for the Airport Business Park.

Budgets totalling £318k have been removed from the capital programme in relation to S106 schemes.

4.6 Housing Revenue Account

4.6.1 The revised budget for the Housing Revenue Account capital programme for 2017/18 is £12.108million. The latest budget and spend position is as follows:

Housing Revenue Account	Revised Budget 2017/18 £'000	Outturn to 30 September 2017/18 £'000	Expected outturn 2016/17 £'000	Previous Forecast Variance to Year End 2016/17 £'000
Decent Homes Programme	7,703	1,775	6,703	(1,000)
Council House Adaptations	565	174	565	-
Sheltered Housing	345	-	345	-
Other HRA	3,495	49	2,995	(500)
Total	12,108	1,998	10,608	(1,500)

4.6.2 The actual spend at 30th September of £1.998million represents 17% of the HRA capital budget.

4.6.3 Decent Homes Programme

The capital programme is progressing albeit slightly slower than planned due to extended mobilisation periods which have been required by various contractors and delays in companies returning their signed contracts. The £2million

reprofiled for fire safety works has been partly allocated to completing the remaining two high rise blocks at Queensway however the remaining £1million has been included as a carry forward request in this report to be used to undertake further fire safety works to medium rise blocks.

4.6.4 Council House Adaptions

This budget relates to minor and major adaptations in council dwellings. Spend depends on the demand for these adaptations and works are currently in progress for 2017/18.

4.6.5 Sheltered Housing Remodelling

This budget is to be used in conjunction with the Sheltered Housing review.

4.6.6 Other HRA

The housing construction scheme is continuing with the Council's approved contractor having completed the required highways works and also the demolition of the garages at Rochford Road. The application to divert the culvert has now been lodged with Anglian Water and it is anticipated that the outcome will be received in mid-October. The tender for the overall build contractor will be extended to early November to accommodate this change. Further consultation has been undertaken with both residents and members to keep them up to date with the progress of the project.

A scheme for the acquisition of tower block leasehold properties currently has a budget of £500k in 2017/18. This budget has been included as a carry forward request in this report.

4.6.7 Summary

Carry forward requests for Common Areas Improvements for £1million and Acquisition of Queensway Tower Block Leaseholds for £500k have been included in this report.

5 Capital financing position as at 30 September 2017

5.1 The Capital programme for 2017/18 is expected to be financed as follows:

Department	Council Budget £'000	External Funding		Total Budget £'000
		Grant Budget £'000	Developer & Other Contributions £'000	
Chief Executive	24,088	-	6	24,094
People	5,300	11,393	16	16,709
Place	28,905	11,317	2,438	42,660
Housing Revenue Account (HRA)	11,365	-	473	12,108
Total	69,928	22,710	2,933	95,571
As a percentage of total budget	73.1%	23.8%	3.1%	

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

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

Department	Grant Budget £'000	Developer & Other Contribution Budget £'000	Total external funding budget £'000	External funding received £'000	External funding outstanding £'000
Chief Executive	-	6	6	-	6
People	11,393	16	11,409	4,388	7,021
Place	11,317	2,438	13,755	9,056	4,699
Housing Revenue Account (HRA)	-	473	473	473	-
Total	22,710	2,933	25,643	13,917	11,720

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

6 Summarised Changes (as set out in appendix 6)

6.1 On 23 February 2017 the Capital Programme for the Council was approved as follows:

2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Current Budget £000
76,732	70,583	46,552	19,177	213,044

6.2 On 20 June 2017 members approved further changes which subsequently changed the 2017/18 budget from £76.732million to £95.571million. These changes included the carry forward and accelerated delivery of previous year's programme of £6.184million. Also included were budget re-profiles and adjustments totalling £0.323million and new external funding of £2.791million and other adjustments of £9.541million.

6.3 On 20 June 2017 the Capital Programme for the Council was approved as follows:

2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Current Budget £000
95,571	70,433	43,882	22,407	232,293

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

6.5 For 2017/18 this means the budget changing to £66.573million. The changes include the removal of budgets identified as no longer required totalling £0.363million and new budgets of £0.239million funded from the Council's own resources. There is also a change of name requested for the Business Transformation in End to End Reporting Project to 'Channel Shift' which is moving from the Department of Place to the Department of the Chief Executive. To better align the S106 schemes to those responsible for their delivery, schemes relating to Housing and Education are moving from the Department for Place to the Department for People.

6.6 Additionally a new budget is requested in the 2018/19 programme for £50k relating to the Learning Management System. This will be funded from the People Department's revenue budget.

The changes to the programme also include the following:

6.7 Virement requests (as set out in appendix 3)

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

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

The funding profiles of a number of schemes have been revised in line with actual works. This is to ensure that the actual works undertaken or earmarked is aligned to spend profile of the budget. This will have the effect of carrying forward £29.920million from 2017/18 into 2018/19 and later years and an accelerated spend of £1.042million into 2017/18 which will be financed from the 2018/19 programme. This does not alter the overall budget for the programme.

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

There is new funding of £4k to support programmes in 2017/18 and £0.891million to support programmes in 2018/19.

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

2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Current Budget £000
66,573	80,397	57,145	28,999	233,114

The proposed changes are set out in Appendix 6 and the revised Capital Programme for 2017/18 to 2020/21 that results from these changes is set out in Appendix 7.

7. Spending Plans

7.1 The Council's revised Capital Programme for 2017/18 to 2020/21 and later years is attached as Appendix 7 which includes all of the adjustments set out in Appendix 6.

7.2 The proposed capital programme represents a significant investment of £233million on the part of the Council in the Southend area and the projected investment in 2017/18 alone amounts to some £67million.

8. Other Options

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

9. Reasons for Recommendations

- 9.1 To approve proposed changes to the Capital Programme since the last Cabinet meeting on 20 June 2017.

10. Corporate Implications

10.1 Contribution to Council's Vision & Corporate Priorities

The projects directly contribute to the delivery and achievement of the Council's Corporate Priorities.

10.2 Financial Implications

As set out in the report.

10.3 Legal Implications

None at this stage.

10.4 People Implications

None at this stage.

10.5 Property Implications

None at this stage.

10.6 Consultation

Consultation has taken place as agreed in the budget timetable.

10.7 Equalities and Diversity Implications

Assessments have been carried out for all capital investment proposals.

10.8 Risk Assessment

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

10.9 Value for Money

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

10.10 Community Safety Implications

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

10.11 Environmental Impact

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

11. Background Papers

None.

12. Appendices

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

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

Appendix 3 - proposed virements between approved schemes;

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

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

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

Appendix 7 – amended Capital Programme for 2017/18 to 2020/21.

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Summary of Capital Expenditure at 30th September 2017

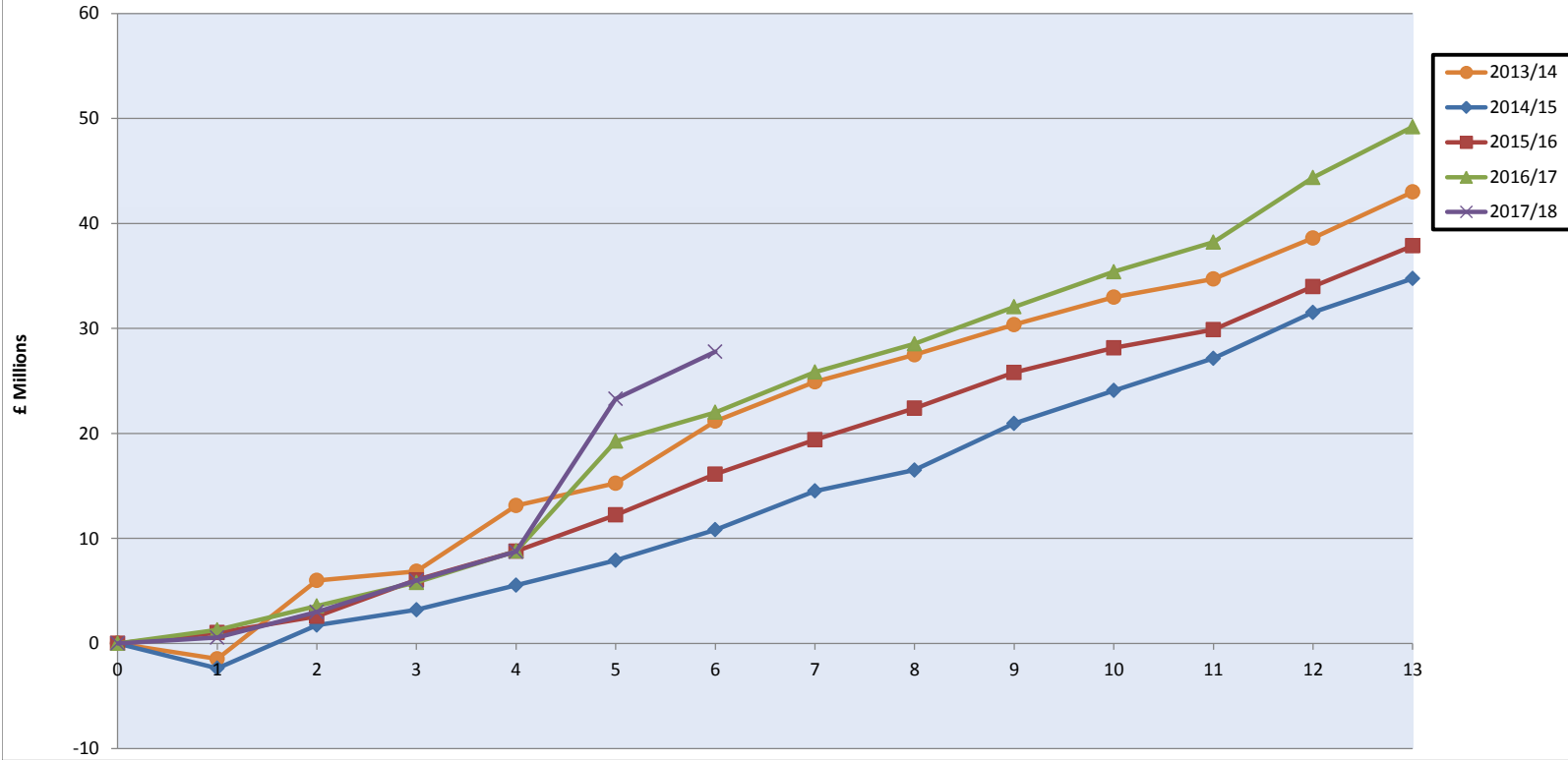
Appendix 1

	Original Budget 2017/18 £000	Revisions £000	Revised Budget 2017/18 £000	Actual 2017/18 £000	Forecast outturn 2017/18 £000	Forecast Variance to Year End 2017/18 £000	% Variance
Chief Executive	6,400	17,694	24,094	13,097	17,464	(6,630)	54%
People	13,582	3,127	16,709	2,617	9,278	(7,431)	16%
Place	48,140	(5,480)	42,660	10,078	28,984	(13,676)	24%
Housing Revenue Account	8,610	3,498	12,108	1,998	10,608	(1,500)	17%
	<u>76,732</u>	<u>18,839</u>	<u>95,571</u>	<u>27,790</u>	<u>66,334</u>	<u>(29,237)</u>	<u>29%</u>
Council Approved Original Budget - February 2017	76,732						
Chief Executive amendments	18,352						
People amendments	(1,041)						
Place amendments	(310)						
HRA amendments	4,864						
Carry Forward requests from 2016/17	7,040						
Accelerated Delivery requests to 2016/17	(856)						
Budget re-profiles (June Cabinet)	(11,927)						
New external funding	2,717						
Council Approved Revised Budget - June 2017	<u>95,571</u>						

Actual compared to Revised Budget spent is £27.790M or 29%

Appendix 2

Capital programme Delivery
Cummulative Capital Expenditure 2013/14 to 2017/18



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Year	Outturn £m	Outturn %
2012/13	61.0	97.9
2013/14	43.3	93.8
2014/15	34.8	83.8
2015/16	37.9	97.0
2016/17	48.8	89.0

VIREMENTS BETWEEN APPROVED SCHEMES

Appendix 3

Scheme/Event	Department	Project Code	Project Description	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Budget (all years) £000
Cems and Cems Capital Programme	Chief Executive	C10754	Cremated Remains Plots	(1)				(1)
	Chief Executive	C10572	Essential Crematorium/Cemetery Equipment	1				1
Asset Management Capital Programme	Chief Executive	C10862	Chalkwell Esplanade Toilets Roof Repairs	(2)				(2)
	Chief Executive	C10840	Ropers Farm Cottages - water supply	2				2
	Chief Executive	C10181	Urgent Works to Property	(10)				(10)
	Chief Executive	C10643	Seaways Deveelopment Enabling Works	10				10
	Chief Executive	C10748	Civic East Car Park Redevelopment			(864)		(864)
	Chief Executive	C10750	Library Car Park Reconstruction and Enhancement			864		864
Transformation Capital Programme	Chief Executive	C10757	Channel Shift	(20)				(20)
	Place	C10785	Gaist Highways Asset Management Project	20				20
	Place	C10759	Place - Culture and Enterprise and Tourism - Events Booking System	(50)				(50)
	Chief Executive	C10757	Channel Shift	50				50
Adult Social Care Capital Programme	People	C10693	Priory House - Condition Works	(97)				(97)
	People	C10621	LATC - Delaware and Priory	97				97
Schools Capital Programme	People	C10714	Futures Heating and Pipe Ducts	(100)				(100)
	People	C10924	St Nicholas Roof	100				100
	People	C10869	Chalkwell Infants Hall/Kitchen Windows	(23)				(23)
	People	C10871	Chalkwell Infants Roof	(12)				(12)
	People	C10870	Chalkwell Infants Main Building Windows	35				35
ICT Capital Programme	Place	C10760	Wireless Access Point Upgrade	(30)				(30)
	Place	C10575	ICT Core Infrastructure	30				30
Southend Pier Capital Programme	Place	C10697	Southend Pier - Condition Works Engineers	(230)	(343)	(518)		(1,091)
	Place	C10918	Southend Pier - Condition Works Surveyors	230	343	518		1,091
Energy Saving Schemes Capital Programme	Place	C10664	Southend Adult Community College Energy Project	(76)				(76)
	Place	C10738	Beecroft and Central Museum Energy Project	76				76
	Place	C10664	Southend Adult Community College Energy Project	(29)				(29)
	Place	C10665	Temple Sutton School Energy Project	(204)				(204)
	Place	C10740	Schools and Council Buildings Solar PV	233				233
	Place	C10788	Energy Efficiency Schemes	(117)				(117)
	Place	New	Pier Energy Efficiency Scheme	64				64
	Place	New	Civic Centre Lifts Regeneration	33				33
	Place	New	Civic Centre CHP/Lifts Feasibility	5				5
	Place	New	Old Beecroft Ground Source Heat Pump Feasibility	15				15
S106 Housing Capital Programme	Place	C10741	S106 Dairy Crest 1400340AMDT - Affordable Housing	(78)				(78)
	Place	C10906	S106 Former Brookside Works 1500404S106BA	(154)				(154)
	HRA	C10685	S106 HRA Land Review	232				232
Culture Capital Programme	Place	C10625	Priory Park Water Main	(25)				(25)
	Place	C10925	Leigh Library Gardens - urgent works	25				25

VIREMENTS BETWEEN APPROVED SCHEMES

Appendix 3

Scheme/Event	Department	Project Code	Project Description	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Budget (all years) £000
<u>Budget Adjustments already actioned</u>								
	Chief Executive	C10121	Priority Works	(20)				(20)
	Place	C10912	ICT Southend and Schools Network Migration	20				20
	Chief Executive	C10121	Priority Works	(32)				(32)
	Chief Executive	C10840	Ropers Farm Cottages - water supply	32				32
	Chief Executive	C10121	Priority Works	(21)				(21)
Priority Works Capital Programme	Chief Executive	C10911	Sutton Road Cemetery Road Repairs	21				21
	Chief Executive	C10121	Priority Works	(45)				(45)
	Chief Executive	C10919	Darlows Green former WCs demolition	45				45
	Chief Executive	C10121	Priority Works	(12)				(12)
	Chief Executive	C10920	Delaware House plumbing works	12				12
	Chief Executive	C10121	Priority Works	(75)				(75)
	Place	New	Prittlebrook Greenway - Undermining	75				75
				0	0	0	0	0

BUDGET RE-PROFILES

Appendix 4

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Scheme/Event	Department	Code	Code Description	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Budget (all years) £000
Asset Management Capital Programme	Chief Executive	C10750	Library Car Park Reconstruction and Enhancement	(3,861)	2,086	1,775	3,155	0
	Chief Executive	C10748	Civic East Car Park Redevelopment		(155)	(3,000)		0
	Chief Executive	C10656	Seaways - HCA Condition Funding	(170)	170			0
	Chief Executive	C10919	Darlows Green - former WCs demolition	(40)	40			0
	Chief Executive	C10734	Pier Arches Toilets - waterproofing solution	(30)	30			0
	Chief Executive	C10751	Queensway - Commercial Property	(500)	100	400		0
	Chief Executive	C10913	Land Acquisition	(2,000)		2,000		0
Transformation Capital Programme	Chief Executive	C10757	Channel Shift	(265)	265			0
Adult Social Care Capital Programme	People	C10621	LATC - Delaware and Priory	(936)	936			0
	People	C10184	Mental Health Funding Stream	(36)	36			0
	People	C10689	Transforming Care Housing	(163)	163			0
Children and Learning Capital Programme	People	C10282	Short Breaks for Disabled Children	(64)	64			0
Schools Capital Programme	People	C10475	School Improvement & Provision for School Places	(4,500)	4,500			0
General Fund Housing Capital Programme	People	C10146	Private Sector Renewal	(615)	165	450		0
	People	C10503	PSH Works in Default - Enforcement works	(138)	138			0
	People	C10145	Disabled Facilities Grant	(610)	610			0
	People	C10020	Empty Dwelling Management	(357)	357			0
S278/S38/S106 Capital Programme	People	C10857	S106 3 Acacia Drive - affordable housing	(177)	177			0
	People	C10852	S106 Essex House - affordable housing	(320)	320			0
	Place	C10730	S278 Bellway Homes	(3)	3			0
	Place	C10746	S38 Bellway Homes	(78)	78			0
	Place	C10193	S38 Fossetts Farm Bridleway	(64)	64			0
	Place	C10275	S38/S278 Airport	(80)	80			0
	Place	C10801	S106 Avenue Works - Public Art	(15)	15			0
	Place	C10861	S106 Former Balmoral – public art contribution	(1)	1			0
	Place	C10724	S106 Bellway Prittlebrook - education	(306)	306			0
	Place	C10841	S106 Albany Court - education	(44)	44			0
	Place	C10860	S106 Former Balmoral – education	(22)	22			0
	Place	C10276	S106 Audley Court 0200874 Ful - CCTV	(10)	10			0
	Place	C10810	S106 Garrison 0000777 Depost - CCTV	(1)	1			0
Coastal Defence Capital Programme	Place	C10011	Coastal Defence (Shoebury Common Sea Defence Scheme)	(275)	(3,220)	3,295	200	0
	Place	C10888	Improving Resilience of the Borough to Flooding from Extreme Weather Events	(125)	125			0
	Place	C10784	Cliff Slip Investigation Works	(246)	246			0

BUDGET RE-PROFILES

Appendix 4

Scheme/Event	Department	Code	Code Description	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Budget (all years) £000
Energy Saving Schemes Capital Programme	Place	C10788	Energy Efficiency Projects	(640)	640			0
	Place	C10740	Schools and Council Buildings Solar PV	(214)	214			0
	Place	C10789	Solar PV Projects	(924)	924			0
Southend Pier Capital Programme	Place	C10887	Southend Pier - Pier Entrance Enhancement	(100)	100			0
	Place	C10905	Southend Pier - Prince George Extension Works (phase two)	(939)	939			0
	Place	C10886	Southend Pier - Timber Outer Pier Head	(250)	250			0
Culture Capital Programme	Place	C10624	Library Review	(156)	156			0
	Place	C10623	Belfairs Swim Centre	(40)	40			0
	Place	C10777	Belton Hills Steps	(1,467)	1,467			0
	Place	C10776	New Museum - Gateway Review	(750)	750			0
	Place	C10782	Palace Theatre - Air Handling Units	(220)	220			0
	Place	C10781	Southchurch Park Tow Path	(50)	50			0
	Place	C10739	Southchurch Park Bowls Pavilion	(20)	20			0
	Place	C10043	Prittlewell Prince Research	(38)	38			0
	Place	C10876	Cliffs Pavilion - External Refurbishment Works	(250)	250			0
	Place	C10565	Energy Improvements in Culture Property Assets	(55)	55			0
	Place	C10779	Playground Gates	(64)	64			0
	Place	C10696	Prittlewell Prince Storage	(35)	35			0
	Place	C10044	Pump Priming Budget	(95)	95			0
Community Safety Capital Programme	Place	C10867	Central Museum Works	(120)	120			0
	Place	C10894	CCTV Equipment Renwal	(400)	400			0
ICT Capital Programme	Place	C10896	Digitisation of Paper Records	(45)	45			0
	Place	C10767	ICT Priority Works	(100)	100			0
	Place	C10895	ICT - Core Application and Database Migration	(75)	75			0
	Place	C10899	ICT - Mobile Working and Enterprise Mobility	(45)	45			0
	Place	C10900	ICT - Phones Migration and Re-Tender	(80)	80			0
	Place	C10768	Mobile Device End Point Protection Replacement	(90)	90			0
	Place	C10904	ICT - Intelligence Hub	(450)	450			0
	Place	C10898	ICT - Central Government IT Security Compliance	(40)	40			0
	Place	C10580	Wireless Borough/City Deal	(335)	335			0
Enterprise, Tourism and Regeneration Capital Programme	Place	C10261	Airport Business Park	1,042	(11,920)	7,641	3,237	0
	Place	C10747	Better Queensway - Regeneration	(575)	575			0

BUDGET RE-PROFILES

Appendix 4

Scheme/Event	Department	Code	Code Description	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Budget (all years) £000
Highways Capital Programme	Place	C10115	Cinder Path	(75)	(627)	702		0
	Place	C10058	Southend Transport Model	(40)	40			0
	Place	C10553	A127 Junction Improvements	(300)	300			0
	Place	C10512	LTP (Integrated Transport block) - Bridge Strengthening	(471)	471			0
		C10384	LTP (Integrated Transport block) - Better Sustainable Transport	(200)	200			0
	Place	C10671	LTP (Integrated Transport block) - Better Networks	(264)	264			0
	Place	C10470	LTP (Integrated Transport block) - Traffic Control Systems	(131)	131			0
	Place	C10076	LTP Maintenance	(210)	210			0
	Place	C10699	Local Growth Fund - A127 Growth Corridor	(1,620)	1,620			0
	Place	C10702	Local Growth Fund - Southend Central Area Action Plan	(275)	275			0
Parking Management Capital Programme	Place	C10890	Improved Car Park Signage and Guidance Systems	(120)	120			0
HRA Capital Programme	HRA	C10168	Common Areas Improvements	(1,000)	1,000			0
	HRA	C10614	Acquisition of tower block leaseholds - Queensway	(500)	500			0
				(28,878)	9,023	13,263	6,592	0

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NEW SCHEMES FINANCED BY EXTERNAL FUNDING

Appendix 5

Scheme/Event	Department	Project Code	Project Description	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Budget (all years) £000
Adult Social Care Capital Programme	People	C10526	Community Capacity	4				4
Coastal Defence Capital Programme	Place	C10921	Southend Highway Flood Reduction and Resilience Improvement Scheme		565			565
S106 Capital Programme	Place	C10916	S106 3-5 High Street - Education		9			9
	Place	C10724	S106 Bellway Prittlebrook - education		317			317
				4	891	0	0	895

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SUMMARY OF CHANGES TO THE CAPITAL PROGRAMME

Appendix 6

Scheme/Event	Department	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Budget (all years) £000
Approved Capital Programme - June Cabinet		95,571	70,433	43,882	22,407	232,293
Proposed changes:						
Herbert Grove	Chief Executive	150				150
Toilet Refurbishment Thorpe Hall Avenue	Chief Executive	(29)				(29)
Acquisition of Leased Asset	Chief Executive	19				19
Learning Management System	People	70	50			120
Warmer Healthy Homes	People	(16)				(16)
S106 18-22 Southchurch Rd - education*	Place	(7)				(7)
S106 22-23 The Leas - education*	Place	(41)				(41)
S106 3 Acacia Drive - education*	Place	(27)				(27)
S106 97-99 Rochford Rd - education*	Place	(16)				(16)
S106 Essex House - education*	Place	(34)				(34)
S106 Hinguar - education*	Place	(160)				(160)
S106 Saxon Lodge – education*	Place	(16)				(16)
S106 Bellway Prittlebrook*	Place	(17)				(17)
Virements (see Appendix 3)	Various	0	0	0	0	0
Budget re-profiles (see Appendix 4)	Various	(28,878)	9,023	13,263	6,592	0
New external funding (see Appendix 5)	Various	4	891	0	0	895
Current Programme - following amendments		66,573	80,397	57,145	28,999	233,114

Brackets indicate a reduction in budget

* Deletion of duplicate budgets

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Scheme	Project code	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Current Budget £000
Department of the Chief Executive						
Seaways - HCA Condition Funding	C10656		170			170
Civic East Car Park Redevelopment	C10748				4,840	4,840
Chalkwell Esplanade Toilets Roof Repairs	C10862	2				2
Commercial Property Investment	C10749	5,250				5,250
Darlows Green former WCs demolition	C10919	5	40			45
Delaware House Plumbing works	C10920	12				12
Demolition of Leigh Cliffs Public Toilets	C10853	3				3
East Beach Café Project	C10644	32				32
Herbert Grove Security	C10854	160				160
Land Acquisition	C10913	7,500		2,000		9,500
Library Car Park Reconstruction and Enhancement	C10750	125	4,100	1,775		6,000
New Beach Huts Phase 2	C10631	120				120
Pier Arches toilets - waterproofing solution	C10734		30			30
Porters Civic House and Cottage	C10571	9				9
South Essex College	C10908	3,500				3,500
Queensway - Commercial Property	C10751		500	400		900
Ropers Farm Cottages - water supply	C10840	79				79
Seaways Development Enabling Works	C10643	16				16
Urgent Works To Property	C10181	26				26
Acquisition of Leased Asset	New	19				19
	Total Asset Management	16,858	4,840	4,175	4,840	30,713
Channel Shift	C10757	301	265			566
	Total Transformation	301	265			566
Essential Crematorium/Cemetery Equipment	C10572	48				48
New Burial Ground	C10054	5				5
Pergola Walk Memorial Scheme	C10755	288				288
Replacement Boiler at Southend Crematorium	C10866	130				130
Sutton Road Cemetery Road Repairs	C10911	21				21
	Total Cemeteries & Crematorium	492				492
Priority Works	C10121	283	500	500	500	1,783
	Total Priority Works	283	500	500	500	1,783
	Total Department of the Chief Executive	17,934	5,605	4,675	5,340	33,554

Scheme	Project code	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Current Budget £000
Department for People						
Community Capacity	C10526	450				450
Dementia Friendly Environments	C10598	27				27
Learning Management System	New	70	50			120
Mental Health Funding Stream	C10184		36			36
Transforming Care Housing	C10689		163			163
LATC - Delaware and Priory	C10621	150	5,094	6,300		11,544
Total Adult Social Care		697	5,343	6,300		12,340
Disabled Facilities Grant	C10145	1,500	1,353			2,853
Empty Dwelling Management	C10020		357			357
PSH Works in Default - Enforcement Work	C10503		138			138
Private Sector Renewal	C10146	10	615	450		1,075
Total General Fund Housing		1,510	2,463	450		4,423
S106 3 Acacia Drive 1401434FULM - affordable housing	C10857		177			177
S106 Essex House 1600116DOV - affordable housing	C10852		320			320
Total Housing S106 Agreements			497			497
AHDC Short Breaks for Disabled Children	C10282		64			64
Total Children & Learning Other Schemes			64			64
S106 3-5 High Street - Education	C10916		9			9
S106 Albany Court 1500369AMDT - education	C10841		44			44
S106 Bellway Prittlebrook - education	C10724		623			623
S106 Former Balmoral 1400914FULM – education	C10860		22			22
Total Education S106 Agreements			698			698
Bournes Green Junior Boiler	C10868	135				135
Chalkwell Infants Main Building Windows	C10870	80				80
Earls Hall Ducts and Pipework	C10711	68				68
Edwards Hall Roofs	C10713	23				23
Fairways Fire Alarm	C10872	42				42
Future condition projects	C10024	129				129
Futures Heating and Pipe Ducts	C10714	68				68
Leigh Northy Street Windows (H&S)	C10907	42				42
Richmond Roof	C10873	17				17
St Nicholas Roof	C10924	100				100
Total Condition Schemes		704				704

Scheme	Project code	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Current Budget £000
Devolved Formula Capital	C10014	173				173
Total Devolved Formula Capital		173				173
Small Friends Expansion	C10863	60				60
Friars Primary School	C10864	332				332
Edwards Hall	C10865	144				144
Total Early Years		536				536
Expansion of 2 yr old Childcare Places	C10558	65				65
School Improvement and Provision of School Places	C10475	5,589	12,695	8,579	3,425	30,288
SEN Improvement and Provision of School Places	C10910	74				74
Total Primary and Secondary School Places		5,728	12,695	8,579	3,425	30,427
Total Department for People		9,348	21,760	15,329	3,425	49,862

