

Public Document Pack  
SOUTHEND-ON-SEA BOROUGH COUNCIL

**Cabinet**

Date: Tuesday, 12th March, 2019  
Time: 2.00 pm  
Place: Committee Room 1 - Civic Suite

Contact: Colin Gamble  
Email: [committeesection@southend.gov.uk](mailto:committeesection@southend.gov.uk)

**AGENDA**

- 1 **Apologies for Absence**
- 2 **Declarations of Interest**
- 3 **Minutes of the Meeting held on 17th January 2019**
- 4 **Minutes of the Meeting held on 12th February 2019**
- \*\*\*\* **HERE AND NOW**
- 5 **Transport Procurement**  
Report of Strategic Director (Transformation)
- 6 **Southend-on-Sea Commissioning Framework**  
Report of Strategic Director (Transformation)
- 7 **South Essex Homes Housing Management Partnership Agreement**  
Report of Deputy Chief Executive (People)
- 8 **Update of Policies relating to Highways Inspections of the Civil Enforcement Policy**  
Report of Deputy Chief Executive (Place)
- 9 **Southend Energy Partnership, Transfer to New Supplier**  
Report of Deputy Chief Executive (Place)
- 10 **Annual Report on Safeguarding Children and Adults - September 2017 to March 2019**  
Report of Deputy Chief Executive (People)
- 11 **Annual Education Report**  
Report of Deputy Chief Executive (People)
- 12 **Mid-Year Statement of Purpose for Fostering and Adoption**  
Report of Deputy Chief Executive (People)

\*\*\*\* **PERFORMANCE**

- 13 Quarter Three Treasury Management Report - 2018/19**  
Report of Strategic Director (Finance and Resources)
- 14 Monthly Performance Report**  
Circulated Separately
- 15 Revenue and Capital Monitoring - 31 January 2019**  
Report of Strategic Director (Finance and Resources)
- 16 Council Procedure Rule 46**  
Report
- 17 Exclusion of the Public**  
To agree that, under Section 100(A)(4) of the Local Government Act 1972, the public be excluded from the meeting for the item of business set out below on the grounds that it involves 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.
- 18 Transport Procurement**  
Confidential Appendix

**Public Document Pack**  
**SOUTHEND-ON-SEA BOROUGH COUNCIL**

**Meeting of Cabinet**

**Date: Thursday, 17th January, 2019**  
**Place: Committee Room 1 - Civic Suite**

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

In Attendance: Councillors Buck, Garne, Jones and Mulroney  
A Griffin, S Leftley, A Lewis, J Williams, J Chesterton, J Ruffle, P  
Geraghty, I Ambrose, A Richards, S Baker, G Bloom, T Holland, T  
MacGregor, S Newman, L Thomas, G Smith, N Laver and C Gamble

Start/End Time: 2.00 pm - 3.55 pm

**600 Apologies for Absence**

There were no apologies for absence at this meeting.

**601 Declarations of Interest**

The following Councillors declared interests as indicated:

(a) Cllr Mulroney – Minute 605 (The proposed development of the Seaway Car Park) – non-pecuniary interest – member of Development Control Committee and Minute 611 (Draft General Fund Revenue Budget) – non-pecuniary interest – member of Leigh Town Council;

(b) Cllr Jones – Minute 613 (Special Educational Needs and Disabilities Inspection) – non-pecuniary interest – member of Little Heroes Charity referred to in the report;

(c) Cllr Flewitt – Minute 612 (Future phases of Affordable Housing Development Programme) – non-pecuniary interest – lives in the vicinity of Lundy Close and knows individual residents and has been lobbied by some residents on the matter;

(d) Cllr Cox – Minute 605 (The proposed development of the Seaway Car Park) – Disclosable Pecuniary Interest – family member is employed by Stockvale and is a business involved in discussions with regard to the development and lobbying of Councillors (withdrew).

**602 Minutes of the meeting held on Tuesday 6th November 2018**

Resolved:

That, subject to a minor amendment to resolution 2 in minute 432 to change the word 'endorsed' to 'noted', the minutes of the meeting held on Tuesday 6<sup>th</sup> November 2018, be confirmed as a correct record and signed.

**603 Minutes of the Special Meeting held on Tuesday 4th December 2018**

Resolved:-

That the Minutes of the Special Meeting held on Tuesday 4<sup>th</sup> December 2018, be confirmed as a correct record and signed.

**604 Southend 2050 - Strategic Delivery Plans**

The Cabinet considered a report of the Chief Executive presenting the Strategic Delivery Plans (SDPs) following the agreement of the Southend 2050 Ambition, Themes & Outcomes and Southend 2050 Five Year Road Map at Full Council on 13<sup>th</sup> December 2018.

Resolved:

1. That the Strategic Delivery Plans supporting the delivery of the Southend 2050 Ambition and the Southend 2050 Five Year Road Map, be adopted.
2. That the Transforming Together work be noted and the new Council values, be endorsed.

Reasons for decision:

To have in place Strategic Delivery Plans to deliver the Southend 2050 ambition, Themes, Outcomes and Five Year Road Map, ensuring the successful and sustainable future of the borough.

Other Options:

None.

Note: This is an Executive Function  
Referred direct to: All three Scrutiny Committees  
Cabinet Member: Cllr Lamb

**605 The proposed development of the Seaway Car Park**

The Cabinet considered a report of the Strategic Director (Finance and Resources) reviewing the proposed development of the Seaway Car Park and associated land and the Agreement for Lease and Sale dated 10<sup>th</sup> December 2014 made between the Council and Turnstone Southend Limited.

The report dealt with the proposed Development in the context of the Council's land ownership, regeneration and economic development responsibilities. It was noted that whilst the strategic planning context was mentioned in the report, the planning application recently submitted for the Development (Ref: 18/02302/BC4M) must be considered quite separately by the Council as local planning authority through the Development Control Committee.

On consideration of the report the Cabinet Member for Growth put the following questions to the Strategic Director, Finance and Resources (Council's Section 151 Officer):

- Are you satisfied that this is a good deal for the Council, from a financial point of view?
- Have you and other relevant Council staff personally checked the figures in the report and are content with their accuracy?
- Are you satisfied that the Council has not only obtained a S123 assessment from Savills but that it has also had this independently reviewed by the District Valuer Service which has 'signed it off'?
- Are you satisfied that the Council has a sufficiently independent, up-to-date, valuation on the site?
- Are you satisfied that the Council has done everything that it reasonably could to gather the facts to decide as of today whether this is a good deal for the Council?

The Strategic Director answered "yes" to each of the questions.

Resolved:

1. That it be noted, that unless either party takes a decision to terminate, the Agreement for Lease and Sale dated 10 December 2014 made between the Council and Turnstone Southend Limited ("the Agreement") for the development of the Seaway Car Park and associated land ("the Development") remains in full legal force.
2. That the Council does not seek to terminate the Agreement at the present time, but maintains its support for the Development based on the strong and viable economic case, the fresh independent valuations under S.123 Local Government Act 1972, the contribution to the Council's published Ambition and Outcomes, the level of commitment (including investment) made by Turnstone and the progress which has been made to date.
3. That the contractual 'End Date' of 10 December 2018 be extended to 17 January 2020 for the discharge of all conditions (including obtaining planning permission) in the Agreement to be dealt with so that the Lease can be granted. Under the Lease, practical completion is then required within 3 years of granting the Lease which necessitates an early start on site.
4. That amendments be made to the Agreement as set out in section 5.8 of the submitted report, including the extension of time referred to in recommendation 3 above, on the basis of the fresh valuations referred to in sections 6.2 (e) and 9.2 and attached at Appendices 4 and 5 to the report.
5. That the Chief Executive, in consultation with the Group Leaders and the Cabinet Member for Growth, be authorised to make further minor amendments to the Agreement if required.
6. That the agreements with Homes England in relation to 1-3 Herbert Grove, 29 Herbert Grove and the Rossi Factory (31 Herbert Grove) as set out in section 5.11 of the report be completed.

Reasons for decision:

To enable realisation of the Council's long-held ambitions and aspirations for the regeneration of the Seaway Car Park and associated land to deliver the significant, place-changing regeneration and economic benefits set out in the report and to demonstrate that Southend is proud to act in the interests of local residents. The delivery of the Development will enable the Council to make significant progress in achieving its 2050 Ambition and many of the recently adopted Outcomes across a range of themes.

Other options:

To seek to terminate the Agreement, but there would be adverse consequences as referred to in Section 6.3 of the report.

Note: This is an Executive Function

Referred direct to: Policy & Resources Scrutiny Committee

Cabinet Member: Cllr Courtenay

## **606 Brexit**

The Cabinet considered a report of the Strategic Director (Transformation) setting out for consideration the implications for the Council of the UK leaving the European Union (EU).

Resolved:

That the likely implications, including risks and opportunities, for the Council leaving the EU and the action being taken by the Council to address these, be noted.

Reasons for decision:

To enable the Cabinet to assess the potential implications of the UK leaving the EU and whether further action by the Council is needed.

Other options:

None.

Note: This is an Executive Function

Referred Direct to: Policy & Resources Scrutiny Committee

Cabinet Member: Cllr Lamb

## **607 Parking and Civil Enforcement Policy**

The Cabinet considered a report of the Deputy Chief Executive (Place) presenting the updated Highways and Parking Policies for approval.

Resolved:

1. That the replacement of Highway Policy Note No.2 (1999) with the updated Highway Safety Inspection Policy and Guidance, be approved.
2. That the replacement of Parking Policy (2015) with the updated policy on Civil Enforcement of Parking, be approved.
3. That the Director of Planning and Transport be authorised to update the Parking Policy with any updates in respect of the issue of updated contravention codes descriptions, in consultation with the lead Cabinet Member for Infrastructure.

Reasons for decision:

To update and refresh previous existing Highways Inspection and Parking Enforcement policies in line with best practice, current legislation and statutory requirements ensuring the Council is fully compliant with its statutory duties.

Other options:

None.

Note: This is an Executive Function  
Referred direct to: Place Scrutiny Committee  
Cabinet Member: Cllr Moring

## **608 Council Tax Base and Non Domestic Rating Base 2019/20**

The Council considered a report of the Strategic Director (Finance and Resources) concerning the calculation of the Council Tax Base for 2019/20 and the submission of the National Non Domestic Rates (NNDR1) form to the Department of Communities and Local Government (DCLG) by 31<sup>st</sup> January 2019.

Resolved:

In respect of the Council Tax Base:

1. That in accordance with the Local Authorities (Calculation of Council Tax Base) Regulations 1992 (as amended by the Local Authorities (Calculation of Council Tax Base) (Amendment) (England) Regulations 2003) and Local Government Finance Act 2012 (Calculation of billing authority's council tax base Section 15):
  - (i) The Local Council Tax Support Scheme for 2019/20 approved by Council on 13 December 2018, be incorporated into the Council Tax base setting as outlined in Appendices A and B to the submitted report;
  - (ii) That the following changes to Council Tax discounts and exemptions approved by Cabinet on 5 January 2016 will remain unchanged, with the exception of the premium increase from 50% to 100% on Long Term Empty

properties (those properties which have been empty for over 2 years or more) from 1 April 2019, these will be incorporated into the Council Tax Base:-

- Properties requiring or undergoing structural alteration or major repairs (Class D) as allowed by Section 11A of the Local Government Finance Act 2012 is set at 0%;
- Vacant and substantially unfurnished properties (Class C) as allowed by Section 11A of the Local Government Finance Act 2012 to be entitled to receive a discount of 100% for up to 1 month.
- The second homes discount and exemption (Classes A and B) that were approved by Council on 13 December 2012 will remain unchanged from 1 April 2019 and these are incorporated into the Council Tax Base;
- Long-term empty homes (Class C) as allowed by Section 11A of the Local Government Finance Act 2012, a current surcharge of 50% is set allowing a full charge of 150% where they have been unoccupied for more than 2 years. From April 2019 this surcharge will increase to 100% allowing a full charge of 200%;
- That a continuous 6 week period of occupancy is required between empty periods before a further discount can be awarded;

2. That the amount calculated by Southend-on-Sea Council as its Council Tax Base for the year 2019/20 shall be 58,424.44 (Appendix A).

3. That the amount calculated by Southend-on-Sea Council as the Council Tax Base in respect of Leigh-on-Sea Town Council for the year 2019/20 shall be 8,839.09 (Appendix B).

In respect of the Non-Domestic Rates Base (NNDR1 Form):

4. That the NNDR1 form at Appendix C to the submitted report be approved for submission to the Ministry of Housing, Communities and Local Government.

Reasons for decision:

The setting of the Council Tax Base and National Domestic Rating Base enables the calculation of the core funding derived through local taxation that is used to finance the Council's proposed budget for 2019/20.

Other options:

None

Note: This is an Executive Function

Referred direct to: Policy and Resources Scrutiny Committee

Cabinet Member: Cllr Lamb



## 609 Draft Housing Revenue Account Budget 2019/20 and Rent Setting

The Cabinet considered a joint report of the Deputy Chief Executive (People) and Strategic Director (Finance and Resources) setting out the Housing Revenue (HRA) budget for 2019/20, together with the information necessary to set a balanced budget as required by legislation.

Resolved:

1. That a rent reduction of 1% on secure tenancies, as required by the Welfare Reform and Work Act 2016, be endorsed.
2. That an average rent increase of 4.86% on shared ownership properties, be endorsed.
3. That the proposed rent changes in 1 and 2 above be effective from 1 April 2019.
4. That the increase in garage rents by 2.5% to £11.70 per week for tenants (£14.04, being £11.70 plus VAT for non-tenants), with all variants on a standard garage receiving a proportionate increase, be endorsed.
5. That the South Essex Homes core management fee of £5,738,000 for 2019/20, be endorsed, with additional one-off funding also being made available of:
  - £10,000 for the data cleansing, training and embedding of new data protection practices in compliance with General Data Protection Regulations (GDPR); and
  - £140,000 to undertake a project to achieve better integration between the various ICT systems that the company uses, with the aim to achieve efficiencies going forward.
6. That the South Essex Homes proposals for average changes of 4% in service charges and 17% in heating charges, be endorsed.
7. That the following appropriations, be endorsed:
  - £60,000 to the Repairs Contract Pensions earmarked reserve;
  - £1,397,000 to the Major Repairs earmarked reserve; and
  - £444,000 HRA to the Capital Investment earmarked reserve.
8. That, subject to 1 to 7 above, the HRA budget as set out in Appendix 1 to the submitted report, be endorsed.
9. That the value of the Council's capital allowance for 2019/20 be declared as £37.326M, as determined in accordance with regulation 16 of the Local Authorities (Capital Finance and Accounting) (England) Regulations.

Reasons for decision:

Part of the process of maintaining a balanced budget for the HRA is to consider and set a rent rise (and associated increases in other income streams). Full Council need to approve the HRA budget prior to the start of the financial year.

Other options:

None.

Note: This is an Executive Function save that approval of the final budget following Cabinet on 12<sup>th</sup> February 2019, is a Council Function.

Referred direct to the Policy & Resources Scrutiny Committee

Cabinet Member: Cllr Cox

## **610 Draft Capital Investment Programme 2019/20 to 2023/24**

The Cabinet considered a report of the Strategic Director (Finance and Resources) setting out a draft programme of capital investment for the period 2019/20 to 2023/24.

Resolved:

1. That the current approved programme for 2019/20 to 2021/22 of £153.1m as set out in Appendix 1 to the submitted report, be noted.
2. That the Capital Investment Strategy for 2019/20 to 2023/24, as set out in Appendix 2 to the report, be approved.
3. That the following be approved:
  - (i) New schemes and additions to the Capital Investment Programme for the period 2019/20 to 2023/24 totalling £14.5m for the General Fund and £20.8m for the Housing Revenue Account (Appendix 6 to the submitted report);
  - (ii) Schemes subject to external funding approval for the period 2019/20 to 2020/21 totalling £3.0m (Appendix 6 to the report);
  - (iii) Schemes subject to viable business cases for the period 2019/20 to 2021/22 totalling £48.6m (Appendices 6 and 7 to the report).
4. That it be noted that the changes to the approved Programme will result in a proposed Capital Investment Programme of £177.0m for 2019/20 to 2023/24, as set out in Appendix 7 to the report, of which £70.7m is supported by external funding.
5. That it be noted that a final review is being undertaken on the 2018/19 projected outturn and the results will be included in the report to Cabinet on 12 February 2019.

Reasons for decision:

The Capital Investment Programme is compiled from a number of individual projects which either contribute to the delivery of the Council's ambition and desired outcomes or enhance the Council's infrastructure.

Other options:

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

Note: This is an Executive Function save that approval of the final budget following Cabinet on 12 February 2019 is a Council Function.

Referred direct to all three Scrutiny Committees

Cabinet Member: Cllr Lamb

### **611 Draft General Fund Revenue Budget 2019/20**

The Cabinet considered a report of the Corporate Management Team presenting the draft General Fund Revenue budget for 2019/20.

Resolved:

1. That the 2019/20 draft revenue budget and any required commencement of consultation, statutory or otherwise, be endorsed.
2. That it be noted that the 2019/20 draft revenue budget has been prepared on the basis of a Council Tax increase of 4.49%, being 2.99% for general use and 1.5% for Adult Social Care.
3. That it be noted that the 2019/20 draft revenue budget has been prepared using the provisional local government finance settlement and that the outcome from the final settlement will need to be factored into the final budget proposals for Budget Cabinet and Budget Council.
4. That the 2019/20 revenue budget, as endorsed, be referred to all three Scrutiny Committees, Business sector and Voluntary sector to inform the Budget Cabinet, which will then recommend the Budget and Council Tax to Budget Council.
5. That the Schools budget position and that the recommendations for the Education Board on 22 January 2019, as set out in Appendices 11 and 11(i) to the submitted report, be noted and referred to the People Scrutiny Committee and then to Budget Cabinet and Budget Council.
6. That the direction of travel for 2020/21 and beyond, noting the need for the organisation to move to a longer term and outcome based budgeting approach as set out in Section 15 of the report, be endorsed.

Reason for Decision:

Budget scrutiny is at the core of the Council's corporate planning framework. It is a complex process that is fully integrated with strategic service planning. Annually,

prior to the start of the year, the Council agrees the budget using a consistent, transparent and prudent approach.

Other Options:

None

Note:- This is an Executive Function save that approval of the final budget following Cabinet on 12th February 2019 is a Council Function.  
Referred direct to all three Scrutiny Committees.  
Cabinet Member: Cllr Lamb

## **612 Future Phases of Affordable Housing Development Programme/Update**

The Cabinet considered a report of the Deputy Chief Executive (People) providing an overview of the future phases of the HRA Land Review project and requesting agreement to progress with Phases 3 and 4 of the project, to fund and construct 56 units of affordable housing and undertake feasibility studies for Phases 5 and 6 of the project. The report also sought agreement to undertake Modern Methods of Construction (MMC) pilot projects across 2 garage sites and develop a Land Purchase Fund using existing S106 contributions.

Resolved:

1. That sites be brought forward within Phases 3 and 4 of the HRA Land Review.
2. That further feasibility work be undertaken on a number of sites that will form Phases 5 and 6 of the HRA Project.
3. That the proposed method of funding for the projects and the use of S106 funds for the feasibility works for Phases 5 and 6, to a maximum of £50,000, be endorsed.
4. That the options for the delivery of 2 garage sites for Modern Methods of Construction (MMC) pilots be investigated, including undertaking a procurement exercise of solutions put forward by the market and also a value for money exercise. Furthermore, to explore subsequent pilot sites to test Modern Methods of Construction on a broader scale, including Lundy Close.
5. That the use of S106 contributions received from developers, in order to facilitate the provision of affordable housing through the creation of an ongoing fund for the purchase of developable land in the borough, be endorsed.

Reasons for decision:

There is an established need for affordable housing within the borough as demonstrated by the local strategic housing market assessment (SHMA), and by our own Housing Register data.

Other options:

Do nothing – This option considered leaving the existing garage areas in their current state. This would not improve community safety or reduce antisocial

behaviour. It would also not help the Council to meet its 2050 Vision or contribute to the 2050 road map.

Transfer the land to a Registered Provider – This approach would mean a loss of a capital assets and potential future revenue income to the HRA.

Sale of sites on the Open Market – This option would allow some sites to be sold on the open market with the receipts reinvested in the HRA, potentially to be used for future housing development phases. This approach would mean a loss of potential future revenue income to the HRA.

Note: This is an Executive Function  
Referred direct to Policy and Resources Scrutiny Committee  
Cabinet Member: Cllr Cox

### **613 Special Educational Needs and Disabilities Inspection**

The Cabinet considered a report of the Deputy Chief Executive (People) presenting the outcomes of the SEND Area Inspection conducted in October 2018 and sought approval for the improvements that have already been put in place to bring about the necessary changes.

On consideration of the report, the Cabinet Member for Children and Learning undertook to ensure that the actions arising from the inspection would be monitored by the Children's Service Improvement Board.

Resolved:

1. That the findings from the inspection report, including both those areas that were indicated as strengths alongside those areas that show significant concern, be noted.
2. That the requirement for the Local Authority and the Clinical Commissioning Group to joint produce a Written Statement of Action (WSOA), be noted.
3. That the proposed actions contained within the submitted report that will ensure the necessary improvements are made, be approved.

Reasons for Decision:

To robustly and rapidly drive forward the improvements required.

Other options:

None.

Note: This is an Executive Function  
Referred direct to People Scrutiny Committee  
Cabinet Member: Cllr Boyd

## **614 St Mary's Primary School Consultation**

The Cabinet considered a report of the Deputy Chief Executive (People) presenting the results of the consultation to permanently set the pupil admission number (PAN) at St Mary's Prittlewell CofE Primary School at 90 pupils per year group, starting from admission into the reception year in September 2019.

Resolved:

That the pupil admission numbers (PAN) at St Mary's Prittlewell CofE Primary school be set at 90 pupils per year group, starting from admission to the reception year in September 2019 and work up through the school year on year until all year groups are at 90.

Reasons for decision:

Returning to the admission number 60 could leave a shortage of places in the north/south corridor, especially once all the current new housing developments are completed along Victoria Avenue. Forecasts indicate that agreeing to 90 will allow the Local Authority to meet its surplus margin of 5% to give parental choice across a wider selection of schools.

Other options:

To hold the school at its previous admission number of 60 or agree to increase to a higher admission number of 120. The lower number could lead to future shortage in places in the central area of the borough.

Setting the admission number at 120 across all year groups would require capital investment by the local authority to increase the schools accommodation. Current pupil planning does not identify a need for 120 places across all year groups and places a risk of unused places either at St Mary's or other surrounding schools.

Note: This is an Executive Function  
Referred direct to People Scrutiny Committee  
Cabinet Member: Cllr Boyd

## **615 School Term Dates 2020/21**

The Cabinet considered a report of the Deputy Chief Executive (People) proposing the guideline school term and holiday dates for the academic year 2020/21.

Resolved:

That the school term and holiday dates for 2020/21, as set out in Appendix 1 to the submitted report, for community schools and as a guide to academy schools in the borough, be approved.

Reasons for decision:

To approve the school term dates.

Other options:

None.

Note: This is an Executive Function  
Referred direct to People Scrutiny Committee  
Cabinet Member: Cllr Boyd

## **616 Notice of Motion - Social Housing for Rent**

At the meeting of Council held on 13<sup>th</sup> December 2018, Councillors received a notice of motion calling on the Council to explore all avenues for building social housing for rent at the former NHS land at Fossetts Farm and investigate potential funding options and calculating the potential benefit, both financial and social to Southend's residents.

This had been proposed by Councillor McDonald and seconded by Councillor Gilbert.

Resolved:

1. That the notice of motion, be noted.
2. That the Council continues the work to identify housing development opportunities and the best way to deliver the scale of new housing, and specifically locally affordable housing, needed in Southend.
3. That through the work in 2 above, to identify the best delivery methods for those opportunities, including those which are best delivered through Southend Housing Ltd.
4. To continue working in partnership with Homes England to achieve the best outcome for development of the Fossetts Farm site, in terms of the number, tenure, affordability, design and overall quality of the homes to be built.

Reasons for decision:

To respond to the notice of motion

Other options:

None

Note: This is an Executive Function  
Referred direct to Policy and Resources Scrutiny Committee  
Cabinet Member: Cllr Cox

**617 Corporate Risk Register**

The Cabinet considered a report of the Chief Executive presenting the Corporate Risk Register Quarter 3 update.

Resolved:

That the 2018/19 Corporate Risk Register and the Quarter 3 updates outlined in Appendix 1 to the submitted report, be noted.

Reasons for decision:

To receive the Corporate Risk Register.

Other options:

None.

Note: This is an Executive Function  
Referred direct to: all three Scrutiny Committees.  
Cabinet Member: Cllr Lamb

**618 Council Debt Position to 30 November 2018**

The Cabinet considered a report of the Strategic Director (Finance and Resources) on the above.

Resolved:

1. That the current outstanding debt position as at 30<sup>th</sup> November 2018 and the position of debts written off to 30<sup>th</sup> November 2018, as set out in Appendices A and B of the submitted report, be noted.

2. That the write-offs greater than £25,000, as detailed in Appendix B to the report, be approved.

Reasons for decision:

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

Other options:

None.

Note: This is an Executive Function  
Referred direct to Policy & Resources Scrutiny Committee  
Cabinet Member: Cllr Lamb



## 619 Employment Appeals

The Cabinet considered a report of the Strategic Director (Transformation) recommending amendments to the Constitution and the Council's employment policies in respect of the dismissal appeal process.

Recommended:

1. That amendments to the Constitution and the Council's employment policies so that appeals against dismissal by employees below Director level will be dealt with by the Chief Executive or a Deputy Chief Executive, be approved.

2. That the amendments to the following provisions of the Constitution as set out in Appendix 1 to the submitted report, be approved:

- Terms of Reference of the Appointments and Disciplinary Committee (Part 3, Schedule 2);
- Terms of Reference of the Appeals Committees A and B (Part 3, Schedule 2); and
- Delegations to Chief Officers (Part 3, Schedule 3).

3. That the amendments to the appeal process within the following Council employment policies, as shown in Appendix 2 of the report, be approved:

- Disciplinary & Dismissal Policy;
- Redundancy Policy;
- Sickness Absence Policy;
- Capability Policy.

Reasons for decision:

To ensure that the Council has an efficient and effective employment appeal process

Other options:

To retain the status quo. However, this would not address the issues set out in Section 3 of the report.

Note: This is a Council Function  
Referred direct to Policy and Resources Scrutiny Committee  
Cabinet Member: Cllr Lamb

## 620 Revenue and Capital Monitoring to 30 November 2018

The Cabinet considered a report of the Strategic Director (Finance and Resources) presenting the Revenue and Capital budget report for the period ending 30<sup>th</sup> November 2018.

Resolved:

That, in respect of the 2018/19 Revenue Budget Monitoring as set out in appendix 1 to this report:

1. That the forecast outturn for the General Fund and Housing Revenue Account, as at November 2018, be noted.
2. That the planned management actions of £3,230,000 to achieve that forecast outturn, be noted.
3. That the planned budget transfers (virements) of £949,000, be approved.
4. That the transfer of £413,000 from the Children Social Care reserve to support additional secured placements, be approved.
5. That the transfer of £472,000 from the Dedicated School Grant reserve to support 2018/19 in year funding pressures, be approved.
6. That the potential transfer of £1,505,000 to the Business Transformation Reserve in respect of the forecast General Fund underspend, be noted.
7. That the potential transfer of £24,000 to the HRA Capital Investment Reserve in respect of the forecast HRA underspend, be noted.

That, in respect of the 2018/19 Capital Budget Monitoring as set out in appendix 2 of this report:

8. That the expenditure to date and the forecast outturn as at November 2018 and its financing, be noted.
9. That the requested changes to the 2018/19 capital investment programme as set out in Section 2 of Appendix 2 of the report, be approved.

Reasons for Decision:

The regular reporting of Revenue and Capital Budget Monitoring information provides detailed financial information to members, senior officers and other interested parties on the financial performance of the Council. It sets out the key variances being reported by budget holders and the management action being implemented to address the identified issues.

Other Options:

The Council could choose to monitor its budgetary performance against an alternative timeframe but it is considered that the reporting schedule provides the appropriate balance to allow strategic oversight of the budget by Councillors and to manage the Council's exposure to financial risk. More frequent monitoring is undertaken by officers and considered by individual service Directors and the Council's Corporate Management Team (CMT) including approval of management action.

Note: This is an Executive Function  
Referred direct to all three Scrutiny Committees  
Cabinet Member: Cllr Lamb

**621 Monthly Performance Report (November 2018)**

Resolved:

That the submitted report be noted.

Note: This is an Executive Function  
Referred direct to all three Scrutiny Committees  
Cabinet Member: as appropriate to the item

**622 Standing Order 46**

Resolved:

That the submitted report be noted.

Note: This is an Executive Function  
Referred direct to Policy and Resources Scrutiny Committee  
Cabinet Member: Cllr Lamb

**623 Exclusion of the Public**

Resolved:-

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

**624 Standing Order 46 Confidential Sheet**

Resolved:

That the SO46 confidential sheet, be noted.

Note: This is an Executive Function  
Referred direct to Policy and Resources Scrutiny Committee  
Cabinet Member: Cllr Lamb

**Chairman:** \_\_\_\_\_

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**SOUTHEND-ON-SEA BOROUGH COUNCIL**

**Meeting of Cabinet**

**Date: Tuesday, 12th February, 2019**  
**Place: Committee Room 1 - Civic Suite**

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

**In Attendance:** Councillors D Garne, A Jones and C Mulroney  
A Griffin, J K Williams, S Leftley, A Lewis, J Chesterton, J Ruffle,  
C Gamble, I Ambrose, E Cooney, G Gilbert, A Keating and R Sharp

**Start/End Time:** 2.00 pm - 2.30 pm

**697 Apologies for Absence**

There were no apologies for absence at this meeting.

**698 Declarations of Interest**

The following Councillors declared interests as indicated:

(a) Councillor Flewitt – Minute 700 (HRA Budget 2019/20 and Rent Setting) – non-pecuniary interest – friends and relatives are tenants of South Essex Homes.

(b) Councillor Mulroney – Minute 703 (General Fund Revenue Budget 2019/20) – Non-pecuniary interest - Chair of Leigh Town Council.

**699 Better Queensway Regeneration Project**

The Cabinet considered a report of the Deputy Chief Executive (Place) concerning the outcome of the procurement process and requesting agreement to the appointment of a 50/50 joint venture (JV) partner to work with the Council to deliver the Better Queensway regeneration project in accordance with the agreed objectives for the project.

On consideration of the report, the Cabinet Members expressed their appreciation to the officers of the Better Queensway Project Team in recognition of their sterling work in connection with the project.

Resolved:

1. That Swan Housing Association (Swan) be appointed as the preferred bidder, and subsequently the joint venture partner following the conclusion of the competitive dialogue process undertaken in compliance with the Public Contracts Regulations 2015.

2. That a limited liability partnership (LLP) be established with Swan through a Swan subsidiary company.

3. That the Chief Executive, in consultation with the Leader, be authorised to:

(a) Negotiate the final details of, and then enter into, the following agreements:

- LLP partnership agreement;
- Land agreement;
- Compulsory Purchase Order (CPO) Indemnity Agreement;
- Development and purchase agreement;
- Such further agreements that the Council are party to which are required to enable the delivery of the Project;
- Any ancillary agreements or documents necessary to give effect to the constitution, implementation and functioning of the LLP in accordance with the submitted report and appendices.

(b) Establish and implement a process for the on-going selection and appointment of appropriate individuals to the board of the LLP.

4. That the Chief Executive and S151 Officer, in consultation with the Leader, be authorised to identify, declare surplus and dispose of assets to the LLP (subject to the Council's obligations under S123 of the Local Government Act 1972 or any such other statute that is appropriate for any such disposal) and acquire assets within the Project boundary for the purpose of facilitating the delivery of the Project.

Recommended:

5. That an investment of £1.5M equity and £13.5M junior debt be made by the Council to match the level of investment by Swan, and that the capital investment programme for 2019/20 to 2023/24 be adjusted to reflect this.

6. That the terms of reference of the Council's Shareholder Board be amended to include this joint venture.

Reasons for decision:

The Council has undertaken a procurement process which is fully compliant with the Public Contracts Regulations 2015. Swan's submission has been evaluated and demonstrates that Swan is not only able to meet the Council's agreed red line requirements, but also that they have developed an example scheme that delivers significant value against a challenging set of evaluation criteria.

Other options:

To withdraw from the procurement and abandon the process of appointing the JV partner. This is not recommended due to the significant potential risks associated with this course of action, which are identified in paragraph 3.27 of the submitted report.

The result of such a decision would be a termination of the regeneration of the Queensway site and the benefits of the Project would not be delivered. Existing residents would continue with the status quo until an alternative could be identified and the costs of it met.

Note: This is an Executive Function save that Recommendations 5 and 6 above are Council Functions.

**700 Housing Revenue Account Budget 2019/20 and Rent Setting**

The Cabinet considered a joint report of the Deputy Chief Executive (People) and Strategic Director (Finance and Resources) setting out the Housing Revenue (HRA) budget for 2019/20, together with the information necessary to set a balanced budget as required by legislation. This item was considered by the Policy and Resources Scrutiny Committee.

Recommended:

1. That a rent reduction of 1% on secure tenancies, as required by the Welfare Reform and Work Act 2016, be approved.
2. That an average rent increase of 4.86% on shared ownership properties, be approved.
3. That the proposed rent changes in 1 and 2 above be effective from 1 April 2019.
4. That the increase in garage rents by 2.5% to £11.70 per week for tenants (£14.04, being £11.70 plus VAT for non-tenants), with all variants on a standard garage receiving a proportionate increase, be approved.
5. That the South Essex Homes core management fee of £5,738,000 for 2019/20, be approved, with additional one-off funding also being made available of:
  - £10,000 for the data cleansing, training and embedding of new data protection practices in compliance with General Data Protection Regulations (GDPR); and
  - £140,000 to undertake a project to achieve better integration between the various ICT systems that the company uses, with the aim to achieve efficiencies going forward.
6. That the South Essex Homes proposals for average changes of 4% in service charges and 17% in heating charges, be approved.
7. That the following appropriations, be approved:
  - £60,000 to the Repairs Contract Pensions earmarked reserve;
  - £1,397,000 to the Major Repairs earmarked reserve; and
  - £272,000 HRA to the Capital Investment earmarked reserve.
8. That, subject to 1 to 7 above, the HRA budget as set out in Appendix 1 to the submitted report, be approved.
9. That the value of the Council's capital allowance for 2019/20 be declared as £49.601M, as determined in accordance with regulation 16 of the Local Authorities (Capital Finance and Accounting) (England) Regulations.

Reasons for decision:

Part of the process of maintaining a balanced budget for the HRA is to consider and set a rent rise (and associated increases in other income streams). Full Council need to approve the HRA budget prior to the start of the financial year.

Other options:

None.

Note:- This is a Council Budget Function, not eligible for call in by virtue of Budget and Policy Framework Procedure Rule 1.1(b)  
Cabinet Member: Cllr Cox

## **701 Capital Investment Programme 2019/20 to 2023/24**

The Cabinet considered a report of the Strategic Director (Finance and Resources) setting out a proposed programme of capital investment and its funding for the period 2019/20 to 2023/24. This item was considered by all three Scrutiny Committees.

Resolved:

1. That the current approved programme for 2019/20 to 2021/22 of £153.1m as set out in Appendix 1 to the submitted report, be noted.

2. That the Capital Investment Strategy for 2019/20 to 2023/24, as set out in Appendix 2 to the report, be approved.

3. That the following be approved:

(i) New schemes and additions to the Capital Investment Programme for the period 2019/20 to 2023/24 totalling £14.5m for the General Fund and £20.8m for the Housing Revenue Account (Appendix 6 to the submitted report);

(ii) Schemes subject to external funding approval for the period 2019/20 to 2020/21 totalling £3.0m (Appendix 6 to the report);

(iii) Schemes subject to viable business cases for the period 2019/20 to 2021/22 totalling £48.6m (Appendices 6 and 7 to the report).

4. That the changes to the approved programme (Appendix 7 to the report), be approved.

5. That it be noted that the approved Programme will result in a proposed Capital Investment Programme of £194.9m for 2019/20 to 2023/24, as set out in Appendix 7 to the report, of which £74.3m is supported by external funding and that the total programme increases to £246.5m if all business cases and external funding schemes are approved.

6. That, subject to the final Business Case sign off for the new care facility at Priory from the Deputy Chief Executive (People) and Strategic Director (Finance and Resources), in consultation with the Cabinet Member for Adults and Housing, the budget of £11.581m be moved to the main programme.

7. That it be noted that a final review has been undertaken on the 2018/19 projected outturn and the results will be included in the submitted report.



8. That the proposed Capital Investment Programme for 2018/19 to 2023/24, as set out in Appendix 8 to the report, be approved.

Reasons for decision:

The Capital Investment Programme is compiled from a number of individual projects which either contribute to the delivery of the Council's ambition and desired outcomes or enhance the Council's infrastructure.

Other options:

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

Note:- This is a Council Budget Function, not eligible for call in by virtue of Budget and Policy Framework Procedure Rule 1.1(b)  
Cabinet Member: Cllr Lamb

## **702 Treasury Management and Prudential Indicators 2019/20**

The Cabinet considered a report of the Strategic Director (Finance and Resources) concerning the Treasury Management Policy and Strategy for 2019/20 and the requirement for prudential indicators to be set under the Local Government Act 2003. This item was considered by the Policy and Resources Scrutiny Committee.

Recommended:

1. That the Treasury Management Policy Statement set out at Appendix 1 to the submitted report, be approved.
2. That the Treasury Management Strategy set out at Appendix 2 to the report, be approved.
3. That the Annual Treasury Management Investment Strategy set out at Appendix 3 to the report, be approved.
4. That the Minimum Revenue Provision (MRP) Policy set out at Appendix 5 to the report, be approved.
5. That the prudential indicators set out at Appendix 6 to the report, be approved.
6. That the operational boundary and authorised limits for borrowing for 2019/20 be set at £290m and £300m respectively as set out in Appendix 1 to the report.

Reason for Recommendation

1. Recommendations 1-3 above are to comply with the CIPFA Treasury Management Code of Practice.

2. Recommendation 4 above is to comply with the Local Authority's general duty to charge an amount of MRP to revenue which it considers to be prudent.

3. Recommendations 5 and 6 above are to demonstrate compliance with the CIPFA Prudential Code for Capital Finance in Local Authorities.

#### Other Options

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

Note:- This is a Council Budget Function, not eligible for call in by virtue of Budget and Policy Framework Procedure Rule 1.1(b)

Cabinet Member: Cllr Lamb

### **703 General Fund Revenue Budget 2019/20**

The Cabinet considered a report of the Corporate Management Team presenting a 2019/20 General Fund revenue budget including schools and a proposal for the level of Council Tax for 2019/20. This item was considered by all three Scrutiny Committees.

#### Recommended:

In respect of 2018/19:

1. That the forecast outturn of £76.209 million, be noted.
2. That the appropriation of the sums from earmarked reserves totalling £14.283 million, as set out in detail in appendix 13 to the submitted report, be approved.
3. That the appropriation of the sums from earmarked reserves totalling £7.595 million, as set out in appendix 13 to the report, be approved.

In respect of 2019/20 and later years:

4. That the Section 151 Officer's (Strategic Director of Finance and Resources) report on the robustness of the proposed budget, the adequacy of the Council's reserves and the Reserves Strategy, as set out in appendix 1 to the report, be acknowledged.
5. That a General Fund net revenue budget for 2019/20 of £80.755 million, as set out in appendix 3 to the report, and any required commencement of consultation, statutory or otherwise, be approved.
6. That a Council Tax increase of 4.49% for the Southend-on-Sea element of the Council Tax for 2019/20, being 2.99% for general use and 1.5% for Adult Social Care, be approved.

7. That it be noted that the 2019/20 revenue budget has been prepared on the basis of using £2.5 million from the Collection Fund for the core budget to allow for a smoothing of the budget gap across the next three financial years.

8. That the position of the Council's preceptors be noted as follows:

- Essex Police – approved Council Tax 14.16%;
- Essex Fire & Rescue Services – approved Council Tax increase of 2.94%;
- Leigh-on-Sea Town Council – approved precept increase of 1.73%.

9. That no Special Expenses be charged other than Leigh-on-Sea Town Council precept for 2019/20.

10. That the appropriation of the sums from earmarked reserves totalling £9.429 million, as set out in appendix 13 to the report, be approved.

11. That the appropriation of the sums from earmarked reserves totalling £7.891 million, as set out in appendix 13 to the report, be approved.

12. That the schools' budget and its relevant distribution as recommended by the Education Board and as set out in appendix 2 to the report, be approved.

13. That the on-going budget investment required of £6.610 million (appendix 11 to the report) and the General Fund and Public Health budget reductions required of £4.363 million (appendix 12 to the report) and the subsequent individual service cash limits for 2019/20, as contained in appendices 3 to 10 of the report, be approved.

14. That the one-off investment items, as set out in paragraph 5.28 and included within the appropriations set out in appendix 13 to the report, be approved.

15. That the direction of travel for 2020/21 and beyond and in particular noting the need for the organisation to move to a longer term and outcome based budgeting approach, be endorsed.

16. That the revised Medium Term Financial Strategy up to 2023/24, set out in appendix 14 to the report, be approved.

Note:- This is a Council Budget Function, not eligible for call in by virtue of Budget and Policy Framework Procedure Rule 1.1(b)  
Cabinet Member: Cllr Lamb

#### **704 Exclusion of the Public**

Resolved:-

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

**705 Better Queensway Regeneration Project**

Resolved:

That the confidential appendix 2 to the Better Queensway Regeneration Project report, be noted.

Note: This is an Executive Function  
Referred direct to Special Place Scrutiny Committee  
Cabinet Member: Cllr Courtenay

**Chairman:** \_\_\_\_\_

# Southend-on-Sea Borough Council

Agenda  
Item No.

Report of Strategic Director (Transformation)

To

Cabinet

On

12<sup>th</sup> March 2019

Report prepared by: Glyn Halksworth, Interim Director of Housing; Lysanne Eddy, Head of Corporate Strategy; Mike Bennett, Head of Strategy, Planning & Performance; Neil Hoskins, Group Manager Major Projects & Strategic Transport Policy; Sharon Wheeler, Head of Libraries & Physical Wellbeing & Lee White, Head of Corporate Procurement

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## Southend on Sea Commissioning Framework

Policy & Resources Scrutiny Committee

Cabinet Member: Councillor John Lamb

Part 1 (Public Agenda Item)

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### 1. Purpose of Report

- 1.1 To seek agreement from Cabinet to devise and implement a commissioning framework that supports the Council's ability to become an Outcome Based Commissioning Organisation.

### 2. Recommendations

- 2.1 **That the definition of commissioning for Southend-on-Sea Borough Council to be as follows :-**  
*“the process by which we understand the collective approach needed in order to deliver the Southend 2050 outcomes; and what we need to do with others to make them happen. In practice, this is not in-sourcing or out-sourcing but clearly ‘right-sourcing’.”*
- 2.2 **The overarching principles of the Southend-on-Sea Commissioning Framework are agreed.**
- 2.3 **The Thematic Annual Procurement Plan 2019/20 is agreed as part of a transitional period to an outcome based investment model.**
- 2.4 **That Council be recommended to make the amendments to the Constitution set out in paragraph 5.6 and Appendix 3.**
- 2.5 **The Market Position Statement be agreed for publication as set out in paragraph 5.7 and Appendix 4.**

### **3. Background**

- 3.1 Effective outcomes driven commissioning is the backbone of everything that we do and the means by which we will achieve the Southend 2050 ambition and outcomes.
- 3.2 Strong commissioning is essential for the direct delivery, contracting and grant making elements of our business. It is therefore essential that the organisation has a clear and concise understanding of how to do this consistently well.
- 3.3 The strategic commissioning role of Councillors is fundamental to driving forward an outcome-based commissioning approach for the Council and its partners. Having a robust, clear commissioning approach supports Councillors' roles in directing priorities, in providing strategic direction and in the policy development that enables them to most effectively deploy the Council's resources across the breadth of the Council's portfolio.
- 3.4 The borough faces major challenges. As our population increases, gets older, and birth rates rise, there will be greater demand for school places, homes, health and other public services. Our changing climate provides challenges to our valued coast. Our economy is also changing and we need a better skilled workforce to meet the needs of the future. This includes developments in robotics, artificial intelligence and technology. These have huge potential to enhance our lives by enabling independent living, ending the drudgery of many jobs and providing more leisure time. We also have significant and unacceptable inequalities across the borough, particularly relating to residents' health.
- 3.5 The loss of Government grant funding for the Council will continue to put pressure on budgets and by 2020 the Council will receive no grant at all. However, with expenditure of around £228m, and more financial independence, the ability to shape our future and meet local needs is in our hands. This will mean, increasingly, the Council will move towards enabling others to do more for themselves, rather than being a universal and direct provider of services for all. To do this effectively, we will need to adopt a robust commissioning approach to help us achieve the outcomes needed for the borough.
- 3.6 To this end we have developed 10 key principles to be incorporated into all commissioning activity:
- Focussed on outcomes for our residents
  - A consistent commissioning approach
  - The right people at the right stage of commissioning
  - Driving innovation
  - High quality robust evidence informing decisions
  - Collective accountability
  - People at the heart of what we do
  - A commitment to building capacity
  - Optimising social value
  - Sustainability

- 3.7 The next phase is to draft the framework and develop a set of commissioning competencies which can be embedded into the organisation to coach and guide the commissioning process, clarifying the relationship with components of the process, i.e. procurement, the Market Position Statement and Contract Procedure Rules.

#### 4. Other Options

- 4.1 The alternative to the introduction of a commissioning framework for Southend-on-Sea Borough Council would be to carry on deploying a range of approaches to the commissioning, procurement and contracting activity to which this would relate. It is felt that this would not best support the delivery of the Southend 2050 ambition and outcomes.

#### 5. Reasons for Recommendations

- 5.1 There are currently many different definitions of the term Commissioning used across the organisation and its partners; to provide clarity and for the purpose of the Southend-on-Sea Commissioning Framework it has been defined as :-

*“the process by which we understand the collective approach needed in order to deliver the Southend 2050 outcomes; and what we need to do with others to make them happen. In practice, this is not in-sourcing or out-sourcing but clearly ‘right-sourcing’.* “

- 5.2 The adoption of this definition and an outcome based commissioning approach ensures that Councillors are best placed to maximise the return on the Southend pound by providing the organisation, our partners, stakeholders and communities with a clearly defined understanding and transparent approach.
- 5.3 The proposed commissioning approach ensures that Councillors are at the heart of all strategic decision making and through its strong outcomes focus supports the optimal allocation of the Council’s resources.
- 5.4 Our goal is to drive a robust and balanced framework for commissioning into the fabric of the organisation. This will include full alignment of the annual procurement plan, contract procedure rules and market position statements going forwards, work towards which will be actively pursued during 2019/20 with expectations that all commissioning work, including procurement and contract management operates in line with the above principles and the forthcoming framework within six months. Designed alongside the ‘creating the conditions’ work, this framework will embed the values and behaviours required in everything we do as an authority through a set of core principles.
- 5.5 These principles and what they mean in practice will be outlined in the Southend-on-Sea Commissioning Framework, the purpose of which will be to ensure that:
- We are consistently commissioning to high standards, making best use of the tools and resources available;

- We utilise best practice, Statutory Guidance and legislation (e.g. The Social Value Act) to best effect in order to achieve our ambition;
- We are all accountable for ensuring that these principles are embedded within the organisation;
- We each recognise and respect the important roles we play in ensuring that these principles are reflected through our commissioning activities;
- Our assurance processes for commissioning are robust and agile to best support achievement of our ambition and outcomes.

5.5 In previous years the Annual Procurement Plan has been aligned to departments as this generally categorised expenditure and also aligned with the departmental budget setting process. As the Council is now focussed on the delivery of the Southend 2050 outcomes and outcome based budgeting, this year's Annual Procurement Plan has been re-developed and is now aligned to the 5 Themes within Southend 2050:

- Pride and Joy
- Safe and Well
- Active and Involved
- Opportunity and Prosperity
- Connected and Smart

This new approach to setting the Annual Procurement Plan will:

- Challenge the current commissioning approach and align to Southend's new Commissioning Framework
- Highlight opportunities for contracts to contribute to similar outcomes
- Increase the level of working across service areas and departments
- Increase the delivery of Social Value through contracts by a wider consideration of how services can assist in delivering the Southend 2050 outcomes

Appendix 1 provides a copy of the Thematic Annual Procurement Plan for 2019/20 and Appendix 2 provides a list of those Procurements with a value above £1m due in 2019/20.

5.6 The proposed changes outlined above and our intention to move to an Outcome Based Commissioning Organisation impacts directly on the way we currently award grants and three year community commissioning funding. The adoption of a clear and concise commissioning framework will set out how we will work in the future, so a Grants Strategy Working Party is no longer required. It is therefore recommended that the Grants Strategy Working Party is removed from the Constitution and that minor amendments are made to the Delegations in Paragraph 3, Schedule 3 as per Appendix 3 of this report.

5.7 Local Authorities are encouraged under the Care Act 2014, to publish information which will assist the wider provider market to understand the direction in which services are developing in relation to Adult Social Care.

Feedback from providers has informed the decision to offer a short form, infographic version of our Market Position Statement, containing links to other



information and data sources. Providers said the traditional lengthy versions are difficult to navigate and don't provide easy access to the most current information.

The proposed short version will be easier to navigate and keep up to date as there are embedded web links rather than static tables and references. Providers will also be encouraged to give feedback on the new format and what other information would enable them to develop service delivery to meet the outcomes of our 2050 ambitions.

## 6. Corporate Implications

6.1 Key contributor to the delivery of the Southend 2050 Ambition and Five Year Road Map.

6.1.1 The adoption of an outcome based commissioning framework is a key delivery arm of the council's ability to realise the full potential of achieving the Southend 2050 ambition and associated outcomes.

### *Transforming Together*

6.1.2 The Council will need to change fundamentally to be able to take advantage of the opportunities and challenges ahead. This will mean a Council that is more agile, more efficient, more entrepreneurial and more engaged with residents and customers.

6.1.3 Work is underway to put in place the conditions staff have identified as being necessary to make us 'match fit' for the future. These conditions now form an overarching transformation programme for the organisation and includes the need for:

- A clear vision & delivery strategy
- Digital enablement to support the vision
- A trusted, empowered and engaged workforce
- An appetite to invest in people and outcomes and to accept risk
- Closer collaboration with staff, members, residents and partners
- Simple and effective governance
- An open mind-set that will drive forward transformation and change

6.1.4 With a renewed Mission Statement - **Southend-on-Sea Borough Council – “working to make lives better”**; these conditions are supported and underpinned by refreshed Values that will drive the outcomes based investment approach going forward.

**INCLUSIVE** – we put people at the heart of what we do

**COLLABORATIVE** – we work together

**HONEST** – we are honest, fair and accountable

**PROUD** – we are proud to make lives better

The Southend 2050 Ambition and Five Year Road Map allow us to re-focus the allocation of our resources where they will have most impact and effect. Our outcome based Investment model will align our planning approach with commissioning and procurement to ensure we match priorities to spend.

- 6.2 Financial Implications – Initial investment for a comprehensive training package to be scoped and implemented. The commissioning framework will be applied to all procurements from this year onwards and will look to continuously align existing contracts to this framework as the year goes through, as part of a transition period to an outcome based investment model.
- 6.3 Legal Implications – this commissioning framework will support delivery of robust procurement in line with legislative requirements.
- 6.4 People Implications - all new and existing staff will be expected to adhere to the principles of the Commissioning Framework and its core principles and competencies.
- 6.5 Property Implications - none
- 6.6 Consultation - none
- 6.7 Equalities and Diversity Implications – the principles of the Competency Framework provide a robust approach to equality and diversity at key decision making points; with particular emphasis on the requirement of commissioning activity to ensure an equality analysis is conducted appropriately.
- 6.8 Risk Assessment - none
- 6.9 Value for Money – the principles of the competency framework provide a robust assessment of value for money. The new thematic approach to the Annual Procurement Plan should assist the council in securing best value in terms of outcomes and also increase opportunities for efficiencies and stronger commissioning across services.
- 6.10 Community Safety Implications - none
- 6.11 Environmental Impact - none

## **7. Background Papers**

## **8. Appendices**

Appendix 1- Thematic Annual Procurement Plan 2019/20  
Appendix 2- Top 25 Value Based Procurements in 2019/20  
Appendix 3 – Extract from the Constitution  
Appendix 4 – Market Position Statement

## Thematic Annual Procurement Plan 2019/20

This year will be the first year that the Annual Procurement Plan has been aligned to the Southend 2050 Thematic Outcomes. Delivery of the plan will align with Southend's Commissioning Framework and as such during 2019/20 the Corporate Procurement Team will be aligning their resource to the Themes rather than the Procurement Categories which has been the approach in the past. The benefit of aligning the team's Procurement Advisor roles to the 5 Themes is to ensure that cross-departmental opportunities and collaboration is at the forefront of the Commissioning for Outcomes approach.

The tabs within this workbook are set out against the 5 Themes. Clearly some of the Council's Procurements will contribute to a Primary Theme and may also identify a secondary theme/s which the procurement will influence. This is noted within the first two columns of each tab within the spreadsheet. Below is the colour designation for the Southend 2050 Themes.

<b>PRIDE &amp; JOY</b>
<b>SAFE &amp; WELL</b>
<b>ACTIVE &amp; INVOLVED</b>
<b>OPPORTUNITY &amp; PROSPERITY</b>
<b>CONNECTED &amp; SMART</b>

Please note that any cells which remain uncoloured are where the Procurement doesn't primarily align to a Theme

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Primary Southend 2050 theme and E-Procurement ref	Secondary Southend 2050 theme/s	Category	Department	Procurement Lead	Title	Contract Manager or Budget Requestor	Named ICT Service Delivery Manager	Info Gov - DP contact	Estimated value	Revenue, Capital or Income	Start date	Expiry date	Contract period	Tendered previously ?	Option to extend till?	Mandatory, Essential, Optional Service	Suppliers	Estimated annual value
		Southend Pier	Place	Sam Riddoch	Southend Pier - Timber Outer Pier Head	Scott Dolling	to be assigned	to be assigned	£7,992,000	Capital- C10886	New	New	New	New	N/A	Essential	New contract	Capital one-off expenditure
		Property	Place	Sam Riddoch	Repair & Maintenance of Public Buildings inc Minor Works & Foreshore (Commercial Property Maintenance and Property Refurbishment Programme as detailed on Capital prog.)	Neil Pointer	Matthew White	Sharon Cohen	£3,500,000	Revenue and Capital	1.4.2019	31.3.2024	3+1+1	Yes	No	Essential	Millane	£700,000
		Southend Pier	Place	Ola Haker	Southend Pier - Replacement of Pier Trains	Scott Dolling	to be assigned	to be assigned	£3,250,000	Capital- New	New	New	New	New	N/A	Essential	New contract	Capital one-off expenditure
		Culture	Place	To be assigned	Arboriculture Services (Lot 1: Term Contractor) (Lot 2 Approved List)	Ian Brown	To be assigned	To be assigned	£2,653,000	Revenue	01/02/2015	Lot 1: 31/01/2020 Lot 2: 31/01/2018	5+2	Yes	31/01/22	Essential	Lot 1: Treefella Ltd Lot 2: Essex Arboriculture Ltd Gristwood and Toms Ltd Bartlett Tree Experts Treefella Ltd	£379,000
		Southend Pier	Place	Sam Riddoch	Southend Pier - Prince George Extension (Phase Two)	Scott Dolling	to be assigned	to be assigned	£2,308,000	Capital- C10905	New	New	New	New	N/A	Essential	New contract	Capital one-off expenditure
		Southend Pier	Place	Sam Riddoch	Southend Pier - Condition Works Engineers (Inc. Re-tender of Pier Professional Services)	Scott Dolling	to be assigned	to be assigned	£1,615,000	Capital- C10697	New	New	New	New	N/A	Essential	New contract	Capital one-off expenditure
		Culture and Tourism	Place	Sam Riddoch	New Artist Studios	Scott Dolling	to be assigned	to be assigned	£805,000	Capital- C10973 & Grant	New	New	New	New	N/A	Optional	New contract	Capital one-off expenditure
		Parking	Place	To be assigned	Parking Guidance information and variable message signs	Richard Backhouse	Mark Churchill (SMART City links)	To be assigned	£800,000	Capital and Revenue	Dependant upon completion of the Parking Strategy	Dependant upon completion of the Parking Strategy	5	Yes	5	Essential	Swarco	30,000- ongoing revenue expenditure after capital investment
		Coastal Defence	Place	To be assigned	Coastal Defence Support	Richard Backhouse	To be assigned	To be assigned	£770,000	Capital	01/08/15	31/07/18	3+2	Yes	31/07/20	Essential	McDonald Highway Services Ltd	£110,000
		Works to Property	Place	to be assigned	Public Toilet Provision	Scott Dolling	to be assigned	to be assigned	£700,000	Capital- New	New	New	New	New	N/A	Essential	New contract	Capital one-off expenditure
		Culture	Place	To be assigned	Ground Maintenance Machinery	Graham Owen	To be assigned	To be assigned	£600,000	Revenue	01/04/14	31/03/2015- annual one-off contract	Various lease terms	Yes	Various Leases	Essential	Various lease arrangements	£600,000
		Culture	Place	To be assigned	Grounds Maintenance Machinery Spare Parts (Framework - 5 Lots)	Graham Owen	To be assigned	To be assigned	£550,000	Revenue	19/09/16	18/09/2019	3 + 2	Yes	18/09/21	Essential	Briggs Equipment UK Ltd Central Spares Ltd Spaldings Ltd Ernest Doe & Sons Ltd Hansa-Flex Hydraulics UK Ltd	£110,000
		Southend Pier	Place	Sam Riddoch	Southend Pier - Condition Works Surveyors	Scott Dolling	to be assigned	to be assigned	£518,000	Capital- C10918	New	New	New	New	N/A	Essential	New contract	Capital one-off expenditure
		Southend Pier	Place	Sam Riddoch	Southend Pier - Structural Works Inc. Timber Decking	Scott Dolling	to be assigned	to be assigned	£500,000	Capital- New	New	New	New	New	N/A	Essential	New contract	Capital one-off expenditure
		Works to Property	Place	to be assigned	Crematorium - Urgent Structural Repairs to Chimney	Scott Dolling	to be assigned	to be assigned	£500,000	Capital- New	New	New	New	New	N/A	Mandatory	New contract	Capital one-off expenditure
		Culture and Tourism	Place	Sam Riddoch	Property Refurbishment Programme	Scott Dolling	to be assigned	to be assigned	£337,000	Capital- C10626	New	New	New	New	N/A	Optional	New contract	Capital one-off expenditure
		Culture	Place	To be assigned	Parks nursery materials	Graham Owen	To be assigned	To be assigned	£320,000	Revenue	TBC	TBC	2+1+1	no	new	Optional	to be procured	£80,000
		Culture	Place	To be assigned	Golf Starters	Ian Brown	To be assigned	To be assigned	£300,000	Revenue	22/01/15	21/01/20	5+2	Yes	21/01/22	Optional	The School of Golf	£60,000
		Property	Place	To be assigned	Flood Risk Consultant	Neil Hoskins	To be assigned	To be assigned	£300,000	Revenue	10/10/16	09/10/19	3+1	Yes	09/10/20	Essential	AECOM Infrastructure & Environment UK Limited	£75,000
		Property	Place	To be assigned	De-icing salt (6mm Rock salt)	Imran Kasalbash	To be assigned	To be assigned	£300,000	Revenue	22/09/16	21/04/19	3+1	Yes	21/04/20	Essential	CompassMinerals UK Ltd.	£100,000
		Culture and Tourism	Place	to be assigned	Central Museum Works	Scott Dolling	to be assigned	to be assigned	£249,000	Capital- C10867	New	New	New	New	N/A	Essential	New contract	Capital one-off expenditure
		Culture	Place	To be assigned	Ground Maintenance Machinery Repairs and Maintenance (Framework)	Graham Owen	To be assigned	To be assigned	£240,000	Revenue	19/09/16	18/09/2019	3 + 2	Yes	18/09/21	Essential	Briggs Equipment UK Ltd P Tuckwell Ltd	£60,000
		Culture and Tourism	Place	to be assigned	Cliffs Pavilion - External Refurbishment works	Scott Dolling	to be assigned	to be assigned	£223,000	Capital- C10876	New	New	New	New	N/A	Essential	New contract	Capital one-off expenditure
		Culture and Tourism	Place	to be assigned	Cliffs Pavilion – Chiller	Scott Dolling	to be assigned	to be assigned	£170,000	Capital- C10971	New	New	New	New	N/A	Essential	New contract	Capital one-off expenditure
		Culture and Tourism	Place	to be assigned	Cliffs Pavilion - Power Supply Equipment	Scott Dolling	to be assigned	to be assigned	£170,000	Capital- New	New	New	New	New	N/A	Mandatory	New contract	Capital one-off expenditure
		Culture and Tourism	Place	to be assigned	Palace Theatre - Power Supply Equipment	Scott Dolling	to be assigned	to be assigned	£170,000	Capital- New	New	New	New	New	N/A	Mandatory	New contract	Capital one-off expenditure
		Works to Property	Place	to be assigned	Seaways - HCA Condition Funding	Scott Dolling	to be assigned	to be assigned	£170,000	Capital- C10656	New	New	New	New	N/A	Essential	New contract	Capital one-off expenditure
		Property	Place	To be assigned	Lift servicing & Maintenance (Pier Lift)	Steve Harris	To be assigned	To be assigned	£145,000	Revenue	01/04/15	31/03/20	5	Yes	31/03/20	Essential	Jacksons Lifts	£29,000
		Works to Property	Place	to be assigned	Replacement Boiler at Southend Crematorium	Scott Dolling	to be assigned	to be assigned	£129,000	Capital- C10866	New	New	New	New	N/A	Mandatory	New contract	Capital one-off expenditure
		Property	Place	To be assigned	Lift servicing & maintenance (Other)	Steve Harris	To be assigned	To be assigned	£125,000	Revenue	01/04/15	31/03/20	5	Yes	31/03/20	Essential	Reliable Elevators	£25,000

		FM	Place	To be assigned	Window Cleaning	Shona Rowe	Matthew White	To be assigned	£120,000	Revenue	23/06/2014	01/06/19	4 yrs + 6mths	Yes	Y (6 months)	Optional	F&G Cleaners	£30,000
		Culture and Tourism	Place	to be assigned	Cliffs Pavilion – Boiler Flues	Scott Dolling	to be assigned	to be assigned	£115,000	Capital- C10970	New	New	New	New	N/A	Mandatory	New contract	Capital one-off expenditure
		Culture and Tourism	Place	to be assigned	Asbestos- Theatres and Leisure Centres	Scott Dolling	to be assigned	to be assigned	£115,000	Capital- New	New	New	New	New	N/A	Mandatory	New contract	Capital one-off expenditure
		Culture and Tourism	Place	to be assigned	Energy Improvements in Culture Property Assets	Scott Dolling	to be assigned	to be assigned	£110,000	Capital- C10565	New	New	New	New	N/A	Optional	New contract	Capital one-off expenditure
		ICT	Place	To be assigned	Footfall cameras	Chris Burr	To be assigned	To be assigned	£105,000	Capital	01.08.2019	31.07.2022	3 years	no	new	Optional	to be procured	£35,000
		Property	Place	To be assigned	Electrical Fixed wire Testing (Council assets)	Michael Walsh	To be assigned	To be assigned	£100,000	Revenue	New	To be decided	TBC	No	New	Mandatory	New contract	£20,000
		Culture and Tourism	Place	to be assigned	Cliffs Pavilion – Auditorium Air Handling Unit	Scott Dolling	to be assigned	to be assigned	£90,000	Capital- C10969	New	New	New	New	N/A	Essential	New contract	Capital one-off expenditure
		Property	Place	To be assigned	Automatic Doors and Shutters	Property	To be assigned	To be assigned	£65,000	Revenue	01/04/15	31/03/20	5	Yes	N/A	Essential	Blakes	£13,000
		Property	Place	To be assigned	Generator Servicing	Property	To be assigned	To be assigned	£47,565	Revenue	01/04/15	31/03/20	5	Yes	N/A	Essential	GPS	£9,500
		Property	Place	To be assigned	Lift Servicing & Maintenance (Cliff Lift)	Steve Harris	To be assigned	To be assigned	£45,000	Revenue	01/04/15	31/03/20	5	Yes	31/03/20	Essential	Lift specialists	£9,000
		Works to Property	Place	to be assigned	62 Avenue Road - demolition	Scott Dolling	to be assigned	to be assigned	£44,000	Capital- C10922	New	New	New	New	N/A	Optional	New contract	Capital one-off expenditure
		Works to Property	Place	to be assigned	Civic East Car Park Redevelopment	Scott Dolling	to be assigned	to be assigned	£42,000	Capital- C10748	New	New	New	New	N/A	Optional	New contract	Capital one-off expenditure
		Property	Place	To be assigned	Pier Sprinkler System	Property	To be assigned	To be assigned	£36,850	Revenue	New	New	TBC	Yes	N/A	Essential	Hall and Kay	£7,300
		Culture and Tourism	Place	to be assigned	Inflatable Planetarium	Scott Dolling	to be assigned	to be assigned	£35,000	Capital- New	New	New	New	New	N/A	Optional	New contract	Capital one-off expenditure
		Culture and Tourism	Place	to be assigned	Prittlewell Prince Storage	Scott Dolling	to be assigned	to be assigned	£35,000	Capital- C10696	New	New	New	New	N/A	Optional	New contract	Capital one-off expenditure
		Works to Property	Place	to be assigned	East Beach Café Project	Scott Dolling	to be assigned	to be assigned	£32,000	Capital- C10644	New	New	New	New	N/A	Optional	New contract	Capital one-off expenditure
		Property	Place	To be assigned	Falls Arrest systems and stage lighting	Property	To be assigned	To be assigned	£30,875	Revenue	01/04/15	31/03/20	5	Yes	N/A	Essential	Zarafa	£6,000
		Culture and Tourism	Place	to be assigned	Prittlewell Prince Research	Scott Dolling	to be assigned	to be assigned	£25,000	Capital- C10043	New	New	New	New	N/A	Optional	New contract	Capital one-off expenditure
		Culture and Tourism	Place	to be assigned	Resorts Services signage	Scott Dolling	to be assigned	to be assigned	£25,000	Capital- C11007	New	New	New	New	N/A	Optional	New contract	Capital one-off expenditure
		Property	Place	To be assigned	Grease Extraction	Property	To be assigned	To be assigned	£24,290	Revenue	New	New	TBC	No	N/A	Essential	H2O Nationwide	£5,000
		Property	Place	To be assigned	Quantity Surveyors	Drew Jones	To be assigned	To be assigned	TBC	Revenue	TBC	TBC	3+1	no	new	Optional	to be procured	TBC
		Parking	Place	To be assigned	Uni-Square Car Park	Cheryl Hindle	To be assigned	To be assigned	TBC	Revenue	TBC	TBC	TBC	no	new	Optional	S.E.H	TBC

Primary Southend 2050 theme and E-Procurement ref	Secondary Southend 2050 theme/s	Category	Department (Strategic Director)	Procurement Lead	Title	Contract Manager or Budget requisitioner	Info Gov - DP contact	Named ICT Service Delivery Manager	Estimated value	Revenue, Capital or Income	Start date	Expiry date	Contract period	Tendered previously?	Option to extend till?	Mandatory, Essential, Optional Service	Suppliers	Estimated annual value
		Wellbeing	People	Emma Woof	DPS / Framework for Supported Living for Adults with a Learning Disability and Adults with a Mental health need	Suzanne Edey & Karen Peters	Richard Whitehead	to be assigned	£16,000,000	Revenue	01/07/18	30/06/22	48	No	30.06.2022	Essential	New Contract Supported Living placements purchased on a spot placement basis with a range of Social Housing and Private Providers	£4,000,000
		Property	People	Sam Riddoch	3 HRA Developments- Phase 3, 4 & MMC	Tim Holland	to be assigned	to be assigned	£12,425,000	HRA/Capital	01.04.2019	31.03.2022	3 years	No	No	Optional	To be procured	not applicable
		Property	South Essex Homes	Michael Bryant	Servicing & Maintenance. Of Gas Boilers	Paul Longman	Simon Putt	Richard Whitehead	£6,800,000	Revenue	01/04/14	31/03/19	5yrs +3yrs	Yes	Yes-3 years (3Y Ext.. Taken up commencing 01-04-19)	Mandatory	Aaron Services	£850,000
		Wellbeing	People/Public Health	Kasey Burke	Integrated Sexual Health Service	Osama Oluwadare	to be assigned	to be assigned	£6,560,000	Revenue	01/04/21	31/03/24	3yrs + 2	Yes	31/03/27	Mandatory	Southend Hospital (SUFHT) and Provide	£1,312,000
		Wellbeing	People	Suzie Clark	Provision of 21st Century Children's Centre services	Elaine Hammans	to be assigned	to be assigned	£6,184,000	Revenue	01.10.16	30.09.19	3+1+1+1	Yes	30.09.22	Essential	Family Action	£1,029,000
M1819-04		Property	South Essex Homes	Michael Bryant	Supply & Installation of New Boilers, Boiler Replacement and Upgrading of Existing Heating Systems	Paul Longman	Simon Putt	Richard Whitehead	£4,000,000	Capital	01/04/19	31/03/23	4yrs +1yr	Yes	Yes-1 year	Essential	TBA	£800,000
M1920-03		Wellbeing	People	Suzie Clark	Southend Treatment and Recovery Service	Jamie Pennycott	to be assigned	to be assigned	£3,520,833	Revenue	01/02/18	31/03/20	26+12	Yes	31/03/21	Mandatory	CGL Services Ltd.	£1,625,000
		Wellbeing	People	Emma Woof	Supported housing for adults with a mental health issue	Suzanna Edey	to be assigned	to be assigned	£2,727,600	Revenue	01.04.13	31.03.18	5+3	Yes	31.03.21	Essential	Richmond Fellowship	£299,342
		Community Safety	Place	to be assigned	CCTV Equipment Renewal	Carl Robinson	to be assigned	to be assigned	£2,440,000	Capital- C10894	New	New	New	New	n/a	Essential	New contract	One-off capital expenditure
		Wellbeing	People	Emma Woof	Provision of Autumn Cottage	Karen Peters	to be assigned	to be assigned	£2,316,184	Revenue	01.10.14	30.09.19	5+2	Yes	30.09.21	Essential	Outlook Care	£333,000
		Wellbeing	People	Suzie Clark	Domestic Abuse project	Angela Ejoh	to be assigned	to be assigned	£1,717,522	Revenue	01.02.17	31.01.2020	3+3	Yes	31.01.23	Essential	SOS Domestic Abuse Projects (SOSDAP)	£289,762
		Property	Place	to be assigned	Civic Centre Boilers	Scott Dolling	to be assigned	to be assigned	£1,300,000	Capital- C10980	New	New	New	New	n/a	Mandatory	New contract	One-off capital expenditure
M1920-07		Wellbeing	People	Suzie Clark	Children and Adolescents Emotional Wellbeing Service (CAEWS)	Angela Ejoh	to be assigned	to be assigned	£1,050,000	Revenue	01.11.2015	30/10/18	36+24	Yes	30/10/20	Mandatory	NELFT	£210,000
		Wellbeing	People	Suzie Clark	Supported housing: homeless and generic	Angela Ejoh	to be assigned	to be assigned	£1,014,488	Revenue	01.04.17	31.03.20	3+1+1+1	Yes	31.03.23	Essential	Sanctuary Supported Living	£169,081
		Wellbeing	People	Suzie Clark	Community Falls	Margaret Allen	to be assigned	Matthew White	£1,003,395	Revenue	01/04/16	31.03.19	36+24	Yes	31.03.2021	Optional	NELFT	£216,679
		Energy Saving	Place	Sam Riddoch	Solar PV Projects	Carl Robinson	to be assigned	to be assigned	£947,000	Capital- C10789	New	New	New	New	N/A	Optional	New contract	One-off capital expenditure
		Property	People	Sam Riddoch	Stairlifts SBC	Dave Halladay	to be assigned	to be assigned	£840,000	Capital, Revenue & Grant (DFG)	01.04.2020	31.03.2023	2+1+1	Yes	No	Mandatory	Stannah; Mobility Solutions (out of contract)	£210,000
		Wellbeing	People	Emma Woof	Carers services	Tracy Harris	to be assigned	to be assigned	£780,000	Revenue	01.10.2016	01.10.2018	24+12+12	Yes	01.10.2020	Mandatory	Southend Carers Forum	£195,000
		Energy Saving	Place	to be assigned	Energy Efficiency Projects	Carl Robinson	to be assigned	to be assigned	£759,000	Capital- C10788	New	New	New	New	N/A	Optional	New contract	One-off capital expenditure
		Wellbeing	People	Emma Woof	Healthwatch	Ingrid Harvey	to be assigned	to be assigned	£570,000	Revenue	01.10.16	30.09.18	24+24	Yes	30.09.2020	Mandatory	Family Action	£122,778
		Wellbeing	People	Suzie Clark	Management of Tier 4 and Pharmacy Services	Jamie Pennycott	to be assigned	to be assigned	£541,667	Revenue	01/02/18	31/03/20	26+12	Yes	31/03/21	Optional	CGL Services Ltd.	£250,000
		ICT	Finance and Resources	Michelle McMenemy	Revenues and Benefits	Richard Whitehead	To be assigned	To be assigned	£525,000	Revenue	01/04/11	31/03/20	7 yrs	Yes		Mandatory	Northgate	£75,000
M1920-06		Wellbeing	People	Suzie Clark	Supported housing for offenders	Elsa Moore	to be assigned	Richard Whitehead	£509,635	Revenue	13/10/14	12/10/19	36+24	Yes	12/10/19	Optional	Home Group	£101,927
M1415-01		Property	South Essex Homes	Michael Bryant	Lift Replacement Programme (Contracts may be split per scheme)	Paul Longman	Simon Putt	Richard Whitehead	£500,000	Capital	01/07/19	31/03/19	9 mths	New	No	Essential	TBA	£500,000
		Property	South Essex Homes	Michael Bryant	Landlords Lighting and Sub Mains	Paul Longman	Simon Putt	Richard Whitehead	£500,000	Capital	01/05/19	31/03/20	11 mths	New	No	Mandatory	TBA	£500,000
		Bereavement	Transformation	to be confirmed	Medical Examiners (Coroners)	Gary Green	to be assigned	Richard Whitehead	£500,000	Revenue	NEW	NEW	to be decided	N/A	N/A	Essential	TBC	New
		Wellbeing	People	Suzie Clark	Respite Care for CWD	Angela Ejoh	to be assigned	Mark Churchill	£465,000	Revenue	07/01/13	06/01/18	36+24	Yes	Expired	Essential	St Christopher's Cottage	£93,000
		Property	Place	To be assigned	Water Systems (Legionella)	Michael Walsh (Neil Pointer)	to be assigned	Matthew White	£425,000	Revenue	05/01/2015	31/12/20	3+2	Yes	2	Mandatory	H2O Nationwide	£85,000
DN228910		Property	South Essex Homes	Michael Bryant	Fire Door Replacement Works	Paul Longman	Simon Putt	Richard Whitehead	£400,000	Capital	01/08/19	31/03/21	1yr 8mths	New	No	Mandatory	TBA	£400,000
		Property	South Essex Homes	Michael Bryant	St Marys Court Refurbishment Works	Paul Longman	Simon Putt	Richard Whitehead	£400,000	Capital	01/07/19	31/03/20	9 mths	New	No	Essential	TBA	£400,000

		Community Safety	Place	to be assigned	Security Measures	Carl Robinson	to be assigned	to be assigned	£400,000	Capital- C10957	New	New	New	New	n/a	Essential	New contract	One-off capital expenditure
		Property	South Essex Homes	Michael Bryant	High Rise Blocks :Roof refurbishment (Contracts may be split per scheme)	Paul Longman	Simon Putt	Richard Whitehead	£375,000	Capital	01/08/19	28/02/19	7mths	New	No	Essential	TBA	£375,000
DN229018		Energy Saving	Place	Sam Riddoch	Schools and Council Buildings Solar PV	Carl Robinson	to be assigned	to be assigned	£346,000	Capital- C10740	New	New	New	New	N/A	Optional	New contract	One-off capital expenditure
		Property	South Essex Homes	Michael Bryant	Door Entry Maintenance & Servicing	Paul Longman	Simon Putt	Richard Whitehead	£330,000	Revenue	01/04/20	31/03/23	2yrs +1yr	New	Yes+1	Essential	TBA	£110,000
		ICT	Place	To be assigned	Archive Service	Sharon Wheeler	to be assigned	Richard Whitehead	£325,000	Revenue	01/05/14	01/05/19	5 years	Yes	Option to extend as currently with ECC who are another public body	Essential	Essex Record Office	£65,000
		Wellbeing	Public Health	Suzie Clark	NHS Outreach Health Checks	Erin Brennan-Douglas	to be assigned	Matthew White	£281,250	Revenue	01/04/15	31/03/20	36+24	Yes	31/03/20	Optional	Anglian Community Enterprise (ACE) CIC	£56,250
SBCPO01		Wellbeing	People	Suzie Clark	Young People's Drug and Alcohol Team	Jamie Pennycott	to be assigned	to be assigned	£265,000	Revenue	01/03/08	31/03/19	12	No	N/A - it has been agreed by Head of Children's Services that this service needs to be market-	Mandatory	Southend Borough Council	£265,000
SBCPO07		Property	South Essex Homes	Michael Bryant	Emergency Lighting System Service & Maintenance	Paul Longman	Simon Putt	Richard Whitehead	£260,000	Revenue	01/04/19	31/03/22	3yrs +1yr	New	Yes+1	Mandatory	TBA	£65,000
		Culture and Tourism	Place	To be assigned	Wheeled Sports Facility Central Southend Area	Scott Dolling	to be assigned	to be assigned	£248,000	Capital- C10966	New	New	New	New	N/A	Optional	TBA	One-off capital expenditure
SBCPO25		Wellbeing	People	Suzie Clark	Children and Young People's Advocacy	Angela Ejoh	to be assigned	to be assigned	£206,915	Revenue	31.10.16	30.10.18	24+24	Yes	31.10.2020	Mandatory (Care Act)	NYAS	£45,981
SBCPO50		Asset Management	Finance and Resources	Sam Riddoch	Energy Act Improvement Measures	Alan Richards	to be assigned	Terry Withers	£200,000	Capital	not placed yet	n/a	projects to be individually tendered	not yet	tbc	Essential	TBC	New
SBCPO10		Property	South Essex Homes	Michael Bryant	Stairlift, Steplift and Homelift Service and Maintenance	Paul Longman	Simon Putt	Richard Whitehead	£175,000	Revenue	01/04/19	31/03/24	5yrs +2yrs	Yes	Yes-2 years	Essential	TBA	£25,000
SBCPO32		Wellbeing	People	Emma Woof	Specialist Welfare Advice	Karen Peters	to be assigned	Mark Churchill	£168,630	Revenue	01/04/08	31/03/18	120	No	Expired	Essential	CAB	£16,863
SBCPO65		Property	South Essex Homes	Michael Bryant	Water monitoring	Paul Longman	Simon Putt	Richard Whitehead	£168,000	Capital	01/04/19	31/03/23	4yrs +2yrs	Yes	Yes+2 years	Mandatory	TBA	£28,000
SBCPO63		Property	South Essex Homes	Michael Bryant	Rebuild front porches	Paul Longman	Simon Putt	Richard Whitehead	£160,000	Capital	01/07/19	31/03/20	9 mths	New	No	Essential	TBA	£160,000
SBCPO08		Property	South Essex Homes	Michael Bryant	Tower Blocks:Drainage Refurbishment	Paul Longman	Simon Putt	Richard Whitehead	£150,000	Capital	01/07/19	31/03/22	2yrs 9mths	New	No	Essential	TBA	£50,000
SBCPO72		Transport	Transformation	Gillian Shine	IMA Blue Badge Applications	Anne Warburton/Gemma Loizou	to be assigned	to be assigned	£146,500	Revenue	01/03/17	28/02/20	3 + 2	Y	28/02/22	Essential	Able 2	£29,300
		Property	South Essex Homes	Michael Bryant	Water Main Replacement	Paul Longman	Simon Putt	Richard Whitehead	£125,000	Capital	01/07/19	31/03/20	9 mths	New	No	Essential	TBA	£125,000
		Property	South Essex Homes	Michael Bryant	Boiler Room Upgrades (Contracts may be split per scheme)	Paul Longman	Simon Putt	Richard Whitehead	£120,000	Capital	01/08/19	30/09/19	2 mths	New	No	Essential	TBA	£120,000
		ICT	People	Michelle McMenemy	Equipment Store	To be assigned	To be assigned	To be assigned	£105,000	Revenue	27/04/04	31/03/20	15 yrs	Yes		Essential	Ethitec	£7,000
C10685		Property	South Essex Homes	Michael Bryant	Water monitoring equipment	Paul Longman	Simon Putt	Richard Whitehead	£100,000	Capital	01/04/19	31/03/20	1 yr	New	No	Essential	TBA	£100,000
		Wellbeing	Public Health	Suzie Clark	Public Responsibility Deal	Angela Squires	to be assigned	to be assigned	£90,000	Revenue	01.06.2017	31.05.2020	3 years	Yes	No	Optional	Various- framework open to all access	£22,500
		Property	South Essex Homes	Michael Bryant	Lift Installation Adams Elm House	Paul Longman	Simon Putt	Richard Whitehead	£85,000	Capital	01/04/19	30/06/19	3 mths	New	No	Essential	TBA	£85,000
		Property	South Essex Homes	Michael Bryant	Consultant - Lift Refurb, Design & Supervision	Paul Longman	Simon Putt	Richard Whitehead	£75,000	Capital	01/04/19	31/03/24	5yrs	New		Essential	TBA	£15,000
		Property	Place	To be assigned	Air Conditioning (all sites)	Jo Bell	to be assigned	Matthew White	£75,000	Revenue	01/04/2014	31/03/19	3 + 2	Yes	2	Mandatory- will be let early in 2019/20	Cool Control	£15,000
		Energy Saving	Place	to be assigned	Real Time Air Quality Measurement - Feasibility	Carl Robinson	to be assigned	to be assigned	£65,000	Capital- C10958	New	New	New	New	N/A	Optional	New contract	One-off capital expenditure
		Property	South Essex Homes	Michael Bryant	Wall finishes	Paul Longman	Simon Putt	Richard Whitehead	£60,000	Capital	01/08/19	31/03/20	8mths	New	No	Essential	TBA	£60,000
		ICT	People	Michelle McMenemy	LAC School Attendance Monitoring	Mark Churchill	To be assigned	To be assigned	£60,000	Revenue	01/07/13	01/04/20	7 yrs	Yes		Mandatory	Welfare Call	£10,000
		Asset Management	Finance and Resources	Sam Riddoch	Energy Act Surveys and EPCs	Alan Richards	to be assigned	Terry Withers	£50,000	Revenue	not placed yet	n/a	5 years	not yet	tbc	Essential	TBC	£10,000
		Property	South Essex Homes	Michael Bryant	Replacement Water Tanks	Paul Longman	Simon Putt	Richard Whitehead	£50,000	Capital	01/07/19	31/03/20	9mths	New	No	Essential	TBA	£50,000
		Culture and Tourism	Place	to be assigned	Belfair Swim Centre	Scott Dolling	to be assigned	to be assigned	£42,000	Capital- C10623	New	New	New	N/A	N/A	Essential	TBA	One-off capital expenditure
		Property	South Essex Homes	Michael Bryant	Sprinkler Upgrade Works	Paul Longman	Simon Putt	Richard Whitehead	£35,000	Capital	01/08/19	31/03/20	8 mths	New	No	Mandatory	TBA	£35,000
		Property	South Essex Homes	Michael Bryant	Demolition of garages for new build	Paul Longman	Simon Putt	Richard Whitehead	£25,000	Capital	01/08/19	30/09/19	2mths	New	No	Essential	TBA	£25,000



		Wellbeing	People	Suzie Clark	Refresh Spot Provider Framework	Karen Peters	to be assigned	Richard Whitehead	Package dependent	Revenue	01/05/17	30/04/21	48	Yes	30/04/21	Essential	To be Procured if required	This is to deliver requirements if the locality providers are unable to
		Wellbeing	People	Emma Woof	Discharge to Assess	Paul Mavin	to be assigned	to be assigned	£50,000	Revenue	01/08/18	31/01/19	6	Yes - Pilot	30/04/19	Essential	Astral Lodge	£100,000
		Wellbeing	People	Emma Woof	Telecare Response Service	Karen Peters	to be assigned	to be assigned	£60,000pa	Revenue	2007	expired- requires procurement		No	n/a	Essential	Ashley Care	£60,000
		Wellbeing	People	Emma Woof	Pilot Nights	Nick Constantine	to be assigned	to be assigned	If all 4 packages of care are utilised for every night of the year the maximum cost would be 162k	Revenue	Feb-16	01/07/2016- requires procurement	6	Yes but only for a pilot	n/a	Essential	Ashley Care	Up to £162,000
		Wellbeing	People	Emma Woof	7-7 service	Nick Constantine	to be assigned	to be assigned	£31,200	Revenue	Jan-17	requires procurement		Yes- only for a pilot	n/a	Essential	Ashley Care	£31,200
		Wellbeing	People	Emma Woof	Carers Emergency Respite	Integrated Commissioning	to be assigned	to be assigned	£15,000pa	Revenue		requires procurement		Yes	n/a	Essential	Ashley Care	£15,000

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Primary Southend 2050 theme and E-Procurement ref	Secondary Southend 2050 theme/s	Category	Department (Strategic Director)	Procurement Lead	Title	Contract Manager or Budget requisitioner	Info Gov - DP contact	Named ICT Service Delivery Manager	Estimated value	Revenue, Capital or Income	Start date	Expiry date	Contract period	Tendered previously?	Option to extend till?	Mandatory, Essential, Optional Service	Suppliers	Estimated annual value
		ICT	Finance and Resources	Michelle McMenemy	Lot 1- Transactional Printing and Hybrid Mail	Mark Murphy	To be assigned	To be assigned	£1,008,000	Revenue	01/03/2017	29/02/2020	3yr +1yr	Yes	Yes	Essential	Ricoh	£252,000
		ICT	Place	Michelle McMenemy	MFD's (Machine Purchase and maintenance)	Mark Murphy	To be assigned	To be assigned	£516,000	Revenue	01/03/2017	29/02/2020	3 yrs	Yes	No	Essential	Ricoh	£172,000
		ICT	Place	Michelle McMenemy	Bespoke Printing	Mark Murphy	To be assigned	To be assigned	£220,000	Revenue	01/03/2017	31/03/2020	3 yrs	Yes	No	Essential	Formara	£110,000
		Culture and Tourism	Place	To be assigned	Allotments Water Supply Upgrade	Scott Dolling	To be assigned	To be assigned	£149,000	Capital- C10967	New	New	New	New	N/A	Essential	New contract	One-off capital expenditure
		Culture and Tourism	Place	To be assigned	Playground Gates	Scott Dolling	To be assigned	To be assigned	£123,000	Capital- C10779	New	New	New	New	N/A	Essential	New contract	One-off capital expenditure
		Transport	Place	To be assigned	ForwardMotion rollout into wider Essex (SEAT programme)	Ashley Dalton	To be assigned	To be assigned	£80,000	Grant Capital	01.06.19	31.03.2020	10 months	No	No	Optional	New contract	One-off capital expenditure
		Culture and Tourism	Place	To be assigned	Replacement and Upgrade of Parks Furniture	Scott Dolling	To be assigned	To be assigned	£74,000	Capital- C10879	New	New	New	New	N/A	Essential	New contract	One-off capital expenditure
		Culture and Tourism	Place	To be assigned	Sidmouth Park - Replacement of Play Equipment	Scott Dolling	To be assigned	To be assigned	£57,000	Capital- C10880	New	New	New	New	N/A	Essential	New contract	One-off capital expenditure
		Transport	Place	To be assigned	Active Travel Challenge Programme	Ashley Dalton	To be assigned	To be assigned	£45,000	Grant Capital	01.06.19	31.03.2020	10 months	No	No	Optional	New contract	One-off capital expenditure
		Culture and Tourism	Place	to be assigned	Kiosks in Libraries	Scott Dolling	To be assigned	to be assigned	£40,000	Capital	New	New	New	New	N/A	Optional	New contract	One-off capital expenditure

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Primary Southend 2050 theme and E-Procurement ref	Secondary Southend 2050 theme/s	Capital Project Code	Category	Department	Procurement Lead	Contract Manager or Budget Requisitioner	Title	Named ICT Service Delivery Manager	Info Gov - DP contact	Estimated value	Revenue, Capital or Income	Start date	Expiry date	Contract period	Tendered previously?	Option to extend till?	Mandatory, Essential, Optional Service	Supplier/s	Estimated annual value
		C10261	Enterprise and Regeneration	Place	Darryl Mitchell	Alan Richards	Airport Business Park (Inc. Local Growth Fund)	David Cummings	to be assigned	£29,018,000	Capital	New	New	New	New	N/A	Essential	New contract	One-off capital expenditure
		C10979	Culture and Tourism	Place	To be assigned	Scott Dolling	Forum II – SBC Match Funding to LGF	To be assigned	to be assigned	18,950,000	Capital	New	New	New	New	N/A	Mandatory	New contract	One-off capital expenditure
		N/A	Economic Development	Place	To be assigned	Chris Burr	SEBB V2- business support workshops	To be assigned	To be assigned	£5,000,000	Grant Capital	Autumn 2019 (depending on bid timescales)	TBC	TBC	Yes	TBC	Optional- will utilise MHCLG grant funding	New contract	TBC
		N/A	Finance and Resources	Finance and Resources	Sam Riddoch	Bridgette Cowley	Enforcement Agent and Debt Recovery	to be assigned	to be assigned	£2,800,000	Debt Recovery	01/07/20	30/06/24	2+1+1	Y	31/07/20	Essential	Marston; Newlyn	£700k fees
		C10974	Culture and Tourism	Place	to be assigned	Scott Dolling	Fire Improvement Works	to be assigned	to be assigned	£500,000	Capital	New	New	New	New	N/A	Mandatory	New contract	One-off capital expenditure
		New	Schools Capital Programme	People	to be assigned	Brin Martin	Chalkwell Hall Infants Energy Project	to be assigned	to be assigned	£300,000	Capital	New	New	New	New	N/A	Optional	New contract	One-off capital expenditure
		C10964	Culture and Tourism	Place	to be assigned	Scott Dolling	Shoebury Common Regeneration	to be assigned	to be assigned	£250,000	Capital	New	New	New	New	N/A	Essential	New contract	One-off capital expenditure
		C10984	Schools Capital Programme	People	to be assigned	Brin Martin	Fairways Primary curtain walling	to be assigned	to be assigned	£240,000	Capital	New	New	New	New	N/A	Mandatory	New contract	One-off capital expenditure
		C10624	Culture and Tourism	Place	to be assigned	Scott Dolling	Library Review	to be assigned	to be assigned	£179,000	Capital	New	New	New	New	N/A	Optional	New contract	One-off capital expenditure
		New	Schools Capital Programme	People	to be assigned	Brin Martin	West Leigh Infant Boiler	to be assigned	to be assigned	£160,000	Capital	New	New	New	New	N/A	Mandatory	New contract	One-off capital expenditure
		C10988	Schools Capital Programme	People	to be assigned	Brin Martin	Chalkwell Hall Infants replace relocatables (SBC 50%)	to be assigned	to be assigned	£109,000	Capital	New	New	New	New	N/A	Essential	New contract	One-off capital expenditure
		C10987	Schools Capital Programme	People	to be assigned	Brin Martin	Chalkwell Hall Juniors roofs	to be assigned	to be assigned	£100,000	Capital	New	New	New	New	N/A	Mandatory	New contract	One-off capital expenditure
		C10985	Schools Capital Programme	People	to be assigned	Brin Martin	Eastwood Primary roof	to be assigned	to be assigned	£50,000	Capital	New	New	New	New	N/A	Mandatory	New contract	One-off capital expenditure
		N/A	Economic Development	Place	To be assigned	Chris Burr	Launch Pad Operator	Terry Withers	To be assigned	Will be a property lease arrangement	Income	New	New	Long-term lease	New	Y	Essential	New contract	N/A- Rental/Lease agreement
		N/A	Asset Management	Finance and Resources	to be confirmed	Alan Richards	Business Rates Appeals Contract	Terry Withers	To be assigned	variable depending on savings delivered- will return to the market and re-tender after new legislation has settled	Revenue	01/12/11	01/12/2018 (continuing to allow new legislation to embed)	7 years	Yes via framework	No	Optional	GVA	Only paid a % fee on saving

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Primary Southend 2050 theme and E-Procurement ref	Secondary Southend 2050 theme/s	Capital Project code	Category	Department or Strategic Director	Procurement Lead	Title	Contract Manager or Budget Requisitioner	Named ICT Service Delivery Manager	Info Gov - DP contact	Estimated lifetime contract value (including extensions)	Revenue, Capital or Income funded	Start date	Expiry date	Contract period	Tendered Previously?	Option to extend till	Mandatory, Essential, Optional Service	Current Supplier/s	Estimated annual value
		C10699	Highways and Infrastructure	Place	Sam Riddoch	Local Growth Fund - A127 Growth Corridor Essential Maintenance and The Bell – spring May/June 2018	Peter Geraghty	to be assigned	to be assigned	£10,417,000	Capital	May/June 2019	Mar-21	New	New	New	Essential	New	One-off capital expenditure
		N/A	ICT	Place	Michelle McMenemy	Enhancement of 214 circuits to full fibre	Nick Corrigan	N/A	To be assigned	£4,500,000	Capital	New	to be decided	to be decided	New	n/a	Optional	New	One-off project
		C10702	Highways and Infrastructure	Place	Sam Riddoch	Local Growth Fund - Southend Central Area Action Plan (SCAAP) Growth Point (Transport)	Peter Geraghty	to be assigned	to be assigned	£4,000,000	Capital	Oct-19	Mar-21	New	New	New	Essential	New	One-off capital expenditure
		C10058	Highways and Infrastructure	Place	Sam Riddoch	Southend Transport Model- (3 Projects) Electrical Vehicle Charging Points, Traffic Surveys and Integrated Transport VMS	Peter Geraghty	to be assigned	to be assigned	£1,175,000	Capital	Apr-19	Mar-21	New	New	New	Essential	New	One-off capital expenditure
		N/A	ICT	Place	Michelle McMenemy	Veeam Backup Solution	David Cummings	N/A	To be assigned	£1,120,000	Revenue	24/12/14	31/01/20	5 yrs	Yes		Essential	Galtec Solutions Ltd.	£280,000
		N/A	ICT	Place	Michelle McMenemy	SIP Communications Protocol	Mark Churchill	N/A	To be assigned	£645,000	Revenue	05/02/16	04/10/19	3 yrs + 8mths	Yes		Essential	Daisy/Updata	215,000
		N/A	Transport	Transformation	Gillian Shine	Repairs & Maintenance (vehicles) contract	Anne Warburton	Terry Withers	to be assigned	£520,000	Revenue	01/07/16	30/06/19	3 yrs	Yes	1+1	Essential	Castlepoint motors	£104,000
		New	Works to Property	Place	to be assigned	Civic Campus - Efficient Use of Space	Scott Dolling	to be assigned	to be assigned	£500,000	Capital	New	New	New	New	New	Essential	New	One-off capital expenditure
		N/A	Transport	Transformation	Gillian Shine	Fuel Cards	Anne Warburton/Gemma Loizou	Richard Whitehead	to be assigned	£400,000	Revenue	21/04/16	20/04/20	3+1	Y (Direct Award via CCS Framework)	20/04/20	Essential	Fuel Card Services Ltd	£100,000
		C10904	ICT	Place	Michelle McMenemy	ICT - Southend Operation/Data Centre	Nick Corrigan	to be assigned	to be assigned	£400,000 (a further £2m capital may be requested depending upon an approved business case)	Capital	New	New	New	New	New	Essential	New	One-off capital expenditure
		C10576	ICT	Place	to be assigned	ICT Rolling Replacement Programme	Nick Corrigan	to be assigned	to be assigned	£250,000	Capital	New	New	New	New	New	Essential	New	One-off capital expenditure
		C10580	ICT	Place	to be assigned	IoT Smart City Delivery	Nick Corrigan	to be assigned	to be assigned	£233,000	Capital	New	New	New	New	New	Essential	New	One-off capital expenditure
		C10767	ICT	Place	to be assigned	N3 Connectivity in Civic Building	Nick Corrigan	to be assigned	to be assigned	£231,000	Capital	New	New	New	New	New	Essential	New	One-off capital expenditure
		N/A	ICT	Place	Michelle McMenemy	Datacentre	David Cummings	N/A	To be assigned	£230,000	Revenue and Capital	New	New	to be decided	New	n/a	Optional	New	Tender being published by CCS
		N/A	ICT	Transformation	Michelle McMenemy	Registration Entry Gateway System	To be assigned	N/A	To be assigned	£220,000	Revenue	10/08/15	09/08/20	3 yrs	Yes	n/a	Essential	Microform Imaging Ltd.	£73,000
		N/A	ICT	Place	Michelle McMenemy	GIS Mapping	Matthew White	N/A	To be assigned	£180,000	Revenue	01/07/08	30/12/19	10.5 yrs	Yes	n/a	Mandatory	ESRI UK	Maintenance contract renewed
		C10898	ICT	Place	to be assigned	Central Government ICT Security Compliance	Nick Corrigan	to be assigned	to be assigned	£139,000	Capital	New	New	New	New	New	Mandatory	New	One-off capital expenditure
		N/A	ICT	Place	Michelle McMenemy	Re-procurement of S&M services for DC equipment	David Cummings	N/A	To be assigned	£120,000	Revenue	New	to be decided	to be decided	New	n/a	Optional	New	£120,000
		N/A	ICT	Place	Michelle McMenemy	Consultancy	Nick Corrigan	N/A	To be assigned	£100,000	Dept. of Transport Grant if successful	New	New	to be decided	New	n/a	Optional	New	Use Boom Framework for Consultancy
		N/A	ICT	Place	Michelle McMenemy	Man and Machine contract review	Matt White	N/A	To be assigned	£85,000	Revenue	01/04/14	31/03/20	6 yrs	Yes		Essential	Man and Machine	£17,000
		C10895	ICT	Place	to be assigned	Core Application and Database Migration	Nick Corrigan	to be assigned	to be assigned	£71,000	Capital	New	New	New	New	New	Essential	New	One-off capital expenditure
		New	ICT	Place	Michelle McMenemy	Software	Nick Corrigan	Matthew White	To be assigned	£70,000	Capital	01/08/19	31/07/24	3yr +1yr + 1yr	New	n/a	Essential	New	£13,400
		C11002	ICT	Place	to be assigned	Extending Wi-Fi in Council Premises	Nick Corrigan	to be assigned	to be assigned	£70,000	Capital	New	New	New	New	New	Essential	New	One-off capital expenditure
		C11008	ICT	Place	to be assigned	Disaster Recovery Relocation	Nick Corrigan	to be assigned	to be assigned	£55,000	Capital	New	New	New	New	New	Essential	New	One-off capital expenditure
		New	ICT	Place	to be assigned	Remote working enhancements	Nick Corrigan	to be assigned	to be assigned	£50,000	Capital	New	New	New	New	New	Essential	New	One-off capital expenditure

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Appendix 2- £1m + Contracts on the 2019/20 Annual Procurement Plan

Primary Southend 2050 Theme	Secondary Southend Theme/s	Department or Strategic Director	Title	Estimated lifetime contract value (including extensions)	Revenue, Capital or Income funded
		Place	Airport Business Park (Inc. Local Growth Fund)	£29,018,000	Capital
		People	DPS / Framework for Supported Living for Adults with a Learning Disability and Adults with a Mental health need	£16,000,000	Revenue
		People	3 HRA Developments- Phase 3, 4 & MMC	£12,425,000	HRA/Capital
		Place	Local Growth Fund - A127 Growth Corridor Essential Maintenance and The Bell – spring May/June 2019	£10,417,000	Capital
		Place	Southend Pier - Timber Outer Pier Head	£7,992,000	Capital
		South Essex Homes	Servicing & Maintenance. Of Gas Boilers	£6,800,000	Revenue
		People and Public Health	Integrated Sexual Health Service	£6,560,000	Revenue
		People	Provision of 21st Century Children's Centre services	£6,184,000	Revenue
		Place	SEBB V2- business support workshops	£5,000,000	Grant Capital
		Place	Enhancement of 214 circuits to full fibre	£4,500,000	Capital
		Place	Local Growth Fund - Southend Central Area Action Plan (SCAAP) Growth Point (Transport)	£4,000,000	Capital
		South Essex Homes	Supply & Installation of New Boilers, Boiler Replacement and Upgrading of Existing Heating Systems	£4,000,000	Capital
		People	Southend Treatment and Recovery Service	£3,520,833	Revenue
		Place	Repair & Maintenance of Public Buildings Inc. Minor Works & Foreshore (Commercial Property Maintenance and Property Refurbishment Programme as detailed on Capital prog.)	£3,500,000	Revenue and Capital
		Place	Southend Pier - Replacement of Pier Trains	£3,250,000	Capital
		Finance and Resources	Enforcement Agent and Debt Recovery	£2,800,000	Debt Recovery (% fee)
		People	Supported housing for adults with a mental health issue	£2,727,600	Revenue
		Place	Arboriculture Services (Lot 1: Term Contractor) (Lot 2 Approved List)	£2,653,000	Revenue
		Place	CCTV Equipment Renewal	£2,440,000	Capital- C10894
		People	Provision of Autumn Cottage	£2,316,184	Revenue
		Place	Southend Pier - Prince George Extension (Phase Two)	£2,308,000	Capital- C10905
		Place	Operations Centre/Data Warehouse	£2,000,000	Capital
		People	Domestic Abuse Project	£1,717,522	Revenue
		Place	Southend Pier - Condition Works Engineers (Inc. Re-tender of Pier Professional Services)	£1,615,000	Capital- C10697
		Place	Civic Centre Boilers	£1,300,000	Capital- C10980
		Place	Southend Transport Model- (3 Projects) Electrical Vehicle Charging Points, Traffic Surveys and Integrated Transport VMS	£1,175,000	Capital
		Place	Veeam Backup Solution	£1,120,000	Revenue
		People	Children and Adolescents Emotional Wellbeing Service (CAEWS)	£1,050,000	Revenue
		People	Supported housing: homeless and generic	£1,014,488	Revenue
		Finance and Resources	Lot 1- Transactional Printing and Hybrid Mail	£1,008,000	Revenue
		People	Community Falls	£1,003,395	Revenue

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### **4.3 The Chief Executive and / or Strategic Director (Transformation)**

- To make, revoke or amend Human Resources Policies, in consultation with the Chief Executive and after consultation with the Trade Unions if appropriate, save that where the Chief Executive determines that the issues involved are significant (including but not limited to changes to disciplinary and grievance procedures), then the decision shall be for Cabinet.
- To agree gradings of new posts with the appropriate Chief Officer.
- To deal with Council communications and press releases.
- ~~To determine applications for in-year grants in accordance with the agreed criteria, following consultation with the members of the Grants Strategy Working Party.~~
- To pay salaries, wages, performance related pay, honoraria and other gratuities (the Strategic Director (Finance & Resources) also has this delegated power).
- To deal with organisational transformation, save that strategic decisions shall be a matter for Cabinet.
- To deal with all matters relating to the Customer Service Centre.
- To discharge the Council's functions (including but not limited to determining all consents, permissions and licences and taking enforcement action) in relation to:
  - Cemeteries and crematoria
  - The Registration of Births, Deaths and Marriages, and civil ceremonies, including premises for Civil marriages
  - Transport services
- See also section 5.2 for Special Scheme of Delegation for Cemeteries and Crematorium

### **4.8 The Deputy Chief Executive (People) and / or the Director of Strategy & Commissioning**

- To discharge the Council's functions relating to:-
  - Corporate Commissioning including determining grant applications in accordance with the Council's Commissioning Framework
  - Commissioning for Public Health
  - Joint Commissioning, including with the CCG
  - ~~Corporate procurement.~~ *[This now comes under the Strategic Director (Finance & Resources) and will be added to Delegation 4.4]*

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**AS WE** move into the first five years of our journey to achieving the 2050 vision for Southend, it is essential that providers in adult community care and health services understand how they can participate in the development and delivery of outcome focused services. Our Market Position Statement provides all the necessary links for this to happen.

The Southend 2050 roadmap and strategic delivery plan sets out the outcomes residents want to see achieved in the next five years. All future commissioned services will be assessed in relation to their ability to contribute to the delivery of the 2050 outcomes. I look forward to working with you on our journey.

**ALISON GRIFFIN, CHIEF EXECUTIVE,**  
SOUTHEND-ON-SEA BOROUGH COUNCIL



## SOUTHEND 2050 *it all starts here*

Our ambition for Southend 2050 starts with five key themes

### PRIDE & JOY

Southenders will be fiercely proud of, and go out of their way, to champion what our city has to offer.

### SAFE & WELL

People in Southend-on-Sea feel safe in all aspects of their lives and are well enough to live fulfilling lives.

### ACTIVE & INVOLVED

We have a thriving, active and involved community that feel invested in our city.

### OPPORTUNITY & PROSPERITY

Southend-on-Sea is a successful city and we share our prosperity amongst all of our people.

### CONNECTED & SMART

People can easily get in, out and around our borough and we have a world class digital infrastructure.

## Who is the Market Position Statement For?

The MPS promotes opportunities to:

- Existing providers of adult community care services and health related services in Southend-on-Sea and Castle point and Rochford;
- Community Care providers and organisations not currently active in Southend-on-Sea;
- Voluntary and Community Organisations as well as people interested in local business development and social enterprises;
- Private providers;
- Southend residents who are interested in co-producing services

## What do providers need to know?

- Our Southend 2050 ambition (<https://democracy.southend.gov.uk>)
- Locality working (<https://bit.ly/2sjRMbc>)
- Multi-Disciplinary Team working (MDTs)
- Alignment with the Sustainability and Transformation Plan (STP) ([www.nhsmidandsouthessex.co.uk](http://www.nhsmidandsouthessex.co.uk))

## Why do we need a Market Position Statement?

- The Care Act 2014
- The NHS 10 year plan
- To encourage commissioners, people who use services, carers and provider organisations to work together to explain what services and support is needed in the area and why

Local businesses and start ups can access support, grants, training and much more. Contact our Economic Development team via [economicd@southend.gov.uk](mailto:economicd@southend.gov.uk) or visit the website [www.businesssonsea.co.uk](http://www.businesssonsea.co.uk)

Our performance against the Adult Social Care outcomes Framework can be reviewed on <http://ascf.hscic.gov.uk>



For further information on our social value policy please follow this link [www.southend.gov.uk/info/200372/our\\_community](http://www.southend.gov.uk/info/200372/our_community)

For links to our annual procurement plan, electronic procurement portal and Contracts finder, visit:

[www.southend.gov.uk/info/200358/procurement\\_and\\_contracts/481/tender\\_opportunities](http://www.southend.gov.uk/info/200358/procurement_and_contracts/481/tender_opportunities)

This link provides access to our

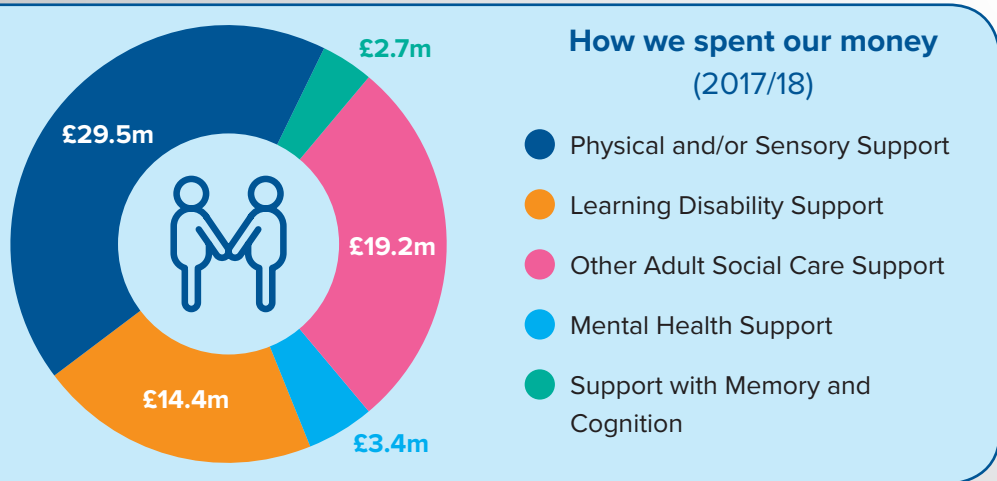
- Cabinet approved Annual Procurement Plan
- Our Electronic Procurement portal where suppliers can register and therefore receive notification of tendering opportunities. The portal also contains our Council Contracts Register so suppliers can plan for future opportunities
- Link for Contracts Finder which is a UK site where the public sector have to publish opportunities with a value over £25k (£10k for Central Government) and where suppliers can register – market engagement events will also be published via this site



European Opportunities are published on (OJEU): [www.ojeu.eu](http://www.ojeu.eu)

The table below is an example of our Adult Social Care procurement Plans for 2019/20 – this includes contract extensions, new and remodelled services and tender opportunities

<p><b>Supported housing pathway for adults with a mental health condition</b> extended for one year to March 2019 with option to extend for further 2 years.</p>	<p>3 year contract awarded for new <b>Adult Advocacy Hub</b> service starts April 2019.</p> 
<p><b>Recovery College and Mental Health Wellbeing Café</b> – joint procurement in progress with Southend and Castle Point &amp; Rochford CCGs.</p>	<p><b>Supported housing pathway for adults with a learning disability</b> extended to September 2019, with options to extend further subject to review of service provision.</p>
<p><b>West street – supported living for people with a learning disability.</b> A procurement process will commence late 2018. Current term ends May 2019.</p>	<p>A Remodelled <b>Floating support</b> service to reduce debt and prevent homelessness launches April 2019.</p> 
<p>Options on the <b>Carers Hub</b> contract are due for review October 2019</p>	<p><b>Supported housing for offenders</b> extended until October 2019 – a procurement process will commence during that time frame.</p> 
<p>A new <b>Integrated Sexual Health service</b> launches 2019.</p>	



Visit our website [www.southend.gov.uk](http://www.southend.gov.uk) for links to published JSNA documents, the **Local Account**, population data, our **Contracts Register** and our **procurement intentions and latest opportunities for other commissioned services**, for example children’s services, ICT and digital, Leisure, Regeneration, transport, printing

During the year we will consult with providers to understand how this Market Position Statement contributes to understanding and development of services. If you have suggestions on what else you would like to see, we would welcome your feedback to inform future iterations of our Market Position Statement. Please email [procurementops@southend.gov.uk](mailto:procurementops@southend.gov.uk) if you wish to submit feedback.

# Southend-on-Sea Borough Council

Agenda  
Item No.

Report of Deputy Chief Executive (People)

To

Cabinet

On

12<sup>th</sup> March 2019

Report prepared by: Glyn Halksworth, Interim Director of  
Housing

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## South Essex Homes Housing Management Partnership Agreement

Relevant Scrutiny Committee: Policy & Resources

Cabinet Member: Councillor Cox

Part 1 (Public Agenda Item)

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### 1. Purpose of Report

- 1.1 This report sets out officer recommendations for the extension of the existing Partnership Agreement between Southend Council and South Essex Homes and the continued development of the successor Agreement, together with timescales for this work.

### 2. Recommendations

- 2.1 That Cabinet agrees the extension to the current Partnership Agreement between Southend-on-Sea Borough Council and South Essex Homes and to concurrent development of a new agreement as detailed below.
- 2.2 That a new Housing Management Partnership Agreement is placed before Cabinet in September 2019 for approval.

### 3. Background

- 3.1 South Essex Homes (SEH) was originally set up as an Arms-Length Management Organisation (ALMO) on 24<sup>th</sup> October 2005 in order to provide the management of Southend's Council housing and related services on behalf of the Council and its tenants. The original agreement was predicated on ensuring that local residents live in homes meeting the Decent Homes Standard and that they receive high quality services, including neighbourhood management and tenancy support. SEH is one of a large number of ALMOs established for this purpose since 2002 and is an active member of the National Federation of ALMOs which currently represents 31 organisations across the England.
- 3.2 When the original agreement was drawn up, SEH was a single purpose organisation. The agreement therefore covered not only the core housing management services required, but also the overall relationship between the Council as sole shareholder and the Company. Since then however the company has expanded its remit to provide additional services to other areas of

the Council and to other organisations, both in its own name and through its commercial subsidiary South Essex Property Services. These additional services are subject to their own contractual arrangements.

- 3.3 As part of the *Housing, Homelessness and Rough Sleeping Strategy 2018-28* that was endorsed at the November Cabinet on 6<sup>th</sup> November 2018 and adopted by The Council on 13<sup>th</sup> December 2018, it was agreed that a new Housing Management Partnership Agreement with South Essex Homes would be developed. The current Partnership Agreement has been in place since 1<sup>st</sup> April 2016 and runs until 31<sup>st</sup> March 2019, following Cabinet's agreement to a three year extension of the original agreement. This Agreement requires that any significant changes are subject to a 6 month notice period. The current Agreement can also be extended.
- 3.4 Work has been underway for several months to develop a new Housing Management Partnership Agreement, with SEH and Southend Council jointly commissioning work towards this. This has led to a set of aspirations held by both parties based on mutuality, trust, and transparency. A new Agreement has also been drafted but requires further development in order to reflect ongoing work to implement the ambitions of Southend 2050 and those of the Housing, Homelessness and Rough Sleeping Strategy 2018-28.
- 3.5 The opportunity has also been taken to remove the shareholder related clauses from the partnership agreement. These will be instead included in a separate Shareholder Agreement to be presented to the Council's Shareholder Board in the autumn. The Shareholder Agreement will set out how the relationship between the Council as shareholder and owner and SEH as a whole, independent of the separate agreements for the provision of services back to the Council.
- 3.6 It is proposed that a new Housing Management Partnership Agreement is developed which provides an initial five-year term with an option for a further five-year extension and that this takes account of the aspirations, ambitions and innovation required by Southend 2050 and the evolving housing business demands for both organisations, enabling the deepening of existing collaborative working and expansion where mutually beneficial.
- 3.7 It is anticipated that the final agreement will be submitted to Cabinet for approval in autumn 2019, pending which it is recommended to exercise the option available under the current Partnership Agreement and agree an extension to the existing Agreement with South Essex Homes. The timescales for the different stages are as indicated below:

Seek agreement to continued development and extension of current agreement	12 <sup>th</sup> March 2019
Continue development of new Partnership Agreement in line with Southend 2050, etc.	March-June 2019
Finalise new Partnership Agreement	July-August 2019
Return to Cabinet for approval	September 2019
New Partnership Agreement in operation	1 <sup>st</sup> October 2019



#### **4. Other Options**

- 4.1 Other available options would be to reach agreement between the Council and SEH over the current draft of the new agreement. This would neither fully assimilate the requirements imparted through any Better Queensway partnership developments nor fully align with the Southend 2050 Outcome Delivery Plans as both areas of work remain in development.

#### **5. Reasons for Recommendations**

- 5.1 As outlined above SEH provide vital services on behalf of the Council and its tenants and as such it is of importance that the agreements in place between the organisations are progressive, robust and in line with the ambitions set by Southend Council on behalf of local people through Southend 2050. This includes the role which SEH will undertake towards the delivery of the 2050 outcomes, along with its continued focus on the core business of managing Council housing in the borough. In order that the new Housing Management Partnership Agreement effectively translates the above actions and ambitions into a useful contract that can support both organisations' roles further time is required to incorporate recent and emerging developments. In order to allow for this use of the available extension to the existing agreement is required.

#### **6. Corporate Implications**

- 6.1 **Contribution to the Southend 2050 Road Map**  
The work to be delivered via the Council and South Essex Homes contributes not just to the housing outcome under *Safe & Well*, but also contributes more broadly to the themes of *Pride & Joy* and *Active & Involved* through the extensive work with tenants and around community development and inclusion; through *Safe & Well* outcomes relating to community safety, wellbeing and quality of life; and fundamentally across all the outcomes through the provision of 6,000 homes locally where people can live and thrive.
- 6.2 **Financial Implications**  
The budget for the 2019-20 Partnership Agreement has already been agreed and the actions recommended above are not anticipated to impart any change in this respect. The development of a new Housing Management Partnership Agreement fully aligned to other priority programmes for Southend Council and supported through strong partnership governance will ensure that optimum value for money is attained.
- 6.3 **Legal Implications**  
The current Partnership Agreement requires that in lieu of a successor Agreement either notice is provided or an extension granted. The above recommendations are in line with these requirements.
- 6.4 **People Implications**  
None at this stage.
- 6.5 **Property Implications**  
The recommendations of this report will support the proper management of the Council's housing stock.

- 6.6 Consultation  
None at this stage.
- 6.7 Equalities and Diversity Implications  
None at this stage.
- 6.8 Risk Assessment  
Risks are routinely monitored through the Partnership Agreement and this will continue to be the case through effective governance as the new Agreement is developed and implemented.
- 6.9 Value for Money  
The proposals within this report are consistent with the Council's plans to continue to improve value for money within the services it offers.
- 6.10 Community Safety Implications  
The recommended approach will secure continued delivery of the community safety role undertaken by SEH and seek to further strengthen this and align it with the Southend 2050 outcomes.
- 6.11 Environmental Impact  
None at this stage.

**7. Background Papers**

None

**8. Appendices**

None

# Southend-on-Sea Borough Council

Agenda  
Item No.

Report of Deputy Chief Executive (Place)

To  
**CABINET**

On  
**12 March 2019**

Report prepared by: Peter Geraghty Director of Planning and  
Transport, and Gary Smith Group Manager of Traffic  
Management and Highways Network

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## Update of Policies Relating to Highway Inspection of the Civil Enforcement of Parking

Place Scrutiny Committee  
Cabinet Member: Councillor Andrew Moring  
Part 1 (Public Agenda Item)

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### 1. Purpose of Report

- 1.1 To introduce and gain approval for updated Highways and Parking Policies.

### 2. Recommendations

#### 2.1 That Cabinet agrees:

- a) The replacement of Highway Policy Note No.2 (1999) (Appendix A) with the updated Highway Safety Inspection Policy and Guidance (Appendix B).
- b) The replacement of Parking Policy (2015) (Appendix C) with the updated Civil Enforcement of Parking Policy and Protocol (Appendix D).
- c) The Director of Planning and Transport has delegated authority to replace contravention codes and descriptions in consultation with the Cabinet Member for Infrastructure when such codes and descriptions are updated by Government or a responsible Government Department.

### 3. Background

- 3.1 This report covers two policy documents that need to be updated in order for them to be compliant with national policy. The two policy documents are the Civil Enforcement of Parking Policy and Protocol (hereafter referred to as Civil Enforcement of Parking Policy) and the Highway Safety Inspection Policy.
- 3.2 The substantive changes to the Civil Enforcement of Parking Policy relate to updating of observation times before a PCN is issued (i.e. 5 minutes). This takes account of decisions on appeals to the Traffic Penalties Tribunal over the years and to include the current Standard Parking Contravention Codes issued in the latest Statutory Instrument from the Government (version v6.7.6) which are set out in appendices attached to the Policy.

- 3.3 The substantive changes to the Highway Inspection Policy relate to updating it in respect of a risk based approach to inspection and repair. Previously action was based on whether the defect was of a certain size or depth (intervention levels). In a risk based approach account is also taken of other factors such as location or the nature of the asset (i.e. heavily used footway). The other significant change is the policy includes reference to the Council's Highways Infrastructure Asset Management Plan (HIAMP) which has been adopted since the original policy was approved.
- 3.4 Southend-on-Sea Borough Council became a Unitary Authority on 1<sup>st</sup> April 1998. At this time it also became a Highway Authority and a Traffic Authority. Being a Highway Authority means that the Council must be fully compliant with the duties outlined in the Highways Act 1980. In 1999, the Council's Highway Policy Note No.2 was adopted and covered the statutory Highway Authority duties and detailed a prescriptive inspection regime. The introduction of the Well Managed Highway Infrastructure Code of Practice in 2016 means that the method of highway asset inspection has changed from being prescriptive to a risk-based approach. Therefore, the Highway Safety Inspection Policy must be updated to take account of this National Policy change.
- 3.5 Being a Traffic Authority means the Council has responsibilities under the Road Traffic Regulations Act 1984 and the Road Traffic Act 1991. The Road Traffic Regulation Act 1984 provides the Council with powers to make and amend traffic regulation orders, and the Road Traffic Act 1991 enables traffic authorities to apply for powers to undertake decriminalised parking enforcement.
- 3.6 The Council applied for decriminalised parking enforcement powers and these powers became operational across the whole Borough on 1<sup>st</sup> September 2001. The Traffic Management Act 2004 updated these powers, calling them civil parking enforcement. In 2015, the Council's Parking Policy was introduced to cover its enforcement and appeals process as Traffic Authority. Since the introduction of the Deregulation Act 2015 there has been new case law and updated contravention code descriptions. An updated Civil Enforcement Parking Policy is therefore required to reflect these changes.
- 3.7 The Traffic Management and Highways Network service area has recently undergone a Peer Review, the results of which are being evaluated and used to develop an Action Plan including updating all relevant policies. However, the two policies to Cabinet that this report relates to, need to be updated now, to reflect changes to national policy and case law. This needs immediate attention in advance of the implementation of any outcomes from the peer review.

### 3.8 **Legislative Background**

#### 3.8.1 Highway Safety Inspection Legislation

- a) The Council as a Highway Authority, has a duty under Section 41 of the Highways Act 1980 (The Act) to ensure all its highway assets are fit for purpose and the Council can demonstrate they manage risks associated with highway assets

effectively and for the benefit of residents, visitors of Southend and those travelling through.

- b) Section 58 of The Act provides the Council with a defence against any alleged failure to maintain its highway assets as long as the Council has taken such care in all circumstances and is able to reasonably demonstrate that the highway is not dangerous for all forms of traffic.
- c) Part of the Council's defence under Section 58 of the Act is that there is a regime of highway asset inspections in place and is made up of highway safety inspections and other asset inspections purposely designed to monitor asset condition and identify any defects in highway assets and take appropriate rectification measures for defects found.
- d) Guidance known as the *Well Managed Highway Infrastructure*, published in October 2016, recommends that all highway asset inspections are not prescriptive, but based upon risk-based assessments and designed around the local highway network.
- e) An effective risk-based Asset Inspection Policy therefore is an essential element of good highway asset management and contributes to the delivery of this essential service. This report therefore covers the Council's risk-based Highway Safety and Asset Inspection Policy and Guidance.

### 3.8.2 Parking Legislation

- a) As a Traffic Authority, the Council has the responsibility for the enforcement of civil parking contraventions. The Traffic Management Act 2004 was introduced on the 31<sup>st</sup> March 2008, this altered the way in which penalty charge notices are issued to vehicles and introduced differential charging. The charge amount of the penalty charge is now dependant on whether the contravention is more serious or less serious, as follows:
  - More serious contraventions £70.00 Discounted £35.00 (within 14 days)
  - Less serious contraventions £50.00 Discounted £25.00 (within 14 days)
- b) From the 1<sup>st</sup> April 2015 the Deregulation Act 2015 requires a 'grace period' of 10 minutes to be applied on paid for time and free parking bays. The grace period only applies where the requirements of the bay have been satisfied first i.e. a parking session has been purchased, the vehicle holds the relevant permit, is carrying out an exempted activity etc. If these requirements have not been met the vehicle will be subject to normal enforcement. It is important to note that the grace period only applies to 'designated parking places'.
- c) A vehicle parked outside controlled hours is considered to have parked at a time when no restrictions are in force and therefore no requirements to satisfy. The 10 minute grace period will apply for the first 10 minutes of the next controlled parking period. For example, if the Controlled Parking Zone hours apply from 8.00am to 6.00pm and the vehicle was parked before

8.00am, the grace period would apply between 8.00am and 8.10am and no PCN should be issued until 8.11am.

- d) The Deregulation Act 2015 also restricts the use of enforcement to certain restrictions that could be enforced by an approved device (CCTV) and in these circumstances the PCN is sent by post to the registered keeper of the vehicle. PCN's will be issued by post if a vehicle is parked in contravention of the following restrictions:
- Parked on a bus stop clearway or bus stand clearway; and
  - Parked on a School Keep Clear Marking (zig zags).
- e) It should be noted that Contravention Code descriptions are updated regularly. These descriptions are to be used, except those that are contained in the Statutory Instrument 2007 No.3487 The Civil Enforcement of Parking Contraventions (Guidelines on Levels of Charges) (England) Order 2007.

### **3.9 Highway Safety Inspection Policy and Guidance**

- 3.9.1 Highways asset management is a key service that the Council provides to its community and to the wider travelling public. Highways assets not only have the greatest monetary value of all assets, but where well managed the highway assets are essential in the day to day lives of residents, visitors and the businesses.
- 3.9.2 The Highway Safety Inspection Policy and Guidance includes the process to develop the risk assessed highway inspection policy and supporting guidance and includes the delivery of the formal highway safety inspections as well as inspections for the other highway assets to which the Council as a Highway Authority are the owners or have a duty to maintain.
- 3.9.3 This Highway Safety Inspection Policy has been developed as a risk assessed asset strategy and includes a risk matrix to help highway inspectors and asset specialists to manage all defects found and determine the appropriate action and timescales to complete those actions. This Policy also explains the different types of asset inspections and the importance of having an accurate record of the quantities and condition of all highway assets. Defect intervention levels and timescales to rectify are also set out together with an explanation on the different asset inspections.
- 3.9.4 The Highway Safety Inspection Policy and Guidance does not yet include the Asset Hierarchy, this is being developed currently, but as this is a risk-based policy the Asset Hierarchy should evolve in line with any risks. From these hierarchies the inspection frequencies for the different types of asset inspections are determined.
- 3.9.5 The importance of competent officers undertaking all highway asset inspections is also included. Whether these are Council staff or those of a service provider,

all must have the correct competencies for the asset inspection to be undertaken.

### **3.10 Parking Policy**

3.10.1 The Traffic Management Act 2004, requires Councils with civil parking enforcement powers to ensure that both their enforcement and discretion are undertaken in a clear, transparent and consistent manner. This is covered by the parking policy which is split into two main sections, these are: Enforcement Protocol and Discretion.

3.10.2 The Enforcement Protocol is a guidance policy for the enforcement of Penalty Charge Notices. Policies set out in this document provide guidance only, the onus is on the Civil Enforcement Officer (CEO) to collect the appropriate evidence to enable them to decide whether a vehicle is in contravention of the parking and traffic regulations.

3.10.3 A discretion policy provides guidance policies for the enforcement and cancellation of Penalty Charge Notices. Policies set out in this document provide guidance only. Each case must be considered on its own merits, taking into account all of the evidence available and the exceptionality of the circumstances.

3.10.4 The parking policy must represent a foundation upon which fairness, openness, transparency and discretion can be applied. The importance of flexibility in these matters has been recognised by the courts and, as a consequence, decisions made by councils must not be fettered by being unduly formulaic.

3.10.5 The parking policy addresses the following:

- The statutory grounds upon which representations may be made;
- Mitigating circumstances; &
- The acceptance or rejection of representations.

3.10.6 The parking policy is intended to inform the public and provide guidance to Council staff or those of a service provider working in the enforcement of parking regulations. This is consistent with current best practice and aims to provide clarity, consistency and transparency within the enforcement process and compliance with the aspirations of the, Traffic Penalty Tribunal (TPT) and the Local Government Ombudsman.

3.10.7 It is important to recognise that each case will be considered on its own merits, matters of proportionality, objectivity, fairness and reasonableness should be paramount. These policies will be subject to ongoing review.

### **3.11 Southend 2050**

3.11.1 The recent residents' survey identified the significance of the quality of the roads and parking in the Borough. The Highway Safety Inspection and Civil Enforcement of Parking Policies have clear links to the ambitions around the Southend 2050 work, particularly the theme: "connected and smart". The updates to these policies will support that theme and outcomes.

#### **4. Other Options**

- 4.1 Both of these policies have to be updated to ensure they are compliant with best practice, current legislation and statutory requirements.

#### **5. Reasons for Recommendations**

- 5.1 The Highway Safety Inspection Policy and Civil Enforcement of Parking Policies are a refresh of previous existing policies, updated in line with best practice, current legislation and statutory requirements thereby ensuring that the Council is fully compliant with its statutory duties.

#### **6. Corporate Implications**

- 6.1 The vision of the Council is set out in 'Southend 2050 – Ambitions, Themes and Outcomes' and 'Five Year Road Map'. This provides a context within which these updated policies will be applied by providing a clear focus for the safety inspections of highways, and the enforcement of parking regulations.

##### **6.2 Financial Implications**

- 6.2.1 The Highway Inspection and Civil Enforcement of Parking policies will provide an efficient inspection framework and a consistent, clear and transparent enforcement policy for civil contraventions. There may be implications from the Council's revenue and capital budgets. The data received during the use of these policies will be used when evaluating the Council's budget setting process. The process of how the policies will be applied in the context of financial implications and existing contracts will be decided as part of budget setting and the outcomes identified and agreed by the Council including Southend 2050.

##### **6.3 Legal Implications**

- 6.3.1 The Council, as both Highway Authority and Traffic Authority, has a legal duty to ensure that all of its policies and procedures are compliant with all primary and secondary legislation, as well as following best practice.

##### **6.4 People Implications**

- 6.4.1 The policies will have a positive impact for residents of all age groups and visitors to Southend. A well maintained highway and asset infrastructure and the proper application of a civil enforcement process will make the Borough safer for residents and visitors consistent with the outcomes of Southend 2050.

##### **6.5 Property Implications**

- 6.5.1 There are no property implications.

##### **6.6 Consultation**

- 6.6.1 Internal Council consultation has been undertaken with Officers in different departments.



## 6.7 Equalities and Diversity Implications

6.7.1 An equalities impact assessment has been undertaken the outcome of which are taken into account in the development of the policy.

## 6.8 Risk Assessment

6.8.1 The Highway Safety Inspection Policy and Guidance uses a risk-based approach using the guiding principles from the “Well Managed Highway Infrastructure” code of practice 2016.