Scheme	Project code	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Current Budget £000
Department for Place						
ASO Machinery Purchase	C10731	4				4
Belfairs Swim Centre	C10623	3	40			43
Belfairs Woodland Centre Project	C10502	15				15
Belton Hills Steps	C10777	30	1,467			1,497
Central Museum Works	C10867	30	220			250
Chalkwell Park and Priory Park Tennis Courts	C10682	52				52
Chase Sports & Fitness Centre - Fire Alarm	C10732	4				4
Chase Sports and Fitness Centre - Lighting Fitting Replacement	C10875	70				70
Cliffs Pavillion - External Refurbishment works	C10876	70	250			320
Energy Improvements in Culture Property Assets	C10565	55	55			110
Hard Surface Path Improvements	C10566	13				13
Leigh Library Gardens - urgent works	C10925	25				25
Library Review	C10624	30	156			186
"Make Southend Sparkle" Initiative	C10778	10	10			20
New Museum - Gateway Review	C10776	750	750			1,500
Palace Theatre - Air Handling Units	C10782	13	220			233
Palace Theatre Boilers Replacement	C10877	125				125
Palace Theatre - Replacement of Asbestos Stage Safety Curtain	C10878	25	75			100
Palace Theatre - Replacement of External Windows	C10725	2				2
Pier Hill Lifts Tower Leaks	C10856	1				1
Property Refurbishment Programme	C10626	310	500	500		1,310
Playground Gates	C10779	64	64			128
Prittlewell Prince Research	C10043		38			38
Prittlewell Prince Storage	C10696		35			35
Pump Priming Budget	C10044	5	328			333
Replacement and Upgrade of Parks Furniture	C10879	30	30	30	30	120
Replacement of Play Equipment	C10780	57	50			107
Sidmouth Park - Replacement of Play Equipment	C10880	75				75
Southchurch Park Bowls Pavillion	C10739		20			20
Southchurch Park Tow Path	C10781	200	50			250
Southend Cliffs - Replacement of Handrails	C10881	45				45
Southend Leisure and Tennis Centre - Building Management System (BMS) Control	C10882	100				100
War Memorials within the Borough	C10569	4				4
Wheeled Sports Facility Central Southend Area	New		25	225		250
Total Culture		2,217	4,383	755	30	7,385

Scheme	Project code	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Current Budget £000
S106 23/04/2015 Hinguar and Saxon - public art contribution	C10845	18				18
S106 Ajax Works 0300130ful - landscaping maintenance	C10199	3	3			6
S106 Albany Court 1500369AMDT - public art contribution	C10846	26				26
S106 Avenue Works 1401968AMDT - Public Art	C10801		15			15
S106 Former Balmoral 1400914FULM – public art contribution	C10861		1			1
S106 Bellway Prittlebrook 1400943FULM - Local play facilities	C10804	15				15
S106 Former College 1000225FUL - Tree Replacement	C10207	11				11
S106 Garrison 0000777 Deposit - information boards	C10811	2				2
S106 Garrison 0000777 Deposit - Junior Play Area maintenance	C10812	10				10
S106 Garrison 0000777 Deposit - Toddler Play Area maintenance	C10815	6				6
S106 Garrison Park Store	C10188	1				1
S106 Lifstan Way 0000273 Out - Open Space Maintenance	C10269	10	72			82
S106 North Shoebury Road 0301504out - Public Art	C10819	74				74
S106 North Shoebury Road 0301504out - Shoebury Park Enhancement	C10205	72				72
S106 North Shoebury Road 0301504out - Shoebury Park Maintenance	C10820	39	33	231		303
S106 Sunlight Ldry 1400411FULM - Public Art	C10821	14				14
Total Culture S106 Agreements		301	124	231		656
Barracuda Replacement	C10756	30				30
DEFRA Inspire III	C10640	4				4
Digitisation of Paper Records	C10896	1	45			46
ICT Priority Works	C10767		100			100
ICT - Core Application and Database Migration	C10895		75			75
ICT Capita One Enhancements/Developments	C10633	7				7
ICT - Childrens and Adults Social Care - Development of the Liquid Logic Case Management System	C10637	1,433	260			1,693
ICT Core Infrastructure	C10575	180				180
ICT - Central Government IT Security Compliance	C10898	35	115			150
ICT - Intelligence Hub	C10904	67	450			517
ICT - Digitally Enable the Council Offices	C10897	80	40			120
ICT Enterprise Agreement	C10636	280	280	280		840
ICT - Mobile Working and Enterprise Mobility	C10899	40	45			85
ICT - Phones Migration and Re-Tender	C10900		80			80
ICT Rolling Replacement Programme	C10576	200	200	200		600
ICT Southend and Schools Network Migration	C10912	20				20
ICT - Southend Network Monitoring Equipment	C10901	40	20			60
ICT - Upgrade of Capacity of Internet	C10902	150				150
ICT - Upgrade of Enterprise Resource Planning (ERP) System	C10903	75				75
Mobile Device End Point Protection Replacement	C10768		90			90
Place - Culture - Hardware in Libraries	C10764	9				9
Place - Culture and Enterprise and Tourism - EPOS System	C10758	30				30
Replacement and Enhancement to Cash Receipting System	C10578		18			18
Software Licencing	C10426	349	320	320		989

Scheme	Project code	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Current Budget £000
Websense Replacement	C10770	30				30
Wireless Borough/City Deal	C10580	8	335			343
Total ICT Programme		3,068	2,473	800		6,341
Airport Business Park (including Local Growth Fund)	C10261	6,117	11,653	10,191	3,237	31,198
City Deal - Incubation Centre	C10668	34				34
Better Queensway - Regeneration	C10747	628	575			1,203
Queensway - Ground Penetrating Radar	C10745	9				9
Resorts Assets	C10883	50				50
Total Enterprise, Tourism & Regeneration		6,838	12,228	10,191	3,237	32,494
Southend Pier - Bearing Refurbishment (Phase One)	C10885	500	500			1,000
Southend Pier - Condition Works Engineers	C10697	825	792	967		2,584
Southend Pier - Condition Works Surveyors	C10918	230	343	518		1,091
Southend Pier - Pier Entrance Enhancement	C10887	150	150			300
Southend Pier - Pier View Gallery	C10855	198				198
Southend Pier - Pier Pavilion Platform Detailed Design (Gateway Review One)	C10884	125	125			250
Southend Pier - Prince George Extension (Phase Two)	C10905	200	1,689	750		2,639
Southend Pier - Structural Works	NEW				500	500
Southend Pier - Timber Outer Pier Head	C10886	250	5,250	2,500		8,000
Total Southend Pier		2,478	8,849	4,735	500	16,562
Cliff Slip Investigation Works	C10784	30	246			276
Coastal Defence (Shoebury Common Sea Defence Scheme)	C10011	50	200	3,795	200	4,245
Improving Resilience of the Borough to Flooding from Extreme Weather Events	C10888	125	125			250
Southend Highway Flood Reduction and Resilience Improvement Scheme	C10921		565			565
Southend Shoreline Strategy	C10843	72				72
Total Coastal Defence and Foreshore		277	1,136	3,795	200	5,408
Carriageways and Footways Improvements	C10786	1,007	1,000	1,000		3,007
Cinder Path	C10115		100	702		802
Gaist Highways Asset Management Project	C10785	20				20
Highways Maintenance - Potholes	C10588	102	65	65	65	297
Highways Planned Maintenance Investment	C10029	682				682
National Productivity Investment Fund	C10889	459				459
Prittlebrook Greenway - Undermining	New	75				75
Street Lighting Renewal	C10061	4,014				4,014
Total Highways & Infrastructure		6,359	1,165	1,767	65	9,356

Scheme	Project code	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Current Budget £000
S106 22-23 The Leas 0700820FULM - bus service contribution	C10832	43				43
S106 Former Coll 0801062FULM - Transport Contribution	C10203	8				8
S106 Essex House 1500521FULM - bus stop improvement	C10793	3				3
S106 Premier Inn 1300835FULM - Bus Stop Improvement	C10653	5				5
S106 Former College 1500803BC4M - parking survey contribution	C10893	10				10
S106 285 Sutton Rd 1100087FULM - Highway Works	C10796	15				15
S106 Avenue Works 1401968AMDT - cycleway improvement	C10727	1				1
S106 Bellway Prittlebrook 1400943FULM - TRO Contribution	C10808	5				5
S106 High Works Shoe Garrison	C10213	2				2
S106 Albany Court 1500369AMDT - signage contribution	C10842	10				10
S106 Hinguar 1401672BC4M - highway contribution	C10851	5				5
S106 North Road and Salisbury Ave 1200056 - Highway Works Contribution	C10816	2				2
S106 Sunlight Ldry 1400411FULM - Highway Works	C10686	2				2
S106 Texsol Kenway 1500468FULM - highway	C10849	13				13
S106 Texsol Kenway 1500468FULM – public realm contribution	C10858	14				14
S106 Seec 0200500ful - Highway Works	C10073	104				104
S106 Univ H-Way0401561ful	C10196	4				4
Total Highways S106 Agreements		246				246
Car Park Infrastructure Improvements	C10787	304				304
Car Parks Upgrade	C10151	33				33
Improved Car Park Signage and Guidance Systems	C10890	155	305	25		485
Total Parking Management		492	305	25		822
S38/S278 Airport 0901960 Fulm	C10275	20	80			100
S38 Bellway Homes 14/00943/fulm	C10746	7	78			85
S38 Old Hinguar School	C10859	7				7
S78 Bellway Homes 14/00943/fulm	C10730	7	3			10
S38 Fossetts Farm Bridleway	C10193	20	64			84
S38 Garrison NBP Road Supp Fee	C10267	9				9
S38 Inspection Magazine Rd	C10190	5				5
Total S38, S278 & S78 Agreements		75	225			300
LTP (Integrated Transport block) - Bridge Strengthening	C10512	171	821	350	350	1,692
LTP (Integrated Transport block) - Better Sustainable Transport	C10384	200	600	400	400	1,600
LTP (Integrated Transport block) - Better Networks	C10671	163	664	400	400	1,627
LTP (Integrated Transport block) - Traffic Management Schemes	C10513	475	400	400	400	1,675
LTP (Integrated Transport block) - Traffic Control Systems	C10470	70	332	201	201	804
LTP - Maintenance	C10076	619	831	621	621	2,692
LTP - Maintenance - Street Lighting	C10708		150	150	150	450
Total Local Transport Plan		1,698	3,798	2,522	2,522	10,540

Scheme	Project code	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Current Budget £000
Local Growth Fund - A127 Growth Corridor	C10699	1,657	6,060	3,120	3,000	13,837
Local Growth Fund - Southend Central Area Action Plan (SCAAP) Growth Point (Non-Transport)	C10701		500	1,000	4,480	5,980
Local Growth Fund - Southend Central Area Action Plan (SCAAP) Growth Point (Transport)	C10702	1,925	2,275	2,000		6,200
Total Local Growth Fund		3,582	8,835	6,120	7,480	26,017
A127 Junction Improvements	C10553	102	300			402
HCA Progress Road	C10254	18				18
Southend Transport Model	C10058	30	40			70
Travel Centre - Bus Service Provision in the Town Centre	C10892	50				50
Total Transport		200	340			540
CCTV Equipment Renewal	C10894	20	400			420
Total Community Safety		20	400			420
S106 Audley Court 0200874 Ful - CCTV	C10276		10			10
S106 Garrison 0000777 Depost - CCTV	C10810		1			1
Total Community Safety S106 Agreements			11			11
Beecroft and Central Museum Energy Project	C10738	270				270
Civic Centre Boilers - Low Loss Header	C10676	20				20
Civic Centre CHP/Lifts Feasibility	New	5				5
Civic Centre Lifts Regeneration	New	33				33
Energy Efficiency Projects	C10788	33	765			798
LED Lighting - Civic Centre Underground Car Park	C10662	19				19
Old Beecroft Ground Source Heat Pump Feasibility	New	15				15
Pier Energy Efficiency Scheme	New	64				64
Solar PV Projects	C10789	35	924			959
Schools and Council Buildings Solar PV	C10740	106	214			320
Total Energy Saving		600	1,903			2,503
Total Department for Place		28,451	46,175	30,941	14,034	119,601
Total General Fund Capital Schemes		55,733	73,540	50,945	22,799	203,017

Scheme	Project code	2017/18 Budget £000	2018/19 Budget £000	2019/20 Budget £000	2020/21 Budget £000	Total Current Budget £000
Housing Revenue Account (HRA)						
Bathroom Refurbishment	C10161	140	8			148
Central Heating	C10162	500	644			1,144
Common Areas Improvement	C10168	3,200	1,000			4,200
Environmental - H&S works	C10163	750	1,070			1,820
Kitchen Refurbishments	C10164	170	149			319
Rewiring	C10165	963				963
Roofs	C10166	450	316			766
Windows and Doors	C10167	530				530
Future Programme (MRA & Decent Homes)	C10298		3,170	6,200	6,200	15,570
	Total Decent Homes Programme	6,703	6,357	6,200	6,200	25,460
HRA Disabled Adaptations - Major Adaptations	C10015	515				515
HRA Disabled Adaptations - Minor Adaptations	C10257	50				50
	Total Council House Adaptions	565				565
Sheltered Housing DDA works	C10177	345				345
	Total Sheltered Housing Remodelling	345				345
S106 HRA Land Review	C10685	3,047				3,047
	Total S106 Funded HRA Projects	3,047				3,047
Construction of New Housing on HRA Land	C10684	65				65
Acquisition of leasehold property	C10909	115				115
Acquisition of tower block leaseholds - Queensway	C10614		500			500
	Total Other HRA	180	500			680
	Total HRA Capital Schemes	10,840	6,857	6,200	6,200	30,097
TOTAL PROPOSED CAPITAL PROGRAMME		66,573	80,397	57,145	28,999	233,114

Total Capital Programme 2017/18 to 2020/21

233,114

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Report of Chief Executive

To

Cabinet

on

7th November 2017

Report prepared by: Joe Chesterton,
Director of Finance & Resources

Debt Collection & Recovery Policy – Revised Policy

Policy and Resources Scrutiny Committee

Executive Councillor: Councillor Moring

A Part 1 Public Agenda Item

1. Purpose of Report

- 1.1 The purpose of this report is to inform members of the revised “Debt Collection and Recovery Policy”.

2. Recommendation

That Cabinet:-

- 2.1 Approve the revised “Debt Collection and Recovery Policy” at Appendix A.

3. Background

- 3.1 Southend-on-Sea Borough Council has undertaken a full review of the approach to debt collection to ensure a consistent level of service and collection is achieved across a range of public services. All debts across the council are included as part of the Debt Collection and Recovery Policy.
- 3.2 Following the last Debt Policy report in 2011, the implementation of Agresso ERP IT software was completed. This has now been embedded into Council business processes, which have modernised and improved the way we work in the collection of Sundry and Social Care debts. The Debt Collection and Recovery Policy is a working document to support the Agresso and other IT systems as well as procedures used across the council for collection of debts.

3.3 Key outcomes of the review:-

- Clearly define the responsibilities and accountability of each service area in the collection process.
- Analysis of current debts to assess route cause and lessons to be learnt
- Review of businesses processes to identify improvements to support collection
- Ensure a consistent approach to the raising of debts across the Council
- Ensure businesses and residents that “Can’t pay” have the support, help and advice to manage and pay their debts.
- Ensure that businesses and residents the “Won’t pay” are managed through all available methods of collection.
- Ensure that clear processes are followed and are evidenced prior to identification for write off.
- The processing of write offs is carried out in a timely manner
- Implement Debtor Fraud Initiatives.
- Legal casework is managed effectively, and where beneficial working with our commercial partners to optimise collection.

3.4 The corporate project has reviewed many of the services with a view to ensuring all invoices are raised effectively and in a timely manner.

3.5 Austerity measures are impacting across all demographics within the borough, with this in mind the project has not only looked at improving process and streamlining collection it has also looked at what support can be offered for the residents and businesses of Southend to ensure collection of public funds can be maximised.

3.6 The Debt Collection & Recovery Policy (at Appendix A) will support the council to maximise income which in turn will help to support the council to sustain its services.

4. Reasons for recommendation

To accept the recommendation to approve this strategy will:-

- Present the organisation with a revised policy
- Highlighting to the service areas their responsibilities in the raising and collection of public funds.
- As part of the policy roll out we will identify areas to “Pay in Advance”
- Instil commercial awareness
- Clear guidelines for compliance
- Set Parameters to ensure the service areas work within the agreed levels of service.
- Exceptions process

5. Contribution to Council's Vision & Corporate Priorities

The revised policy will contribute towards the Council priorities of Prosperous and Excellent.

Although flexibility and support for our residents will form part of the approach we cannot be inconsistent and will follow the principle of:-

“Residents/Businesses that Can't Pay”

Support will be a tailored support with payment arrangements and benefit support as well as signposting to other third party organisations. We will demonstrate flexibility to those residents responding to support for managing their debts.

“Residents/Businesses who won't pay”

Clear processes to ensure speed of action by following a strict collection process through to legal debt recovery where appropriate.

This approach will ensure a positive corporate debt management approach for Southend Borough Council. Corporately Southend will be seen to be firm but fair in its long term strategy for debt collection.

This policy will embed commercial awareness and best practice to support the Council's Vision and corporate priorities by ensuring we maximise income to support sustainable services.

6. Financial Implications

Improved collection rates, and cash flow will be the outcome of delivering, implementing and complying with the revised policy.

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

7. Legal Implications

All legal implications have been considered, where appropriate officers with delegated powers will deal with the matter, for any matter above this level Cabinet authorisation will be required.

8. People Implications

The focus of the Policy will be on people who Can't pay and Won't pay. The Council will sign post and support people where needed, and pursue debt using all methods of recovery where appropriate.

9. Property Implications

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

10. Equalities and Diversity Implications

This policy is working under an “Equality Impact Assessment” (EIA) with full consideration to the impact it may have on different demographic groups.

11. Risk Assessment

A risk assessment workshop was carried out with the output Risk register, which was a fundamental part of the on-going project.

12. Value for Money

- Accurate raising of invoices
- Speedier collection
- Better use of Enforcement Agents services
- Fraud initiative implemented
- Revision of legal services (on-going)
- Clear responsibilities and accountabilities
- Residents support package (ongoing)
- Maximisation of income collection

13. Community Safety Implications

There are no Community Safety Implications

14. Environmental Impact

There is no environmental impact

15. Background papers

None

16. Appendices

Appendix A - Debt Collection and Recovery Policy (November 2017)

Appendix A

Southend-on-Sea Borough Council

Debt Collection and Recovery Policy

November 2017

Covering the following areas for Southend Borough Council:

- **Council tax**
- **Housing Benefit**
- **Social care**
- **Sundry Debts**
- **Parking management**

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1.0 Purpose of the Policy

- 1.1 The purpose of this document will set out Southend on Sea Borough Councils strategic approach to the collection of public money across a varied sector of services.
- 1.2 All service providers within the council will need to understand the document and ensure their processes and procedures are suitable to deliver the required outcomes for both the council and residents within the borough.
- 1.3 Whilst it is recognised the financial position of individuals and business owners alike are affected by the government's austerity measures, we are obligated to collect 100% of the revenue to ensure the local authority can operate within the current financial constraints, and to be able to continue to deliver critical services for all residents.
- 1.4 Part of these measures being implemented are "Benefit Reforms" including the introduction of Universal Credit, which will impact on many of our residents who currently claim a number of benefits. We will need to consider very carefully how these residents will be able to pay these debts, as we already have many residents with an attachment to their Benefits to clear outstanding arrears.
- 1.5 The document will also give clear guidance on the appropriate levels of credit checks and assessment required prior to service delivery. As clearly we are and must continue to be ethical in our approach to delivering chargeable services. Although credit checks and assessments are a good indicator to someone's ability to pay back a debt it cannot be relied on totally. This is about mitigating the council's risk for exposure to bad debt and also supports our residents and businesses from falling into increased debt.
- 1.6 It will give clear instruction on "Payment in Advance" service areas where possible will collect monies in advance of service delivery, this will prevent debt and will ensure the service requester has the means to pay in advance of the service.
- 1.7 Whatever service is being delivered, the key to excellent collection is to ensure we collect the outstanding monies at the earliest possible stage. Therefore the document will set out the required timescales to resolve queries and complaints, which have historically resulted in loss of revenue when not dealt with appropriately.
- 1.8 In essence it will set out a corporate approach to debt collection and will ensure every available means will be used to collect outstanding monies.
- 1.9 Including:-
 - Payment in advance of service delivery
 - Revised reminder process to speed up collection in accordance with the relevant legislation

-
- Channel shift/ Promotion of On Line Services
 - Promotion of Direct Debit as the optimum method of payment
 - Payment arrangements within a set criteria
 - Legal framework
 - Fraud initiative

2.0 Introduction

- 2.1 The Council has a duty to recover outstanding debt and in doing so seeks to ensure all monies due are collected in a timely and efficient way, ensuring that its processes are fair to everyone. To this end, all debts are administered in line with corporate policy, national legislation and financial procedure rules. Overall responsibility relating to the management and recovery of debt rests with the Section 151 Officer.
- 2.2 Recovery of outstanding debts relating to Council Tax, NDR (Business Rates) are undertaken by the Revenues team, Housing Benefit Overpayments are recovered within the Benefits team. Recovery of outstanding debts relating to Sundry Debts are undertaken by the Accounts Receivable team who report directly to the Group Manager for Revenues.
- 2.3 Recovery of outstanding Social Care debt is undertaken by the finance team within the “People” directorate. It is widely recognised across local government due to the nature and complexity of this debt, it requires a specialist knowledge. It is also recognised that when dealing with this sensitive area of collection, arrears will be pursued with care and a specialist knowledge. See Annex 1 Social Debt Policy 2017 on specific collection processes regarding Social Care Debts.
- 2.4 - The key aim of this policy is as follows:-

To maximise the level of income collected by the Council by;

- Reducing the level of debt
- Accurate and timely billing with evidence to justify the Invoice/bill.
- Effective and timely recovery processes
- Utilising the appropriate recovery method by debt type
- Recognising that causes of debt vary and recovery methods should be focused accordingly. Debt will be categorised and methods of recovery focused by type, with debtors identified either as:-
‘Can’t Pay’ or Won’t Pay’:

3.0 Can't Pay

Our Customers and businesses will receive appropriate assistance and support through debt management and benefit advice, our residents or businesses will be helped to make and adhere to payment arrangements and understand options to minimise costs in the future.

There could be several reasons where clients could fall into this category including but not exclusively:-

- Unemployment
- Hardship due to personal illness
- Mental health issues
- Alcohol or drug dependence
- Imprisonment
- Difficult family issues

We have experienced staff within the authority who will support and work with our residents and businesses that experience debt, and will also sign post to the advice sector for further support including:-

- Citizen Advice,
- Step Change
- and other appropriate support organisations

4.0 Won't Pay

All available and appropriate methods of recovery will be considered depending on the nature of the debt and the individual or businesses circumstances including their assets and income.

General Principles

- That the citizens and businesses of Southend on Sea have a responsibility to pay for the services they receive and the charges for which they are liable.
- Council Tax revenue collected by the Council on behalf of tax payers is recognised in legislation as priority debt, and debtors must give priority to the payment of these debts.
- Wherever possible and when appropriate, services will not be provided until payment has been made and cleared funds received.
- The cost of collection will be minimised by encouraging citizens to use the most cost effective payment methods such as direct debit. Online and debit card payments will also be promoted in preference to other methods such as cash.
- The Council will advise our residents or businesses of any appropriate benefits, exemptions, discounts or other reliefs which may reduce their debt.
- Where the Council is made aware that debtors have multiple debts or require specific budgetary advice, staff will signpost debtors to external advice agencies. The council will endeavour to collect multiple debts at a single point of contact with the debtor whenever possible.
- Disputes in relation to the debt or recovery process will be resolved where possible within 30 days; Debtors will be kept fully informed of the ways in which they can contact the Council to discuss any dispute they may have. It will be the responsibility of the originating service area to resolve these disputes. Any disputes that run beyond the 30 days will be escalated to the relevant service manager.
- Where part of the debt is disputed the Council will still continue to collect the undisputed amount within the legislation at the earliest possible opportunity whilst also dealing effectively with the disputed debt. It must be made clear at the initial contact with the client they must pay the undisputed part of the debt.
- When correspondence between the citizen/business and the responsible department fails to rectify any grievance or dispute and the citizen wishes to

make a complaint regarding the way in which the Council has attempted to collect a debt, they will be fully informed of the Council's Feedback/Complaints procedure and will be given assistance to register that complaint.

- The Council will encourage effective sharing of information between departments and will explore the most efficient and effective way of achieving this whilst taking full account of relevant legislation e.g. Data Protection Act (DPA). If any officer of the council is unclear of their responsibilities under the DPA they must ask for advice from the corporate data protection officer to ensure no breach of legislation occurs

5.0 Principles common to all debts

- Every invoice must be correctly addressed to the person or organisation liable to pay it. The name on the invoice will be that of a person or body possessing "legal personality" under the legislation hierarchy.
- Invoices will be issued on the day of production. Exceptions to this must be approved by the relevant manager.
- Where we are dealing with an organisation or Small Medium Enterprise (SME) or any other type of business a purchase order number or payment reference must be entered on the invoice.
- If you do not obtain a Purchase order at the first point of contact with the organisation you will have 14 days to obtain one and pass onto the accounts receivable team.
- Service areas are responsible to compile evidence in the event to secure recovery of the debt through the courts. This must be compiled when an invoice is raised. All documentation relating to the invoice will be kept by the originating department in electronic format for 6 years after the last recovery action adhering to the Corporate Retention Policy.
- In each case the Council will use the most appropriate and effective method of recovery in order to maximise income, working with our commercial partners where appropriate.
- All invoices, reminders and final notices will be issued using the most cost-effective means available.

-
- Officers will employ flexibility and discretion when dealing with hardship, vulnerability or dispute situations. This includes the ability to make deferred payment arrangements or suspend recovery action due to the debtor's individual circumstances..
 - Where appropriate a "Means Test or an Income & Expenditure assessment will be required to ascertain an individual's ability to pay with appropriate evidence to support this.. If this is refused, a payment arrangement may not be possible.

Note: - Arrangements to pay in instalments to clear the full outstanding amount are determined by individual departments, however the maximum period would be a 12 month period, any arrangement which is outside this period must be agreed with the relevant Manager.

- The council has a duty to monitor all payments arrangements and will ensure missed payments are actioned appropriately. The council will dependant on circumstances hold the right to withdraw a payment arrangement making the full amount of debt due.
- Any member of staff, who has an interest in any debt must not participate in any form of monitoring/management of that debt and must declare their interest to their manager. This includes, but is not limited to:
 1. Self, including any business interest i.e. director, accountant
 2. Family members
 3. Friends
- All notices issued by Southend Borough Council will comply with the corporate style and will be easily identifiable as being from Southend Borough Council.
- Prompt recovery action is key to managing debt and maximising income the Council will:-
 1. Set clear targets and timescales for the recovery of debt
 2. Regularly monitor the level and age of debt
 3. Have clear documented recovery procedures and processes
 4. Set and regularly review priorities for specific areas of debt and the recovery methods used to ensure maximum collection
 5. Regularly review irrecoverable debt and submit write-offs for consideration by the appropriate Officer.
All write off approvals will follow Southend Borough Councils constitution.
- Performance in relation to current and aged debt will be produced on a monthly basis and reported directly to the "Chief finance officer".

-
- Write off will only occur when all recovery action has been exhausted. All debts that are written off will be written off against the income code against which it is held. In cases where the debt was originally shown as a balance sheet liability (for example car loans issued prior to the cessation of the scheme), the debt will be written back to the relevant department.
 - Third party recovery agencies will be used when appropriate. Where a third party agency is instructed to carry out activity on behalf of Southend Borough Council, information between the agency and the council will be in a secure electronic format.

6.0 Principles of Enforcement (All debt types)

- The Council will ensure that any enforcement action is:
 1. Proportional - a balance must be struck between the potential loss of income to the Council and the costs of the enforcement action.
 2. Consistent – That a similar approach to enforcement will be taken in similar circumstances to achieve consistency in the:

Advice given
Powers used
Recovery action taken

- At all times the following will be taken into account to inform the collection team of the severity of action to be taken.

The debtor's payment history
The debtor's ability to pay
The social circumstances or vulnerability of the debtor

- Transparent – that reasons and clear explanations will be given for any enforcement action taken.
- If action is required this should be within the guidance and should adhere to the Taking Control of Goods Regulations 2014 and should be clearly explained
- Timescales for actions must be clearly stated and within the regulations.
- A written explanation must be given of any rights of appeal the debtor may have against the enforcement action either before or at the time the action is taken, this will be agreed with our commercial partners during the procurement process and awarding of any contract.

7.0 Collection specific to Sundry Debtors

- Sundry debtors are any other services the Council provides for which monies are due.
- Where practical payment must be received and funds cleared before services are provided “Payment In Advance”.
- Where payment cannot be made before the service is provided invoices must be raised within 5 working days. It is recognised that there will be exceptions where a department is waiting for information from another source e.g. Social Care assessments and service packs
- All invoices must be raised via the corporate debtors system Agresso, the exception being Housing Benefit overpayments, Council Tax and Business Rates which are raised through the Northgate system. Staff responsible for raising invoices/bills must be properly trained in the use of the relevant system. In all other cases invoices will be raised by the accounts receivable (AR) team unless otherwise agreed with the AR Manager.
- Each Department will ensure all invoices are supported by sufficient evidence of the liability to secure recovery through the courts. Such evidence is to be retained and may be requested for any future recovery process as required.
- All staff responsible for providing chargeable services and/or raising invoices must attend a Training Session by the Accounts Receivable Team. This ensures that they understand the principles of the corporate debt strategy and the implications arising from uncollectable debts. System access will be restricted so that only “staff” that completes the training, will be able to raise invoices on the system.
- Information provided on an invoice must include the following:-

What the bill or Liability is for

The Amount Due

How to make a payment

A contact point for all enquiries

The council will provide a choice of convenient methods of payments and details of these options will be advised on each Invoice.

-
- In accordance with accounting principles, the budgets of the originating service will be credited with the value of the invoice at the time the invoice is raised. Where a disputed debt remains unpaid after 3 months the amount will be written back to the budget of the originating department. The Department will remain responsible for resolution of the debt and once paid will receive the income. Exceptions to this must be agreed between the service manager and the Accounts Receivable manager.
 - In line with the general principles of this strategy the originating department must show that payment in advance is considered before the service is provided. If this option is not practical the service should seek payment at the time service is delivered, provided that robust income collection arrangements are established. Sundry debtor accounts should only be raised as a last resort where payment in advance is inappropriate.
 - Before raising an invoice services must consider whether it is cost effective to do so. As a general rule services should not raise invoices for less than £10 unless they have a legal obligation to do so, for example, ground rent income.
 - Ownership of all sundry debts will be with the originating departments Budget Holder and it is only the originating departments that can:
 1. Issue an e-mailed/written instruction to cancel an invoice
 2. Correspond with or discuss with the debtor issues relating to the validity of the debt, which must be in line with the Council's charging and income policy.
 3. Deal with complaints relating to the provision of the service or the raising of the invoice.
 - Except for invoices payable by instalments or as otherwise contractually agreed, the settlement terms for all invoices will be 30 days.
 - Recovery action will commence no later than 10 days after the settlement date has fallen due. All recovery action is the responsibility of the relevant collection team.
 - Where initial recovery action has proved unsuccessful the debt will be referred back to the issuing department for further investigation to enable further recovery action to be taken. If proof of the debt cannot be provided upon request the debt will be considered for write off.

8.0 Collection specific to Housing Benefit Overpayments

- Housing Benefit Overpayments (HBOPs) are not usually created for a person that owns their own home due to the nature of the Benefit, however it does occur in certain circumstances like when a person makes a fraudulent benefit claim and an overpayment is created after an investigation. Additionally overpayments may occur where there is a landlord of properties rented to tenants on benefit.
- A range of remedies are applied to collect overpaid benefit, these include issuing invoices and phoning debtors to secure repayment, deducting amounts from any on-going benefit entitlement, or by receiving payment through an attachment of earnings sent direct by the person's employer. Additionally the debts may be referred to external debt collection firms that undertake lettering, telephony and doorstep visiting strategies in an effort to secure repayment. Despite these efforts some HBOP debts remain uncollected and may require alternative remedies to secure their repayment.
- If the debtor is a home owner the Local Authority can apply for an application for a charging order to be made. This requires proceedings through the County Court, starting with obtaining a judgment against the debtor, however as the authority's local taxation team undertakes such action already when pursuing unpaid council tax, the process is understood, and is a remedy the County Court is familiar with the authority adopting.
- The success of all enforcement action lies in the selectivity of the cases chosen, and for HBOP the intention is to target debts of a significant value and where the debtor has a clear history of either failing to engage with us or make a suitable arrangement to repay their debts. In the circumstances the cases progressed for charging orders would be selected with the utmost care after forensic review and evaluation as part of a concerted effort to secure the repayment of debts owed to the Authority where no other enforcement remedy has proved successful

9.0 Authorisation limits for write offs

Debt Type: Council Tax/ Accounts Receivable/Social Care/ Housing Benefit Overpayments

Designation	Amount
Assistant Manager	under £5,000
Manager	Up to £10,000
Director	Between £10,000 and £25,000
Cabinet	£25,000 and above

Debt Type: NNDR (Non Domestic Rates)

Designation	Amount
Assistant Manager	under £5,000
Manager	Up to £10,000
Director	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

The Recovery Manager will produce a Monthly/Quarterly report for the Group Manager and Director of Service to inform of **All** write offs within the area.

10.0 Methods of Recovery Action

When proof of debt has been confirmed the debt will be referred to the Accounts Receivable Team who will take the necessary action which could include Enforcement.

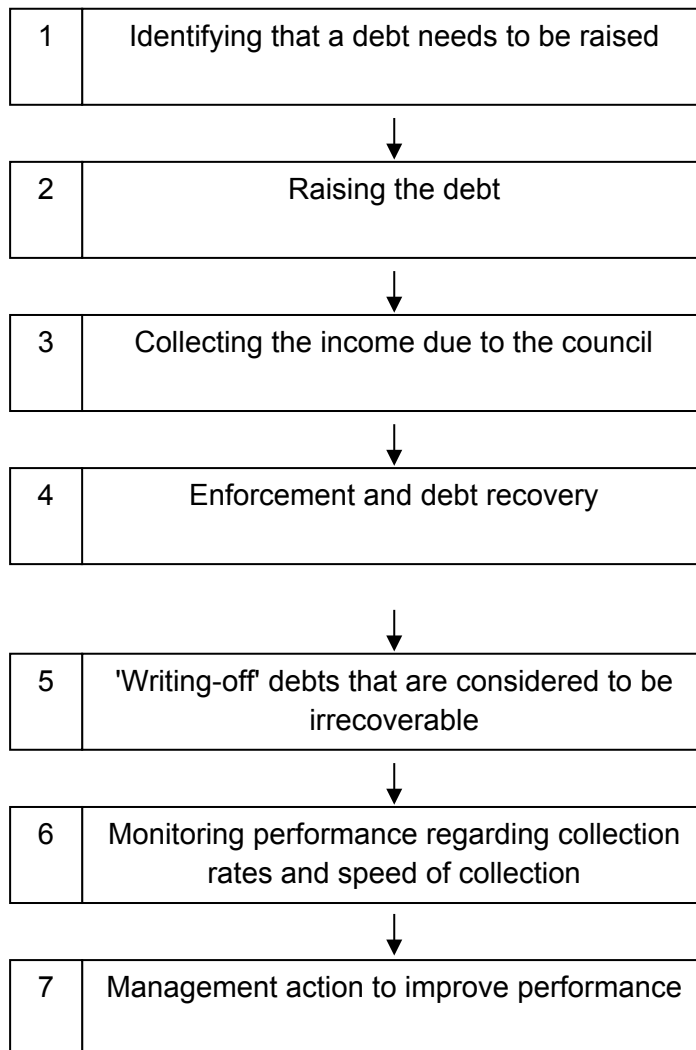
The first method of recovery will be to send cases for “Doorstep Recovery- Non Enforcement action.

If the Council’s Collection Agents are not able to collect the debt, the statutory methods of enforcement will be considered as appropriate to each debt type. These methods include:-

1. Attachment of Earnings
 2. Warrants of execution
 3. High Court Enforcement Officer
 4. Insolvency
 5. Possession proceedings
 6. Third party Debt Orders
 7. Charging Order
 8. Enforced sale of assets
- These methods may only be used after a County Court Judgement is obtained. The methods will be used in accordance with the principles of Legal enforcement.
 - Further enforcement action will be taken where appropriate by converting the debt to a High Court Writ. The decision to convert the debt will be taken by the Revenues Group Manager in agreement with the relevant department Group Manager.
 - The costs of any enforcement action to recover sundry debts will be charged against the budget of the service raising the invoice and any costs recovered from the debtor will be credited against these budgets.
 - Where legally able to do so, services should suspend provision of future services to the debtor until outstanding debts are settled.
 - The Accounts Receivable Team will provide reports to business units on a regular basis usually Monthly/Quarterly, advising the amount of debt raised in the relevant period and the age and value of outstanding accounts.

- The business areas will receive reports detailing accounts which require a decision in relation to on-going recovery action. The reports will detail, but not be limited to, the following:-
 1. Accounts requiring county court action
 2. Accounts where recovery has been suspended by the originating unit
 3. Disputed accounts
 4. Accounts requiring other action
 5. Accounts suitable for write off
- Originating departments must review the reports and communicate their decisions regarding on-going recovery action to the relevant team within 10 working days of receipt of the report; any dispute must be resolved following the corporate complaints procedure timescales.
- The Accounts Receivable Manager will report the position of debts and any concerns regarding collection to the relevant Group Manager and Director as required.

11.0 Debt management process



12.0 Responsibilities to Directorates in the raising of invoices

Directorates responsible for raising invoices must note their responsibilities as part of the Debt recovery process.

Stage 1

Each department is responsible for ensuring services provided are correctly invoiced and agreed with the recipient of the service. Payment in advance must be the approach taken to minimise debt and maximise income whenever possible.

All reasonable efforts must be made to credit check clients in the event of Payment in Advance not being an appropriate method.

Stage 2

IF Payment in Advance is not appropriate:-

The raising of debts will be undertaken by the Accounts Receivable Team wherever possible and by exception will be undertaken by the directorates where agreed by the Chief Finance Officer (or deputy).

To aid debt collection, the Council will provide clear and prompt information about invoices and liabilities.

The information provided will show;

- What the Invoice or liability is for;
- The amount due;
- How to make payment
- Contact details for all enquiries.

When dealing with an organisation a Purchase Order must be obtained to quote on the invoice raised, as this is a commitment to pay from the organisation and should ensure prompt payment upon receipt.

All staff raising debt must have specific training and be made aware of their responsibilities before being authorised in the system to do so. Part of the process will be an assessment to determine if it would be more efficient to raise the debt centrally rather than devolved to a service.

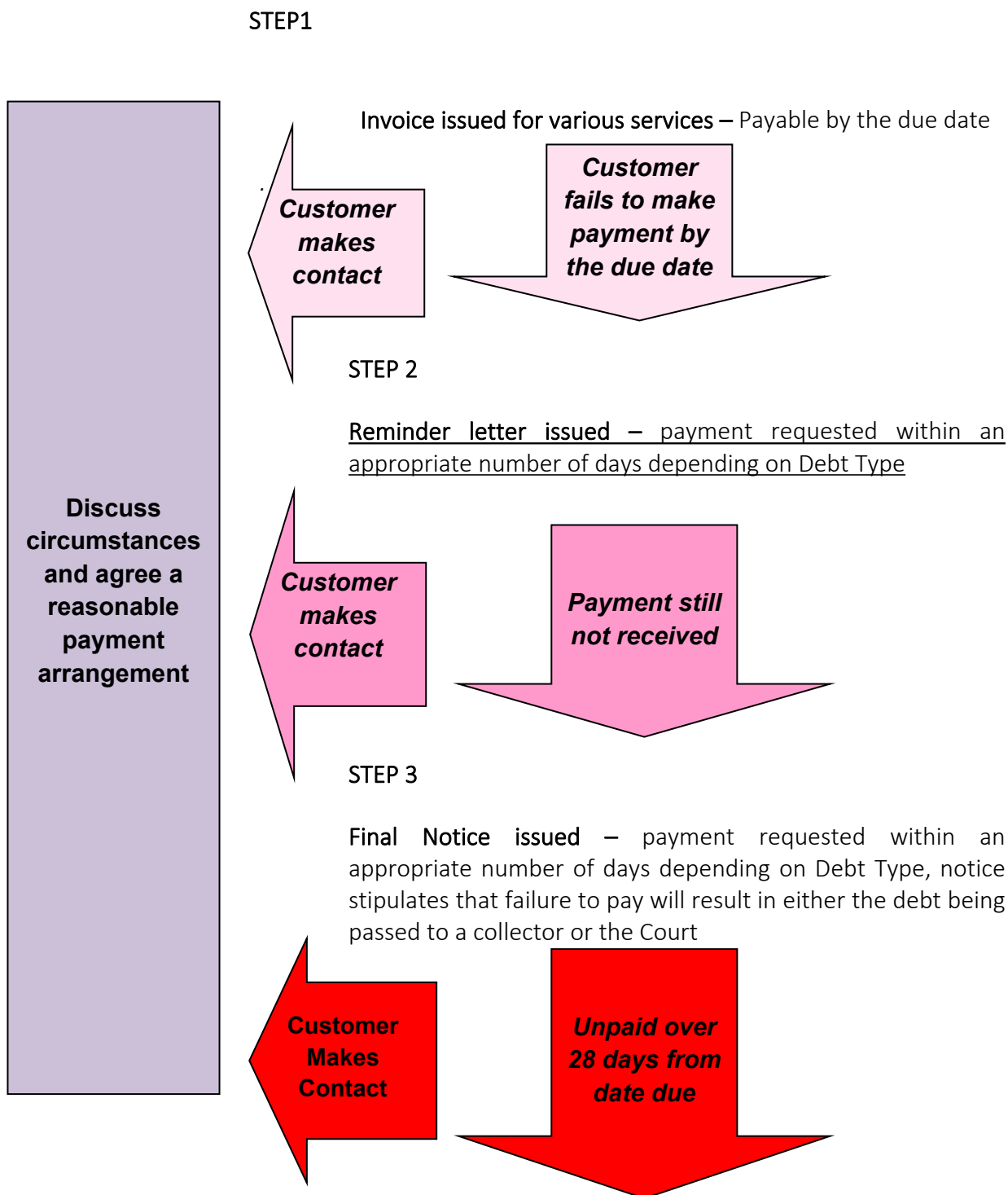
Stage 3

Debt will be collected and recovered through the relevant collection team

- a- Sundry Debtors - Accounts receivable
- b- Social Care - ACS Finance team (supplemented by Annex1 – Adult Social Care – Social Debt Policy)
- c- Parking Enforcement – APCOA third party contractor
- d- Council Tax – Council Tax Revenues Team
- e- Business Rates- Business Rates Revenues team
- f- Housing Benefit – HB Benefits Team

(Accounts receivable manager will support the ACS finance team and supply age debt reports on a monthly basis)

13.0 Stages of collection



Note: - Parking Enforcement follow the same principles, Legislation variances exist and are managed by the service area.

Social Care: - Follows the same principles, complex issues do exist with managing case work. A separate social care strategy document is available which covers the complex issues however where issues do not exist the debts follow the same route to collection.

It is the responsibility of the service area to resolve disputed invoices.

The debt manager will monitor invoices ensuring they are resolved within agreed corporate timescales as laid out within the Corporate Complaints Process.

It is the responsibility of the Debt Manager to:-

- To promote a corporate approach towards sharing debtor information and managing multiple debts owed to the Council
- To acknowledge the role of the recognised advice agencies and to work with such agencies whenever possible
- To treat individuals consistently and fairly regardless of age, race, religion, gender, disability and sexual orientation.

14.0 Payment Arrangements

It is the responsibility of the debt manager to manage payment arrangements

- All payment arrangements will be closely monitored;
- Prompt action will be taken to collect the debt in respect of missed payments;
- The individual should be reminded that the date on which instalments are to be paid is the final date on which money should reach the Council's account;
- The responsibility remains with the individual for making sure they allow sufficient time for the payment to reach the Council's account by the due date;
- Action may be taken, even where payment is received shortly after the due date.
- When payment arrangements are not maintained, it is important to ensure that prompt action is taken (by the individual) to try and bring the arrangement back up to date. Although the Council ideally will require the original agreement to be brought up to date within a short timescale, if there has been a significant change in circumstances it may be possible to negotiate a new arrangement.

It is the responsibility of the Debt Manager to apply charges as agreed by the organisation:-

-
- The first reminder letter will not carry a charge to the customer but will contain a notification that subsequent reminder letters may be subject to a charge.
 - The Council maintains the right to charge for reminder letters and statements.
 - The council maintains the right to charge interest on late payments of certain types of debt in accordance with the agreements in place.

Specifically in relation to:-

- a. Commercial rent agreements
- b. Social Care invoices where the payment is deferred until a client's asset is sold.

Stage 4

It is the responsibility of the service area to supply the relevant evidence/Documentation for the recovery process beyond the reminder stage is pursued.

It is the responsibility of the debt team to carry out all reasonable steps to collect income due to the council.

The debtor's team will manage and are responsible for the process of collection for those clients who **"Won't Pay"** and will use all reasonable action to collect outstanding debt for the service area.

The Debtor's team will manage the process for those clients that **"Can't Pay"** by making reasonable payment arrangements and sign posting for support on debt advice.

In the event of a service area dealing with a payment issue any decision outside of the corporate approach must be agreed by the debt manager.

Extra costs incurred in debt recovery (e.g. legal costs) will be charged to the originating department

Costs recovered through court activity will be credited back to the service area

Stage 5

Once all activity is exhausted and it is clear it is no longer cost effective to collect debts will be promptly written off against the business debt provision.

Budgetary provision is agreed each year to ensure it does not impact on current year services however the provision does impact on service budgets which makes it critical the earlier stages are strictly adhered to ensure service areas can continue to deliver services.

Where it is clear that a debt is uncollectable or is uneconomic to collect it will be promptly written off and the originating department will be charged

Stage 6

It is the responsibility of the debt manager to provide management information on current debtors by means of an Aged debt report

Debt outstanding for more than 30 days will be reported with a narrative of actions to collect subject to appropriate de-minimus levels as agreed by the chief finance officer.

Stage 7

Management action will be taken when necessary to improve performance regarding collection rates and speed of collection, this could include working with our commercial partners who have expertise in specific areas of recovery.

All debt will be invoiced and tracked on the corporate debtors system wherever possible. Where other systems are being used (e.g. PCN) these systems will be kept under review and the debts will be moved to the corporate system when practical. Where the use of the corporate debtors system is not appropriate the system used needs to be approved by the council's chief finance officer (or deputy) and the service area will be responsible for reporting the monthly debt position to ensure an accurate corporate debt position can be understood.

Ownership of the debt remains with the directorate originating the invoice

The directorate requesting the debt has a duty to assist and co-operate with the corporate function to ensure collection of debt

Annex 1

Adult Social Care – Social Debt Policy
November 2017

Index

Introduction

Scope

Care Act 2014

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Instalment Plans

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Residential Care Home Debt

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Complaint Date- Holding Reminders

Safeguarding Concerns

Introduction

Southend Borough Council raises charges for a wide range of services across the organisation. All debts owed should be pursued according to the Corporate Debt Collection and Recovery Policy October 2017.

However it is acknowledged that within the role of the protection of vulnerable adults, there will be some debt that cannot be pursued in the same way. Within the strategy document these are referred to as social debts.

This document sets out the debt recovery process for social debts.

Scope

Adult Social Care within the Department for People makes charges for the following services

- Contributions to residential accommodation
- Charges for Home Care services
- Charges for Community Support services
- Charges for day services
- Charges for transport to services
- Charges to other local authorities
- Charges to Health Authority

Adult Social Care charges are raised within the Department for People by Finance Officers within the Adult Social Care Finance Team, using the corporate financial system Agresso. The Corporate Accounts Receivable Team (AR) authorise the invoices and they are sent by post. If the invoice is unpaid the Agresso system will send 2 reminders at seven day intervals. If the invoice remains unpaid, recovery will pass back to Adult Social Care for action.

The Care Act 2014 introduces a modern legal framework for the recovery of debts as a result of non- payment of care charges. This is covered in section 69 and 70 of the Care Act 2014. The key points are:

- Local authorities should clearly discuss with the person or their representative at the outset that care and support is a chargeable service. Provision of information and advice should cover the person's responsibility to pay for care and support
- Financial assessment – This should be carried out in a timely manner and the person/rep notified in writing of the outcome of the financial assessment, the frequency of invoice and payment methods. They should also be informed of their right to a review and what they should do if they disagree with their financial assessment.
- As part of the financial assessment process, LA's should find out if any person has an enduring Power of Attorney or Lasting Power of Attorney for property and financial affairs or a Court of Protection deputy for property and affairs or someone who has

been given appointee-ship¹ for the purpose of benefit payments who is responsible for payment of the care and support charges.

- All LA's should have a process for identifying when a sum becomes due and at what point it becomes overdue and falls into a recovery process.
- The recovery process should include issuing reminder notices and either contacting the debtor by telephone or visiting. Comprehensive notes of any discussions with persons/ reps should be kept. A solicitor's letter rather than a standard system generated reminder letter has proved very effective in getting a response from a debtor who has not engaged with the LA previously.
- If there is any doubt over the person's capacity or safeguarding concerns the case should immediately be referred back to social care staff.
- Within the Care Act is an obligation to have considered and evidenced well-being. This should be followed through within debt recovery processes.

All people receiving services are financially assessed to ascertain what they should pay towards services and therefore there should be no reason for invoices to be unpaid. However service users may be elderly, vulnerable, lack capacity to understand charges and every unpaid invoice needs to be investigated to understand the reason for non-payment. Invoices raised for grant re-charges, NHS re-charges and to other local authorities, should not be raised until agreement is received from the third party.

From the start of a period of care enquiries are made about whether an adult has someone to help with finances and could be their contact instead of the individual service user. Social workers will ask when assessing for care and our financial assessment form also asks the question.

If someone falls into arrears we will ask again, as the adults health may have declined since the care started.

If an adult is in a care home setting they will usually have someone dealing with their finances. If they haven't and we are invoicing the adult at the home, then we would be checking systems for any notes and also contacting the care home. They again may have deteriorated and could no longer manage their own finances or we may not have been made aware of an admission to hospital.

All charges are made following financial assessment and so should be able to be paid. However Finance staff are fully appreciative that the adults we serve are vulnerable, often elderly and confused and although debts to the authority have to be collected, we act with sensitivity and respect for the adult.

Residential Care and Non-Residential Care Services

Each month 3 reports are run, residential care debt, non-residential care debt and various debts. These detail all debts over 30 days old. The various debt report is interrogated by the Finance Manager.

Finance Officers will interrogate the residential and non-residential debt reports and try to find out why an amount is unpaid e.g. by phoning the person direct, contacting families. Often these steps are sufficient to pay the debt.

Further actions include:

Interrogation of all systems to ensure invoices are being sent to the person with payment responsibility

Look at the financial assessment to ensure it is correct

Liaison with DWP if benefits are not in payment/suspended etc

Social workers made aware of the debt – to ensure there are no safeguarding/financial abuse issues

Refer to Legal Section for advice

Refer to independent advocacy service for assistance with debt issues

Follow Safeguarding procedure

Investigate settlement of estates, who is next of kin, executor

Gather further information that may cause the financial assessment to be revised and debts adjusted

All cases will be looked at individually and actions will vary from case to case.

In order to get to a level of consistency the following process will be followed:

- 1) Officer runs report
- 2) New debt is identified and report sheet is opened in Civica
- 3) Telephone contact- resolution or issue identified

Dispute/Complaint

Decide who needs to resolve/investigate dispute, initiate on Civica

A 14 day reminder will be sent to officers work tray to ensure follow up action

Will result in payment, charge adjusted and paid or charge written off or waived.

Billing Issue

Invoice may be unpaid as being sent to incorrect address or should be sent to a care-of address. Make correction resulting in payment. No further action.

No Telephone Contact or Unsuccessful

Standard letter 1 asks for contact to be made
If no contact standard letter 2
Still no contact, refer to social worker via Civica for contact at home
May be resolved during a yearly review
A recurring reminder will be sent to officers work tray to ensure follow up action
If no resolution initiate safeguarding referral

Escalation Of Debt Issue

If no resolution following safeguarding, a further Civica process is started sending an email to Finance Manager to consider legal action. The Local Authority should be seen to have taken all actions possible to negotiate following any dispute. Full chronology would be required by County Court.

The Finance Manager and Group manager will discuss how to resolve the debt.

Executors Accounts

When the authority is advised of the death of an adult, invoices should be raised for services up to date of death and produce a balancing invoice. The officer will start a CIVICA process to ensure prompt debt recovery. The process will ask who is dealing with the estate and enquire at intervals about how the probate process is progressing.

Instalment Plans

As charges are made following a financial assessment, all charges should be affordable. Instalments to clear arrears can be negotiated, however as ongoing charges need to be paid, regard needs to be made to that when setting an instalment plan.

The instalment plan should be made by ACS Finance Team as they are aware of what on-going payments will need to be made and how much someone could afford as an additional instalment

Deferred Payment Debt

For people in residential care who own a property but have capital under £23,250.00, a Deferred Payment Agreement may be the option chosen.

Where a Legal Charge can be registered against the property land title, the accruing debt is secured. However there are occasions where it is not possible to secure with a land charge from the start of the placement. The land title may need to be corrected or capacity issues resolved. In this circumstance the resident or family member will be asked to sign a Letter of Agreement. This together with a chronology of evidence would be put to County Court in cases of dispute over payments.

Differing codes will be used to identify secured or un-secured debts for accountancy purposes.

Unrecoverable Debt

It should be considered whether a debt is uneconomic to pursue. All debt should follow the action timetable but following the 2nd letter it may be written off as uneconomic to collect. In general this would be for invoices under £50.00.

If all actions have been taken it may be that the debt is considered unrecoverable.

- 1) An estate may not have sufficient funds to pay invoices after death. The payment of funeral charges has first call on an estate. A request should be requested from family advising that the estate was spent on funeral .
- 2) Safeguarding investigation results in referral to the SBC Court of Protection Team for protection of finances. Once access has been gained to benefits/pensions/capital then there may be sufficient to pay all outstanding invoices. However it could also be that COP Team can pay future invoices once access has been gained to funds but that previous debt is written off. Although we refer to Police for investigation into financial abuse, very often they are unable to substantiate allegations and funds are not recovered. In this instance debt prior to SBC gaining access to funds is identified and written off.
- 3) Legal advice that cost of legal action would mean it uneconomical to pursue.

Distinction needs to be made between a waiver and a write-off.

- Waiver, charge should be made for a service but circumstances dictate that it is not reasonable to apply a charge
- Write-off, a charge has been correctly applied but has not been able to be collected

Write-Off Process

Once all recovery actions have been exhausted and it is the agreement of the Finance Officer and Finance Team Manager that a debt will not be pursued:

- 1) Debt memo completed, signed as seen by Finance Team Manager and approved by Group Manager Customer Services and Finance. Copy of CIVICA action report to evidence actions taken.
- 2) Under £5k no further authority is required
- 3) Over £5k the papers will be signed as seen by Finance Team Manager and Group Manager and passed to AR Team for Director of Finance and Resources approval.
- 4) Write off documentation forwarded to AR Team and copy kept on client file on CIVICA system

Corporate authority levels for write-off:

Up to £5k Assistant Manager

Up to £10,000 Manager
Between £10,000 and £25,000 Director
£25, 000 and above Cabinet

Waiver of Charges

An invoice is raised following financial assessment. There are occasions when it is not reasonable to apply a charge

- 1) Service user/family not advise about charges at the start of care
- 2) Contradictory advice given regarding health funding and social care charges
- 3) Death prior to completion of the form, dependant on records kept.

The Finance Officer will email the relevant Team Manager with circumstances of the individual care. If Team Manager agrees the waiver, the response email will be filed on CIVICA If a charge is waived then no charge should be made. Any invoice raised should be cancelled and records kept on CIVICA.

Exempt from Charges

All service users are financially assessed to ascertain what they should pay for services. There may be rare occasions where the social worker will ask the Operational Team Manager for someone to be made exempt from charges. This may be if someone is threatening harm to themselves or others by applying a charge. Other examples could be waiting for application of benefits, family appropriating income and capital and awaiting safeguarding outcome.

A form is sent to the Finance Team; it should hold details of exemption and be time limited.

Charges to Health Authority

Following formal notification of eligibility for health funding, if a recharge needs to be made an invoice is raised by the Senior Payments Officer.

Invoices are raised monthly and any non-payment will be picked up by the Senior Payments Officer and resolved in conjunction with the Group Manager

Charges to Other Local Authorities

If another Local Authority places residents in Southend Borough Council establishment's invoices are raised at the full cost of care.

The other Local Authority will be responsible for collection of their own client contributions.

Collection of income will be the responsibility of the Finance Manager. Before placement a copy agreement should be made available to the Finance Manager in case of any query.

There should be no debt recovery necessary, at times there may be adjustments necessary in the event of service adjustment.

Residential Care Home Debt

If a care home owes money to the authority due to an overpayment of fees, it will generally be deducted from payments to providers. There may be occasion when the care home has closed or changed ownership and an invoice needs to be raised. Usual debt recovery action will be followed.

Recording

- Monthly report is kept electronically
- Report is noted with actions taken
- Officer will note Civica system with actions taken and initiate a Civica record sheet
- Monthly meeting with Debt Officers, Finance Manager and Group Manager
- Monthly summary of outstanding debt, identifies real debt not amounts involved in direct debits.

Credit Notes

An invoice may need to be credited, either in part or wholly, if information is made known to the Department after an invoice has been raised. For example:

- Reassessment of finances results in lower charge, invoice to be reduced. Financial assessment on CIVICA
- Home care visits/ day services charged for that did not take place. Provider information saved on CIVICA
- Date of death not made known to Finance Team, care charges made after death. Ensure date of death recorded on Carefirst

The Finance Officer will raise the credit on Agresso, ensuring documentary evidence is recorded on the EDRMS system or on Carefirst, or noted on the Access database. A Finance Manager will approve the credit on the Agresso system, ensuring separation of duties.

Parked Debt

The recovery process can be halted if a debt is parked. If an invoice is parked then the reminder cycle will not be applied. Invoices should only be parked as a last resort and the Finance Officer needs to keep the parked item as a task to follow up. No invoice should be parked indefinitely. The Finance Officer should use the notes field to record why the invoice is being suspended

For example: service user deceased and with solicitor for probate.

: With Safeguarding and no contact to be made at this time

All parked invoices are reported on monthly by the AR Manager and sent to ACS Finance Manager for action.

The Complaint Date - Holding Reminders

The reminder cycle can be changed by inputting a complaint date against the invoice. Once the date arrives then the reminder cycle will again be activated.

The complaint date should be used in cases where the officer wishes the reminder cycle to be reinstated as opposed to be parked, in which case no reminders will be produced at any point. For example:

- Family member going on holiday, hold for 2 weeks.
- Application made for benefit

Managing Safeguarding Concerns

Unpaid invoices may be the first sign of financial abuse.

If contact is not made or reasons for non-payment are not acceptable, within the workflow the matter will be referred to allocated social worker. If there is no allocated worker the referral is made to the Access Team. A form SETSAF1 is completed and the circumstances of the debt, contact attempted, responses received all noted on the form.