## 6.9 Value for Money

6.9.1 The Highway Safety Inspection Policy and Guidance intervention levels have been benchmarked against the local authority members of the Eastern Highways Alliance, these are shown in the below table:

**CATEGORY 1 CW DEFECTS - DIMENSIONS AND RESPONSE TIMES 17/18 - EHA BENCHMARKING**

Local Authority	Cat 1 Defect minimum depth dimensions (mm)	Cat 1 Defect minimum width dimensions (mm)	Notes	Emergency Response times (hours)	Non-Emergency Response times (hours)
Bedford Borough Council	50	150		2	48
Central Bedfordshire Council	50	150		2	120
Cambridgeshire County Council	40	75	On highest CW hierarchies	2	36 Non-Potholes 120 Potholes
Essex County Council	50	75		2	48
Hertfordshire County Council	50	n/a		2	120
Luton Borough Council	50	150		1	24
Norfolk County Council	40	n/a	On highest CW hierarchies	2	96
Peterborough County Council	75	150		2	24
Southend-on-Sea Borough Council	40	n/a		2	24
Suffolk County Council	50	n/a		2	24
Thurrock Council	50	n/a		2	72

6.9.2 Officers have benchmarked against other policies and The Civil Enforcement of Parking Policy adopts a similar approach used by both the North and South Essex Parking Partnership.

6.9.3 Both the Highway Safety Inspection Policy and the Civil Enforcement of Parking Policy are considered good value for money in achieving the objectives of Southend 2050.

## 6.10 Community Safety Implications

6.10.1 A well maintained highway and asset infrastructure and the proper application of a civil enforcement process will make the Borough safer for residents and visitors.

## 6.11 Environmental Impact

6.11.1 The Highway Safety Inspection Policy and Civil Enforcement of Parking Policy will have a positive environmental impact.

6.11.2 The Highway Safety Inspection policy will contribute to the wellbeing and safety of residents and visitors to Southend.

6.11.3 Parking restrictions are in place throughout the Borough. These restrictions are put in place in order to enable the Council achieve its objectives set out in its Third Local Transport Plan:

- Tackling congestion to limit delays;
- Increasing accessibility to key services and facilities;
- Improving road safety and security;
- Enhancing the environment and quality of life; &
- Improving management and maintenance of our transport network.

## 7. Background Papers

- Southend-on-Sea Borough Council's Transport Asset Management Strategy 2016;
- Southend 2050 Ambition/Five Year Road Map;
- Southend-on-Sea's Third Local Transport Plan Strategy document, 2011-2026

## 8. Appendices

Appendix A – Highway Policy Note No 2 (1999)

Appendix B – Highway Safety Inspection Policy and Guidance (2019)

Appendix C – Parking Policy (2015)

Appendix D – Civil Enforcement of Parking Policy and Protocol (2019)

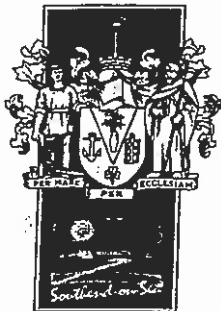
**SOUTHEND-ON-SEA BOROUGH COUNCIL**

**TECHNICAL SERVICES DEPARTMENT**

**BASIC MAINTENANCE  
CATEGORY 1 DEFECT STANDARDS**

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**HIGHWAY POLICY NOTE NO. 2**



J H

**SOUTHEND ON SEA BOROUGH COUNCIL**

**TECHNICAL SERVICES DEPARTMENT**

**BASIC MAINTENANCE  
CATEGORY 1 DEFECT STANDARDS**

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**HIGHWAY POLICY NOTE NO. 2**

Approved by Planning and Transportation  
Committee on 1<sup>st</sup> September 1998  
Minute No. 297.

Reviewed and Amended by Planning and Transport Committee on 21<sup>st</sup> September 1999.

Minute No. 304.



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**SEPTEMBER 1999**

# BASIC MAINTENANCE CATEGORY 1 DEFECTS

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- APPENDIX A** Defect Photographs
- APPENDIX B** Audit Commission 'Definition of Damage to Highways and Pavements'.
- APPENDIX C** Format of a Safety Inspection Report Form.

## 1. GENERAL ADMINISTRATIVE ARRANGEMENTS

## 2. BASIC MAINTENANCE

### 2.1 Introduction

It is the statutory duty of a Highway Authority to maintain that part of the highway defined as being maintainable at public expense. This duty is presently consolidated in Section 41 of the Highways Act 1980. Under Section 56 of the Act, any person may apply to the courts for an order requiring the Highway Authority to take remedial action in cases of alleged non-repair by that Authority, who may also face an action for damages resulting from failure to maintain the highway. Section 58 of the Act provides that in the event of an action it shall be a defence to show that the road was kept in reasonable repair having regard to the traffic using it, the standard of maintenance appropriate to its use and public safety.

This document is intended to ensure consistency of standards in defining Category 1 defects which may represent a danger or serious inconvenience to the public or which could result in significant damage to property.

It sets out the frequencies of safety and detailed inspections together with general criteria and defect descriptions.

The general principles and defect descriptions may not be an exhaustive list in all instances and there may have to be additions to take account of local conditions. However, such additions shall be subject to the approval of the Director of Technical Services. Approval will only be given where the need for such an addition is clearly justified.

In classifying a defect each situation shall be assessed on its merits at the time of inspection.

### 2.2 Inspection Types

Safety Inspections - are designed to identify those defects which are likely to create a danger to the public and therefore require immediate or urgent attention. They shall normally be carried out on foot, or if practical from slow moving vehicles at frequencies which reflect the importance of a particular road.

Additional safety inspections of specific defects may be required in response to reports or complaints from the police, other organisations, and letters or telephone calls from the public.

Detailed Inspections - are carried out at less frequent intervals than safety inspections and are designed primarily to establish programmes of routine maintenance tasks not requiring urgent execution. However, category 1 defects may also be identified under detailed inspections.

### 2.3 Safety Inspection Requirement

Safety inspections are designed to identify defects which may constitute an imminent or immediate hazard to the public defined as category 1 defects in this document. Whenever such defects are encountered which represent an immediate danger they shall, if reasonably practicable, be corrected, made safe following contact with the Council's contractor at the time the defect is identified, otherwise a target response time of within 24 hours of identification should be achieved. Category 1 defects which are judged not to represent an imminent or immediate hazard should be repaired within a period up to 28 days from the identification of the defect.

Safety inspections shall normally be carried out by trained personnel on foot or from a slow moving vehicle. Two operative teams will be used where a risk assessment has shown this to be necessary.

The safety inspection record shall be as detailed at Appendix C.

When a category 1 defect is identified within a larger area, only the part of the area which meets the criteria for Category 1 defects shall be included in the results of the inspection.

### 2.4 Safety Inspection Frequency

*Once every month – Southend High Street (Pier Hill to Queensway).*

Once every twelve months – Unclassified Roads and footpaths (including Service Roads, walkways, precincts etc.).

### 2.5 Detailed Inspection Requirement

Detailed inspections are designed to identify planned maintenance work required on the network and to enable efficient programming of that work. However, Category 1 defects may also be identified under detailed inspections.

Arrangements for detailed inspections shall seek to minimise disruption to traffic whilst ensuring adequate access for proper inspection and maintaining a safe working environment for the inspection personnel. Detailed inspections for defects within the highway curtilage should be carried out from the footway, grassed verge or hard shoulder respectively. The condition of the carriageway surface, road studs and road markings should also be observed. Additionally, gullies, kerbing and edgings together with any other street furniture.

At the time of the safety inspection being carried out the general condition of the highway is assessed as Good, Average or Poor which enables areas to be identified for the annual Defect Inspection undertaken by technically qualified staff.

Revised September 1999



### 3. DEFECT DESCRIPTIONS

#### 3.1 CARRIAGEWAY REPAIRS

##### 3.1.1 General Criterion

A carriageway means that part of the highway other than a cycle track, set aside for the passage of vehicles, (based upon section 329, Highways Act 1980).

The requirements of this section relate to Category 1 defects resulting from safety and detailed inspections together with additional inspections which may be required in response to the Emergency Services the Public or extreme weather conditions. The requirements do not relate to larger scale work needed to strengthen the carriageway or to work which would be classed as, or linked to, structural maintenance or programmed works. Some Category 1 defect repairs may be due to the activities of the utilities who are governed by the New Roads and Street Works Act 1991. If the reinstatement is still within its guarantee period and has settled considerably, plucked to form a pothole or similar, any costs incurred in making safe and or repair must be recovered from the undertaker and not charged to the Highway Authority. Refer to the procedures required under the New Roads and Street Works Act.

##### 3.1.2 Items Inspected

Central Island  
Central Reservation  
Carriageway  
Hard Shoulder  
Crossover (Central Reserve)  
Lay-by

##### 3.1.3 Category 1 Defect Descriptions (refer to Appendix B (1))

- a. Potholes or other localised defects in the carriageway.
- b. Cracking in concrete carriageway where plucking/loss of material is occurring.
- c. Areas of severe fretting, spalling, crazing or cracking especially on well used roads.
- d. Difference in level of adjacent concrete bays of 40mm or more.
- e. In addition, any other item considered an immediate hazard by virtue of size or location.

#### 3.2 FOOTWAYS, VERGES AND CYCLE TRACKS

##### 3.2.1 General Criterion

The requirement of this section relate to Category 1 defects resulting from safety and detailed inspections together with additional inspections which may be required in response to the Emergency Services the Public or extreme weather conditions.

The requirements do not relate to larger scale and programmable work or work which would normally be classed as, or linked to, special maintenance or programmed works.

A footway means a way comprising in a highway which also comprises a carriageway, being a way over which the public have a right of way on foot only. (Section 329, Highways Act 1980). A footpath means a way over which the public have a right of way on foot only, not being a footway, (section 329, Highway Act 1980). Footpaths/Footways include the walking surfaces of subways, underbridges, overbridges and pedestrian rights of way which are the responsibility of the Highways Authority and which may occasionally be remote from the carriageway. A cycle track is a paved facility available for persons with pedal cycles, with or without a right of way on foot, usually within the highway boundary. Issues related to the New Roads and Street Works Act 1991 also apply as detailed in 3.1.1.

### 3.2.2 Items Inspected

- Footpath
- Footway
- Cycle Track
- Kerbs
- Edgings
- Channels
- Verge

### 3.2.3 Category 1 Defect Descriptions (refer to Appendix B (2)).

- a. Potholes and small area depressions.
- b. Ridges, projections, trips and gaps greater than 20mm.
- c. Dislodged kerbs, edgings, channels which are considered to be a hazard to pedestrians.
- d. Slab rocking of more than 20mm.
- e. Trench subsidence over 20mm deep along any part length.
- f. In addition any other item considered an immediate hazard by virtue of size or location.

## 3.3 COVERS, GRATINGS, FRAMES AND BOXES

### 3.3.1 General Criterion

The requirements of this section relates to Category 1 defects resulting from safety and detailed inspections together with additional inspections which may be required in response to the Emergency Services the Public or extreme weather conditions.

This may necessitate repairs to, and the occasional replacement of, all types of gratings, covers, frames and boxes that are the direct responsibility of the Highways Authority. Although it may be necessary on occasions to repair or replace items that are the responsibility of other parties if there is a hazard to road users or pedestrians, to make such defects safe and to recover the costs incurred from other parties.

The majority of covers, grids, gratings and frames are situated in carriageways and footways but those in verges, particularly those verges that are regularly traversed by pedestrians, should not be ignored. In these circumstances however the warning level shall be doubled.

It may often be difficult to decide whether a cracked or broken item is in real danger of collapse. If in doubt, it should be replaced, irrespective of its position.

Defects in covers and gratings may pose particular danger to pedal and motor cycle users. It should be remembered that their occupancy on a carriageway will not always be limited to the nearside edge.

### 3.3.2 Items Inspected

Catchpit  
Gully  
Piped Grip  
Utilities/privately licensed, Covers and Frames  
Highway Authority Covers and Frames.

### 3.3.3 Category 1 Defect Descriptions

- a. Gully and other gratings in carriageways and cycle tracks which have gaps more than 20mm wide parallel to the normal travel direction of pedal and motor cycles.
- b. Difference in component levels exceeding 20mm.
- c. Rocking under load exceeding 20mm.
- d. Missing items.
- e. Significantly cracked or broken items.
- f. Worn covers considered to be a skidding hazard to pedal and motor cycles.
- g. Levels exceeding 20mm between items and the surrounding pavement.
- h. In addition, any other item considered an immediate hazard by virtue of condition and location.

### 3.4 KERBS, EDGINGS AND PRE-FORMED CHANNELS

#### 3.4.1 General Criterion

The requirements of this section relate to Category 1 defects to kerbs, edgings and pre-formed channels of all types. The requirements do not relate to large scale works that would be classed as programmable or linked to special maintenance work.

#### 3.4.2 Items Inspected

Kerbs  
Edgings  
Pre-formed channels.

#### 3.4.3 Category 1 Defect Descriptions

- a. Vertical projections greater than 20mm.
- b. Horizontal projections greater than 50mm.
- c. Rocking under load exceeding 20mm.
- d. Where isolated item is missing from an otherwise sound section or length.
- e. Damaged or shattered items which present a hazard.
- f. In addition, any other item considered an immediate hazard.

### 3.5 HIGHWAY DRAINAGE

#### 3.5.1 General Criterion

The requirements of this section relates to Category 1 defects resulting from safety and detailed inspections together with additional inspections which may be required in response to the Emergency Services, the Public or extreme weather conditions.

In determining the Highway Authorities requirements one basic principal has been taken into account:-

- (a) standing water reduces safety if allowed to accumulate on trafficked surfaces of the highway.

The effects of (a) above are readily observable and the correct action should be taken immediately, especially on higher speed roads:

This section will also encompass the following:-

1. Collapsed pipe drainage systems.
2. Settled or collapsed gullies, catchpits, interceptors, chambers and the like.
3. Culverts.

### 3.5.2 Items Inspected

Catchpit cover  
Culvert  
Highway ditch  
Filter drain  
Grip  
Gully frame and grating  
Manhole cover  
Piped grip/kerbed offlet

### 3.5.3 Category 1 Defect Descriptions

- a. Flooding/excessive standing water 1.5m or more from carriageway edge or where there is a substantial flow of water across carriageway, especially on high speed roads (roads subject to National Speed Limits).
- b. Expectation of or actual significant flooding of properties.
- c. Collapse of apparatus causing depressions in surface finished levels of 20mm or more deep.
- d. Collapsed embankment adjacent to the highway.
- e. In addition, any other item considered an immediate hazard.

## 3.6 ROAD STUDS

### 3.6.1 General Criterion

The requirements of this section relates to Category 1 defects resulting from safety and detailed inspections together with additional inspections which may be required in response to the Emergency Services or the Public.

All types of both reflective, non reflective and depressible studs including stainless steel must remain firmly fixed and remain at the correct level.

Road studs can lose adhesion and break up under severe stress from vehicle wheels and as a result of snow clearance activities. In the case of catseye road studs, lenses can become detached from the housing, the housing can become loose in its seating and subsequently dislodged by the action of wheels or winter maintenance operations. (Note this criterion does not apply to stick on items).

### 3.6.2 Items Inspected

Reflective road studs  
Non-reflective road studs  
Depressible road studs  
Non-depressible road studs

### 3.6.3 Category 1 Defect Descriptions

- a. Missing casing (see potholes section 3.1.3).
- b. Loose casing.
- c. Displaced items still present on the carriageway should be removed immediately.
- d. In addition, any other item considered an immediate hazard.

## 3.7 ROAD MARKINGS

### 3.7.1 General Criterion

The requirements of this section relate to Category 1 defects resulting from safety and detailed inspections together with additional inspections which may be required in response to the Police or the Public.

To be effective, road markings must not be obscured by natural erosion, chemical and fuel oil spillage or fatting particularly following surface dressing.

### 3.7.2 Items Inspected

Stop lines.  
Give way lines.  
Other road markings.

### 3.7.3 Category 1 Defect Descriptions

- a. Loss of stop line markings.
- b. Loss of give way markings.
- c. In addition, any other item considered an immediate hazard.

## 3.8 ROAD TRAFFIC SIGNS AND BOLLARDS

### 3.8.1 General Criterion

The requirements of this section relate to category 1 defects resulting from safety and detailed inspections, additional inspections which may be required in response to the Police, the Public or extreme weather conditions together with Inspections carried out as part of the 3 year Electrical Testing programme.

Many signs are required to be lit and their legal status is affected if the illumination has failed, other signs are left in a dangerous condition after road traffic accidents, vandalism and high winds which may affect other traffic or road users. Exposed electrical wiring may also pose a problem.

### 3.8.2 Items Inspected

Signs (illuminated and non-illuminated).  
Bollards.

### 3.8.3 Category 1 Defect Descriptions

- a. Damaged signs and bollards that project into the carriageway or footway.
- b. Damaged signs that overhang the carriageway or footway.
- c. Regulatory, warning signs or bollards pointing the wrong way.
- d. Exposed wiring.
- e. Missing illuminated bollard.
- f. Pedestrian crossing lights all out.
- g. Illegal third party signs which present a physical obstruction to sight lines or are a clear distraction to drivers.
- h. In addition, any other item considered an immediate hazard.
- i. Missing or illegal Stop or Give Way signs.

## 3.9 ROAD TRAFFIC SIGNALS

### 3.9.1 General Criterion

The requirements of this section refer to Category 1 defects resulting from safety and detailed inspections, additional inspections which may be required in response to the Police, the Public or extreme weather conditions, together with Inspection carried out as part of the 3 year Electrical Testing programme.

Modern signal equipment is expected to operate correctly without regular routine adjustments. The requirement of this section is in the event of failure which might otherwise render installation ineffective to bring back the installation on stream in line with the current standards.

### 3.9.2 Items Inspected

Traffic signals.  
Traffic signal installations.  
Traffic signal furniture.

### 3.9.3 Category 1 Defect Description

- a. Damaged signals the project into the carriageway or footway.
- b. Damaged signals that overhang the carriageway or footway.
- c. Signals pointing the wrong way.
- d. Lamp failure.
- e. Exposed wiring.
- f. Erratic timings leading to signals being ignored.
- g. In addition, any other item considered an immediate hazard.

### 3.9.3 STREET LIGHTING

#### 3.10.1 General Criterion

The requirements of this section relate to Category 1 defects resulting from safety and detailed inspections together with additional inspections which may be required in response to the Police, the Public or extreme weather conditions together with Inspection carried out as part of the 3 year Structural and Electrical Testing programme. Particular attention should be paid to damaged or defective lighting equipment since this may often constitute an immediate or imminent hazard, especially where vehicular impact has occurred, or where the electrical condition is at fault or exposed.

#### 3.10.2 Items Inspected

Lighting columns.

#### 3.10.3 Category 1 Defect Descriptions

- a. Damaged street lights that project into the carriageway or footway.
- b. Damaged street lights that overhang the carriageway or footway.
- c. Exposed wiring/Access door missing.
- d. In addition, any other item considered an immediate hazard.

### 3.11 SHRUBBERIES, HEDGES AND TREES

#### 3.11.1 General Criterion

The requirements of this section relate to Category 1 defects together with additional inspections which may be required in response to the Police, the Public or extreme weather conditions.



Shrubberies, hedges and trees that are the responsibility of the Highway Authority together with hedges and trees that are the responsibility of others but are however causing a significant nuisance or obstruction to highway users.

It is not easy to identify the ownership of trees within or at the highway boundary.

Trees are a most important amenity feature which should where practicable be preserved, but, if they are allowed to decay or become unstable, they can be a serious hazard to road users.

Inspections can reveal signs of potential danger, such as thinning foliage and unseasonal loss of leaves, dying back of a substantial amount of branches, signs of fungi and bacterial disease. Normal healthy growth of hedges and trees can also give rise to hazardous conditions to road users by causing obstruction to visibility and movement. Also tree canopies are a problem by obscuring street lighting columns, and tensioning overhead wires.

### 3.11.2 Items Inspected

Shrubberies

Hedges.

Trees.

- 3.11.3 a. Accident damage resulting in unstable tree or branch.
- b. Trees leaning dangerously.
- c. Sudden loss of clearance over the carriageway.
- d. Hedges and trees whose growth obstruct the visibility of warning or regulatory signs and sight lines at junctions.
- e. In addition, any other item considered an immediate hazard.

## 3.12 SAFETY FENCES AND BARRIERS

### 3.12.1 General Criterion

The requirement of this section relates to Category 1 defects together with additional inspections which may be required in response to the Emergency Services the Public or extreme weather conditions.

Category 1 defect maintenance is generally confined to the repair of damaged sections and ensuring correct assembly and operation.

The repair of damaged sections will normally require prompt attention in view of the likelihood of danger to road users.

### 3.12.2 Items Inspected

Fences and Barriers  
Pedestrian guardrails  
Safety fencing (tensioned and untensioned).

### 3.12.3 Category 1 Defect Descriptions

- a. Damaged items where a crossover accident is likely.
- b. Damaged items that project into the carriageway or footway such as guardrail bars.
- c. Damaged items where a vehicular or pedestrian drop in level exists.
- d. In addition, any other item considered an immediate hazard.

## 3.13 SCAVENGING

### 3.13.1 General Criterion

The requirements of this Section relates to Category 1 defects together with additional inspections which may be required in response to the Emergency Services the Public or extreme weather conditions.

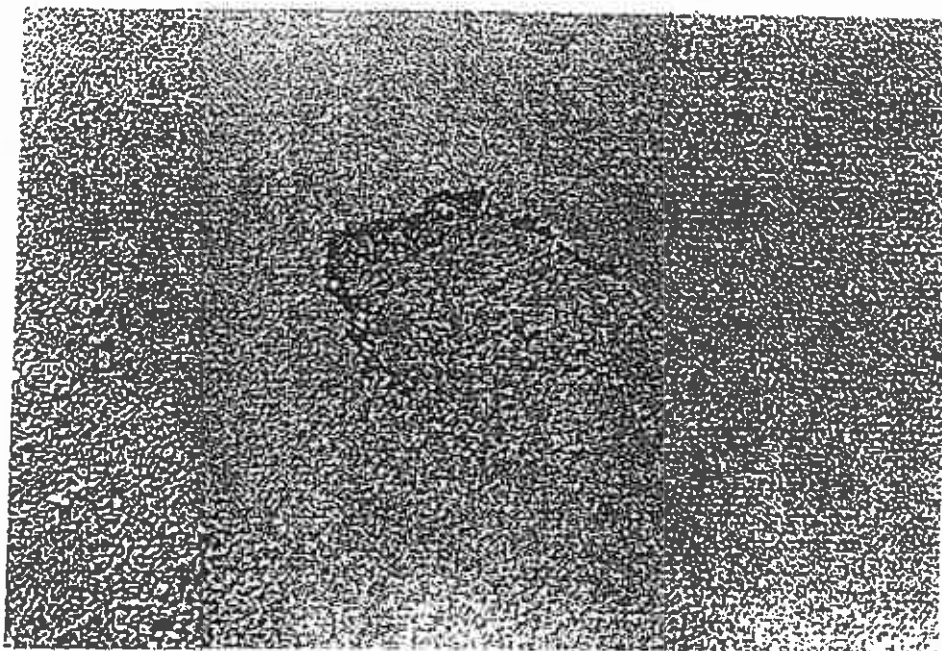
The removal of any objects found within the highway boundary that causes an obstruction or hazard to highway users. Where the litter/debris does not constitute a hazard to highway users it should be dealt with by Street Sweeping under the Environmental Protection Act 1990.

### 3.13.2 Items Inspected

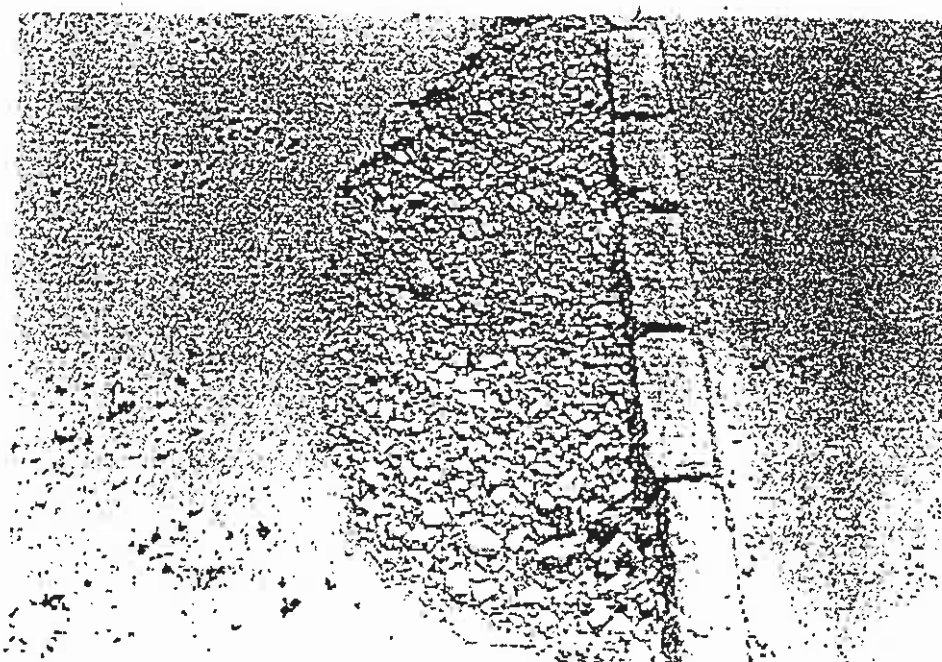
Channels.  
Central Island.  
Central Reserve.  
Cycle Track.  
Carriageway.  
Footway.  
Hard Shoulder.  
Lay by.  
Crossover (central reserve).

### 3.13.3 Category 1 Defect Description

- a. Debris likely to cause a hazard.
- b. Oil and diesel spillages.
- c. Spillage likely to cause a hazard shall be dealt with by the Emergency Services with the Inspector giving assistance where appropriate.
- d. In addition any other item considered an immediate hazard.



**POTHOLE IN CARRIAGEWAY OR FOOTWAY**



**POTHOLE IN CARRIAGEWAY**



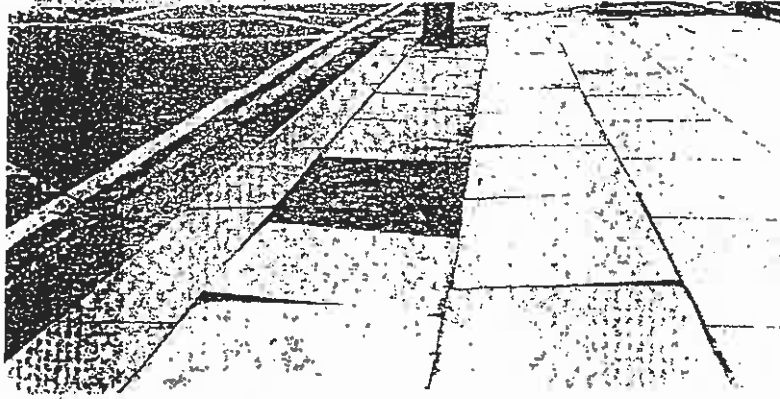
**CRACKING, PLUCKING AND LOSS OF MATERIAL IN CONCRETE CARRIAGEWAY**



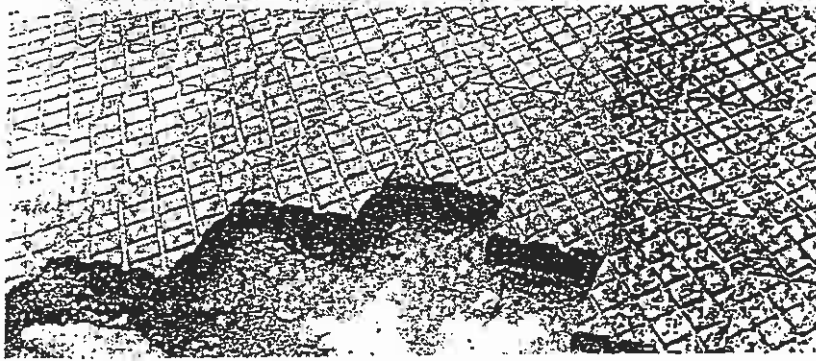
**PAVING SLAB TRIP IN FOOTWAY**



**PEDESTRIAN BLOCK PAVING CRACKING**



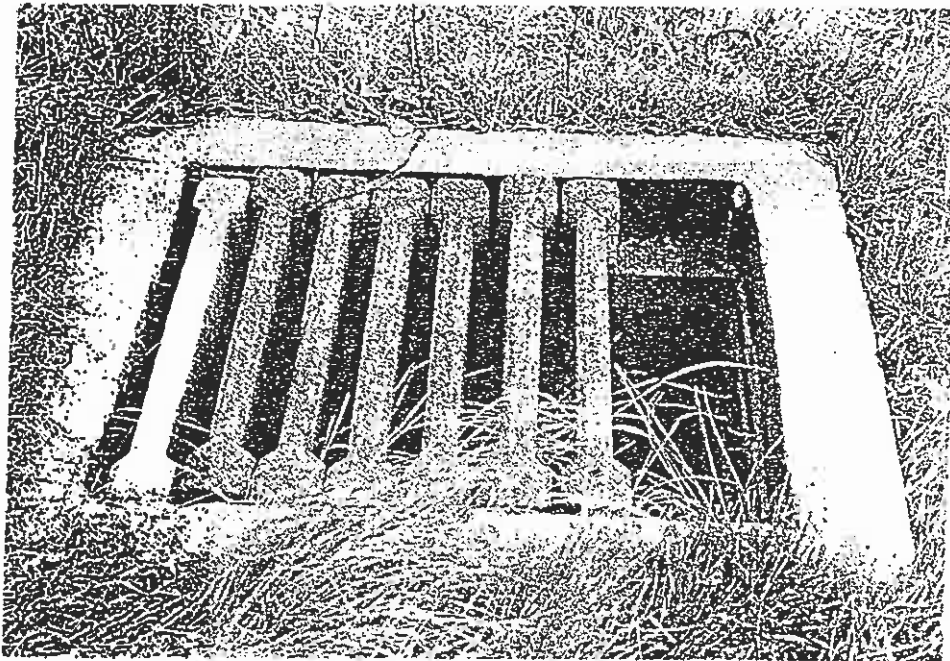
**PAVING SLAB DISTURBANCE BY THIRD PARTIES**



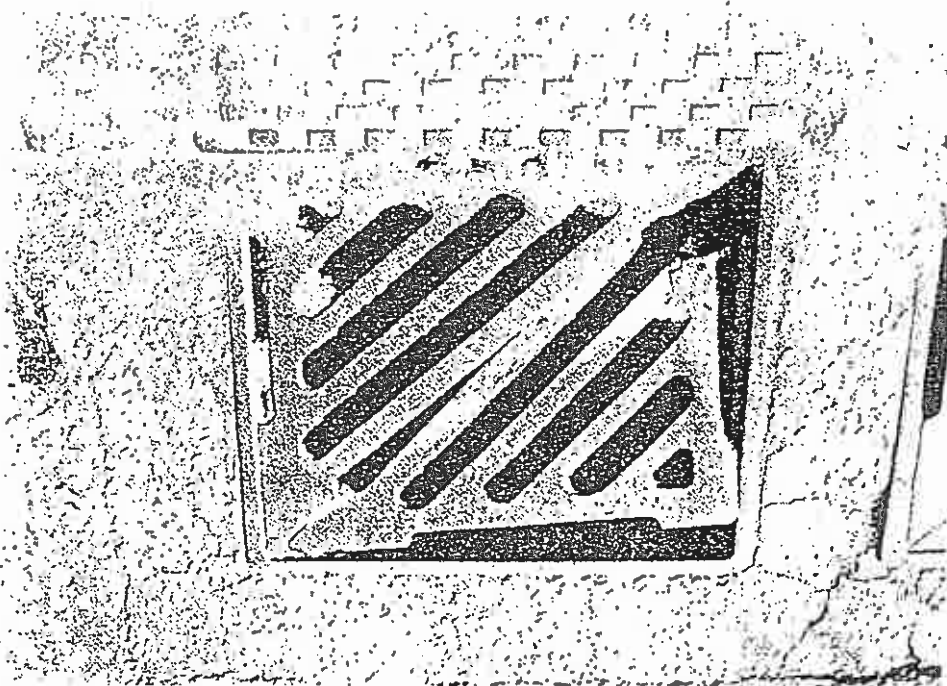
**MISSING PEDESTRIAN BLOCK PAVING**



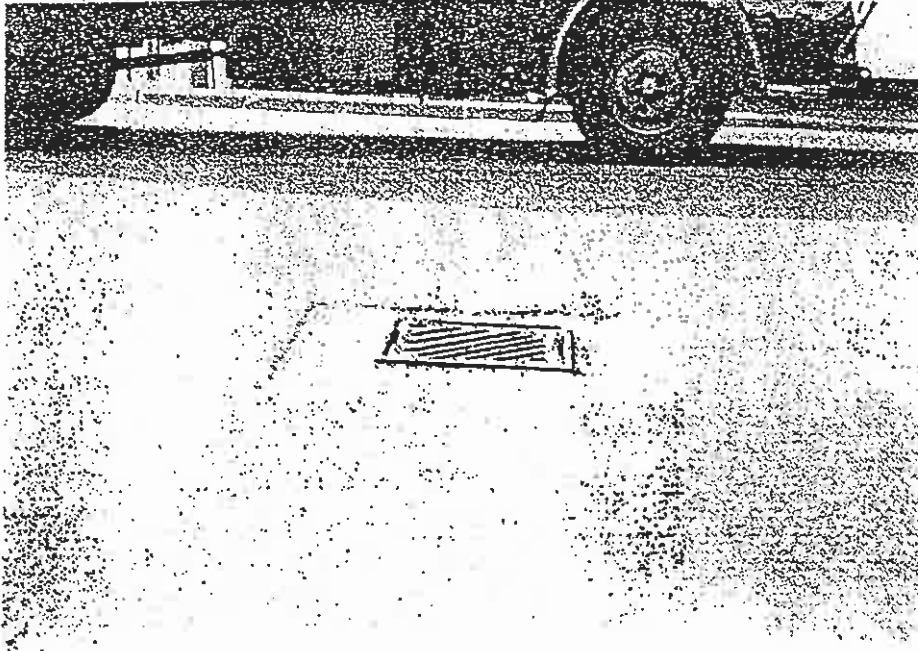
**PAVING SLAB TREE DAMAGE**



**IRONWORK MISSING**

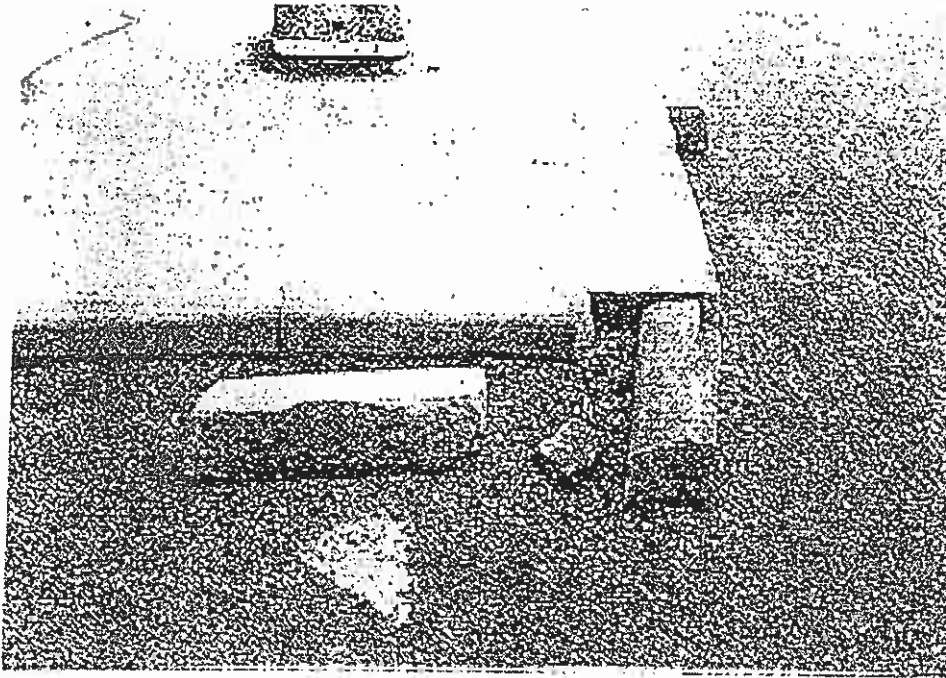


**IRONWORK CRACKED OR BROKEN**



IRONWORK DIFFERENCE IN LEVEL WITH ROAD

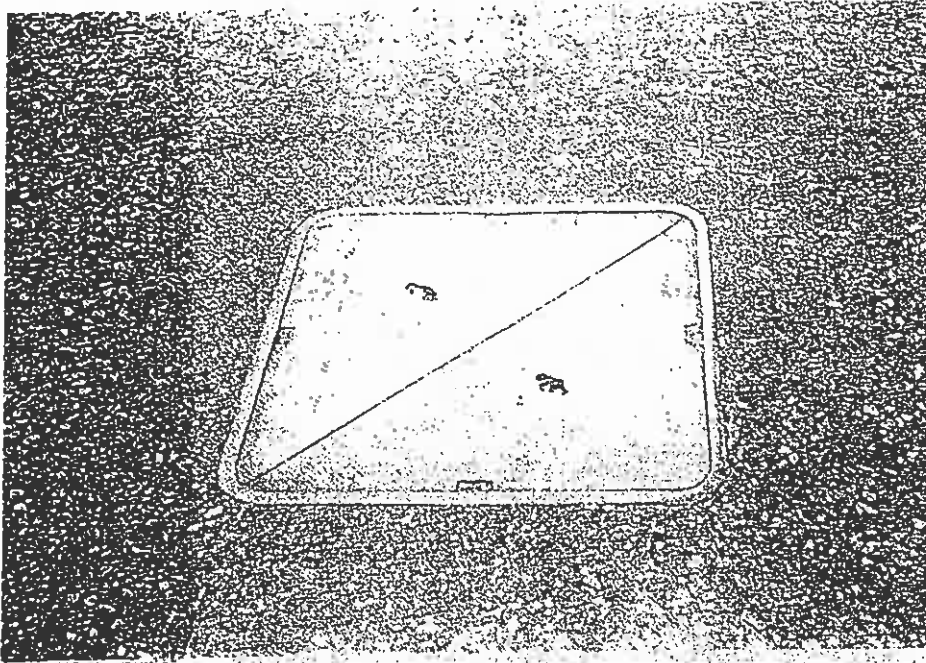




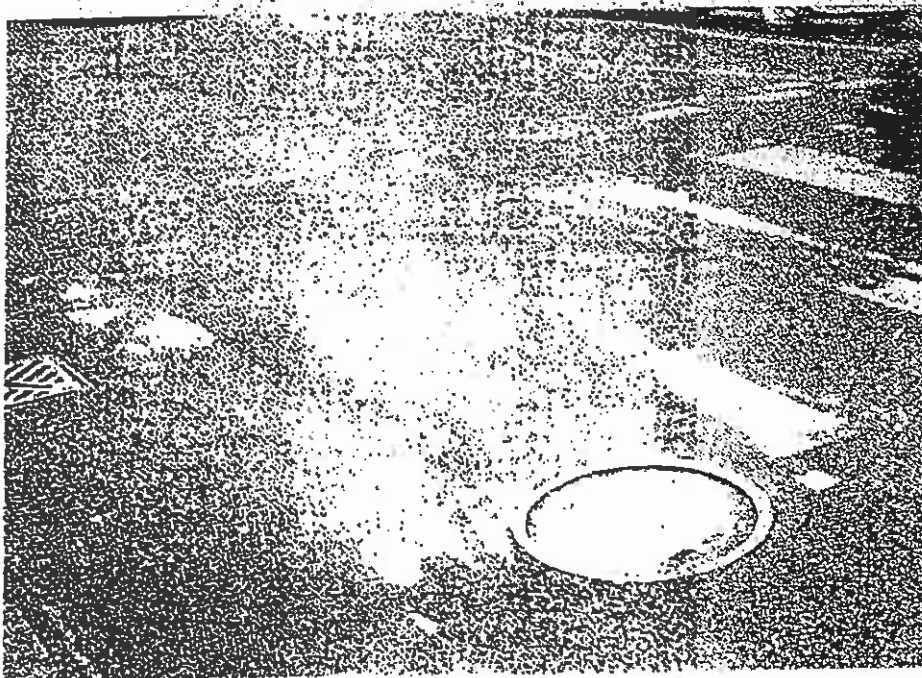
**DAMAGED KERB ON TAFFIC ISLAND**



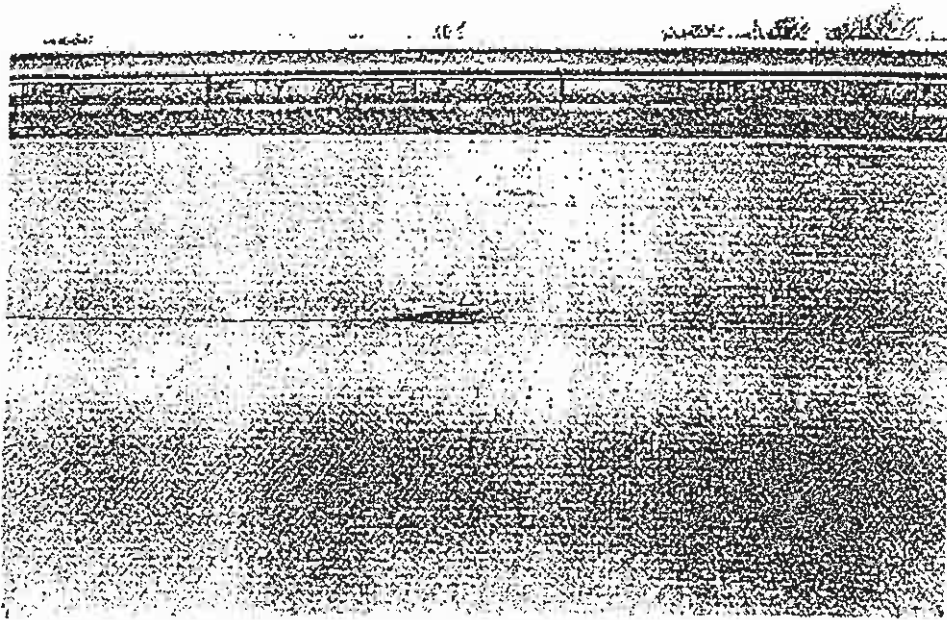
**MISSING SHORT LENGTH OF KERB**



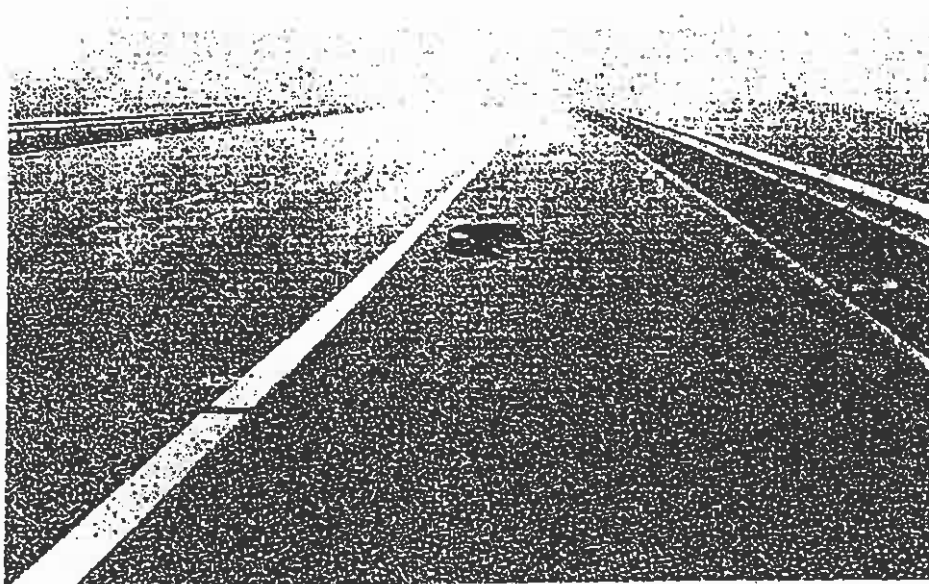
**POLISHED SMOOTH SURFACE ON IRONWORK**



**IRONWORK DIFFERENCE IN COMPONENT LEVEL**



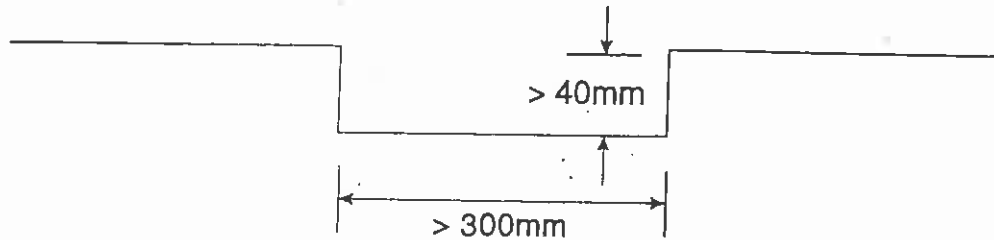
**MISSING CATS EYE IN CARRIAGEWAY**



DEBRIS ON CARRIAGEWAY

1. Highway Authorities Definition of Damage to Highways

Damage is defined as a defect in the highway which impairs the value or usefulness of the carriageway and provides a safety hazard for road users. A sharp edged depression (pot hole) of 40mm or greater in depth and extending in any one direction greater than 300mm may constitute a safety hazard and should be repaired in accordance with individual highway authority response times.



2. Highway Authorities Definition of Damage to Pavements

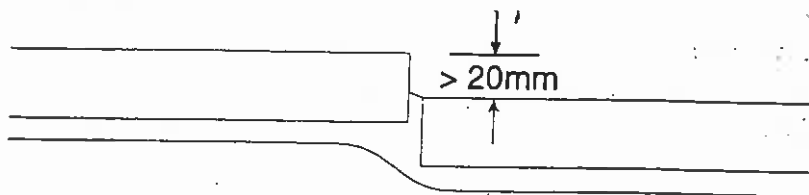
Damage is defined as a defect in the footway which impairs the value or usefulness of the footway and provides a safety hazard for pedestrians, a useful guide is as follows:

Trips more than 20mm.

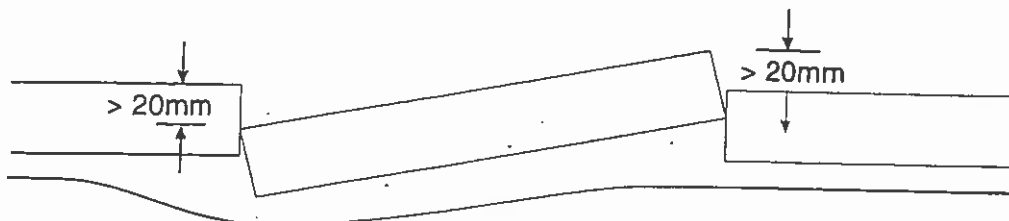
Rocking flags greater than 20mm.

Rapid change of footway profile greater than 25mm and extending in plan dimension less than 600mm and should be repaired in accordance with individual highway authority response times.

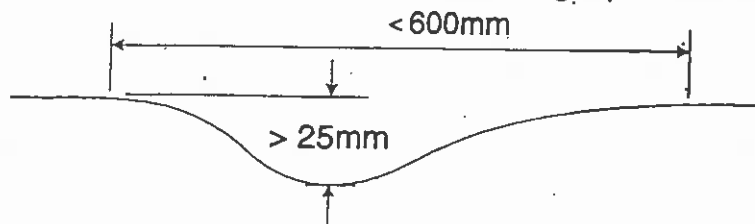
Trips greater than 20mm.



Rocking flags greater than 20mm.



Rapid change of footway profile greater than 25mm and extending in plan direction less than 600mm











# Southend on Sea Borough Council Highway Safety Inspection Policy and Guidance

Date	Version Control Description	Version	Amended By:
13/11/18	First Draft	1.0	GS
14/11/18	Draft Inc. minor amendments	1.1	GS
28/02/19	Draft layout amendments	1.2	KH for PG

This Highway Asset Policy and Guidance has been developed for the officers of Southend on Sea Borough Council and is not intended for any other organisation whether a public body or a private organisation.

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## **1 Background**

- 1.1 Southend-on-Sea Borough Council (SBC) as a highway authority has a duty to ensure all highway assets are fit for purpose and must demonstrate that risks associated with highway assets are managed effectively.
- 1.2 SBC has a statutory duty to maintain all the highway assets, as stated in Section 41 of The Highways Act 1980 (The Act). Section 58 of The Act provides SBC with a defence against any alleged failure to maintain highway assets. Part of the defence is for SBC to have a regime of highway asset inspections in place, which consist of highway safety inspections and other asset inspections purposely designed to monitor asset condition, identify any defects and take appropriate rectification measures.
- 1.3 Well-managed Highway Infrastructure published in October 2016, recommends that all highway asset inspections are not prescriptive, but based upon local risk assessments and designed around the local highway network.
- 1.4 An effective risk-based Asset Inspection Policy is an essential element of good highway asset management and therefore this document provides the SBC risk-based Highway Safety and Asset Inspection Policy and Guidance (Policy and Guidance).

## **2 Introduction**

- 2.1 Highway asset management is a key service that SBC provides to its community and to the wider travelling public. Highway assets not only have the greatest monetary value of all assets, but where well managed, the highway assets are essential in the day to day lives of residents, visitors and the business community.
- 2.2 This Policy and Guidance includes the process to develop the risk assessed highway inspection policy and supporting guidance. Also included is the delivery of the formal highway safety inspections as well as inspections of other highway assets which SBC as a highway authority are the owners of or have a duty to maintain.
- 2.3 This Policy and Guidance has been developed as a risk assessed asset strategy and includes a risk matrix to help highway inspectors and asset specialists manage all defects found and determine the appropriate action and timescales to complete those actions.
- 2.4 This Policy and Guidance also explains the different types of asset inspections and the importance of having an accurate record of the quantities and condition of all highway assets.
- 2.5 Risk assessed asset specific hierarchies that use all relevant asset factors and appropriate weightings are an important aspect of this Policy and Guidance. From these hierarchies the inspection frequencies for the different types of

asset inspections are determined.

- 2.6 Defect intervention levels and timescales to rectify are also set out, together with an explanation on the different asset inspections.
- 2.7 The importance of competent officers undertaking all highway asset inspections is also included. Whether these competent officers are SBC staff or those of a service provider, all must have the correct competencies for the asset inspection to be undertaken.

### **3 Highway Asset Risk Management**

- 3.1 In accordance with Well Managed Highway Infrastructure, Code of Practice and ISO 31000, Risk Management (47), risk management is an important part of the Policy and Guidance and also part of the decision making process for asset management planning.
- 3.2 For the purposes of the Policy and Guidance, a risk is defined as an uncertain event which has an effect on the desired performance of an asset or a series of assets. A risk factor is the product of the severity of an event and the likelihood of its occurrence. Risk management includes calculating the risk factors, defining the category of risk and timescales to rectify any potential defects to mitigate the risk. Risk assessment is the output from the risk management approach. The relevant risk matrix is in Appendix A.
- 3.3 A risk assessed highway safety inspection or highway asset inspection requires a number of fundamental elements to be developed before the asset inspections can take place.
- 3.4 The development of the Policy and Guidance requires good knowledge of the quantities of all highway assets, their location on the network and their respective condition. An ongoing programme and process of updating the highway assets and condition is necessary to demonstrate continuous improvement and to ensure the data being used is always current.
- 3.5 Relevant network factors and appropriate weightings are required to develop a series of asset hierarchies. The intervention levels for all defects found as a result of the asset inspection will be risk assessed for the severity of the defect, its location on the network and the resulting timescale to make safe and rectify the defect.
- 3.6 Concise notes relating to the methodology and outputs for all elements covered are an essential part of the Section 58 defence.

## **4 Highway Asset Inspections and Asset Condition**

- 4.1 The main purpose of asset inspections, whether as a highway safety inspection or asset specific inspection, is to identify any assets which, for whatever reason, the desired performance has changed and as a result there may be a risk that there is a potential danger to the public or the integrity of the asset itself may become compromised. This change in the performance may be as a result of unforeseen occurrences, for example, a pothole has starting to or has already formed in a footway, a mandatory road sign has fallen and is missing, a pedestrian guard rail has been damaged by a lorry or a street lighting column has been hit by a car.
- 4.2 The regular programme of safety and asset inspections provides a systematic monitoring of the highway asset condition and determines whether the asset condition has changed since the last inspection. The inspections will identify any defects to the asset attributes, if any intervention is required, what the intervention should be and the timescale.
- 4.3 SBC has good knowledge of all its highway assets in respect of the quantities, their condition and a measure of the asset residual life for different assets as a baseline as of November 2018. The process followed is set out in the Data Management Strategy and is attached at Appendix B.
- 4.4 The Policy and Guidance requires that for all highway asset types, the designated highway asset owner assesses the up-to-date highway asset information and develops and agrees a programme of updating and reviewing a proportion of the current asset data annually to ensure that the asset data (quantities and condition) is as current as is practical.
- 4.5 This updating is a continuum and may only be reduced once the quality of all aspects of the asset data has been assessed as being comprehensive.
- 4.6 Good quality asset data is used to support good asset management and support the Policy and Guidance. This includes specialist and detailed highway asset condition surveys which contribute to determining highway asset residual life and feed into future work programmes in the short, medium and long term.
- 4.7 To facilitate access to all asset data for all those who require access, the data is held in one of the designated data management systems as set out in Appendix C.

## **5 Network Hierarchies**

- 5.1 A risk assessed highway asset hierarchy should not be developed only using traffic flow information as the hierarchy would result in the most frequent inspections taking place on roads and footways with the greatest usage and these tend to be the assets in the best condition.
- 5.2 The risk assessed asset hierarchies must take into consideration all the relevant factors such as asset condition, insurance claims, locations of known defects, locations of schools etc. which all contribute to increase the risk that a hazard may occur.
- 5.3 The Policy and Guidance requires the asset owners to develop their highway asset hierarchy factors and the reasons for each so that there are robust asset specific hierarchies.
- 5.4 Once the hierarchy factors have been agreed, then a process of factor prioritisation and weighting is required. To help the asset owners Appendix D sets out the main factors to be included. This is not an exhaustive list and others may be asset specific.
- 5.5 Due to the dynamic nature of the highway network, the hierarchies require review to an agreed timescale and where appropriate amended. This is an important part of the Policy and Guidance.

## **6 Asset Inspection Frequencies**

- 6.1 The risk assessed frequencies for highway safety inspections and asset inspections are determined from the respective asset hierarchies. The optimum frequency for inspections is derived from the respective asset hierarchies. The greater the priority number, the more frequent the inspection.
- 6.2 The SBC highway safety inspection and asset inspection frequencies are set out in Table 1.

**Table 1 – Highway Safety and Asset Inspection Frequencies**

<b>Frequency priority</b>	<b>Frequency</b>
Priority 1	Daily
Priority 2	Weekly
Priority 3	Monthly
Priority 4	3 monthly
Priority 5	6 monthly
Priority 6	Annually
Priority 7	Bi-annually

6.3 These highway safety inspection and asset inspection frequencies provide the asset owner with a variety of timescales for them to apportion the asset hierarchies with appropriate risk assessed frequencies.

## **7 Intervention Levels and Timescales**

7.1 The intervention levels and timescales for all defects found during highway safety inspections and asset inspections have been developed using acceptable intervention levels and are set out in Table 2 below. The actual treatments and timescales for each defect found are determined by highway inspectors or asset owners and reflect the defect dimensions, location on the network and the defect specific risk assessment carried out on an individual defect basis.

7.2 The highway inspector or asset owner is able to determine the appropriate intervention level that is most appropriate for each defect found during an asset inspection.

7.3 The factors to be taken into account include:

- hierarchy priority number
- location of defect on/in asset or on network
- severity of defect
- other relevant information

7.4 Table 2 provides the defect intervention levels found during highway safety inspections and asset inspections by the highway asset inspectors and asset owners. These allow SBC to risk assess each defect and determine the optimum intervention level and timescales to rectify for all defects found during highway safety inspections and asset inspections.

7.5 Dependent on the defect rectification timescale all works ordered will require a retrospective or works permit to be issued.

**Table 2 – Intervention Levels**

<b>Asset Type</b>	<b>Intervention Levels</b>	<b>Actions and Timescales</b>
Carriageways	40mm or greater in depth AND extending in one direction greater than 300mm	Emergency – Up to 2 hours CAT 1a – Up to 24 hours CAT 1b – Up to 7 days CAT 2 – Either 28 days or part of works programme
Footways	Slabs with trip hazard of 20mm or greater Pothole 20mm or greater and extending in plan by more than 600mm Broken or misaligned kerbs causing a trip hazard of 20mm deep or greater Unfilled gaps of 20mm or greater Projecting or sunken ironwork 20mm or greater Overgrown or over hanging vegetation causing carriageway deviation or restricting width to less than 750mm	Emergency – Up to 2 hours CAT 1a – Up to 24 hours CAT 1b – Up to 7 days CAT 2 – Either 28 days or part of works programme
Cycleway	As footways	Emergency – Up to 2 hours CAT 1a – Up to 24 hours CAT 1b – Up to 7 days CAT 2 – Either 28 days or part of works programme
Footpaths	Footpath defects - Risk based decision	Any defects identified from whatever source, risk based decision on timescale for completion
Statutory undertakers equipment	10mm	To be reported to the equipment owner for rectification. If not rectified at defined timescale, SBC to address and recover any costs
Street furniture	Damaged or showing signs of deterioration and not operationally usable	Make safe within 2 hours and permanent repair within 1 month or longer when new equipment has to be ordered.



Street lighting	Damaged, exposed wires or not working	Make safe if damaged or exposed wires – within 2 hours If out fix within 5 working days. Where there are more than 2 lights in a row or 3 in 5 not working – fix within 1 working day. Where the fault is on the Suppliers incoming cable the repair time will be dependent on the Network Operators service level agreement.
Illuminated signs	Illuminated signs where damaged or not working	Mandatory Signs - When not working fix within 1 day Others – When not working 5 working days
Traffic signals	Damaged traffic signal equipment or where bulbs not working	Fix within 2 hours
Variable message signs (VMS)	Damaged VMS – Risk based decision	Fix within 5 working days
Bus stop infrastructure	Flag sign, timetable case or post damaged or missing. Damaged shelter. Damaged, exposed wires. Lighting not working. Real time passenger information screens damaged or exposed wires.	Make safe within 2 hours Report to equipment owner for rectification. Where not rectified to agreed timescale, SBC to address and recover any costs
Highway Structures, retaining walls, and other highway structures	Damaged parapet walls, defective retaining walls, and other defects	For parapet walls, make safe within 2 hours, final repair within 1 month, unless a listed structure. For other structures – risk based decision
Highway Trees	Defective trees as a result of damage or disease.	Make safe within 2 hours and permanent rectification within 1 month. Other works, risk based decision
Highway Drainage	Ponding to carriageways of approximately 25% of carriageway width, blocked gullies or offset kerbs, flooding of properties	Make safe within 2 hours and permanent repair within 1 month Flooding of properties, risk based decision Other – risk based decision
On street parking meters	Damaged parking meters	Make safe within 2 hours and permanent repair when equipment can be supplied.
Electric vehicle charging posts	Damaged charging posts or exposed wires.	Inform equipment owner.

## **8 Highway Safety Inspections and Highway Asset Inspections**

8.1 The different asset inspections used for good asset management are determined by the asset owners and summarised as follows.

### **Highway Safety Inspections**

#### **Carriageways, Footways, Footpaths, Highway Street Furniture, Bus Stop Infrastructure, Cycleways**

8.2 The highway safety inspection includes the following, but this list is not exhaustive.

- potholes in carriageways
- damaged kerbs
- defective manhole covers and gulley gratings
- flooding or standing water on carriageways
- loose or damaged road signs or posts
- dirty or obscured mandatory road signs
- damage to tree boughs
- worn or defective road markings at intersections
- potholes in footways or cycleway
- tree root damage
- obstruction of footway/cycleway from trees or hedges
- defective statutory undertakers trenches or equipment
- Any other defects found during the safety inspection

8.3 Whether the highway safety inspection is undertaken as a walked inspection or from a slow moving vehicle there will be a high level of confidence that the inspection will identify all asset defects. Where no defects are found a 'Nil Return' will be logged on the computer software called Symology Insight.

#### **Street Lighting, Traffic Signals, Variable Message Signs,**

8.4 For street lighting columns and illuminated signs the significant defects that may be found by the highway safety inspectors will be loose or missing doors, damaged equipment or cables exposed and the need to make safe and subsequent rectification. If any of these defects are found, the highway inspector will contact the asset owner and manage the make safe process. The defect details and action taken will be logged on Symology Insight.

8.5 For traffic signals and variable message signs, safety defects from the highway safety inspection will include damage to signal heads, poles and cabinets, exposed wires and loose or missing doors. If any of these defects are found the highway inspector will contact the asset owner and manage the make safe

process. The defect details and action taken will be logged on Symology Insight.

### **Structures, Retaining Walls, and Other Structures**

- 8.6 Highway structures, retaining walls and other highway defined structures generally deteriorate over time and will be managed by the structures team via General Inspections (GI) and Principal Inspections (PI).
- 8.7 It is however important that during the highway safety inspection that due regard is taken with respect to the bridges or culvert, retaining walls and other defined structures. The associated assets may include carriageways and footways, parapet walls, safety fencing, bridge joints, other brickwork, obstructions to culverts and bridges and the like. If any defects are found, the highway inspector will contact the asset owner and manage the make safe process. The defect details and action taken will be logged on Symology Insight.

### **Highway Drainage Inspections – Gullies and Outfalls**

- 8.8 Highway drainage assets can be divided into two broad types, those fully buried and those that have part of the asset at or above ground level. The highway safety inspections will include those highway drainage assets that have part of the asset above or at ground level. Gullies will be inspected to determine whether they are full and offlet kerbs will be checked to see if they are blocked. Additionally any evidence flooding on the road and the depth of water ponding during or just after inclement weather will be noted and logged on Symology Insight.
- 8.9 Any obstructions to highway drainage outfalls have the potential to cause water back up and flooding further upstream. All public highway outfalls will be inspected during the safety inspection. If any defects are found, the highway inspector will contact the asset owner and manage the make safe process. The defect details and action taken will be logged on Symology Insight.

### **Highway Tree Inspections**

- 8.10 Highway trees are those situated on the highway and defects may be associated with root damage to the footway, cycleway or highway verge. These will be identified as part of the highway safety inspection.
- 8.11 Any defects associated with the tree canopy may be identified from the highway safety inspections if there is bough damage or signs of disease. If any of these defects are found, the highway inspector will contact the asset owner and manage the make safe process. The defect details and action taken will be logged on Symology Insight.

### **On-Street Highway Parking Meters**

- 8.12 If the highway inspector identifies any defects when undertaking the safety inspections, these will be noted. The defect details and action taken will be logged on Symology Insight for the parking service provider to take the appropriate action.

### **Bus Stop Infrastructure**

- 8.13 Bus stop infrastructure asset inspections to include bus stop flag, timetable case, pole, raised alighting kerbs, bus shelters and any associated electrical equipment. Additionally where there is real time bus information screen, any screens found damaged or wires exposed.
- 8.14 If any defects are found, the highway inspector will contact the asset owner and manage the make safe process. The defect details and action taken will be logged on Symology Insight.
- 8.15 If the real time screens are blank or suffer signal failures then this is self-reported through the bus real time computer program, Inforoute.

### **Highway Asset Inspections**

#### **Street Lighting, Traffic Signals, Variable Message Signs**

- 8.16 All electrical equipment is required to be inspected, nominally every 6 years. For new electrical equipment, the asset owner may determine the frequency of electrical inspection to be less frequent than 6 years. For equipment coming to the end of its design life, more frequent electrical inspections may be required.
- 8.17 Street lighting columns may require structural testing during their design life. If sample testing is used, the output from that testing may be used to determine whether additional structural testing is required to ensure column safety. As columns move towards the end of their design life, structural testing frequencies may increase.

#### **Structures, Retaining Walls, and Other Highway Structures**

- 8.18 All designated highway structures are inspected either as a Principal Inspection (PI) or as a General Inspection (GI). The frequencies of inspections at present are 12 year cycle for PIs and 6 year cycle for GIs.
- 8.19 Specialist inspections such as checking for scour will be determined by the asset owner from the outputs of the PI and GI and all other relevant information.

### **Highway Drainage Inspections – Gullies and Outfalls**

- 8.20 The highway drainage assets that are part or fully above ground, including gullies and offset kerbs are visually inspected by a highways inspector to see if they are damaged. If any defects are found, the highway inspector will contact the asset owner and manage the make safe process. The defect details and action taken will be logged on Symology Insight.

### **Highway Tree Inspections**

- 8.21 The asset specialists undertake bi-annual inspections of highway trees and from these inspections, the works programme is developed and the asset specialist determines the timescales for rectification.

### **On-Street Highway Parking Meters**

- 8.22 On-street parking meters are inspected by the parking service provider's staff on a sector basis each day. This is to identify those that have been damaged, not working or in need of some form of maintenance. The service provider's staff will determine what action is required and the timescales for rectification.

### **Bus Stop Infrastructure**

- 8.23 Bus stop infrastructure asset inspections will be undertaken by a number of asset owners.
- 8.24 The bus shelters are classed as highway structures and the responsibility of the structures team.
- 8.25 The electrical equipment within the bus shelters is the responsibility of the street lighting team and they will arrange for the 6 year electrical testing to be carried out.
- 8.26 The footway, raised kerbs, flag, timetable case and pole are the responsibilities of the highways team and they will arrange for the appropriate asset inspections to be carried out with other assets on the network.
- 8.27 If any defects are found, the highway inspector will contact the asset owner. The defect details and action taken will be logged on Symology Insight.
- 8.28 The real time bus information equipment is the responsibility of the asset owner and they will determine the appropriate risk based asset inspections to be programmed and carried out. The outputs from the real time inspection are to be uploaded into Inforoute.