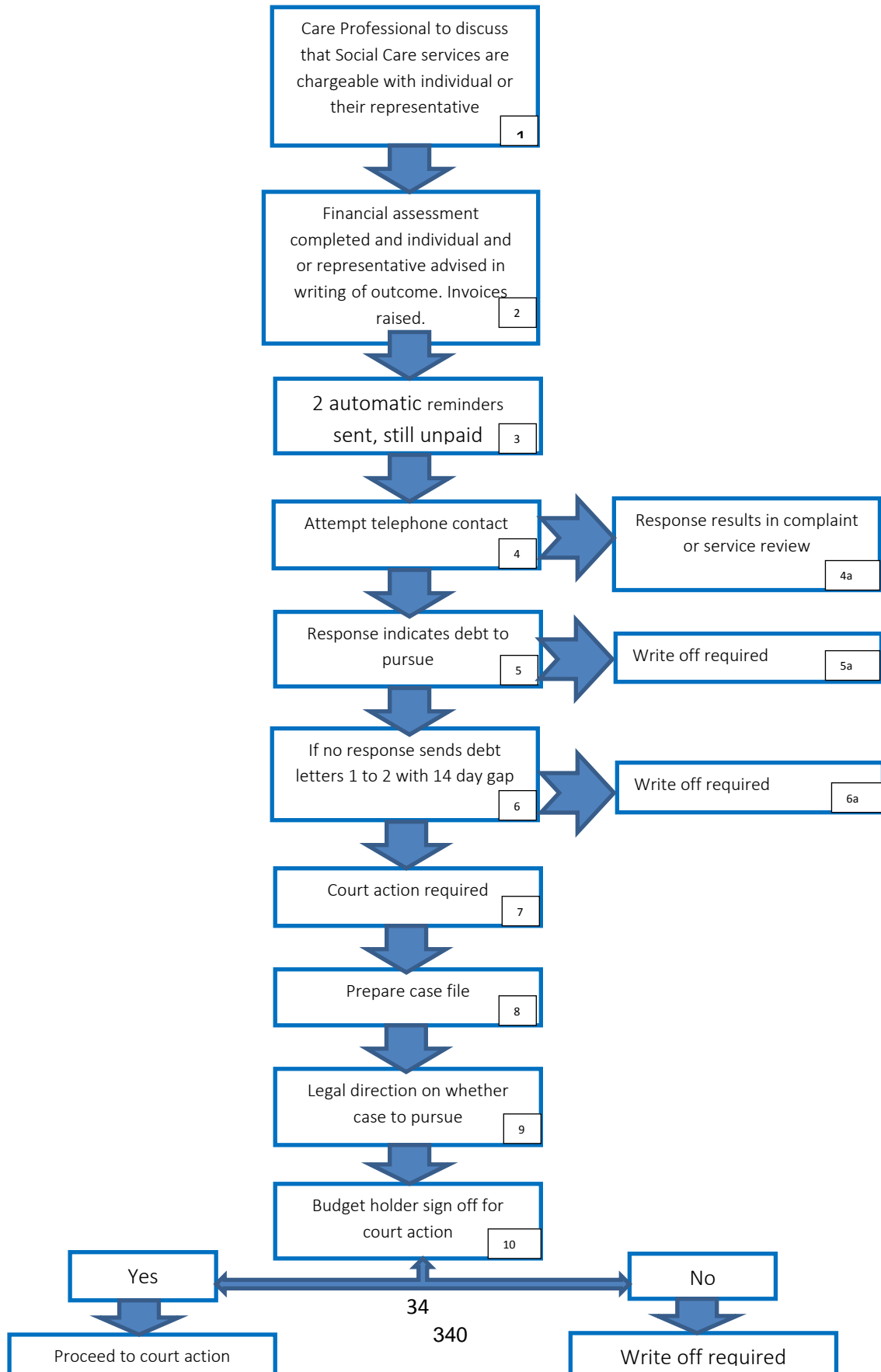
The following investigation may result in referral to Police and family meetings.

It is possible that the adult freely gave away monies and there is no fraud case to answer. In some cases the adult may have given money away when they retained capacity to manage their own money, but now having lost capacity nothing can be proven.

Application may be made by family or Southend Council for court appointed deputy. Once access to money has been arranged, it will be looked at to ascertain how much money is available to pay outstanding invoices. At that point early invoices may need writing off if the financial abuse happened at that time.

Every safeguarding case will be looked at on an individual basis.

Debt Process Flowchart



Southend-on-Sea Borough Council

Agenda
Item No.

11

Report of Chief Executive

to
Cabinet

on

7th November 2017

Report prepared by: Bridget Cowley
Group Manager - Revenues

Business Rates Discretionary Relief Policy

Policy & Resources Scrutiny Committee
Executive Councillor: Councillor A.J Moring
A Part 1 Public Agenda Item

1. Purpose of Report

- 1.1 To update the current policy in accordance with the Business Rates Discretionary Statutory powers and as specified in the guidance issued in March 2017 by the Department for Communities and Local Government to reflect the new rate reductions announced by the Chancellor in the 2016 Autumn Statement and 2017 Spring Budget.

2. Recommendations

That Cabinet;

- 2.1 Approves the award of Public House Relief of up to £1,000 to qualifying businesses in occupation of Public Houses which have a rateable value of £100,000 or less in accordance with Discretionary Rate relief powers for the financial year 1 April 2017 to 31 March 2018 only subject to State Aid limits;
- 2.2 Notes that the businesses to qualify for the relief must be a 'Public House' as detailed in 4.4 of this report;
- 2.3 Notes that where a ratepayer demonstrates their entitlement to the Public House Relief, the Revenues Manager has the authority to award the relief;
- 2.4 Approves the award of Local Newspaper Relief of up to £1,500 for office space occupied by local newspapers up to a maximum of one discount per local newspaper title and per hereditament, for the financial years 1 April 2017 to 31 March 2018 and 1 April 2018 to 31 March 2019 subject to State Aid limits;
- 2.5 Notes that where a ratepayer demonstrates their entitlement to the Local Newspaper Relief, the Revenues Manager has the authority to award the relief;

- 2.6 Approves the award of Supporting Small Business Relief (SSBR) to businesses who as a result of the change in their rateable value at the 2017 revaluation lost some or all of their small business relief in accordance with guidance given by Department for Communities and Local Government for the financial years 1 April 2017 to 31 March 2018 to 1 April 2021 to 31 March 2022, subject to State Aid limits;**
- 2.7 Approves the scheme and amount of Discretionary Business Rate Relief in accordance with section 7 and Appendix G of the revised policy subject to State Aid limits;**
- 2.8 Notes that the Council, through the National Non-Domestic Rate return process, seek full reimbursement of the cost of this relief from Central Government.**
- 2.9 Approves the amended Business Rates Discretionary Relief Policy at Appendix A.**

3. Background and Proposals

- 3.1 In the 2016 Spring Budget the chancellor announced a £1,500 business rates discount for office space occupied by local newspapers, for two years with effect from 1 April 2017.
- 3.2 In the 2017 Spring Budget the Chancellor announced a further three new schemes of relief that would be available to ratepayers who are facing large increases in their Business Rate liabilities from 1 April 2017 as a result of the 2017 revaluation.
- 3.3 The Council has an approved Business Rates Discretionary Relief policy. Instead of changing legislation to allow these new reductions mentioned above, the Government has indicated that Councils should amend their Discretionary Relief powers to grant these reductions. The Government will reimburse the full cost of relief granted.
- 3.4 There are four changes that have been introduced by the Government that require the policy to be amended. The proposed policy is attached as Appendix A and the required changes are shown in the sections below. The key changes are;
 - A temporary relief of £1,000 for Public Houses with a rateable value of less than £100,000.
 - Office space occupied by local newspapers will receive relief of £1,500 up to a maximum of one discount per local newspaper title and per hereditament.
 - Those ratepayers who, as a result of the change in their rateable value following the 2017 revaluation are losing some or all of their small business or rural rate relief, will have a £50.00 per month cap applied to their bill.

- Discretionary Business Rate Relief Scheme (DBRR) which is designed to help those most affected by an increase in their rating valuations as a result of the 2017 revaluation. Every Local Authority will need to set a policy in relation to this new discretionary rate relief scheme introduced from April 2017.

3.5 It is inevitable that in some cases disputes will arise and the appeals procedures agreed on 18th March 2014 by Cabinet in the Business Rates Discretionary Relief Policy will also be applicable to any appeals raised under these schemes.

4. Public House Relief - £1,000

4.1 The Government recognises the important role that pubs play in urban and rural communities across the country. At Spring Budget 2017, the Chancellor announced a £1,000 business rate discount for public houses with a rateable value of up to £100,000 for one year from 1 April 2017.

4.2 The scheme will be available to eligible occupied properties with a rateable value of less than £100,000. The majority of pubs are independently owned or managed and will not be part of chains. Where pubs are part of a chain, relief will be available for each eligible property in the chain, subject to meeting State Aid requirements.

4.3 There is no definitive description of a traditional pub or public house in law which could be readily used by local authorities to determine eligibility. The objective has been to adopt an approach that makes the design and eligibility of the scheme easy to implement by local authorities in a clear and consistent way, is widely accepted by the industry and which is consistent with the Government's policy intention.

4.4 Government's policy intention is that eligible pubs should:

- be open to the general public
- allow free entry other than when occasional entertainment is provided
- allow drinking without requiring food to be consumed
- permit drinks to be purchased at a bar.

4.5 For these purposes, it should exclude:

- restaurants
- cafes
- nightclubs
- hotels
- snack bars
- guesthouses
- boarding houses
- sporting venues

- music venues
- festival sites
- theatres
- museums
- exhibition halls
- cinemas
- concert halls
- casinos

4.6 The proposed exclusions in the list at para 4.5 is not intended to be exhaustive and it will be for the Council to determine those cases where eligibility is unclear.

5. Newspaper Relief - £1,500

5.1 The Government is committed to supporting a strong and vibrant local press. Local newspapers are at the heart of civic life for communities and they remain an important source of information and a vital part of a healthy democracy. In the Autumn Statement 2016, the Chancellor announced a £1,500 business rates discount for office space occupied by local newspapers, up to a maximum of one discount per local newspaper title and per hereditament, for two years from 1 April 2017.

5.2 The relief is to be specifically for local newspapers and by that, the Council means what would be considered to be a “traditional local newspaper”. The relief will not be available to magazines.

5.3 The hereditament must be occupied by a local newspaper and wholly and mainly used as office premises for journalists and reporters.

5.4 The amount of relief is limited to a maximum of one discount per newspaper title (e.g. per newspaper name) **AND** per hereditament. As with all discretionary relief, any grant will be subject to State Aid Limits.

6. Supporting Small Business Relief

6.1 Central Government has increased the thresholds for Small Business Rate Relief from 1 April 2017 to £12,000 for the 100% relief and £15,000 for the tapered relief. Unfortunately, despite these changes, some small businesses may lose all or some of their entitlement to the relief due to increases in Rateable Value due to the revaluation on 1st April 2017.

6.2 The transitional relief scheme (provided under the Non-Domestic Rating (Chargeable Amounts) (England) Regulations 2016 No. 1265) does not provide support in respect of changes in reliefs.

6.3 The Supporting Small Business relief will help those ratepayers who as a result of the change in their rateable value are losing some or all of their Small Business Relief and, as a result, are facing large increases in their bills.

- 6.4 To support these ratepayers, the Supporting Small Business relief will ensure that the increase per year in the bills of these ratepayers is limited **to the greater of:**
- a. A percentage increase per annum. Of 5%, 7.5%, 10%, 15% and 15% 2017/18 to 2021/22 all plus inflation. For the first year of the scheme the percentage increase is taken against the bill for 31 March 2017 after small business rate relief;
 - Or**
 - b. A cash value of £600 per year (£50 per month).
- 6.5 In the first year of the scheme, this means all ratepayers losing some or all of their small business rate relief will see the increase in their bill capped at £600. The cash minimum is £600 per year thereafter. This means that ratepayers who in 2016/17 paid nothing under small business rate relief and are losing all of their entitlement to relief (i.e. moving from £6,000 rateable value or less to more than £15,000) would under this scheme be paying £3,000 in year 5.
- 6.6 The Government has also decided that those on the Supporting Small Business relief scheme whose 2017 rateable values are £51,000 or more will not be liable to pay the supplement (1.3p) to fund small business rate relief while they are eligible for the Supporting Small Businesses relief scheme.
- 6.7 Ratepayers will remain in the Supporting Small Businesses relief scheme for either 5 years or until they reach the bill they would have paid without the scheme.
- 6.8 A change of ratepayer will not affect eligibility for the Supporting Small Businesses relief scheme but eligibility will be lost if the property falls vacant or becomes occupied by a Charity or Community Amateur Sports Club.
- 6.9 The rules for state aid shall apply when considering Supporting Small Businesses Relief.
- 6.10 The amount of relief awarded under the Supporting Small Businesses relief scheme will be recalculated in the event of a change of circumstances including:
- A backdated change to the rateable value or the hereditament
 - Or**
 - The awarding of another relief.
- 6.11 The Council will calculate the award on a daily basis taking into account the above, and the relief will be re-calculated if the rateable value changes.
- 6.12 Hereditaments eligible for Charity or Community Amateur Sports Club relief or hereditaments which are unoccupied are not eligible for Supporting Small Businesses Relief. Likewise, the same principle applies to properties for which a Section 44A certificate has been granted (apportionment of rateable values for partly occupied properties). The presence of a section 44A certificate will not further reduce the bill found under the Supporting Small Business scheme.

6.13 In accordance with Central Government guidelines all other discretionary reliefs, will be considered **after** the application of Supporting Small Businesses relief.

7. Discretionary Business Rate Relief Scheme

7.1 In Spring Budget 2017, the Chancellor announced that he would make available a discretionary fund of £300 million over four years from 2017-18 to support those businesses that face the steepest increases in their business rates bills as a result of the revaluation. Government determined that Councils would be best placed to determine how this fund should be targeted and administered to support those businesses and locations within their area that are in the greatest need.

7.2 Every authority within England is to be provided with a share of a £300 million fund to support their local business. Southend-on-Sea Borough Council's share is as follows:

• Year 1 (2017/2018)	£322,000
• Year 2 (2018/2019)	£157,000
• Year 3 (2019/2020)	£64,000
• Year 4 (2020/2021)	<u>£9,000</u>
Total	<u>£552,000</u>

7.3 Councils will be compensated for any relief granted under section 31 of the Local Government Act 2003. Any annual underspend will need to be returned to the Treasury.

7.4 The council is keen to identify ratepayers who may qualify for the relief and as such will look to encourage certain ratepayers to apply. The council will look to simplify the application process wherever possible, but it will expect any ratepayers to provide such information as is required by the Council to support their application.

7.5 The amount of relief is tapered to mirror the reduction in Government funding and will be calculated as follows:

2017/18 award = relief to be granted in line with the scheme detailed in Appendix G of the Southend-on-Sea Borough Council Policy for the granting of Discretionary Non-Domestic Rate relief policy (at Appendix A)

2018/19 award = 2017/2018 award x 50%

2019/20 award = 2018/2019 award x 40%

2020/21 award = 2019/2020 award x 10%

7.6 As with all reliefs, the amount of relief awarded under the Discretionary Businesses Rates relief scheme will be recalculated in the event of a change of circumstances. This will include, for example, a backdated change to the rateable value or the hereditament. This change of circumstances could arise during the year in question or during a later year.

- 7.7 The Non-Domestic Rating (Discretionary Relief) regulations 1989 (S.I. 1989/1059) requires the Council to provide ratepayers with at least one year's notice in writing before any decision to revoke or vary a decision as to increase the amount the ratepayer has to pay takes effect. Such a revocation or variation of a decision can only take effect at the end of a financial year. But within these regulations, the Council may still make decisions which are conditional upon eligibility criteria or rules for calculating relief which allow the amount of relief to be amended within the year to reflect changing circumstances.

8. Other Options

- 8.1 As the award of relief is discretionary the Council could choose not to grant the relief if that is considered appropriate, for example if members consider the awarding of the relief would not be in accordance with the authorities wider objectives. However not awarding the relief will mean the funding being returned to Government.

9. Reason for Recommendations

- 9.1 Central Government expects local authorities to grant relief to qualifying ratepayers and will fully reimburse billing authorities for the actual cost to them under the rates retention scheme. They are also expecting local authorities to amend their current business rates discretionary relief policy to enable the granting of the new relief benefits.

10. Corporate Implications

- 10.1 Contribution to Council's Vision & Corporate Priorities.

The proposals in this report will contribute to the Council's priorities of Prosperous and Excellent.

These new schemes are considered to have a positive economic impact as it could provide around £620,000 to businesses in the borough over a four year period.

- 10.2 Financial Implications

The approval of this policy will allow for the release of Government funding to cover the cost of these new reliefs. It is estimated that in the region of 740 ratepayers may qualify for the new rate relief schemes with a total value estimated to be £620,000. The Government, will, in line with the eligibility put in the guidance, reimburse the Council through the Business Rates claim process.

- 10.3 Legal Implications

These new discretionary powers are introduced by the Localism Act 2011 under Section 47 of the Local Government Act 1988 as amended.

Discretionary Relief is required to be State Aid compliant where it is provided in accordance with the De Minimus Regulations (1407/2013). The De Minimus Regulations allow an undertaking to receive up to 200,000 Euros of De Minimus aid in a three year period (consisting of the current financial year and the two previous financial years). It will be necessary for each ratepayer who is awarded Discretionary Relief to notify the Council if they have received any other De Minimus State Aid, including any other Business Rate Relief they may have received on other property(s) which means they exceed the 200,000 Euros.

10.4 People Implications

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

10.5 Property Implications

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

10.6 Consultation

The Council has consulted with the major preceptor in relation to the Discretionary Business Rate Relief Scheme and has had confirmation from the Essex Police, Fire and Crime Commissioner Fire and Rescue Authority of their acceptance to the Council's proposal for this scheme and this has been taken into account when determining the criteria for the scheme.

There is no plan to carry out a full consultation in view of the required Government guidance on consultation and their requirements for Local Authorities to make the discretionary payments as soon as possible, and the fact that we are reimbursed all costs on any relief that is awarded.

10.7 Equalities and Diversity Implications

This scheme is a Government initiative and therefore this Council has not undertaken an equality and diversity assessment, however, all reliefs granted will be in line with the agreed policy.

10.8 Risk Assessment

Provided the scheme adopted is introduced strictly as specified in the guidance issued by the Department for Communities and Local Government, the council will be reimbursed through the Business Rates claim process.

10.9 Value for Money

There are no specific implications as a result of this policy.

10.10 Community Safety Implications

There are no Community Safety Implications.

10.11 Environmental Impact

There is no environmental impact

11. Background Papers

Government guidance on relief schemes

12. Appendices

Appendix A - Southend on Sea Borough Council Policy for the granting of Discretionary Non-Domestic Rate Relief (November 2017).

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Appendix 1

Southend-on-Sea Borough Council Policy for the granting of Discretionary Non-Domestic Rate Relief

November 2017

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1.0 Purpose of the Policy

- 1.1 The purpose of this policy is to determine the level of discretionary relief and related areas to be granted to certain defined ratepayers within the Council's area.
- 1.2 The Local Government Finance Act 1988 and subsequent legislation requires the Council to grant mandatory relief for premises occupied by Charities and similar organisations that own or occupy them wholly or mainly for charitable purposes. Likewise, certain premises situated within a rural settlement area will be eligible for mandatory relief. Powers have also been granted under the Localism Act 2011, which allow for the granting of discretionary rate relief to any premises where the Council feels the granting of such relief would be of benefit to the local community.
- 1.3 In addition to the above, Central Government is keen that in certain cases, assistance should be provided to businesses who have had increases in their rate liability due to the revaluation of premises in April 2017. In these cases, and where the Council meets Central Government guidelines, grants are available under section 31 of the Local Government Act 2003.
- 1.4 Whilst the Council is obliged to grant relief to premises, which fall within the mandatory category, the Council also has powers to grant discretionary relief and reductions to ratepayers, subject to certain criteria being met. In the case of the new reliefs, some guidance has been issued by Central Government outlining actions expected to be taken by local authorities. This policy includes Government guidance where appropriate but also looks to target discretionary relief in line with the Council's priorities.
- 1.5 This document outlines the following areas:
- Details of the criteria for receiving Discretionary Reliefs for all relevant areas;
 - The Council's policy for granting of all types of Discretionary Reliefs;
 - Guidance on granting and administering the reliefs and reductions;
 - European Union requirements including provisions for State Aid; and
 - The Council's Scheme of Delegation.
- 1.6 This document covers all aspects of discretionary rate relief (subject to changes in legislation). Where organisations apply for relief they will be granted (or not granted) relief or reductions in line with the following policy.

2.0 Mandatory Relief - Legislative Background

Charity Relief

- 2.1 The powers relating to the granting of mandatory¹ and discretionary relief are given to the Council under the Local Government Finance Act 1988². Charities and Trustees for Charities are only liable to pay one fifth of the Non-Domestic Rates that would otherwise be payable where property is occupied and used wholly or mainly for charitable purposes. This amounts to mandatory relief of 80%. For the purposes of the Act, a charity is an organisation or trust established for charitable purposes, whether or not it is registered with the Charity Commission. The provision has been extended under the Local Government Act 2003 (effective from 1st April 2004) to registered Community Amateur Sports Clubs (CASCs). Full details of the mandatory provisions are given later within this policy.
- 2.2 In the case of charity shops, the premises must meet the criteria laid down by section 64 (10) of the Local Government Finance Act 1988 which states that the premises are to be treated as used for charitable purposes at any time it is wholly or mainly used for the sale of goods donated to the charity and the proceeds of goods (after any deductions for expenses) are applied for the purpose of the charity.
- 2.3 The Council has discretion to grant relief of up to a further 20% for these mandatory cases under its discretionary provisions.

Rural Rate Relief

- 2.4 From 1st April 1998, under powers originally granted to the Council by the Local Government and Rating Act 1997³, certain types of business in rural settlements, with a population below 3000 may qualify for mandatory rate relief of 50 per cent. Businesses that qualify for this relief are the sole general store and the sole post office in the settlement, provided it has a Rateable Value of up to £8500; any food shop with a Rateable Value of up to £8500; and the sole pub and the sole petrol station in the settlement provided it has a Rateable Value of up to £12500.
- 2.5 From 1st April 2017, Central Government has indicated that it wants all authorities to give 100% relief to premises that receive mandatory rural rate relief. The legislation enabling this will not be forthcoming until 2018 and therefore it has indicated that where the additional 50% is granted, a section 31 grant will be made available to the Council.
- 2.6 At the current time, there are no Rural Settlements within the Council's area.

¹ S43 & S45 Local Government Finance Act 1988

² S47 & S48 Local Government Finance Act 1988

³ LGFA 1988, s.47, as amended by Sch. 1 to the Local Government and Rating Act 1997

3.0 Discretionary Relief – Legislative Background

Introduction

- 3.1 The original purpose of discretionary relief was to provide assistance where the property does not qualify for mandatory relief, or to ‘top’ up cases where ratepayers already receive mandatory relief.
- 3.2 Over recent years and particularly since 2011, the discretionary relief provisions have been amended to allow authorities the flexibility to provide more assistance to businesses and organisations.
- 3.3 The range of bodies, which are eligible for discretionary rate relief, is wide and not all of the criteria laid down by the legislation will be applicable in each case.
- 3.4 Unlike mandatory relief, ratepayers are obliged to make a written application to the Council. The Council will expect all businesses to make applications in such a format as is required (which may vary from time to time) and for the business to provide such information and evidence as required in order to determine whether relief should be awarded.
- 3.5 The Council is obliged to consider carefully every application on its merits, taking into account the contribution that the organisation makes to the amenities within the authority’s area. There is no statutory appeal process or Tribunal against any decision made by the Council although as with any decision of a public authority, decisions can be reviewed by Judicial Review. The authority will however, upon request, review decisions made. Details of the internal review process are given within this policy.
- 3.6 Granting of the relief falls broadly into the following categories:
 - a. Discretionary Relief – Charities who already receive mandatory relief.
 - b. Discretionary Relief – Premises occupied by organisations not established or conducted for profit whose main objects are charitable or are otherwise philanthropic or religious or concerned with education, social welfare, science, literature or the fine arts **or** premises occupied by organisations not established or conducted for profit and wholly or mainly used for purposes recreation;
 - c. Discretionary Relief – Granted under the Localism Act 2011 provisions;
 - d. Local Newspaper Relief (from 1st April 2017 for a period of two years);
 - e. Local Public House Relief (from April 2017 for a one year period);
 - f. Supporting Small Businesses Relief (from 1st April 2017 for a period of five years or until business pay their full rate charge or their transitional rate charge (calculated in accordance with the Non-Domestic Rating (Chargeable Amounts) (England) Regulations 2016); and
 - g. Discretionary Business Rates Relief Scheme (from 1st April 2017 for a period of up to four years)
- 3.7 The decision to grant or not to grant discretionary relief is a matter purely for the Council.

The Council's general approach to granting Discretionary Relief

- 3.8 In deciding which organisations should receive discretionary rate relief, the Council has considered the following factors and priorities:
- a. That any award should support business, charities, organisations and groups that help to retain services in the Council's area and not compete directly with existing businesses in an unfair manner;
 - b. It should help and encourage business, charities, organisations, groups and communities to become self-reliant;
 - c. Awarding discretionary relief should not distort competition or significantly change the provision of services within the Council's area;
 - d. Local organisations will be given priority over national organisations. Where requested, the organisation will need to supply the Council with clear evidence of **all** financial affairs including, and most importantly, the amounts of monies raised, used and invested locally. This will be essential where the organisation is national in nature;
 - e. To enable appropriate organisations to start, develop or continue their activities, which deliver outcomes to the community and that also relate to the priorities of the Council, which without granting discretionary relief they would be unable to do;
 - f. To assist the Council in delivering services which could not be provided otherwise;
 - g. To enable the Council to determine the level of rate change in comparison with the organisation's financial situation; and
 - h. To ensure that the financial impact of awarding discretionary business rate relief is justified in terms of the local outcomes achieved by the organisation receiving it;
- 3.9 Where any reduction or remission is granted to a ratepayer under S49 Local Government Finance Act 1988 where hardship is proven to the Council, then there will be no requirement to grant Discretionary Rate Relief for that amount.
- 3.10 In certain cases, the order in which relief is granted is specified. Mandatory relief shall be granted in all cases where the criteria is met irrespective of whether discretionary relief can be granted or not.

The Council's approach to granting Government led Discretionary Relief schemes

- 3.11 Over the past few years, a number of schemes have been led by Central Government but without specific legislative changes. These are administered under S47 of the Local Government Finance Act 1988 and guidance is often provided. The Council is keen to support such initiatives especially where they are designed to help local businesses and will look to maximise both the reliefs given as well as maximising any grants receivable. However, the Council reserves the right to vary its approach where thought appropriate.

4.0 Effect on the Council's Finances

- 4.1 The granting of discretionary relief will, in the main, involve a cost to the Council. Since the change to the funding for Non-Domestic Rating in April 2013, the effect of the relief is complex.
- 4.2 Any amounts granted prior to 1st April 2013 and continuing since that date will be included in the Council's baseline within the Business Rates Retention Scheme. Any amounts granted for similar cases after 1st April 2013, the costs of the relief will be borne in accordance with the Business Rates Retention Scheme share namely 50% borne by Central Government and 50% by the Council. This also applies where mandatory relief is granted.
- 4.3 Where Central Government leads an initiative, grants are often available through section 31 of the Local Government Act 2003. This is not automatic and Central Government will look to the Council to adopt the recommended approach when granting in these areas
- 4.4 The financial effects of discretionary reliefs covered by this policy are as follows:

Appendix	Relief Type	Granted after 1 st April 2013
	Charity Relief	
A	Discretionary relief granted to Mandatory Relief recipients	50% borne by the Council
B	Non-profit Making Organisations including Sports Clubs and societies	50% borne by the Council
	Localism	
C	Discretionary Relief granted to ratepayers generally and not covered by any other section	50% borne by the Council
	Local Newspaper Relief	
D	Discretionary Relief granted to local newspapers meeting the criteria (From 1 st April 2017 for a period of two years)	Section 31 Grant
	Public House Relief	
E	Discretionary Relief granted to public houses meeting the criteria (From 1 st April 2017 for a period of one year)	Section 31 Grant
	Supporting Small Business Relief	
F	Supporting Small Businesses Relief (from 1 st April 2017 for a period of up to five years if conditions are met)	Section 31 Grant
	Discretionary Business Rates Relief Fund	
G	Discretionary Business Rates Relief Fund (from 1 st April 2017 for a period of up to four years)	Section 31 Grant up to a maximum level set by Central Government. Once the maximum has been reached any additional amount is borne 50% by the Council

Appendix	Relief Type	Granted after 1 st April 2013
	S49 Hardship Relief	
H	Partial or full relief for cases of hardship where it would be reasonable to do so having due regard to the interests of council tax payers	50% borne by the Council

5.0 Discretionary Relief – EU State Aid requirements

- 5.1 European Union competition rules generally prohibit Government subsidies to businesses. Relief from taxes, including non-domestic rates, can constitute state aid. The Council must bear this in mind when granting discretionary rate relief.
- 5.2 Rate relief for charities and non-profit making bodies is not generally considered to be state aid, because the recipients are not in market competition with other businesses. However, where other bodies receive relief and are engaged in commercial activities or if they are displacing an economic operator or if they have a commercial partner, rate relief could constitute state aid.
- 5.3 Relief will be State Aid compliant where it is provided in accordance with the De Minimis Regulations (1407/2013)⁴. The De Minimis Regulations allow an undertaking to receive up to €200,000 of De Minimis aid in a three-year period (consisting of the current financial year and the two previous financial years).
- 5.4 Where the relief to any one business is greater than the De Minimis level, then permission will need to be obtained from the European Commission. In such cases the matter will be referred to the Department for Communities and Local Government (DCLG) for advice and then referred back to the Council for consideration. It will be for the ratepayer to provide confirmation as to whether the State Aid provisions apply to them.
- 5.5 In all cases, where discretionary relief is to be granted or where liability is to be reduced, when making an application, ratepayers will be required to provide the Council with sufficient information to determine whether these provisions are applicable in their case.

⁴ <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2013:352:0001:0008:EN:PDF>

6.0 Administration of Discretionary Relief

- 6.1 The following section outlines the procedures followed by officers in granting, amending or cancelling discretionary relief and reduction. This is essentially laid down by legislation⁵

Applications and Evidence

- 6.2 All reliefs must be applied for. Application forms are produced by the Council both in hard copy and electronic format. The relevant application forms are included within Appendix H of this policy. The Council will specify how applications are to be received and this may vary from time to time.
- 6.3 Organisations are required to provide a completed application form plus any such evidence, documents, accounts, financial statements etc. necessary to allow the Council to make a decision. Where insufficient information is provided, then no relief will be granted. In some cases, it may be necessary for officers to visit premises and we would expect organisations claiming relief to facilitate this where necessary.
- 6.4 Applications should initially be made to the Revenues Section and will be determined in accordance with Section 7 of this policy.
- 6.5 The Council will provide this service and guidance free of charge. Ratepayers are encouraged to approach the Council direct and not pay for such services through third parties.

Granting of relief

- 6.6 In all cases, the Council will notify the ratepayer of decisions made.
- 6.7 Where an application is successful, then the following will be notified to them in writing:
- The amount of relief granted and the date from which it has been granted;
 - If relief has been granted for a specified period, the date on which it will end. (It should be noted that reliefs are granted for the period specified in the appropriate Appendix and may vary from a day to a full financial year);
 - The new chargeable amount;
 - The details of any planned review dates and the notice that will be given in advance of a change to the level of relief granted; and
 - A requirement that the applicant should notify the Council of any change in circumstances that may affect entitlement to relief.
- 6.8 Where relief is not granted then the following information is provided, again in writing:
- An explanation of the decision within the context of the Council's statutory duty; and
 - An explanation of the appeal rights (see below).
- 6.9 Discretionary relief is to be granted from the beginning of the financial year in which the decision is made. Since 1997 decisions can be made up to 6 months after the end of the financial year for which the application was made. In such cases, the Council *may* backdate its decision.

⁵ The Non-Domestic Rating (Discretionary Relief) Regulations 1989

- 6.10 A decision to award discretionary relief and how much relief is given is normally only applicable to the financial year for which the application is made. However, the Council reserves the right to grant relief for any other period as appropriate.
- 6.11 A fresh application for discretionary relief will be necessary for each financial year **or** at such time-period as the Council determines.

Variation of a decision

- 6.12 Variations in any decision will be notified to ratepayers as soon as practicable and will take effect as follows:
- Where the amount is to be increased due to a change in rate charge or a change in the Council's decision which increases the award – this will apply from the date of the increase in rate charge or the date determined by the Council as appropriate;
 - Where the amount is to increase for any other reason it will take effect at the expiry of a financial year, and so that at least one year's notice is given;
 - Where the amount is to be reduced due to a reduction in the rate charge or liability including any reduction in rateable value, awarding of another relief or exemption this will apply from the date of the decrease in rate charge; and
 - Where the amount is to be reduced for any other reason, it will take effect at the expiry of a financial year, and so that at least one year's notice is given.
- 6.13 A decision may be revoked at any time, however, a one year period of notice will be given and the change will take effect at the expiry of a financial year.

7.0 Scheme of Delegation

Granting, Varying, Reviewing and Revocation of Relief

- 7.1 All powers in relation to reliefs are given under the Local Government Finance Act 1988, the Local Government and Rating Act 1997, the Local Government Act 2003 and the Localism Act 2011. However section 223 of the Local Government Act 1992 allows for delegation of decisions by the Council to Cabinet, Committees, Sub-Committees or Officers.
- 7.2 The Council's scheme of delegation allows for the Revenues Manager to award, revise or revoke any discretionary relief applications. However, any application which is considered to be of a significant nature will be subject to consultation with the S151 Officer of the Council, and / or the relevant Executive member prior to final determination.
- 7.3 Applications that are refused will, on request, be reconsidered if additional supporting information is provided or the refusal is subsequently considered to be based on a misinterpretation of the application.

Reviews

- 7.4 The policy for granting relief will be reviewed annually or where there is a substantial change to the legislation or funding rules. At such time, a revised policy will be brought before the relevant committee of the Council.
- 7.5 The Revenues Manager will submit a report on a six-monthly basis to the section 151 Officer summarising the position on applications received, granted and not granted.

Appeals

- 7.6 Where the Council receives an appeal from the ratepayer regarding the granting, non-granting or the amount of any discretionary relief, the case will be reviewed by the Revenues Manager. Where a decision is revised then the ratepayer shall be informed, likewise if the original decision is upheld.
- 7.7 Where the ratepayer continues to be aggrieved by the decision, the case will be referred to the section 151 Officer for review. Where appropriate, cases of this nature may also be referred to the Executive member as appropriate.
- 7.8 Ultimately the formal appeal process for the ratepayer is Judicial Review although the Council will endeavour to explain any decision fully and openly with the ratepayer.

Appendix A

Discretionary Relief – Mandatory Relief recipients

Discretionary Relief – Mandatory Relief recipients

General Explanation

- A.1 S43 of the Local Government Finance Act 1988 allows mandatory relief (80%) to be granted on premises if the ratepayer is a charity or trustees for a charity and the premises are wholly or mainly used for charitable purposes. No charge is made in respect of unoccupied premises where it appears that *when next in use* it will be used wholly or mainly for those purposes.
- A.2 The legislation has been amended by the Local Government Act 2003 (effective from 1st April 2004) to include registered⁶ Community Amateur Sports Clubs (CASC). These organisations can now receive the mandatory (80%) relief.

Charity registration

- A.3 Charities are defined within the legislation as being an institution⁷ or other organisation established for charitable purposes only or by persons administering a trust established for charitable purposes only.
- A.4 The question as to whether an organisation is a charity may be resolved in the majority of cases by reference to the register of charities maintained by the Charity Commissioners under s.4 of the Charities Act 1960. Entry in the register is conclusive evidence. By definition, under the Non-Domestic Rating legislation, there is no actual need for an organisation to be a registered charity to receive the relief and this has been supported by litigation⁸, however in all cases the organisation must fall within the following categories:
- trusts for the relief of poverty;
 - trusts for the advancement of religion;
 - trusts for the advancement of education; and
 - trusts for other purposes beneficial to the community, but not falling under any of the preceding heads.
- A.5 Certain organisations are exempted from registration generally and are not required to make formal application to the Charity Commissioners these are:
- the Church Commissioners and any institution administered by them;
 - any registered society within the meaning of the Friendly Societies Acts of 1896 to 1974;
 - units of the Boy Scouts Association or the Girl Guides Association; and
 - voluntary schools within the meaning of the Education Acts of 1944 to 1980
- A.6 The Council would consider charitable organisations, registered or not, for mandatory relief.

⁶ Registered with HMRC as a CASC

⁷ S67(10) Local Government Finance Act 1988

⁸ Income Tax Special Commissioners v Pemsell (1891)

Use of Premises – wholly or mainly used

- A.7 Irrespective of whether an organisation is registered as a charity or not, the premises **must** be wholly or mainly used for charitable purposes. This is essential if any relief (either mandatory or discretionary) is to be granted. In most cases this can be readily seen by inspection but on occasions the Council has had to question the actual use to which the premises are to be put. In some cases it will be necessary for the Council to inspect any premises fully.
- A.8 Guidance from the Department of Communities and Local Government (DCLG) has stated that in the case of 'mainly', at least 51% must be used for charitable purposes whether of that charity or of that and other charities
- A.9 The following part of this section gives details on typical uses where relief may be given plus additional criteria that have to be satisfied. The list is not exhaustive but gives clear guidance on premises for which mandatory relief can be granted *and therefore* premises which may be equally considered for discretionary rate relief.

Offices, administration and similar premises

- A.10 Premises used for administration of the Charity including:
- Offices
 - Meeting Rooms
 - Conference Rooms

Charity shops

- A.11 Charity shops are required to meet additional legislative criteria if they are to receive mandatory relief. Section 64(10) of the Local Government Finance Act 1988 provides that a property is to be treated as being wholly or mainly used for charitable purposes at any time if, at the time, it is wholly or mainly used for the sale of goods donated to a charity and the proceeds of the sale of the goods (after any deduction of expenses) are applied for the purposes of the charity.
- A.12 In order to ascertain whether an organisation meets these requirements, inspections may be made by an officer of the Council when an application is received

Granting of Mandatory Relief - the Council's Policy

- A.13 Where the criteria for awarding mandatory relief are met, the rate charges shall be calculated in accordance with the legislation reducing the liability of ratepayers for each day that the criteria are met.

Charity Relief – Mandatory Relief recipients, the Council's Policy for granting discretionary relief.

- A.14 The Council will consider applications for a discretionary rate relief top up from charities based on their own merits, on a case-by-case basis.
- A.15 In determining the application the following matters will be taken in to consideration:
1. How the charity supports and links into the Council's corporate vision and priorities;
 2. The purpose of the charity and the specific activity carried out within the premises for which the relief is requested; and
 3. Whether the charity operates at a local or national level and where appropriate, the local and national funding streams and financial position of the charity;
- A16 The Council is keen to support businesses that have a critical role to play in the local economy and to assist the Council in meeting the Corporate aims including to:
- Create a safe environment across the town for residents, workers and visitors;
 - Look after and safeguard our children and vulnerable adults;
 - Promote the use of green technology and initiatives to benefit the local economy and environment;
 - Encourage and enforce high standards of environmental stewardship;
 - Promote healthy and active lifestyles for all;
 - Enable the planning and development of quality, affordable housing
 - 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 and
 - Ensure the town is 'open for business' and that new, developing and existing enterprise is nurtured and supported
- A.17 In the case of registered Community Amateur Sports Clubs, the key criteria in determining the application will be:
1. The ratepayer occupies the whole hereditament;
 2. Relief cannot be granted in respect of premises that are occupied by the Council or precepting authority;
 3. How the CASC supports and links into the Council's corporate vision and priorities;
 4. The membership and fee structure, and whether the CASC is accessible to all residents, including whether there are concessions for certain groups, for example people on a low income or young people under 18;
 5. Membership numbers and the number and percentage of these members that are local residents;
 6. If the CASC has due regard to equality issues and if it actively encourages members from under-represented groups, for example black and minority ethnic residents, people over 50 and people with disabilities;
 7. Whether facilities are available to the wider community regardless of ability. We will also require additional financial information including:
 8. If the CASC runs a bar or food provision, the level of income from this activity and how this money is used; and whether the CASC operates at a local or national level and where appropriate, the local and national funding streams and financial position of the CASC. Details of bar profits are outlined further within this policy.
- A18 The Council wishes to support and enable appropriate businesses to start, develop and continue with their operations that deliver outcomes directly related to the Council's aims and vision. In the

main this will be done through other means rather than granting discretionary relief. There may be occasions where applications are made for such relief or where a package of measures, including discretionary relief, are appropriate in supporting businesses. This would need to be in accordance with any limitations in respect of state aid.

Appendix B

Discretionary Relief – Non Profit Making Organisations including Recreation

Discretionary Relief – Non-Profit Making Organisations including Recreation

General explanation

Non-Profit

- B.1 The legislation⁹ allows the Council to grant discretionary relief where the property is not an *excepted* one and all or part of it is occupied for the purposes of one or more institutions or other organisations none of which is established or conducted for profit and each of whose main objects are charitable or are otherwise philanthropic or religious or concerned with education, social welfare, science, literature or the fine arts.
- B.2 Relief cannot be granted to any premises occupied by the Council, or any town, parish council or major Precepting Authority (*excepted premises*).
- B.3 A number of issues arise from the term 'not established or conducted for profit'. This requires the Council to make enquiries as to the overall purpose of the organisation although if surpluses and such amounts are directed towards the furtherance or achievement of the objects of the organisation then it does not necessarily mean that the organisation was established or conducted for profit.

Recreation Clubs

- B.4 Ideally all recreation clubs should be encouraged to apply for Community Amateur sports Club (CASC) status, which would automatically entitle them to 80% relief. The relief granted to CASCs is covered earlier within this policy.
- B.5 Recreation clubs can also apply to the Charity Commissioners for registration as a Charity (thereby falling under the mandatory provisions for 80% relief) where they meet the following conditions:
- a. The promotion of community participation in healthy recreation and by the provision of facilities for the playing of particular sports; and
 - b. The advancement of the physical education of young people not undergoing formal education.
- B.6 Where sports clubs do not meet the CASC requirement, and are not registered charities, discretionary relief can be granted (0-100%) where the property is not an *excepted* one, it is wholly or mainly used for purposes of recreation and all or part of it is occupied for the purpose of a club, society or other organisation not established or conducted for profit.

Definition of Recreation

- B.7 Recreation is clearly defined by the Sports Council as any of the following¹⁰

⁹ S47 Local Government Finance Act 1988

¹⁰ Definition last reviewed by Sport England in 2002

Aikido	Croquet	Kabaddi	Real Tennis	Tang Soo Do
American Football	Crossbow	Karate	Roller Hockey	Tenpin
Angling	Curling	Kendo	Roller Skating	Bowling
Archery	Cycling	Korfball	Rounders	Trampoline
Arm Wrestling	Disability Sport	Lacrosse	Rowing	Triathlon
Association	Dragon Boat Racing	Lawn Tennis	Rugby League	Tug of War
Football	Equestrian	Life Saving	Rugby Union	Unihoc
Athletics	Fencing	Luge	Sailing	Volleyball
Australian Rules	Fives	Modern Pentathlon	Sand/Land	Water Skiing
Football	Flying	Motor Cycling	Yachting	Weightlifting
Badminton	Gaelic Football	Motor Sports	Shinty	Wrestling
Ballooning	Gliding	Mountaineering	Shooting	Yoga
Baseball	Golf	Movement, Dance,	Skateboarding	
Basketball	Gymnastics	Exercise & Fitness	Skiing	
Baton Twirling	Handball	Netball	Skiing	
Biathlon	Hang/Para Gliding	Orienteering	Snowboarding	
Bicycle Polo	Highland Games	Parachuting	Softball	
Billiards and	Hockey	Petanque	Sombo Wrestling	
Snooker	Horse Racing	Polo	Squash	
Bobsleigh	Hovering	Pony Trekking	Skater/Street	
Boccia	Hurling	Pool	Hockey	
Bowls	Ice Hockey	Quoits	Sub-Aqua	
Boxing	Ice Skating	Racketball	Surf Life Saving	
Camogie	Jet Skiing	Rackets	Surfing	
Canoeing	Ju Jitsu	Raquetball	Swimming &	
Caving	Judo	Rambling	Diving	
Chinese Martial			Table Tennis	
Arts			Taekwondo	
Cricket				

Access to clubs

- B.8 Guidance issued by the DCLG also requires the Council to consider access to clubs within the community before granting discretionary relief.
- B.9 Membership should be open to all sections of the community. There may be legitimate restrictions placed on membership which relate for example to ability in sport or to the achievement of a standard in the field covered by the organisation or where the capacity of the facility is limited, but in general membership should not be exclusive or restrictive.
- B.10 Membership rates should not be set at such a high level as to exclude the general community. However, membership fees may be payable at different rates that distinguish the different classes of membership such as juniors, adults, students, pensioners, players, non-players, employed and unemployed. In general, the club or organisation must be prepared to show that the criteria by which it considers applications for membership are consistent with the principle of open access.
- B.11 The Council also asks the following question to help establish the level of access 'Does the organisation actively encourage membership from particular groups in the community e.g. young people, women, older age groups, persons with disability, ethnic minorities' etc.?'

Provision of facilities

- B.12 Clubs which provide training or education are encouraged as are those who provide schemes for particular groups to develop their skills e.g. young people, the disabled, retired people.
- B.13 A number of organisations run a bar. The mere existence of a bar will not in itself be a reason for not granting relief. However the Council focuses on the main purpose of the organisation. The Council is encouraged to examine the balance between playing and non-playing members.
- B.14 Within this area the Council also considers whether the facilities provided relieve the Council of the need to do so, or enhance and supplement those that it does provide.

Discretionary Relief - Non-Profit Organisations including Recreation – the Council's Policy

- B.15 The Council will consider applications for discretionary rate relief from non-profit making organisations on their own merits on a case-by-case basis. In determining the application, the following matters will be taken in to consideration (The list is not exhaustive):
- How the organisation supports and links into the Council's corporate vision and priorities;
 - Whether the facilities provided include education and/or training for members as a whole or for special groups;
 - The extent to which the facilities provided reduce the demand for Council services or produce savings;
 - Any membership and fee structure and whether the facilities are accessible to all residents, including whether there are concessions for certain groups, for example people on a low income or young people under 18;
 - If covered by a membership scheme, membership numbers and the number and percentage of these members that are local residents;
 - If the organisation has due regard to equality issues and if its facilities are used by all members of the community, for example black and minority ethnic residents, people over 50 and people with disabilities.
- B.16 The Council will also require additional financial information including:
- If the organisation runs a bar or food provision, the level of income from this activity and how this money is used. For information, the level of the relief awarded will be reduced if the net income from the bar and gaming machines, expressed as a percentage of total income, is 30% or greater; and
 - Whether the organisation operates at a local or national level and where appropriate, the local and national funding streams and financial position of the organisation.

Appendix C

Discretionary Relief – Localism Act 2011

Discretionary Relief – Localism Act 2011

General explanation

- C.1 Section 69 of the Localism Act 2011 amended Section 47 of the Local Government Finance Act 1988. These provisions allow all Councils to grant discretionary relief in **any** circumstances where it feels fit having regards to the effect on the Council Tax payers of its area.
- C.2 The provisions are designed to give authorities flexibility in granting relief where it is felt that to do so would be of benefit generally to the area and be reasonable given the financial effect to Council Tax payers.

Discretionary Relief – Localism – the Council’s Policy

- C.3 Applications will be considered from any ratepayer who wishes to apply. However, where a ratepayer is suffering hardship or severe difficulties in paying their rates liability then relief can be granted under the existing provisions as laid down by Section 49 of the Local Government Finance Act 1988. There will be no requirement to grant relief in such cases under the Council’s discretionary relief policy.
- C.4 Any ratepayer applying for discretionary rate relief under these provisions and who does not meet the criteria for existing relief (charities, non-profit making organisations etc.) must meet **all** of the following criteria and the amount of relief granted will be dependant on the following key factors:
- a. The ratepayer **must not** be entitled to mandatory rate relief (Charity or Rural Rate Relief);
 - b. The ratepayer **must not** be entitled to Central Government funded reliefs;
 - c. The ratepayer **must not** be an organisation that could receive relief as a non-profit making organisation or as a sports club or similar;
 - d. The ratepayer **must** occupy the premises (no discretionary rate relief will be granted for unoccupied premises);
 - e. The premises and organisation **must** be of *significant* benefit to residents of the Council;
 - f. The premises and organisation **must** relieve the Council of providing similar facilities;
 - g. The ratepayer **must**;
 - a. Provide facilities to certain priority groups such as elderly, disabled, minority groups, disadvantaged groups; **or**
 - b. Provide *significant* employment or employment opportunities to residents of the Council; **or**
 - c. Provide the residents of the area with such services, opportunities or facilities that cannot be obtained locally or are not provided locally by another organisation;
 - h. The ratepayer **must** demonstrate that assistance (provided by the discretionary rate relief) will be for a *short time only* **and** that any business / operation is financially viable in the medium and long term; **and**
 - i. The ratepayer **must** show that the activities of the organisation are consistent with the Council’s core values and priorities.

- C.5 Where a ratepayer can demonstrate that **all** of the above criteria are met, relief will be considered for initially a short period.
- C.6 A formal application from the ratepayer will be required in each case and any relief will be granted in line with State Aid requirements as specified within section 6 of this policy.

Appendix D

Local Newspaper Relief

General Explanation

- D.1 This is a temporary relief for 2017-18 and 2018-19 and the Government is not changing the legislation around the reliefs available to these properties. Central Government will reimburse local authorities that use their discretionary relief powers (under section 47(3)) of the Local Government Finance Act 1988 to grant relief in line with the eligibility criteria set out in this guidance.
- D.2 The Council will be compensated by Central Government through a grant under section 31 of the Local Government Act 2003.

Eligibility criteria

- D.3 The scheme will provide a £1,500 relief for office space occupied by local newspapers up to a maximum of one discount per local newspaper title and per hereditament, for two years from 1 April 2017.

Local Newspapers

- D.4 The relief is to be specifically for local newspapers and by that, the Council means what would be considered to be a “traditional local newspaper.” The relief will not be available to magazines.

Office Space

- D.5 The hereditament **must** be occupied by a local newspaper and wholly or mainly used as office premises for journalists and reporters.

Amount of Relief

- D.6 The amount of relief is limited to a maximum of one discount per newspaper title (e.g. per newspaper name) **AND** per hereditament. As with all discretionary rate relief, any grant will be subject to State Aid limits as defined within section 6 of this policy.

Local Newspaper Relief – the Council’s policy for granting discretionary relief.

- D.7 The Council has decided to grant relief strictly in accordance with Central Government guidelines.

Appendix E

Supporting Small Businesses Relief

General Explanation

- E.1 Central Government has increased the thresholds for Small Business Rate Relief from 1 April 2017 to £12,000 for the 100% relief and £15,000 for the tapered relief. Unfortunately, despite these changes, some small businesses may lose their entitlement to the relief due to increases in Rateable Value due to the revaluation on 1st April 2017.
- E.2 The transitional relief scheme (provided under the Non-Domestic Rating (Chargeable Amounts) (England) Regulations 2016 No. 1265) does not provide support in respect of changes in reliefs. Therefore, those ratepayers who have lost some or all of their small business rate relief may face large percentage increases in bills from 1 April 2017.
- E.3 In view of this, Central Government announced that a new scheme of relief would be made available to those ratepayers facing large increases as a result of the loss of small business relief due to the revaluation. All authorities are encouraged to grant the relief in accordance with the guidelines laid down by Central Government and if granted strictly in accordance with guidance, the Council will be compensated by Central Government through a grant under section 31 of the Local Government Act 2003.
- E.4 The relief is to be known as the 'Supporting Small Businesses Scheme'

Who is eligible for the relief and how much relief will be available?

- E.5 The Supporting Small Businesses relief will help those ratepayers who as a result of the change in their rateable value at the revaluation are losing some or all of their small business relief and, as a result, are facing large increases in their bills.
- E.6 To support these ratepayers, the Supporting Small Businesses relief will ensure that the increase per year in the bills of these ratepayers is limited **to the greater of:**
 - a. a percentage increase per annum. of 5%, 7.5%, 10%, 15% and 15% 2017/18 to 2021/22 all plus inflation. (Unlike the transitional relief scheme under the Chargeable Amount regulations), for the first year of the scheme the percentage increase is taken against the bill for 31 March 2017 after small business rate relief; **or**
 - b. a cash value of £600 per year (£50 per month).
- E.7 This cash minimum increase ensures that those ratepayers paying nothing or very small amounts in 2016/17 after small business rate relief are brought into paying something.
- E.8 In the first year of the scheme, this means all ratepayers losing some or all of their small business rate relief will see the increase in their bill capped at £600. The cash minimum increase is £600 per year thereafter. This means that ratepayers who in 2016/17 paid nothing under small business rate relief and are losing all of their entitlement to relief (i.e. moving from £6,000 rateable value or less to more than £15,000) would under this scheme be paying £3,000 in year 5.
- E.9 The Government has also decided that those on the Supporting Small Businesses relief scheme whose 2017 rateable values are £51,000 or more will not be liable to pay the supplement (1.3p) to fund small business rate relief while they are eligible for the Supporting Small Businesses relief scheme.
- E.10 Ratepayers will remain in the Supporting Small Businesses relief scheme for either 5 years or until

they reach the bill they would have paid without the scheme (this would be the charge payable as their true rates payable or the charge calculated under the Non-Domestic Rating (Chargeable Amounts) (England) Regulations 2016).

- E.11 A change of ratepayer will not affect eligibility for the Supporting Small Businesses relief scheme **but** eligibility will be lost if the property falls vacant or becomes occupied by a charity or Community Amateur Sports Club.
- E.12 The rules for state aid (as detailed in section 6 of this policy) shall apply when considering Supporting Small Businesses Relief.

Recalculation of relief

- E.13 The amount of relief awarded under the Supporting Small Businesses relief scheme will be recalculated in the event of a change of circumstances including the following:
- This could include, for example, a backdated change to the rateable value or the hereditament; or
 - The awarding of another relief.
- E.14 The Council will, in effect, calculate the award on a daily basis taking into account the above, and the relief will be re-calculated if the rateable value changes.

Other Reliefs

- E.15 Hereditaments eligible for charity or Community Amateur Sports Club relief or hereditaments which are unoccupied are not eligible for Supporting Small Businesses Relief. Likewise, the same principle applies to properties for which a Section 44A certificate has been granted (apportionment of rateable values for partly occupied properties). The presence of a section 44A certificate will not further reduce the bill found under the Supporting Small Business scheme.
- E.16 In accordance with Central Government guidelines, all other discretionary reliefs, will be considered **after** the application of Supporting Small Businesses relief.

Supporting Small Businesses Relief – the Council’s policy for granting discretionary relief.

- E.17 The Council has decided to grant relief strictly in accordance with Central Government guidelines

Appendix F

Public House Relief

General Explanation

- F.1 This is a temporary relief for 2017-18 and the Government is not changing the legislation around the reliefs available to premises. Central Government will reimburse local authorities that use their discretionary relief powers (under section 47(3)) of the Local Government Finance Act 1988) to grant up to £1000 relief in line with the eligibility criteria set out in guidance to be produced by Central Government
- F.2 Central Government has stated that any amount granted will be reimbursed by a section 31 grant.

Eligibility criteria

- F.3 The Council's understanding is that policy will provide a relief of £1,000 relief for one year only (1st April 2017 to 31st March 2018) for all eligible public houses who have a rateable value of less than £100,000 on 1st April 2017.
- F.4 The definition of a 'Public House' means any premises as defined in the Licensing Act 2003, which has a premises license authorising sale by retail of alcohol for consumption on the premises. In addition, the premises **must** be used principally for retail sales of alcohol to members of the public for consumption on the premises, and sales must not be subject to the condition that buyers reside at or consume food on the premises.
- F.5 It will be for the Council to decide whether any premises falls within the definition give in the above paragraph. No relief shall be given where the premises are unoccupied.

Other Reliefs

- F.6 Public House relief will be granted after applying any other mandatory reliefs and reductions

Public House Relief – the Council's policy for granting discretionary relief.

- F.7 The Council has decided to grant relief strictly in accordance with the above and Central Government guidelines in relation to the repayment of grant.

Appendix G

Discretionary Business Rate Relief Scheme

General Explanation

- G.1 In March 2017, Central Government announced that it would make available a discretionary fund of £300 million over four years from 2017-18 to support those businesses that face the steepest increases in their business rates bills as a result of the revaluation. Government determined that Councils would be best placed to determine how this fund should be targeted and administered to support those businesses and locations within their area that are in the greatest need.
- G.2 Every authority within England is to be provided with a share of a £300 million fund to support their local businesses. This is to be administered through billing authorities' discretionary relief powers under section 47 of the Local Government Act 1988.
- G.3 Government also believes that local authorities are best placed to judge the particular circumstances of local ratepayers and direct the funding where it is most needed to support local economies.
- G.4 The funding is not provided equally over the four-year period but in the following approximate proportions:
- Year 1 (2017/18) 58%
- Year 2 (2018/19) 28%
- Year 3 (2019/20) 12%
- Year 4 (2020/21) 2%
- G.5 Councils will be compensated for any relief granted under section 31 of the Local Government Act 2003. The Government is unclear at this stage as to whether any underspend can be 'vired' from one year to the next although their initial guidance is that any underspend will be returned to Treasury¹¹.
- G.6 A key criteria of reimbursement will be that all Billing Authorities will consult with major precepting authorities when formulating their schemes.

Consultation

- G.7 The Council has consulted with Essex Police, Fire and Crime Commissioner Fire and Rescue Authority who have agreed with our scheme.

State Aid

- G.8 The rules relating to State Aid (as defined within section 6 of this policy) apply. The Council will ensure full compliance in this area to ensure that relief can be given to the most deserving ratepayers.

¹¹ DCLG Letter 27th April 2017 – Discretionary Rates Relief Scheme – Payment of Section 31 grant to reimburse cost of relief

Decisions by the Council

- G.9 Decisions by the Council are made directly in line with the Scheme of Delegation as outlined within section 7 of this policy. Any decision to award relief under this scheme will follow the core principles of the Council's discretionary relief policy as defined by section 3.8.
- G.10 It should be noted that whilst the funding from Central Government for Discretionary Business Rate Relief Scheme is limited, the decision of the Council whether to award any relief under this scheme **will not take account** of the level of any funding.

Discretionary Business Rate Relief Scheme– the Council's policy for granting discretionary relief.