## **9 Competencies and Training**

- 9.1 Any person, whether SBC staff or those from SBC service providers tasked with undertaking highway safety inspections or any other asset inspections must have the appropriate competencies and have completed the required training in accordance with the SBC Asset Management Competencies Matrix (found at Appendix F).
- 9.2 Where the individual is in training or does not have the full competencies set out in the Asset Management Competencies Matrix, they must be supervised by a competent person who, at the conclusion of the highway safety inspection or asset inspection, will sign off the inspection output.

## **10 Highway Asset Inspection Process**

- 10.1 The operation of this Policy and Guidance requires the highway inspector or asset specialist to complete the highway safety inspection or asset inspection in accordance with the frequencies determined by this Policy and Guidance. These will either be derived from Symology Insight or by the respective asset owners.
- 10.2 Highway safety inspections will primarily be undertaken as walked inspections. To use a slow driven inspection with a driver and spotter, a risk assessment is required and a concise note held in Symology Insight.
- 10.3 All defects found as part of the highway safety inspection will be photographed and date stamped, logged and the highway inspector will undertake a risk assessment to determine the actions in the short term together with the timescale for the permanent repair. This information will be logged and uploaded into Symology Insight. The Defect Risk Assessments are set out in Appendix E.

## Appendix A – Highway Asset Management Risk Matrix

Impact 	Very Low	Low	Medium	High
Probability 				
Negligible	1	2	3	4
Low	2	4	6	8
Noticeable	3	6	9	12
High	4	8	12	16
Response Category	Category 2 (Low)	Category 2 (Medium)	Category 2 (High)	Category 1

### Highway Safety Inspections

Category Response Times:

Category 1 – Depending upon the defect and its location, repair or make safe as an emergency within 2 hours or within 24 hours

Category 2 (High) – Depending upon the defect and its location, repair within 48 hours and 7 days.

Category 2 (Medium) or (Low) – Depending upon the defect and its location, repair as part of future maintenance works,

### Asset Inspections

The frequency for each asset inspection is a product of the factors used to develop the asset specific hierarchies.

The defect response times follow the highway safety inspections is determined by the asset expert when undertaking asset inspections the appropriate intervention and associated response time. The rectification timescale may be anything from make safe as an emergency to no action needed.

## **Appendix B – Data Management Strategy**

### **Highways Infrastructure Asset Data Management Strategy**

*September 2016*

#### **Purpose of the Strategy**

The purpose of our Highways Infrastructure Asset Data Management Strategy is to effectively manage our transport infrastructure assets by proactively collecting all relevant data to a frequency and level of quality that ensures Southend's asset management policy is delivered.

It is acknowledged that all data will be held in suitable decision support systems (DSS) which are accessible to all those requiring data access and data security is in accordance with the Southend corporate data security policy.

SBC have developed this Data Management Strategy so that SBC can:

- Complete regular life-cycle planning scenarios for all transport infrastructure assets to support Southend's investment modelling.
- Hold and update the most relevant transport infrastructure asset inventory attributes in line with best practice.
- Undertake regular condition surveys of transport infrastructure assets in accordance with the respective Codes of Practice.
- Process all inventory and condition data to develop prioritised annual, 3 and ultimately 5 year works programmes.
- Calculate the Southend transport infrastructure asset valuation in line with the CIPFA asset valuation requirements.

In developing this Strategy, the ambition is to:

- Maintain in a serviceable condition and fit for purpose, Southend's transport infrastructure assets.
- Run regular lifecycle planning scenarios for its transport infrastructure assets to inform Southend's investment modelling.
- Establish an accurate transport infrastructure asset inventory to support its decision making.
- Collect transport infrastructure asset condition data using accredited systems and processes and that the outputs are a priorities works programme using optimum interventions.
- Understand the depreciated replacement cost and gross replacement costs for our transport infrastructure assets.



## **Strategic Priorities**

It is important that we have a clear understanding of the scope of our transport infrastructure assets, its condition, the optimum investment need, and that the subsequent output is an optimum annual works budget. These will be aligned with the strategic asset management priorities and delivers our asset management policy.

The key data management priorities are that:

- All critical asset data will have a designated owner, and that owner have responsibilities to comply with the corporate and local data management requirements.
- All data whether procured or from internal condition surveys, is appropriately date stamped and its 'ownership' is with Southend.
- Data collection is undertaken on a risk based approach for frequency, method of collection and the reliability and repeatability of outputs.
- All data collected, or processed is held in the most appropriate DSS for the type of critical asset the data relates.
- SBC will undertake a review of the present number of DSS used to hold transport infrastructure data so that we can reduce system overlap, multiple uploading of data, and the costs of holding multiple system licences.
- SBC will archive and dispose of critical asset data only when data has been superseded, the relevant asset has been disposed of and the archived data to be disposed complies with any corporate requirements.
- All data quality, updating, collection and processing is reviewed on a regular basis in accordance with any corporate requirements.

## **The Highways Infrastructure Asset Management Plan (HIAMP)**

The HIAMP is made up of the complete suite of highways documents. Our HIAMP contains transport infrastructure asset specific policies and data relating to our respective transport infrastructure asset condition and inventory. These policies are supported by evidence, generally in accord with national policies and affordability which are set out as the affordable levels of service for Southend. Data management is required at various stages in the asset management policy preparation, in supporting our HIAMP.

## **Delivering our Objectives**

This strategy defines our data management objectives:

1. Use the most cost effective asset collection process and DSS in which to invest our increasingly limited resources.
2. Focus on reducing the numbers of asset systems being used to:-
  - a. hold critical asset management data and
  - b. deliver improvements to the present and future value of the transport infrastructure assets.
3. Increase the number of our asset management staff who are better informed about our transport asset management inventory and condition data and the number who are more proactively involved in using this data to improve the condition of the transport infrastructure.

## Appendix C – Asset Management Systems

<b>AM System</b>	<b>Assets Held</b>	<b>Comments</b>
Symology's Insight	Gazetteer, all highways assets, highway structures and sea defences, street furniture	Used to hold highway safety inspections and to generate the safety inspection programme.
Bridgeman	Structures - Principle Inspections and General Inspections	In process of migrating asset records to Symology Insight
Deadsure	Street lighting and illuminated signs	No. of columns, installation date, light source, also used for payment of energy. Self-reporting of columns out via central management system
Ezytreez	Highway trees	Record of tree species, dimensions of each tree and other relevant information.
IMTRACK	Traffic signals and variable message signs.	No. of traffic signals, dates when installed, energy usage. Self-reporting of light faults.
Inforoute	Bus real time passenger information signs	No. and type of real time passenger information signs. Self-reporting of signal failures and screens down.

## **Appendix D – Asset Hierarchy Factors and Template**

The following are some of the factors which will be used to develop the different asset hierarchies. Each highway asset owner will determine the factors most relevant for their asset and appropriate weighting to be used for each factor to determine the respective highway asset hierarchy.

- Asset usage i.e. traffic flows, pedestrian usage, cyclist usage
  - HGV percentage
- Historic insurance claims
  - carriageways
  - footways
  - footpaths
  - trees
  - other
- Road condition index (RCI)
  - Carriageways
- Other carriageway condition surveys
  - Deflectograph
  - SCRIM
  - Gaist condition data
- Footway network condition
  - From the footway network survey
- Highway Structures condition Indicators (check the indicator)
  - Weight limits, width and any height limits
  - Outputs from GIs and PIs.
- Rights of way
  - Any condition survey results
- Resilient network
- Salting routes
- Locations of schools
- Location of shopping centres
- Location of hospitals
- Significant employment hubs
- Other factors

## Asset Hierarchy Template

The Excel version of this template, once populated will produce the risk based asset hierarchy for SBC Highway assets.

Hierarchy Factors		Weightings		
		<b>Carriageway</b>		<b>Footway</b>
Traffic Flows		10		10
- HGV percentage		10		
insurance claims				
- carriageways		10		
- footways				10
- trees		10		
- other				
Road Condition Index (RCI)				
- carriageways		10		
Footway Network Condition				10
Resilient network		10		10
Salting Routes		10		
School				10
Shopping centre				10
Hospital				10
Employment hub		10		
<b>Total</b>		<b>80</b>		<b>70</b>

## Appendix E – Defect Risk Assessment

- 1.1 For defects where the investigation level is reached or exceeded is to be evaluated based on a risk assessment that identifies the overall seriousness of the defect and its location on the network to determine speed of response to remedy the defect. In all cases Category 1 and Category 2 (H) defects will be directed to the service provider immediately they are found.

### Category Response Times

#### Category 1

- 1.2 Emergency - Up to 2 hours

CAT 1a – Up to 24 hours

CAT 1b – Up to 7 days

#### Category (2H), 2(M), Category 2(L)

- 1.3 CAT 2 – Either 28 days or part of works programme

- 1.4 Record Category 2 (H), (M) and (L) defects to inform planned carriageway & footway maintenance programmes and help priorities for future repair during scheduled maintenance works.

**Note: Category 2 (H), (M) and (L) defects are recorded but no rectification action is required.**

#### Category 1 Defect

- 1.5 All defect identified during highway safety inspections as Category 1 requires the highway inspector to risk assess the action to be taken for the make safe and any permanent repair. There are options available although the risk assessment may determine that a combination of actions may be appropriate.

- 1.6 Immediate Action (within 2 hours)

Highway inspector determines whether to stay on site and keep the area safe. The service provider responsible for the asset type involved will be contacted immediately and order raised as a Priority 1.

- Temporary Action

Temporarily make defect safe and used when it is unlikely or impracticable to be permanently repaired within 24 hours. The 'temporary make safe' is recorded in Symology Insight. It is expected that the permanent repair is completed within 28 days. The service provider responsible for the asset type involved will be contacted immediately and order raised as a Priority 2.

- Permanent Action

Permanent repair to a Category 1 defect within 24 hours following any temporary make safe and are restricted to those defects which constitute imminent danger.

## **Category 2**

- 1.7 These are defects which following a risk assessment do not represent an immediate or imminent hazard or risk of short term asset deterioration. They are categorised as either high (H) medium (M) or low (L). Category 2 (M) and (L) defects will be recorded and reports provided to Highway Maintenance Engineers.
- 1.8 Defects associated with statutory undertakers' equipment or other private equipment will be notified to the owner. Where the defect is a Category 1, owner must be informed to take the appropriate action. If that action is not taken as required, SBC may make the defect safe, and recover any costs from the asset owner. The intervention Levels for Utility Apparatus is 10mm.
- 1.9 All safety fence defects shall be dealt with in the same way as all other defects faults, in accordance with the defect location and severity. In all work undertaken will be reported to the relevant Team Leader.

## Appendix F - Asset Management Competencies Matrix

### Asset Management Competency Requirements

<b>ICE Rating</b>	<b>Skill Level 0 - No Knowledge</b>	You have no knowledge of the subject
	<b>Skill Level 1 - Appreciation</b>	At this level staff should have a general understanding of this area of work and the basic relevance and importance of the topic
	<b>Skill Level 2 - Knowledge</b>	In addition to having a general awareness of the topic, this level requires staff to know how work is carried out in this field, and to be able to do so with guidance and supervision
	<b>Skill Level 3 - Experience</b>	Here, the requirement is to demonstrate an understanding of the principles involved and to be able to complete tasks and projects in this field independently or under supervision
	<b>Skill Level 4 - Ability</b>	This level requires staff to demonstrate a full understanding of the principles to be able to complete tasks and projects in this field independently and be able to guide, train and supervise others effectively

	Skill / Name	Director	Head of Service	Asset Manager	Group Manager	Highway Engineer	Technician Engineer	Street works Coordinator	Inspectors	Highway Officers
<b>Legal / Regulatory</b>	Asset Management Understanding	2	2	4	3	3	2	1	2	2
	Law - Highways	2	2	2	2	3	2	1	1	1
	Law - Street Works	2	2	2	2	3	2	4	1	1
	Law - Environmental	2	2	2	2	3	2	1	0	0
	Law - Insurance	2	2	2	2	2	2	1	0	0
	Law - OJEU Procurement	2	2	2	2	2	2	1	0	0
	Law - Statutory Orders	2	2	2	2	3	2	1	0	0
	Regulations - CDM	2	2	3	3	4	2	1	0	0
	Emergency Planning	2	2	2	2	1	1	1	0	0
	Sustainable Energy Management	1	1	2	2	1	1	1	0	0
	Lifecycle Management	1	1	3	3	1	1	1	1	1
	Whole Life Costing	1	1	3	2	2	2	1	0	0
	Performance Management	4	4	3	2	2	2	1	0	0
	Risk Management	4	4	3	2	2	2	1	0	0



Monte Carlo Risk Assessment	1	1	3	2	2	2	1	0	0
Project Management	3	3	3	3	3	3	1	0	0
Data/Information Management	2	2	3	3	2	2	1	1	1
Procurement Management	2	2	3	3	2	2	1	0	0
Contract Management	3	3	3	3	3	3	1	0	0
Financial Management	4	4	3	3	3	3	1	1	1
People Management	4	4	3	3	3	3	1	0	0
Business Awareness	4	4	3	3	1	1	1	0	0
Research	2	2	2	2	1	1	1	0	0
Report Writing	4	4	3	3	4	3	1	0	0
Risk Balancing	4	4	4	4	2	0	1	1	1
Strategic Thinking	4	4	4	4	1	0	1	0	0
Decision Making	4	4	4	4	1	0	1	3	3
Convergent/Divergent Thinking	4	4	3	3	1	0	1	0	0
Business Continuity	4	4	2	2	1	0	1	0	0
Prince 2 / MS Project	1	1	3	3	3	2	1	0	0
Communication	4	4	4	4	4	2	3	2	2
Geometric Design	1	1	3	3	4	4	1	1	1
Road Restraint Systems	1	1	2	2	4	3	1	1	1
Value Engineering	2	2	2	2	4	3	1	1	1
Material Engineering	1	1	2	2	4	3	1	1	1
Highway Engineering	1	1	2	2	4	3	1	1	1
Bridge Structural Engineering	1	1	2	2	4	3	1	1	1
Drainage Engineering Inc. SUDS	1	1	2	2	4	3	1	1	1
Network Management	2	2	2	2	4	3	4	3	3
Traffic Management	2	2	2	2	4	3	4	3	3
Operational (service) Delivery	3	3	4	4	4	3	1	1	1
Works Cost Estimates	2	2	4	3	4	3	1	1	1
Purchase Order	2	2	4	3	4	3	1	0	2

Technical



# Southend on Sea Borough Council Parking Policy



## INTRODUCTION

Parking restrictions are in place throughout Southend. The Council put these parking regulations in place in order to help reach its objectives set out in its local transport plan, these are:

- Tackling congestion to limit delays
- Increasing accessibility to key services and facilities
- Improving road safety and security
- Enhancing the environment and quality of life
- Improving management and maintenance of our transport network

This policy document is split into three sections; general principles and contravention codes, considering received informal and formal representations and dispensation and suspension issues.

### General Principles and Contravention Codes

Enforcement of restrictions are between 8.00am and 6.00pm Monday to Saturday, Sundays between 9.00am and 6.00pm and evening enforcement of parking areas regulated by charges extending to 9.00pm and double yellow lines (24 hours).

The Civil Enforcement Officer (CEO) will serve a Penalty Charge Notice (PCN) to a vehicle when they believe a contravention to the parking restriction has occurred. When issuing a PCN the following information is collected and either printed on the PCN or detailed in the CEO's pocket book:

- Date of contravention
- Date the Notice was served
- Time of observation and service
- Make
- Colour
- Vehicle Registration
- Contravention description and code
- Location of alleged contravention (street/car park name)
- Road fund license number and expiry
- Any details of:
  - Pay and display tickets
  - Permits
  - Dispensation
  - Blue Badge
  - Any notes displayed
  - Any other information that may be displayed in the windscreen, windows or dashboard
  - Any other information that is relevant to the issue/service of the PCN
- Details on how the PCN was served i.e. PCN affixed to the windscreen, handed to motorist or whether the vehicle was driven away.

**Additional information:**

- Unique PCN number
- Name of Enforcing Authority
- Penalty Charge amount
- Methods of payments
- How to make payments
- How to challenge the PCN
- Address for payment and correspondence
- Payment periods (i.e. statutory payment and discount periods)

On completion, the PCN must be affixed to the windscreen of the vehicle or handed to the person appearing to the CEO to be in charge of it.

**Service of PCN by Post**

Enforcement of certain restrictions is undertaken by an approved device (CCTV) and in these circumstances, the PCN is sent by post to the registered keeper of the vehicle. PCN's will be issued by post if a vehicle is parked in contravention of the following restrictions.

- Parked on a bus stop clearway or bus stand clearway
- Parked on a School Keep Clear Marking (zig zags)

In certain circumstances the CEO will observe a vehicle to ascertain whether an exempt activity (such as loading/unloading, delivery/collection or boarding/alighting) is taking place or, in cases where a vehicle is parked in a permitted parking place without a pay & display ticket visible, to allow time for the driver to return with said ticket<sup>1</sup>. This observation period will be dictated by the type and location of the alleged contravention and also be reliant on other factors such as the effect on traffic flow or pedestrian access

An 'instant' PCN may always be issued in circumstances where the CEO concerned has evidence, other than a period of observation, which supports the action of issuing the PCN without observing the vehicle for any given period.

The introduction of differential charging on March 31<sup>st</sup> 2008 altered the way in which penalty charge notices are issued to vehicles. The charge amount of the penalty charge is dependant on if the contravention is more serious or less serious.

More serious	£70.00	Discounted	£35.00 (within 14 days)
Less serious	£50.00	Discounted	£25.00 (within 14 days)

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<sup>1</sup> *Motorists are not permitted time to obtain change away from the immediate area of the P&D machine or car park. CEOs will normally observe queues at ticket machines and/or pedestrians who may be returning to the vehicle in question, before issuing a PCN.*

A more serious contravention is normally where the motorist has taken no steps to park correctly, so for example, they have parked on single or double yellow lines, disabled bay or bus stop/stand.

Whereas a less serious contravention is deemed that the motorist attempted to park correctly, for example they are displaying a face down pay and display ticket, or an expired pay and display ticket.

Additional policies and practices:

- a) Vehicles may wait in a restricted area (other than on Clearways, including mandatory school “keep clear” markings) for as long as necessary to allow persons to board or alight and/ or to load/ unload personal luggage.
  - b) Waiting and unloading restrictions and prohibitions do not apply to marked vehicles, or vehicles with official notices, being used for Fire Brigade, Ambulance, Police, RNLI or Coastguard purposes, Royal Mail and other mail delivery organisations.
  - c) Statutory undertakers/ companies’ vehicles (and those of their authorised contractors) may wait in restricted and prohibited areas whilst being used for necessary works such as laying, erection, alteration or repair of sewers, pipes/ apparatus for the supply of gas, water or electricity.
  - d) Waiting Restrictions normally apply to the entire width of the Highway, including footways, grass verges and permanent vehicle cross-overs (PVXs). Consequently, PCNs will be issued to vehicles:
    - which encroach, with more than one whole wheel onto a footway from private land or from a long vehicle cross-over (across a wide verge) or from a carriageway
    - which encroach from a private property or PVX onto a carriageway by more than one whole wheel
    - Parked on any part of a grass verge where there are appropriate waiting restrictions. (Unless specific directions are given not enforce such an area.) Vehicles on crossovers are not issued to, unless they are obstructing the footway.
  - e) Vehicles will be deemed to be in contravention if any part of that vehicle is out of a marked bay and encroaching onto a waiting restriction by at least one wheel.
  - f) Loading and unloading: A CEO will carry out constant observation (Private vehicles) or casual observation (commercial vehicle) when it is deemed loading/unloading is taking place. Loading, unloading, collection and delivery includes: reasonable time in delivering goods within the premises, waiting for the goods and/or completion of relevant paperwork.
- When parking the vehicle the motorist should understand and be able to demonstrate that the use of the vehicle is necessary rather than convenient.
- g) It is part of Southend’s policy to take photographs of any vehicle issued with a PCN.
  - h) Pay and display tickets are not transferable between vehicles or parking places.

## Considering informal and formal representations

The guidelines in this section are intended as a guide for staff when considering representations, whether formal or informal, to PCNs issued in accordance with the Traffic Management Act 2004. (TMA 2004)

This is consistent with Statutory Guidance issued by the Department of Transport (in accordance with the Traffic Management Act) and aims to provide clarity, consistency and transparency within the enforcement process and comply with the aspirations of the Traffic Penalty Tribunal and the Local Government Ombudsman.

The TMA 2004 gives eight grounds for representations on receipt of a Notice to Owner (NtO) and one further ground to these for a Postal (Section 10) PCN (sent where a vehicle has been driven away, or, the CEO has been prevented from serving the PCN) as listed below:

- the alleged contravention did not occur
- the recipient was not the owner of the vehicle at the time of the contravention
- the vehicle had been permitted to remain at rest in that place by a person who was in control of the vehicle without the owner's consent
- the recipient is a vehicle-hire firm and:
  - at the time of the contravention the vehicle was on hire and
  - the person hiring the vehicle had signed a statement of liability in respect of any penalty charge notice served during the period of the hire agreement
- the charge exceeds the appropriate amount
- there has been a procedural impropriety on the part of the enforcement authority
- the traffic order was invalid
- The PCN has already been paid.
- the enforcement officer was not prevented from serving the original PCN (Postal PCN only)

The TMA 2004 also requires that Local Authorities consider both 'informal' representations (those made on receipt of a PCN) and 'formal' representations (those made after service of the NtO or Postal PCN by the person to whom the documentation was sent).

Statutory Guidance states that the Local Authority must carefully consider all representations, both formal and informal, whether or not they fall into the above categories, and although the TMA allows 56 days for the authority to reply to formal representations, Statutory Guidance gives suggested reply times for these replies, 14 days for informal representations and 28 days for formal representations. Southend will consider all representations and will endeavour to reply well within the time constraints laid out in Statutory Guidance.

What is important about these guidelines is that they represent a foundation upon which fairness and discretion can be applied. The importance of flexibility in these matters has been recognised by the courts and, as a consequence, decisions made by councils must always give consideration to all the circumstances surrounding the issue of every PCN and take into consideration any mitigation put forward by the motorist or owner of a vehicle.

The policies address the following:

- *The statutory grounds upon which representations may be made*
- *Mitigating circumstances*
- *The acceptance or rejection of representations*

**It is important to recognise that each case will be considered on its own merits and matters of proportionality, objectivity, fairness and reasonableness should be paramount. These guidelines must not fetter the use of discretion and officers should ensure this is considered in all cases.**

Please refer to the end of this document for the flowchart that shows the 'life-cycle' of the PCN.

These policies will be subject to ongoing review.



## Important Note

Although the following include the Statutory Grounds to make formal representation following service of a Notice to Owner, or a Postal PCN, in accordance with the directives issued in both the legislation and Statutory Guidance, full consideration will be given to all representations and mitigation received, whether or not they fall within the description of any “**Statutory Grounds**” and each case will be judged on its own merits.

### Disabled Badge Parking

Where you may park

You may park using your Blue Badge in the following locations:

#### Designated Disabled Parking Bays

- Nearside Parking Bays (passenger side nearest the Kerb) *Nearside parking bays allow passengers with a disability to get out of a vehicle onto the pavement.*
- Offside Parking Bays (driver’s side nearest the kerb) *Offside bays cater for drivers with a disability, who can travel independently, and get in and out of a vehicle on the driver’s side.*

#### Pay and Display Parking Bays

Pay and Display On-Street parking bays are available with nearside/offside parking. If you display your Blue Badge you do not have to pay to park.

#### Parking on Yellow Lines

Nearside/offside parking for Blue Badge holders is allowed on yellow lines as long as:

- you do not cause an obstruction,
- there are no loading restrictions,
- you do not park for longer than 3 hours, and
- The clock must be set at the time of arrival and displayed clearly with the badge.

Where you must **not** park

**The Blue Badge is not a licence to park anywhere.** You must **NOT** park during the time a ban on loading or unloading is in force (normally indicated by one or two yellow marks on the kerb [Chevrons] at the times shown on the post mounted plates).

However, in pedestrian areas, waiting and loading restrictions may be in force even where there are no yellow lines shown on the road or kerb. Details of any restriction in force will be shown on plates displayed at the kerb side of the road. You must **NOT** park in the following places:

- Where there are double white lines in the centre of the road even if one of the lines is broken.

- In a cycle lane
- On any clearway, double or single lines during their hours of operation.
- On all Pedestrian crossings-including Zebra, Pelican, Toucan and Puffin crossings
- On zigzag markings before and after Zebra, Pelican, Toucan and Puffin crossings
- In parking places reserved for specific users, e.g., loading bays, taxis, cycles
- Where temporary restrictions on a parking are in force along a length of road e.g. as indicated by no waiting cones
- In suspended Pay and Display meter bays or when use of the meter or bay is prohibited
- On school keep clear markings during the hours shown on a yellow no-stopping plate

You must **NOT** park where it would be obstructive or cause danger to others. The following are likely examples:

- At school entrances, bus stops, on a bend, or near the brow of a hill or hump bridge
- Where it would make the road narrow, e.g. by a traffic island or where road work is in progress
- Where it would hold up traffic, e.g. in narrow stretches of road or blocking vehicle entrances
- Where emergency vehicle stop or go in and out, e.g. hospital entrances
- Where the kerb has been lowered or road raised to form a pedestrian crossing or access to a property.

<b>Disabled Badge Parking (Failure to park in accordance with the Department of Transport (DfT) guidelines issued to all Blue Badge holders)</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
If it can be established that the signage is not acceptable for the type of contravention specific to Blue Badge holders	If the vehicle was parked in contravention in accordance with the DfT guidelines

<b>Loading/Unloading - where the motorist claims he/she was loading/unloading</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>Where there is an exemption in the Traffic Orders for vehicles on a waiting prohibition or in a controlled bay:</p> <p><b>If evidence is provided to show:</b></p> <ol style="list-style-type: none"> <li>1. Goods being delivered or collected were heavy, bulky, or numerous and it would be unreasonable to expect them to be carried from a 'legal' parking place.</li> <li>2. Loading/unloading activity was adjacent to the premises concerned.</li> <li>3. Loading/unloading activity was timely (includes checking goods and paperwork, but not delayed by unrelated activity)</li> <li>4. If in the course of business, including commercial delivery/collections, couriers, multi drop parcel carriers, removal services</li> </ol> <p>[Source – Traffic Orders, decided cases e.g. Jane Packer Flowers]</p>	<p>Where loading/unloading is prohibited such as:</p> <ul style="list-style-type: none"> <li>on School 'keep clear' zigzag markings;</li> <li>on Bus Stop clearways;</li> <li>on designated bays eg Taxi ranks, Police bays, permit bays;</li> <li>in car parks: (except when depositing materials in recycling bins);</li> </ul> <p>On Loading Bans.</p>

<b>Pay &amp; Display Ticket Machine Faulty- where the motorist claims that a pay &amp; display ticket machine was faulty</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>There was not another ticket machine in the vicinity that was operating correctly and:</p> <p>If service records confirm a fault or that the machine had been taken out of service at the time of the contravention;</p> <p>If there is reasonable doubt because evidence is not available to confirm that a machine was working at the time (computer record or test ticket).</p>	<p>If there was another ticket machine nearby that was working correctly at the time;</p> <p>If there is no record of the machine being faulty or taken out of service;</p> <p>If there is reasonable doubt because evidence (from computer records or CEO's notes) confirms that other visitors had been able to purchase tickets from the machine during the relevant period.</p>

<b>Signs /Lines Unclear - where the motorist claims that the restriction is not clearly signed or marked</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If signs and/or markings are missing or unclear or not visible;</p> <p>If signs and markings are inconsistent with each other and/or Traffic Order or legislation.</p>	<p>If site visit records or photographs establish that signs and/or markings are correct and consistent with each other and the Traffic Regulation Order.</p> <p>Lines are not required to be in perfect order and if it is clear a restriction is in place regardless of whether the lines are broken and normal wear and tear.</p>

<b>Construction or Demolition Works- where motorist was carrying out construction or demolition works etc</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If evidence confirms that the motorist was simply loading/unloading (see policy regarding loading/unloading above);</p> <p>If a valid dispensation to park at the location in question had been issued and was on display in the vehicle;</p> <p>If works are of a statutory nature or are exempted from restrictions by a Traffic Order or legislation;</p> <p>If it can be proven that works were an emergency.</p>	<p>In all other circumstances.</p>

<b>PCN Was Not Served - where the motorist claims that PCN was not served</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If the CEO pocket book and/or computer notes confirm that the vehicle drove away before the production of a PCN could be started, i.e. the CEO had not input any details into his note book or hand held computer and no photographs.</p>	<p>If the CEO notes or photographs confirm that a PCN was fixed to the windscreen of the vehicle;</p> <p>The pocket book states the PCN was prevented from being served by force, threats of force, obstruction or violence and a PCN had been sent through the post.</p>

<b>Not Parked at the Location - where the motorist claims that their vehicle was not parked in the alleged location at the time and on the date the PCN was issued</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>Following consideration of all available evidence. Where evidence is not adequate or details of the PCN differ from those recorded in the CEO's pocket book;</p> <p>If the motorist provides a copy of their vehicle excise license (tax disc), which was valid at the time of the contravention, and the serial number of which differs from the number noted by the CEO.</p>	<p>If the motorist does not provide a copy of their tax disc, after being given an opportunity to submit such a copy;</p> <p>If the serial number on the copy tax disc provided by a motorist is identical to the serial number noted by the CEO(or shown in any photograph taken by the CEO);</p> <p>If there is no evidence or the evidence presented does not support the claim and is consistent.</p>

<b>Authorisation to Park given - where the motorist claims that valid authorisation to park had been permitted</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If the motorist can produce a valid authorisation i.e. dispensation to park or records show that the motorist held a valid authorisation to park. (Issued by either the Council or Police Officer).</p>	<p>If the motorist cannot provide a copy of the valid authorisation to park or if there is no record of any issue of the authorisation;</p> <p>If the motorist had authorisation to park however did not park in accordance with the authorisation given.</p>

<b>Pay &amp; Display Ticket Displayed - where the motorist claims that a pay &amp; display ticket was purchased and correctly displayed</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If the motorist produces a Pay &amp; Display parking ticket that was valid at the time the Penalty Charge Notice was issued and the CEO evidence (Notes and/or photograph) confirms:</p> <ul style="list-style-type: none"> <li>• <b>A ticket was displayed ‘face down’</b></li> <li>• <b>A ticket was displayed but partially concealed so that relevant details (expiry time, date, etc) could not be seen and checked</b></li> <li>• <b>The ticket serial number printed on the back of the ‘face down’ ticket matches the details of the ticket produced.</b></li> </ul> <p>Note: in the above circumstances the PCNs may be cancelled on the 1<sup>st</sup> occasion, any subsequent PCNs issued in similar circumstances will be considered, however will be unlikely to be cancelled;</p> <p>If the motorist produces a pay and display ticket that was valid at the time the PCN was issued and provided reasonable explanation on why the pay and display ticket was not clearly displayed in the windscreen of the vehicle;</p> <p>Note: in the above circumstance the PCN may be cancelled on the 1<sup>st</sup> occasion, any subsequent PCNs issued in similar circumstances will be considered, however will be unlikely to be cancelled.</p>	<p>If the motorist is unable to produce a ticket that was valid at the time the PCN was issued;</p> <p>The serial number of the ticket produced does not match serial number printed on the back of the ticket seen by the CEO;</p> <p>Where the registration number details entered at the time of purchase and printed on the ticket produced, do not match the registration number of the vehicle concerned, subject to some latitude being allowed for errors;</p> <p>A PCN issued previously in similar circumstances was cancelled And the driver/owner was told that further PCNs issued in similar circumstances would not be cancelled;</p> <p>When evidence confirms that the ticket produced was not purchased by the motorist (obtained from another motorist, found in the car park, etc).</p>

<b>Penalty Exceeded the Relevant Amount</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If the PCN and/or Notice to Owner showed the incorrect amount of penalty charge, i.e. the wrong penalty charge band.</p>	<p>If the PCN and Notice to Owner showed the correct amount of penalty charge.</p>

<b>Traffic Order invalid</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
If the Traffic Regulation Order prescribing the restrictions that the vehicle concerned contravened is defective in some way i.e. is ultra vires, was not made in accordance with relevant procedure or is inaccurate or incorrect in terms of detail.	If the relevant Traffic Regulation Order is sound and accurate in all respects;  If the motorist merely considers the restrictions to be unfair.

<b>Vehicle Sold/Disposed of, or Purchased, after Contravention- where the registered (as notified by the DVLA) keeper claims that the vehicle was disposed of before, or purchased after, the contravention occurred</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
If the registered keeper is able to provide proof that the vehicle was disposed of before, or acquired after, the contravention, i.e. a bill of sale, registration document, insurance documents or a letter from the DVLA;  If the registered keeper is able to provide the full name and address of the person to whom they disposed of the vehicle, or acquired the vehicle from;  ACTION - send a new Notice to Owner to the person named by the registered keeper.	If the registered keeper is unable to prove that the vehicle was disposed of before the contravention, or acquired the vehicle from, nor able to provide the name and address of the person to whom the vehicle was disposed;  If the person named by the registered keeper as the person to whom the vehicle was disposed, or acquired from, does not exist, cannot be traced or some other reason not considered to be bona fide.

<b>Hired vehicle - where the current registered keeper claims that a contracted third party was responsible for the vehicle at the time of the contravention</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
When an approved, signed, formal hire agreement exists (see policy regarding hire vehicles).	In all other circumstances because the registered keeper is always liable, including where the vehicle was left in the care of a garage.

<b>Claims that they never owned The Vehicle - where the motorist claims that they never owned the vehicle</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If the DVLA confirm the motorist was not the registered keeper at the time of the contravention;</p> <p>The matter has been reported to the Police as the vehicle has been 'cloned and a 'ringer' is believed to be in existence;</p> <p>There is substance/proof in the claim by way that it is believed that the vehicle has been fraudulently registered.</p>	<p>If the DVLA confirm the motorist was the registered keeper of the vehicle at the time of the contravention;</p> <p>If the previous registered keeper provides proof that the motorist purchased or acquired the vehicle before the contravention, or the subsequent registered keeper provides proof that the motorist sold or disposed of the vehicle after the contravention;</p> <p>If the motorist is proven to have hired the vehicle for the day on which the contravention occurred and signed an agreement to take responsibility for PCNs incurred, subject to the time of hire (see policy regarding hire vehicles).</p>

<b>Vehicle had been stolen - where the current registered keeper claims that the vehicle had been stolen</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If the registered keeper provides a valid Police crime report reference number which must be on headed paper or official compliment slip.</p>	<p>If the current registered keeper is unable to provide any proof of theft;</p> <p>If the Police crime report reference number provided by the current registered keeper does not exist or it does not match the theft or date of the theft alleged.</p>



<b>Owner is a Hire Company - the owner is a hire company and they have supplied the name of the hirer</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If the hire company is able to provide proof that the vehicle was hired at the time of the contravention, i.e. a signed agreement If the hire company are able to provide the full name and address of the person to whom they hired the vehicle;</p> <p>ACTION - send a new Notice to Owner to the person named by the Hire Company.</p>	<p>If the hire company are unable to prove that they hired out the vehicle on the date of the contravention nor provide the name and address of the person to whom they hired the vehicle;</p> <p>If the person named by the hire company as the person to whom they hired the vehicle, without proof, either does not exist, cannot be traced or denies responsibility for the contravention;</p> <p>If the vehicle was being used as a courtesy car without an agreement signed to accept responsibility for PCNs issued.</p>

<b>Procedural Impropriety - there has been a procedural impropriety on the part of the enforcement authority</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If there is evidence that the Council has failed to send out statutory documentation within the time constraints of the Traffic Management Act 2004;</p> <p>The Council has failed to respond to Informal or formal representations within the Guidelines set in Statutory Guidance;</p> <p>Where it is deemed that the Council have not followed the guidelines as outlined in the Traffic Management Act 2004, Statutory Guidance and accompanying regulations.</p>	<p>In all other circumstances</p>

<b>PCN has already been paid</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If a copy of the endorsed reverse of payment cheque or debit/credit card payment reference supplied;</p> <p>Signed receipt issued by the Council with the PCN reference shown on it.</p>	<p>In no other circumstances.</p>

<b>Unwell while driving - where the motorist claims that they or a passenger have become unwell while vehicle being driven</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If the motorist provides proof of a medical condition, temporary or permanent, that is consistent with the conditions described and supports the need to park in contravention of the regulations;</p> <p>When the notes made by the CEO support the motorist's representations.</p>	<p>If the motorist cannot provide some proof of a medical condition, temporary or permanent, consistent with the conditions described;</p> <p>Where other evidence contradicts the motorists claims.</p>

<b>Medical Staff Attending Patient - where the motorist claims to be a doctor, nurse or health visitor attending a Patient</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If the motorist produces evidence that they were responding to an urgent medical call and there was no nearby legal parking place.</p>	<p>If motorist was not attending a patient in urgent circumstances or if there was a legal parking space nearby;</p> <p>If motorist was parked outside their practice or other place of work for any reason other than to collect supplies for an urgent call;</p> <p>If motorist was parked in an area which does not correspond with the claim made, i.e. far from patients location, say, in a car park.</p>

<b>Stopped to use the Toilet - where the motorist stopped to use the toilet</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
On production of medical evidence confirming a relevant medical condition and in support of the circumstances described (i.e. the need to park in contravention of the regulations).	If no satisfactory medical reason given.

<b>Visiting a Doctor's Surgery- where the motorist was a patient visiting a doctor's / Dentist's surgery</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
If the motorist can provide a letter from a doctor (or dentist) to confirm that the visit was very urgent and that they were unable to walk from the nearest legal parking space.	<p>If the motorist was not the patient but only driving the vehicle carrying the patient;</p> <p>If the motorist was attending a pre-arranged, non-urgent appointment;</p> <p>If the motorist could reasonably have been expected to park legally elsewhere.</p>

<b>Delayed in Returning to their Vehicle - where the motorist was delayed in returning to their vehicle and parking time purchased had expired</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If supported by appropriate evidence, the motorist's claims that the delay returning to the vehicle was caused by circumstances that were entirely unforeseeable, unavoidable and exceptional;</p> <p>If motorist's vehicle had broken down (proof must be provided);</p> <p>If the motorist was rendered unable to drive, since parking the vehicle, letter from Hospital or Doctor etc.</p>	<p>If the delay described by the motorist was entirely avoidable, i.e. queuing in a shop;</p> <p>If the motorist simply underestimated the time needed and could have reasonably purchased more time, i.e. when conducting business, shopping or commuting;</p> <p>If the motorist was unable to drive since parking due to excess alcohol in the body.</p>

<b>Gone for Change - where the motorist left the vehicle parked without a valid ticket on display to obtain change</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If the motorist had not left the car park, or on-street pay and display area and was in the process of obtaining a pay and display ticket and a ticket was purchased.</p>	<p>CEO's evidence confirms there was either no one in the car park who may have been obtaining or trying to obtain change, queuing for or purchasing a car park ticket from a machine or that any individuals seen who may have been doing so, having been allowed sufficient time to do so did not return to the vehicle under observation;</p> <p>If the CEO's notes indicate that the motorist returned to the vehicle while the PCN was being issued: having apparently completed the purpose which led to the vehicle being parked in the first place, i.e. carrying shopping etc;</p> <p>Having obtained change outside the car park or away from the on-street pay and display area.</p>

<b>Changes to Regulations - where the motorist claims to have been unaware of the parking charges payable or restriction/prohibitions applicable to vehicles of a certain class or weight</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If signing relating to the parking charges payable, restriction or prohibitions in force applicable to a vehicle of that class or weight are incorrectly or inadequately signs or missing all together.</p>	<p>In other circumstances.</p>

<b>Tariff Rise (Recent) - where the motorist claims to have been unaware of recent rise in tariff</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If statutory notices were not erected in accordance with procedural regulations;</p>	<p>If statutory notices were erected in accordance with procedural regulations and tariff board(s) were correct.</p>

If revised tariff is not on tariff board(s).	
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<b>Parked outside Markings of Bay - where the motorist had parked with one or more wheels outside of a marked parking bay in a car park</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
Only in the most exceptional of circumstances that were outside the motorists control and are supported by Incontrovertible evidence.	When clear and incontrovertible supporting evidence (photographs/Sketch plan) is available.

<b>Disabled Badge (Failure to Display / Partially Displayed or Displaying Expired Badge) - where the motorist is a Blue Badge holder/transporting a Blue Badge holder and they did not have their Blue Badge and/or clock on display or could not be read or had expired</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If it can be established that this is the motorist's first contravention of this type and they can provide evidence that they are a Blue badge holder or were transporting a Blue Badge holder. Evidence of the Blue Badge has to be provided</p> <p>If the motorist is parked on a waiting restriction beyond the 3 hours time limit permitted or on another restriction for which the Blue Badge scheme does not provide an exemption the PCN may be cancelled if it is their first contravention.</p>	If the motorist has previously had a PCN cancelled for the same contravention and has been warned to display a valid badge / time clock, correctly in the future or advised on where the Blue Badge permits them to park.

<b>Controlled Parking Zone (Unaware Of) - where the motorist claims to have been unaware of the existence of a Controlled Parking Zone (CPZ)</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
If it can be established that the signing and markings of the CPZ are at fault (missing and/or unclear entry signs/bay signs or markings).	In other circumstances.

<b>Expired Authorisation to Park - where the motorist was displaying an expired authorisation to park, i.e. dispensation, parking place suspension, season ticket, residents' permit and staff permit</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If the renewal of the authorisation was delayed by the Council's administrative processes;</p> <p>If it can be established that other reasonably unforeseen circumstances delayed the renewal of an authorisation to park, e.g. sickness on the part of the applicant or a postal dispute/delays (supported by appropriate evidence)</p>	In other circumstances

<b>Controlled Parking Zone (New Resident) - where the motorist is a new resident within a controlled parking zone and had parked in a residents' bay without displaying a valid residents' permit</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
If the permit was applied for in good time and the issue of the permit was unduly delayed by the council.	In other Circumstances

<b>Grace Period - where the motorist assumed that they were entitled to "a period of grace" before the PCN was issued</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
There is no statutory 'grace period' and therefore there are no foreseeable circumstances in which a PCN will be cancelled.	In all circumstances

<b>Attending a Funeral - where the motorist claims they were attending a funeral</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
If hearse or funeral cars supplied by the Funeral Directors	Only if there is a significant reason to doubt the sincerity of the representations.

<p>In other cases if no evidence exists to the contrary, consideration will be given.</p>	
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<p><b>Obscured Road Markings - where the motorist claims that snow, foliage, fallen leaves or flooding covered the signs or markings</b></p>	
<p><b>Cancellation Considered</b></p>	<p><b>Cancellation Unlikely</b></p>
<p>If it can be established that such conditions prevailed and it is likely that signs and markings were obscured as claimed and there was no alternative indication of the restriction.</p>	<p>If it can be established that such conditions did not cause lines and signs to be obscured as claimed.</p> <p>If the CEO's notes photographic evidence etc. directly contradict the motorist's version of events</p> <p>If any reasonable alternative indication of the restriction was available to the motorist. If the location of the contravention was unlikely to be subject to the weather conditions</p>

<p><b>Breakdown - where the motorist claims that the vehicle had broken down</b></p>	
<p><b>Cancellation Considered</b></p>	<p><b>Cancellation Unlikely</b></p>
<p>If the motorist is able to provide satisfactory evidence of a breakdown, i.e. proof of vehicle recovery or a bill of sale for repair or parts.</p>	<p>If the motorist is unable to provide satisfactory evidence of any kind that their vehicle had broken down</p> <p>If the cause of the vehicle "breaking down" was due to negligence on the part of the motorist, i.e. the vehicle had not been properly maintained, had run out of petrol or water or a similar reason</p> <p>If the CEO's notes contradict the motorist's version of events.</p>

<b>Attending an Emergency - where the motorist claims that they were attending an emergency or another vehicle that had broken down</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
If the motorist is able to provide reasonable proof of the emergency, i.e. a credible report of an accident or incident, or that they were attending to another vehicle that had broken down	<p>If the motorist is unable to provide evidence of any kind that they were attending an emergency or another vehicle which had broken down</p> <p>If the CEO's notes contradict the motorist's version of events, i.e. the motorist was not seen attending an emergency or another vehicle which was broken down</p>

<b>Paid Wrong Machine - where the motorist claims to have put money into the wrong ticket machine</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
If the position of the ticket machine used by the motorist is likely to cause confusion.	<p>If the ticket machine used by the motorist is positioned in such a place that confusion is not likely, providing adequate signs are in place – cannot use On-Street machines in car parks and visa versa</p> <p>If the motorist has had representations accepted for a similar contravention in the same place, previously.</p>

<b>Attending Bank - where the motorist claims to have been collecting or depositing monies at a bank</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If the procedure explained in the motorist's representations is consistent with the allowance for loading and unloading;</p> <p>If specific arrangements have been agreed;</p> <p>Security company delivering/collecting money</p>	In all other circumstances



<b>Temporary Restrictions - where the motorist claims to have been unaware of a temporary parking restriction or special event restriction</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If the motorist claims that there was no indication of the restriction, and the CEOs notes/photographs do not confirm that appropriate signing was in place.</p> <p>If the process followed to make the temporary order was defective in some way.</p>	<p>If the CEOs notes/photographs confirm that the vehicle was parked in an area restricted by the Temporary Order or Notice, and that appropriate signing was in place and clearly visible</p>

<b>Owner Absent - where the registered keeper liable for payment of the PCN is expected to be absent for a long period of time, e.g. is living abroad or is in prison</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>In no foreseeable circumstances</p>	<p>On all occasions</p>

<b>Owner Deceased - where the registered keeper liable for payment of the PCN is said to have died</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>Where the circumstances can be confirmed (by sensitive enquiry).</p>	<p>Only if there is a significant evidence to doubt the sincerity of the representations</p>

<b>Diplomatic Immunity - where the vehicle driven by the motorist is diplomatically registered</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>In all circumstances. A Notice to Owner should never be sent to the keeper of a diplomatically registered vehicle</p> <p>Southend Council should be informed of all penalty charges that are not paid by keepers of diplomatically registered vehicles. They will pass information concerning these debts on to the Foreign and Commonwealth Office</p>	<p>In no circumstances</p>

[Source – Operational Guidance Sec 9 Para 23]	
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<b>Fixed Penalty Notice (FPN) Issued - where the motorist received a Fixed Penalty Notice (FPN) from a police officer when parked in the same location</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
If confirmation provided by the police that proceedings for a criminal offence in connection with the same parking/waiting incident have been instituted	In all other circumstances

<b>Council Officer / Member - where a Council officer or Member parked in contravention and claims to have been on Council business</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
If the officer was carrying out emergency or other statutory work and the vehicle could not have been reasonably parked elsewhere	If it can be established that the officer/Member could have reasonably parked elsewhere.

<b>Boarding / Alighting - where the motorist stopped to drop off someone</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If the circumstances are seen by the CEO</p> <p>If, in exceptional circumstances and subject to observations times, the motorist had to escort a passenger (child, elderly or disabled person) to home, or school entrance / exit</p>	If motorist was parked/stopped on school keep clear markings, pedestrian crossing, bus stop clearway

<b>Overnight Waiting Ban - where motorist was unaware of the Overnight Waiting Ban/Commercial Vehicle waiting restriction</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
If motorist was instructed / authorised to park in contravention of the restriction by the police.	In other circumstances

<b>Police Custody- where motorist states they were in Police custody when PCN issued</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If proof (from the Police) has been provided that the Police had instructed the motorist to leave the vehicle.</p> <p>If the time of arrest (proof required from the Police) provides confirmation that motorist was legally parked and was unable to move vehicle before the restriction started</p>	<p>If no proof provided</p>

<b>Urgent Circumstances - where motorist states they were visiting a friend or relative in urgent circumstances</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If due to an emergency the parking contravention could not be avoided due to the exceptional nature of the incident.</p> <p>Proof required, dependant on the circumstances</p>	<p>If motorist has already received a PCN, which has been cancelled for the same reason</p> <p>If the CEO's Pocket Book notes provides significant reason to doubt sincerity of representation</p>

<b>No Legal Parking Place Available - where motorist claims there was no legal place to park</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>Only in the most exceptional of circumstances</p>	<p>In the absence of exceptional circumstances</p>

<b>Private Property - where motorist claims they were parked on private property</b>	
<b>Cancellation Considered</b>	<b>Cancellation Unlikely</b>
<p>If land search maps confirm location is private property &amp; not subject of the relevant</p>	<p>In other circumstances</p>

<p>Traffic Regulation Order.</p> <p>If there is insufficient evidence to establish location of vehicle</p>	
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<p><b>Seeking Directions/Opening Gate - where motorist had parked while asking directions / opening gates to private property</b></p>	
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Cancellation Considered	Cancellation Unlikely
<p>If evidence provided by the CEO does not contradict representations.</p> <p>If proof can be provided that the driver left the vehicle to obtain/return entry pass/key to gate of private property</p>	<p>In all other circumstances</p>

<p><b>Mobile Telephone - where motorist stopped to answer mobile phone</b></p>	
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Cancellation Considered	Cancellation Unlikely
<p>In no circumstances</p>	<p>On all occasions</p>

<p><b>PCN Incorrect - where motorist states that the details on the PCN are incorrect, e.g. location</b></p>	
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Cancellation Considered	Cancellation Unlikely
<p>If there is reason to doubt that the PCN was issued correctly, taking into account evidence provided by the CEO</p>	<p>If the PCN was fully and correctly completed</p>

<p><b>Bank Holidays - where motorist states they were unaware of enforcement on Bank/Public holidays</b></p>	
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Cancellation Considered	Cancellation Unlikely
<p>In no circumstances</p>	<p>On all occasions</p>

<p><b>Lines / Signs Placed After Vehicle Parked - where motorist states that restriction was marked after the vehicle had been parked</b></p>	
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Cancellation Considered	Cancellation Unlikely
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<p>If records confirm that signing/lining/placement of cones or suspension notices was likely to have taken place after the vehicle parked.</p>	<p>If there is evidence to show that markings were already in place at the time of parking.</p>
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## **Dispensation, Suspension and Permit policies**

### **Dispensations**

The Council, in certain circumstances, will allow, by the issue of a dispensation, a vehicle or vehicles to park lawfully in what otherwise would be in contravention of a Traffic Regulation Order (TRO)

As a corollary of the above and deal with traffic flow needs, maintenance/works or special events, it will also from time to time, suspend parking places either in total or for the purpose of reserving those places for particular vehicles and/or applicants.

Charges are applied for these services and current charges are found in the agreed fees and charges available on the council website [southend.gov.uk](http://southend.gov.uk)

No charge will be made for any hearse and chief mourners' vehicles at funerals or bridal vehicles at weddings.

A dispensation permits a vehicle to park in contravention of the TRO. They allow parking where alternative arrangements cannot be made for the following principle reasons:

- Loading/unloading where the activity is either normally prohibited or the permitted period is insufficient; or
- Situations where alternative arrangements would be unsatisfactory

Dispensations can be issued for:

- Furniture removals;
- Building maintenance/repair works where close proximity to the site is essential. (Where it is established that an application is connected with work in large developments, the number of dispensations will need to be controlled. An inspection will be made by an appropriate member of staff to determine the maximum number of dispensations to be issued);
- Vehicles essential to filming operations;
- Other circumstances which may reasonably be regarded as essential or appropriate.

Dispensations will not be issued in these circumstances:

- Applications where parking may adversely affect disabled, doctors, taxi ranks or bus stops;
- Application where loading restrictions are in place if the dispensation is requested during the restricted period;
- Locations within 50 meters of a signal controlled junction, the entry/exit pedestrian crossing marking, or a footway and/or other locations where parking may cause a danger to pedestrians and road users, serious obstruction/traffic flow impediment;
- Requests where there are doubts concerning validity of the application;
- Applications in respect of vehicles where dispensations have been issued more than twice within the four weeks before the date of the application. Officers have discretion to vary this if it is considered otherwise reasonable to approve the application where adequate parking exists nearby

Applications should be received within two working days before the required date to enable the Council to inspect the site before approval is given. However, Officers have discretion to deal with more urgent applications if it is reasonable to do so.

Dispensations should not be issued for continuous periods in excess of seven days and should not authorise parking for more than two vehicles at any one location unless the Officer is satisfied that the road width and length and precise location permit this safely.

## **Suspensions**

The action to suspend parking places is taken when it is considered necessary to suspend the parking places for the following reasons:

- Traffic movement and safety;
- Essential building/maintenance works;
- Furniture removals;
- Filming;
- Special events;
- Wedding and funerals

The suspension does not permanently remove the legal status of the parking place. Its only effect is to remove it (or the designated part of it) from use during the suspension period.

Public suspension applications must be received no later than 10 working days before the required date in respect of resident and other permit places or five working days for Pay and Display machines.

Notice is not mandatory in regard to emergencies or in respect of statutory undertakings, although in normal course of events that latter will be notified in advance. Such emergencies may embrace action taken by the Police to suspend parking places immediately and without notice for matters of security and public safety.

A suspension may be extended provide the Council receives at least one working day's notice. This is necessary in order that appropriate on street action may be taken to indicate the continuance and to advise normal users of what is happening.

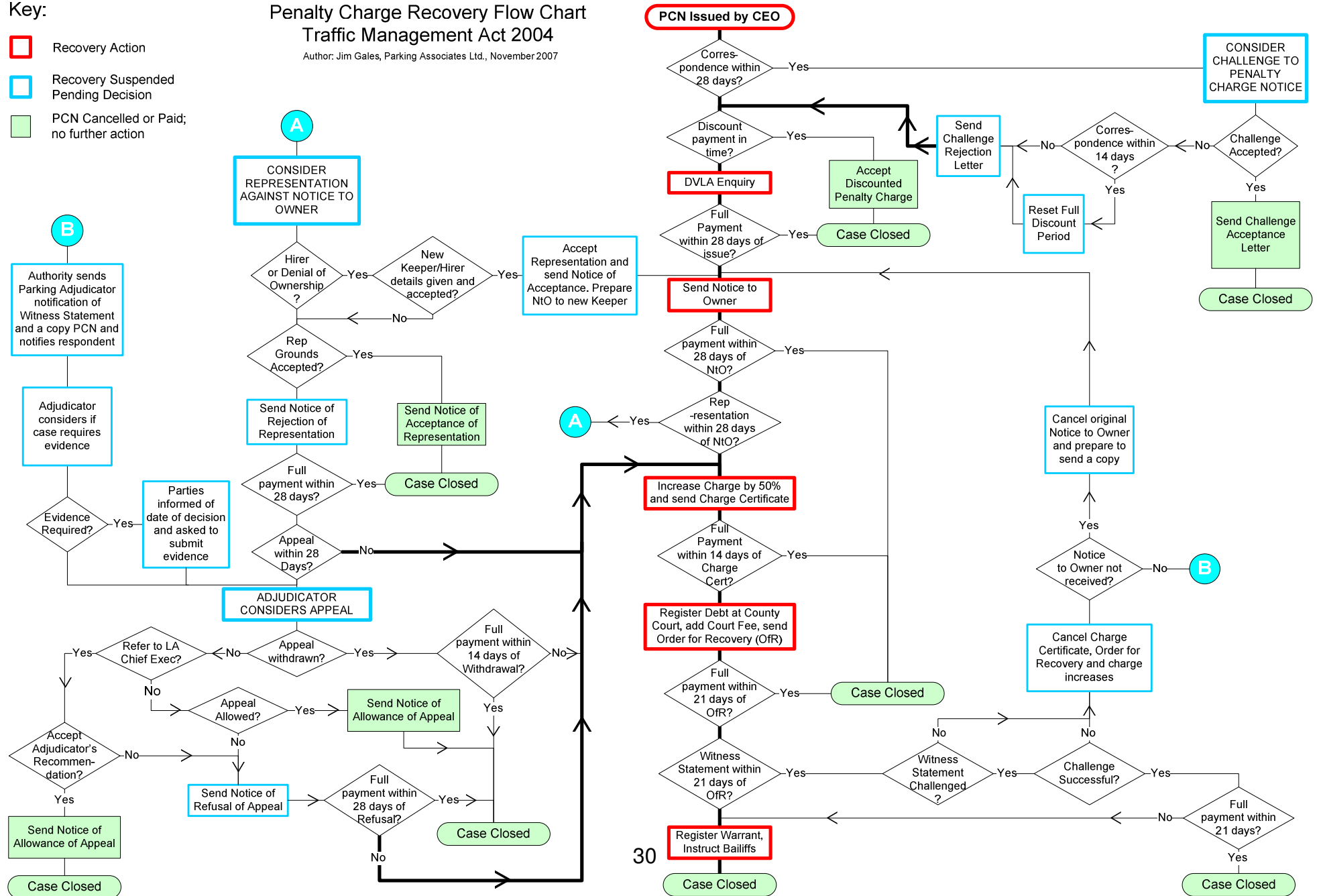
Suspensions are not normally granted in respect of cars. The motorist must park these in accordance with the regulations.

Key:

- Recovery Action
- Recovery Suspended Pending Decision
- PCN Cancelled or Paid; no further action

### Penalty Charge Recovery Flow Chart Traffic Management Act 2004

Author: Jim Gales, Parking Associates Ltd., November 2007





## Contravention Codes and Observation Periods

### ON STREET

Code	Description	Obs Period	Differential Level
01	Parked in a restricted street during prescribed hours	3 mins	Higher
02	Parked or loading/unloading in a restricted street where waiting and loading/unloading restrictions are in force	Instant	Higher
05	Parked after the expiry of paid for time	Instant *	Lower
06	Parked without clearly displaying a valid pay & display ticket or voucher	Instant *****	Lower
07	Parked with payment made to extend the stay beyond initial time	Instant	Lower
12	Parked in a residents' or shared use parking place without clearly displaying either a valid permit or voucher or pay and display ticket issued for that place	Instant **	Higher
14	Parked in an electric vehicles' charging place during restricted hours without charging	Instant	Higher
16	Parked in a permit space or zone without clearly displaying a valid permit	Instant	Higher
18	Using a vehicle in a parking place in connection with the sale or offering or exposing for sale of goods when prohibited	Instant	Higher
21	Parked in a suspended bay/space or part of bay/space	Instant	Higher
22	Re-parked in the same parking place or zone within one hour *** of leaving	Instant	Lower
23	Parked in a parking place or area not designated for that class of vehicle	Instant	Higher
24	Not parked correctly within the markings of the bay or space	Instant	Lower
25	Parked in a loading place during restricted hours without loading	3 mins	Higher
26	Vehicle parked more than 50 cm from the edge of the carriageway	Instant	Higher

	and not within a designated parking place		
27	Parked adjacent to a dropped footway	Instant	Higher
30	Parked for longer than permitted	Instant *	Lower
40	Parked in a designated disabled person's parking place without clearly displaying a valid disabled person's badge	Instant	Higher
42	Parked in a parking place designated for police vehicles	Instant	Higher
45	Parked on a taxi rank	Instant	Higher
47	Stopped on a restricted bus stop or stand	Instant	Higher
48	Stopped in a restricted area outside a school	Instant	Higher
49	Parked wholly or partly on a cycle track	Instant	Higher
55	A commercial vehicle parked in a restricted street in contravention of an overnight waiting ban	Instant	Higher
56	Parked in contravention of a commercial vehicle waiting restriction	Instant	Higher
63	Parked with engine running where prohibited	Instant	Lower
99	Stopped in a pedestrian crossing and/or crossing area marked by zigzags	Instant	Higher

\* A grace period of 10 minutes is applied to both the expiry time of the pay and display ticket and to areas where waiting is restricted to a maximum permitted time.

\*\* a grace period of 10 minutes is applicable where a pay and display ticket has expired.

\*\*\* or other specified time as indicated by the associated signage.

\*\*\*\* unless evident that payment is being made ie, motorists at the machines or payment is not possible at the nearest machine and alternatives must be located

### OFF-STREET PARKING (CAR PARKS)

Code	Description	Obs Period	Differential Level
70	Parked in a loading area during restricted hours without reasonable excuse	3 mins	Higher
73	Parked without payment of the parking charge	Instant	Lower
74	Using a vehicle in a parking place in connection with the sale or offering or exposing for sale of goods when prohibited	Instant	Higher
80	Parked for longer than the maximum period permitted	Instant **	Lower
81	Parked in a restricted area in a car park	Instant	Higher
82	Parked after the expiry of paid for time	Instant *	Lower
83	Parked in a car park without clearly displaying a valid pay & display ticket or voucher or parking clock	Instant	Lower
84	Parked with additional payment made to extend the stay beyond time first purchased - <b>Civic Centre and Library Car Parks ONLY</b>	Instant	Lower
85	Parked in a permit bay without clearly displaying a valid permit	Instant	Higher
86	Parked beyond the bay markings	Instant	Lower
87	Parked in a disabled person's parking space without clearly displaying a valid disabled person's badge	Instant	Higher
89	Vehicle parked exceeds maximum weight and/or height and/or length permitted in the area	Instant	Higher
91	Parked in a car park or area not designated for that class of vehicle	Instant	Higher
92	Parked causing an obstruction	Instant	Higher
93	Parked in car park when closed	Instant	Lower
94	Parked in a pay & display car park without clearly displaying two**** valid pay and display tickets when required	Instant	Lower
95	Parked in a parking place for a purpose other than the designated purpose for the parking place	Instant	Lower
96	Parked with engine running where prohibited	Instant	Lower

- \* A grace period of 10 minutes is applied to both the expiry time of the pay and display ticket and to areas where waiting is restricted to a maximum permitted time.
- \*\* a grace period of 10 minutes is applicable where a pay and display ticket has expired.
- \*\*\* or other specified time as indicated by the associated signage.
- \*\*\*\* payment is required per bay ie, if a larger vehicle encroaches into a second parking bay. Payment is required for both bays.

# Southend-on-Sea Borough Council Civil Enforcement of Parking Policy & Protocol

Date	Version Control Description	Version	Amended By:
13/11/18	First Draft	1.0	GS
14/11/18	Minor updates	1.1	GS
28/02/19	Draft layout amendments	1.2	KH for PG
01/03/19	Minor amendments to wording for clarity	1.3	CHT

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## 1) **PARKING POLICY INTRODUCTION**

Parking restrictions are in place throughout the Borough of Southend-on-Sea. Southend-on-Sea Borough Council implemented parking regulations in order to help reach a number of the objectives set out in Southend's Third Local Transport Plan (LTP3).

In general parking enforcement of restrictions are as follows:

- Between 7am and 6.00pm
- Evenings to 10pm and double yellow lines (24 hours).

When the Civil Enforcement Officer (CEO) believes that a vehicle may be in contravention, the CEO collects the evidence to be able to decide whether the vehicle is in contravention. If the CEO decides that based on the collected evidence that the vehicle is in contravention, the CEO will issue a Penalty Charge Notice (PCN). After the PCN has been printed the CEO will serve the PCN by either affixing it to the vehicles windscreen or if the owner of the vehicle is present to the person appearing to be the owner.

The introduction of the Traffic Management Act 2004 brought in differential charging on 31<sup>st</sup> March 2008, this altered the way in which PCNs are issued to vehicles. The charge amount of the PCN is now dependant on whether the contravention is more serious or less serious, as follows:

- More serious contraventions £70.00 Discounted £35.00 (within 14 days)
- Less serious contraventions £50.00 Discounted £25.00 (within 14 days)

The Deregulation Act 2015 requires a 'grace period' of 10 minutes to be applied on paid for time and free parking bays from 1<sup>st</sup> April 2015. The grace period only applies where the requirements of the bay have been satisfied first i.e. a parking session has been purchased, the vehicle holds the relevant permit, is carrying out an exempted activity, etc. If these requirements have not been met the vehicle will be subject to normal enforcement. It is important to note that the grace period only applies to 'designated parking places'.

A vehicle parked outside controlled hours is considered to have parked at a time when no restrictions are in force and therefore no requirements to satisfy. The 10 minute grace period will apply for the first 10 minutes of the next controlled parking period. For example, if the Controlled Parking Zone hours apply from 8.00am to 6.00pm and the vehicle was parked before 8.00am, the grace period would apply between 8.00am and 8.10am and no PCN should be issued until 8.11am.

The Deregulation Act 2015 also restricted the use of enforcement to certain restrictions that could be enforced by an approved device (CCTV) and in these circumstances, the PCN is sent by post to the registered keeper of the vehicle. PCN's will be issued by post if a vehicle is parked in contravention of the following restrictions:

- Parked on a bus stop clearway or bus stand clearway; &
- Parked on a School Keep Clear Marking (zig zags).

It should be noted that Contravention Code descriptions are updated by London Council's on behalf of the Department for Transport, these are regularly updated and the current version used throughout this policy is v6.7.6. These descriptions are to be used, except those that are contained in the Statutory Instrument 2007 No.3487 The Civil Enforcement of Parking Contraventions (Guidelines on Levels of Charges) (England) Order 2007. These descriptions are indicated with <\*>.

The Parking Policy is split into two main sections, these are:

- A) Enforcement Protocol; &
- B) Discretion Policy.

Parts A and B of this policy will be updated continually as they are based upon decisions from an Adjudicator or legislative amendments. Therefore, the below sections are valid for the date that this Policy is adopted. An up to date version of these policies will be kept with the Parking Manager and be available via the website.