- G.11 The Council has decided that relief under the scheme will be awarded using the following criteria:
- a. The scheme is designed to assist ratepayers who have suffered significant increases in rate liability due to the revaluation and the subsequent increase to their Rateable Value;
 - b. In assessing any potential entitlement to an award under the scheme, the Council will compare the following:
 - i. The rate liability of the ratepayer at 31st March 2017 after any reliefs and reductions; and
 - ii. The rate liability of the ratepayer at 1st April 2017 after any reliefs and reductions
 - c. An amount of relief will be awarded to cover the full amount of the revaluation increase, subject to exclusions to the scheme, so that the qualifying ratepayer will see no increase in their 2017/18 bill in comparison to the 2016/17 figure;
 - d. The maximum pay-out of relief per property will be capped at £1,000.00;
 - e. **Exclusions to the scheme (relief will not be paid to ratepayers/hereditaments under the following circumstances :**
 - Relief will **not** be awarded to Sports clubs that already qualify for 50% discretionary relief;
 - Relief will **not** be awarded to Charitable organisations or Community Amateur Sports Club (CASC) who are already in receipt of 80% mandatory relief;
 - Relief will **not** be awarded where the ratepayer has applied for a reduction under S44a of the Local Government Finance Act;
 - No relief within this scheme will be granted to unoccupied properties. Relief will only be given to premises which are liable for occupied rates;
 - Relief will only be granted to ratepayers who were in occupation at 31st March 2017 and in occupation on 1st April 2017 and for each day subsequently;
 - Ratepayers taking up occupation after the 1st April 2017 will **not** be eligible for relief on the basis that new ratepayers would not have suffered from increases due to a revaluation;
 - Properties which were not in the rating list at 1 April 2017;
 - No relief will be granted to properties with a rateable value greater than £100,000;
 - Relief will be targeted to local businesses and not those businesses that are national or multi-national in nature. Local businesses are, for the purposes of this scheme, those which have premises wholly in the Councils area;
 - Relief may be awarded for more than premises as long as all other criteria are met;
 - Relief will not be granted if it is under £25.00 in year 1 (This is due to administration costs);
 - Relief will not be awarded for hereditaments who are wholly or mainly used for:
 - i. Properties where the ratepayer is Southend-on-Sea Borough Council (or any other billing/precepting authority) or whereby Southend-on-Sea Borough Council defrays any rates due (i.e. schools)
 - ii. Medical services e.g. hospitals, doctors, dentists etc.; and
 - iii. Beach Huts;

Applications for relief under this scheme

- G.12 The Council is keen to identify ratepayers who may qualify for the relief and as such will look to encourage certain ratepayers to apply. The Council will look to simplify the application process wherever possible, but it will expect any ratepayers to provide such information as is required by the Council to support their application

Amount of Relief

- G.13 The amount of relief is tapered and will be calculated as follows:
- 2017/18**
Award = Increase in rate liability calculated in G.11C (subject to the exclusions in the scheme)
- 2018/19**
Award = 2017/18 award x 50% (for clarity this will be half of the relief awarded in 2017/18)
- 2019/20**
Award = 2018/19 award x 40% (for clarity this will be half of the relief awarded in 2018/19)
- 2020/21**
Award = 2019/20 award x 10% (for clarity this will be 10% of the relief awarded in 2019/20)

Variation and amendment of relief under the scheme

- G.14 As with all reliefs, the amount of relief awarded under the Discretionary Businesses Rates relief scheme will be recalculated in the event of a change of circumstances. This will include, for example, a backdated change to the rateable value or the hereditament. This change of circumstances could arise during the year in question or during a later year. The Non-Domestic Rating (Discretionary Relief) Regulations 1989 (S.I. 1989/1059) requires the Council to provide ratepayers with at least one year's notice in writing before any decision to revoke or vary a decision so as to increase the amount the ratepayer has to pay takes effect. Such a revocation or variation of a decision can only take effect at the end of a financial year. But within these regulations, the Council may still make decisions which are conditional upon eligibility criteria or rules for calculating relief which allow the amount of relief to be amended within the year to reflect changing circumstances.
- G.15 A contingency/surplus will be retained of approximately 5% of each annual grant, to be used on an exceptional basis to target support to organisations that are facing hardship and contribute to the Council's business growth priorities. The decision to allocate this aspect of the relief is to be taken by the Section 151 Officer.

Appendix H

Section 49 – Hardship Relief

Section 49 – Hardship Relief

General explanation

H.1 The Council is able to exercise its discretion under Section 49 of the Local Government Finance Act 1998 to provide either partial or full relief for non-domestic rate payments in cases of hardship where it would be reasonable to do so having due regard to the interests of council tax payers in general.

Section 49 Hardship Relief – the Council’s Policy

H.2 The Council will consider applications for hardship relief from individuals and organisations based on their own merits on a case-by-case basis. The Head of Revenues and Benefits will consider applications.

H.3 In making decisions on whether to award the relief the Council takes into account the following criteria (not listed in any priority):

- Any reduction or remission of rates on the grounds of hardship should be the exception rather than the rule;
- Any reduction of the rates must be shown to be significant to the future viability of the business;
- The business must continue to trade;
- Cash flow forecasts for a minimum of the next twelve months must be provided together with a comprehensive Business Plan incorporating a brief history of the business;
- The test of "hardship" is not strictly confined to financial hardship and that this, in itself, is not a deciding factor;
- The loss of the business would reduce amenities of an area if it is the sole provider of a service in the area;
- Details of any state aid, grants or subsidies either from central or local government over the previous three years.
- The loss of the business would worsen the employment prospects in the area;
- The interests of the Council Tax payers of the area would be best served by awarding the relief.
- The business must demonstrate how it is beneficial to the local community and why it is currently suffering financial hardship;
- The business provides employment to local residents in an area where employment opportunities are limited;
- Independent advice given by banks or financial advisors should be sought to demonstrate the future viability of the business;
- Applications will only be considered where signed by the ratepayer, or, where an organisation is the ratepayer, an appropriately authorised representative of the organisation; and
- The ratepayer will provide additional information as deemed necessary by the Council to be essential in order for a fair evaluation of the application;

Appendix I

Application Forms for Reliefs and Reductions

These are available on the Council's website at

http://www.southend.gov.uk/downloads/download/65/business_rates

Southend-on-Sea Borough Council
Report of the Deputy Chief Executive (People)
to
Cabinet
on
7th November 2017

**Agenda
Item No.**

12

Report prepared by: Gillian Shine, Senior Procurement
Advisor and Mark Atkins, Lead Procurement Advisor

Passenger Transport – Policy Changes
Policy and Resources Scrutiny Committee
Executive Councillors: Councillor Salter, Councillor Moring and Councillor Courtenay
A Part 1 Public Agenda item

1. Purpose of Report

1.1 The purpose of this report is to:

- (i) articulate to members the proposed changes to policies which were recommended as part of the transport review
- (ii) update members on the feedback received from users and stakeholders as part of the consultation in regards the recommended policy changes for passenger transport provision regards eligibility
- (iii) seek approval to proceed with implementing the revised policies for the following areas:
 - Home to School for Pre and Post-16 Students with Special Educational Needs and Disabilities (SEND)
 - Adults with Learning Disabilities and Older Adults attending Day Centres and Activities
 - Looked After Children
 - Dial-a-Ride
- (iv) endorse the timescales to implement the proposed policies as outlined in 3.3.1 below.

1.2 It should be noted that the recommendations in this report considers feedback captured as part of the consultation process which started on 14 July 2017 and ended on the 10th October 2017.

2. Recommendations

2.1 It is recommended that the following proposed policies are now adopted as per the approach identified in 3.1:

- a) Home to School Transport for Pre and Post-16 Students with Special Educational Needs and Disabilities (SEND) (effective from 1st September 2018) as follows:
 - The Special Educational Needs Travel Assistance Policy (see Appendix A) to be implemented as set out in 3.1.2 a) and 3.1.2 b) below. The provision of 'travel assistance' is to be focussed on the promotion of independence and personalisation. As pupils adopt more independent alternative modes of transport then routes will be optimised.
- b) Adults with Learning Disabilities and Older Adults attending Day Centres and Activities (effective from 1st April 2018) as follows:
 - The Adult Social Care travel assistance policy (see Appendix B) to be implemented as proposed in 3.1.2 c) below. the focus on maximising independence will mean that travel assistance will only be provided by the Council once all alternative transport options have been considered.
 - Where transport is provided by the Council, the contribution from the user is increased to the new charge of £4 per day for a return trip and £5 per day where multiple trips are applicable.
- c) Looked After Children (effective from 1st April 2018) as follows:
 - The looked after children and young people travel assistance policy (see Appendix C) to be implemented as proposed in 3.1.2 d) below.
- d) Dial-a-Ride (effective from 1st April 2018) as follows:
 - The Dial-a-Ride policy (see Appendix D) to be implemented as proposed in 3.1.2 e) below.

3. Background

3.1 Policy Review

3.1.1 The initial stage of the transport review found that a number of policy areas required further investigation:

- The lack of an overall strategy for the provision of passenger transport
- A lack of policies and guidance setting out eligibility criteria and processes for assessing need for and obtaining assistance with transport
- The provision of assistance with transport in excess of the Council's statutory minimum duty
- A lack of understanding of the actual and potential markets for a Dial-a-Ride service.

3.1.2 The second phase produced a series of proposed changes to policy:

a) Home to School Transport for Pre-16 Students with Special Educational Needs and Disabilities (SEND)

Currently, the majority of SEND pupils who are eligible for travel assistance are transported by SBC on in-house or contracted transport services, with a small number travelling independently following travel training. A mileage cost is available for parents who wish to transport their own child if this is considered appropriate.

Recommended new approach from the transport review:

- Individual assessments around the provision of 'travel assistance' are considered alongside the promotion of independence and personalisation.
- There will be a rationalisation of transport routes as pupils adopt more independent alternative modes of transport.
- Independent travel training will be the first response to a request for travel assistance. Following training:
 - Those deemed capable of independent travel will be provided with a cash amount to purchase a subsidised public transport pass.
 - Those deemed unsuitable or those who do not become independent travellers at the end of the training process, will be offered a travel support allowance –to enable them to make their own travel arrangements.
- Those for whom a travel support allowance is not appropriate will be offered a place on shared transport services provided by the Council.
- A travel support allowance is always offered as a first response to those travelling out of borough (as distances involved result in expensive transport provision).

b) Home to School Transport for Post-16 Students with Special Educational Needs and Disabilities (SEND)

The current approach is to provide a space on an existing statutory transport service or provide dedicated services beyond the statutory minimum. All services are free of charge to the user.

Recommended new approach from the transport review:

- Independent travel training will be the first response to a request for travel assistance (same as the approach for pre-16 students above).
- Charges to be imposed for Post-16 SEND to bring it into line with mainstream Post-16 charging arrangements. Students from eligible low income households will not be required to pay.
- Post-16 pupils will be able to purchase a subsidised public transport pass.

Dedicated transport services will only be provided, subject to a charge (which is equivalent to current cost of an annual bus pass), once other travel assistance options have been considered.

c) Adults with Learning Disabilities and Older Adults attending Day Centres and Activities

The Council does not have a transport policy for Adults with Learning Disabilities and Older Adults attending day care services. Service users are charged £2 per day for transport to access day services (Viking and Project 49); this is a flat fare regardless of the number of trips required to be made to attend activities during the course of the day. The £2 fare has been in place for approximately 4 years. In addition, certain service users who live in residential care homes are being transported on Council funded vehicles to day care services, rather than being transported by the care home.

The policy needs to consider what action the Council would take if someone refused to pay the transport charge. Options could be:

- Withdraw day care – we would need to be clear about the reasons for attending day care and what effect withdrawal would have
- Owing to individual financial circumstances, it could be agreed to waive the charge
- If there is no valid reason why the charge should not be paid, then further action would need to be considered.

Recommended new approach from the transport review:

- Implement a new policy which formalises current practice and details SBC's expectations of service users (e.g. around the use of Motability cars, etc.).
- That the daily charge for transport should be increased to £4 per day for simple return trips to £5 per day for multi-journeys. Although this would not recover the full cost of providing the transport, it would reflect a more realistic balance, which would still remain considerably cheaper for the client than securing transport in the private market. The charge will be reviewed on an annual basis.

84 clients who attend Project 49 are charged for transport to attend the centre. Increasing the day rate to between £3-£5 per day for these 84 clients would increase annual income by between £11,600 and £34,800.

There may be additional clients attending Project 49 who are not transported to Project 49 by the Council, but they attend other day care and adult education services which are not included in the numbers of paying clients, as charges are only imposed for journeys to those who are transported to and from Project 49 and does not include the additional trips provided during the day.

The potential increase in income assumes that there would be no reduction in client numbers as external market transport costs would still be much higher.

d) Looked After Children

Currently, the requirement for transport is treated more as an after-thought to the provision of care services, which artificially inflates the transport element of the process of arranging care. SBC has no policy for Children's Social Care, meaning that elements such as passenger assistant requirements are not formalised.

Recommended new approach from the transport review:

- Devise a new policy which would clarify issues such as notice periods for transport bookings, expectations of carers and parents, passenger assistant standards, venues for contact visits, etc.
- The process of arranging transport, particularly contact transport, should be co-ordinated by the transport function alongside the contact co-ordinator at the contact centre (Allan Cole), with transport availability being clarified and secured with transport colleagues early in the process of arranging care.

e) Dial-a-Ride

The Council does not have a formal policy for the provision of Dial-a-Ride, although there are guidelines outlining how the service operates. The Dial-a-Ride service provides transport to essential facilities and services for Southend residents who are unable to use conventional public transport services. The service currently operates using three accessible minibuses which are owned by the Council but due for replacement. The Dial-a-Ride drivers are Council employees. The service operates on a on-demand basis, Monday to Friday from 09:00 to 16:30. Members call the Council's transport team to book a trip and there are no limits on the number of trips that a member is able to make during the course of any given week. All destinations must be within the Southend Borough Council boundary although trips to hospital appointments are not permissible. An annual membership fee of £12 per member is charged and payments per trip are based on return mileage, which is recorded in mileage bands.

The current cost of the service, including three paid drivers, is in excess of £110,000 per year. The scheme currently has 61 members (two-thirds of whom make trips on a regular basis), resulting in a subsidy per member of approximately £1,800 per year. Dial-a-Ride is not a statutory service and other local authorities, for example Nottinghamshire and Lincolnshire County Councils, reviewed and decided to withdraw the provision. In the absence of a local community transport operator in the Borough, the Council is keen to retain the service, but should consider ways of reducing the cost of providing it.

Recommended new approach from the transport review:

Implement a policy which

- reduces the hours of operation from 09:00 to 16:30 to 10:00 to 14:30 to minimise the cost of operation
- introduces scheduled, bookable trips to popular destinations such as local supermarkets and central Southend
- removes trips to day care facilities which are provided by Adult Social Care for eligible residents
- reduces the number of trips any one member is able to make, to enable more people to access the service

3.2 Details of the consultation analysis on the proposed policies

3.2.1 Further to 1.2 above, the Council started a consultation process on 14 July 2017 with service users and stakeholders around the proposed changes to the following policies (as set out in 3.1.2):

- a) *Home to School for Pre and Post-16 Students (SEND)*
- b) *Adults with Learning Disabilities and Older Adults attending Day Centres and Activities*
- c) *Looked After Children*
- d) *Dial-a-Ride*

3.2.2 The consultation for the above policies ended on 10 October 2017 and complied with the best practice guidance from the Department for Education.

3.2.3 The results of the consultation are as follows:

a) *Home to School Transport for Students (SEND) Pre and Post-16*

A total of 153 responses were received with 95% of these returns being from parents/carers, and they related to children and young people from the following age groups:

- Post-16 years of age (20%)
- 11-16 years of age (39%)
- 5-10 years of age (38%)
- Under 5 years of age (3%)

Details of consultation responses:

Recommendations for Change	Feedback
Satisfaction with current service offering	97% of the respondents were happy with the current provision
Offer Independent Travel Training (ITT) for older children to make the school journey as a way of promoting independence and life skills	52% agreed that this would promote independent life skills
Offer a Travel Support Allowance if ITT not appropriate	44% agreed that parents are often able to make the best travel arrangements to suit their situation
Charges for Post-16 (not applicable for low-income households)	33% agreed overall (42% agreed when clause added regarding low-income households)

b) *Adults with Learning Difficulties and Older Adults attending Day Care Centres and Other Activities*

A total of 62 responses were received with a majority of responses from users or representation of users attending activities at Project 49.

Details of consultation responses:

Recommendations for Change	Feedback
Satisfaction with current service offering	97% of the respondents were happy with the current provision

Travel assistance will not be provided if an individual has access to other means of travel, even if they choose not to use them	31% agreed
Those living in residential care homes will not receive assistance from the Council with travel to social care activities as this should be provided by the residential care home	37% agreed. There was some feedback that related to fears of isolation for those in care homes
Increase charges for providing travel assistance to adult social care activities to cover more of the cost of providing it	39% agreed that charges should be increased. There were some concerns that some users may be affected by the introduction of Personal Independent Payments (PIPs) as this is lower than the previous Disability Living Allowance (DLA) meaning they may struggle with the affordability of increased transport costs
Proposal to increase daily charge from £2 to £4 per day (£5 per day for those making multiple trips during the day)	63% considered it unfair to have differential charging rates

c) *Looked After Children*

A total of 26 responses were received from the following:

- 84% foster carers
- 8% transport operators
- 4% social workers
- 4% other

Details of consultation responses:

Recommendations for Change	Feedback
Foster carers will be expected to take the child in their care to school, leisure activities and contact visits wherever possible	71% agreed that transport should only be provided by SBC after all other options have been considered and discounted
If a carer transports the child in their care to school and contact visits, the Council will reimburse the full cost (based upon the mileage)	86% agreed that SBC should reimburse the travel costs (based upon the mileage)
The Council encourages contact visits at a foster carer's home, especially for babies and younger children, in order to reduce their need to travel	Some responses expressed concerns about having parents in foster carers' homes
Children from same schools can be transported to contact visits in the same vehicle	95% agreed, with the agreement of the parents
The need for a passenger assistant for a looked after child or young	86% agreed

person will be decided by the Council and include a full risk assessment	
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d) Dial-a-Ride

A total of 62 responses were received from the following groups:

- Current DaR members (56%)
- Representatives of destinations or organisations accessed by current DaR members (24%);
- Those who are eligible for this transport provision but are currently not a DaR member (17%)
- Other (3%)

Details of consultation responses:

Recommendations for Change	Feedback
Retain a DaR service for Southend	98% agreed
Make DaR more cost effective	100% agreed that Council is right to look at ways of providing DaR in a more cost effective way which lets more people use the service
Introduce scheduled bookable trips, reduce the number of trips per member per week	65% agreed that proposed changes should make the service more accessible to those wishing to use it
Reduced hours and days of operation	60% agreed that the new hours of operation will allow more members to get to the essential services and facilities they need

3.3 Revisions as a result of the Consultation Exercise:

a) Home to School Transport for Students (SEND) Pre and Post-16

Subject to agreement to the recommendations in 2.1 above, the Council would develop communication materials for Independent Travel Training and Travel Support Allowance which provides parents / carers with sufficient information to make informed decisions about the best travel option for their child and the family.

b) Adults with Learning Difficulties and Older Adults attending Day Care Centres and Other Activities

There is a need to ensure fairness in charging for these services and it is no longer sustainable to continue at the current contribution from users and it should be noted that the increased charge is still lower than those imposed by other local authorities. It should also be noted that the increased charge is only a contribution and does not cover the full costs to provide the transport.

To ensure residents do not feel isolated in residential care homes – there is a need to look at how activities can be incorporated for these residents. When considering the operating model for the future provision of this transport, the Council will review whether it can provide transport for care homes in a more cost effective way.

c) Looked After Children

Contact visits being hosted in a foster carers home would be assessed on a case by case basis so that the concerns that were expressed can be addressed.

d) Dial-a-Ride

It is recommend that the revised policy is adopted and implemented. Although, if this provision of transport is transferred to an external provider then the Council could review this again to see if a more cost effective model could extend the hours of operation. The Council will also explore what transport services the voluntary and third sector have in place that could support this requirement.

3.4 Timescales for Implementation

3.4.1 Below is the recommended timescale to implement the revised policies:

Date	Policy
1 st April 2018	Adults with Learning Disabilities and Older Adults attending Day Care
1 st April 2018	Dial-a-Ride
1 st April 2018	Looked after Children
1 st September 2018	Home to School for Children with Special Educational Needs and Disabilities (SEND)

4. Reasons for Recommendation

4.1 The reasons for the above recommendations are as follows:

- a) Home to School (SEND) transport – this recommendation is to approve some changes to the current policy to enable consistency and fairness in decisions regarding eligibility. The proposed changes to current provision offer different types of travel assistance aimed at encouraging independence and well-being, whilst treating each student on an individual basis.

Numerous local authorities, e.g. Dudley MBC, Sandwell MBC and Trafford MBC are adopting the above approach.

Most local authorities are currently considering the provision of Post-16 transport, including SEND. Most are stopping short of withdrawing SEND provision or charging full cost recovery but levelling the playing field in terms of charging, e.g. In April 2014, Herefordshire County Council withdrew the provision of free Post-16 SEND transport.

- b) Adults with Learning Disabilities and Older Adults attending Day Centres and Activities – this recommendation is for approval to have an established policy

that demonstrates how the Council will support individuals by providing travel assistance to access social care activities in a consistent and equitable way.

Other local authorities have increased their charges considerably over recent years. Nottinghamshire County Council for example, increased its £7 per day charge to £8 per day in 2016/17.

All individuals needs will be assessed on a case by case basis utilising the 'reasonable test' attached to the policy.

- c) Looked After Children – this recommendation is for approval to have an established policy to enable fairness in decisions about eligibility. This policy sets out the Council's approach to providing travel assistance for children and young people in foster care and residential care. It covers travel between home, school, leisure and contact visits.

Other local authorities have begun to recognise the pressing need to adopt a transport policy for Children's Social Care as this area of care provision comes under increasing financial pressure. *The Independent Advisors* advised Leicestershire County Council to adopt such a policy in work recently undertaken for them.

- d) Dial-a-Ride – this recommendation is for approval to have an established policy to enable fairness. The Council's proposal is for a Dial-a-Ride policy to revise and formalise established practice. It should be noted that while other local authorities have decided to stopping running their Dial-a-Ride service, Southend has decided that it will continue to offer this service, although it needs to be operated in a more fair and consistent way. The cost of providing the Dial-a-Ride service throughout the day, every weekday, is no longer sustainable. The number of people who use the service is extremely low, which means the cost to the Council is very high (more than £25 per person per trip).

5. Corporate Implications

5.1 Contribution to the Council's Vision and Corporate Priorities

This project will contribute towards the following Council Priorities:

Safe	To: <ul style="list-style-type: none"> • Look after and safeguard our children and vulnerable adults.
Clean	To: <ul style="list-style-type: none"> • 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.
Healthy	To: <ul style="list-style-type: none"> • Improve the life chances of our residents, especially our vulnerable children and adults, by working to reduce inequalities and social deprivation across our communities.

Prosperous	To: <ul style="list-style-type: none"> • Ensure the town is 'open for businesses' and that new, developing and existing enterprise is nurtured and supported.
Excellent	To: <ul style="list-style-type: none"> • 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.

5.2 Financial Implications

5.2.1 The expectation is that financial efficiencies will be delivered through the adoption and application of the proposed new and revised policies and thus there will be a contribution to the Council's savings targets in future years.

5.2.1 The level of potential savings that could be achieved through the implementation and adoption of suggested policies will be determined on the decision whether or not to adopt the proposed changes as recommended in section 2.

5.3 Legal Implications

5.3.1 The Council has a statutory duty to provide home to school transport; other elements of adults and children social care also fall under this duty. The proposed policies are not recommending to remove this duty but is recommending policies that assess eligibility around fairness as well as the maximising of independence.

5.4 People Implications

5.4.1 A full consultation was undertaken as per 1.2 with all stakeholders and users.

5.4.2 If the application of the revised/new policies leads to a reduced need for the in house transport provision, this could lead to a redundancy situation. In this instance a full consultation with the affected staff and the trade unions will be undertaken in accordance with the relevant legislation.

5.5 Property Implications

5.5.1 There are no property implications.

5.6 Consultation

5.6.1 Consultation on the proposed policies started on 14 July 2017. The consultation period ended on 15 September 2017, except the home to school (SEND) consultation which concluded on 10 October 2017. A copy of the full consultation report can be made available on request.

5.7 Equalities and Diversity Implications

5.7.1 Equality Analyses have been initiated on the basis of the proposed policies and these will need to be finalised.

5.8 Risk Assessment

5.8.1 As the choice of alternative options to conventional minibus transport for the school journey is voluntary, there is a risk that parents will not opt to change their travel arrangements. It will be important to promote the benefits of independent travel training via targeted publicity materials, to ensure that parents have the required information to enable them to make properly informed choices.

5.9 Value for Money

5.9.1 The SEND travel proposals aim to enhance value for money through reducing the number of current external contracts and in-house services. They also aim to deliver value for money in the longer-term as SEND pupils who learn independent travel skills retain and develop those skills in the future, thus reducing the requirement for transport services to be provided by Adult Social Care. In addition, renumeration parents for making their own travel arrangements should also deliver value for money, particularly for those currently travelling on higher cost transport.

5.9.2 The Dial-a-Ride proposals aim to deliver value for money by offering a service to meet the travel needs of a greater number of people who are unable to use conventional public transport, rather than providing unlimited travel to a small number of current members.

5.9.3 The proposals to increase the charge for Adult Social Care transport will ensure that the transport provided covers a greater proportion of its costs than has been the case over recent years.

5.10 Community Safety Implications

5.10.1 Community safety implications will be addressed.

5.11 Environmental Impact

5.11.1 Independent travel training will reduce the need for pupils to be transported to school and enable them to walk, cycle or use public transport, thus reducing the impact on the environment in the short and longer term.

5.11.2 Improved route planning and the requirement to transport fewer children in minibuses would lower the environmental impacts generated by the current arrangements, although the provision of a travel support allowance (which would increase personalisation and choice) could serve to increase the number of cars used to transport children to school and have a negative environmental impact.

5.11.3 The inclusion of scheduled Dial-a-Ride services to popular destinations should help to reduce the number of trips made by the minibuses, thus having a positive environmental impact.

6. Background Papers

6.1 None.

7. Appendices

7.1 Appendix A – Special Educational Needs Travel Assistance Policy

7.2 Appendix B – Adult Social Care Travel Assistance Policy

7.3 Appendix C –Travel Assistance Policy for Looked After Children and Young People

7.4 Appendix D - Southend on Sea Borough Council Dial-a-Ride Policy

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Special Educational Needs Travel Assistance Policy July 2017

4.1 Introduction and Aims

This section of the policy sets out the Council's approach to the provision of funded home to school travel assistance for children of statutory school age and Post-16 students, who attend a local authority maintained school or academy and who have an Education, Health and Care Plan (EHCP).

This policy aims to promote freedom and choice by

- encouraging independence and life skills development wherever possible, by providing independent travel training for children as appropriate
- enabling families to receive reimbursements for making travel arrangements for their own child as appropriate
- making the provision of transport a last resort for those that cannot access any other form of travel assistance safely and once other travel assistance options have been discounted

4.2 Eligibility

Children do not automatically qualify for travel assistance because they have an EHCP, although it is recognised that the child may face additional challenges in making the school journey.

To be eligible for travel assistance, the child must:

- live in the Borough of Southend-on-Sea
- be of statutory school age
- have an Education, Health and Care Plan
- be registered at a school named in the EHCP which is the nearest suitable school to the child's home address
- be unable to reasonably walk to school, even when accompanied by an adult, because of associated health and safety issues related to their special educational needs and/or their disability as defined by the Equality Act 2010

Unless there are specific circumstances as dealt with in other sections of this policy, the distance criteria for pupils with an EHCP are the same as for all other pupils. It will apply to the nearest appropriate mainstream school, learning resource base or special school as determined by the Council.

When parents request a placement for their child in a school of their choice which is not the nearest appropriate school, the Council is not responsible for the provision of travel assistance or the cost of that provision, as laid out in the Education and Inspections Act 2006.

The provision of travel assistance for the school journey should not be regarded as a permanent entitlement. Travel assistance will be reassessed as part of a child's review of their EHCP at transition points between Key Stages or at any point in between at the Council's discretion.

Children with special educational needs but without an EHCP are considered within the general home to school travel assistance policy.

4.3 Types of Travel Assistance

In determining the type of travel assistance to be offered, the Council will adopt a stepwise approach. The type of travel assistance to be offered to a child will be considered in the following order:

4.3.1 Public Transport Season Ticket

This is a ticket for use on public transport and is the most common form of travel assistance provided. Where it is possible for a child to travel on public transport accompanied by a responsible adult (if necessary) then a season ticket will also be provided for the responsible adult to facilitate this. Rail season tickets may be provided where appropriate.

4.3.2 Independent Travel Training

Children from Year 9 upwards whose application for travel assistance is successful will be considered for independent travel training to enable them to use public transport for the journey between home and school in the future. The process of determining suitability will be undertaken in consultation with the child's school. In arriving at a decision, the Council will consider the home to school journey to be made on public transport, as well as the informed view of the child's school regarding the child's suitability for training.

The child will be provided with travel assistance until the travel training process has been completed. Once travel training has been successfully completed, this may take the form of a season pass for the child, or other assistance as appropriate.

4.3.3 Travel Support Allowance (TSA)

Children who are deemed to be unsuitable for Independent Travel Training will be entitled to request a Travel Support Allowance (TSA). A TSA is a payment to help parents to get a child to school. Payments will be issued on a staged basis across the school year. In arriving at the TSA amount, the Council will take into consideration the cost of transporting the child using its own in-house vehicles or external contracted vehicles, as well as the child's age, their timetable, and the distance from home to school. A parent may spend the TSA in any way they choose, as long as it ensures that the child attends school, e.g. arrange for a friend or relative to travel with the child; car share with other parents; arrange school transport for a sibling to enable the parent to transport the child with an EHCP to school; use a Motability car to transport the child, etc. The Council may review the payment of the TSA if concerns are raised about the child's level of school attendance.

A TSA is optional for the parent and in making a request parents should consider whether it is appropriate for their circumstances. However, in instances where a

child is to attend a school which is outside of Southend Borough, a TSA will be the first means of assistance offered.

4.3.4 Transport Vehicles

The provision of a vehicle (usually a shared minibus) to transport a child or young person to and from school is made in **exceptional circumstances only** where it is assessed that no other form of travel assistance is suitable. Vehicle pick-up and drop-off times are arranged so that journey times are minimised and cannot be varied to suit the parent. When accepting an offer of supported transport, parents are agreeing to a kerbside or bus stop arrangement. A door-to-door service is not provided, but the kerbside or bus stop pick-up and drop-off points will be close to the child's home.

The provision of supported transport may cease to be necessary as a child grows older and as they become more independent.