## **A) ENFORCEMENT PROTOCOL**

### **A0) Introduction**

The Enforcement Protocol is a guidance policy for the enforcement of Penalty Charge Notices. Policies set out in this document provide guidance only, the onus is on the Civil Enforcement Officer (CEO) to collect the appropriate evidence to enable them to decide whether a vehicle is in contravention of the parking and traffic regulations.

The policies in this document are intended to inform the public and provide guidance to council employees working in the enforcement of parking regulations.

This is consistent with current best practice and aims to provide clarity, consistency and transparency within the enforcement process and compliance with the aspirations of the Traffic Penalty Tribunal (TPT) and the Local Government Ombudsman.

### **A1) Yellow Lines**

#### **Contravention Code 01 – Parked in a restricted street during prescribed hours**

Single yellow lines indicate that a waiting restriction applies at certain times. The days and hours that the waiting restriction applies within a Controlled Parking Zone (CPZ) will be advertised on signs at all entry points to that zone. Where different waiting restriction times apply to a section of road, a nearby sign will designate the hours of restriction. Double yellow lines indicate waiting is not permitted “at any time”. A sign is not required for double yellow lines.

#### **Exemptions to enforcement**

**1)** Vehicles completing a loading/unloading activity. Any loading activity should be continuous and evident to the CEO during their observations. If the activity is not observed, the CEO would not necessarily know that loading/unloading was taking place; therefore, a PCN is likely to be issued.

If the CEO has reason to believe that the loading/unloading activity has ceased then a PCN may be issued.

**2)** For as long as is necessary to pick up or set down passengers. The driver should remain with the vehicle. If upon further observation the CEO identifies that the vehicle remains parked after the picking up/setting down activity has ceased, a PCN may be issued.

- 3) When a valid Blue Disabled Badge in conjunction with the parking disc indicating that a period no greater than three hours has elapsed since the vehicle was parked.
- 4) Whilst it is evident to the CEO that a security gate/barrier at the entrance to premises, to which the vehicle requires access to or from which it has emerged, is being opened or closed.
- 5) When a valid dispensation is clearly displayed within the vehicle whilst the vehicle is parked within the confines granted.
- 6) Royal Mail vehicles delivering or collecting items of post, except when outside Post Office buildings whereby 5 minutes observation will be permitted before the issue of a PCN. Royal Mail vehicles that are parked outside Post Office buildings will almost invariably be being used in conjunction with the carriage of mail under their universal postal license and as such still attract an exemption whereby there is no time limit.
- 7) Local Authority refuse vehicles collecting waste.
- 8) Vehicles considered to be parked for ambulance purposes, police purposes, or fire brigade purposes.
- 9) Vehicles parked for the purpose of erecting or dismantling scaffolding.
- 10) Vehicles being used in connection with works on the carriageway that constitutes an exemption under the New Road and Street Works Act (1991).

### **Contravention Code 02 – Parked or loading/unloading in a restricted street where waiting and loading/unloading restrictions are in force**

In addition to waiting restrictions (Code 01), there are sections of roads in the Borough that have a further restriction known as a loading restriction or a loading ban (Code 02). These additional restrictions have been put in place to assist the flow of traffic in controlled areas where vehicles stopped for the purposes of loading/unloading and would cause an obstruction. A loading restriction is indicated by the presence of a single or double yellow chevron (also known as a 'blip') painted on the kerb. A single kerb chevron indicates that a loading restriction is applicable for certain times only. Double kerb chevrons indicate no loading at any time. A nearby sign will specify the times when waiting and loading/unloading restrictions are in place. A PCN will be issued instantly unless the CEO has reason to believe that an exemption applies.

### **Exemptions to enforcement**

- 1) For as long as is necessary to pick up or set down passengers. The driver should remain with the vehicle. If upon further observation the CEO identifies that the vehicle remains parked after the picking up/setting down activity has ceased, a PCN may be issued.
- 2) Whilst it is evident to the CEO that a security gate/barrier at the entrance to premises, to which the vehicle requires access to or from which it has emerged, is being opened or closed, in circumstances when no other practical waiting area available.

- 3) When a valid dispensation is clearly displayed within the vehicle whilst the vehicle is parked within the confines granted.
- 4) Royal Mail vehicles delivering or collecting items of post, except when outside Post Office buildings whereby 5 minutes observation will be permitted before the issue of a PCN. Royal Mail vehicles that are parked outside Post Office buildings will almost invariably be being used in conjunction with the carriage of mail under their universal postal license and as such still attract an exemption whereby there is no time limit.
- 5) Local Authority refuse vehicles collecting waste.
- 6) Vehicles considered to be parked for ambulance purposes, police purposes, or fire brigade purposes.
- 7) Vehicles parked for the purpose of erecting or dismantling scaffolding.
- 8) Vehicles being used in connection with works on the carriageway that constitutes an exemption under the New Road and Street Works Act (1991).

## **A2) Resident and shared used parking places**

### **Contravention Code 12 – Parked in a residents or shared use parking place without clearly displaying either a permit or voucher or a pay and display ticket issued for that place <\*>**

A contravention occurs when parking is restricted for resident permit holders only, or shared with other types of permit or Pay and Display facilities, and the vehicle has no valid document on display that would allow it to be parked in that particular parking place. For example, a vehicle displaying a Pay and Display ticket when parked within a resident parking place is considered to be a vehicle with no valid document on display for that parking place. Similarly, a vehicle displaying a handwritten note, or a resident's permit for a different CPZ, would be classed as having no valid document on display.

### **Contravention Code 19 – Parked in a residents' or shared use parking place or zone displaying an invalid permit, or voucher or pay and display ticket or after the expiry of paid for time**

A PCN will be issued using this code when it is evident that some attempt has been made to park legally within that parking place but what has been displayed is incorrect. For example, a vehicle parked within a resident parking place displaying a visitor's permit that has been incorrectly completed. Similarly, a code 19 PCN may be issued after the expiry of time on a pay and display ticket when a vehicle is parked within a shared use Resident Permit/Pay and Display parking place.

### **Exemptions to enforcement**

- 1) Vehicles displaying a valid resident's permit or a valid visitor's permit for the appropriate CPZ.

- 2) Vehicles displaying a valid pay and display ticket for the location when parked within a shared use parking space.
- 3) Vehicles parked in connection with loading/unloading activity. Any loading activity should be continuous and evident to the CEO during their observations. If the activity is not observed, the CEO would not necessarily know that loading/unloading was taking place; therefore, a PCN is likely to be issued.
- 4) A PCN may be issued to a vehicle after a period of 5 minutes casual observation.
- 5) For as long as is necessary to pick up or set down passengers. The driver should remain with the vehicle. If upon further observation the CEO identifies that the vehicle remains parked after the picking up/setting down activity has ceased, a PCN may be issued.
- 6) Royal Mail vehicles delivering or collecting items of post, except when outside Post Office buildings whereby 5 minutes observation will be permitted before the issue of a PCN. Royal Mail vehicles that are parked outside Post Office buildings will almost invariably be being used in conjunction with the carriage of mail under their universal postal license and as such still attract an exemption whereby there is no time limit.
- 7) Local Authority refuse vehicles collecting waste.
- 8) Vehicles considered to be parked for ambulance purposes, police purposes, or fire brigade purposes.
- 9) Vehicles parked for the purpose of erecting or dismantling scaffolding.
- 10) Vehicles being used in connection with works on the carriageway that constitutes an exemption under the New Road and Street Works Act (1991).
- 11) Any non-passenger vehicle being used for the purpose of any building operation, demolition or excavation adjacent to the parking place, the maintenance, improvement or reconstruction of the road or the cleansing of gullies in or adjacent to the parking place, the laying, erection, alteration, removal or repair in or adjacent to the parking place or any sewer or of any main, pipe or apparatus for the supply of gas, water or electricity or of any telecommunication apparatus as defined in the Telecommunications Act 1984 or the placing, maintenance or removal of any traffic sign.

### **A3) Parking places that require payment**

In a Pay and Display parking place a ticket must be purchased and clearly displayed in the vehicle or payment must be made using the pay by phone service. The times of the restrictions are posted on a nearby sign. Before ticket purchase drivers are expected to familiarise themselves with the conditions of use for parking in these places. A full list of conditions is detailed on all ticket machines/meters.

### **Contravention Code 05 – Parked after the expiry of paid for time**

A PCN may be issued if paid time has expired. However, typically, a CEO will allow a period of ten minutes observation after the expiry of paid time on a Pay and Display parking place.

### **Contravention Code 06 – Parked without clearly displaying a valid pay and display ticket or voucher**

A PCN may be issued instantly if the vehicle is not displaying a valid Pay and Display ticket. If a Pay and Display ticket is not clearly visible, obscured or displayed face down, a PCN may still be issued. This contravention code only applies to Pay and Display parking places. If parking is shared with resident permit holders then contravention code 12 will be used.

### **Contravention Code 11 – Parked without payment of the parking charge**

If the CEO observes a vehicle parked in a bay without payment of the parking charge then a PCN may be instantly issued. Drivers should obtain a ticket from a nearby machine or pay by phone.

### **Contravention Code 22 – Re-parked in the same parking place or zone within one hour of leaving**

The contravention occurs when a vehicle leaves a parking bay and returns to the same parking bay, or moves to another bay within the same parking bay, within one hour or other specified time as indicated on the signage.

#### **Exemptions to enforcement**

- 1) Vehicles parked in connection with loading/unloading activity. Any loading activity should be continuous and evident to the CEO during their observations. If the activity is not observed, the CEO would not necessarily know that loading/unloading was taking place; therefore, a PCN is likely to be issued.
- 2) For as long as is necessary to pick up or set down passengers. The driver should remain with the vehicle. If upon further observation the CEO identifies that the vehicle remains in situ after the picking up/setting down activity has ceased, a PCN may be issued.
- 3) When a valid Blue Disabled Badge is displayed (excluding any parking areas where signage indicates the time limit applies to disabled badge holders).
- 4) When a valid dispensation is clearly displayed within the vehicle whilst the vehicle is parked within the confines granted.
- 5) Royal Mail vehicles delivering or collecting items of post, except when outside Post Office buildings whereby 5 minutes observation will be permitted before the issue of a PCN. Royal Mail vehicles that are parked outside Post Office buildings will almost invariably be being used in conjunction with the carriage of mail under their universal postal license and as such still attract an exemption whereby there is no time limit.
- 6) Local Authority refuse vehicles collecting waste.

- 7) Vehicles considered to be parked for ambulance purposes, police purposes, or fire brigade purposes.
- 8) Vehicles parked for the purpose of erecting or dismantling scaffolding.
- 9) Vehicles being used in connection with works on the carriageway that constitutes an exemption under the New Road and Street Works Act (1991).
- 10) Any non-passenger vehicle being used for the purpose of any building operation, demolition or excavation adjacent to the parking place, the maintenance, improvement or reconstruction of the road or the cleansing of gullies in or adjacent to the parking place, the laying, erection, alteration, removal or repair in or adjacent to the parking place or any sewer or of any main, pipe or apparatus for the supply of gas, water or electricity or of any telecommunication apparatus as defined in the Telecommunications Act 1984 or the placing, maintenance or removal of any traffic sign.

#### **A4) Parking places for specific users**

These are parking places that are designated for the sole use of a specific type of permit holder, badge holder, or for a certain type of vehicle. A nearby sign and/or road markings will indicate the type of permit or vehicle permitted to park in that place and the times the parking place is restricted (if no time is specified, then the restriction is in place 24 hours a day, seven days a week).

#### **Contravention Code 14 – Parked in an electric vehicles’ charging place during restricted hours without charging**

Vehicles parked in an electric vehicles charging place, will attract a PCN if the vehicle is not charging during restricted hours.

#### **Contravention Code 16 – Parked in a permit space without displaying a valid permit <\*>**

Vehicles parked in permit holder parking places, i.e. for the dedicated doctors, traders, and members of Car Clubs, will attract a PCN if the relevant valid permit is not displayed.

#### **Contravention Code 23 – Parked in a parking place or area not designated for that class of vehicle**

Some parking places are designated for certain class of vehicles. A contravention will occur when a vehicle other than the designated type is parked within the parking place. For example, a PCN could be issued to cars parked in provisions intended for coaches, solo motorcycles, and ambulances.

#### **Contravention Code 24 – Not parked correctly within the markings of the bay or space**

A contravention occurs when the vehicle is not parked correctly within the markings of the bay or space, for example, two wheels have been stopped outside the length or width. The CEO will take into consideration circumstances where there has been a genuine attempt to park correctly. For example, when a car is parked as close as is reasonably possible to the kerbside, yet the wheels are outside of the parking place because it is a relatively narrow parking place, then it is unlikely that a PCN will be issued. A PCN could be issued instantly unless the CEO has reason to believe that an exemption applies.

### **Contravention Code 25 – Parked in a loading place during restricted hours without loading**

A loading bay allows a vehicle to park in a designated area whilst the activity of loading or unloading goods is being carried out. The activity should be continuous. In some places this activity is restricted to a maximum permitted time of 20 minutes. The restrictions relevant to the loading place are indicated on a nearby sign unless the loading bay is operational at all times.

If no loading/unloading activity is observed, a PCN could be issued to a private vehicle after a period of 3 minutes casual observation, and to a commercial vehicle after 10 minutes. If the CEO observes that the vehicle is being used in connection with loading/unloading activity, then casual observation of the vehicle will continue. A PCN may be issued in circumstances where the vehicle remains parked after the maximum time permitted, or if the CEO has reason to believe that the loading/unloading activity has ceased.

### **Contravention Code 40 – Parked in a designated disabled person's parking place without clearly displaying a valid disabled person's badge <\*>**

Across the Borough there are some parking spaces that are dedicated for the use of Blue Disabled Badge holders. A PCN may be instantly issued to any other vehicle parked in that space without a Blue Disabled Badge on display. A PCN may be instantly issued to any vehicle parked in a bay of this type without a relevant permit on display.

### **Contravention Code 42 – Parked in a parking place designated for police vehicles**

Only marked police vehicles, or vehicles displaying the police log book, may park in parking places marked as for the police. A PCN could be issued instantly in all the above circumstances unless the CEO has reason to believe that an exemption applies.

### **Exemptions to enforcement**

- 1) Vehicles of the specific type for which the parking place is designated.

**2)** To pick up or set down passengers. The driver should remain with the vehicle. If upon further observation the CEO identifies that the vehicle remains in situ after the picking up/setting down activity has ceased, a PCN may be issued. This exemption does not apply to Doctors' parking places, Diplomatic parking places, or Car Club parking places.

**3)** Vehicles considered to be parked for ambulance purposes, police purposes, or fire brigade purposes.

**4)** Vehicles being used in connection with works on the carriageway that constitutes an exemption under the New Road and Street Works Act (1991).

#### **A5) Special Enforcement Area**

#### **Contravention Code 26 – Vehicle parked more than 50cm from the edge of the carriageway and not within a designated parking place <\*>**

This contravention is commonly known as 'double parking'. It can cause an obstruction to the flow of traffic. A PCN could be issued instantly unless the CEO has reason to believe that an exemption applies.

#### **Exemptions to enforcement**

**1)** For as long as is necessary to pick up or set down passengers. The driver should remain with the vehicle. If upon further observation the CEO identifies that the vehicle remains in situ after the picking up/setting down activity has ceased, a PCN may be issued.

**2)** Vehicles considered to be parked for ambulance purposes, police purposes, or fire brigade purposes.

**3)** Local Authority refuse vehicles collecting waste.

**4)** Vehicles being used in connection with works on the carriageway that constitutes an exemption under the New Road and Street Works Act (1991).

**5)** Royal Mail vehicles delivering or collecting items of post.

#### **Contravention Code 27 – Parked adjacent to a dropped footway <\*>**

A contravention occurs and an instant PCN could be issued when:

- a. a vehicle is parked adjacent to a footway, cycle track, or verge that has been dropped to assist pedestrians or cyclists; or
- b. a vehicle is parked adjacent to a footway, cycle track, or verge that has been dropped to assist vehicles entering or leaving the carriageway; In the scenario of b. this code is only used outside of CPZ hours where no other restriction applies. Where the dropped footway provides access to a resident's premises, enforcement is undertaken at the request of the property occupier only. (this does not apply in the case of a shared driveway).



**Contravention Code 28 – Parked in a special enforcement area on part of a carriageway raised to meet the level of a footway, cycle track or verge**

A contravention occurs and an instant PCN could be issued when:

A vehicle is parked adjacent to a footway, cycle track or verge where the carriageway has, been raised to meet the level of the footway, cycle track or verge to allow for pedestrian, cyclist, or vehicular access.

**Exemptions to enforcement**

1) Where the vehicle is parked wholly within a designated parking place or any other part of the carriageway where restricted parking is permitted. For example, when in a Resident Permit parking place with a valid permit during the permitted hours, or when on a restricted yellow line and a relevant exemption applies, provided that it is evident to the CEO that there was nowhere else reasonable to park to facilitate this activity.

2) Vehicles considered to be parked for ambulance purposes, police purposes, or fire brigade purposes.

3) For as long as is necessary to pick up or set down passengers. The driver should remain with the vehicle. If upon further observation the CEO identifies that the vehicle remains in situ after the picking up/setting down activity has ceased, a PCN may be issued.

4) Local Authority refuse vehicles collecting waste.

5) Vehicles being used in connection with works on the carriageway that constitutes an exemption under the New Road and Street Works Act (1991)

**A6) Other contraventions and restricted areas****Contravention Code 21 – Parked in a suspended bay/space or part of bay/space <\*>**

We have a duty to suspend parking provisions from time to time. The most frequent reasons for parking suspensions include statutory works, carriageway works, domestic removals, tree pruning, and building works. A small number of suspensions are for filming and for festivals sponsored by Southend Borough Council. We advise motorists of forthcoming suspensions by way of advance warning notices. These notices are on large, yellow backed boards. Once the warning signs have been erected, the onus is placed firmly on the driver to take responsibility for where they park; if their vehicle is parked in contravention it will be liable for enforcement action. The communication of suspensions information to drivers has been given careful consideration. A PCN may be instantly issued to any vehicle parked in a suspended bay unless it is evident to the CEO that the vehicle is parked in connection with the stated reason for that suspension. The yellow advanced warning sign placed nearby will remain in place during the

suspension period. In addition to stating the reason for the suspension the sign will detail its location, and the duration of the restriction. The restrictions of a suspension mean that vehicles are not permitted to wait, drop off/pick up passengers, or load/unload. These conditions apply to all vehicles, including Royal Mail and refuse vehicles. A PCN could be issued instantly unless the CEO has reason to believe that an exemption applies.

### **Exemptions to enforcement**

- 1) If the vehicle parked in the suspended area is being used in connection with the reason for the suspension, and in accordance with the terms of that suspension. For example, when spaces have been suspended for a domestic removal, a removal van may park in those spaces to carry out the relevant works. Vehicles that are not being used for the purpose of the suspension will be instantly issued with a PCN.
- 2) Vehicles considered to be parked for ambulance purposes, police purposes, or fire brigade purposes.

### **Contravention Code 30 – Parked for longer than permitted**

Vehicles that have been observed parking beyond a given time limit when parked within a designated 'parking place will attract the issue of a PCN using the contravention code 30 PCN. The time limit, if applicable, is stated on a nearby sign. Electric vehicles parked longer than permitted in designated electric vehicle bays may receive a PCN using code 30. A PCN could be issued instantly in the above circumstances unless the CEO has reason to believe that an exemption applies.

### **Exemptions to enforcement**

- 1) The vehicle is considered to be parked for ambulance, police or fire brigade purposes.

### **Contravention Code 45 – Parked on a taxi rank <\*>**

A marked Taxi rank enables a licensed taxi with a license plate on the rear to wait on a taxi rank. A PCN could be issued instantly unless the CEO has reason to believe that an exemption applies.

### **Exemptions to enforcement**

- 1) Local Authority refuse vehicles collecting waste.
- 2) Vehicles considered to be parked for ambulance purposes, police purposes, or fire brigade purposes.
- 3) Vehicles being used in connection with works on the carriageway that constitutes an exemption under the New Road and Street Works Act (1991).

**Contravention Code 46 – Stopped where prohibited (on a red route or clearway)**

When a vehicle waits during prescribed hours on the carriageway of a clearway, indicated by No Stopping signs a PCN could be issued.

**Exemptions to enforcement**

- 1) Local Authority refuse vehicles collecting waste.
- 2) Vehicles considered to be parked for ambulance purposes, police purposes, or fire brigade purposes.
- 3) Vehicles being used in connection with works on the carriageway that constitutes an exemption under the New Road and Street Works Act (1991).

**Contravention Code 47 – Stopped on a restricted bus stop or stand <\*>**

A marked bus stop/stand enables a bus providing a local service to stop to allow passengers to board or alight from the bus, and for the bus to wait to adhere to a published timetable of that service. A PCN could be issued instantly unless the CEO has reason to believe that an exemption applies.

**Exemptions to enforcement**

- 1) Hackney Carriage licensed taxis are permitted to stop in a Bus Stop/Stand for as long as is necessary to allow passengers to board or set down passengers. The taxi driver should remain with the vehicle. If upon further observation the CEO identifies that the vehicle remains in situ after the picking up/setting down activity has ceased, a PCN may be issued.
- 2) Vehicles being used in conjunction with the maintenance of the Bus Stop/Stand.
- 3) Vehicles considered to be parked for ambulance purposes, police purposes, or fire brigade purposes.

**Contravention Code 48 – Stopped in a restricted area outside a school <\*>**

A CEO will issue an instant PCN if a vehicle is observed stopped on the 'School Keep Clear' zig-zag marking during the restricted hours. Vehicles parked in contravention of this restriction potentially put at risk children going to and leaving school. Details of the restrictions are indicated on a nearby sign. There is no restriction outside of the hours stated, unless a yellow line is present to indicate that a waiting restriction applies. A PCN could be issued instantly unless the CEO has reason to believe that an exemption applies.

### **Exemptions to enforcement**

- 1) Local Authority refuse vehicles collecting waste.
- 2) Vehicles considered to be parked for ambulance purposes, police purposes, or fire brigade purposes.
- 3) Vehicles being used in connection with works on the carriageway that constitutes an exemption under the New Road and Street Works Act (1991).

### **Contravention Code 49 – Parked wholly or partly on a cycle track <\*>**

Cycle tracks are a part of the carriageway but are separated from the section of carriageway used by vehicles by a raised verge or island. Cycle tracks are for the use of pedaled cycles only. A PCN could be issued instantly unless the CEO has reason to believe that an exemption applies.

### **Exemptions to enforcement**

- 1) The vehicle is considered to be parked for ambulance purposes, police purposes or fire brigade purposes.

### **Contravention Code 64 – Parked in contravention of a notice prohibiting leaving vehicles on a grass verge, garden, lawn or green maintained by a local authority**

A contravention will occur when a vehicle is parked on a grass verge, garden, lawn or green maintained by a local authority. The CEO could issue an instant PCN to a vehicle which is parked on a grass verge, garden, lawn or green maintained by a local authority

### **Exemptions to enforcement**

- 1) The vehicle is considered to be for ambulance purposes, police purposes or fire brigade purposes.

### **Contravention Code 99 – Stopped on a pedestrian crossing and/or crossing area marked by zigzags <\*>**

Vehicles are not permitted to stop on pedestrian crossings or on the zig-zag markings on either side of the crossing. A vehicle parked on the crossing is an obstruction to pedestrians and a vehicle parked on the zig-zags seriously reduces the visibility of those using the crossing and oncoming vehicles' sightline of pedestrians at the crossing. A PCN could be issued instantly unless the CEO has reason to believe that an exemption applies. The police and its traffic wardens can also issue Fixed Penalty Notices for this offence.

## **Exemptions to enforcement**

1) The vehicle is considered to be for ambulance purposes, police purposes or fire brigade purposes.

### **A7) Car Parks**

#### **Contravention Code 73 – Parked without payment of the parking charge**

If the CEO observes a vehicle parked in a bay without payment of the parking charge then a PCN may be instantly issued. Drivers should obtain a ticket from a nearby machine or pay by phone. It should be noted that blue badge holders with badges issued by Southend on Sea Borough Council may park free of charge in council car parks. All other blue badge holders should pay the relevant charge.

#### **Contravention Code 80 – Parked for longer than permitted.**

Vehicles that have been observed parking beyond the specified time limit when parked within a designated parking place will attract the issue of a PCN using the contravention code 80 PCN. The time limit, if applicable, is stated on a nearby sign. A PCN could be issued instantly in the above circumstances unless the CEO has reason to believe that an exemption applies.

#### **Contravention Code 81 – Parked in a restricted area in a car park**

The majority of car parks feature yellow lines or hatched areas where it is considered that parked vehicles will impede other car park users. Disabled badge holders are not permitted to park on yellow lines in car parks. A PCN may be issued if a vehicle is parked in an area of a car park which is not designated as a parking bay.

#### **Contravention Code 82 – Parked after the expiry of paid for time**

A PCN may be issued if paid time has expired. However, typically, a CEO will allow a period of ten minutes observation after the expiry of paid time on a Pay and Display parking place.

#### **Contravention Code 83 – Parked in a car park without clearly displaying a valid pay and display ticket or voucher or parking clock**

A PCN may be issued instantly if the vehicle is not displaying a valid Pay and Display ticket. If a Pay and Display ticket is not clearly visible, obscured or displayed face down, a PCN may still be issued. It should be noted that blue badge holders with badges issued by Southend on Sea Borough Council may

park free of charge in council car parks. All other blue badge holders should pay the relevant charge.

**Contravention Code 85 – Parked in a permit bay without displaying a valid permit <\*>**

Vehicles parked in permit holder parking places, will attract a PCN if the relevant valid permit is not displayed.

**Contravention Code 86 – Not parked correctly within the markings of the bay or space**

A contravention occurs when the vehicle is not parked correctly within the markings of the bay or space. The CEO will take into consideration circumstances where there has been a genuine attempt to park correctly and the impact this has on other car park users, for example, using two bays preventing others from parking.

**Contravention Code 87 – Parked in a designated disabled person's parking space without clearly displaying a valid disabled person's badge <\*>**

Car parks have some parking spaces that are dedicated for the use of Blue Disabled Badge holders. A PCN may be instantly issued to any other vehicle parked in that space without a Blue Disabled Badge on display. A PCN may be instantly issued to any vehicle parked in a bay of this type without a blue badge displayed. It should be noted that blue badge holders with badges issued by Southend on Sea Borough Council may park free of charge in council car parks. All other blue badge holders should pay the relevant charge.

**Contravention Code 90 – Re-parked in the same car park within one hour after leaving**

The contravention occurs in free car parks with a waiting time limit and a prohibition on returning to that car park within a specified time.

**Contravention Code 91 – Parked in a car park or area not designated for that class of vehicle**

Some car parks are designated for certain class of vehicles. A contravention will occur when a vehicle other than the designated type is parked within the car park. For example, a PCN could be issued to cars parked in provisions intended for coaches, solo motorcycles, and ambulances.

### **Contravention Code 92 – Parked causing an obstruction**

The contravention occurs when a vehicle that is parked in a car park causes obstruction. A PCN could be issued where a parked vehicle causes an obstruction in a car park.

#### **Exemptions to enforcement**

- 1) Local Authority refuse vehicles collecting waste.
- 2) Vehicles considered to be parked for ambulance purposes, police purposes, or fire brigade purposes.
- 3) Vehicles being used in connection with works on the carriageway that constitutes an exemption under the New Road and Street Works Act (1991).

## **B) DISCRETION POLICY**

### **B0) Introduction**

A discretion policy is a guidance document for the enforcement and cancellation of Penalty Charge Notices. Policies set out in this document provides guidance only. Each case must be considered on its own merits, taking into account all of the evidence available and the exceptionality of the circumstances

The policies in this document are intended to inform the public and provide guidance to council employees working in the enforcement of parking regulations. This is consistent with current best practice and aims to provide clarity, consistency and transparency within the enforcement process and compliance with the aspirations of the Traffic Penalties Tribunal (TPT) and the Local Government Ombudsman.

What is important about these policies is that they represent a foundation upon which fairness, openness, transparency and discretion can be applied. The importance of flexibility in these matters has been recognised by the courts and, as a consequence, decisions made by councils must not be fettered by being unduly formulaic.

The policies address the following:

- The statutory grounds upon which representations may be made;
- Mitigating circumstances; &
- The acceptance or rejection of representations.

It is important to recognise that each case will be considered on its own merits, matters of proportionality, objectivity, fairness and reasonableness should be paramount. These policies will be subject to ongoing review.

## **STATUTORY GROUNDS TO MAKE REPRESENTATIONS**

### **Important note:**

Although the following are the 9 Statutory Grounds to make representation, in accordance with a directive issued by the Local Government Ombudsman, full consideration will be given and account taken of all representations received, whether or not they are all fall within the description of “**Statutory Grounds**”. It is for this reason that a 10th Ground, encompassing any other information the motorist or owner/keeper would like the Council to consider, has been included.



**B1) The alleged contravention did not occur:**

**B1.1 Where the motorist claims he/she was loading/unloading**

**MAY ACCEPT REPRESENTATIONS**

On a waiting prohibition or in a controlled bay:

If evidence is available or provided to show:

1. Goods being delivered or collected were heavy, bulky, or numerous and it would be unreasonable to expect them to be carried from 'legal' parking place.
2. Loading/unloading activity was adjacent to the premises concerned.
3. Loading/unloading activity was timely (includes checking goods and paperwork), but not delayed by unrelated activity [Source – Traffic Orders, decided cases e.g. Jane Packer Flowers].

If in the course of business, including commercial delivery/collections, couriers, multi drop parcel carriers, removal services etc.

**MAY REJECT REPRESENTATIONS**

On clearways;

On school zig zag markings;

On bus stop clearways;

On Taxi ranks;

On Police bays;

Where loading is prohibited:

In carparks if a valid pay & display ticket was not purchased first

**B1.2 Where the motorist claims that a parking pay & display machine was faulty**

**MAY ACCEPT REPRESENTATIONS**

If service records confirm a fault or that the machine had been taken out of service at the time of the contravention and payment by phone was not available.

If there is reasonable doubt because evidence not available to confirm that a machine was working at the time (test ticket) and there was not another ticket machine nearby which was operating correctly and the pay by phone service was not available.

**MAY REJECT REPRESENTATIONS**

If payment by phone was available.

If there was another ticket machine nearby that was working correctly at the time.

If there is no record of the machine being faulty or taken out of service.

If there is reasonable doubt because evidence confirms that other visitors had been able to purchase tickets during the relevant period.

**B1.3 Where motorist claims that the restriction is not clearly signed or marked**

**MAY ACCEPT REPRESENTATIONS**

If signs and/or markings are missing or unclear.

If signs and markings are inconsistent with each other and/or Traffic Order or legislation.

**MAY REJECT REPRESENTATIONS**

If site visit records or photographs establish that signs and/or markings are correct and consistent with each other and the Traffic Order.

**B1.4 Where motorist was carrying out building works**

**MAY ACCEPT REPRESENTATIONS**

If evidence confirms that the motorist was simply loading/unloading (see policy B1.1, above)

If valid dispensation to park at the location in question had been issued and was on display in the vehicle.

If works are of a statutory nature or are exempted from restrictions by a Traffic Order or legislation

If it can be proven that works were an emergency,

### **MAY REJECT REPRESENTATIONS**

In all other circumstances

#### **B1.5 Where motorist claims that PCN was not served (i.e. PCN not found attached to vehicle or handed to driver)**

### **MAY ACCEPT REPRESENTATIONS**

If the Civil Enforcement Officer's pocket book and/or computer notes and or bodycam footage confirm that the vehicle drove away before a PCN could be served, i.e. PCN not handed to the driver or fixed to the vehicle.

### **MAY REJECT REPRESENTATIONS**

If the Civil Enforcement Officer's notes or photographs or bodycam footage confirm that a PCN was correctly served, i.e. handed to the motorist or fixed to their vehicle.

If the Civil Enforcement Officer has issued a Regulation 10 PCN by Post.

#### **B1.6 Where the motorist claims that their vehicle was not parked in the location at the time and on the date alleged on the PCN which was issued**

### **MAY ACCEPT REPRESENTATIONS**

Following consideration of all available evidence

### **MAY REJECT REPRESENTATIONS**

If there is no evidence or if the evidence presented does not support the claim or is inconclusive.

#### **B1.7 Where motorist claims that a valid authorisation to park, had been issued**

### **MAY ACCEPT REPRESENTATIONS**

If records show that the motorist holds a valid authorisation to park.

## **MAY REJECT REPRESENTATIONS**

If the motorist cannot provide a copy of the valid authorisation to park or if there is no record of any issue of the authorisation.

If the motorist did not park in accordance with the authorisation.

**B1.8 where the motorist claims that a pay & display ticket was purchased and displayed or payment made using the pay by phone service.**

## **MAY ACCEPT REPRESENTATIONS**

If the motorist produces a Pay & Display parking ticket that was valid at the time the Penalty Charge Notice was issued and the Civil Enforcement Officer confirms that a face down ticket or a ticket that was displayed but concealed in some other way was seen and it is the first contravention of this kind.

OR

Council records show a payment was made using the pay by phone service

OR

Council records show a payment being made for the specified vehicle using a pay and display machine which requires entry of the vehicle registration mark.

## **MAY REJECT REPRESENTATIONS**

If the motorist is unable to produce a valid pay & display ticket.

The Civil Enforcement Officer was unable to confirm that a face down ticket or a ticket that was displayed but concealed in some other way was seen.

The motorist has made a similar representation before and had a previous PCN cancelled, after giving them the benefit of the doubt; or

The Civil Enforcement Officer noted that the motorist obtained their ticket from another motorist in the car park; or

Where digits have been entered on the face of the ticket or the pay by phone system and do not match those of the motorist's vehicle registration, subject to some latitude being allowed for errors.

**B2) That the recipient:**

**Never was the owner of the vehicle in question;  
Had ceased to be its owner before the date on which the alleged  
contravention occurred;  
Became its owner after that date;**

**B2.1 Never was the owner of the vehicle in question**

**MAY ACCEPT REPRESENTATIONS**

If the DVLA confirm that the motorist was not the registered keeper at the time of the contravention.

**MAY REJECT REPRESENTATIONS**

If the DVLA confirms that the motorist was the registered keeper of the vehicle at the time of the contravention.

If the previous registered keeper provides proof that the motorist bought the vehicle before the contravention, or the subsequent registered keeper provides proof that the motorist sold the vehicle after the contravention.

If the motorist is proven to have hired the vehicle for the day on which the contravention occurred and signed an agreement to take responsibility for PCNs incurred, subject to the time of hire (see policy B4, below)

**B2.2 Had ceased to be its owner before the date on which the alleged  
contravention occurred**

**MAY ACCEPT REPRESENTATIONS**

If the current registered keeper is able to provide proof that the vehicle was disposed of before the contravention, i.e. a bill of sale, registration documents, insurance documents or a letter from the DVLA; and/or

If the current registered keeper is able to provide the full name and address of the person to whom they disposed of the vehicle.

**ACTION** - send a new Notice to Owner to the person named by the current registered keeper

## **MAY REJECT REPRESENTATIONS**

If the current registered keeper is unable to prove that they disposed of the vehicle before the contravention nor provide the name and address of the person to whom they disposed of the vehicle.

If the person named by the current registered keeper as the person to whom they disposed of the vehicle, either does not exist, cannot be traced or is for some other reason not considered to be bona fide

### **B2.3 Became its owner after that date**

## **MAY ACCEPT REPRESENTATIONS**

If the current registered keeper is able to provide proof that the vehicle was purchased after the contravention, i.e. an invoice, registration documents, insurance documents or a letter from the DVLA; and/or

If the current registered keeper is able to provide the full name and address of the person from whom they purchased the vehicle.

## **MAY REJECT REPRESENTATIONS**

If the current registered keeper is unable to prove that they purchased the vehicle after the contravention nor provide the name and address of the person from whom they bought the vehicle.

If the person named by the current registered keeper as the person to whom they disposed of the vehicle, either does not exist, cannot be traced or is for some other reason not considered to be bona fide.

### **B2.4 Where the current registered keeper claims that a contracted third party was responsible for the vehicle at the time of the contravention**

## **MAY ACCEPT REPRESENTATIONS**

Only when a hire agreement exists (see policy B4, below).

## **MAY REJECT REPRESENTATIONS**

In all other circumstances because the registered keeper is always liable, including where the vehicle was left in the care of a garage.

**B3) That the vehicle had been permitted to remain at rest in the place in question by a person who was in control of the vehicle without the consent of the owner**

**B3.1 where the current registered keeper claims that the vehicle had been stolen**

**MAY ACCEPT REPRESENTATIONS**

If the registered keeper provides a valid police crime report reference number.

**MAY REJECT REPRESENTATIONS**

If the current registered keeper is unable to provide any proof of theft.

If the police crime report reference number provided by the current registered keeper does not exist or it does not match the theft or date of the theft alleged.

**B3.2 Where the current registered keeper claims that the vehicle was driven by a third party (i.e. a friend, relative or estranged partner)**

**MAY ACCEPT REPRESENTATIONS**

In no circumstance.

**MAY REJECT REPRESENTATIONS**

In all circumstances because the registered keeper is always liable, save for when a hire agreement exists (see policy B4, below).

**B4) That the recipient is a vehicle hire firm:**

**The vehicle in question was at the material time hired from that firm under a vehicle hiring agreement;**

**The person hiring it had signed a statement of liability acknowledging his liability in respect of any PCN served in respect of any contravention involving the vehicle;**

**MAY ACCEPT REPRESENTATIONS**

If the hire company are able to provide proof that the vehicle was hired at the time of the contravention, i.e. a signed agreement.

If the hire company are able to provide the full name and address of the person to whom they hired the vehicle.

ACTION - send a new Notice to Owner to the person named by the hire company.

**MAY REJECT REPRESENTATIONS**

If the hire company are unable to prove that they hired out the vehicle on the date of the contravention nor provide the name and address of the person to whom they hired the vehicle.

If the person named by the hire company as the person to whom they hired the vehicle, without proof, either does not exist, cannot be traced or denies responsibility for the contravention.

If the vehicle was being used as a courtesy car without an agreement signed to accept responsibility for Penalty Charge Notices issued.

**B5) That the penalty charge exceeded the amount applicable in the circumstances of the case.**

**MAY ACCEPT REPRESENTATIONS**

If the PCN and/or Notice to Owner showed the incorrect amount of penalty charge, i.e. the wrong penalty charge band

**MAY REJECT REPRESENTATIONS**

If the PCN or Notice to Owner showed the correct amount of penalty charge

**B6) That there has been a procedural impropriety on the part of the enforcement authority**

**MAY ACCEPT REPRESENTATIONS**

If any requirements imposed by the TMA or the TMA Regulations in the relation to the imposition or recovery of a penalty charge has not been observed.

If any document has been served in advance of the time scale set out in the TMA regulations.

**MAY REJECT REPRESENTATIONS**

If all requirements imposed by the TMA or the TMA Regulations in the relation to the imposition or recovery of a penalty charge has been observed.

If all documents have been served in accordance with the time scale set out in the TMA regulations.



If the motorist merely considers the restrictions to be unfair.

**B7) That the Order which is alleged to have been contravened in relation to the vehicle concerned is invalid**

**MAY ACCEPT REPRESENTATIONS**

If the Traffic Order which prescribes the restrictions that the vehicle was parked in contravention of was either not constructed correctly, i.e. is ultra vires, or was not made correctly, i.e. not consulted on properly.

**MAY REJECT REPRESENTATIONS**

If the Traffic Order which prescribes the restrictions that the vehicle was parked in contravention of was constructed and made correctly.

If the motorist merely considers the restrictions to be unfair.

**B8) In the case where a PCN was served by post on the basis that a CEO was prevented by some person from fixing it to the vehicle concerned or handing it to the owner or person in charge of the vehicle, that no CEO was so prevented**

**MAY ACCEPT REPRESENTATIONS**

If the Civil Enforcement Officer's notes or photographs or bodycam footage confirm that a PCN was correctly served, i.e. handed to the motorist or fixed to their vehicle.

If the Civil Enforcement Officer's pocket book and/or computer notes or bodycam footage did not confirm that the vehicle drove away before a PCN could be served, i.e. PCN not handed to the driver or fixed to the vehicle.

**MAY REJECT REPRESENTATIONS**

If the Civil Enforcement Officer's pocket book and/or computer notes or bodycam footage confirm that the vehicle drove away before a PCN could be served, i.e. PCN not handed to the driver or fixed to the vehicle.

**B9) That the NtO should not have been served because the penalty charge had already been paid in full or by the amount reduced by any discount set within the period set**

**MAY ACCEPT REPRESENTATIONS**

If the penalty charge amount had been paid in full.

If the penalty charge amount, reduced by any discount set within the period set, had been paid in full.

**MAY REJECT REPRESENTATIONS**

If the penalty charge amount had not been paid in full.

If the penalty charge amount, reduced by any discount set within the period set, had not been paid in full.

**B10) Any other information that the motorist / vehicle owner want the Council to take into consideration**

**MAY ACCEPT REPRESENTATIONS**

The decision whether or not a Penalty Charge Notice should be cancelled, will only be taken following very careful consideration taking into account all of the evidence available.

**B11) Mitigating Circumstances**

**B11.1 Where the motorist claims to have become unwell while driving**

**MAY ACCEPT REPRESENTATIONS**

If the motorist provides proof of a medical condition, temporary or permanent, that is consistent with the conditions described.

When the notes made by the Civil Enforcement Officer support the motorist's representations.

**MAY REJECT REPRESENTATIONS**

If the motorist cannot provide some proof of a medical condition, temporary or permanent, consistent with the conditions described.

Or

Where other evidence contradicts the motorists claims

**B11.2 Where the motorist claims to be a doctor, nurse, health visitor attending a patient**

**MAY ACCEPT REPRESENTATIONS**

If the motorist produces evidence that they were responding to an urgent medical call and there was no nearby legal parking place.

**MAY REJECT REPRESENTATIONS**

If motorist was not attending a patient in urgent circumstances or if there were legal parking spaces nearby.

If motorist was parked outside their practice or other place of work for any reason other than to collect supplies for an urgent call.

If motorist was parked in an area which does not correspond with claims made in representations, i.e. far from patients property, say, in a car park

**B11.3 Where the motorist stopped to use the toilet**

**MAY ACCEPT REPRESENTATIONS**

On production of medical evidence confirming a relevant medical condition and in support of the circumstances described in a representation.

**MAY REJECT REPRESENTATIONS**

In all other circumstances

**B11.4 Where the motorist stopped to collect (prescribed) medication from a chemist**

**MAY ACCEPT REPRESENTATIONS**

Only in the most grave, urgent and exceptional of circumstances and the use of a 'legal' parking place would have caused an unacceptable delay.

**MAY REJECT REPRESENTATIONS**

In any lesser circumstances.

**B11.5 Where the motorist was a patient visiting a doctor's surgery**

**MAY ACCEPT REPRESENTATIONS**

If the motorist can provide a letter from a doctor to confirm that the visit was very urgent and that they were unable to walk from the nearest legal parking space.

**MAY REJECT REPRESENTATIONS**

If the motorist was not the patient but only driving the vehicle carrying the patient.

If the motorist was attending a pre-arranged, non-urgent appointment.

If the motorist could reasonably have been expected to parked legally elsewhere.

**B11.6 Where the motorist claims to have been recently bereaved**

**MAY ACCEPT REPRESENTATIONS**

If no evidence exists to the contrary, taking into account the sensitivity of this issue on first occasion.

**MAY REJECT REPRESENTATIONS**

Only if there is a significant reason to doubt the sincerity of representations, i.e. the Civil Enforcement Officer's notes indicating that the motorist was going about a normal day, say, shopping or working, or the bereavement considered to be a long time ago

**B11.7 Where the motorist was delayed in returning to their vehicle and parking time purchased had expired**

**MAY ACCEPT REPRESENTATIONS**

If supported by appropriate evidence, the motorist's representations claims that the delay in returning to the vehicle was caused by circumstances that were entirely unforeseen, unavoidable and exceptional.

If motorist's vehicle had broken down, subject to concurrence with policy B11.25, below)

If the motorist was unable to drive, since parking the vehicle.

## **MAY REJECT REPRESENTATIONS**

If the delay described by the motorist was entirely avoidable, i.e. queuing in a shop.

If the motorist simply underestimated the time needed and could have reasonably purchased more time, i.e. when conducting business, shopping or commuting.

If the motorist was unable to drive since parking due to excess alcohol in the body or had been detained and charged by the police.

### **B11.8 Where the motorist returned to the same place within a specified and prohibited time period**

## **MAY ACCEPT REPRESENTATIONS**

In no circumstances

## **MAY REJECT REPRESENTATIONS**

If the motorist overstays initial period or returns within a period of 'No return'

### **B11.9 Where the motorist left the vehicle parked without a valid ticket on display to obtain change.**

## **MAY ACCEPT REPRESENTATIONS**

If the motorist had not left the car park, or on-street pay and display area and a ticket was purchased.

## **MAY REJECT REPRESENTATIONS**

If the Civil Enforcement Officer's notes or bodycam footage indicate that the motorist returned to their vehicle, having completed their purpose for parking, while the PCN was being issued, i.e. carrying shopping, or had left vehicle in car park, or on-street pay and display area, while obtaining change

### **B11.10 Where the motorist claims to have been unaware of charges or restriction in the car park relating to vehicle's class or weight.**

## **MAY ACCEPT REPRESENTATIONS**

If reference to restrictions on tariff board(s) are incorrect or missing.

**MAY REJECT REPRESENTATIONS**

In all other circumstances

**B11.11 Where the motorist claims to have been unaware of recent rise in tariff**

**MAY ACCEPT REPRESENTATIONS**

If statutory notices were not erected in accordance with procedural regulations.

If revised tariff is not on tariff board(s)

**MAY REJECT REPRESENTATIONS**

If statutory notices were erected in accordance with procedural regulations and tariff board(s) were correct

**B11.12 Where the motorist had parked with one or more wheels outside of a marked bay in a car park**

**MAY ACCEPT REPRESENTATIONS**

Only in the most exceptional of circumstances that were outside the motorists control and are supported by incontrovertible evidence.

Otherwise, in no circumstances.

**MAY REJECT REPRESENTATIONS**

When clear and incontrovertible supporting evidence (photographs/Sketch plan) is available.

**B11.13 Where the motorist is a Blue Badge holder/transporting a Blue Badge holder and they did not have their Blue Badge and/or clock on display or could not be read or had expired**

**MAY ACCEPT REPRESENTATIONS**

Exceptional circumstances only.

**MAY REJECT REPRESENTATIONS**

If the motorist has previously had a PCN cancelled for the same contravention and has been warned to display a valid badge /time clock, correctly in the future.

If the motorist was parked on a waiting restriction beyond the 3 hour time limit permitted by the Blue Badge Scheme, or on another restriction for which the Blue Badge does not provide an exemption.

**B11.14 Where the motorist claims to have been unaware of the existence of a controlled parking zone**

**MAY ACCEPT REPRESENTATIONS**

If it can be established that the signing and marking of the CPZ is at fault, see policy B1.3, above.

**MAY REJECT REPRESENTATIONS**

In all other circumstances.

**B11.15 Where the motorist was displaying an expired authorisation to park, i.e. parking place dispensation, season ticket, residents permit, business permit or visitors permit**

**MAY ACCEPT REPRESENTATIONS**

If the renewal of the authorisation was delayed by the Council's administrative processes.

If it can be established that other reasonably unforeseen circumstances delayed the renewal of an authorisation to park, e.g. sickness on the part of the applicant or a postal dispute/delays (supported by appropriate evidence).

**MAY REJECT REPRESENTATIONS**

In all other circumstances.

In the event of more than one vehicle registration included on season ticket or permit, subsequent production of the season ticket will not necessarily cause automatic cancellation of the PCN as the season ticket may have been used on the other vehicle.

**B11.16 Where the motorist is parked in contravention of a waiting/parking prohibition whilst displaying a resident's visitor permit.**

**MAY ACCEPT REPRESENTATIONS**

In no circumstances

**MAY REJECT REPRESENTATIONS**

On all occasions

**B11.17 where the motorist is a new resident within a controlled parking zone and had parked in a resident's bay without displaying a valid residents permit**

**MAY ACCEPT REPRESENTATIONS**

In no circumstances

**MAY REJECT REPRESENTATIONS**

On all occasions

**B11.18 Where the motorist had parked incorrectly in a controlled bay on-street**

**MAY ACCEPT REPRESENTATIONS**

If it can be established that the motorist was genuinely loading or unloading, subject to compliance with policy B1.1, above.

**MAY REJECT REPRESENTATIONS**

On all occasions.

**B11.19 Where the motorist assumed that they were entitled to "a period of grace" before the PCN was issued**

**MAY ACCEPT REPRESENTATIONS**

If no grace period allowed in paid for parking places.

**MAY REJECT REPRESENTATIONS**

In all other circumstances.

**B11.20 Where the motorist claims they were attending a funeral**

**MAY ACCEPT REPRESENTATIONS**

In exceptional circumstances.

**MAY REJECT REPRESENTATIONS**



In all other circumstances

**B11.21 Where the motorist claims that snow, foliage, fallen leaves or flooding covered the signs or markings**

**MAY ACCEPT REPRESENTATIONS**

If it can be established that such conditions prevailed and it is likely that signs and markings were obscured as claimed and there was no alternative indication of the restriction.

**MAY REJECT REPRESENTATIONS**

If it can be established that such conditions did not cause lines and signs to be obscured as claimed.

If the Civil Enforcement Officer's notes/photographic evidence etc. directly contradict the motorist's version of events.

If any reasonable alternative indication of the restriction was available to the motorist.

If the location of the contravention was unlikely to be subject to the natural conditions described by the motorist, i.e. it was under cover

**B11.22 Where the motorist claims that their vehicle had broken down**

**MAY ACCEPT REPRESENTATIONS**

If the motorist is able to provide evidence of a breakdown, i.e. proof of vehicle recovery or a bill of sale for repair or parts.

**MAY REJECT REPRESENTATIONS**

If the motorist is unable to provide evidence of any kind that their vehicle had broken down.

There is any question as to the validity of the evidence provided.

If the Civil Enforcement Officer's notes or bodycam footage contradict the motorist's version of events.

**B11.23 Where the motorist claims that they were attending an emergency or another vehicle that had broken down**

**MAY ACCEPT REPRESENTATIONS**

If the motorist is able to provide reasonable proof of the emergency, i.e. a credible report of an accident or incident, or that they were attending to another vehicle that had broken down.

**MAY REJECT REPRESENTATIONS**

If the motorist is unable to provide evidence of any kind that they were attending an emergency or another vehicle which had broken down.

There is any question as to the validity of the evidence provided.

If the Civil Enforcement Officer's notes or bodycam footage contradict the motorist's version of events, i.e. the motorist was not seen attending an emergency or another vehicle which was broken down.

**B11.24 Where the motorist claims to have put money into the wrong ticket machine**

**MAY ACCEPT REPRESENTATIONS**

If it is agreed that the position of the ticket machine used by the motorist is likely to cause confusion.

**MAY REJECT REPRESENTATIONS**

If the ticket machine used by the motorist is positioned in such a place that confusion is not likely.

If the motorist has had representations accepted for a similar contravention previously.

**B11.25 Where the vehicle in question was on police, fire brigade or ambulance duties**

**MAY ACCEPT REPRESENTATIONS**

If a senior officer of the service concerned, supports the representations and there is no reason to doubt that the vehicle was engaged in operational activities.

## **MAY REJECT REPRESENTATIONS**

In all other circumstances

**B11.26 Where the motorist claims to have been collecting or depositing monies at a bank**

## **MAY ACCEPT REPRESENTATIONS**

If the procedure explained in the motorist's representations is consistent with the allowance for loading and unloading, see Policy B1.1, above.

Or

If specific arrangements have been agreed.

## **MAY REJECT REPRESENTATIONS**

In all other circumstances

**B11.27 Where the motorist claims to have been unaware of a temporary parking restriction or special event restriction**

## **MAY ACCEPT REPRESENTATIONS**

If the motorist claims that there was no indication of the restriction, and the Civil Enforcement Officer's notes/photographs do not confirm that appropriate signing was in place.

If the process followed to make the temporary order was defective in some way.

## **MAY REJECT REPRESENTATIONS**

If the Civil Enforcement Officer's notes/photographs confirm that the vehicle was parked in an area restricted by the Temporary Order or Notice, and that appropriate signing was in place and clearly visible.

**B11.28 Where the registered keeper liable for payment of the PCN is expected to be absent for a long period of time, e.g. is living abroad or is in prison**

## **MAY ACCEPT REPRESENTATIONS**

In no circumstances

### **MAY REJECT REPRESENTATIONS**

On all occasions

**B11.29 Where the registered keeper liable for payment of the PCN is said to have died**

### **MAY ACCEPT REPRESENTATIONS**

Where the circumstances can be confirmed (by sensitive enquiry).

### **MAY REJECT REPRESENTATIONS**

Only if there is a significant evidence to doubt the sincerity of the representations.

**B11.30 Where the vehicle driven by the motorist is diplomatically registered**

### **MAY ACCEPT REPRESENTATIONS**

In all circumstances. A Notice to Owner should never be sent to the keeper of a diplomatically registered vehicle.

All un-recovered penalty charges from keepers of diplomatically registered vehicles, the information concerning these debts should be passed on to the Foreign and Commonwealth Office.

[Source – Secretary of State's Traffic Management and Parking Guidance, Vienna Convention on Diplomatic Relations, Diplomatic Privileges Act 1964 and Government Report on Review of Vienna Convention...]

### **MAY REJECT REPRESENTATIONS**

In no circumstances

**B11.31 Where the motorist received a Fixed Penalty Notice (FPN) from a police officer or traffic warden when parked in the same location**

### **MAY ACCEPT REPRESENTATIONS**

To prevent 'double jeopardy', if confirmation provided by the police that proceedings for a criminal offence in connection with the same parking/waiting incident have been instituted.

## **MAY REJECT REPRESENTATIONS**

In all other circumstances

**B11.32 where a Council officer or Member parked in contravention and claims to have been on Council business**

## **MAY ACCEPT REPRESENTATIONS**

If the officer was carrying out emergency work.

## **MAY REJECT REPRESENTATIONS**

If it can be established that the officer/Member could have reasonably parked elsewhere.

**B11.33 where the motorist stopped to drop off someone**

## **MAY ACCEPT REPRESENTATIONS**

If the circumstances are seen by the Civil Enforcement Officer. If, in exceptional circumstances and subject to observations times, the motorist had to escort a passenger (child, elderly or disabled person) to home, or school.

## **MAY REJECT REPRESENTATIONS**

If motorist was parked/stopped on school keep clear markings, pedestrian crossing, cycle lane, clearway, or bus stop clearway

**B11.34 where motorist was unaware of awaiting restriction**

## **MAY ACCEPT REPRESENTATIONS**

If motorist was instructed / authorised to park in contravention of the restriction by the police.

## **MAY REJECT REPRESENTATIONS**

In all other circumstances

**B11.35 where motorist states they were in police custody when PCN issued**

## **MAY ACCEPT REPRESENTATIONS**

If proof (from the Police) has been provided that the police had instructed the motorist to leave the vehicle. If the time of arrest (proof required from the Police)

provides confirmation that motorist was legally parked and was unable to move vehicle before the restriction started.

**MAY REJECT REPRESENTATIONS**

If no proof provided. If vehicle could have been legally parked before arrest.

**B11.36 where motorist states they were visiting a friend or relative in urgent circumstances**

**MAY ACCEPT REPRESENTATIONS**

If due to an emergency the parking contravention could not be avoided due to the exceptional nature of the incident.

**MAY REJECT REPRESENTATIONS**

If motorist has already received a PCN, which has been cancelled for the same reason.

If the Civil Enforcement Officer's Pocket Book notes, photographs or bodycam footage provides significant reason to doubt sincerity of representation

**B11.37 where motorist claims there was no legal place to park**

**MAY ACCEPT REPRESENTATIONS**

Only in the most exceptional of circumstances

**MAY REJECT REPRESENTATIONS**

In the absence of exceptional circumstances

**B11.38 where motorist claims they were parked on private property**

**MAY ACCEPT REPRESENTATIONS**

If land search maps confirm location is private property & not subject of the relevant Traffic Regulation Order.

**MAY REJECT REPRESENTATIONS**

In all other circumstances

**B11.39 where motorist was delayed in returning to their vehicle parked in a limited waiting parking place**

### **MAY ACCEPT REPRESENTATIONS**

If supported by appropriate evidence, the motorist's representations claim that the delay in returning to the vehicle was caused by circumstances that were entirely unforeseen, unavoidable and exceptional. If motorist's vehicle had broken down, subject to concurrence with policy B11.23, above).

### **MAY REJECT REPRESENTATIONS**

If the delay described by the motorist was not exceptional, i.e. queuing in a shop. If the motorist simply underestimated the time needed and could have reasonably purchased more time. If the motorist was unable to drive since parking due to excess alcohol in the body or had been were detained by the police for any reason, unless subsequently released without charge or proven innocent.

### **B11.40 where motorist had parked while asking directions / opening gates to private property**

#### **MAY ACCEPT REPRESENTATIONS**

If evidence provided by the Civil Enforcement Officer does not contradict representations.

#### **MAY REJECT REPRESENTATIONS**

In all other circumstances

### **B11.41 where motorist stopped to answer mobile phone**

#### **MAY ACCEPT REPRESENTATIONS**

In no circumstances

#### **MAY REJECT REPRESENTATIONS**

On all occasions

### **B11.42 where motorist states that the details on the PCN are incorrect, e.g. location**

#### **MAY ACCEPT REPRESENTATIONS**

If there is reason to doubt that the PCN was issued correctly, taking into account evidence provided by the Civil Enforcement Officer.

**MAY REJECT REPRESENTATIONS**

If the Penalty Charge Notice was fully and correctly completed.

**B11.43 where motorist states they were unaware of enforcement on Bank/Public holidays**

**MAY ACCEPT REPRESENTATIONS**

In no circumstances

**MAY REJECT REPRESENTATIONS**

On all occasions

**B11.44 where motorist states that restriction was marked after the vehicle had been parked**

**MAY ACCEPT REPRESENTATIONS**

If records confirm that signing/lining/ placement of cones or suspension notices was likely to have taken place after the vehicle parked.

**MAY REJECT REPRESENTATIONS**

If there is evidence to show that markings were already in place at the time of parking.



**APPENDIX 1****Statutory Instrument 2007 No 3487 The Civil Enforcement of Parking Contraventions (Guidelines on Levels of Charges) (England) Order 2007****Table 1**

(1) Code	(2) Description
01	Parked in a restricted street during prescribed hours
02	Parked or loading/unloading in a restricted street where waiting and loading/unloading restrictions are in force
12	Parked in a residents' or shared use parking place without clearly displaying either a permit or voucher or pay and display ticket issued for that place
14	Parked in an electric vehicles' charging place during restricted hours without charging
16	Parked in a permit space without displaying a valid permit
18	Using a vehicle in a parking place in connection with the sale or offering or exposing for sale of goods when prohibited
20	Parked in a loading gap marked by a yellow line
21	Parked in a suspended bay/space or part of bay/space
23	Parked in a parking place or area not designated for that class of vehicle
25	Parked in a loading place during restricted hours without loading
26	Vehicle parked more than 50 centimetres from the edge of the carriageway and not within a designated parking place
27	Parked adjacent to a dropped footway
40	Parked in a designated disabled person's parking place without clearly displaying a valid disabled person's badge
41	Parked in a parking place designated for diplomatic vehicles
42	Parked in a parking place designated for police vehicles
45	Parked on a taxi rank
46	Stopped where prohibited (on a red route or clearway)
47	Stopped on a restricted bus stop or stand
48	Stopped in a restricted area outside a school
49	Parked wholly or partly on a cycle track
55	A commercial vehicle parked in a restricted street in contravention of an overnight waiting ban
56	Parked in contravention of a commercial vehicle waiting restriction

57	Parked in contravention of a coach ban
61	A heavy commercial vehicle wholly or partly parked on a footway, verge or land between two carriageways
62	Parked with one or more wheels on any part of an urban road other than a carriageway (footway parking)
99	Stopped on a pedestrian crossing and/or crossing area marked by zig-zags

**APPENDIX 2****Standard PCN Codes v6.7.6****On-Street**

Code	General suffix(es)	Description	Diff. level	Notes
01	aoyz	Parked in a restricted street during prescribed hours	Higher	Suffixes y & z for disabled badge holders only
02	ao	Parked or loading / unloading in a restricted street where waiting and loading / unloading restrictions are in force	Higher	
04	cs	Parked in a meter bay when penalty time is indicated	Lower	
05	cpsuv1	Parked after the expiry of paid for time	Lower	
06	cipv1	Parked without clearly displaying a valid pay & display ticket or voucher	Lower	
07	cmprsv	Parked with payment made to extend the stay beyond initial time	Lower	'meter feeding'
08	c	Parked at an out-of-order meter during controlled hours	Lower	Electronic meters only
09	ps	Parked displaying multiple pay & display tickets where prohibited	Lower	
10	p	Parked without clearly displaying two valid pay and display tickets when required	Lower	"two" may be varied to another number or "multiple".
11	gu	Parked without payment of the parking charge	Lower	
12	rstuw4	Parked in a residents' or shared use parking place or zone without either clearly displaying a valid permit or voucher or pay and display ticket issued for that place, or without payment of the parking charge	Higher	
13		---- RESERVED FOR TfL USE (LOW EMISSION ZONE) ----	n/a	
14	89	Parked in an electric vehicles' charging place during restricted hours without charging	Higher	
16	bdehqstwx4569	Parked in a permit space or zone without clearly displaying a valid permit	Higher	Suffix "s" only for use where bay is completely non-resident
17		---- RESERVED FOR ROAD USER CHARGING USE ----	n/a	
18	bcdefhmprsv12356789	Using a vehicle in a parking place in connection with the sale or offering or exposing for sale of goods when prohibited	Higher	
19	irsuwxyz4	Parked in a residents' or shared use parking place or zone either displaying an invalid permit or voucher or pay and display ticket, or after the expiry of paid for time	Lower	
20		Parked in a part of a parking place marked by a yellow line where waiting is prohibited	Higher	
21	bcdefghlmnpqrsuv1256789	Parked wholly or partly in a suspended bay or space	Higher	
22	cflmnopsv1289	Re-parked in the same parking place or zone within one hour after leaving	Lower	"one hour" may be varied to another time period or "the prescribed time period"
23	bcdefghklprsv123789	Parked in a parking place or area not designated for that class of vehicle	Higher	Suffix required to fully describe contravention
24	bcdefhlmprsv1256789	Not parked correctly within the markings of the bay or space	Lower	
25	n2	Parked in a loading place or bay during restricted hours without loading	Higher	On-street loading bay or place
26	n	Parked in a special enforcement area more than 50 cm from the edge of the carriageway and not within a designated parking place	Higher	"50 cm" may be varied to another distance in Scotland.

27	no	Parked in a special enforcement area adjacent to a footway, cycle track or verge lowered to meet the level of the carriageway	Higher	
28	no	Parked in a special enforcement area on part of the carriageway raised to meet the level of a footway, cycle track or verge	Higher	
30	cflmnopsu12789	Parked for longer than permitted	Lower	
31	j	Entering and stopping in a box junction when prohibited	n/a	London only
32	jdtw	Failing to drive in the direction shown by the arrow on a blue sign	n/a	Code-specific suffixes apply. London only
33	jbcefgghikqrs	Using a route restricted to certain vehicles	n/a	Code-specific suffixes apply. London only
34	j0	Being in a bus lane	n/a	
35		Parked in a disc parking place without clearly displaying a valid disc	Lower	
37	j	Failing to give way to oncoming vehicles	n/a	London only
38	jlr	Failing to comply with a sign indicating that vehicular traffic must pass to the specified side of the sign	n/a	Code-specific suffixes apply. London only
40	n	Parked in a designated disabled person's parking place without displaying a valid disabled person's badge in the prescribed manner	Higher	
41		Stopped in a parking place designated for diplomatic vehicles	Higher	
42		Parked in a parking place designated for police vehicles	Higher	
43		Stopped on a cycle docking station parking place	Higher	
45	nw	Stopped on a taxi rank	Higher	"stopped" may be varied to "waiting"
46	n	Stopped where prohibited (on a red route or clearway)	Higher	
47	jn	Stopped on a restricted bus stop or stand	Higher	
48	j	Stopped in a restricted area outside a school, a hospital or a fire, police or ambulance station when prohibited	Higher	CCTV can be used on a restricted area outside a school only
49		Parked wholly or partly on a cycle track or lane	Higher	
50	jlru	Performing a prohibited turn	n/a	Code-specific suffixes apply. London only
51	j	Failing to comply with a no entry restriction	n/a	London only
52	jgmsvx	Failing to comply with a prohibition on certain types of vehicle	n/a	Code-specific suffixes apply. London only
53	j	Failing to comply with a restriction on vehicles entering a pedestrian zone	n/a	London only
54	j	Failing to comply with a restriction on vehicles entering and waiting in a pedestrian zone	n/a	London only
55		A commercial vehicle parked in a restricted street in contravention of the Overnight Waiting Ban	Higher	
56		Parked in contravention of a commercial vehicle waiting restriction	Higher	Non- overnight waiting restriction
57		Parked in contravention of a bus ban	Higher	Non- overnight waiting restriction
58		Using a vehicle on a restricted street during prescribed hours without a valid permit	n/a	London Lorry Control Scheme
59		Using a vehicle on a restricted street during prescribed hours in breach of permit conditions	n/a	London Lorry Control Scheme
61	124cgn	A heavy commercial vehicle wholly or partly parked on a footway, verge or land between two carriageways	Higher	Code-specific suffixes apply.

62	124cgn	Parked with one or more wheels on or over a footpath or any part of a road other than a carriageway	Higher	Code-specific suffixes apply.
63		Parked with engine running where prohibited	Lower	
64	124	Parked in contravention of a notice prohibiting leaving vehicles on a grass verge, garden, lawn or green maintained by a local authority	n/a	Code-specific suffixes apply. For use in Essex only
65	124	Parked in contravention of a notice prohibiting leaving vehicles on land laid out as a public garden or used for the purpose of public recreation	n/a	Code-specific suffixes apply. For use in Essex only.
66	124cg	Parked on a verge, central reservation or footway comprised in an urban road	n/a	Code-specific suffixes apply. For use in Exeter only.
72		- - - RESERVED FOR BUILDERS' SKIPS CONTRAVENTIONS - - -		London only
75		- - - RESERVED FOR LITTERING FROM MOTOR VEHICLES - - -		
76		- - RESERVED FOR WASTE RECEPTACLE CONTRAVENTIONS - -		London only
99	no	Stopped on a pedestrian crossing or crossing area marked by zigzags	Higher	Pedestrian Crossings

**Off-Street**

70		Parked in a loading place or bay during restricted hours without loading	Higher	Off-street loading areas
71		Parked in an electric vehicles' charging place during restricted hours without charging	Higher	Off-street car parks
73	u	Parked without payment of the parking charge	Lower	Off-street car parks
74	prs	Using a vehicle in a parking place in connection with the sale or offering or exposing for sale of goods when prohibited	Higher	Off-street car parks
77		--- RESERVED FOR DVLA USE ---	n/a	
80	u	Parked for longer than permitted	Lower	Off-street car parks
81	o	Parked in a restricted area in a car park	Higher	Off-street car parks
82	puv4	Parked after the expiry of paid for time	Lower	Off-street car parks
83	4	Parked in a car park without clearly displaying a valid pay & display ticket or voucher or parking clock	Lower	Off-street car parks
84	u	Parked with payment made to extend the stay beyond initial time	Lower	Off-street car parks
85	btrwyz45	Parked without clearly displaying a valid permit where required	Higher	Off-street car parks
86	prs	Not parked correctly within the markings of a bay or space	Lower	Off-street car parks
87		Parked in a designated disabled person's parking place without displaying a valid disabled person's badge in the prescribed manner	Higher	Off-street car parks
89		Vehicle parked exceeds maximum weight or height or length permitted	Higher	Off-street car parks
90	psuv	Re-parked in the same car park within one hour after leaving	Lower	Off-street car parks. "one hour" may be varied to another time period or "the prescribed time period"
91	cg	Parked in a car park or area not designated for that class of vehicle	Higher	Off-street car parks
92	o	Parked causing an obstruction	Higher	Off-street car parks
93		Parked in car park when closed	Lower	Off-street car parks
94	p	Parked in a pay & display car park without clearly displaying two valid pay and display tickets when required	Lower	Off-street car parks. "two" may be varied to another number or "multiple"
95		Parked in a parking place for a purpose other than that designated	Lower	Off-street car parks
96		Parked with engine running where prohibited	Lower	Off-street car parks

**APPENDIX 3**

**Suffixes**

**General suffixes:–**

- |                                |                       |                             |                     |
|--------------------------------|-----------------------|-----------------------------|---------------------|
| a) temporary traffic order     | b) business bay       | c) buses only               | d) doctor's bay     |
| e) car club bay                | f) free parking bay   | g) motor cycle bay          | h) hospital bay     |
| i) wrong type of voucher       | j) camera enforcement | k) ambulance bay            | l) loading place    |
| m) parking meter               | n) red route          | o) blue badge holder        | p) pay & display    |
| q) market traders' bay         | r) residents' bay     | s) shared use bay           | t) voucher/P&D      |
| ticket used in permit bay      |                       |                             |                     |
| u) electronic payment          | v) voucher            | w) wrong parking zone       | x) incorrect VRM    |
| y) obscured / illegible permit | z) out of date permit | 0) local buses / trams only | 1) electric         |
| vehicles bay                   |                       |                             |                     |
| 2) goods vehicle loading bays  | 3) bicycle bay        | 4) virtual permit           | 5) dedicated        |
| disabled bay                   |                       |                             |                     |
| 6) hotel bay                   | 7) taxis only         | 8) zero emission capable    | 9) electric vehicle |
| car club bay                   |                       | taxis only                  |                     |

**Taxi Ranks (code 45) only**

w) amends the contravention code description to change the wording from 'stopped' to 'waiting'

**Footway parking (codes 61, 62, 64, 65 and 66) only:–**

- |                         |                      |                          |
|-------------------------|----------------------|--------------------------|
| 1) one wheel on footway | 2) partly on footway | 4) all wheels on footway |
| c) on vehicle crossover | g) on grass verge    |                          |

**Moving traffic contraventions only:–**

- |                                                                     |                                        |                                       |
|---------------------------------------------------------------------|----------------------------------------|---------------------------------------|
| 32 d) proceeding in the wrong direction                             | t) turning in the wrong direction      | w) one way traffic                    |
| 33 b) buses only                                                    | c) buses and cycles only               | e) buses, cycles and taxis only       |
| and taxis only                                                      |                                        | f) buses                              |
| g) local buses only                                                 | h) local buses and cycles only         | i) local buses, cycles and taxis only |
| buses and taxis only                                                |                                        | k) local                              |
| q) tramcars and local buses only                                    | r) tramcars only                       | s) tramcars and buses only            |
| 38 l) must pass to the left                                         | r) must pass to the right              |                                       |
| 50 l) no left turn                                                  | r) no right turn                       | u) no U-turn                          |
| 52 g) goods vehicles exceeding max gross weight indicated           | m) motor vehicles                      | s) solo                               |
| motorcycles                                                         |                                        |                                       |
| v) all vehicles except non-mechanically propelled ones being pushed | x) motor vehicles except solo m/cycles |                                       |

**Supplement to the Notes**

Suffix 'j' identifies a contravention that can be used on highways other than red routes using CCTV. The suffix itself is not required on a PCN.

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# Southend-on-Sea Borough Council

Agenda  
Item No.

Report of Deputy Chief Executive (Place)

To  
**Cabinet**  
On  
**12 March 2019**

Report prepared by: Jeremy Martin, Energy and Sustainability  
Manager

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## Southend Energy, Transfer to New Supplier

Place Scrutiny Committee  
Cabinet Member: Councillor Flewitt  
Part 1 (Public Agenda Item) / Part 2

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### 1. Purpose of Report

The purpose of this report is to seek approval to transfer the contract for the operation of Southend Energy from OVO Energy Ltd to Robin Hood Energy.

### 2. Recommendations

- 2.1 That Cabinet approve the transfer of the contract to operate Southend Energy from OVO Energy Ltd to a new 5 year contract with Robin Hood Energy subject to agreeing suitable commercial terms.**

### 3. Background

- 3.1. Southend Energy was launched in May 2015 with a 5 year contract with OVO Energy Ltd (OVO) to manage the operational aspects of the scheme.
- 3.2. Under the contract, the Council manages the scheme, sets pricing together with OVO generally in line with OVO pricing for regulatory reasons and is responsible for marketing. The Council receives a fee for each customer that switches to Southend Energy which is equivalent to the sum allocated to marketing cost within the pricing. The fees are used to cover the direct cost of the scheme and any surplus is used to fund the Energy Team.
- 3.3. The primary purpose of Southend Energy was to engage with households, to encourage them to switch energy suppliers regardless of whether they purchased energy from Southend Energy. A particular focus was placed on 'sticky customers' who did not routinely or ever switch suppliers. This wider switching is not possible to measure and therefore the number of switches to Southend Energy has been measured. Since May 2015, 6,504 households have switched

(8.8%) with 3,908 households being currently on supply. The aggregate annual saving for households over what they would have spent on their previous contracts has been £1.6m. The scheme has been particularly successful in engaging with over 65's who are a known group of sticky customers who seldom switch supplier. Consistently more than 50% of the Southend Energy customers fall into this group.

- 3.4. The rate of switching has varied according to a number of criteria the most obvious of which has been the level of active marketing but the switching level was also higher when Southend Energy was most price competitive.
- 3.5. In late 2017 and early 2018, the Council engaged with OVO to discuss extending the current contract by 2-2.5 years. Whilst OVO were initially in favour, events in summer and autumn 2018 have meant that this is not possible and OVO have asked if a mutually agreed process could be implemented to close the scheme earlier than the contract end date of May 2020. Since the contract has now entered its final 18 months, no active marketing is being conducted in line with the expected wind down arrangements.
- 3.6. The request to close the contract early is not in the form of a contractual notice and the formal position is that the scheme will be wound down slowly as customers reach the end of their contract but it would be in the interest of the Council, OVO and customers to effect an earlier switch if possible.
- 3.7. The Energy market has changed a lot since Southend Energy was launched but switching supplier remains an important way for customers to achieve the best value supply despite the new cap on variable energy tariffs. However, few suppliers are working to take on new 'white label' contracts such as this especially after several suppliers have ceased trading in the last 6-12 months. Research amongst energy suppliers and other councils that have sought to set up similar operations have revealed no suppliers in a position to replace OVO other than Robin Hood Energy.
- 3.8. Robin Hood Energy (RHE) was launched in September 2015 by Nottingham City Council. RHE operates as a not-for-profit company with surpluses recycled to projects to alleviate fuel poverty. RHE does operate white label contracts with councils of which the best known is White Rose Energy (Leeds City council). In all other respects, RHE is a national supplier in the same way that OVO is and offers all of the functions and services of a national energy supplier.
- 3.9. The Council have engaged with early discussions leading to an agreement in principle from the RHE board to contract with the Council to operate Southend Energy with a target date for launch of July-September 2019.
- 3.10. Despite having to close the contract to supply Southend Energy, OVO will remain an important strategic supplier within the Energy Team's initiatives, not least within the Energy opportunities work to encourage generation and storage and in ways for households to earn revenue from supplying services to the Electricity Grid.

## **4. Other Options**

4.1 The following other options were considered:

- To close Southend Energy. This would close the scheme whilst the need to encourage switching remains important in the market and therefore before the objective of Southend Energy was achieved. The ongoing impact of the additional switching and the opportunity to further encourage switching would be lost. Nationally, other approaches to switching have been tried including advertising which is expensive, collective switching, community engagement and These alternative approaches can be used in parallel with an approach such as a white label energy supply but have been shown to be less effective at engaging with 'sticky customers'.
- To renew or extend the contract with OVO. This was impossible to negotiate due to the changed circumstances and strategy at OVO.
- To tender for a new supplier. There are no known alternative suppliers able or willing to take on a new contract for Southend Energy as the scheme is generally too small for the very large energy suppliers. This is addressed below under value for money.
- To convert Southend Energy into a full Energy Company with its own supply licence. This approach is not viable financially at present.

## **5. Reasons for Recommendations**

- 5.1. A new contract with RHE for Southend Energy will revitalise the scheme and will support its provision for a further 5 years. The Council will be responsible for marketing and will have an obligation to actively seek to generate leads with the referral fees paid specifically for this purpose. As the Council has demonstrated previously, generation of leads locally for the scheme is possible at a lower cost than traditional energy companies incur.
- 5.2. Continuing Southend Energy provides a focus for encouraging households to switch to achieve the best energy contracts for them.
- 5.3. A new contract with RHE will not have the same geographical constraints as the previous contract with OVO providing a wider market and for Southend Energy to take on customers from outside the Borough that respond to marketing within the area.

## **6. Corporate Implications**

6.1 Contribution to Council's Vision & Corporate Priorities

6.1.1. The following 2050 Outcomes will be supported by this project:

- Pride and Joy. There is a tangible sense of pride in the place and local people are actively, and knowledgeably, talking up Southend. At its launch,

Southend Energy was very well received by press and households alike with qualitative research into the brand and imagery showing that local people wanted the scheme to focus locally and use local imagery.

- Safe and Well. We are well on our way to ensuring that everyone has a home that meets their needs. With over 9% annual energy inflation, households are exposed to ever increasing costs. Ensuring that Southend residents engage with the lowest tariffs assists households to manage this increasing cost and the established brand can then be used to engage with other savings opportunities.

Southend Energy is one a very few initiatives from The Council that is available to every household in the town and has established a strong brand presence.

- Safe and Well. We are all effective at protecting and improving the quality of life for the most vulnerable in our community. Southend Energy has been shown to be effective at targeting sticky customers, particularly over 65s, who are known to be a group that rarely changes supply to save money. This also provides those on lower incomes with savings opportunities.

6.1.2. Encouraging households to switch to more economical energy tariffs is an important part of delivering the Low Carbon Energy and Sustainability Strategy 2015-2020.

## 6.2 Financial Implications

6.2.1. Southend Energy has already delivered £1.6m per annum savings for households in the Borough compared to the cost of their energy on their previous tariff. Much of this has been saved by elderly and vulnerable households where much of the saving will have been spent in the local area.

6.2.2. Continuing to provide Southend Energy will provide important revenue into the Energy Team helping to support the work of the team without requiring additional taxation.

## 6.3 Legal Implications

6.3.1. A new contract will be required when acceptable commercial terms have been agreed. This contract will need to ensure that RHE have adequate data handling processes in place.

## 6.4 People Implications

6.4.1. Southend Energy is marketed and managed by the Energy Team. This new contract will continue to be managed in the same way with revenue helping to pay for the Energy Team resources.

## 6.5 Property Implications

6.5.1. There are no implications for Council properties because the scheme works to supply households with energy through contracts direct with RHE.

## 6.6 Consultation

6.6.1. This contract will be a direct replacement for the current contract and no consultation will be required.

## 6.7 Equalities and Diversity Implications

6.7.1. Southend Energy will continue to be available to all households within Southend and will also be available on a wider geographical basis if required – an Equality Impact Assessment has already been completed. No wider marketing beyond the Southend area is planned. The scheme has been shown to be well received by the over 65 age group and is successful at targeting the harder to reach groups who do not engage with traditional energy supplier marketing.

## 6.8 Risk Assessment

6.8.1. RHE is a rapidly growing company set up in 2015. There is a small risk that service levels may not be maintained but these are underpinned by regulations in place from Ofgem and service levels will be negotiated as KPIs within the contract.

6.8.1. Another energy supplier could challenge the new contract being put in place without a formal tender. This will be managed as described below under value for money.

6.8.2. A suitable commercial agreement may not be able to be agreed. This is unlikely as RHE operates other white label contracts and the early conversations have been mutually well received.

## 6.9 Value for Money

6.9.1 There are few energy suppliers taking on small white label schemes meaning that an effective tender is unlikely to be achieved whilst a full OJEU compliant tender would be time consuming and expensive. A negotiated contract is therefore recommended.

6.9.2. To manage the risk that another supplier objects to the negotiated contract process, the Council plans to advertise their intention to contract with RHE and to invite alternative suppliers to come forward. If suitable alternative suppliers do present themselves, the Council will conduct a full OJEU tender.

## 6.10 Community Safety Implications

6.10. None

## 6.11. Environmental Impact

6.11. The current contract with OVO contains enhanced environmental conditions relating to the proportion of Green Energy to be included within the supply mix. Where possible these will be carried forward into the new contract with RHE.

**7. Background Papers**

None

**8. Appendices**

None

# Southend-on-Sea Borough Council

Agenda  
Item No.

Report of Deputy Chief Executive (People)

to  
Cabinet  
on

12 March 2019

Report prepared by: Paul Hill (SAB Manager) and  
Sue Rollason (LSCB Manager)

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## Annual Report on Safeguarding Children and Adults September 2017 to March 2019

People Scrutiny Committee  
Cabinet Members: Cllr Cox and Cllr Boyd  
A Part 1 (Public Agenda Item)

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### 1. Purpose of Report

To provide an annual assurance assessment for the Chief Executive and Councillors in respect of their responsibilities for safeguarding children and adults in Southend. This report contributes to the requirements of statutory guidance in Working Together to Safeguard Children 2015 and the Care Act 2014.

### 2. Recommendations

**That the report is noted and the actions detailed in Section 6 are approved**

### 3. Background

3.1 For the period March 2018/19 the Local Safeguarding Children Board (LSCB), Safeguarding Adults Board (SAB), Southend Borough Council Children's Services and Southend Borough Council Adult Social Care Services have coordinated their annual reporting cycles in order to provide the chief executive and elected members an overview of the activity and effectiveness of safeguarding children and adults service in Southend.

3.2 Safeguarding and promoting the welfare of children is defined as:

- protecting children from maltreatment;
- preventing impairment of children's health or development;
- ensuring that children grow up in circumstances consistent with the provision of safe and effective care; and
- taking action to enable all children to have the best outcomes.

3.3 The Local Safeguarding Children Board (LSCB) is a statutory partnership responsible for co-ordinating and monitoring the effectiveness of safeguarding children arrangements in all agencies. The LSCB works in Partnership with the

SAB, Health and Wellbeing Board, Community Safety Partnership and the Violence and Vulnerability Group to provide strategic leadership across all services.

#### 3.4 Effective safeguarding children systems are those where:

- the child's needs are paramount, and the needs and wishes of each child, be they a baby or infant, or an older child, should be put first, so that every child receives the support they need before a problem escalates;
- all professionals who come into contact with children and families are alert to their needs and any risks of harm that individual abusers, or potential abusers, may pose to children;
- all professionals share appropriate information in a timely way and can discuss any concerns about an individual child with colleagues and local authority children's social care;
- high quality professionals are able to use their expert judgement to put the child's needs at the heart of the safeguarding system so that the right solution can be found for each individual child;
- all professionals contribute to whatever actions are needed to safeguard and promote a child's welfare and take part in regularly reviewing the outcomes for the child against specific plans and outcomes;
- LSCBs coordinate the work to safeguard children locally and monitor and challenge the effectiveness of local arrangements;
- when things go wrong Serious Case Reviews (SCRs) are published and transparent about any mistakes which were made so that lessons can be learnt; and
- local areas innovate and changes are informed by evidence and examination of the data.

#### 3.5 The Safeguarding Adults Board (SAB) is a statutory partnership, responsible for co-ordinating and monitoring the effectiveness of safeguarding adults arrangements in all agencies. The SAB works in Partnership with the LSCB, Health and Wellbeing Board, Community Safety Partnership and the Violence and Vulnerability Group to provide strategic leadership across all services. Safeguarding Adults Boards should:

- identify the role, responsibility, authority and accountability with regard to the action each agency and professional group should take to ensure the protection of adults;
- establish ways of analysing and interrogating data on safeguarding notifications that increase the SAB's understanding of prevalence of abuse and neglect locally that builds up a picture over time;
- establish how it will hold partners to account and gain assurance of the effectiveness of its arrangements;
- determine its arrangements for peer review and self-audit;
- establish mechanisms for developing policies and strategies for protecting adults which should be formulated, not only in collaboration and consultation with all relevant agencies but also take account of the views of adults who have needs for care and support, their families, advocates and carer representatives;



- develop preventative strategies that aim to reduce instances of abuse and neglect in its area;
- identify types of circumstances giving grounds for concern and when they should be considered as a referral to the local authority as an enquiry;
- formulate guidance about the arrangements for managing adult safeguarding, and dealing with complaints, grievances and professional and administrative malpractice in relation to safeguarding adults;
- develop strategies to deal with the impact of issues of race, ethnicity, religion, gender and gender orientation, sexual orientation, age, disadvantage and disability on abuse and neglect;
- identify mechanisms for monitoring and reviewing the implementation and impact of policy and training;
- carry out safeguarding adult reviews;
- produce a Strategic/Business Plan and an Annual Report;
- evidence how SAB members have challenged one another and held other boards to account;
- promote multi-agency training and consider any specialist training that may be required;
- consider any scope to jointly commission some training with other partnerships, such as the Community Safety Partnership.

3.6 Attached annual reports (appendix 1 & 2) provide assurance of the LSCB, SAB, and Council's effectiveness in the discharge of their safeguarding responsibilities. Both reports include 6 sections:

1. Background – including the vision, mission statements, statutory duty and governance arrangements.
2. Priorities for 2016-19 and delivery summaries
3. Achievements in 2017/19
4. Learning from SCR / SAR's
5. Impact – How we know we are making a difference
6. Conclusions and Plan for 2019/20

3.7 Working Together 2015 states that the LSCB Chair must publish an annual report (appendix 1) on the effectiveness of child safeguarding and promoting the welfare of children in the local area. The annual report should be published in relation to the preceding financial year and should fit with local agencies' planning, commissioning and budget cycles. The report should be submitted to the Chief Executive, Leader of the Council, the local Police and Crime Commissioner (*Police, Fire and Crime Commissioner in Essex*) and the Chair of the Health and Wellbeing Board.

The report should provide a rigorous and transparent assessment of the performance and effectiveness of local services. It should identify areas of weakness, the causes of those weaknesses and the action being taken to address them as well as other proposals for action.

The Care Act Guidance 2014 states that the SAB must publish an annual report (appendix 2) that must clearly identify what both the SAB and its members have done to carry out and deliver the objectives and other content of its strategic/business plan.

Working Together 2018 requires a reshaping of the governance of the LSCB. A proposal for the changes to both the SAB and LSCB is currently being considered.

3.8 Serious Case Reviews are undertaken by LSCBs where a child dies or is seriously injured, and abuse or neglect are known or suspected to be a factor in the death. The LSCB commenced five Serious Case Reviews / Local Practice Reviews during the 12-month period covered by the Annual Report.

3.9 As Deputy Chief Executive, I have responsibility for improving outcomes for all children, young people and adults with additional care and support needs in Southend, and to ensure that all appropriate local authority services engage effectively with the LSCB and SAB. The lead members and I have met with the Chief Executive and the Council Leader with this report in order that they can satisfy themselves that I am fulfilling my responsibilities.

#### **4. Other Options**

None

#### **5. Reasons for Recommendations**

To keep the Council informed of the position in respect of safeguarding children and adults in Southend.

#### **6. Corporate Implications**

##### **6.1 Contribution to Council's Vision & Corporate Priorities**

The work of partners and the Council in safeguarding children and adults directly contributes to the Council's priority to look after and safeguard our children and vulnerable adults.

##### **6.2 Financial Implications**

Spending on Safeguarding Children Services  
Spending on Safeguarding Adults Services

##### **6.3 Legal Implications**

This report supports the Council, The Leader, the Chief Executive Director and Lead Member to discharge their statutory duties under the Children Act 2004 and Care Act 2014.

##### **6.4 People Implications**

None

##### **6.5 Property Implications**

None

## 6.6 Consultation

The LSCB and SAB are inclusive organisations which involve statutory and voluntary agencies. Consultation with children and families, which influences the way in which services are delivered, is a key strategic priority for the LSCB.

The SAB Community Services Members, Service User Organisation member, and Healthwatch member represent the interests of the community on the SAB in line with statutory guidance.

## 6.7 Equalities and Diversity Implications

The Council, the LSCB and the SAB have the responsibility to ensure that all children and adults with additional care and support needs have their safety and welfare needs addressed. The Southend, Essex and Thurrock Procedures for both Child Protection and Safeguarding Adults addresses the “recognition of additional vulnerability” and covers the considerations which must be taken into account when meeting the needs of particular groups. All the LSCB and SAB sub groups address equality matters.

## 6.8 Risk Assessment

Risk logs are maintained for the LSCB and SAB and within the Department for People. There is a standing item on the LSCB and SAB Executive agendas identifying risks to the efficacy of safeguarding services identified by partners, and agreeing mitigating actions to address these.

## 6.9 Value for Money

Fulfilling our responsibility to safeguard children and adults and promote their welfare is a statutory requirement. The Council works in partnership with other organisations and local authorities to ensure we fulfil those responsibilities in the most cost effective way. LSCB and SAB members ensure that all functions are undertaken on value for money principles. Since July 2013 the business management resource of the LSCB has been shared with the SAB, with some additional administration resource and a Performance and Quality Assurance Officer shared between both Boards.

## 6.10 Community Safety Implications

LSCB & SAB arrangements support the safety for our most vulnerable members of society across the localities and partnerships. The LSCB and SAB oversee work on Abuse, e-safety, violence against women and girls, modern slavery, sexual exploitation, bullying and hate crime as it relates to children and adults, and monitors the effectiveness of the implementation of the domestic abuse strategy.

## 7. Background Papers

Many are core documents and are the same as identified in previous reports

- The Children Act 2004 Every Child Matters: Change for Children
- Children Act 1989

- Working Together to Safeguard Children (2015)
- Special educational needs and disability code of practice (2015)
- Keeping Children Safe in Education (2016)
- Mental Capacity Act (2005)
- The Care Act (2014)
- Care Act Guidance (2014)
- Working Together (2018)

## **8. Appendices**

Appendix 1- Southend LSCB Annual Report on the Effectiveness of Safeguarding Children in Southend 2018/19

Appendix 2- SBC Annual Report on the Effectiveness of Safeguarding Adults 2018/19



2017-19

# Annual Report of the Effectiveness of Safeguarding Children in Southend



September 2017 to March 2019

# Annual Report on the Effectiveness of Safeguarding Children in Southend

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## Section 1: Introduction

### 1.1 Foreword by Independent Chair, Liz Chidgey

*I'm pleased to introduce the 18/19 LSCB and SAB annual reports. Safeguarding Children and Young People (CYP) and Vulnerable adults remains a key priority for all the agencies across Southend with a gradual focus on moving from a process driven approach to identifying, with the people of Southend, the safeguarding outcomes we all want to achieve.*

*The 2050 visioning led by Southend Borough Council in 2018, involved a comprehensive engagement exercise with a wide diverse group of the population. What the people of Southend said they wanted under the heading 'Safe and Well' was for everyone to feel safe at all times of the day. In terms of active participation 'Active and Involved' they said that, when people speak they wanted to be heard and taken seriously, they also want to be involved in developments from the beginning so that together everyone who wants to be can be involved to make the future happen. People also saw the need to be connected and SMART with technology and digital developments ensuring connectivity and inclusion.*

*These desired outcomes provide a basis for future partnership working regarding Safeguarding. The requirement to put in place new arrangements for a multi-agency safeguarding approach in 19/20 gives an opportunity to review and revise both the Children's (LSCB) and Adult's (SAB) Safeguarding Boards, building on the developments we have put in place 2018/9.*

*For this year we have agreed a shared outcome on Violence and Vulnerability across Boards, Community Safety Partnership and Health and Well-being Boards. The Chairs of all the Boards meet on a quarterly basis to monitor progress and discuss next steps.*

*The safeguarding partners approach to design and production of new arrangements must have the participation and voice of Children and Young People and vulnerable Adults at the core as well as the key organisations. This will facilitate authentic partnership arrangements that have aligned road maps and outcomes instead of strategic plans and business plans that sit in splendid isolation.*

*The challenge for 19/20 is to make these changes happen.*

*2018/19 has seen the partnerships for both LSCB and SAB remain strong and engaged. It has also been a year of change for the resources available to progress the work of both Boards. For the first time since my appointment in 2017, we now have two experienced Boards managers in post. Since their commencement in September 2018 they have positively impacted on the capability and capacity of both Boards to deliver against the agreed strategy and plans.*

*I remain excited by the challenges ahead of both Boards as I do believe, with the right focus, we have an opportunity to contribute to ensuring better outcomes on Safeguarding for the population of Southend*

## 1.2 Introduction

This annual report is for the period 30<sup>th</sup> September 2017 to 31<sup>st</sup> March 2019 and is produced as part of the Board's statutory duty of Local Safeguarding Children Boards under the Children Act 2004. The report covers more than a calendar year in order that the timing of the report better fits the reporting mechanisms of partners. It is one of the three core statutory duties of the Chair of the Board to publish an Annual Report in relation to the preceding financial year, on the effectiveness of safeguarding in the local area.

This Annual Report gives details of progress on our priorities and Strategic Plan 2016-2019; and provides an overview of LSCB activities and achievements during 2017–2019 summarising the effectiveness of safeguarding activity in Southend including the work of member agencies.

The report will be submitted to the Local Authority Chief Executive, Leader of the Council, Essex Police, the Chair of Southend Health and Wellbeing Board and Southend Health watch.

More information about the statutory role and function of the Safeguarding Children Board can be found at <https://www.safeguardingsouthend.co.uk/Children/>

## 1.3 Role of the Southend Safeguarding Children Board

The Southend Safeguarding Children Board is a statutory body created under the Children Act 2004. Section 14 of the Children Act 2004 which sets out to:

- a. Coordinate what is done by each person or body represented on the Board for the purposes of safeguarding and promoting the welfare of children in the area; and
- b. To ensure the effectiveness of what is done by each such person or body for those purposes

### **Vision**

The Safeguarding Children Board (LSCB) aims to ensure its members work together effectively to:

- Keep children safe from maltreatment, neglect, violence and sexual exploitation
- Ensure they are secure, stable and cared for
- Help reduce the likelihood of them suffering from accidental death and injury, bullying and discrimination, crime, and anti-social behaviour

### **Statutory Duties**

Regulation 5 of the Local Safeguarding Children Boards Regulations 2006 sets out that the functions of the LSCB, in relation to the above objectives are as follows:

- a. developing policies and procedures for safeguarding and promoting the welfare of children in the area of the authority, including policies and procedures in relation to:
  - i. the action to be taken where there are concerns about a child's safety or welfare, including thresholds for intervention;



- ii. training of persons who work with children or in services affecting the safety and welfare of children;
  - iii. recruitment and supervision of persons who work with children;
  - iv. (iv) Investigation of allegations concerning persons who work with children;
  - v. safety and welfare of children who are privately fostered;
  - vi. (vi) Cooperation with neighboring children's services authorities and their Board partners;
- b. communicating to persons and bodies in the area of the authority the need to safeguard and promote the welfare of children, raising their awareness of how this can best be done and encouraging them to do so;
  - c. Monitoring and evaluating the effectiveness of what is done by the authority and their Board partners individually and collectively to safeguard and promote the welfare of children and advising them on ways to improve;
  - d. Participating in the planning of services for children in the area of the authority; and
  - e. Undertaking reviews of serious cases and advising the authority and their Board partners on lessons to be learned.

An LSCB may also engage in any other activity that facilitates, or is conducive to, the achievement of its objectives.

In order to fulfil its statutory functions an LSCB should:

- assess the effectiveness of the help being provided to children and families, including early help;
- assess whether LSCB partners are fulfilling their statutory obligations
- quality assure practice, including through joint audits of case files involving practitioners and identifying lessons to be learned; and
- Monitor and evaluate the effectiveness of training, including multi-agency training, to safeguard and promote the welfare of children.

More information about the statutory role and function of the Safeguarding Children Board can be found at [www.safeguardingsouthend.co.uk](http://www.safeguardingsouthend.co.uk)

### **The Safeguarding Principles**

Effective arrangements for safeguarding children should be underpinned by two key principles:

- **safeguarding is everyone's responsibility:** for services to be effective each professional and organization should play their full part
- **A child-centered approach:** for services to be effective they should be based on a clear understanding of the needs and views of children.

### **Strategic Plan 2016 - 2019**

The Strategic Plan 2016-2019 is being reviewed at the time of writing this report. A strategic plan will be the new Multi-Agency Safeguarding Arrangements with Partners. The Local Authority, Clinical Commissioning Group and the Police. Throughout the coming year there will be a phased approach of implementation and evaluation. The new arrangements will be published and implemented by the end of September 2019.

## Governance

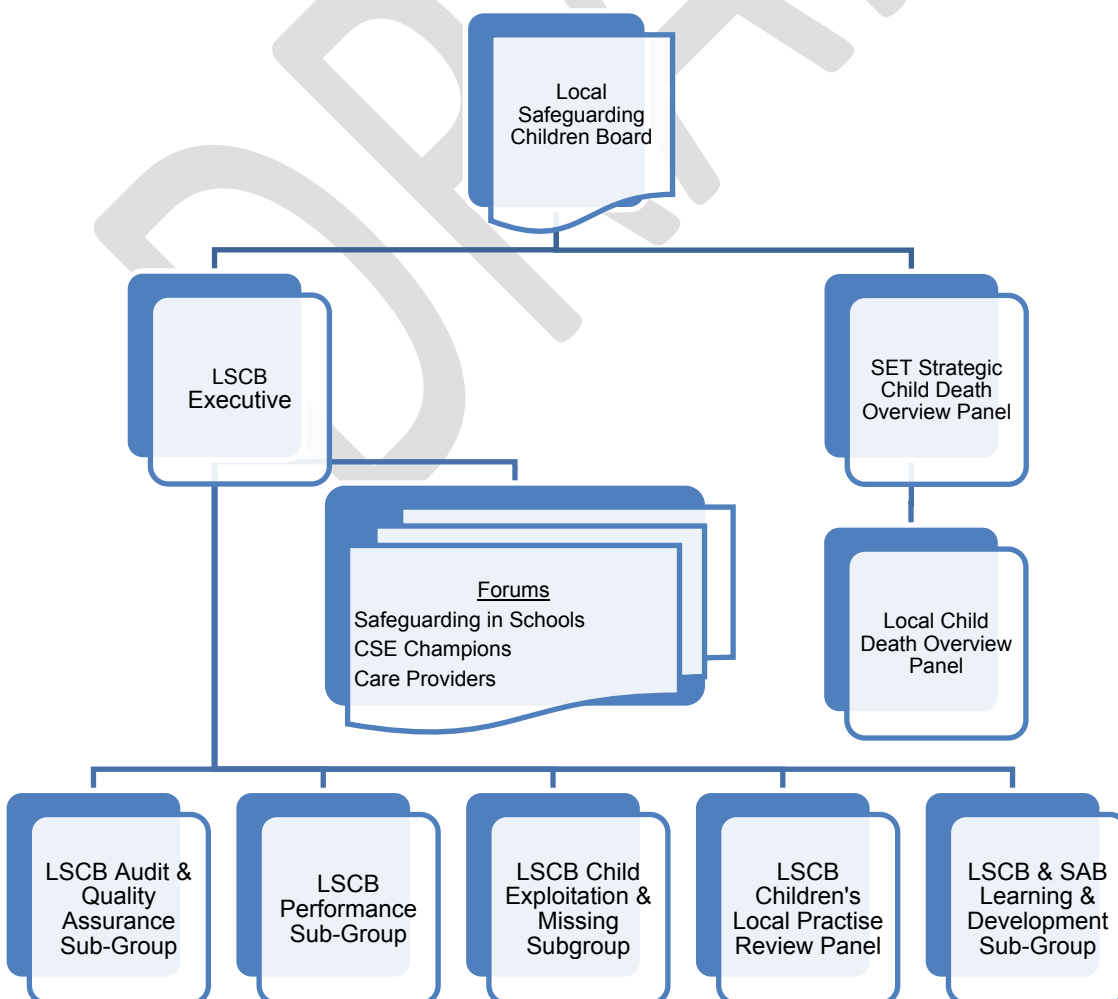
Southend Safeguarding Children Board is chaired by its Independent Chair, Elizabeth Chidgey and meets four times a year bringing partners together from: Southend Council, Essex Police, Essex Fire and Rescue Services, Southend Clinical Commissioning Group, NHS Health Trusts, Probation Services, the Voluntary Sector, and lay members, representing health, care and support providers and the people who use those services across Southend.

The Chair is accountable to the Chief Executive of the local authority in chairing the LSCB and overseeing its work programme. However, she is accountable only to the Board for the decisions she takes in that role. The role of Vice-Chair is undertaken by Southend Borough Council's Deputy Chief Executive for People.

The Board is attended by representatives from the partner agencies with a high level of engagement. Information about Board attendance can be found in Section 6.

The LSCB has an Executive, five subgroups, and three forums chaired by senior members from across the partner agencies. We report on the business of each of the sub-groups operating during 2017-19 in this report and the structure below reflects the shape of the Board.

### LSCB - Board and Sub-Group Structure



## Strategic Links to other Boards and Partnerships

The Chair of the LSCB is a member of the Health and Well-Being Board and presents the LSCB Annual Report to the Board; The Chair meets regularly with the Chief Executive, the Corporate Director for People, the Lead Member for Children's safeguarding, and the Leader of the Council, lead Health Commissioner, Police and is also the Chair of the Safeguarding Adult Board. The Chair also meets regularly with the Council's Scrutiny Committee. Links are also maintained through representation on key strategic partnerships:

- Community Safety Partnership
- The Health and Wellbeing Board
- The Local Safeguarding Children Board
- Essex Safeguarding Adults Board
- Thurrock Safeguarding Adults Board

Southend Essex and Thurrock (SET) work in partnership to provide a common approach to safeguarding across the county. The SET Safeguarding Children Guidelines set out the system and process all organisations should use to raise safeguarding concerns. This includes a framework for confidentiality and information sharing across agencies.

## Funding

The work of the Board is financed by contributions from partner agencies. In addition to financial contributions, partner agencies contribute significant amounts of staff time to support the delivery of the board's work programme, and to support training delivery.

A review of governance for Safeguarding in Southend led to uplift in the budget mid-year. This uplift covered the costs of:

- An extensive review of the governance (including the production of terms of reference for all Boards, Executives and Sub-Groups.)
- Support for the management of the safeguarding during the period of review
- Support to manage the change in structure and delivery models

Next year's proposed budget 2019/20 (presented at February Board Meetings) includes costs for the new structure. The new budget also (for the first time) recognises the significant 'on-costs' (+34%) of employment.

Full budget information is contained within Section 7, Appendix 2.

## Section 2: Priorities 2017-19

In the 2016-2017 Annual Report and the 2016-19 Strategic Plan the Board identified the following key areas for development:

- Conclude and implement the Strategic review of the LSCB and its sub-group priorities and activities and ensure that engagement with the service user is improved and their voices captured to inform future board activity
  - This has been completed. Under the New Working Together arrangements 2018 a phased approach is underway with Partners as to the structure and scrutiny of the new arrangements for September 2019
- Implement a new performance and risk framework to support the Board in delivering its statutory responsibilities – Including understanding the impact of local resource commitment to safeguarding and funding plans
  - The Dashboard has been introduced and this is currently under review. Partners have identified that it does not provide all the information that they would like and in the format that they would find most useful.
  - The new Risk Register forms a regular agenda item on the Board and Executive and is reviewed at each meeting.
- Understanding and assessing the impact on safeguarding system changes and commissioning plans and key transformation programmes.
  - The STP, JTAI report and the New Working Together arrangements at both a local and SET level are standing agenda items at Board level. The Chair and the Business Manger have regular meetings with appropriate leads to ensure that the improvement processes continue to offer assurance in regards to the organisations management of safeguarding.
  - A SET summit in June 2018 agreed increased collaboration and the October meeting reviewed Set Working Together Strategy.
  - Southend Working Together arrangements are in development with a phased approach ready for implementation for September 2019
- Develop a revised audit programme to be overseen by the LSCB
  - The new Audit and Quality Assurance Group has a work plan that is agreed by the Independent Chair and that reports to the Executive. The work plan has prioritised work around multi-agency Section 11 audits and Serious Case Review activity.
- Ensure that cross cutting system improvements are in place and that partners work collaboratively in three priority areas around, casework practice, quality of referrals and appropriate interventions
- Respond to emerging National Priorities of neglect, child sexual exploitation and modern slavery
  - Child sexual exploitation, modern slavery and domestic abuse are part of a multi-agency strategic group. The action plan is focused around four key areas: Understanding the problem, Community Engagement/Training, Prevent, Protection and Pursue.

## Section 3: Achievements from September 2017/18 – March 2019 Highlights

This year the LSCB undertook significant work to ensure that it fulfilled its statutory responsibilities and welcomed a new Structure and Business Manager in September 2018.

### 3.1 Safeguarding Children Board

- The governance of the LSCB (and SAB) was reviewed and the outcome was a change in the meeting structure, their terms of reference, work plans and membership.
  - This has led to an increase in engagement and attendance.
  - Strategic Plans with key priorities have been delivered, alongside key objectives.
  - Action Plans for the Board and Executive Meetings now form part of the minutes and there are work plans for the Performance, Audit Quality Assurance and Child Exploitation and missing sub-groups.
- The Risk Register has been reviewed; and is now a standing item on agendas.
- Training provision was reviewed and it was found that the costs in time and resources have led to other significant work not being delivered. It was also found that the boards were accrediting training without an appropriate mechanism for doing so. It was noted that a number of national lead organisations provide safeguarding training at an equitable cost, free training, bespoke training for themes and roles. A significant factor in the change in training was that there was only a 50% take up of courses offered. It was agreed that training from Essex and Thurrock would be accessible to people and professionals from Southend.
- A Train the Trainer update course has been delivered.
- A shared learning event (alongside the Violence and Vulnerability group and Community Safety Partnership) on Modern Day Slavery was led by the LSCB and SAB. Attendance and feedback for the event has been excellent.
- A Performance Dashboard has been developed and delivered. The presentation of headline statistics, with commentary, generates the majority of the work for the Performance Subgroup and is forwarded to the Board. The dashboard is currently under review for review and it is likely that the first iteration will change significantly as Partners have become aware of the benefit of the presentation and the opportunity to concentrate on areas of risk, and what information would be useful.
- Case Learning notes produced from other areas' serious case Reviews have been disseminated to partners to share learning and to understand the local position.
- The LSCB website content is under review. It was found that that there was content that was no longer relevant, missing or inaccurate. All errors and omissions have been rectified and a regular review of content planned.

- Induction Packs have been developed for Board Members to ensure that they have all the information, network and connections to add value to the LSCB as soon as possible.
- The Southend LSCB continues to work with SET and has been involved in the update of a number of shared policies and protocols. The SET procedures Working Together Group is working in line with the changes.
- The Set Summit meetings in June and October 2018 have increased collaboration.
- The LSCB has engaged with regional networks and sharing of best practice.
- Assurance: section 11 audits and returns have been completed and submitted with no actions arising. Once the cycle of reporting is complete in March 2019 the reporting schedule is to change to bi-annual.
- Harmful sexual behaviour audit carried out across agencies. Audit to be analysed and gaps identified for future training in 2019
- The Serious Case Review Panel has been reconvened due to the increased number of practice reviews. There are currently two active Local Practice Reviews which are to be commissioned. An overarching review has commenced to incorporate Baby S, neglect and fewer than 1s.
- The STW Serious Case review finalised and the action plan is monitored by the Audit Quality Assurance sub group

### **3.2 Schools' Safeguarding Activity**

Building on the successes of previous years, Southend's schools currently have multiple dependable points of contact with the LSCB:

- Heads, Deputy Heads, and Designated Safeguarding Leads are actively engaging with the quarterly Safeguarding in Schools forum, forming an invaluable link for sharing information, maintaining lines of communication, and allowing for robust debate of developing issues. Through the Forum, Essex Police have engaged upwards of forty schools to take part in Operation Encompass, enabling schools to nominate a key adult who will appropriately support and report following a child's experience of domestic violence.
- The CSE Champions Forum affords similar opportunities for communication, with staff from many schools attending quarterly meetings to ensure their knowledge around CSE remains current and that information sharing can take place in a supportive and collaborative environment; those Champions that cannot attend on a given date will instead treat the minutes of each meeting as a briefing, enabling busy school staff to stay abreast of important developments.
- The biannual School Governors' Safeguarding Return encourages heads and Chairs of Governors to scrutinise and assess their own safeguarding provision, to identify points of improvement, and to create solutions and provisions accordingly; a number of schools have shown enthusiastic and proactive involvement with the LSCB's school

safeguarding provision. The LSCB has recently developed a grading system for the returns, enabling the identification of the highest achievers and those most in need of improvement

- In the course of conducting recent Practise Reviews, several schools have been approached to engage and have provided useful information both to the LSCB and to Essex Police's investigating officers. As a result of the rapid review there has been learning which has been implemented in a timely fashion leading to improved outcomes.

### 3.3 Partners' effectiveness highlights

The LSCB has been involved in partnership activity throughout the 2017/19 period and the following organisations regularly report into the LSCB and most have provided a summary of their activity over the period.

#### 3.3.1 Essex Community Rehabilitation Company

##### Agency Context

*Essex CRC manages adults in Southend who are sentenced to Community Orders or periods of imprisonment, where they are assessed as either low or medium risk of serious harm. We also deliver structured interventions to high risk offenders supervised by the National Probation Service. In Southend we are located in Civic 2, which has allowed growth in our partnership working with local authority teams.*

*Our leadership team has remained consistent over the last year – at senior and local level. Our service delivery team has also remained largely consistent. We have experienced difficulty in recruiting experienced probation officers, but we have mitigated this by commencing a programme of training staff to complete the Professional Qualification in Probation (PQiP) programme.*

##### Safeguarding Children Activity

*Safeguarding is core training for all of our staff and standing item in staff supervision. We are engaged with the LSCB at Board and Exec level, and support a number of operational partnership groups; including MARAC and Op Censor. We are also present at the Violence and Vulnerability board and the spin off Criminal Justice sub-group. We have joined the newly formed MASH+, with practitioner attendance 1 day per week.*

*We contract Ormiston Children and Families to deliver specific interventions to service users with family integration needs, and we delivery the Building Better Relationships Programme for male perpetrators of domestic abuse (linked to this is our Partner Link Worker Service to support victims). This year (June 2018) we were inspected by Her Majesty's Inspectorate of Probation (HMIP) and rated as Requires Improvement. Our assessment and management of risk of harm was recognised as an area for development, but our organisational delivery, range of services on offer, community payback scheme, partnership engagement was rated Good. Of the 6 CRCs that have*

had HMIP reports published to date, Essex CRC is the highest rated.

#### Outcomes and Impact of Safeguarding Children Activity

Internally, managers complete a monthly audit of cases, to include at least one case per officer in each sample. Safeguarding of vulnerable children and adults is a key area of focus in this audit regime. Externally, as mentioned above, we were visited by HMIP this year and received a Requires Improvement rating. We incorporate learning and recommendations from internal and external audits into our ongoing development plans and report back on these to our Ministry of Justice Contract Management Team. As an adult orientated service, we do not have any performance measures which explicitly cover child safeguarding, but our most recent quarter's results (July-Sept 2018) were above contractual target.

#### Key Successes

This year we have joined the new MASH+, with practitioner location 1 that team 1 day per week. This will be reviewed in the coming year to ensure that it is an effective and efficient way for Essex CRC to contribute to the MASH+ arrangements. We have also engaged with the Violence and Vulnerability Board and Op Censor. This partnership has helped forge greater co-operation with social care and YOS teams. We have contributed to partner agency development by delivering a 3-day DA Perpetrator training event to social workers in Southend.

#### Key Areas for Development

In partnership with the Violence and Vulnerability Board, and the SET V&V Framework, we are forming an Essex CRC criminal exploitation strategy. This will include the identification of criminally exploited and embedded service users, an assessment framework and suite of interventions to address their behaviour and underpinning vulnerabilities. More broadly, the assessment and management of risk of harm has been identified as an area of development for us, which is in part a result of recording standards. This is being tackled through a range of revised case inspections, observed practice, team workshops and training events.

### **3.3.2 Essex Partnership University Trust**

#### Agency Context

Essex Partnership University Trust (EPUT) is a provider of Mental Health and Community Services across Essex, Bedford and Suffolk. In April 2017 the two former organisations of South Essex Partnership Trust (SEPT) and North Essex Partnership Trust (NEPT) merged to form one organisation. As a result of the merger the safeguarding team expanded and appointed a Head of Safeguarding for Mental Health Services. The safeguarding team now consists of a variety of professionals, all of whom



*bring additional expertise to the team. The Executive Nurse has board responsibility within EPUT for safeguarding and this responsibility is explicit within the job role.*

### *Safeguarding Children Activity*

*EPUT has robust and effective safeguarding services in place that reflect national and local authority guidance and the service has a strategic framework which establishes the services vision and build upon existing achievements. The Trust is actively represented on all appropriate Local Safeguarding Children Boards (LSCB) and committees giving partners assurance and oversight of EPUT's safeguarding arrangements and is an important part of the organisations ability to develop and influence their services.*

*EPUT has a safeguarding training strategy in place and delivers competency based safeguarding training to staff relevant to role from levels 1-3 of the Inter-Collegiate Document. The training programme is integrated into the Trust mandatory training policy and performance is reported to commissioners and the LSCB. Staffs that have attended the training are required to evaluate this and asked to make a pledge of what they will change in clinical practice as a result of the training. These are then followed up by the safeguarding train. Example this year has been: "During each MDT we explore all our patients that have children and have a discussion about how they coping and if there are any issues"*

*The Trust has safeguarding links in pace that champion the safeguarding agenda within their teams. The safeguarding team regularly present learning lessons cases to the oversight committee and this year topics have included cuckooing and professional curiosity. Should include information about staff training and competence; and any services or activity which impacts on the safeguarding of children.*

*The safeguarding children team have undertaking an audit on the appropriateness and quality of child protection referrals made by EPUT teams. The Named Nurse is liaising with colleagues from social care for peer reflection on these from a partner's perspective to aid the learning that will result from this audit.*

*The Trust has developed a leaflet for service users giving advice for on line abuse, bullying and dangers of exploitation. The safeguarding team have included exploitation on their work plan for focussed pieces of work. Raising awareness and is being strengthened and organisational policies and procedures are being reviewed to include the learning from themed inspections.*

### *Outcomes and Impact of Safeguarding Children Activity*

*Indicated previously staff pledge after attending training how children and families are discussed at the multi-disciplinary team meetings in adult mental health services.*

- "The training brought forward various cases that the team are working with currently and we discussed issues around this. This also gave me and team further understanding of the safeguarding process and what impact this has on the patient and families we are working with, this is a standard topic on the agenda as well". -*

### *Adult mental health services*

- *“This paper is a really helpful framework for us all in dealing with such complexities” This relates to guidance available to staff on Fabricated Induced Illness.*
- *“We approve foster carers in the area, who provide care to Children some of whom have had five different placements. The support the health visitor provided to the Parent, Baby and also the foster carer, has been quite exceptional in my experience. She has the best interest of baby at the centre of her practice and appreciates the additional support that so many new mothers require”. Feedback from fostering agency on staff member.*
- *“The child protection referral I placed last week and was going to discuss with you has been dealt with and closed. Southend BC was brilliant in this case and has allocated a mentor/individual worker for the 17yr old son. They also commented on the missed safeguarding opportunity for many years by various agencies, so I’m more pleased than ever to have doggedly pursued it. It’s brilliant having your team there for support, thanks.” Feedback to safeguarding supervisor.*
- *“We are writing to thank you for completing the health assessment. In Harrow, we strive to ensure that we offer a high quality service to our children in care, and this health assessment was of an excellent standard. Again, thank you for this exceptional work”. Feedback from another area”*

### Key Successes

- *Newly updated staff intranet site for safeguarding for staff reference and guidance*
- *Newly developed organisational Children’s Strategy which includes safeguarding*
- *Nominated member of safeguarding team allocated to adolescent in patient units*
- *Addition to level 2 safeguarding training of enhanced package of domestic abuse, forced marriage and female genital mutilation.*

### Key Areas for Development

*The organisation plan to strengthen the safeguarding arrangements they have in place as a result of the learning from themed inspections on exploitation during 2018.*

### **3.3.3 Essex Police**

#### Agency Context

*One of Essex Police’s objectives, as set out by the Police and Crime Plan, is to ensure children and vulnerable people are appropriately safeguarded and that they receive the*

help and support they need. Within Essex Police, the Crime and Public Protection Command is mainly responsible for the safeguarding of vulnerable persons.

The Operations Centre is the point of entry into the organisation for all Public Protection partnership-related enquiries and referrals, forming the link between Essex Police and Southend Social Care. Also in the Operations Centre, is a large triage team made up of three areas, Adult, Child and CSE. This joint triage team enables Essex Police to enhance response and build a resilience of knowledge. The Operations Centre and the Child triage team give partners a single point of contact where they can speak with someone who has knowledge of the safeguarding protocols.

The Operations Centre also consists of the Central Referral Unit (CRU). The CRU's primary purpose is to assess the risk experienced by victims of domestic abuse and stalking (including honour-based abuse). CRU provides a central point of contact for police officers and agencies. It will ensure that domestic abuse referrals are accurately recorded, graded and fully researched and that relevant information is shared with social services and other agencies. This is part of Essex Police's commitment, working with partner agencies, to provide the best possible service and support to all victims of domestic abuse. By safeguarding adults from domestic abuse, we are in turn safeguarding children who often witness DV or are involved in it.

Essex Police also have dedicated domestic abuse investigation teams, 'Operation JUNO'. These teams will oversee all domestic abuse investigations and work alongside our partner agencies. This will help to ensure the force is able to give the best possible support for victims and a strong, co-ordinated response to those responsible.

Essex Police are continuing to support the Safeguarding Children Boards; all of the meetings are attended by a senior officer.

### Safeguarding Children Activity

The Essex Police Child Triage Team was set up over 2 years ago to create a central point of contact for Social Care and to assist the Child Abuse Investigation Teams (CAIT) across Essex. This team receives all referrals of child abuse initially and will participate in strategy meetings with social care and other professionals on a daily basis. They will share information and collectively come up with a plan to safeguard child/children. The CAIT Investigating Officers also attend all the Initial Child Case Conferences. We also participate in the SET Procedures working group by attending monthly meetings. All new Police Officers will complete an attachment with a CAIT team and will have an input from the Triage Team during their probationary period. This is to ensure new officers are aware these teams exist, explain what role they play and to promote the importance of safeguarding children. These teams are also there to provide assistance and specialist advice to officers that come across a child in need of safeguarding whilst carrying out their duty.

We are inspected by HMIC who promote improvements in the services we provide and highlight any good practice. They monitor us as a force and report annually on our effectiveness, efficiency and legitimacy. The HMIC recently reported that we have made considerable efforts to improve our ability to protect vulnerable people and we are now good at supporting and protecting these people. They also reported that we have

*worked hard to develop constructive relationships with partner agencies, so that we can provide better support to victims and the communities that we serve.*

### Key Successes

*Summary of key achievements by your agency which have protected children's wellbeing.*

- Training has been delivered by a specialist Child Abuse Investigation Team Detective Inspector on taking a child into Police Protection. This training has been well received, resulting in further courses being offered to officers across Essex Police.*
- A CPD event has been held around The Voice of the Child and the Family Court Process. This was open to all Police Officers and Police staff, particularly those in Public Protection, and LPT Inspectors who are often designated officers for Police Protection Powers. The event included a child victim speaking of her experiences with the Police and an input from the Centre for Action on Rape and Abuse in Essex (CARA). Holding these types of events educates officers and allows us to improve our practices and procedures when it comes to child safeguarding.*
- We are now part of Southend MASH to help improve our service for vulnerable children.*
- Supt. Hendy presented at the National CSE inside Government Conference in London and received excellent feedback from partners and police colleagues. The presentation delivered was on Effective Police Strategies for CSE.*
- Op Goldcrest was presented to the LSCB Full Board in September, where it was fully supported by all partners and agreed that Thurrock will pilot the project. Essex SC has not yet taken this to the FLT and this will be done in the next few weeks; however they agreed to go ahead as this is a formality. A meeting was held with partners and a working group has now been set up. The Go Live date is anticipated to be in April 2019 at Grays.*
- The memorandum of understanding has been re-written for Missing Children. This has now been agreed to form part of Chapter 20 in the SET Procedures.*
- The Crime and Public Protection Command have agreed the updated SET procedures on the bruising protocol and also the SET procedures revised chapter on serious youth violence and gang activity.*
- The Youth Offending Service received 'outstanding' from their Ofsted inspection and there was mention within the report of good work from Essex Police.*
- Essex Police are part of Op Hydrant and provide feedback on any cases we identify.*

### Key Areas for Development

*There is no identified investigative resource around child exploitation. Sub-Group meetings are expanding across SET*

### **3.3.4 SBC Children's Services**

#### Agency Context

*Southend Borough Council's Children's Services are a statutory safeguarding agency. The service discharges the Council's statutory social work duties in relation to contact, referral and assessment, children in need, children subject to child protection plans, looked after children, care leavers and disabled children and young offenders. The Local Authority Designated Officer (LADO) sits within Children's Services.*

*Children's Services are responsible for discharging many of the Council's duties as Corporate Parent to looked after children including fostering and adoption services.*

*The service delivers services for children who have additional identified needs, who are not children in need under Section 17, Children Act 1989, within our Early Help Family Support Service.*

*Four Heads of Service report to the Director of Children's Services who is a member of the Department for People management team. The Deputy Chief Executive, Department for People, is the statutory DCS and DASS.*

#### Safeguarding Children Activity

*This annual report covers the year of 2018 and as such aligns with the period covered by our self-assessment. This report can be read alongside the self-assessment from March 2019 onwards.*

#### **Children living in this area**

- *Approximately 39,115 children and young people under the age of 18 years live in Southend-on-Sea. This is 21.5% of the total population in the area.*
- *Approximately 18.9% of the local authority's children are living in poverty*
- *The proportion of children entitled to free school meals:*
  - *In primary schools is 13.6% (the national average is 13.7%)*
  - *In secondary schools is 8.1% (the national average is 12.4%)*
- *Children and young people from minority ethnic groups account for 21.7% of all children attending Southend schools at the time of the spring 2018, compared with*

31.8% in the country as a whole.

- *The largest minority ethnic groups of children and young people in Southend's schools are Asian and Mixed/Dual.*
- *The proportion of children and young people with English as an additional language:*
  - *In primary schools is 14.5% (the national average is 21.2%)*
  - *In secondary schools is 13.3% (the national average is 16.6%)*

### **Child protection in this area**

- *At 31 March 2018, 1,323 children had been identified through assessment as being formally in need of a specialist children's service. This is a decrease from 1,387 at 31 March 2017.*
- *At 31st March 2018, 116 children and young people were the subject of a child protection plan. This is a reduction from 220 at 31st March 2017.*

### **Children looked after in this area**

- *At 31st March 2018, 291 children were being looked after by the local authority (a rate of 74 per 10,000 children). This is an increase from 282 (73 per 10,000 children) at 31st March 2017. Of this number,*
  - *147 (or 50.5%) live outside the local authority area*
  - *19 live in residential children's homes*
  - *No children are placed in a residential special school*
  - *213 live with foster families*
  - *10 live with parents*
  - *15 children are unaccompanied asylum-seeking children.*
- *In the 12 months prior to 31st March 2018:*
  - *There were 35 adoptions*
  - *8 children became subject to special guardianship orders*
  - *114 children ceased to be looked after*
  - *25 young people aged 18+ on the 7th of January 2019 are in independent living arrangements*

*Our approach to the changing landscape of risk and harm experienced by children and young people due to criminal and sexual exploitation is an area of strength and has received national recognition. We are in no doubt about the challenges of engaging with this cohort of young people and remain committed to supporting positive outcomes for them. The strength of our practice in this area was identified during the Joint Targeted Area Inspection in April 2018.*

*Our investment in staff has supported our improvement journey with reduced caseloads enabling higher quality practice. We have recruited to 3 additional team manager posts, and an additional deputy team manager post, to further improve the capacity of our managers to drive forward practice improvements including the quality and progression of assessments and plans and the quality of supervision.*

*Management grip is an area of strength with the development of team performance dashboards and weekly reports which are reviewed by the Director of Children's*

*Services, Deputy Chief Executive and the Chief Executive. We remain committed to ensuring there is a direct line of sight from senior leaders to the lived experience of Southend's children.*

*We continue to have a Children's Services Improvement Plan which sets out our practice improvement priorities. Progress against the plan is reported to our Improvement Board which is chaired by the Leader of the Council. Membership of the board includes the Lead Member for Children and Learning, The Chief Executive, Deputy Chief Executive, Director for Children's Services, Independent Improvement Partner and chair of the LSCB. We continue to use quality assurance processes, such as case audit and feedback from children and families, alongside performance data to assess the impact of our work and make changes where required.*

*Our areas of good practice have been achieved by working in partnership with other agencies at a strategic and operational level. These include our contact and referral arrangements, MASH+, our response to Child Exploitation and our response to domestic abuse, MARAT. These arrangements are functioning well. We demonstrate leadership in partnership and governance boards such as the Violence and Vulnerability Board, LSCB, Health and Wellbeing Board, SEND board and Success for All Children Group (Children's Partnership).*

*In 2017 we commissioned Research in Practice to undertake analysis of demand within the children's social care, early help and SEND. The findings from the research, received in 2018, have informed our significant investment in services and the structure of our services. It supported us to be able to use a strong evidence base with confidence to make the case for investment and this was well received by Members and senior leaders.*

*We have explored the reasons behind our Looked After Children rate, which is higher than statistical neighbours, our Child Protection Plan rate, which is lower than statistical neighbours, and our re-referral rate, which is slightly higher than statistical neighbours using performance and demand data and our understanding of the needs of Southend Children. Following this work we know that we are confident that children who are in care need to be in care and that the increase in numbers relates to improved safeguarding practice relating to infants and our improved understanding of risk and harm experienced by adolescents due to criminal and sexual exploitation. We know that our Looked After Children rate would be higher if it were not for the work of the Edge of Care service who enables children to remain living safely with their families who may otherwise have needed to become looked after to ensure their safety.*

*We have made a conscious decision to use a contextual safeguarding approach to our work with adolescents and this means they are being appropriately worked with by our adolescent intervention and prevention team as children in need. This is a group of young people who we know would have previously been subject to child protection plans and this is one reason for our rate of children subject to plans. In addition our continued, and increased, investment in early help provision and the increase in the number of social workers means the needs of children are met at an earlier stage and they therefore do not require child protection plans.*

*Our exploration of the reason behind our re-referral rate has led us to increase our focus on the quality of assessment and decision making. We have invested in additional*

*management posts within the assessment and intervention service to support improvements in decision making and assessment.*

*We are required to submit a Written Statement of Action following the recent partnership SEND inspection. Children's Services are contributing to actions for improvement and the Director of Children's Services are a member of Written Statement of Action working group. One area of focus for us relates to children allocated to the service who are missing education and we have held a senior leaders workshop to explore this area of work.*

*One area of focus is to ensure the strength of our early help service delivery is not diminished due to any future changes in Troubled Families funding. We are confident that we will be able to work across the children's system to support families.*

*Current challenges include the impact of the increase in demand related to new areas of vulnerability such as Child Exploitation and County Lines activity in the town, the increase in 'in work' poverty, the pressures on the system relating to placements and the impact of other local authorities housing families with additional needs in Southend.*

*We are facing challenges due to the national pressures on the system relating to placements for looked after children. The lack of choice of placements, the behaviour of some PVI providers and the increased cost of PVI placements increases the difficulty in ensuring that out looked after children live in the very best placements.*

#### *Outcomes and Impact of Safeguarding Children Activity*

*We know that our safeguarding activity means that children are safer. Our file audit programme shows an improving picture of practice. The proportion of audited cases found to be good or better increased from 44% in January to 65% in December with the average across the year being approximately 57%. The proportion found to Require Improvement of better increased from 77% to 94% over the same period with performance at or above the target of 85% for the majority of the year.*

*We know that social workers are spending more time with children. This enables them to build relationships with children, their families and carers and to work with families with purpose to progress plans. The proportion of children being visited in accordance with timescales when subject to child protection plans increased from 94% in January to 97.6% in December with performance being at or above target for the majority of the year. For looked after children statutory visiting performance increased from 83.9% in January to 88.4% in December. It should be noted that there are a small number of older children who have stated they want to be visited less frequently which impacts on our reported performance however the frequency of visiting for this group is regularly reviewed.*

*We know that there is no delay in initial child protection conferences being held other than when it is in a child's best interests to delay the conference. Every decision to delay a child protection conference is overseen by a Head of Service. Due to the improved management grip the timeliness of child protection conferences increased to 81% being held in timescale in December.*



*A significant majority of our looked after children tell us they are happy in their placements and that they feel safe in their placements. This information is contained with the annual report of the Principal Review Officer and is based on feedback from looked after children. It includes positive feedback about their placement from children who are clear they would rather be able to live with their families.*

*Children do not wait for a decision to be as to whether they will be receive a statutory social work assessment, an early help family assessment or will be signposted to support. Over 90% of decisions made on referrals within MASH+ take one working day or less with performance being above 95% since May.*

*We know that our approach to working with adolescents at risk of exploitation using a contextual safeguarding approach means they are safer. This was the finding in the JTAI and we have subsequently made additional investment into that area of service. A review of this team, AIPT, in December 2018 included meeting with young people. The young people stated they valued the way in which the team work alongside them and do not give up on them.*

#### Key Successes

- *Implementation of multi-agency safeguarding hub+ (MASH+) resulting in improved practice at point of contact and referral to children's social care.*
- *Improvements in statutory visiting to children in need, looked after children and children subject to child protection plans which have been sustained*
- *Reduction in children's records being audited as inadequate on more than one occasion with no repeat inadequate audits since April 2018.*
- *Improvement in quality of practice identified during case audits with the target of 85% of files being audited as requires improvement or better being met and exceeded for several consecutive months*
- *Improvements in the timeliness of Section 47 investigations with strong performance being seen during Q2 and Q3 of 2018/19.*
- *External validation of the strength of our approach to adolescents at risk of exploitation during the JTAI in April 2018.*

#### Key Areas for Development

*We know we need to continue to improve practice and our areas of focus have been identified during the JTAI, through our quality assurance and performance management processes, following changes in demand and through case reviews. Our priority areas of focus, within an improving picture, are:*

- *The quality and impact of assessments*
- *The quality and impact of plans*

- *The quality and impact of supervision*
- *Developing more participation opportunities for children, young people and families*
- *Ensuring that the lived experience of the child is evidenced in all our work*
- *Reviewing the application of threshold across the service and the partnership*
- *Response to sexually harmful behaviour*

*The actions we will be taking in relation to these key areas of development are contained within our improvement plan. Our revised improvement plan will be implemented from March 2019.*

### **3.3.5 SouthendBorough Council (SBC) Education**

#### Agency Context

*Education, including the important interface with all schools, is central to the LSCB's ambition regarding ensuring that our schools are both safe and operating effective safeguarding policies and practice.*

#### Safeguarding Children Activity

*Education contributes to safeguarding in several ways:*

1. *In supporting the LSCB with annual report*
2. *In directly supporting schools to ensure that they have effective safeguarding systems, including in preparation for an OFSTED inspection*
3. *Offering a single central record check*

*Specifically:*

1. *Where education is informed of a safeguarding concern by OFSTED, it works with the LADO to determine the nature and action required in relation to this concern. This either results in a direct investigation to the complaint, or requiring the school to respond directly to OFSTED.*
2. *In relation to specific context, and supporting the welfare and safety of young people, i.e. EHE, CME, LAC V&G etc.*

#### Outcomes and Impact of Safeguarding Children Activity

*Robust monitoring of school transfer records. Greater awareness and intelligence of safeguarding effectiveness in schools*

### Key Areas for Development

*Building on the monitoring and tracking identified through the SEND inspection*

### **3.3.6 Southend Clinical Commissioning Group**

#### Agency Context

*Southend CCG is a Clinical Commissioning Group (CCG) in south east Essex. A CCG is a group of GPs and clinicians who commission (buy) health services for their local communities. Our role is to specify outcomes that we want to achieve for our population, and then contract providers to provide care to achieve those outcomes. We are committed to ensuring the provision of local, high quality services that meet the specific needs of our population. During 2018 Southend CCG has aligned with Castle Point & Rochford CCG to increase efficiency through matrix working and the reduction of duplication.*

*On-going financial and capacity issues across the health economy will challenge both commissioning and provider health organisations. The Sustainability and Transformation Plan will continue to support change in local health services to reflect the changing needs of the population. However, the CCG maintains a strong commitment to safeguard children from abuse and neglect and is an active member of the LSCB. The CCG is responsible for the procurement of designated safeguarding professionals. A key function of the designated professionals is to provide clinical expertise and strategic leadership across the local health system to support other professionals in their agencies on all aspects of safeguarding and child protection. The Named GP undertakes a specialist role within the team to support and advise General Practitioners and Nurse Practitioners working in Primary Care on matters relating to safeguarding and promoting the welfare of children.*

#### Safeguarding Children Activity

*As a commissioning organisation the CCG does not deliver services directly to children and families but does have systems in place to ensure that the health services we commission has robust safeguarding arrangements in place.*

*There has been good collaboration in primary care over this year, with recognition of the increased numbers of health professions around the child, and good attendance at teaching. The teaching has also been recognised at CQC level with a recent Joint Training Area Inspection commending CCG Safeguarding Team teaching in its report. Consultant paediatricians are also now attending the Forum, reflecting the teaching's increasing popularity*

*We are work closely with other CCGs through the Clinical Safeguarding Network (SCN) which brings all designated safeguarding children and adult leads together to collaborate on areas of mutual interest.*

The CCG has provided leadership to local health providers to improve the response to child exploitation following the Joint Targeted Area Inspection that took place in March 2018. The CCG has oversight of the action plan that feeds into the LSCB action plan.