4.4 Parental Responsibilities

If supported transport has been granted to a child, it remains the parent's responsibility to:

- a. ensure that the child is ready for collection at the appointed time and at the arranged pick up point. Failure to comply will result in the parent being responsible for getting their child to school. Contractors will not be expected to vary contract times and the Council will not meet any additional costs incurred for pupils being late
- b. take their child from their home to the vehicle and to collect the child from the vehicle
- c. allow the Council to use any specialist seating which the child requires
- d. sign off the risk assessment in relation to complex/medical needs and/or passenger assistant provision, where applicable

In addition, parents are responsible:

- a. if the child needs to return home during a school day due to illness
- b. if the child needs to return home to attend any health appointments during a school day
- c. if transport is required outside of the normal school hours to facilitate attendance on a school trip
- d. for providing their own travel arrangements should the school decide to exclude the child
- e. if family circumstances dictate that the child needs to travel earlier or later than provided for within the contracted transport

4.5 Passenger Assistants

Passenger assistants are normally provided on vehicles which convey more than five children. In other cases, passenger assistants will only be provided for children with the most complex needs or where a child's behaviour raises questions of health and safety. The child's school will be asked to carry out a risk assessment in order to

justify the need for a passenger assistant for an individual pupil, should the need for one be indicated in the 'Request for Travel Assistance' form. The risk assessment will be considered by the Council. In instances where a child requires solo transport with a passenger assistant, the parent will be expected to act as the passenger assistant.

The Council only accepts passenger assistants who hold an appropriate Disclosure and Barring Service (DBS) certificate.

4.6 Southend Special Schools and Learning Resource Bases

The provision of travel assistance to attend the special schools and learning resource bases is not an automatic entitlement. It is recognised, however, that when a child attends a special school or a learning resource base attached to a mainstream school, this may not be local to their home. For this reason, when required because of distance (see Section 4.2), vulnerability, behaviour or physical disability, the Council may provide travel assistance and this will be identified in the child's EHCP.

If places are not available at the nearest appropriate school, the Council will provide travel assistance to the next nearest school if it meets the distance criteria.

4.7 Residential Placements

A child placed in a residential school will be provided with travel assistance. In the first instance, this will be in the form of a TSA to enable the parent to make their own arrangements for getting the child to and from school. In cases where a TSA is not appropriate, the Council will provide supported transport.

A child in termly boarding establishments will be entitled to travel assistance at the beginning and end of each term and for half term breaks. Weekly boarders will be entitled to travel assistance to the school on Monday morning and from the school on Friday afternoon.

The Council will not provide travel assistance:

- where the residential school requires a child to go home for a period which would not form part of the above arrangement (e.g. if a pupil is not included on a school trip, the school is responsible for the travel assistance)
- for pupils attending health provision (e.g. speech therapy, occupational therapy, mental health)
- for hospital appointments or dental treatment
- should the residential school decide to exclude the child
- if family circumstances dictate that the child needs to travel earlier or later than provided for within the contracted transport

4.8 Out-of-School Activities

The Council will not provide transport either at evenings or weekends for out of school activities in any school.

4.9 Reintegration / Integration and Alternative Educational Packages

Any travel costs associated with reintegration, integration and alternative educational packages, including work experience, will not be met by the Council and are the responsibility of the school, college or parent.

4.10 Exclusion from School

The Council will not reimburse any additional travel costs incurred as a result of a decision taken by a school to exclude a pupil.

4.11 Post-16 Students who have an EHCP

This section of the policy relates to:

a. 16-19 year old students attending educational settings

If the Council has supported the application, this is viewed as attending the nearest appropriate educational setting and the Council will provide subsidised travel assistance providing the eligibility criteria are met. If the Council has not approved the educational setting as the nearest appropriate setting, it will not provide travel assistance.

b. Students aged 19 – 25

If the Council has supported the application, subsidised travel assistance may be provided. Applications are dealt with by Adult and Community Services Department.

In common with the assistance available to statutory school age children, Post-16 students will be considered for Independent Travel Training as a first response to a request for travel assistance (see Section 4.3.2). Travel assistance will be provided whilst the student undertakes the training. Upon completion of the training course, should a student be considered unable to travel independently for the school journey, alternative forms of travel assistance will be offered, as detailed in Section 4.3 above.

If the student is deemed unsuitable for Independent Travel Training they will be allocated a space on a dedicated vehicle for Post-16 students.

In line with mainstream charges for eligible students, a charge will be levied for travel assistance provided by the Council to eligible Post-16 students. The charge will be reviewed on an annual basis. Those who are from a low income family may be entitled to free travel assistance. Proof of low income must be provided at the time of application. Please see the Council's Low Income Criteria for Education Transport, available at

http://www.southend.gov.uk/downloads/file/4758/low_income_criteria_for_education_transport_2017-18

4.12 Applying for Travel Assistance

In all cases where travel assistance is required, a 'Request for Travel Assistance Form' must be completed and returned to the Council's Transport Entitlement Officer.

4.13 Appeals

Those not eligible to receive travel assistance or those disputing the travel assistance offered may submit an appeal against the decision in writing within 4 weeks from the date of the refusal letter. Requests for appeal will not be accepted outside the 4 week period. The appeal should include a detailed explanation as to why the child should receive travel assistance, or a different type of travel assistance to that already offered, including supporting evidence of any exceptional circumstances. This information will be submitted to an appeal panel for consideration. There is no provision for the appellant to appear in person. The decision of the panel will be communicated to the parent/carer in writing. Further correspondence will not alter the decision.

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Southend-on-Sea Borough Council
Adult Social Care Travel Assistance Policy
July 2017

1. Introduction

ASC provides travel assistance for adults with learning disabilities, mental health issues, physical disabilities and older people within the Borough of Southend-on-Sea. This travel assistance policy demonstrates how the Council will support individuals by providing travel assistance to access social care activities in a consistent and equitable way.

Over recent years, the introduction of new national legislation has resulted in significant changes to the way in which social care opportunities are provided. Today, individuals have greater choice in deciding the format, location and timing of their social care activities. This increased freedom has implications for travel and this policy aims to outline how travel demand might best be met - whether through independent travel arrangements, self-funded travel or via Council-funded and arranged travel solutions.

It is assumed and expected that people who can travel to an eligible social care activity, either independently or with assistance from family, friends or care givers will do so.

Funded travel will only be provided if, in the opinion of the assessor, there is no alternative and appropriate travel option available and it is the only reasonable means of ensuring that the individual can safely access an eligible activity.

Adult Social Care will work closely with the Children and Young People's Service to ensure that the travel needs of children and young people are assessed whilst at school, so that opportunities to undertake travel training in order to complete specific journeys on mainstream transport have already been explored and, where appropriate, implemented. This will assist in overcoming any expectations from families that Adult Social Care will provide travel assistance to individuals in all circumstances. All young people requiring adult social care will require an assessment of their travel needs.

2. Links to National and Local Priorities and Plans

The Care Act 2014 has replaced various pieces of legislation and policies. The changes introduced in the Care Act are designed to put individuals in control of their lives.

The Care Act states that local authorities must have regard to promoting wellbeing which means considering any care and support needs in the context of the person's skills, ambitions and priorities. The Act requires local authorities to consider an individual's ability to get around in the community safely and consider their ability to use facilities such as public transport, shops or recreational facilities when

considering the impact on their wellbeing. This includes consideration of the role a person's family or friends can play in helping the person to meet their goals.

The Care Act promotes an approach of preventing, reducing and delaying needs for care and support and refers to the consideration of a person's strengths, their informal support networks any other support that might be available in the community to meet their goals. This approach recognises the value in the resources of voluntary and community groups and the other resources of the local area.

This travel assistance policy addresses 2 of the Council's 5 Aims and 4 of its 15 Corporate Priorities as follows:

Aim : Healthy

Priority: To actively promote healthy and active lifestyles for all

Priority: To improve the life chances of our residents, especially our vulnerable children and adults, by working to reduce inequalities and social deprivation across our communities

Aim: Excellent

Priority: To work with and listen to our communities and partners to achieve better outcomes for all

Priority: To enable communities to be self-sufficient and foster pride in the town

3. Policy Aims and Principles

This policy aims to:

- Promote independence
- Maximise choice and control
- Support a healthy lifestyle
- Improve quality of life
- Maintain dignity
- Provide access to local services

The key principle is that those who can travel to a community activity, whether independently or with the assistance of family, friends or care givers, will do so. Adult Social Care will provide a signposting service to ensure that individuals have access to tailored travel information to enable them to plan their journeys.

The use of commonly available transport options will be encouraged, such as public transport, walking or mobilising with the use of aids either independently or with support, people using their own car or Motability vehicle, utilising transport assistance costs and concessionary travel.

Travel assistance will be provided to the nearest available resource / community activity. Should an individual wish to access an activity which is further afield when there is a comparable activity which is closer to home, the individual will be required to finance any additional travel assistance costs.

Following an assessment of need, Council-funded transport will only be provided to meet an eligible assessed need. The transport provided will be appropriate to meet the need, provide value for money and be cost-effective.

4. Guidance for determining eligibility for travel assistance

The Council will adopt the decision making process outlined in Annex 1 in determining the individual's eligibility for travel assistance.

Council-funded travel assistance will not normally be provided to individuals if they:

- a. live in a residential care home
- b. attend a social care facility which has its own transport
- c. have their own Motability vehicle which they drive themselves
- d. have a Motability vehicle for which they are not usually the driver
- e. have family, friends or care givers who are able to transport them
- f. have a bus pass which they are able to use to attend the community activity

If the person has access to any of the travel arrangements listed in a. to f. above and chooses not to use them, the expectation is that they will fund their own travel.

In determining an individual's suitability for travel assistance, the Council will adopt the principle of reasonableness, e.g. is it reasonable to expect the individual to make their own travel arrangements; travel a certain distance, rely on a carer to drive the Motability car; etc.

4.1 Assessment of ability to travel independently

Where it has been determined that there is no existing transport provision available, or its use may introduce unreasonable levels of risk to an individual when travelling independently, an assessment will be undertaken.

The Children and Young Peoples Service actively promotes independence in the provision of travel assistance and assesses children and young people with an Education, Health and Care Plan (EHCP) for suitability to undergo Independent Travel Training (ITT). Adult Social Care will ascertain whether an individual has previously completed an ITT course and whether they were subsequently able to travel independently for their school or college journey.

Those individuals who were previously deemed to be capable of independent travel will undergo refresher training for the purposes of making journeys independently to and from community activities. The principle of reasonableness will be applied to ensure that the proposed journey is achievable via the intended mode(s) of travel.

Those individuals who have not previously undertaken a course of ITT will be assessed for their suitability to do so. The assessment will include consideration of the individual's:

- Mental capacity
- Communication difficulties
- Psychological factors e.g. mental health, dementia, agoraphobia
- Vulnerability
- Consideration of degenerative conditions
- Any other factors that may affect personal safety

As well as issues regarding mobility, such as

- Ability to walk outside
- Requirement for a wheelchair or other walking aid
- Ability to enter and leave a property
- Ability to get on and off a vehicle
- History of falls
- Ability to use stairs

The assessor will use the information gathered to determine whether the individual:

- a. Is capable of travelling independently using the proposed travel mode without an unreasonable level of risk
- b. Requires travel training to enable them to be capable of independent travel in the near future
- c. Is not capable of travelling independently via the proposed mode of travel and will require Council-funded transport that meets their assessed needs

4.2 Identification of Appropriate Transport

Once eligibility has been confirmed, it is the duty of Adult Social Care to facilitate appropriate travel arrangements. Travel which is arranged or provided by the Council will only be provided once other alternatives have been considered and discounted. The range of travel assistance may include:

- Assistance with using public transport e.g. travel buddies
- Shared travel in Council-funded minibuses
- Shared travel in taxis
- Solo travel in taxis

ASC resources are unlikely to be allocated specifically to meet transport related needs where an individual:

- is in receipt of the higher rate mobility component of Disability Living Allowance, unless there are factors limiting their ability to fully utilise the benefits of the allowance, e.g. geographical location, the nature of the disability or carer support requirements
- lives in a residential care home, as these are subject to the terms and conditions of the contract between the Council and the care home

5. Charging

A charge is imposed for all travel which is arranged or provided by the Council as a contribution toward the cost of providing the transport. Differential charges will be applied for individuals who:

- make one return journey per day to a local activity (£4)
- make a return journey to a main day centre plus additional journeys to access activities at other locations during the course of a day (£5)

Alternatively, individuals can take funding for travel in the form of a direct payment. In such cases, the charge for transport is a daily charge, regardless of the distance travelled.

Charges are reviewed on an annual basis.

6. Implementation

This policy will be applied from 1 April 2018 to any new applicants for adult social care travel assistance.

The travel needs of individuals already in receipt of travel assistance will be assessed, with regard to the new policy, at their annual review.

7. Monitoring, Review and Reassessment

In all cases, the travel arrangements organised on behalf of an individual will be temporary and subject to review within a period of weeks of commencement. This will ensure that the arrangement is the most suitable for the individual and is value for money and cost-effective for the Council.

Travel arrangements and any impacts this policy has had on the ability of vulnerable people to access appropriate services to meet their eligible social care needs, will be considered by assessing officers at a review or reassessment of the individual's needs.

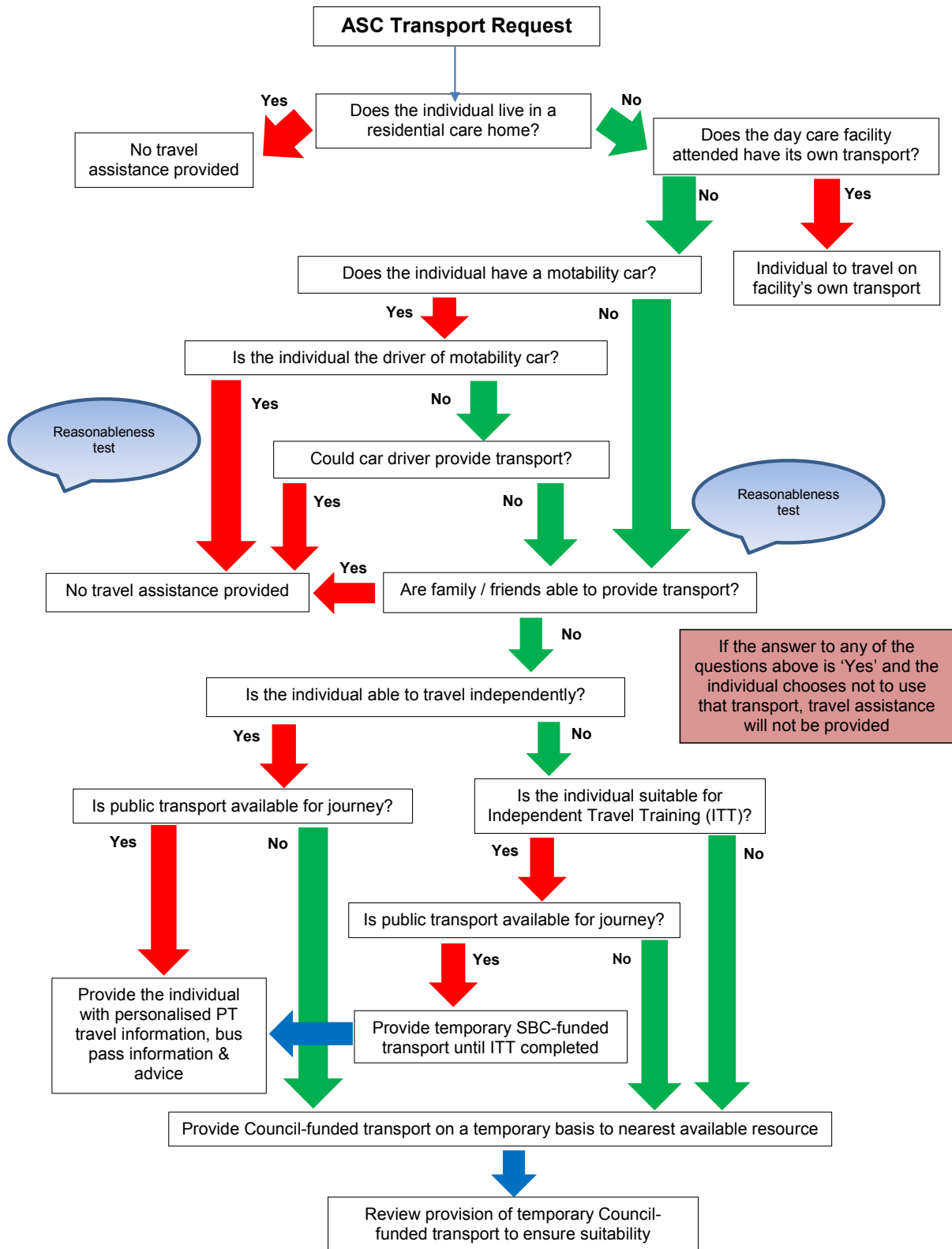
An individual or their authorised representative may request a review of their social care assessment if at any time they consider their needs have substantially changed.

At any time in this process the individual or their representative may make a complaint under the Council's Complaints Procedure.

8. Appeals

There may be instances where some applications are declined and the individual or their carer may not agree with the Council's decision. In these cases, the Council offers an Appeals Process. The number to call to appeal a decision is 01702 215008, option 6.

Annex 1 Decision Process in Determining ASC Travel Assistance



Southend-on-Sea Borough Council

Travel Assistance Policy for Looked After Children and Young People

July 2017

Overview

- Looked after children and young people will, as far as possible, share the normal expectations and day to day experiences of all children
- Wherever possible children and young people who live close to their school should travel in the same way as their peers by:
 - Being walked to school by their carer; or
 - Walking alone if they are of an appropriate age and can do so safely; or
 - Being driven by their carer and dropped off
- Children and young people who live further away from their school but live in the Borough should also travel in the same way as their peers where possible by:
 - Being driven there by their carer and dropped off; or
 - Reaching school by public transport if they are of an appropriate age and can do so safely
- Where possible the disruption of schooling due to changes in care placements, should be avoided. Where necessary, this should be timed to take place when less disruptive to schooling
- The onus will be on foster carers to provide transport wherever possible
- Independent travel will be promoted and encouraged as soon as practicable for the individual
- Use of taxis will only be approved in exceptional circumstances and where it is deemed necessary to keep children and young people safe

1 Introduction

1.1 Southend-on-Sea Borough Council (SBC) has a duty to provide travel assistance to meet the needs of all Children and Young People under its care.

1.2 This policy details the travel assistance procedures for Looked After Children and Young People including those under foster care and residential care.

1.3 This policy has been developed to ensure the safe and efficient provision of transport for Looked After Children and Young People between home, school, leisure and contact.

2 Transport Policy Principles

2.1 As a Corporate Parent, SBC has a responsibility to meet the care and development needs of its children. As with other children, Looked After Children and Young People can require travel assistance for a wide variety of reasons.

2.2 It is important that in meeting these needs, Looked After Children and Young People are (as much as possible) provided for in the same way as other children and that different levels of self-reliance and independence are recognised, encouraged and catered for.

2.3 SBC should ensure that the stability and continuity of care and education, is promoted, in the interests of maximising life chances.

2.4 Where possible the disruption of schooling due to changes in care placements, should be avoided. Where necessary, this should be timed to take place when less disruptive to schooling (unless an emergency placement is required, for example, if there are Child Protection concerns or the breakdown of a placement).

2.5 Travel assistance may be provided to facilitate continuity of schooling from a new care placement until an appropriate school transfer point is reached. Education stability is crucial and therefore the child should (where possible) continue their education in their current school.

2.6 In the same way, it is essential that Looked After Children and Young People should be provided with travel assistance to enable them to have contact with their birth families or significant others, at a frequency usually set by the court and detailed in their care plan.

3 Home to School Travel Assistance

3.1 Nursery, Reception and Key Stage 1 – children should stay at the setting that they were at prior to becoming looked after (unless in exceptional circumstances). The child should go to the school that is local, as far as possible, to their placement unless the placement is short term or until a permanency plan is implemented. As a matter of principle, the Council would expect carers to make their own arrangements to get the child to school with the Council paying the return mileage for the journey. Young looked after children should not be transported in taxis on a daily basis.

3.2 Key Stage 2 – the presumption is that children stay at the setting that they were at prior to becoming looked after (unless in exceptional circumstances). The Council would expect carers to make their own arrangements to get the child to school and the Council will pay the return mileage for the journey, or accompany them to use public transport as appropriate. Changes to a school place will only be considered in the child's best interests at the point at which the permanency plan is due to be implemented or where the distance travelled is excessive.

3.3 Key Stage 3 – The first presumption would be that children and young people will walk or use public transport with a Council-funded travel pass. The second presumption would be for the carer to ensure they get to school with the Council paying the return mileage for the journey. If that is not viable, or if the placement is short term (until a permanency plan is implemented), then using a taxi may be justified, or, if the child/young person needs transport to be provided for their attendance. This decision will be reviewed on a termly basis and consideration given before the summer term to whether a change of school be made for the following year.

3.4 Key Stage 4 – The first presumption should be that the young person takes themselves to school by public transport with a Council-funded travel pass. Any change of school should be minimised during Key Stage 4 and therefore there is a

stronger presumption against any change of school. The child's educational placement must be reviewed during the summer term of Year 9 and this review must include a review of arrangements of getting to school. If that is not viable, or if the placement is short term (until a permanency plan is implemented), then using a taxi may be justified, or, if the child/young person needs transport to be provided for their attendance. This decision will be reviewed on a termly basis and consideration given before the summer term to whether a change of school be made for the following year.

3.5 Home to school travel assistance for Looked After Children with an Education, Health and Care Plan (EHCP) is covered by the Council's Special Educational Needs Travel Assistance Policy

4 Transport Expectations of Foster Carers

4.1 Foster Carers will be expected to undertake 'normal' parental duties, which will include taking a child to school, access to leisure activities and contact.

4.2 There may be practical reasons why it is not possible for the foster carer to provide transport for the child, for example, the foster carer does not drive or does not have access to a car, or they may have foster children from different families. Other exceptional circumstances would include cases where a significant safeguarding risk can be evidenced e.g. transporting a looked after child with challenging behaviour. Every effort should be made, however, to ensure that carers do provide the transport so that foster children do not feel different, for example, by arriving at school in a taxi.

4.3 Foster carers are able to claim all mileage incurred as a direct result of their fostering responsibilities, for example, school transport, transport to & from contact, etc.

5 Travel Assistance for Contact Visits

5.1 Arrangements for contact are facilitated by the Contact Coordinator.

5.2 Contact at a foster carer's home, particularly for babies and younger children, will be encouraged by the Council, where it is safe enough to do so. This will mean less reliance on travel arrangements and children being transported around.

5.3 If it is agreed that contact should take place at a venue other than the foster carer's home, the foster carer should be the first choice for transporting the child to and from the contact venue.

5.4 If the foster carer is unable to transport a child to and from the contact venue, the provision of transport will be a last resort once all other possibilities have been explored.

5.5 Contact travel arrangements are made by the Transport and Contracts Team. For transport to be approved for contact purposes, all of the following criteria must be met:

The Contact Coordinator confirms that:

- the foster carer cannot transport the child to the contact venue **and** cannot act as a passenger assistant; **and**

The Contact Coordinator confirms with the child's social worker that:

- There is no safe and trusted family member to offer transport; **and**
- There is no other staff member able to provide transport (e.g. a social services assistant).

5.6 Requests for transport for contact purposes should incorporate a minimum of three working days' notice, to enable the Council to arrange the most cost effective provision and avoid expensive short-notice arrangements.

5.7 Older children and young people may choose to transport themselves to contact if able and appropriate to do so. For those children and young people who would like to make the journey themselves but might require assistance to do so, further support may be provided via the Council's Independent Travel Training service. Details of how to obtain a bus pass for independent travel can be obtained via the Council.

5.8 Parents will be asked to give written permission for their child/ren to share transport with other looked after children to attend contact as appropriate.

6 Procedure for Arranging Transport for Looked After Children and Young People

6.1 Requests for home to school travel assistance must be fully completed by the child's social worker and be agreed by the Council. Travel arrangements for contact will be requested by the Contact Coordinator. Under no circumstances must a member of children's social care staff other than the Contact Coordinator enter into arranging transport directly with a taxi or transport company, unless the transport is required for out of hours emergency purposes (see Section 7).

6.2 There is no legal duty on the Council to provide passenger assistants for those to whom it provides transport in connection with education or social care services. However, the Council has a duty of care to all those for whom it provides such transport and fulfilling that duty may involve the provision of a passenger assistant. Requests for a passenger assistant must be fully justified by the child's social worker and subject to a risk assessment. The Contact Coordinator will ultimately determine whether a Passenger Assistant is required.

7 Emergency and Out of Hours Transport

7.1 Following agreement by the Council emergency transport can be provided.

7.2 Where transport is required out of hours with little or no notice, then this will be sourced by the Council. This transport must be sourced from the Council's approved transport provider list.

8 Accessing Social Care, including Respite / Short Breaks for Disabled Children

8.1 Certain children with disabilities may have been assessed as having a social care need. This need can include attendance at respite / short breaks provision.

8.2 Travel assistance to social care or similar provision will be provided where it is deemed necessary to meet the child's needs. Where, as a result of an assessment, it is deemed necessary for transport to meet the needs of the child, which will be considered on an individual basis, this will either be organised by the respite provider or the Council. This will be provided free of charge.

8.3 Requests for transport for respite purposes must, wherever possible, incorporate a minimum of three working days' notice, to enable the Council to arrange the most cost effective provision and avoid expensive short-notice arrangements.

9. Resolving Disputes

Where there is an issue regarding responsibility for transporting a looked after child to and from school, contact and social activities, this should be dealt with locally. If however the matter is irresolvable at this level, this should be escalated to the senior manager responsible for the fostering budget.

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Southend-on-Sea Borough Council Dial-a-Ride Policy July 2017

Introduction

Southend-on-Sea Dial a Ride is an on demand, fully accessible transport service to enable people with mobility difficulties who are unable to use conventional public transport to access *essential* facilities and services.

Types of Trip

There are two types of Dial a Ride service:

1. a scheduled 'shopper' service – taking clients into central Southend or to a local supermarket and returning them home
2. an on demand service – a bookable service taking clients from home to any destination within the Borough of Southend (excluding day centres and hospital appointments) and returning them home

Operating Schedule

The scheduled shopper service operates on Mondays, Tuesdays, Thursdays and Fridays. Members from each named area will be able to book trips into central Southend or to the local supermarket for their area on the nominated day. For the 'central Southend' trips, members will be dropped off at the designated points in the town at 11:00 and collected at 13:30 for the return journey. For the 'Supermarket' trips, members will be dropped off at the supermarket at 11:00 and collected at 13:30 for the return journey.

The fully on demand service operates on Mondays and Wednesdays. The first pick up time is 10:15 and the last drop off time at home is 14:30.

The table below shows the operating schedules for both services.

Day	Shopper service		Fully on demand (10:15 – 14:30)	
	Area 1 Eastwood / Leigh	Area 2 Shoebury / Southend	Area 1 Eastwood / Leigh	Area 2 Shoebury / Southend
Monday	Central Southend		Bookable	Bookable
Tuesday		Central Southend		
Wednesday			Bookable	Bookable
Thursday	Supermarket			

Friday		Supermarket		
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Membership

Dial a Ride operates as a membership scheme. To be eligible for membership, applicants must:

- Live within Southend Borough
- Have difficulty using public transport because of disability or qualify under one of the following criteria:
 - Be in receipt of Higher Rate Mobility Component of Disability Living Allowance
 - Be registered blind
 - Be in receipt of Higher Rate Attendance Allowance (for women aged over 60 and men aged over 65)
 - Be in receipt of Mobility Supplement of War Pension.

Membership costs £12 per year and must be renewed each January. Applicants may be asked to undergo a mobility assessment to establish their level of disability and provide proof of any allowance / benefit being claimed.

Applicants can apply for membership online or download a form to be completed and returned to the Council. The Council reserves the right to refuse membership for any reason.

Booking a Trip

All trips must be booked individually, at least two working days in advance. Bookings will be taken by phone between the hours of 09:00 and 12:00, Monday to Thursday. Bookings will be taken on a first come, first served basis. A maximum of one shopper trip and one fully on-demand trip will be bookable per member per week.

Fares

Individual fares will be charged based on the mileage per return trip, plus a booking fee of £1.50. Guide dogs are welcome and travel free of charge. Members are required to inform the booking staff when making a booking if they intend to bring a guide dog.

Passenger Assistants

Drivers will assist members to board and alight from the vehicles but will not be required to enter the member's home or accompany them as they shop.

Members aged under 16 must be accompanied by an adult during travel.

If a member requires a passenger assistant during travel or at the trip destination, they must provide their own, who will accompany them on the outward and return journey. Members must notify the booking office when they book if they will be accompanied on the trip. There is a flat fare of £6 for a return journey for a

passenger assistant. Passenger assistants for registered visually impaired members will travel free of charge.

Cancellations

If members need to cancel a booking they should call the booking line as soon as possible between the hours of 9:30 – 15:30 Monday to Friday. Cancellation fees will not be charged, but frequent short notice cancellations (without an adequate reason) may result in termination of membership.