<b>Actions for Health Services</b>	
<b>Recommendation</b>	<b>Action required</b>
a) <i>Emphasis the role and contribution of health organisations within the child sexual exploitation action plan and meetings</i>	<i>Provider services are contributing to the development revised child exploitation action plan... There is an improved representation at all relevant meeting.</i>
b) <i>Improve the speed and quality of information sharing from health providers to the MASH+</i>	<i>Systems are being put in place to improve the flow of information between EWMHS, Primary Care and SUHFT.</i>
c) <i>Increase the strength of the Health contribution to the restructured LSCB to support its ability to fulfil its role as a 'critical friend'.</i>	<i>All health commissioners and providers to be represented and contribute to the work of the Safeguarding Partnership, its committees and sub groups in line with the revised Working Together to Safeguard Children 2018.</i>
d) <i>Improve the ability to share information between EWMHS and School Nursing to support better early identification of changes in young people's emotional health and well-being, including risks of going missing or vulnerability to exploitation or gang involvement.</i>	<i>EWMHS and school nursing service have been developed systems to improve information sharing.</i>
e) <i>Provide evidence that case auditing and quality assurance of practice in health is sufficiently strong to support on-going learning.</i>	<i>Peer review by JTAI health partners of safeguarding audit completed by each organisation has provided assurance.</i>
f) <i>Provide evidence that supervision is consistently implemented in all commissioner and provider organisations</i>	<i>Public Health is revising current model to reflect school nursing service need. Supervision standards have been developed and shared with all health providers</i>
g) <i>All health practitioners who come into contact with children during the course of their duties, to be able to recognise and response to children affected by gangs and criminal exploitation.</i>	<i>Training has been delivered across the health economy and further work in in progress.</i>

### Outcomes and Impact of Safeguarding Children Activity

As a commissioning organisation the CCG does not deliver services directly to children and families but does have systems in place to ensure that the health services we commission has robust safeguarding arrangements in place.

This has been monitored through the SCN Dashboard which brings together

safeguarding data across the health economy for scrutiny.

Level 3 training for GPs has been delivered within the Time to Learn programme, 4 offered in 2017. Nurse Practitioners were offered bespoke level 3 training, the requirement to have this level of training is dependent on individual role and responsibilities. The figure cannot be given as a percentage as the total number employed is not available.

<b>Level 3 training for Primary Care</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Nurse Practitioners</b>
CP&R	84%	86%	98%	83%	31
Southend	80%	94%	100%	93%	31

Level 2 training is part of both CCGs mandatory training programme and delivered by e-learning. Recognition that compliance had dipped in Q1 resulted in a recovery plan that has reached the target of 90% in Q4. Level 4 refers to named safeguarding professionals and level 5 designated safeguarding professionals who are hosted by Southend CCG.

<b>Southend</b>	<b>Quarter 1</b>	<b>Quarter 2</b>	<b>Quarter 3</b>	<b>Quarter 4</b>
Level 2	32%	84%	85%	90%
Level 4	100%	100%	100%	100%
Level 5	100%	100%	100%	100%
Governing Body	100%	100%	100%	100%

### Key Successes

- Commissioning hospital-based Independent Domestic Abuse Advisors for 3 acute NHS Trusts and supporting the services already established in other Trusts.
- A Safeguarding Assurance Tool has also been submitted to NHSE England which demonstrates a high level of compliance.
- Moved towards a competency based approach to safeguarding training for primary care which is flexible to the needs of individuals.
- Health Services have supported development of the Multi Agency Safeguarding Hub + and have Health Liaison Nurses working within the hub. This has improved the quality and timeliness of information sharing between for children in need and those requiring protection. In addition it is reducing the demand on clinicians to complete section 17 and section 47 forms as this function can now be completed by the liaison nurse is they receive to consent to access the record.

### Key Areas for Development

During 2019/20 the CCG will:

- Work with Safeguarding Partners and relevant agencies to implement multi-agency safeguarding arrangements.

- *Work with partner CCGs to develop the Mid and South Essex Sustainability and Transformation Partnership (STP) to improve health outcomes for the local population*
- *Work with the Safeguarding Partnership to deliver the Violence and Vulnerability Strategy reducing child exploitation in Southend.*
- *Work with Primary Care to ensure that safeguarding is integrated into the work of Locality Hubs*

### **3.3.7 Southend University Hospital Foundation Trust**

#### Agency Context

*All staff working for SUHFT, including those who predominately work with children has a critical role to play in safeguarding and promoting the welfare of children. The safeguarding children's team promotes a "Think Family" approach and embeds this across the organisation to ensure staff is able to identify risk and protect vulnerable children and young people from harm. Assurance that SUHFT is fulfilling its obligations in regard to the Children's Act is monitored through the LSCB/ESCB and Section 11 audits for both Southend LSCB and Essex Safeguarding Children Board are completed within agreed time scales.*

*In collaboration with National Guidance, SUHFT also ensures that regulations as identified by the Care Quality Commission (CQC) are adhered to, to ensure children are effectively safeguarded.*

*Since 2016 Southend, Basildon and Mid-Essex trusts have worked to together as part of a "group model" and in Jan 2017 the joint executive group were appointed to support how we work together in both clinical and corporate services. As part of our progress towards becoming a single, merged organisation there will be a consultation process in February 2019 relating to safeguarding services across the 3 trusts. This will restructure hospital safeguarding services currently delivered across Southend, Thurrock and Essex.*

*National and local safeguarding arrangements for partnership working are being revised in order to comply with the new Children and Social Work Act 2017. Safeguarding Partnerships which include the Local Authority, Police and CCGs will replace Local Safeguarding Children's Boards from September 2019. The Safeguarding Partners are working to develop plans for the future arrangements and how these will be implemented across Southend University Hospital NHS Foundation Trust. Any associated impact is yet to be quantified.*

#### Safeguarding Children Activity

*The Safeguarding Team continues to work with external partners to ensure all statutory Safeguarding requirements are met and that health is represented at both the Southend and Essex Safeguarding Children's Boards and associated sub groups.*

*The Trust works closely with the LSCBs in their quality assurance, monitoring and safeguarding children arrangements. The Trust's Named Nurse reports assurance via the LSCB Monitoring Sub-Group and the Audit and Quality Group.*

### **Training**

*SUHFT is committed to ensuring that all staff receives the correct level of training to safeguard children (0-18 years) from harm and abuse. All health care staff must have the competences to recognise children at risk of harm and abuse, and to take action to safeguard. The safeguarding team seek to also promote a multi-agency approach to training.*

*The team offer a programme of safeguarding Children Supervision which involves a comprehensive review of safeguarding cases with a trained Safeguarding Supervisor (the team have all completed the NSPCC Safeguarding Supervision Skills programme). The process provides a structured format in a one to one or group setting that involves both reflection and direction regarding case management.*

*Attached is the annual report 2017-2018 and performance data from April 2018 to December 2018.*

### **Audit**

*A number of audits were undertaken in 2018 by the team against recommendations from national and local reviews. The team have also supported the LSCB audit programme. The safeguarding team determines an annual audit plan.*

### **Peer Review**

*It is a core competency for all clinical staff working with children to undertake regularly documented reviews of practice. Peer review is a form of reflective practice, as is clinical supervision. SUHFT hold monthly paediatric peer review which involves paediatric clinical and nursing staff discussing recent cases sharing expertise and expertise by providing an impartial evaluation of the work of others.*

### **Partnership Working**

*The Trust continues to demonstrate a high level of commitment to partnership working through active participation in key partnership meetings. SUHFT has representation on Southend and Essex Local Safeguarding Children Boards by the Chief Nurse, Designated Doctor for Safeguarding Children, Named Doctor for Safeguarding Children, Named Nurse for Safeguarding Children and the wider safeguarding team. The Trust's Named Professionals are members of a number of safeguarding subgroup meetings as well as a considerable number of internal safeguarding meetings.*

### **Key Drivers; Neglect /Criminal Exploitation**

*The safeguarding team have drawn on the expertise of the adult safeguarding leads and the LA leads for CSE and Criminal Exploitation and also other health authorities which are thought to be providing exemplar services in relation to response and recognition of criminal exploitation and its impact on children. This collaboration has*

*facilitated the development of a policy/guidance in relation to gangs, missing children and CSE. The policy is currently being reviewed by the relevant committees for ratification.*

*The team have facilitated a multi-agency neglect study day and have revised safeguarding training materials for focus on recognition and response to neglect.*

### **Outcomes and Impact of Safeguarding Children Activity**

*An assurance of robust Safeguarding Children practice (incorporating looked after children - LAC) is presented at the Joint Adult and Children Safeguarding Committee and the team report to the Clinical Governance Committee on a regular basis throughout the year. Accountability for delivering the corporate Safeguarding Children function is held by SUHFT's Chief Nurse.*

*The Safeguarding Children Team supports, enables and challenges staff to make safe and effective decisions to safeguard and protect vulnerable children. Measurement of performance and outcomes is therefore complex and includes a variety of factors which include:*

- *Performance indicators related to training and supervision uptake*
- *Audit of safeguarding knowledge*
- *Risk management*
- *Review of serious/complex cases*
- *Responding to LSCB/CCG multi-agency action plans*
- *Reviewing policies to ensure that they are in line with local and national guidance*

*The impact of safeguarding training and supervision is audited yearly. The assessment for outcomes of safeguarding training is identified by assessment of 'learner's reactions', attitudes, knowledge and skills, and impact on behaviours. We utilise a primarily quantitative approach to the assessment of outcomes, seeking to measure them by means of self-completion questionnaires.*

*The Integrated Adult and Child Safeguarding Committee acts as a conduit for the following agendas and has representatives from the health economy, including, the Designated Nurse for Safeguarding, Southend/Castle point*

- *Safeguarding adults – including compliance with the Mental Capacity Act (2005), Deprivation of Liberty Safeguards (DOLS), and the Mental Health Act (MHA).*
- *Response to the Trusts duties as part of the PREVENT Strategy, working with partner agencies across the health economy.*
- *Safeguarding children – including criminal exploitation, child sexual exploitation and female genital mutilation.*
- *Gaining assurance from the directorates that responses to external or internal inspection reports are met and that risk is managed and mitigated accordingly.*
- *The Trust upholds its reputation and meets its responsibilities in relation to the local*
- *Safeguarding Adult and Children's Boards and associated sub-groups.*

### **Key Successes**



- Significant work has been undertaken by the Safeguarding Team and informatics in relation to electronic flagging on clinical systems to ensure robust systems are in place. There has been a robust review to enhance and improve governance processes pertaining to electronic alert process –an email notification is sent to the Safeguarding Team whenever a child or adult with a current electronic alert attends the Trust. Further work in 2018/19 will need to be undertaken with regard to the Child Protection Information System (CP-IS) which has been rolled out in priority areas across the Trust.
- The development of a file entry for safeguarding which can be uploaded directly to the electronic child record and ensures all staff working with the child are aware of any safeguarding concerns in respect of the child. Family or unborn baby.
- S11 of the Children’s Act 2004 places a statutory duty on key organisations to make arrangements to ensure that in discharging their functions they have regard to the need to safeguard and promote the welfare of children. The Trust completed a Section 11 audit at the beginning of the year which was approved by the LSCB.
- The safeguarding team facilitate regular multi-agency study days; topics covered have included FGM, Non-Accidental Injury and Neglect. Further dates are planned which will focus on Fabricated and Induced Illness and Criminal Exploitation of Children.
- SUHFT has continued to demonstrate compliance with national and local directives including CQC regulations.
- The Trust’s Safeguarding Adult and Children’s Strategic Plan (2017 - 2019) was approved by the Joint Adult and Children’s Safeguarding Committee. Significant progress has been made during the year in delivering the targets agreed in the Strategy.

#### Key Areas for Development

- Support and action the findings and recommendations made from SCR and PLR ensuring work streams are embedded in practice and reflected in policies and guidance.
- As part of our progress towards becoming a single, merged organisation there will be a review of safeguarding service provision across the 3 trusts to ensure consistent practice and development of expertise within the STP.
- Continue to review Section 11 (Children’s Act 1989/2004) requirements to ensure the Trust fulfils its responsibilities for safeguarding children.
- Develop, review and update the Child Protection Policy in line with local and national guidance including Working Together 2015, Intercollegiate Document 2014 and other Local and National findings from SCR.
- Supported by the safeguarding children team, the specialist midwife for maternity safeguarding will continue to strengthen processes in place to ensure that vulnerable families are identified; risk assessed and referred promptly in pregnancy and that appropriate support and pre-birth planning is implemented. Birth plans are monitored and updated regularly on the electronic system (CED) and provide direct access for maternity staff regarding sensitive information and actions required post birth. The safeguarding midwife will continue to develop her role in supporting midwives in their safeguarding roles and providing safeguarding supervision to the specialist roles.
- Promote awareness of Neglect and its relationship to other forms of harm to ensure

*better outcomes for children.*

- *Continue to monitor service level uptake of training via the Safeguarding Children Committee with a commitment to ensure uptake >95% for clinical staff through a targeted comprehensive training programme.*

## **Section 4: Learning from Serious Case Reviews, Child Death reviews and other Reviews**

### **4.1 Serious Case Reviews and Child Safeguarding Practise Reviews**

Serious Case Reviews, now known as Child Safeguarding Practise Reviews, are undertaken by LSCBs where a child dies or is seriously harmed and abuse or neglect are known or suspected to be a factor in the death. Their purpose is to identify and implement learning to improve how services work together to safeguard children and they are a statutory requirement.

The LSCB concluded one Serious Case Review and commenced two new Child Safeguarding Practise Reviews during the period covered by this report, following referrals received in April and September 2018. Additionally, the LSCB is participating in a review undertaken by Essex LSCB regarding the child of a family formerly resident in the Borough of Southend. In response to the undertaking of two new Child Safeguarding Practise Reviews the LSCB Case Review Panel, which had been decommissioned in December 2017 due to insufficient content, was reformed with renewed purpose.

These ongoing reviews are in their preliminary stages at the time of writing, with Terms of Reference agreed, Independent Reviewers sought, and Individual Management Reports and Chronologies commissioned from each agency. It was suggested to the National Review Panel that one of the active reviews should be approached as a national review, due to the high probability that the learning from the review will be relevant throughout the UK. This was initially declined after correspondence with the Panel, but will be held in consideration as the review continues. It is anticipated that the report-writing stage of both reviews should take place following the end of the period covered by this report, although this is contingent on the outcome of the LSCB's ongoing dialogue with Essex Police's Senior Investigating Officer on each case.

It should be noted that the procedure for each review has been reinterpreted in relation to the changes laid out in *Working Together to Safeguard Children* (July 2018); while the reviews are not Serious Case Reviews, they are being conducted in a similar fashion to previous SCRs in the absence of guidance recommending otherwise. As per the new guidance, a Rapid Review was undertaken immediately following the receipt of a referral in September 2018, with significant learning points identified and acted on by the relevant partners well before the expected conclusion of the standard review period.

The action plan from the completed review was signed off by the LSCB Chair in May 2018, updated in July 2018 in response to completed tasks, and remains under monitoring from the LSCB Audit and Quality Assurance subgroup.

## 4.2 Child Death Reviews

Child Death Reviews for children resident in Southend are undertaken by a multi-agency Child Death Review Panel (CDRP) covering South East Essex. The Panel is chaired by a representative from Public Health and is overseen by a multi-agency Strategic Child Death Overview Panel (SCDOP) for the County. When considering the work of the Panel, it should be noted that not all reviews are completed in the year the notification was received, especially when an inquest or criminal proceedings have been involved.

During the year 1 April 2017 to 31 March 2018 the CDRP received six notifications of deaths of children resident in the Southend area, a 25 per cent decrease from the eight notifications received in the year April 2016 to March 2017 and the fewest of any year since 2010. Of these six, half took place in the first four weeks of life and two were classed as unexpected, necessitating the rapid response process. Infant mortality in Southend is comparable to the average of its geographical and statistical neighbours, with child mortality slightly lower than average.

The CDRP completed five child death reviews for Southend cases from 1 April 2017 to 31 March 2018, a significant reduction from twelve reviews between April 2016 and March 2017. Of these five reviews, two were identified as non-modifiable, having been respectively caused by malignancy and a neonatal event. The remaining three deaths were found to have modifiable factors, and were respectively caused by infection, a chronic medical condition, and trauma or external factors; of these, the two former deaths were related to service provision or access to medical intervention, and the latter was found to involve parental drug and alcohol use. None of the five deaths reviewed this year were of children who were subject to a Child Protection Plan at the time of death.

Since the reporting period of the Annual report of May 2018 there have been the following child death notifications:

- Nine notifications for Southend-resident children from the period 1<sup>st</sup> April 2018 to 30<sup>th</sup> January 2019.
- One child death review has been completed of a child who died in October 2017 who was also subject to an LeDeR Review.

## 4.3 Learning Disabilities Mortality Review Programme (LeDeR)

The LeDeR programme, a mortality review process for both expected and unexpected deaths of children with learning difficulties aged from 4 to 17 years and adults up to the age of 75, commenced in September 2017. The programme aims to drive improvement in the quality of health and social care service delivery for people with learning disabilities and to help reduce premature mortality and health inequalities in this population. This review process is additional to the Child Death Review.

## Section 5: How do we know we are making a difference?

### 5.1 Child Protection

Where there are concerns, assessments of children are undertaken in accordance with a local assessment protocol based on Department for Education statutory guidance, Working Together 2015. The assessment seeks to establish the level and nature of any risk and harm so appropriate support services can be provided to improve the outcomes for the child. The assessment will ascertain if:

- The child/sibling are a child/children in need (s17 Children act 1989)
- There is reasonable cause to suspect the child/children are suffering, or likely to suffer, significant harm (s47 Children act 1989)
- The child/children are in need of or requesting accommodation (s20 or s31 Children act 1989)

The council collects information about safeguarding children work in Southend, so we know how well children are being safeguarded. This information helps the Southend LSCB decide what their next steps should be.

Data in relation to all safeguarding issues is monitored both locally and nationally. All safeguarding concerns and enquiries are recorded and co-ordinated by Southend Council. Progress from initial concern through to conclusion is monitored for timeliness and quality across a wide variety of measures including the nature and location of harm, service user groups, outcomes, age, gender, ethnicity, etc. This information is scrutinised by the LSCB sub-groups who report key issues and trends to the Board via the Executive group.

### 5.2 Child protection in Southend

#### Children living in the area

- Approximately 39,115 children and young people under the age of 18 years live in Southend-on-Sea. This is 21.5% of the total population in the area.
- Approximately 18.9% of the local authority's children are living in poverty.
- Approximately 43% of children and young people under the age of 18 years live in areas classed as the most deprived.
- The proportion of children entitled to free school meals:
  - In primary schools is 13.6% (the national average is 13.7%)
  - In secondary schools is 8.1% (the national average is 12.4%)
- Children and young people from minority ethnic groups account for 21.7% of all children attending Southend schools at the time of the spring 2018, compared with 31.8% in the country as a whole.
- The proportion of children and young people with English as an additional language:
  - In primary schools is 14.5% (the national average is 21.2%)
  - In secondary schools is 13.3% (the national average is 16.6%)

#### Child protection in this area

At 31 March 2018, 1,323 children had been identified through assessment as being formally in need of a specialist children's service. This is a decrease from 1,387 at 31 March 2017.

		2015-16	2016-17	2017-18
Children in need episodes at 31 March	Number	964	1,387	1,323
Rate of children in need at 31 March per 10,000 children	Rate	251	358	338

There is, however, an increase in demand both nationally and locally. This is due in part to increased poverty including in-work low income. There is also an increased understanding of emerging risks such as Child Exploitation

Primary Need	2015-16	2016-17	2017-18
Abuse or neglect	82.0	86.6	82.1
Child's disability or illness	9.9	7.4	6.9
Parent's disability or illness	0.9	0.7	0.7
Family in acute stress	1.7	1.7	3.6
Family dysfunction	2.0	1.2	2.4
Socially unacceptable behaviour	1.1	0.6	0.9
Low income	0.9	0.6	0.6
Absent parenting	-	1.0	2.0
Cases other than children in need	0.7	-	0.8
Not stated	-	-	0.0

Abuse and neglect are key strategic priorities of the Board and work streams relate to these needs.

**Referrals completed by children's social care services, in the year ending 31 March, by source of referral**

	<b>2015-16</b>	<b>2016-17</b>	<b>2017-18</b>
% Individual	9.0	9.4	8.1
% Schools	15.6	20.5	17.6
% Education services	-	0.4	0.4
% Health services	15.7	11.1	16.3
% Housing	4.1	1.4	2.5
% LA services	14.3	12.3	18.2
% Police	28.5	30.5	24.1
% Other legal agency	3.1	2.6	2.7
% Other	7.3	9.6	5.5
% Anonymous	1.3	1.8	2.7
% Unknown	-	0.3	2.0

	<b>2015-16</b>	<b>2016-17</b>	<b>2017-18</b>
Initial Child Protection Conference within 15 working days	103.0	146.0	105.0
% Initial Child Protection Conference within 15 working days	47.7	45.5	66.0

As at December 2018 the in month performance of % ICPC within 15 working days was 81% which demonstrates the significant improving picture. Timeliness has improved.

	<b>2015-16</b>	<b>2016-17</b>	<b>2017-18</b>
Children who were the subject of a child protection plan at 31 March	189	220	116
Rate of children who were the subject of a child protection plan at 31 March per 10,000 children	49.2	56.7	29.7

At 31<sup>st</sup> March 2018, 116 children and young people were the subject of a child protection plan. This is a reduction from 220 at 31<sup>st</sup> March 2017. <sup>1</sup> Southend Children's Services have explored the reasons behind the rate in reduction of children subjected to child protection plans.

Decisions have been made to take a contextual safeguarding approach to work with adolescents. There is also a continued and increased investment in early help provision and an increased number of social workers ensuring that children's needs are being met at an earlier stage.

	2015-16	2016-17	2017-18
% Neglect	54.2	58.6	69.1
% Physical Abuse	-	-	-
% Sexual Abuse	-	-	-
% Emotional Abuse	33.8	30.0	16.4
% Multiple	6.0	7.6	11.8

### Children looked after in Southend

	2015-16	2016-17	2017-18
All children looked after at 31 March	260	280	291
Rate of children looked after at 31 March per 10,000 children	68	73	74

At 31<sup>st</sup> March 2018, 291 children were being looked after by the local authority (a rate of 74 per 10,000 children). This is an increase from 282 (73 per 10,000 children) at 31<sup>st</sup> March 2017.<sup>1</sup> However, as at December 2018 the rate of children looked after is at 78 per 10,000 children. The local authority have explored the increase in the rate of children looked after and report that: practice has improved in infants (under 1s), that there is an improved understanding of the risk of harm experienced by adolescents, and that investment in the Edge of Care Service has ensured that there is not a higher number of children looked after

### 2018 Placements

Of this number, 147 (or 50.5%) live outside the local authority area

- 19 live in residential children's homes
- No children are placed in a residential special school
- 213 live with foster families
- 10 live with parents
- 15 children are unaccompanied asylum-seeking children.

In the 12 months prior to 31<sup>st</sup> March 2018<sup>2</sup>:

- There were 35 adoptions
- 8 children became subject to special guardianship orders
- 114 children ceased to be looked after
- 25 young people aged 18+ on the 7<sup>th</sup> January 2019 are in independent living arrangements

<sup>1</sup> [Characteristics of children in need – 2017 to 2018](#)

<sup>2</sup> [Children looked after in England including adoption – 2017 to 2018](#)

## 5.3 Outcomes

Children who ceased to be looked after and the number and percentage adopted during the year ending 31 March 2018

	2015-16	2016-17	2017-18
Number of children who ceased to be looked after during the year	105	135	113
Number of looked after children adopted during the year	25	-	35
Percentage of looked after children adopted during the year	23	21	31

- This continues to be an area of strength with the Local Authority
- Adoption performance being in the top five Local Authorities in the country

### Care leavers activity (aged 17-18)

	2015-16	2016-17	2017-18
% Total number in education, employment or training	56	57	67

### Care leavers activity (aged 19-21)

	2015-16	2016-17	2017-18
% Total number in education, employment or training	60	52	41

Children's Services' quality assurance processes have shown improvements in practice across 2018 with increased proportions of audited cases being graded as good or above.



## Section 6: Conclusions and what the Board will be working on in 2019 – 2020

This report described the significant changes in the provision of resources and the introduction of an agreed strategy and work plan.

The LSCB is engaging with partners well and the development of governance including strategic, policy, and procedures is managed in a collaborative way that adds value and deliver outcomes for children and young people.

Outcomes for the LSCB self-assessment have provided evidence of the success of the board and the administration and governance of the arrangements.

2019 will be significant for the LSCB and its transition to the new multi-agency safeguarding arrangements (MASA) (working together 2018.) the new strategic partnership, which will comprise the local authority, police, and clinical commission group, will deliver its safeguarding arrangements through co-production and co-design. The new arrangements follow a statutory timeframe whereby safeguarding arrangements have to be implemented by 29<sup>th</sup> September 2019.

Over the next year the following areas of development have been identified in response to LSCB partner self-assessment:

- Implementation, with the three statutory partners, of the changes for Working Together 2018.
- Co-design and co-production of the Voice of the Child in designing safeguarding services.
- Restructure of dashboard to enable analysis and interrogation of data so that data reflects partnership priorities and can therefore evidence impact.
- Implementation of learning from serious and local practice reviews to improve services and outcomes for children and young people.
- Promote and facilitate multi-agency training across the partnership considering any scope to jointly commission training with other partnerships.
- Develop community engagement.
- Work alongside and improving the functional working relationship:
  - Violence & Vulnerability Group
  - Health & Wellbeing Group
  - Community Safety Partnership
  - Community Action Group
  - SET (Southend, Essex, and Thurrock)
  - Regional and national groups

## Section 7: Appendices

### Appendix 1: Board membership and attendance

Board membership and attendance September 2017 – March 2019 (nominated representative or substitute)

Y = Yes, attended

A = Sent apologies

N = No attendance, no apology. This may occur when agencies have become Board Partners after September 2017 or where staffing changes have removed an attendee from their post pending a successor.

Organisation	Current Rep. Name	21 Sep 2017	16 Nov 2017	21 Feb 2018	05 Jun 2018	25 Sep 2018	11 Dec 2018	06 Feb 2019	%
Clinical Commissioning Group	Tricia D'Orsi	Y	Y	N	Y	Y	Y		
Designated Doctor for Safeguarding	Anupam Shrivastava	Y	Y	Y	Y	A	A		
Essex Community Rehabilitation Co.	Alex Osler	Y	Y	Y	Y	Y	Y		
Essex Police	Jason Hendy (DS)	Y	Y	Y	Y	Y	Y		
Lay Member	Anne Horn	N	N	N	N	A	Y		
National Probation Service	Shirley Kennerson	Y	Y	A	Y	Y	Y		
SBC	Simon Leftley	Y	Y	Y	Y	Y	Y		
SBC Children's Services	John O'Loughlin	Y	Y	Y	A	Y	Y		
SBC Children's Services	Laurence Doe	Y	Y	Y	Y	Y	Y		
SBC Councillor	Cllr Helen Boyd	Y	Y	A	Y	Y	Y		
Southend LSCB	Liz Chidgey	Y	Y	Y	Y	Y	Y		
SUHFT	Denise Townsend	N	A	N	Y	Y	Y		

## Appendix 2: Local Safeguarding Children Board Finance 2018/19

	Description	£
Expenditure	Salaries	87,819.53
	Salary Recharge	-11,745.03
	Professional Fees: Essex CC	11,102.48
	Professional Fees: E J C ASSOCIATES	21,086.40
	Professional Fees: Leela Consulting Services	1,858.50
	Consultancy: STRATEGIC ARC	11,431.80
	Recruitment	950.00
	Criminal Records Bureau Checks	54.00
	Security	7.00
	Meeting Expenses: Equipment Hire	1,000.00
	Meeting Expenses: Catering/Hospitality	761.15
	Office Expenses: Telephone charges	466.92
	Office Expenses: Stationery	25.13
	Office Expenses: Postage	4,005.39
	Office Expenses: Printing	2.56
	Training fees	2,500.00
	Web Design - Danny Barker	350.00
	ICT: ChronoLator Licence	1,130.00
	ICT: Hardware	2,750.00
	Association of Independent LSCB Chairs	1,500.00
Health and Safety	500.00	
Insurance	200.00	
	<b>Total Expenditure</b>	<b>137,755.83</b>

	Description	£
Income	Other	-62,921.00
	DSG	-10,000.00
	CAFCASS	-805.00
	Essex CRC	-4,577.00
	Essex Police	-20,972.00
	National Probation Service	-1,770.42
	NHS Southend CCG	-33,039.00
	Schools & Colleges	-6,000.00
	<b>Total Income</b>	<b>-140,084.42</b>

Outcome -2,328.59

## Appendix 3: Self-Assessment Tool

The tool is split into three sections:

1. Statutory duties set out in the Children Act 2004
2. Statutory Guidance key roles and responsibilities
3. Enablers of board effectiveness

The outcomes of the self-assessment will be collated by the LSCB Manager and provided anonymously to the LSCB for discussion, alternatively the self-assessment could be completed collectively in small groups facilitated by an external assessor with overall findings discussed as a whole board. Each statement should be attributed one of the following ratings:

- 1 = poor
- 2 = adequate
- 3 = good
- 4 = outstanding

This summary includes the:

- Mode – Score that appears most (the closes whole number)
- Mean – Average score (the closes whole number)
- Range – Difference between lowest and highest score (the closes whole number)

The following is compiled from partner input from five agencies. The self-assessment of the board by partner agencies identifies and number of key strengths and areas for development which are summarized in the table below.

<b>Self-Assessment Outcomes (Score) – Set Against Specific Duties</b>		<b>Mode</b> (Score appearing most frequently)	<b>Mean</b> (Average score)	<b>Range</b> (Difference between high and low score)
<b>Statutory Duties set out in Section 14 of the Children Act 2004</b>				
Strategic Plan	To publish a strategic plan for each financial year that sets how it will meet its main objective, and what the members will do to achieve this.	3	3	2
	The plan should be evidence based and make use of all available evidence and intelligence from partners to form and develop its plan.	3	2.8	1
Annual Report	To publish an annual report detailing what the LSCB has done during the year to achieve its main objective and implement its strategic plan, and what each member has done to implement the strategy as well as detailing the findings of any safeguarding adult reviews and subsequent action.	3	3.2	1
Case Reviews	To arrange local child safeguarding practice reviews, including SCRs, in accordance with Section 16F of the Children Act.	2	2.4	1
<b>Statutory Guidance - Key Roles and Responsibilities</b>				
Identify the role, responsibility, authority and accountability with regard to the action each agency and professional group should take to ensure the protection of children.		3	3.4	1
Establish ways of analysing and interrogating data on safeguarding notifications that increase the LSCB understanding of prevalence of abuse and neglect locally that builds up a picture over time.		2/3	2.8	2
Establish how it will hold partners to account and gain assurance of the effectiveness of their arrangements.		3	2.5	1
Determine its arrangements for peer review and self-audit.		3	3.2	1
Establish mechanisms for developing policies and strategies for protecting children which should be formulated, not only in collaboration and consultation with all relevant agencies but also take account of the views of children, their families, and carers.		3	2.8	0
Develop preventative strategies that aim to reduce instances of abuse and neglect in its area.		3	3	0
Develop strategies to deal with the impact of issues of race, ethnicity, religion, gender, gender orientation, sexual orientation, age, disadvantage and disability on abuse and neglect.		2/3	2.2	2
Balance the requirements of confidentiality with the consideration that to protect children, it may be necessary to share information on a 'need-to-know basis'.		4	3.6	1

Identify mechanisms for monitoring and reviewing the implementation and impact of policy and training.		3	2.5	2
Carry out case reviews and determine any publication arrangements.		3	2.9	1
Evidence how LSCB members have challenged one another and held other boards to account		3	3.2	1
Promote multi-agency training and consider any specialist training that may be required. Consider any scope to jointly commission some training with other partnerships.		3	2.8	1
Enablers of Board Effectiveness				
Aim and Vision	All board members have a clear understanding of the purpose and aim of the LSCB.	4	3.6	1
Membership	All members of the LSCB have the requisite skills and experience necessary for the LSCB to act effectively and efficiently to safeguard children in its area.	3	3.4	1
	LSCB Membership covers the full range of stakeholders and expertise required for an effective LSCB.	3	3	2
	LSCB Members from core partner agencies attend every meeting, including Southend Council, Southend CCG and Essex Police	4	3.8	1
Attendance	If a Board member cannot attend, a nominated deputy may attend in their place, but should not do so for more than two consecutive meetings without review of the representative nominated by the member organisation.	3	3.2	1
Risk	Board Members contribute to the development and ongoing review of the LSCB Risk Register; including mitigating actions and agreeing which direct action to take.	3	3.5	1.5
Finance	Board Members regularly monitor the LSCB budget, resource allocation discuss potential projects.	3	3	1
Leadership	Board Members actively raise the profile of the board and its role.	4	4	1
	The Leadership Executive Group clearly articulate the role of board members, encourage active discussion by all board members, encouraging full participation in strategic planning, board development opportunities, and individual agency ownership of tasks.	3	3.1	1.5
	The Independent Chair with the support of the Board Manager is proactive in raising the profile of the LSCB with professional stakeholders and the community.	4	3.6	1

## Self-Assessment Tool: Examples of Commentary by Partners

### Strategic Plan

- *“Board members are involved in the creation of the strategic plan and take ownership of actions.”*
- *“Revisions to the use of information and intelligence have strengthened this area during 2018.”*
- *“The Board clearly demonstrates what the main objectives are and how we will achieve them.”*
- *“The Board has a good understanding of partners view points and takes into account all information and intelligence”*
- *“The plan is themed and board members are asked to give feedback on any barriers safeguarding and that these are responded to.”*

### Annual Report

- *“All members are asked to contribute to the Annual Report by giving a specific account of their agency’s safeguarding context, outcomes and successes.”*
- *“Yearly we are given the opportunity to fully engage with this process and provide feedback. Amendments are made as required and the final copy is presented to the board for sign off. “*
- *“The approach of completing the annual report is an area of strength as there is now a consistent way of including feedback from safeguarding partners.”*

### Case Reviews

- *“I am aware that there has been professional disagreement regarding the arrangement of a recent safeguarding practice review, and it may be that this particular review could have been arranged differently. However, my previous experience of the arrangement of SCRs and agency’s cooperation with this process in Southend is good.”*
- *“The process of arranging practice reviews has developed over the year and is becoming an area of strength. This has worked well during 2018 and has included complex cases where the issue of publication presented a challenge. The partnership worked together well in this regard.”*
- *“There is a designated panel which feeds to the board and responds to demands for review. This is a multi-agency attendance and the responsibilities for partner agencies are made clear.”*
- *“The board can demonstrate a proactive approach to reviews and publication is debated at the SCR group taking into account the learning from the review and whether the families involved would be identifiable. National reviews are discussed and summarised to ensure local partners share the learning.”*

### Role, Responsibility, Authority and Accountability

- *“I [am] clear about our role and responsibilities in relation to safeguarding children, and as a member of the board.”*
- *“We are a lead safeguarding agency and we are aware of our role, and the roles of others, in safeguarding children”*
- *“There is a clear view of your obligations and tasks set out from meetings and you are accountable to the Board and the community.”*

## Holding Partners to Account

- *“This is an area of improved practice with schedules for reporting becoming clearer during 2018. Oversight of the multi-agency JTAI action plan and Children’s Services Improvement Plan is an example of this.”*
- *“Being held to account is vitally important to a successful board and this is completed in a constructive environment.”*
- *“Partners hold each other to account for their contribution to the safety and protection of children and young people, facilitated by the chair. Both boards monitor attendance closely and ensure all partners are able to express their views and feedback.”*

## Developing Policies and Strategies

- *“As an agency working across Southend, Essex and Thurrock, with operational teams in each area, I value the collaboration across SET for the development of procedures to safeguard children – the SET procedures – so all teams can work to the same policy set.”*
- *“Key policy development is generally formulated on a SET wide basis. Many professionals have to work across different organisational boundaries therefore it is important that this approach continues wherever possible.”*
- *“The Board is good at taking all partners views in making policies and strategies. It has a good understanding of what is happening within its community.”*
- *“The board reviews key themes to ensure the work of the board assimilates with the local safeguarding picture and develops strategies to address emerging risks.”*

## Preventative Strategies

- *“The boards’ communication, communities and schools work are good example of preventative work. In addition the Southend combined boards (LSCB, SAB, HWB, and CSP) work on their violence and vulnerability plan is an excellent example of preventative work, as well as responsive work.”*
- *“The Board has input to the development of Early Help services and receives reports on the effectiveness of the service. The Chair of the LSCB is a member of the Health & Wellbeing Board and acts a ‘critical friend’.”*
- *“The LSCB contribution to the Violence and Vulnerability Board is an area of strength in this regard. The audit of referrals relating to children aged under 1 year old supported strategies being developed for improvement in practice within children’s services”*

## Confidentiality

- *“I think that all agencies are well sighted on the issues underpinning information sharing arrangements, including consent; when consent can be overridden, and information on a ‘need to know’ basis.”*
- *“The guidelines around confidentiality are explicit within the work of the board and sub-groups.”*
- *“We are confident that the need to safeguard takes priority over confidentiality requirements and that the LSCB is clear on this issue”*
- *“The development of the MARAT and MASH has improved the quality and timeliness of information sharing to protect children and young people.”*



## Multi-Agency Training

- *“I think that all board members agree, and promote multi-agency training as a critical component of all our training plans; and the board as a whole recognises and promotes the importance of training.”*

## Challenge

- *“Board members challenge each other as ‘critical friends’. There is external challenge through the Joint LSCB & SAB Scrutiny Panel.”*
- *“The Board has clearly challenged each other in keeping children safe within Southend as already stated in a constructive environment.”*

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## Appendix 4: Glossary

<b>AQA</b>	LSCB Audit & Quality Assurance Subgroup	<b>HSB</b>	Harmful Sexual Behaviour
<b>CA</b>	The Children Act 1989, 2004, or 2014	<b>HWB</b>	Health and Wellbeing Board
<b>CAIT</b>	Essex Police Child Abuse Investigation Team	<b>ICPC</b>	Initial Child Protection Conferences
<b>CARA</b>	Centre for Action on Rape and Abuse in Essex	<b>JTAI</b>	Joint Targeted Area Inspection
<b>CE</b>	Criminal Exploitation	<b>LA</b>	Local Authority
<b>CCG</b>	Clinical Commissioning Group	<b>LAC</b>	Looked-After Child
<b>CED</b>	Clinical Electronic Documentation	<b>LADO</b>	Local Area Designated Officer
<b>CDR</b>	Child Death Review	<b>LeDeR</b>	Learning Disabilities Mortality Review
<b>CDRP</b>	Child Death Review Panel	<b>LPT</b>	Local Police Team
<b>CME</b>	Children Missing Education	<b>LSCB</b>	Local Safeguarding Children Boards
<b>CP-IS</b>	Child Protection - Information Sharing project	<b>MARAC</b>	Multi-Agency Risk Assessment Conference
<b>CPD</b>	Continuing Professional Development	<b>MARAT</b>	Multi-Agency Referral and Assessment Team
<b>CPP</b>	Child Protection Plan	<b>MASA</b>	Multi-Agency Safeguarding Arrangements
<b>CPPC</b>	Essex Police Crime and Public Protection Command	<b>MASH+</b>	Multi-Agency Safeguarding Hub
<b>CQC</b>	Care Quality Commission	<b>MCA</b>	The Mental Capacity Act 2005
<b>CRC</b>	Essex Community Rehabilitation Company	<b>MHA</b>	The Mental Health Act 1983, 2007, 2017
<b>CRU</b>	Essex Police Central Referral Unit for domestic abuse	<b>NAI</b>	Non-Accidental Injury
<b>CSE</b>	Child Sexual Exploitation	<b>NHS</b>	National Health Service
<b>CSP</b>	Community Safety Partnership	<b>NHSE</b>	National Health Service Executive
<b>DA</b>	Domestic Abuse	<b>NSPCC</b>	National Society for the Prevention of Cruelty to Children
<b>DASS</b>	Director of Adult Social Services	<b>OFSTED</b>	Office for Standards in Education, Children's Services and Skills
<b>DCS</b>	Director of Children's Services	<b>PREVENT</b>	part of CONTEST, the UK Counter Terrorism Strategy
<b>DoLS</b>	Deprivation of Liberty Safeguards	<b>PLR</b>	Practise Local Review
<b>DV</b>	Domestic Violence	<b>PQIP</b>	Professional Qualification in Probation

<b>ECC</b>	Essex County Council	<b>SAB</b>	Safeguarding Adults Board
<b>EHE</b>	Elective Home Education	<b>SBC</b>	Southend Borough Council
<b>EPUT</b>	Essex Partnership University Trust (formerly SEPT and NEPT)	<b>SCDOP</b>	Strategic Child Death Overview Panel
<b>ESCB</b>	Essex Safeguarding Children Board	<b>SCN</b>	Safeguarding Clinical Network
<b>EWMHS</b>	NELFT NHS Emotional Wellbeing and Mental Health Service	<b>SCR</b>	Serious Case Review
<b>FII</b>	Fabricated or Induced Illness	<b>SEND</b>	Special educational needs and disability
<b>FM</b>	Forced Marriage	<b>SUHFT</b>	Southend University Foundation Trust
<b>HBA</b>	Honour-Based Abuse	<b>SET</b>	Southend, Essex & Thurrock
<b>HMIC</b>	Her Majesty's Inspectorate of Constabulary	<b>STP</b>	Sustainability and Transformation Partnership
<b>HMIP</b>	Her Majesty's Inspectorate of Prisons	<b>STW</b>	Identifier for a specific Serious Case Review

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# Annual Report on the Effectiveness of Safeguarding Adults in Southend

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## Section 1 - Introduction

### Foreword – by Independent Chair, Liz Chidgey

*I'm pleased to introduce the 18/19 LSCB and SAB annual reports. Safeguarding Children and Young People (CYP) and Vulnerable adults remains a key priority for all the agencies across Southend with a gradual focus on moving from a process driven approach to identifying, with the people of Southend, the safeguarding outcomes we all want to achieve.*

*The 2050 visioning led by Southend Borough Council in 2018, involved a comprehensive engagement exercise with a wide diverse group of the population. What the people of Southend said they wanted under the heading 'Safe and Well' was for everyone to feel safe at all times of the day. In terms of active participation 'Active and Involved' they said that, when people speak they wanted to be heard and taken seriously, they also want to be involved in developments from the beginning so that together everyone who wants to be can be involved to make the future happen. People also saw the need to be connected and SMART with technology and digital developments ensuring connectivity and inclusion.*

*These desired outcomes provide a basis for future partnership working regarding Safeguarding. The requirement to put in place new arrangements for a multi-agency safeguarding approach in 19/20 gives an opportunity to review and revise both the Children's (LSCB) and Adult's (SAB) Safeguarding Boards, building on the developments we have put in place 2018/9.*

*For this year we have agreed a shared outcome on Violence and Vulnerability across Boards, Community Safety Partnership and Health and Well-being Boards. The Chairs of all the Boards meet on a quarterly basis to monitor progress and discuss next steps.*

*The safeguarding partners approach to design and production of new arrangements must have the participation and voice of Children and Young People and vulnerable Adults at the core as well as the key organisations. This will facilitate authentic partnership arrangements that have aligned road maps and outcomes instead of strategic plans and business plans that sit in splendid isolation.*

*The challenge for 19/20 is to make these changes happen.*

*2018/19 has seen the partnerships for both LSCB and SAB remain strong and engaged. It has also been a year of change for the resources available to progress the work of both Boards. For the first time since my appointment in 2017, we now have two experienced Boards managers in post. Since their commencement in September 2018 they have positively impacted on the capability and capacity of both Boards to deliver against the agreed strategy and plans.*

*I remain excited by the challenges ahead of both Boards as I do believe, with the right focus, we have an opportunity to contribute to ensuring better outcomes on Safeguarding for the population of Southend*

## Introduction

This annual report is for the period 30th September 2017 to 31<sup>st</sup> March 2019 and is produced as part of the Board's statutory duty under The Care Act 2014 and Chapter 14 of the Care & Support Guidance. The report covers more than a calendar year in order that the timing of the report better fits the reporting mechanisms of partners. It is one of the three core statutory duties of the Chair of the Board to publish an annual report in relation to the preceding financial year, on the effectiveness of safeguarding in the local area.

This Annual Report gives details of progress on our priorities and Strategic Plan 2016-2019; and provides an overview of Southend Adults Safeguarding Board (SAB) activities and achievements during 2017–2019 summarising the effectiveness of safeguarding activity in Southend including the work of individual agencies.

The report will be submitted to the Local Authority Chief Executive, Leader of the Council, Essex Police, the Chair of Southend Health and Wellbeing Board and Southend Healthwatch.

More information about the statutory role and function of the Safeguarding Adults Board can be found at <https://www.safeguardingsouthend.co.uk/adults/>.

## Role of the Southend Safeguarding Adults Board

The Southend Safeguarding Adults Board is a statutory body that works to make sure that all agencies are working together to help keep adults in Southend safe from harm and to protect the rights of citizens to be safeguarded under the Care Act 2014, Mental Capacity Act 2005 and the Human Rights Act 1998.

## Vision

***“Adults in Southend are safe from harm and free from abuse”***

The Safeguarding Adults Board aims to ensure the safety and protection of adults with care and support needs within the borough; that is, adults who have care or support needs and who are subsequently less able than others to defend themselves against the threat of abuse, exploitation, or neglect.

## Statutory Duties and Governance

The Board has three core duties defined by the Care Act 2014:

1. Developing and publishing an annual strategic plan setting out how we will meet our objectives;
2. Publishing an annual report which sets out what we have achieved; and
3. Commissioning safeguarding adults reviews where serious abuse or death has occurred and learning can take place.



## Safeguarding Principles

The work of the Southend SAB is underpinned by the safeguarding principles which were set out by the government in the statutory guidance accompanying the Care Act 2014. The following six principles apply to all sectors and settings including care and support services. The principles inform the ways in which we work with adults.

- **Empowerment:** The presumption of person-led decisions and informed consent, supporting the rights of the individual to lead an independent life based on self-determination.
- **Prevention:** It is better to take action before harm occurs, including access to information on how to prevent or stop abuse, neglect and concerns about care quality or dignity.
- **Proportionality:** Proportionate and least intrusive response appropriate to the risk presented.
- **Protection:** Support and representation for those in greatest need, including identifying and protecting people who are unable to take their own decisions, or to protect themselves or their assets.
- **Partnership:** Local solutions through services working with their communities. Communities have a part to play in preventing, detecting and reporting neglect and abuse.
- **Accountability:** Accountability and transparency in delivering safeguarding, with agencies recognising that it may be necessary to share confidential information, but that any disclosure should be compliant with relevant legislation.

## Strategic Plan 2016 - 2019

The Strategic Plan 2016-2019 is being reviewed at the time of writing this report and the reader is advised to refer to the updated plan which will be available on the SAB website on completion.

The new Strategic Plan will cover years 2019-2022. Partner's response to a self-assessment (*managed through the Audit, Quality and Assurance sub-group and led by the Safeguarding Adults Board Manager*), a Partner self-assessment of the Safeguarding Adults Board and their input into this report will assist in the draft of a wider consultation document that will lead to the production of the new Strategic Plan.

## Governance

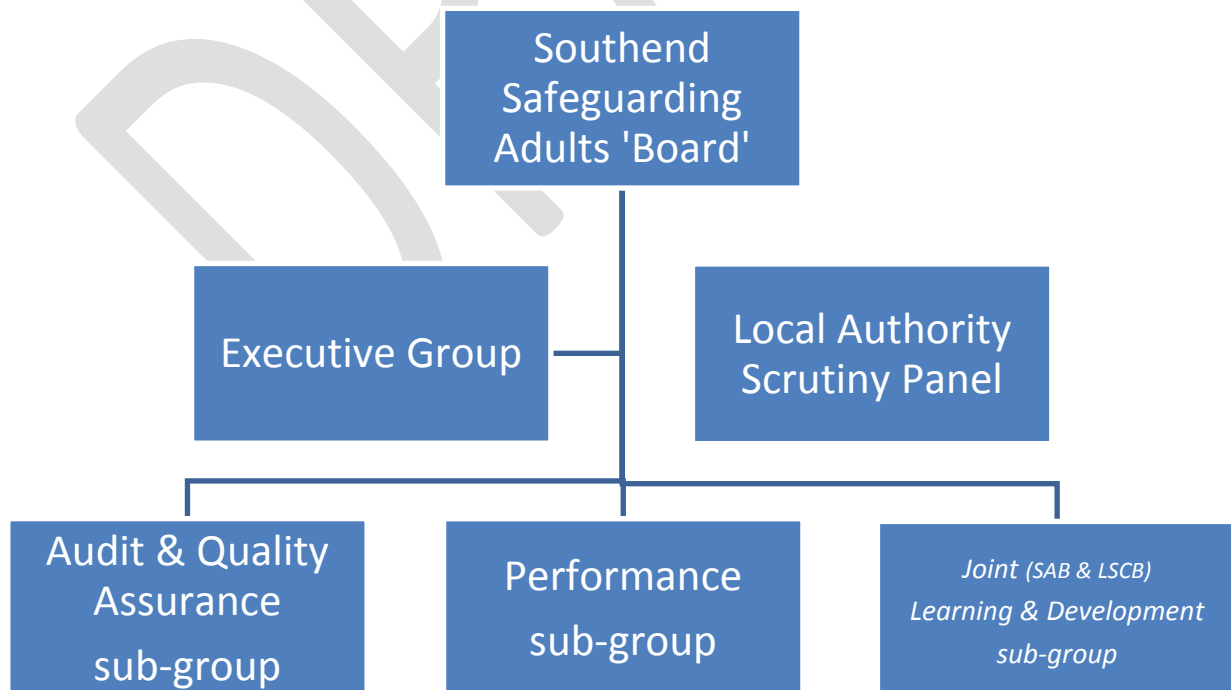
Southend Safeguarding Adults Board is chaired by its' Independent Chair, Elizabeth Chidgey, and meets four times a year bringing partners together from: Southend Council, Essex Police, Essex Fire and Rescue Services, East of England Ambulance Trust, Southend Clinical Commissioning Group, Health Trusts, Probation Services, the Voluntary Sector and Lay Members, representing health, care and support providers and the people who use those services across Southend.

The Chair is accountable to the Chief Executive of the local authority and is responsible for chairing the SAB and overseeing its work programme. However, she is accountable only to the Board for the decisions she takes in that role. The role of Vice-Chair is undertaken by the Deputy Chief Executive (People) – Southend Borough Council.

The Board is attended by representatives from the partner agencies with a high level of engagement. Information about Board attendance can be found in Section 6 and Appendix 1.

The SAB was restructured in 2018 after extensive Partner consultation and now has an Executive and three subgroups chaired by senior members from across the partner agencies. We report on the business of each of the sub-groups operating during 2017-19 in this report and the structure below reflects the shape of the Board.

### SAB - Board and Sub-Group Structure



## **Strategic Links to other Boards and Partnerships**

The Chair of the SAB is a member of the Health and Well-Being Board and presents the SAB Annual Report to the Board; The Chair meets regularly with the Chief Executive, the Corporate Director - People, the Lead Member for adult safeguarding, the Leader of the Council, and is also the Chair of the Safeguarding Children Board. The Chair also meets regularly with the Council's Scrutiny Committee. Links are maintained through representation on key strategic partnerships:

- Community Safety Partnership
- The Health & Wellbeing Board
- The Local Safeguarding Children Board
- Essex Safeguarding Adults Board
- Thurrock Safeguarding Adults Board

The Southend Essex and Thurrock (SET) group work in partnership to provide a common approach to safeguarding across the county. The SET Safeguarding Adults Guidelines set out the system and process all organisations should use to raise safeguarding concerns. This includes a framework for confidentiality and information sharing across agencies.

The SAB Independent Chair and Manager are also members of Regional and National groups that represent Safeguarding Boards across the region and country.

## **Funding**

The work of the Board is financed by contributions from partner agencies, of which currently over 45% comes from the council. In addition to financial contributions, partner agencies contribute significant amounts of staff time to support the delivery of the board's work programme, and to support training delivery.

A review of governance for Safeguarding in Southend led to a supplement to the budget mid-year. This covered the costs of:

- An extensive review of the governance (including the production of terms of reference for all Boards, Executives and Sub-Groups.)
- Support for the management of the safeguarding during the period of review
- Support to manage the change in structure and delivery models post review

Next year's proposed budget 2019/20 (presented at February Board Meetings) includes costs for the new structure. The new budget also (for the first time) recognises the significant 'on-costs' (+34%) of employment.

Full budget information is contained within Section 6, Appendix 2.

## Section 2 – Priorities 2016-19

In the 2016-2017 Annual Report the Board identified the following key areas for development:

- Conclude and implement the Strategic review of the SAB and its sub-group priorities and activities and ensure that engagement with the service user is improved and their voices captured to inform future Board activity
  - This has been completed. As a result of the learning from working with the new structure over the last year there is an intention to further develop the governance of the SAB when the structure is reviewed in 2019.
- Board Members – put in place induction training and ongoing development programme, recruit lay-members to replace recent resignations:
  - The recruitment of lay members has proven difficult. To identify individuals who have the holistic experience to develop an understanding of the SAB has not been successful. The search will continue and when an appropriate candidate is identified they will be introduced to the Board. In the mean-time an alternative source of user feedback and user experience input was required.
    - Preston, David – Hub Project Co-Ordinator (SECH) has attended on Executive group (20 December 2018), and has been invited to become a regular Member.
  - The new SAB Manager has been tasked with developing a network of opportunities to expose the work of the SAB and to collect views of the management of Safeguarding in their sector – and return the findings to the Board.
- Implement a new performance and risk framework to support the Board in delivering its statutory responsibilities – including understanding the impact of local resource commitment to safeguarding and funding plans:
  - A Performance Dashboard has been introduced and will be reviewed in March 2019. Partners have already identified that the Dashboard does not provide all the information that they would like and in the format that they would find most useful. The Dashboard Charts are included in Section 6, Appendix 3.
  - The new Risk Register forms a regular agenda item on all boards and sub-groups. The register is reviewed at every meeting.
  - The Performance Group have agreed that their future work plans will led by the results, trends and information provided by the Dashboard. The Group will sign off the dashboard before it progresses to the SAB Executive and Board.
- Understanding and assessing the impact on safeguarding of system changes and commissioning plans e.g. Sustainable Transformation Partnerships (STP), the Transforming Care Programme and actively supporting the change programme system wide including workforce delivery issues:
  - The STP and Joint Targeted Area Inspection (JTAI) reports are both a standing agenda item at Board level and the independent Chair and Business Manager have regular meetings with appropriate leads to ensure that the improvement

processes continue to offer assurance in regards to the organisations management of Safeguarding.

- Develop a revised audit programme to be overseen by the SAB:
  - The new Audit and Quality Assurance Groups has a work plan that is agreed by the independent Chair and that reports to the Executive.
  - Unlike the Partners of the Local Safeguarding Children’s Board, Partners do not have to complete a self-assessment under the Children’s Act 2004, Section 11. The SAB Manager has produced a self-assessment tool that is currently being discussed by the Audit, Quality and Review Sub-Group, and will be shared with Partners early in 2019. The outcomes of this Partner Self Audit will be reviewed and offered ‘partner’ challenge; after which, alongside the Dashboard, a work plan will be developed and submitted to the Board for approval.
- Conduct a review and agree the Board’s safeguarding training offer:
  - A review of the SAB training offer was completed. It was found that the SAB did not have the funds or resources to deliver significant training to Partners. It was agreed that the Board should recommend the use of existing training providers.
  - The SAB website includes information about existing training providers that support the Safeguarding network locally, regionally and nationally.
  - The Southend Essex and Thurrock (SET) Adults Safeguarding Group have reviewed and released a new version of the SET Learning and Development Guidelines in November 2018.
    - This guideline makes clear the required competencies and appropriate training for ‘levels’ of safeguarding responsibility in the workplace.
- Increase targeted audit activity and analysis – including suicide prevention and the Mental Health Strategy, Modern Slavery, Learning Disability Mortality Review (LeDeR):
  - This work is covered in detail in Section 3.
- Improve Board communication and review the website and engage fully with social media:
  - The SAB website has been reviewed and updated. A group of Team Leaders from Southend Local Authority and the SAB Manager have reviewed all text, downloads and links to ensure the accuracy and currency of its content. The SAB Website is now updated regularly and is kept up-to-date with all appropriate changes.
  - The use of social media is yet to be resolved. The inclusion of Twitter on the website is currently under-used.
- Further work on understanding local responses to Modern Slavery and Human Trafficking and identifying any improvements needed:
  - A conference was held in collaboration with the Violence and Vulnerability group. The Business Manager has also attended conferences and events and sits on local groups that manage the reporting and management of modern slavery issues.

- The SAB Manager attends the local 'Southend Against Modern Slavery' Group
- Making Safeguarding Personal (MSP) – Review how both the practice and culture underpinning Making Safeguarding Personal are embedded across the whole Safeguarding system – including both audit and a review of partners commissioning plans, and the promotion of partnerships, the development of preventative approaches and sharing best practice and learning:
  - Making Safeguarding Personal Guidance led to an action plan that has been subsumed into the Performance, Audit Quality & Review and Executive action plans. The inclusion of MSP in the training of partners has been reviewed and the agenda is subject to review in all of the SAB work.
- Work collaboratively with both Thurrock and Essex Councils on any initiatives arising from our new relationship with the Essex Police & Crime Commissioner:
  - Southend is an active member of the Southend, Essex and Thurrock (SET) working groups.
  - The chair has met with the new Police, Fire and Crime Commissioner and has ensured that the work of the SAB fits and supports his agenda.
  - The Business Manager has responded to the PFCC consultation on their next Business Plan.
- Supporting partners to identify alternative funding sources to enhance services and their capacity to safeguard effectively:
  - The SAB website includes opportunity for training that is free of charge
  - The SET teams assist not only in the production of guidance and policy that makes managing Safeguarding issues easier when individuals cross borders, but saves resources as the responsibility for production and review is shared.

## Section 3 - Achievements in 2017/18 - Highlights

This year the SAB undertook significant work to ensure that it fulfilled its statutory responsibilities and welcomed a new Structure and Business Manager in September 2018.

### 3.1 Safeguarding Adults Board

- The governance of the SAB (and Local Children's Safeguarding Board) was reviewed and the outcome was a change in the meeting structure, their terms of reference, work plans and membership.
  - This has led to an increase in engagement and attendance. We have found that the separation in Performance and Audit Quality and Assurance in Adults Boards is difficult for some partners and the groups may choose to merge or run 'back-to-back' meetings in the future; this is currently under discussion at the Groups meetings. *(This may be further impacted by the changes made as a result of the requirements of the Working Together Document 2018; which are currently subject to a consultation process)*

- Strategic Plans with key priorities have been delivered, alongside key objectives.
- Action Plans for the Board and Executive Meetings now form part of the minutes and there are work plans for the Performance and Audit, Quality and Review Sub-Groups.
- The Risk Register has been reviewed; the format changed and is now a standing item on agendas.
- The training provision was reviewed and it was found that the costs in time and resources have led to other significant work not being delivered. It was also found that the Boards were accrediting training without an appropriate mechanism for doing so. It was noted that a number of national lead organisations provide safeguarding training at an equitable cost, free training, bespoke training for themes and roles. A significant factor in the change in training offer was that there was only a 50% take up of courses offered. It was agreed that training from Essex and Thurrock would be accessible to people and professionals from Southend. (*An example of this is the revision of the shared Safeguarding Guidelines; where training provided by Southend, Essex and Thurrock individually is open to any partner staff groups*)
- A Train the Trainer update Course has been delivered.
- A shared learning event (alongside the Violence and Vulnerability group and Community Safety Partnership) on Modern Day Slavery was led by the SAB. Attendance and feedback for the event has been excellent.
- A Performance Dashboard has been developed and delivered. The presentation of headline statistics, with commentary, generates the majority of the work for the Performance Subgroup and is forwarded to the Board. The dashboard is due for review in March 2019 and it is likely that the first iteration will change significantly as Partners have become aware of the benefit of the presentation and the opportunity to concentrate on areas of risk, and what information would be useful.
- The SAB website content has been reviewed. It was found that that there was content that was no longer relevant, missing or inaccurate. All errors and omissions have been rectified and a regular review of content planned. The Independent Chair has received very positive feedback regarding the new content and presentation of guidance.
- The new Business Manager plays a significant role in the Southend Essex and Thurrock group and the sharing of resources provides a significant support to the Southend Safeguarding teams.
- The Business Manager has produced new guidance for Partners
  - Safeguarding Adult Support Guidance
  - Self-Assessment Tool for Partners
  - Self-Assessment Tool for the SAB
  - Easy Read Guidance for Website use
  - Communication plan, Presentation and Changes documentation for new Adults

## Safeguarding Guidance

- The Business Manager has also been part of the group of regional safeguarding board managers that are setting up a regional network of SAB managers and changing the Regional Adults Safeguarding lead group.
- Induction Packs have been developed for Board Members to ensure that they have all the information, network and connections to add value to the SAB as soon as possible.
- Assurance
  - The Independent Chair has explored issues and provision of services for Homeless people in the area with the voluntary sector
  - Sustainability and Transformation Plans (Health) have presented to the Board and the impact of the work is kept under review.
  - Do Not Attempt Cardiopulmonary Resuscitation (DNAR) plans and activity audited
  - Learning Disabilities Mortality Review (LeDeR) plans have been submitted to the Board and are actively monitored audited
  - The CRC HMIP audit and action plan has been reviewed and followed up – action plan delivery and outcomes to be reported to SAB
  - Partners training regarding Making Safeguarding Personal has been audited
- An incident (WT) has been reviewed and the preparatory work for a SAR has been completed. The inclusion of a specialist investigation into the clinical decisions and internal investigations may negate the need for a complete SAR, this decision is yet to be made.
- Making Safeguarding Personal guidance has been reviewed and actions included in appropriate SAB groups.
- The Southend SAB continues to work with SET and has been involved in the update of a number of shared policies, including the overarching Safeguarding Adults Guidelines.
- The Business Manager has produced a new policy for SBC to share with professionals and providers that offers support when making a decision regarding safeguard referrals.
- Partners have been asked to complete a Self-Assessment for the first time in a number of years. The outcomes of the work will direct future strategy and work plans.
- Partners of the SAB have completed a self-assessment of the Board; considering its strategy, structure, delivery, efficiency and effectiveness. Outcomes will assist in the governance, development and work plans of the SAB and its sub-groups.