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Southend-on-Sea Borough Council
Report of the Deputy Chief Executive (People)
to
Cabinet
on
7th November 2017

**Agenda
Item No.**

13

Report prepared by: Gillian Shine, Senior Procurement
Advisor and Mark Atkins, Lead Procurement Advisor

Passenger Transport - Operating Model and Procurement Process
Policy & Resources Scrutiny Committee
Executive Councillor: Councillor Moring

A Part 1 Public Agenda item

1. Purpose of Report

- 1.1 The purpose of this report is to seek approval to progress this review to procurement stage to identify a preferred partner
- 1.2 In order to commence procurement it is critical that the Council has an agreed position on the type of operating model it wants passenger transport to operate under in the future. The report sets out the options that were considered and seeks Members' agreement to the preferred operating model
- 1.3 The report also details an indicative procurement timescale associated with procuring a partner for the preferred operating model and implementation date of the new service. To achieve these dates a number of approvals are sought, specifically around the extension of existing contracts and the report seeks Members' agreement to these
- 1.4 As part of this review, a consultation on the recommended policy changes was also undertaken with stakeholders, parents/carers and service users which will be presented for approval in a separate Cabinet report. In regards the transport operating model there will be two parts:
- a) Part 1 – The purpose of this report is:
 - (i) to update members on the transport review and seek members' approval on the preferred operating model.
 - b) Part 2 – Subject to approval with the recommendations above, a further report is to be presented to Cabinet in January 2018 that will provide details of:
 - (i) how the agreed Joint Venture (JV) will operate on a day to day basis
 - (ii) confirmed procurement procedure to procure the JV partnership – competitive dialogue or open procedure

2. Recommendations

2.1 That the following key elements are agreed to enable procurement activities to commence around this passenger transport review, in parallel with completing the policy consultation with users. Approval is requested for the Council to:

2.1.1 Procure a partner to develop a 'For Profit' JV partnership as the recommended operating model for providing all its passenger transport services

2.1.2 Use a full procurement procedure (either competitive dialogue or open procedure) to procure a partner to develop a 'For Profit' JV partnership as opposed to contracting directly with a local authority owned company under Regulation 12 (the old teckal arrangements)

2.1.3 Implement the new service from 1st August 2019 based on the time table set out in 6.2 below

2.1.4 Grant a tender exemption to extend existing contracts, based on the understanding that market conditions and potential legislative changes have hindered the Council's ability to procure a partner to develop other types of JV partnership

Next Steps

2.1.5 Subject to approval with the recommendations above, a further report to be presented to Cabinet in January 2018 that will provide details of the confirmed procurement procedure to procure a partner to develop the JV partnership

3. Background

3.1 The Council currently provides transport to adults and childrens across various service areas. The cost for this provision is estimated to be circa £2.1m per annum which is split between nine external contractors and the services provided in-house (this cost also includes the internal transport team). Contracts across the service areas are close to their expiry dates, having been extended as far as possible to enable the transport review to be undertaken. New procurement arrangements are therefore required in the near future to replace the existing contracts.

	Provision		Contract end date	Comments
1.	Home to School Transport	One School One Operator Contractor (SEN)	July 2019	There is an option in the contract to extend the existing contract to July 2019
		Individual and New Routes (SEN) Framework of 9 suppliers	July 2018	There are no options in the existing contract to extend beyond July 2018

	Provision		Contract end date	Comments
2.	Adults and Children's Social Care	Children's Respite care	July 2018	There are no options in the existing contract to extend beyond July 2018
		Supervised Contact	July 2018	There are no options in the existing contract to extend beyond July 2018– any extension should be done as part of the Home to School (individual and new routes framework)
		Adults with Learning Disabilities (External)	July 2018	There are no options in the existing contract to extend beyond July 2018. Awarded as part of the Home to School individual and new routes framework (Currently extended to end March 2018)
		Adults with Learning Disabilities (Internal – Project 49)	No Contract (in-house)	Current vehicle leases will need to be extended until July 2019.
3.	Community Services	Dial-a-Ride	No Contract (in-house)	Current vehicle leases will need to be extended until July 2019.

3.2 The initial review of the existing passenger transport service was undertaken to identify any areas of service improvement or efficiency that needed addressing prior to considering a recommended procurement route. The issues identified were:

- a) key components of the service such as planning, scheduling, eligibility criteria using inconsistent existing policies meant the transport services were not being utilised effectively or to full capacity
- b) whether a more effective service can be achieved through better route optimisation, service integration and streamlined contract management
- c) the annual costs of running the transport service are perceived as high in comparison to other local authorities where similar services are being provided.

3.3 Following the initial passenger transport review, the Council procured independent transport advice to assist with undertaking an in-depth analysis of the initial transport review which included reviewing the services, existing policies and identifying potential cost and efficiency savings.

3.4 The in-depth analysis of the transport review as highlighted in 3.3 above made the following recommendations:

(i) Policies

That a consultation is undertaken with service users and stakeholders regarding the following draft policies:

- Home to School for Students with Special Educational Needs (SEN) pre and post-16 students
- Adults with Learning Disabilities and Older Adults attending Day Centres and Activities
- Supervised Contact for children and families
- Dial-a-Ride

(ii) Procurement route and operating model

That the use of a JV partnership is the most sustainable and best value option for the Council.

(iii) Timescales

That the Council ensures that the transfer of all home to school transport to the new operating model is during the school summer holiday to ensure readiness for the start of the academic school year.

(iv) Leased Vehicles

That the Council procures new leases in order to be able to continue to provide the in-house adults with learning disabilities service until these services are transferred to the new operating model.

4. Operating Model

4.1 Initial investigation by the Passenger Transport Review showed that there were five potential operating models for delivering passenger transport services (see Appendix A).

4.2 As detailed below further analysis eliminated a number of options considered in Appendix A, leaving use of a JV as the most sustainable and viable option.

4.2 Use of a traditional 3rd Party supplier/outsourcing provider

4.2.1 The nature of the 3rd-party market, including traditional private sector transport/outsourcing companies has been shown not to offer the Council the benefits it requires. In particular, the drive to provide benefits and savings directly to the Council is absent. There is no transparency of actual operating costs or visibility of profits unless contract clauses are provided for and which are difficult to enforce. The Council does not have the ability to have an ongoing say or influence on the method of service delivery under this type of model. It has also been found that this market's experience of delivering the types of transport required is limited. Our experience of the 3rd party outsourcing model is that the provider makes efficiencies within the service which are difficult to contract manage with a resultant loss of quality in the service or excess profits to the 3rd Party supplier.

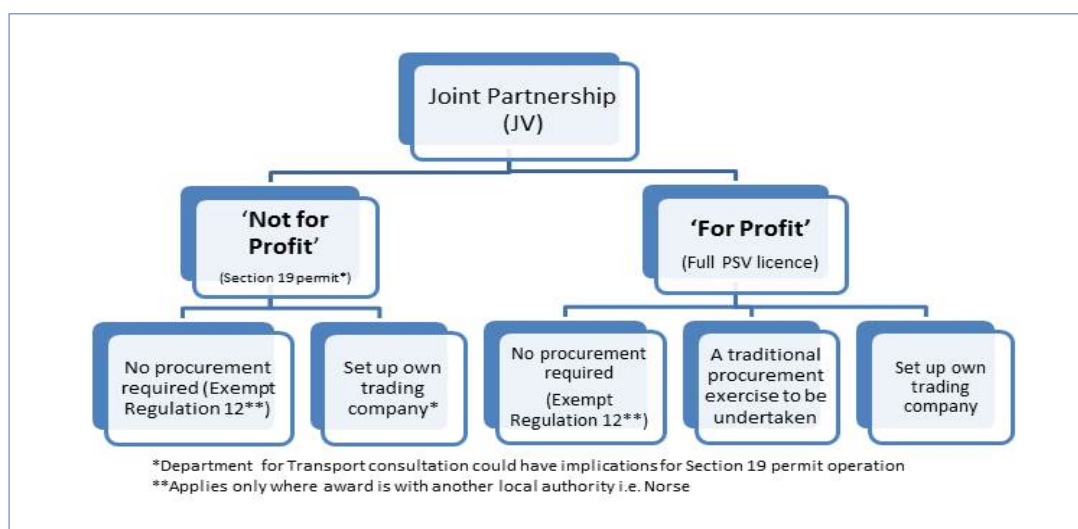
4.3 Use of a Joint Venture (JV)

4.3.1 A JV approach has been identified as being the best delivery model to achieve sustainable transport provision for the Council. This model offers transparency of

costs, visibility of profits and the ability for the Council to have some control in the delivery of the service. It also offers the opportunity for income generation via ability to enter into contracts with academies, schools, other local authorities and local businesses for example. This approach, assuming that a partner with appropriate experience, existing infrastructure and resources can be found, takes risk away from the Council.

- 4.3.2 A JV partnership is usually governed by a Board comprising of Directors from each party in a shareholding structure. A shareholding structure determines the profit share that is to be distributed between both partners. This structure allows the Council to have far greater control of the way the services are being delivered. Alongside this a JV offers flexibility that is not available in rigid contracts, which often end up costing more and where contract variations are required.
- 4.3.3 A JV partnership also offers the Council the ability to draw upon the partner's expertise and experience in running a passenger transport service. This model also has the ability to integrate the transport services to maximise the efficient use of its fleet, drivers and staff so that the transport service is used to its fullest capacity and can potentially provide for future pressures or increased demand thus providing a financial safeguard. It is also anticipated that the JV would be able to open up the opportunity for the creation of new jobs for Southend residents (subject to TUPE from existing contracts and inhouse staff), the opportunity to create numerous apprenticeships (drivers, Passenger Assistants and Administration) and make improvements to the local environment/air quality through route optimisation.
- 4.3.4 The majority of the current transport services will be delivered via the JV through mainly a mini-bus transport service with some taxi provision. It is therefore anticipated that the JV partner will provide the bulk of the service via mini bus provision, this will be supplemented with taxi provision, which will be sub-contracted via an approved contractor framework (this could include a stipulation to use local businesses).
- 4.3.5 There are two types of JV partnerships that could be established as follows:
- (i) A partnership with a company that is wholly owned by a local authority which is exempt of the regulation 12 of the Public Contract Regulations 2015 and offers a relatively straightforward and quick set up process or a Joint Venture. This option could be either a 'not for profit' or a 'for profit' partnership depending on the permit or licence this partnership would operate under.
 - (ii) A partnership with a privately owned company via a JV partnership would require a traditional procurement to be undertaken and would widen the competition in the market and does not exclude local authority owned companies or incumbent suppliers and other local business to put in a bid. However, this option requires a traditional procurement exercise to be undertaken and is a lengthy process due to the contract mobilisation required following contract award. This option could only operate on a 'for profit' partnership that would need to operate under a full PSV operating licence.

4.3.6 The diagram below confirms the structure for a procurement process for either a 'not for profit' and a 'for profit' JV partnership model:



'Not for Profit' JV

4.3.7 Organisations that provide transport on a 'not-for-profit' basis can apply for permits under Section 19 or Section 22 of the Transport Act 1985. This means a 'not for profit' JV partnership could operate under a Section 19 permit required for the mini-bus provision of passenger transport. To be eligible for a Section 19 permit the organisation has to meet criteria set by the Driving Vehicle Standards Agency (DVSA). This operating model is less costly in terms of DVSA licencing requirements (i.e. £9 per vehicle) and there is no requirement to have a qualified transport manager that attracts the higher cost of a licence for a full PSV operating licence (£4,000 required for first vehicle and £3,200 for each vehicle thereafter). As well as this money needs to be held in a bank account and evidence of this available to the traffic commissioner.

4.3.8 In order to meet the timescales to ensure the home to school transport would be implemented during the school holidays and be live at the start of the schools' academic year in September 2018, the Council decided to further explore the establishment of a JV partnership with a local authority owned company under a 'not for profit' model operating under Section 19 permits. However, the recent announcement from the Department for Transport (DfT) advised it will be undertaking a consultation on the use of Section 19 and 22 permits. In view of this, the local authority owned company that was approached alongside others, are now being extra cautious around delivering any new transport provisions under a Section 19 permit with the Council. They have since withdrawn their proposal to enter into a 'not for profit' partnership with Southend at this time, although they would be happy to consider a partnership under a 'for profit' model. The local authority owned company that we had approached is currently the only local authority owned company that would have been able at this time to offer a partnership under a 'not for profit' model.

'For Profit' JV

- 4.3.9 As outlined above, a Section 19 permit is only applicable for transport services operated by 'not for profit' organisations. Therefore a 'for profit' model would have to operate under a full PSV operating licence. As outlined in 4.3.7 above, the licencing requirements around this operation attracts higher costs to operating under a Section 19 permit and requires money to be held in a bank account. The full PSV operating licence also requires a transport manager who is held accountable for transport operation. As per 4.3.8, the local authority owned company that had been identified confirmed that they cannot consider a 'not for profit' JV partnership at this time. They would be interested in a 'for profit' JV partnership that would operate under a full operating licence via the local authority's's trading arm.
- 4.3.10 It is still possible to enter into a partnership with the local authority owned company as it does not require a traditional procurement exercise which is a lengthy process. However, the reduced timescale now means that it would not be possible to have this partnership set up and implemented in time for the start of the schools' academic year in September 2018 and then the implementation would have to be delayed to September 2019. Bearing in mind that a partnership with another local authority owned company would be delayed to meet the start of the academic year in September 2019, a 'for profit' model should now be opened up via a competitive procurement exercise to widen the competition to ensure best value to the Council.
- 4.3.11 As outlined in 2.1.2 and 4.3.10 above, the proposal is to undertake an open procurement exercise that allows for local businesses and incumbent contractors to bid in the tendering exercise as the main JV partner or as a sub-contractor with the main JV partner. This procurement exercise widens the competition and other local authority owned companies can also bid with the aim of getting best value for the Council.
- 4.3.12 Market research with 13 potential JV partners has been undertaken. This list was initially shortlisted to seven; and then only two confirmed at this time that they were interested and able to put in the time to develop a proposal within the current timescale for the Council's transport review:
- (i) A company that is wholly owned by a local authority
 - (ii) A private owned company (being a national bus operating company).
- 4.3.13 The table below outlines the benefits and issues regarding a 'Not for profit' and a 'For profit' arrangement:

Issues	'Not for Profit' JV	'For Profit' JV
Procurement Path	No procurement requirement – relatively quick process to set up. However, as there was only one local authority	A traditional procurement is required – a lengthy process which requires at least a nine month mobilisation period (fleet

	owned company identified as a potential partner who have since withdrawn their interest in this model.	acquisition, TUPE etc) following contract award
Commercial Risk	JV Partner will assume the majority of the risks due to the Commercial investment and the Council risk is low as this only applies to the initial start up and set up costs.	JV Partner will assume the majority of the risks due to the Commercial investment and the Council risk is low as this only applies to the initial start up and set up costs.
Initial set up and investment	Shared - leverage partner structure and resources	Shared - leverage partner structure and resources
Variations to service	Flexible	Flexible
Financial Benefits through efficiencies	Shared with JV Partner	Shared with JV Partner
Potential for wider trading	No	Yes
Operational resilience	Takes advantage of partner resources	Takes advantage of partner resources
Experience	Experienced partners in market	Experienced partners in market
Service and eligibility efficiency	Yes	Yes
Flexibility across services	Yes through greater depth of resources	Yes through greater depth of resources
Council Management of Service	Direct as partner	Direct as partner
Permit or Operational Licencing	Section 19 permit or Full PSV Operating Licence	Full PSV Operating Licence
Licencing Costs	£9 per vehicle (valid for 5 years)	£4,000 required for first vehicle and £3,200 for each vehicle thereafter. (This money must remain in a bank account to prove to the traffic commissioner that the provider is able to replace vehicles when required)
Other licencing requirements		A qualified transport manager is required for the full operating licence
Challenges from incumbent providers	This model excludes incumbent providers from bidding to be the JV partner, but they could bid to act as a sub-contractor	This option allows incumbent providers to either bid as the main JV partner or a sub-contractor to the main JV partner
Potential JV Partners	There is only one JV partner under this option (local authority owned company)	The procurement exercise would generate interest from other parties including incumbent suppliers

4.4 Recommended Approach:

- 4.4.1 Further to 2.1.5, this report proposes to explore the procurement route of a partner to develop a JV partnership. The proposed JV partnership will be set up as a 'for profit' transport organisation under a full public service vehicle (PSV) licence. The use of a full PSV operating licence will ensure the Council is fully compliant in providing passenger transport and allows the JV partnership to operate under a 'for profit' model. The aim of the JV partnership will be to maximise quality, transparency, reduce costs where possible and achieve longer- term benefits (i.e. Income/Profit generation).
- 4.4.2 Therefore, it is recommended that a traditional procurement exercise is undertaken to seek a JV partner under a 'for profit' model operating under a full operating licence. This option would ensure the Council is fully compliant and not at risk of any implications arising from of the DfT consultation on Section 19 permits and would allow the Council to widen the competition for incumbent and local contractors to participate in the tender exercise as well as other local authority owned companies. It is anticipated during the course of the tender exercise, DfT's decision on Section 19 permits may be clearer and the risk on the local authority owned company's full operating licence should be clarified. However, by having to undertake a procurement exercise , it will only be possible to commence operation in September 2019. The lengthy procurement process is due to the requirement to incorporate a nine month mobilisation period following the award of the contract, to ensure competitive fairness where lead times are required for contractors to purchase vehicles.
- 4.4.3 This recommended approach also eliminates the risk of challenge from contractors who would have been excluded from being able to participate in a tender exercise due to their current licenced operation.
- 4.4.4 If the decision is taken to enter into a competitive tender process with a longer timeframe, it is highly likely that some of those companies already approached initially in the market research exercise would now enter into that procurement process. Due to the additional costs associated with the requirement of a full operating licence this option would widen the competition with the aim of achieving best value for the Council.

5. Other Options

- 5.1 Should the requirements, and processes outlined in this report not coalesce with Cabinet expectations this could further delay work that needs to be undertaken in order to be able to develop the recommended procurement approach. This would also impact on the procurement timescale and progress on shaping a robust tender specification.
- 5.2 Other procurement options have already been rejected as per 4.1 above.

6. Timescales – full procurement process to procure a 'for profit' partner

- 6.1 As outlined in 3.4(iii), the majority of transport provided is home to school transport – any changes to such services should be made during the summer for implementation in early September. Changes to the home to school transport services at schools have been made over the Christmas and Easter periods in the past, but the result has

always been both a degree of chaos in the implementation and a greater negative impact on service users and their families. The requirement to undertake a procurement exercise means that the home to school transport will not be able to go live until September 2019. The lengthy procurement process is due to the requirement to incorporate a nine month mobilisation period following the award of the contract, to ensure competitive fairness where lead times are required for contractors to purchase vehicles.

6.2 Below is an indicative timescale to undertake the procurement and implement the services:

Date	Activity
9 January 2018	Cabinet approval to proceed with the procurement
30 January 2018	People Scrutiny approval of Cabinet's decision
22 February 2018	Full Council's approval of Scrutiny's approval
March-April 2018	Invitation to Tender
April-May 2018	Tender Evaluation
June 2018	Cabinet approval of contract award
July 2018	People Scrutiny approval of Cabinet's approval of contract award
July 2018	Full Council approval of Scrutiny's approval of contract award
August 2018	Award Contract
September 2018-June 2019	1) Set up JV 2) Contract mobilisation for JV partner
July - August 2019	Implementation period for home to school transport
1 st August 2019	All passenger transport services go live

7. Tender exemption is granted to extend existing contracts

7.1 As per 2.1.4 and 3.1 above, the following contracts will need to roll on until July 2019 via an extension to the existing contracts as the Council has a statutory duty to provide these services which will be out of contract if the Council does not extend:

- a) Home to School and Respite Care (Individual and new routes)
- b) Supervised Contact (via the Individual and new routes framework)
- c) Adults with Learning Disabilities (via the Individual and new routes framework)

7.2 Recommended Approach:

7.2.1 Further to 2.1.4 in accordance with the Section 8.10 of the Council's Contract Procedure Rules, the Council is seeking Cabinet's approval for an exception to extend the existing following contracts for a period of 12 months via rolling on existing terms and conditions with the current contractors:

- a) Home to School and Respite Care (Individual and new routes)
- b) Supervised Contact (via the Individual and new routes framework)
- c) Adults with Learning Disabilities (via the Individual and new routes framework)

7.2.2 This exception request is due to the contracts expiring in July 2018 and the need to roll on existing contracts via an agreed contract extension and this is due to regulatory forces that have hindered the timescales and have also created a risk to operating a transport service with compliant licencing. To mitigate this risk a procurement process will need to be undertaken which also allows competitive fairness. The Council has a statutory duty to provide the services in 7.1 and there is a need to have contractual arrangements in place. Therefore to confirm, the Council needs Cabinet’s approval to roll on existing contracts via an agreed extension while the procurement process can be progressed.

7.2.3 The extensions will be awarded via the existing individual and new routes framework to the same contractors on a goodwill basis under the existing terms and conditions. In the event a contractor does not want to continue their contract, the framework of nine contractors allows for a mini-competition to be undertaken and the contract to be awarded to another.

8. Reasons for Recommendation

8.1 It is critical that the Council has an agreed, robust and transparent position on each of the matters presented in this report in order to shape the procurement approach and to ensure that the Council’s ambitions for passenger transport are delivered through the partnership. Not reaching agreement on any of these matters risks delaying the procurement process.

9. Corporate Implications

9.1 Contribution to Council’s Vision & Corporate Priorities

This project will contribute towards the following Council Priorities:

Safe	To: <ul style="list-style-type: none"> Look after and safeguard our children and vulnerable adults.
Clean	To: <ul style="list-style-type: none"> 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.
Healthy	To: <ul style="list-style-type: none"> Improve the life chances of our residents, especially our vulnerable children and adults, by working to reduce inequalities and social deprivation across our communities.
Prosperous	To: <ul style="list-style-type: none"> Ensure the town is ‘open for businesses’ and that new, developing and existing enterprise is nurtured and supported.
Excellent	To: <ul style="list-style-type: none"> Work with and listen to our communities and partners to achieve better outcomes for all.

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| | <ul style="list-style-type: none">• 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. |
|--|--|

9.2 Financial Implications

- 9.2.1 The expectation is that financial efficiencies will be delivered through the proposed new operating model and thus there will be a contribution to the Council's savings targets in future years. The savings derived will be dependent upon the outcome of the Procurement process and the final agreed format of a 'for profit' joint venture (JV) model.
- 9.2.2 It is also expected that there will be initial start up and set up costs, which would need to be factored into the agreement of the 'for profit' joint venture (JV).

9.3 Legal Implications

- 9.3.1 Any new operator will need to supervise and monitor drivers in connection with DVSA and DVLA licensing and permit requirements and holding of insurance.
- 9.3.2 Details of the arrangements between the two parties forming the JV will be documented within 'Articles of Association' that contain the purpose of the company as well as the duties and responsibilities of its members. Contractual obligations and responsibilities of each party will be formalised and documented within a 'Joint Venture Shareholders Agreement' including the right of either party to terminate.
- 9.3.3 As the proposal is to procure a JV under a full PSV operating licence any changes that follow the DfT consultation will not apply as the Council will be fully compliant and will not be affected by any changes. During the course of the procurement exercise it is anticipated that the implications of the DfT consultation should be clearer and thus ensure that if the local authority owned company that was identified became the preferred JV partner that all risks to their other operations would have been eliminated (i.e. this risk relates to the local authority's Section 19 permit operations which could also have an implications for their PSV operating licence).

9.4 People Implications

- 9.4.1 A full consultation will be required with staff that will be transferred to the JV partnership as well as those where TUPE applies to the external contracts. This consultation will need to include Trade Unions in keeping with prevailing Council policy.
- 9.4.2 The Council's prescribed TUPE process and timescale for TUPE transfer will then also need to be followed.
- 9.4.3 The JV partner would be expected to provide their expertise on TUPE to actively support the Council's HR Team with all aspects of TUPE.

9.5 Property Implications

- 9.5.1 Whilst some space in the Tickfield yard could be released, the JV will still need to source premises to store the fleet and sites presented by the Council's asset team will need to be explored as part of the implementation.

9.6 Consultation

- 9.6.1 Consultations will need to be held with staff that are currently involved in the in-house services and there will be a need to consult with operators delivering the external contracts.

9.7 Equalities and Diversity Implications

- 9.7.1 As the JV proposals involve a re-modelling of service delivery there will be a requirement for the procurement and service area leads to conduct an Equality Analysis.
- 9.7.2 Equality analyses have been initiated on the basis of the proposed policies.

9.8 Risk Assessment

- 9.8.1 Inevitably there will be a small degree of risk in setting up a Joint Venture partnership with a third party. However, given the nature of the proposed JV this risk is not considered high. It is unlikely that the creation of the JV would cause any financial risk to the authority other than the loss of one-off set up costs should the company fail at an early stage.
- 9.8.2 There is the potential for risk to reputation through negative media campaigns and dissent from incumbent suppliers or users, e.g. parents who prefer to retain existing transport arrangements.
- 9.8.3 Further to 4.3.8, it is unknown yet what the implications of the Department for Transport consultation will be yet, although it is anticipated during the procurement process that any implications from the outcome of the DfT consultation will become clearer prior to any award to the preferred bidder.
- 9.8.4 A Risk Register will be established by the new Board of Directors and all risks will be actively reviewed on a regular basis. Mitigation strategies will be agreed with SBC.

9.9 Value for Money

- 9.9.1 This proposal aims to enhance value for money through streamlining service delivery and reducing the number of current external contracts and in-house services.
- 9.9.2 The JV model also offers an improvement in quality and ultimately the potential for income generation and profits to be split between shareholders.

9.10 Community Safety Implications

9.10.1 The proposed JV partnership will aim to provide a more comprehensive service that ensures access to suitable transport as required by clients.

9.11 Environmental Impact

9.11.1 Improved route planning and the reduction in need for transport across the borough would lead to a reduction in traffic and travel which will lower the environmental impacts generated by the current arrangements.

10. Background Papers

10.1 None.

11. Appendices

11.1 Appendix A – Operating Model Options Explored.

Operating Model Options Explored

Initial investigation by the Passenger Transport Review showed that there were five potential operating models for delivering passenger transport services:

	Option	Impact and Issues
1	Stay as now and renew contracts like for like	Not considered sustainable and would not resolve current issues i.e. this option does not present the ability to integrate services, more resources are required for managing multiple contracts, inflexible contracts which would attract additional costs through contract variations and currently does not demonstrate best value for the Council. Costs are likely to continue to increase with this inflexibility and is unlikely to provide an improved and efficient service.
2	Use of a traditional 3 rd party supplier/outsourcer provider	Viable option - Whilst this option could offer streamlined contract management and the ability to integrate the services there are still concerns regarding transparency of costs and it would not resolve current issues with inflexible contracts which would attract additional costs through any contract variations. It also demonstrates it is not best value for the Council and is likely to result in similar issues to those outlined in option 1 above.
3	Use of a Joint Venture	Recommended option – This option ensures the Council would have a say in how the services are delivered, offers full transparency of costs and operates on an ‘open book’ model. This model provides the opportunity for streamlined contract management for a fully integrated service to deliver more efficiency and an improved service that demonstrates best value to the Council.
4	Development of an SBC trading company	Not considered a viable option as this option includes a substantial investment in terms of set up costs and this option would take a longer period of time for the Council to see a return on its investment. SBC does not have the knowledge or experience of running this type of service in a trading company model in comparison to an established JV partner.
5	Bring everything in-house	Not considered sustainable as it overturns established practice in transport delivery and is likely to require a significant increase in the transport budget. This option would also demonstrate the same issues identified for in option 4, i.e. a longer period of time for the

		Council to see a return on its investment as well as having additional costs to acquire the required knowledge and experience to run this type of service.
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The transport review initially identified options 2, 3 and 4 to be taken forward and a more detailed analysis and verification of the potential savings each option could yield.

As detailed below further analysis eliminated options 2 and 4, leaving use of a Joint Venture as the most sustainable and viable option.

CABINET

Tuesday, 7th November 2017

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 Deputy Chief Executive (Place) authorised:

1.1 Better Queensway Housing Infrastructure Bid

The signing and submission of the funding agreement and all relevant submissions up to full delivery stage to the funder in line with the Department for Communities and Local Government (DCLG) and Homes and Communities Agency (HCA) guidelines before the required deadline of 11:59pm on Thursday 28th September 2017.

2. The Director of Finance and Resources authorised:

2.1 New Lease at Southend Marine Activities Centre, Eastern Esplanade

The finalisation of the detailed terms through exclusive negotiations (including dealing with any amendments necessary) and the granting of the new lease on the terms set out in the confidential sheet.

2.2 Marriott's Fish Restaurant and Store rear of the Esplanade Pub, Western Esplanade

The sale of the fire-damaged restaurant offers a more comprehensive development opportunity for the Esplanade Pub and enables the Council to optimise its value from this asset. Terms for a sale conditional on planning have been agreed and are set out in the SO.46.

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SOUTHEND-ON-SEA BOROUGH COUNCIL

Meeting of Chairmen's Scrutiny Forum

Date: Monday, 20th November, 2017
Place: Committee Room 2 - Civic Suite

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Present: Councillor B Ayling (Chair)
Councillors C Nevin and P Wexham

In Attendance: F Abbott, J K Williams and T Row

Start/End Time: 6.00 - 6.45 pm

1 Apologies for Absence

Apologies for absence were received from Councillors Davies, Kenyon and Robinson.

2 Declarations of Interest

No declarations of interest were made at the meeting.

3 Minutes of the Meeting held on Tuesday, 20th June, 2017

Resolved:-

That the Minutes of the Meeting held on Tuesday, 20th June, 2017 be confirmed as a correct record and signed.

4 Update on in depth projects 2017/18

The Forum received an update and discussed the progress on the in depth scrutiny projects being undertaken in 2017/18:-

- (a) Connecting communities to avoid isolation – People Scrutiny Committee
- (b) Maximising the use of technology through Smart Cities and Digital Futures agendas – Place Scrutiny Committee
- (c) Enforcement resources for Southend – Policy & Resources Scrutiny Committee.

5 Any Items from Forum Members

Training

The Forum discussed training provided in relation to the Scrutiny function including a recent event at Thurrock Council on 13th November 2017 which had been attended by Councillor Davies. The slides used in the training will be circulated to the Forum when available.

In terms of future training requirements, an in-house session targeted at new Members (and co-opted members) will be organised early in the new Municipal Year. The session will be based on the Scrutiny Guide which is kept up to date

and is available on the Council's website. Officers confirmed that they will be happy to arrange additional Scrutiny training as and when required.

6 Date of next meeting

The next meeting of the Forum will be held in late May / early June 2018.

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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