## 3.2 Board Partners' Achievements in improving Adult Safeguarding



## 2016-17

The SAB has been involved in partnership activity throughout the 2017/19 period and the following organisations regularly report into the SAB and most (listed below) have provided a summary of their activity over the period for this report. They include:

- Southend Borough Council (Adult Services and Housing) (SBC)
- Southend Borough Council (Drug and Alcohol Commissioning Team) (DACT)
- Essex Partnership University Trust (EPUT)
- Clinical Commissioning Group (CCG)
- National Probation Service (NPS)
- Community Rehabilitation Company (CRC)
- Southend Association of Voluntary Services (SAVS)
- Essex County Fire & Rescue Service (ECFRS)
- Essex Police
- Southend University Hospital Foundation Trust (SUHFT)

Southend Essex and Thurrock (SET) Safeguarding Adults Guidelines are used by all partner agencies and a SET audit which is carried out biennially was not conducted during this reporting period. All partners have an identified designated safeguarding adults lead.

Partners have assured SAB that they have policies in place for the safeguarding of adults which are consistent and comply with the above guidelines to ensure that safeguarding arrangements comply with the statutory duties within the Care Act 2014.

## **SECTION 4 - LEARNING FROM SAFEGUARDING ADULTS REVIEWS IN 2017/19**

It is a requirement of the Care Act 2014 that the details of any Safeguarding Adults Reviews (SARs) conducted during the year must appear in the SAB Annual Report. It is the responsibility of the SAB Chair to decide whether or not a death or serious incident should be the subject of an SAR, which would involve commissioning an independent review and publishing a full report written by an author recruited for the purpose.

There were no Safeguarding Adults Reviews conducted during 2017/19, and there were no requests for SARs received.

During 2017/19 briefing papers concerning serious safeguarding incidents where individuals had been in receipt of services from statutory bodies and other organisations were considered by the Board.

## **SECTION 5 - HOW DO WE KNOW WE ARE MAKING A DIFFERENCE?**

This section will provide a summary analysis of the outcomes of safeguarding activity over the year.

Southend is an exceptionally diverse and fast-changing borough. We have a population of 179,800 according to 2016 Office for National Statistics estimates, and around 30% of the population lives in areas classified as falling within the 30% most deprived areas in the country.

The number of older people (65+) in Southend living alone is estimated to have increased year on year since 2011, coupled with an increase of older people living in care homes.

Southend Joint Strategic Needs Assessment (JSNA) describes the health, care and wellbeing needs of the local population, this helps the Clinical Commissioning Group and Southend Council commission the best services to meet those needs

Southend Borough Council has produced an Annual Data Report with data sourced from the NHS Digital data set (the full report is available on request) see below for the report highlights.

## **5.1 Safeguarding Referrals**

There are two different types of safeguarding enquiries

The type of safeguarding enquiry depends on the characteristics of the adult at risk. If the adult fits the criteria outlined in Section 42 of the Care Act, then local authorities are required by law to conduct enquiries. Local authorities will sometimes decide to make safeguarding enquiries for adults who do not fit the Section 42 criteria.

## **5.2 What the statistics are telling us**

The council collects information about safeguarding adults work in Southend, so we know how well people are being safeguarded. This information helps the Southend SAB decide what their next steps should be.

Data in relation to all safeguarding issues is monitored both locally and nationally. All safeguarding concerns and enquiries are recorded and co-ordinated by Southend Council. Progress from initial concern through to conclusion is monitored for timeliness and quality across a wide variety of measures including the nature and location of harm, service user groups, outcomes, age, gender, ethnicity, etc. This information is scrutinised by the SAB sub-groups who report key issues and trends to the Board via the Executive group.

Southend Council submits returns annually to the Department of Health (DH) for collation and comparison of the key data across all authorities in England.

2016/17 safeguarding concerns	1010
2017/18 safeguarding concerns	1155
2017/18 safeguarding concerns (individuals involved)	935
2016/17 S42 safeguarding enquiries	510
2017/18 S42 safeguarding enquiries	635
2017/18 S42 safeguarding enquiries (individuals involved)	570

In 2016/17 there was an 37.5% increase in the numbers of individuals for whom a safeguarding concern has been identified, from 858 in 2015/16 to 1180 in 2016/17; there has been a decrease of 14% to 1010 in the year 2017/8.

### 5.2.1 Abuse Location

Abuse can happen anywhere; in someone’s own home, in a public place, in hospital, in a care home for example. It can happen when someone lives alone or with others. It is important to understand the circumstances of abuse, including the wider context such as whether others may be at risk of abuse, whether others have witnessed abuse and the role of family members and paid staff or professionals.

### 5.2.2 Age

When looking at the ages of individuals involved in Section 42 enquiries the highest proportion of clients are aged between 18 and 64 years old. The representation of this age group has increased over the previous 2 years, but this rise has been halted by the rise in the percentage of 85-94 year olds.

Age Range	2014/15	2015/16	2016/17	2017/18
18-64	26.9%	35.2%	35.6%	31.6%
65-74	13.5%	13.0%	11.9%	11.4 %
75-84	20.2%	20.4%	20.8%	21.9%
85-94	33.7%	26.9%	25.7%	29.8%
95+	5.8%	4.6%	5.9%	5.3%

### 5.2.3 Ethnicity

Southend had a high percentage of ‘white’ individuals involved in both safeguarding concerns and section 42 enquiries and a low percentage of Asian/Asian British individuals. When comparing Southend data across 3 years, proportions have remained relatively consistent. This should be considered against the census data that describes the most up to date information about Southend on Sea demographics:

[https://www.nomisweb.co.uk/census/2011/CT0010/view/1946157203?rows=rural\\_urban&cols=cell](https://www.nomisweb.co.uk/census/2011/CT0010/view/1946157203?rows=rural_urban&cols=cell).

#### Individuals Involved In **Safeguarding Concerns**

	2015/16	2016/17	2017/18
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Asian / Asian British	0.7%	2.0%	1.6%
Black / African / Caribbean / Black British	0.7%	1.5%	0.5%
Mixed / Multiple	0.7%	1.0%	1.1%
Other Ethnic Group	1.3%	1.0%	0.0%
Refused	0.0%	0.0%	0.0%
White	93.3%	89.7%	91.4%
Undeclared / Not Known	3.4%	4.9%	5.4%

### Individuals Involved In **Safeguarding Section 42 Enquiries**

	2015/16	2016/17	2017/18
Asian / Asian British	0.9%	2.0%	0.9%
Black / African / Caribbean / Black British	0.9%	2.0%	0.0%
Mixed / Multiple	0.0%	0.0%	0.0%
Other Ethnic Group	0.9%	0.0%	0.0%
Refused	0.0%	0.0%	0.0%
White	92.7%	91.1%	93.8%
Undeclared / Not Known	4.5%	5.0%	5.4%

#### 5.2.4 Primary Support Reason

The 'Primary Support Reason' is the main 'reason' why an adult requires support or care. When comparing 2017/18 data to previous years Southend have a larger proportion of 'No support reason' than 2015/16 by 8.6%, indicating that more individuals were involved in Section 42 enquiries that were not receiving any other service support from 2016/17.

#### Yearly Comparison

Primary Support Reason	2014/15	2015/16	2016/17	2017/18
Learning Disability Support	8.7%	5.5%	5.9%	8.0%
Mental Health Support	7.7%	1.8%	7.8%	3.5%
Physical Support	75.0%	31.2%	40.2%	38.1%
Sensory Support	1.9%	0.0%	2.0%	0.0%
Social Support	2.9%	0.0%	2.0%	0.0%
Support with Memory and Cognition	2.9%	0.9%	2.9%	2.7%
No Support Reason	1.0%	60.6%	39.2%	47.8%

### 5.2.5 Abuse Type

The charts below show that the most common abuse types recorded by people experiencing a Section 42 enquiry is 'Neglect'.

#### Types of Abuse

	2014/15	2015/16	2016/17	2017/18
Physical	23.3%	19.6%	19.6%	19.6%
Sexual	2.0%	4.7%	4.8%	5.5%
Psychological	19.3%	16.9%	18.5%	14.7%
Financial	19.3%	18.2%	17.9%	17.8%
Discriminatory	0.7%	0.00%	0.0%	0%
Organisational	3.3%	4.1%	1.8%	1.8%
Neglect & Omission	32.0%	27.0%	25.0%	31.9%
Other	0.0%	9.5%	12.5%	
Domestic Abuse				6.1%
Modern Slavery				0%
Sexual Exploitation				0%
Self-Neglect				2.5%

'Other' in the above table indicates type of abuse that were non-mandatory to submit (including domestic abuse, sexual exploitation, modern slavery and self-neglect) and there was a 3.8% decrease in these types from 2016/7. We have separated them for this year's reporting statistics.

### 5.3 Safeguarding Outcomes

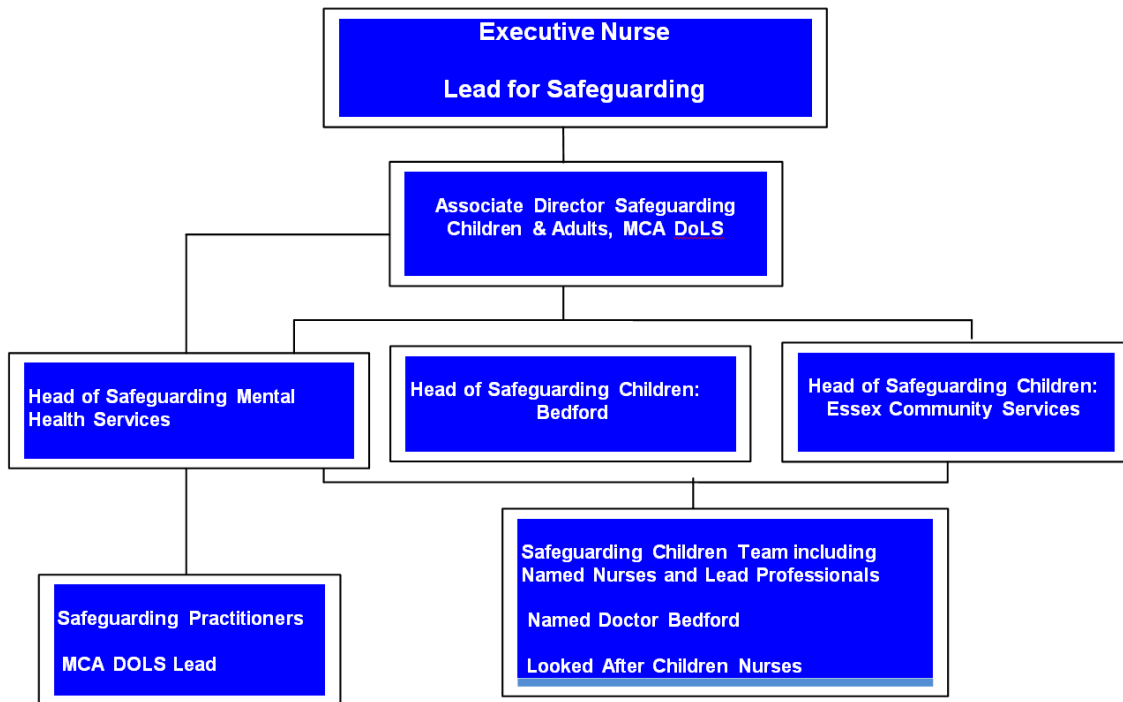
In all safeguarding enquiries the person at risk of abuse or neglect will be helped to stay safe from harm. If necessary, monitoring of their risk will be increased, and the frequency, type or location of their care may change. Action will be taken against the person who caused the harm. This might include criminal proceedings, removal from a service, further training or disciplinary action if they were a paid carer.

### 5.4 Partners' effectiveness highlights

The SAB has been involved in partnership activity throughout the 2017/19 period and the following organisations regularly report into the SAB and most have provided a summary of their activity over the period.

### 5.4.1 Essex Partnership University Trust (EPUT)

#### Agency Context



Commercial Strategy  
- Our Services Jan 20

*Essex Partnership University Trust (EPUT) is a provider of Mental Health and Community Services across Essex, Bedford and Suffolk. In April 2017 the two former organisations of South Essex Partnership Trust (SEPT) and North Essex Partnership Trust (NEPT) merged to form one organisation. As a result of the merger the safeguarding team expanded and appointed a Head of Safeguarding for Mental Health Services. The safeguarding team now consists of a variety of professionals, all of whom bring additional expertise to the team. The Executive Nurse has board responsibility within EPUT for safeguarding and this responsibility is explicit within the job role.*

*The responsibility for conducting an enquiry (investigating Safeguarding Adult issues) differs between Mental Health and Community Health Services. The Local Authority delegates the responsibility for investigating safeguarding issues to the Trust for those accessing Mental Health Services. This means that staff regularly conducts safeguarding enquiries for service users. They typically arrange meetings with police, social care and other agencies as required and invite service user family members or advocates to safeguarding meetings. The Trust safeguarding team monitor compliance with time frames and analyse trends.*

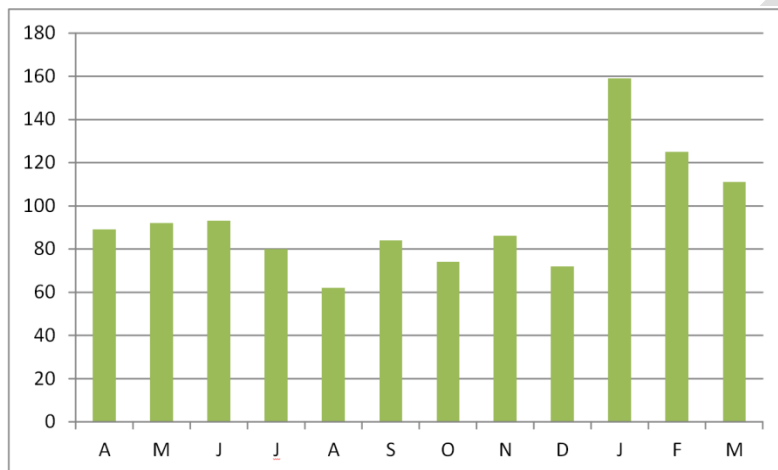
*For service users accessing Community Health Services, the Local Authority is responsible for the enquiry. However it is essential that Community Health Service staff are fully involved in investigations by representing the health needs of service*

users. A reporting framework has been established to report data, trends and concerns to the Trust Senior Management team meetings the Local Authority Safeguarding and the CCG's.

## **Safeguarding Adults Activity**

### ***Trends 1- Number of Safeguarding alerts***

- EPUT Mental Health Services: Total 1127

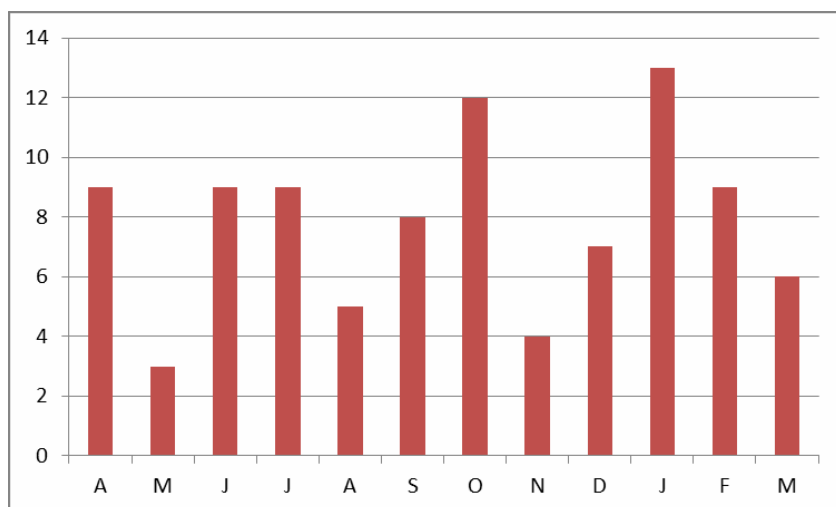


- Southend Mental Health Services: Total 112

Southend MH		Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Total
	Safeguarding (SET SAF 1)	8	5	8	18	14	10	14	5	4	11	7	8	112

The number of alerts raised and those subject to an enquiry in mental health services has increased since last year. The reasons include additional issues that constitute safeguarding such as self-neglect and hoarding, together with an increase in staff awareness of safeguarding concerns.

- EPUT Community Health Services: Total 94



- Southend Community Health Services: Total 35

Southend CHS	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Total
Safeguarding (SET SAF 1)	2	1	2	5	1	6	4	2	3	6	2	1	35

As stated above the Local Authority safeguarding teams are responsible for triaging and making safeguarding enquiries for any EPUT service user of Community Health Services.

The alerts raised to the Local Authority by EPUT have increased slightly since last year (16/17). The greatest number of referrals was in South Essex and this reflects the large number of nursing and residential homes visited by EPUT staff.

### **Trends 2: Alerts raised by service**

The majority of referrals come from Adult Community Mental Health followed by staff on inpatient wards. This is consistent throughout the Trust and with previous years reporting. In Community Health Services the majority of referrals sent to the Local Authority are from District Nursing staff.

External to the Trust, referrals are commonly from police or ambulance services

### **Trends 3: Number of enquiries by age and gender**

Within Mental Health Services the majority of enquiries are in the 18-65 year old age group. This contrasts with Community Health Services where the majority are in the over 65 age group. This reflects the predominant age group accessing Community Health Services.

Women feature more in both services which remains a consistent trend both locally



and nationally as more women use mental health services and are the larger proportion within the older age population.

#### **Trends 4: Type of abuse reported**

*The most common category of abuse in Mental Health Services is physical, neglect followed by financial abuse.*

*The main category for Community Health Services is neglect. This reflects the number of referrals for alleged poor care in nursing, residential homes and peoples own homes and include those cases involving pressure ulcers.*

#### **Trends 5. Place abuse/incident occurred and perpetrator**

*The majority of safeguarding alerts and enquiries of abuse occurred in peoples own home and the alleged perpetrator was a family member or known to family. This is consistent with local authority and national data.*

*Within Mental Health Services the second most common place of abuse was in inpatient settings involving service user to service user incidents.*

#### **Trends 6: Outcomes following enquiry**

##### Outcomes for victim

*The majority of completed enquiries showed that the allegation was substantiated or partially substantiated. For victims the most common outcome was for staff to increase monitoring, police intervention particularly where a crime had been suspected e.g. financial abuse or case management resolution.*

##### Outcome for Perpetrator

*For Mental Health Services, the perpetrator may also have been a service user, particularly when the abuse occurs on inpatient units. In these cases it is important that the needs and care plans of the perpetrator are assessed.*

*The majority of outcomes for the perpetrator have been, increased monitoring or moved to an alternative unit/place. In Community Health settings the outcome especially in a residential or nursing home has been extra support and training delivered by EPUT staff. In some cases the suspension of new placements has been advised, until improvements have been made to care and treatment.*

##### Innovative Practice & Development

- *Police Liaison*

*In 2016 the Trust was experiencing a large number of safeguarding adult referrals from police, the majority of which did not concern safeguarding issues but involved mental health issues, anti-social behaviour or a person not managing well at home etc. This issue is not specific to EPUT but has been experienced throughout the NHS in Essex and Bedfordshire.*

In May 2017 a member of EPUT safeguarding team co-located with Essex Police and Adult Social Care as part of a pilot to provide a multi-agency approach to reduce the volume of inappropriate Safeguard forms being submitted by the Police. The pilot has been a great success with an avoidance of duplication and simplified processes between professionals.

Three leaflets (below) have been developed this year for service users and their families to explain the definition of safeguarding adults and the enquiry process. The leaflet 'Safeguarding for you' is an easy read version and has been assisted in design by a service user during an art therapy session.



### Training Compliance

	Target Total	Trained	
		No.	%
Safeguarding Level 1	1170	1062	91%
Safeguarding Level 2	3346	2979	89%
Safeguarding Adults L. 3	1394	1257	90%
Safeguarding Children L. 3	802	701	88%
Safeguarding Children L. 4	15	15	100%
LAC face to face	49	42	86%
PREVENT training	828	71	90%

## **Outcomes and Impact of Safeguarding Adults Activity**

### Staff support

*The Safeguarding team provide expertise and advice to staff on a daily basis. The team have received a number of positive comments and compliments from staff as below.*

*"I would just like to say how helpful the member of the safeguarding team has been and she has been such brilliant support for staff during a recent complex safeguarding investigation".*

*"I want to thank you for your support with Mr A's case, particularly for being able to support the team in agreeing our decisions around the case at very short notice yesterday. It is much appreciated, and your input was critical in reaching the right decision for him and his family".*

### Police feedback

*'By having the Mental Health Specialist within the Triage Team there is now a greater understanding by the police of Essex Mental Health services and a greater understanding of the referral process into those services.'*

## **Key Successes**

- *Successful integration of 2 people from the safeguarding team from the 2 trusts post-merger, which meant effective delivery and support regarding safeguarding in the organisation.*
- *Newly updated staff intranet site for safeguarding for staff reference and guidance.*
- *Newly developed organisational Adults Strategy which includes safeguarding.*
- *Addition to level 2 safeguarding training of enhanced package of domestic abuse, gangs (cuckooing), forced marriage and female genital mutilation.*
- *Effective disseminating of any relevant lessons learned or recommendations to front line staff.*
- *We managed to work collaboratively with Essex County Council and Police to triage all safeguarding referrals that were being raised by the police.*
- *Agreed a process with Southend MARAC for mental health patients.*
- *Agreed a process for HLA to have access to mental health records.*

### Learning Lessons

*The Safeguarding Team routinely contribute toward identifying and presenting cases relating to children and adult services to the Learning Oversight Committee.*

*Cuckooing:*

*Case Study:*

*This case relates to a gentleman who was a victim of cuckooing. Cuckooing is a new type of crime which involves a drug dealer befriending a vulnerable individual who lives on their own. The dealer moved in, took over the property, and turned it into a*

*drugs' den.*

*Mr A was known to the Trust memory service and had reported to the Community Psychiatric Nurse (CPN) that he had a new 'friend' who visits him and helps with shopping etc. The CPN became concerned when Mr A physical wellbeing appeared to have deteriorated and he had financial problems where money was going missing. The CPN raised a safeguarding alert and a multi-agency meeting was held with police, social care and housing and included Mr A. After much investigation, discussion and support for Mr A, it transpired that his new 'friend' was exploiting him, inviting others to Mr A flat and dealing drugs. Mr A agreed to a respite placement whilst locks were changed and security camera put onto his flat. He returned home and did not experience any further problems; his health improves and he continues to be supported by EPUT services.*

*Allegations of sexual abuse against staff:*

*The Safeguarding team have received a number of allegations against staff, some of a very serious nature including sexual abuse and involving a police investigation.*

*On investigation the majority of these concerns are unsubstantiated but cause considerable distress to staff. Some of these cases could have been avoided had staff followed some basic principles particularly where the person is known to make allegations, these include.*

- Explain any intervention with the service user so they are clear of what to expect.*
- Ensure any identified risks are clearly outlined in care plans.*
- Ensure all staff are aware of those who make repeated allegations against staff.*
- Contact the Safeguarding team who are happy to discuss the implications of making a false allegation with service users.*
- Where risks are identified do not visit/ enter patient's room alone.*

## Key Areas for Development

	<b>Objectives 2018/19</b>	<b>Action Required</b>	<b>Success Criteria</b>
1	Update Strategic Framework	Development of Safeguarding Strategic Framework for 2018- 2021	Framework in place
2	Ensure a successful outcome following any CQC inspections	Review reports and associated action plans	Any recommendations are implemented
3	Continue to develop and enhance the Trust In-site section for Safeguarding	New combined Intranet in development	Safeguarding page on the intranet
4	Complete the 2017/18 Audit program for safeguarding	Complete audits - Sec 11 MCA/DOLS Audit Service /user Audit Training Audit	Audits completed, reported and recommendations
5	Ensure a continued Safeguarding support system in place for EPUT adolescent units	Supervision and support systems to be developed and assessed	Staff on EPUT Adolescent units feel fully supported by the safeguarding team
6	Enhance awareness of Criminal, sexual Exploitation and Gangs	Review and update policies training programs and systems	Increased reports from staff on concerns regarding the objective criteria

The organisation plan to strengthen the safeguarding arrangements they have in place as a result of the CQC inspection during 2018.

### 5.4.2 Clinical Commissioning Group (CCG)

#### Agency Context

Southend CCG is a Clinical Commissioning Group (CCG) in south east Essex. A CCG is a group of GPs and clinicians who commission (buy) health services for their local communities. Our role is to specify outcomes that we want to achieve for our population, and then contract providers to provide care to achieve those outcomes. We are committed to ensuring the provision of local, high quality services that meet the specific needs of our population. During 2018 Southend CCG has aligned with Castle Point & Rochford CCG to increase efficiency through matrix working and the reduction of duplication.

On-going financial and capacity issues across the health economy will challenge both commissioning and provider health organisations. The Sustainability and Transformation Plan will continue to support change in local health services to reflect the changing needs of the population. However, the CCG maintains a strong commitment to safeguard children from abuse and neglect and is an active member of the SAB. The CCG is responsible for the procurement of designated safeguarding

adult leads. A key function of the designated professionals is to provide clinical expertise and strategic leadership across the local health system to support other professionals in their agencies on all aspects of safeguarding adults at risk. The Named GP undertakes a specialist role within the team to support and advise General Practitioners and Nurse Practitioners working in Primary Care on matters relating to safeguarding adults.

### **Safeguarding Adults Activity**

As a commissioning organisation the CCG does not deliver services directly to children and families but does have systems in place to ensure that the health services we commission has robust safeguarding arrangements in place.

- The CCG has a mandatory requirement for safeguarding adult training and compliance stands at 84%
- Health Service information sharing to the Multi Agency Risk Assessment Team has improved through closer links to adult mental health services and primary care.
- Hospital Based Independent Domestic Violence Advocates were commissioned to improved early recognition and support to victims of domestic abuse.
- Joint quality visits are undertaken between Health & Social Care and the Senior Nurse for Care Homes is routinely included in the safeguarding strategy meetings with the Council.

### **Outcomes and Impact of Safeguarding Adults Activity**

As a commissioning organisation the CCG does not deliver services directly to adults but does have systems in place to ensure that the health services we commission has robust safeguarding arrangements in place.

The impact of multi-agency working has provided a global view of all safeguarding concerns across the health and social care economy providing the platform for robust discussion and positive outcomes for the residents. Health & Social care work closely with all residential homes to maximise their understanding of and identifying how to escalate concerns to the CQC, and the appropriate Councils to maximise patient safety.

### **Key Successes**

- Commissioning hospital based Independent Domestic Abuse Advisors for 3 acute NHS Trusts and supporting the services already established in other Trusts.
- A Safeguarding Assurance Tool has also been submitted to NHSE England which demonstrates a high level of compliance.
- The CCG Adult Safeguarding Lead jointly ran a forum for Care Home & Domiciliary Care Providers to support and development.
- Supported the Medication Management Team to enhance their knowledge of safeguarding and the application of the MCA to the administration of medication.
- Worked with primary care to improve their recognition of and response to

*safeguarding Adults.*

- *Delivered bespoke training to primary care on Mental Capacity Act assessment.*

### **Key Areas for Development**

*During 2019/20 the CCG will:*

- *Work with partner CCGs to develop the Mid and South Essex Sustainability and Transformation Partnership (STP) to improve health outcome for the local population*
- *Ensure the reformed Liberty Protection Safeguards are embedded into Community Health Care practice.*
- *Work with SAB partners to deliver the Violence and Vulnerability Strategy*
- *Work with Primary Care to ensure that safeguarding is integrated into the work of Locality Hubs*
- *Work with Primary Care to implement to revised requirement of Adult Safeguarding: Roles and Competencies for Health Care Staff.*

### **5.4.3 National Probation Service (NPS)**

#### **Agency Context**

*The role of the National Probation Service (NPS) is to protect the public, support victims and reduce reoffending. It does this by:*

- *assessing risk and advising the courts to enable the effective sentencing and rehabilitation of all offenders;*
- *working in partnership with Community Rehabilitation Companies (CRCs) and other service providers; and*
- *directly managing those offenders in the community, and before their release from custody, who pose the highest risk of harm and who have committed the most serious crimes.*

*In carrying out its functions, the NPS is committed to protecting an adult's right to live in safety, free from abuse and neglect.*

*The NPS is currently planning to implement the Offender management in Custody Programme, Agencies were invited to comment on the probation consultation which will see changes made to the probation service in 2019. The key changes for the NPS is the roll out of new IT, which has meant more up-to-date software and provided staff with a degree of flexibility, for example, the ability to undertake more appointments outside of the probation office.*

*Workloads and staffing continue to be key challenges which the business has responded to by recruiting over 400 PQUiPs (trainee probation officers) and over 250 new probation service officers in 2018, with more than 300 PQUiPs qualifying as probation officers in 2018 and nearly 300 PQUiPs due to start very early in 2019*

### **Safeguarding Adults Activity**

*All staff – be they employed on a permanent or temporary basis – are required to complete mandatory safeguarding adults e-learning. Offender facing practitioners are required to complete both e-learning and class based training. They are also required to complete: domestic abuse, child safeguarding, foreign nationals and hate crime training. This training is mandatory and staff completion is monitored on an annual basis.*

*NPS staff have access to EQUIP – knowledge management database, which provides access to safeguarding adults policy and practice guidance.*

*The NPS contribution to adult safeguarding is significant at the pre-sentence stage where we make an assessment irrespective of the nature/seriousness of the offence(s) for which the offender is charged. During supervision, NPS staff again assesses risks offenders pose to others and others pose to them which is kept under regular review.*

### **Outcomes and Impact of Safeguarding Adults Activity**

*Through training and access to relevant policy and practice guidance, NPS makes sure that all NPS staff are clear about their roles and responsibilities and how to raise safeguarding concerns. Staff are made aware of the routes for escalation where they feel a manager or another agency has not responded appropriately to a safeguarding concern. The practice guidance that supports this policy gives clarity on roles and responsibilities and the action to be taken in response to adult safeguarding concerns. The guidance also supports staff in the early identification of offenders in the community with care and support needs.*

### **Key Successes**

*A key success for the NPS is getting our staff trained and not losing focus on safeguarding during organisational changes or staff and resource pressures. We ensure we assess all offenders at each stage of the offender's journey through the Criminal Justice System in relation to safeguarding adults.*

### **Key Areas for Development**

*I would suggest a key area of development is timely information sharing, for example, when checks are being made to see if the offender is known/not known. Agencies also need to ensure that lessons from audits and inspections are embedded in practice. Another key development underway is improving staff's knowledge and response to 'Hate Crime'. Another area is improving our data recording systems to enable us to accurately report on the number of referrals made to adult social care and the outcome of these referrals.*



#### 5.4.4 Southend Borough Council (Drug and Alcohol Commissioning Team) (DACT)

##### **Agency Context**

*Southend Drug and Alcohol Commissioning Team (DACT) are responsible for commissioning appropriate services to address substance misuse across the Borough. The DACT work in partnership with a range of agencies, including criminal justice, education, Social Care, physical and mental health services to ensure that pathways are in place to enable individuals with substance misuse issues to access the support that they need.*

*During 2017/18 the DACT undertook a large scale procurement of its services (the services in place are detailed in the next section); despite the upheaval and uncertainty that can occur through this process, service providers were required to ensure that they maintained high standards with regard to their safeguarding responsibilities. As far as we can tell, there has been no significant disruption to their safeguarding reporting processes during this period.*

##### **Safeguarding Adults Activity**

*The DACT currently commission three core services:*

- **STARS (Southend Treatment And Recovery Service)** who provide specialist treatment and ongoing recovery support to adults (18 and over) who wish to address their substance misuse
- **YPDAT (Young People's Drug and Alcohol Team)** who provide specialist substance misuse treatment, advice and guidance to young people up to the age of 21
- **Severe & Multiple Disadvantage Service** who work with adults with complex and/or multiple needs, particularly those who are homeless or at significant risk of homelessness

*All commissioned services are required to maintain and adhere to appropriate policies and procedures on safeguarding of children and vulnerable adults, including appropriate procedures with regard to recruitment and training, and reporting of allegations against staff. All commissioned services are required to keep an up-to-date training log of core staff competencies which is reviewed quarterly. All commissioned adult services are also required to provide data to the DACT about the number of safeguarding referrals made during each quarter.*

*STARS were last directly involved in a CQC inspection in July 2016, as part of a wider investigation around looked after children and safeguarding support. The London Regional Office of CGL (who provide STARS) also received a CQC inspection in February 2017. Both of these reviews were positive. We have recently been informed that CGL have now arranged that their individual sites will be registered directly, rather than being registered under Regional Offices, so STARS has been independently*

registered since October 2018.

YPDAT were inspected by the CQC as part of the Joint Targeted Area Inspection (JTAI) conducted in March 2018. Although the mention of YPDAT in the final JTAI report amounts to just one sentence, this and the informal feedback received from inspectors was very positive.

### **Outcomes and Impact of Safeguarding Adults Activity**

The data received by the DACT does not provide us with any detail about the outcomes or impact of safeguarding activity. The detail that we have is:  
During 2017/18, STARS made 5 adult safeguarding referrals and 1 child safeguarding referral.

During 2017/18, YPDAT did not make any adult or child safeguarding referrals.

### **Key Areas for Development**

There have been some concerns that some of the services are struggling to meet the burden of professionals' meetings that they are required to attend, particularly the MARAC and MDT meetings. This is being explored through contract and performance reviews with the services, and the DACT will be considering whether there might be a business case for expanding the staffing arrangements to ensure appropriate coverage so that safeguarding responsibilities are not affected.

## **5.4.5 Community Rehabilitation Company (CRC)**

### **Agency Context**

Essex CRC manages adults in Southend who are sentenced to Community Orders or periods of imprisonment, where they are assessed as either low or medium risk of serious harm. We also deliver structured interventions to high risk offenders supervised by the National Probation Service. In Southend we are located in Civic 2, which has allowed growth in our partnership working with local authority teams.

Our leadership team has remained consistent over the last year – at senior and local level. Our service delivery team has also remained largely consistent. We have experienced difficulty in recruiting experienced probation officers, but we have mitigated this by commencing a programme of training staff to complete the Professional Qualification in Probation (PQiP) programme.

### **Safeguarding Adults Activity**

Safeguarding is core training for all of our staff and standing item in staff supervision.

*We are engaged with the LSAB at Board and Exec level, and support a number of operational partnership groups; including MARAC and Op Censor. We are also present at the Violence and Vulnerability board and the spin off Criminal Justice sub-group. We have joined the newly formed MASH+, with practitioner attendance 1 day per week.*

*We contract Ormiston Children and Families to deliver specific interventions to service users with family integration needs, and we delivery the Building Better Relationships Programme for male perpetrators of domestic abuse (linked to this is our Partner Link Worker Service to support victims).*

*This year (June 2018) we were inspected by Her Majesty's Inspectorate of Probation (HMIP) and rated as Requires Improvement. Our assessment and management of risk of harm was recognised as an area for development, but our organisational delivery, our range of services on offer and our community payback scheme was rated Good. Of the 6 CRCs that have had HMIP reports published to date, Essex CRC is the highest rated.*

### **Outcomes and Impact of Safeguarding Adults Activity**

*Internally, managers complete a monthly audit of cases, to include at least one case per officer in each sample. Safeguarding of vulnerable children and adults is a key area of focus in this audit regime.*

*Externally, as mentioned above, we were visited by HMIP this year and received a Requires Improvement rating. We incorporate learning and recommendations from internal and external audits into our ongoing development plans and report back on these to our Ministry of Justice Contract Management Team.*

*We do not have any performance measures which explicitly cover safeguarding, but our most recent quarter's results (July-Sept 2018) were above contractual target.*

### **Key Successes**

*This year we has joined the new MASH+, with practitioner location I that team 1 day per week. This will be reviewed in the coming year to ensure that it is an effective and efficient way for Essex CRC to contribute to the MASH+ arrangements.*

*We have also engaged with the Violence and Vulnerability Board and Op Censor. This partnership has helped forge greater co-operation with social care and YOS teams. We have contributed to partner agency development by delivering a 3 day DA Perpetrator training event to social workers in Southend.*

### **Key Areas for Development**

*In partnership with the Violence and Vulnerability Board, and the SET V&V Framework, we are forming an Essex CRC criminal exploitation strategy. This will include the identification of criminally exploited and embedded service users, an assessment framework and suite of interventions to address their behaviour and*

*underpinning vulnerabilities.*

*More broadly, the assessment and management of risk of harm has been identified as an area of development for us. This is being tackled through a range of revised case inspections, team workshops and training events.*

#### **5.4.6 Southend Association of Voluntary Services (SAVS)**

##### **Agency Context**

*Southend Association of Voluntary Services (SAVS) is a Council for Voluntary Service (CVS), a local infrastructure organisation for voluntary and community sector (VCS) organisations, and carries out five core functions which are; Services and Support, Liaison, Representation, Development Work and Strategic Partnerships. SAVS and also hosts the Turning Tides projects.*

##### **Safeguarding Adults Activity**

*SAVS is a membership organisation and supports members to ensure they have the right safeguarding policies and processes in place. Training is provided in partnership with the LSCB and SAB in all aspects of safeguarding, for example, Modern Slavery, Prevent, Gangs, etc. Regular Thematic Group meetings and weekly communications are organised to share information on current issues to ensure Voluntary Sector organisations are up to date with the latest trends and can do what is necessary to protect their service users.*

*The Folk like us project identifies older people who are lonely and isolated and provides support to help them improve their lives by overcoming barriers and becoming socially connected. Since the project begun it has supported over 240 people aged 65+ and helped them achieve their self-identified goals.*

*The Turning Tides project Safe as Houses works to support older people who have been victim of fraud or attempted fraud through the provision of home visits and risk assessments. Monthly victim lists are provided by Essex Police and Trading Standards.*

*SAVS Deputy CEO is a member of the Safeguarding Adults Board and Local Safeguarding Children Board.*

##### **Outcomes and Impact of Safeguarding Adults Activity**

*Funded through the PFCC and Essex Police, the Safe as Houses service which is run by a team of fully trained volunteers has provided support visits to 300+ households over the year and identified people actively being scammed and provided many with second visit or referral to a relevant agency. This work is building resilience*

amongst the elderly in Southend to help reduce the prevalence of fraud in our community.

### **Key Successes**

The outcome from the visits continues to be positive with people stating they found the visits reassuring. They report the visits help to inform them on how best to identify fraud and where to report and seek assistance from. Some victims experience genuine shock at the scale of the fraud and a series of visits are required in this situation to ensure they are remain safe and well.

### **Case Study**

Marion was on a recent victim list; our volunteer made a visit. Marion explained she had reported fraud when she discovered her address was being used by a man unknown to her, to open a bank account and apply for a credit card. Marion was frustrated and very emotional with this as she continues to receive post in this man's name and felt powerless to do anything about it. The volunteer explained in depth that there was no risk to her finances and the address is not black listed now days it is the individual name, so as she has reported the fact to the appropriate agencies she should simply return the post with not known at address. Marion stated she felt much better and more reassured that there was no direct risk to her and she would follow the advice provided. Marion has since got in contact and asked if a member of the team would attend her book group in Leigh as she felt there would be great value in her peers also learning more about fraud and how to deal with it.

## **5.4.7 Essex County Fire & Rescue Service (ECFRS)**

### **Agency Context**

ECFRS - Prevention, Protection and Response

We improve and save lives. Our vision: To make Essex a safe place to live, work and travel. Our priorities: Service Led, Community Focused, Kind Culture, Financially Sustainable.

### **Safeguarding Adults Activity**

ECFRS has Service Policy and agreed protocols, together with the information and guidance for the referral of a Safeguarding Vulnerable Adult concern. The Service Policy outlines signs and causes of abuse and/or harm to vulnerable adults and the procedures to be followed when dealing with these issues. All employees and volunteers are required to complete Level 1 Safeguarding E Learning and to be aware of safeguarding referral routes and responsibilities.

*Safeguarding Level 2 training is delivered to those in designated roles where there is considerable professional and organisational responsibility for safeguarding adults, young people and children. By delivering this training at regular intervals, as part of their continual personal development, staff are able to act on concerns and contribute appropriately to local and national policies, legislation and procedures.*

*Safeguarding Level 3 has been delivered to those within the Community Development and Safeguarding team where appropriate.*

*Donna Finch MBE, the Community Development and Safeguarding manager, leads on safeguarding nationally and has assumed the responsibilities of National Child Protection Officer for the Chief Fire Officers Association (CFOA), Duke of Edinburgh.*

*Donna heads the Safeguarding Coordination Forum where leads of Fire Service Safeguarding teams attend and form a working group looking at policy, guidance, DBS audit tools and action plans across the Fire Service.*

*Work has been undertaken by the Safeguarding team looking at the introduction of DBS in the Service. This has involved lots of partnership meetings, reviewing current policies in other Brigades and organisations to ensure good working practices and liaising with Barring services and local authority teams to establish guidelines.*

*Our Safe and Well teams offer a more holistic approach to helping individuals to live safe and well in their own homes. Examples of which include full safety advice on, crime prevention, smoking cessation, social isolation and loneliness as well as fire safety. Safe and Well visits in the Southend area since 1st April to date : 286*

*Making Every Contact Count (MECC)*

*Working closely with a number of partner agencies, including health, social care and local authorities, MECC is all about being proactive in helping reduce isolation and provide signposts to the appropriate support.*

*As well as the obvious health benefits of much of the advice, the package is particularly important to fire safety. A recent UK study found that in 47% of a sample of deaths from fire, the victim was under the influence of a substance of some kind.*

*Making Every Contact Count (MECC): 6 videos have been produced featuring several of our Firefighters and Community Safety teams, giving examples of where engagements or conversations with members of the public might lead to support being required.*

*The videos cover key topics including hoarding, stopping smoking, sensory impairment, physical activity, falls and frailty, alcohol consumption and mental health and wellbeing.*

## **Outcomes and Impact of Safeguarding Adults Activity**

As well as addressing concerns that are received into the Safeguarding team our Community Builders offer support to the more vulnerable in our communities. With well-established partnership working we are able to establish cohesive working practices supporting communities with initiatives from winter warmers, walk and talk and dementia friendly cooking events on Fire Stations, to name but a few. Our Community Safety teams help to empower our communities by giving them the support and information they need to make informed choices. We work closely with those with hoarding and sit on the Southend Hoarding Board. We not only provide fire safety advice but work closely with both the individual and other agencies to support and empower the individual to try and achieve the most effective outcomes.

Safeguarding concerns received and addressed since 1<sup>st</sup> April 2018 in the Southend area is 37.

*Fire Break: Our Fire Break programme aims to promote a culture of safety and team work and citizenship by teaching a range of vital skills whilst undertaking the various disciplines of the Fire Service. The courses provide a learning environment that combines practical skills and scenario based training, with classroom centred theory/discussion workshops.*

*Fire Break is broken down into four different areas each with specific themes that target different issues.*

- *Fire Fit*
- *Fire Inspire*
- *Fire Respect*
- *Fire Empower*

*During the intensive week long fire station based course students gain confidence and develop life skills, whilst experiencing the techniques used by Fire Fighters in their working lives. The aim of the programme is to not only raise awareness of the consequences of fire, fire setting and hoax calls but also to provide bespoke courses that have specific aims and objectives agreed by partner organisations. For example programmes have included the long term unemployed, Offenders, Family Solutions and the victims of domestic violence.*

*Two Fire Break Courses have taken place in Southend for adults since April 2018.*

- *Southend YMCA residents*
- *Women from Open Road/Essex CRC*

## **Key Successes**

*Safe and Well: 286 Visits in this area since April 2018*

*Fire Break:*

*29<sup>th</sup> October 2018 Southend Fire Station for Southend YMCA residents*

*18<sup>th</sup> March 2019 Southend Fire Station for Women from Open Road/Essex CRC*

*Community Builder: 37 interventions supporting the more vulnerable and partner agencies*

### **Key Areas for Development**

*A Community Builder for the South East has recently been appointed and we hope that they will join the team in late February.*

## **5.4.8 Essex Police**

### **Agency Context**

*One of Essex Police's objectives, as set out by the Police and Crime Plan is to ensure children and vulnerable people are appropriately safeguarded and that they receive the help and support they need. Within Essex Police, the Crime and Public Protection Command is mainly responsible for the safeguarding of vulnerable persons.*

*The Operations Centre is the point of entry into the organisation for all Public Protection partnership-related enquiries and referrals, forming the link between Essex Police and Southend Social Care. Also in the Operations Centre, is a large triage team made up of three areas, Adult, Child and CSE. This joint triage team enables Essex Police to enhance response and build a resilience of knowledge. The Operations Centre and the Adult triage team give partners a single point of contact where they can speak with someone who has knowledge of the safeguarding protocols.*

*The Operations Centre also consists of the Central Referral Unit (CRU). The CRU's primary purpose is to assess the risk experienced by victims of stalking and domestic abuse (including honour-based abuse) and vulnerable adult abuse and implement safeguarding where appropriate to reduce the risk. CRU provides a central point of contact for police officers and agencies. It will ensure that domestic abuse referrals are accurately recorded, graded and fully researched and that relevant information is shared with social services and other agencies. This is part of Essex Police's commitment, working with partner agencies, to provide the best possible service and support to all victims of domestic abuse.*

*Essex Police also have dedicated domestic abuse investigation teams, 'Operation JUNO'. These teams will oversee all domestic abuse investigations and work alongside our partner agencies. This will help to ensure the force is able to give the best possible support for victims and a strong, co-ordinated response to those responsible.*

*Essex Police are continuing to support the Safeguarding Adult Boards, all of the SAB meetings are attended by a senior officer.*

### **Safeguarding Adults Activity**



*All policies and procedures relevant to vulnerable adults are scrutinised at the Public Protection Policy Board (PPPB) chaired by ACC Andy Prophet.*

*The Public Protection Awareness course is ending soon, having been very successful with training new and existing staff/officers and increasing awareness in regards to vulnerable adults.*

*The vulnerability handbook is currently being updated and will be published electronically soon, enabling all front line officers to have information on the 14 strands of vulnerability readily available. By it only being published online, it allows Essex Police to update it easily, not having to constantly dispose of out of date copies.*

*The Triage team no longer hold crimes. This speeds up the safeguarding process. More training and education is in development around vulnerable adults with the view that it will be delivered on future Detective Sergeant and Detective Inspector courses in order to increase awareness of best practice when safeguarding vulnerable adults.*

#### **Key Successes**

*The pilot that commenced in November 2016 has been taken on permanently. A Mental Health worker sits in the Triage department one day a week. This is to improve multi-agency communication and allows them to be a single point of contact for Essex Police Triage staff and officers.*

*Essex Police have been supporting people with Mental Health. Since April 2017, our Mental Health Street Triage (MHST) team has been available to support colleagues attending incidents where someone may be in mental health crisis. In their first 12 months of operation, they assessed 2,384 people to ensure they received appropriate treatment, prevented 543 attendances at A&E and prevented more than 394 people being sectioned under Section 136 of the Mental Health Act.*

*The team consists of six constables and 25 special constables, one police staff member in the Force Control Room and six mental health nurses from Essex Partnership University Trust (EPUT). Two MHST cars are staffed seven days a week from 10am-2am seven days. One trained police officer is crewed with one EPUT mental health nurse.*

*Better joint working with Ambulance resulted in a 2-day safeguarding event in 3/2018*

## 5.4.9 Southend University Hospital Foundation Trust (SUHFT)

### **Agency Context**

*Southend University Hospital NHS Foundation Trust (SUHFT) provides a wide range of acute health services from its main Prittlewell Chase Site and at outlying satellite clinics across the local area to the local community. It provides specialist services to a wider population in South East Essex.*

*Southend University Hospital NHS Foundation Trust has been part of the Mid and South Essex Success Regime planning which will provide additional opportunities and challenges as the acute trusts within the regime work together with partners to develop system wide solutions to significant challenges within healthcare.*

*The Adult Safeguarding Team supports all staff and services across SUHFT that have contact with adults at risk.*

*The team consists of:*

- *Adult Safeguarding Manager*
- *Adult Safeguarding Advisor*
- *Adult Safeguarding Administrator*

*The team also has the support of:*

- *Named Doctor for Adult Safeguarding and Mental Capacity*
- *Hospital Liaison Nurse for Adults with Learning Disabilities*

*The team responsibilities include:*

- *Adult Safeguarding.*
- *Monitoring and administration of Deprivation of Liberty Safeguards.*
- *Leads on the Prevent agenda for the organisation.*
- *Support to Domestic Violence victims.*
- *Support to Adults with Learning Disabilities, including the monitoring of reasonable adjustments.*

*The team achieve this by:*

- *Training.*
- *Immediate advice and support.*
- *Review of adult safeguarding concerns and providing advice and support to protect adults at risk.*
- *Support and supervision of staff.*
- *Monitoring of safeguarding process and procedures.*
- *Providing assurance reports.*
- *Representing the Trust within the wider Essex / Southend Safeguarding agenda.*
- *Monitoring of themes.*

*The team has continued to provide a strong safeguarding service and is currently up to full establishment. A close working partnership with SUHFT's Children's Safeguarding Team has been developed and this has enabled the teams to work*

*collaboratively on joint safeguarding agenda's, including Female Genital Mutilation (FGM), Prevent, Domestic Abuse and Modern Slavery/Human Trafficking.*

*The Adult Safeguarding Team supports, enables and challenges staff to make safe and effective decisions to safeguard and protect vulnerable adults. Measurement of performance and outcomes is therefore complex and includes a variety of factors which include:*

- *Performance indicators.*
- *Quarterly assurance reports.*

### ***Safeguarding Adults Activity***

*All patient facing clinical staff are required to complete either Adult Safeguarding E-Learning Level 1, or Level 1 and 2 E-Learning Training, according to the role of the staff member. Staff are also provided with adult safeguarding information and guidance when joining the Trust (On-Boarding) with face to face training for Health Care Assistants. Training compliance is recorded using the Trust I-Learn system which can provide percentage figures of compliance to safeguarding training. This is monitored by the Children & Adult Safeguarding Committee and support offered to services to achieve compliance if required.*

*Currently compliance of staff that requires training in the safeguarding of adults at risk is 86 % in total.*

*The Adult Safeguarding Team undertook an exploitation scoping exercise to gain an understanding of the knowledge and experience that staff have on the safeguarding subject of exploitation. Information gathered has been used to inform a discussion on this type of abuse by the Quality Group in September 2017. A paper, including recommendations was discussed with the Safeguarding Executive Committee and training needs were shared with the Learning & Development Sub Group.*

*A DoLS (Deprivation of Liberty Safeguard) has been undertaken. The aim of the audit was to assess staff compliance to this legal framework. Agreed actions / recommendations include guidance on completion of the required paperwork and further training.*

*SUHFT was inspected by the Care Quality Commission (CQC) during this reporting period. CQC have recommended that the Trust needs to work on and improve its training compliance across all levels of safeguarding training.*

*There has been one incident considered for a Safeguarding Adults Review (SAR) in the last year.*

## **Outcomes and Impact of Safeguarding Adults Activity**

*SUHFT staff raised 327 Adult safeguarding concerns during the reporting period April 2017 – December 2018. Highest type of abuse / harm reported was allegations of suspected neglect.*

*During the reporting period April 2017 – December 2018, 107 Safeguarding enquiries were raised against the organisation and responded to. Highest type of abuse / harm reported was allegations of suspected neglect.*

## **Key Successes**

*SUHFT key achievements:*

- *The development of a 2 year strategic safeguarding plan.*
- *Safeguarding Governance structure in place and operational.*
- *Adult Safeguarding Policy reviewed and updated.*
- *Improved guidance to managers as to how to support staff involved in an adult safeguarding enquiry (within the Adult Safeguarding Policy).*
- *Adult Safeguarding Policy now includes a safeguarding supervision framework and an offer of supervision is included within every adult safeguarding enquiry request.*
- *Support systems for staff involved in an adult safeguarding enquiry is now included within the policy. The team intend to continue to develop innovative ways to support SUHFT staff in the coming year.*
- *Adult Safeguarding Policy now provides guidance on the consideration of mental capacity when safeguarding an adult at risk.*
- *Review of staff understanding of exploitation / modern slavery in partnership with the Safeguarding Quality and Monitoring Sub Group.*
- *Compliance to all levels of safeguarding training, has improved over the last year.*
- *Audit of compliance to Deprivation of Liberty Framework has been undertaken.*
- *Job description template now includes standard adult and children safeguarding statement.*
- *Both the Safeguarding Adults and Safeguarding Children's Teams are working collaboratively to support all adults and children at risk.*
- *Both the adults and children's safeguarding teams have worked in partnership on the introduction of CP-IS (Child protection Information Sharing) across its unscheduled care services for Children's. SUHFT has also led on this project for the 3 Trusts within the STP. During 2018 – 2019 the teams intend to introduce CP-IS into maternity Services.*
- *Although still a low referral rate, SUHFT has seen an increase in Prevent referrals during the last year. SUHFT continue to work on promoting Prevent awareness within its services.*

## **Key Areas for Development**

*Areas for development over the next year include:*

- *To continue to improve on the Trust's compliance with training and supervision.*
- *To monitor the actions and recommendations made from safeguarding enquires.*
- *Continue to work on innovative ways to support staff in the safeguarding of adults at risk.*
- *To write a policy / guidance paper on the safeguarding of vulnerable individuals from cyber-crime.*
- *To develop staff support systems including information leaflets for staff and supervision / staff drop in support sessions.*
- *To continue to develop training and support systems for staff involved in the care and treatment of adults with learning disabilities.*
- *To further develop and strengthen patient support and advocacy, including improvement referrals to the IMCA (Independent Mental Capacity Advocacy Service).*
- *To work in partnership with safeguarding teams within the MSB group (Mid Essex, Southend and Basildon).*

*The following need to be considered by the safeguarding committee for the coming year:*

- *Safeguarding training compliance, although improved, is below the 95% target.*
- *Level 3 Prevent training compliance is below the 90% target.*
- *Partnership working of the 3 safeguarding teams within the MSB group.*

### **5.4.10 Southend Borough Council (Adult Services and Housing) (SBC)**

#### **Agency Context**

*It is the aim of Southend Borough Council to support all of our residents to have opportunities to thrive- to achieve their hopes and aspirations and experience a life free from abuse and risk of harm. The Department of Adult Services and Housing, in partnership with the other directorate areas within the Council, work collaboratively with residents and our partners to this end. The principle of wellbeing and coproduction is the golden thread that runs through our work. We aim to prevent, reduce and delay the impact of harm, working to keep the person and their family at the centre, using the principles of Making Safeguarding Personal. The Council is embarking on a journey of corporate and partnership transformation and has engaged in an extensive stakeholder engagement pathway - the result of which is the Southend 2050 plan of conversation, coproduction and work. Local people are central to our 2050 programme with its multiple outcomes designed to increase their safety and wellbeing. Our statutory safeguarding work will contribute to this work and be significantly enhanced through its collective outcomes focus. The strategic*

management of safeguarding within Adult Services and Housing is a shared responsibility for the different strands of safeguarding work across all three Heads of Service. The work is supported by the Interim Director of Adult Services and the Interim Director of Housing & Social Inclusion as well by the Deputy Chief Executive and the Chief Executive of the Council.

### **Safeguarding Adults Activity**

Competent social work practice is the bedrock on which to create an empowered community. The Council, led by our social worker and allied professionals workforce, continues to work with our partners on integrating our assessment and care provision on a locality based approach in line with our 2050 aspirations. Our locality multi-disciplinary meetings are attended by a host of Council, NHS and Trust professionals and third sector partners with the aim to support individuals to make informed decisions about their lives without having to tell their story repeatedly.

Student social workers are vital to the Council's vibrant workforce. The Council works proactively with the University of Essex (Southend), Anglia Ruskin University and the Open University to recruit students to undertake placements in Southend. We also offer opportunities for our more experienced staff to consolidate their learning and practice experience by undertaking specialist qualifications such as the Approved Mental Health Practitioner (AMHP), the Best Interest Assessor (BIA) and the Practice Educator course. Council Officers have also taught on a number of courses regarding social work, strengths' based community asset development and safeguarding at University of Essex and Anglia Ruskin University over the last year. For the internal workforce and external partners across the system, the Council commissions several courses throughout the year, to meet the needs of social workers, allied professionals, providers and partner agencies. The topics covered are:

Safeguarding Enquiry Skills, Intro to Safeguarding Adults, Mental Capacity Act, the Care Act 2014, Domestic Abuse/Stalking/Harassment and Forced Marriage, Cuckooing, Female Genital Mutilation, PREVENT and Modern Slavery.

Over the last year, Adult Services has been working collaboratively with Children's Services/Early Health & Family Support to proactively meet the needs of young people going through transition who may not have needs under the Care Act but require support to develop skills in preparation for adulthood.

Adult Services and Housing are working in partnership with various statutory agencies across Southend to contribute towards addressing the Violence and Vulnerability agenda.

The Council continues to work strongly with the Southend Clinical Commissioning Group (Southend CCG), Public Health and Essex Partnership University NHS Foundation Trust (EPUT) to deliver the Mental Health Strategy. This work unites the CCG, SBC and EPUT to work towards a locality-based approach which links with the South East Sustainability and Transformation Partnership (STP).

The Council is an engaged member of the Southend, Essex and Thurrock (SET) Domestic Abuse Board and is a core member of the SET Domestic Homicide Review Panel. We work proactively with statutory and third sector partners to ensure that practitioners are responsive and provide quality support and intervention to people when they are experiencing domestic abuse.

### **Key Successes & Outcomes and Impact of Safeguarding Adults Activity**

The Council, in connection with partners, has performed strongly in supporting people to address abuse occurring within their lives. At the conclusion of S42 Safeguarding Enquires, the Council can report that during 2018, the following conclusions were reported:

Period 2017/18	Concluded S42 enquiries
Risk Reduced	245
Risk Remained	35
Risk Removed	170

This indicator also provides reassurance of staff implementing “Making Safeguarding Personal” and the underlying principles to place the individual at the centre of all decision making.

It is key to understand that due to the familial relations and autonomy and choice, it is not possible to remove all risk as sometimes, with or without support, people have the mental capacity to choose to remain in a relationship of risk. Support from the local authority and partners are available if required in these circumstances but the tenants of Making Safeguarding Personal are fundamental.

The Council has performed strongly in supporting adults and families who are experiencing complex life situations that require interventions within a court arena.

During 2017/18, Adult Services introduced a new client database, transitioning from one system to an integrated system. The transition has gone well and the practitioners are acclimating. The benefits of this new system is that it will provide a more detailed strategic view of data, which will enable improved strategic planning, development around general case management with safeguarding embedded within mainstream practice. Through this new client database system, Adult Services is now linked across the platforms for Children’s Services and Early Help & Family Support.

In 2018, the Council introduced a new team manager post to support the provision of social work management for staff seconded into Essex Partnership University NHS Foundation Trust (EPUT). The team manager post supports the supervision of social workers but also assists the Council and EPUT in working in an aligned way within the locality approach agenda. The Council is an active and engaged partner in the Service Transformation Partnership (STP) of the acute and integrated agenda as well as from the perspective of mental health.

*Southend's Adult Social Care Transformation Programme aligns to our 2050 vision is changing our approach to practice. The re-design is a 'whole system transformational approach' to embed a preventative ethos and culture to ensure we adopt a strengths-based approach that focuses on individual abilities and community assets.*

*Adult Services has developed Integrated Locality Teams based on an approach of staff leadership and activation. The approach has shown success and our strength based training has created a new culture of improved understanding and trust amongst staff groups. The teams have identified the future vision of staff practice, which is strong on collaboration, proactivity and supporting individuals to draw on their own expertise and skills.*

*Adult Services has created a direct pathway between social work and primary care by positioning social workers within GP surgeries. This has improved inter-organisational understanding and delivery between Health and Social Care, which is a key driver for improving outcomes for the people of Southend.*

*Service Transformation introduced a Moderate Needs Multi-Disciplinary Team meeting bringing together a plethora of expertise. This integrated approach to community-based support has evidenced how partnership working has improved relationships between agencies, prevents hospital admissions and improves the quality of life and wellbeing for residents.*

*Adult Services has established a network of Community Hubs providing additional street level social work to support a preventative approach for our residents. The introduction of our interactive asset map identifies community based resources improving the accessibility of advice and information.*

*Work is continuing to develop projects alongside our local University and its Institute of Social Justice. The Transformative approach has influenced the development of the social work curriculum within both the undergraduate and postgraduate programmes.*

*Southend Borough Council is playing a key role in piloting the trailblazer phase of the Knowledge and Skills Statement (KSS) for Practice Supervisors. The Council is working with the Chief Social Workers' Office and the Skills of Care to help influence, shape and develop this programme before it is rolled out nationally as mandatory. This hothousing of practice supervisors concentrates on the provision of quality decision making and case direction and management. By enhancing the development of social work practice leaders and supervisors, the quality of provision of social work support towards people experiencing safeguarding issues and complex life presentations is even further enhanced through the development of competent practitioners and managers.*

*Adult Services and Housing has taken proactive leadership in introducing routine meetings across Directorate departments, bringing together senior managers to explore cross-over agendas and areas where we could work more preventatively or in closer collaboration when planning or delivering Council Services. These meetings contribute to the development and expansion from the feedback from residents and professionals garnered through the 2050 development conversations.*



*In 2018, the Adult Services launched an Approved & Supported Year in Employment (ASYE) Moderation Panel. This panel is made up of a number of qualified, experienced senior social workers/supervisors/ managers and representation from the University of Essex- Southend's School of Health & Social Care. The Workforce Commissioning Team is also members and take the learning into the provision and commissioning of training and continuous professional development. The Panel has been welcome by practitioners and managers and discussions are underway to role this process out to consider the ASYE Portfolios for Children's Services social workers as well.*

*Approved Mental Health Practitioner (AMHP) Hub: Southend Borough Council has the statutory responsibility to ensure that there are sufficient numbers of skilled social workers or nurses who are competent, trained and warranted to act as AMHPs to support the assessments of children or adults who are experiencing a mental health crisis. The Hub is hosted by Essex Partnership University NHS Foundation Trust and operates during business hours. The Hub provides advice to professionals across health and social care and coordinates and carries out assessments of people under the Mental health Act 1983. The Hub aims to try to consider solutions as an alternative to compulsory detention but will carry out such assessments if the presenting need of the person requires hospital treatment.*

*PREVENT: Adult Services and Housing continues to work collaboratively with our partner agencies on the PREVENT Board. A suitably qualified senior manager co-chairs the Channel Panel, which sits within the government framework for the management of exploitation of children and/or adults through radicalisation.*

*Multi Agency Risk Assessment Conference and Domestic Abuse (MARAC): Adult Services continues to take responsibilities to safeguarding people with care and support needs who are experiencing domestic abuse seriously. The Department are active members of the MARAT Steering Group and also field practitioners to engage in the MARAC meetings to aid and assist the delivery of multi-agency safety plans. Southend Borough Council is a proactive member of the SET Domestic Abuse Board approach and takes part as appropriate in statutory Domestic Homicide Reviews.*

*Modern Slavery: The Council has endeavoured to collaborate across the corporate landscape to produce a Modern Slavery Statement, which has now been published. This work, at a Council-wide level, is now being incorporated into the Violence and Vulnerability agenda and is influencing the development of further partnership focused training and plans.*

*Practice Unit: Southend Borough Council launched the Practice Unit on 28 Jan 2019. The Department for People have invested in a Practice Unit to provide support and challenge to social work and social care practitioners and managers so that the lived experience of children, adults and families is consistently improved by our intervention. The Unit will lead the support programme for ASYE and from April 2019 and will be delivering a leading for excellence programme to all team managers within adult and children's services. The Unit is leading the development, and implementation, of a model of supervision to improve this area of practice. The Unit will work with services to develop more shared opportunities for professional development which will support the Transforming Together programme and reduce*

*silo working.*

### **Key Areas for Development**

*Violence and vulnerability: Adult Services and Housing is a key leading member of the violence and vulnerability multi-agency partnership. Within Adult Services, we are working collaboratively with colleagues in Children's Services & Early Help and Family Support to scope the agenda and constantly review whether the provision of social work support is meeting the needs of the population. We will continue to proactively engage in a leadership role within this agenda and use the information to shape and scope our delivery objects and links to the 2050 conversations and work streams. We will continue to work within our ADASS connections and safeguarding partnerships to ensure that as the national agenda develops, the Council plays a proactive and engaged role in designing practice.*

*Southend Borough Council will work collaboratively with partners and the SAB over the next year to ensure that proactive conversations are occurring within care homes, day services and provider settings with families who are visiting or supporting people with complex and/or end of life needs. The conversations will assist people in attaining bereavement, grief and community involvement services as we acknowledge and recognise that caring for a loved one can be emotionally complicated.*

*Over the next year, the Adult Services will continue to proactively engage with the work of the SAB and scan the horizon for developments and innovations in preventative and safeguarding practice.*

## **5.5 Safeguarding Adults Board – Self-Assessment**

The Safeguarding Adults Board recognises the benefits from Partners Inspection and Audit and is aware that its own functions have not been reviewed in the same way (with input from stakeholders and independent scrutiny) for a number of years. In order to gain the same insight into its own working and performance it has completed a self-assessment and will open the outcomes of that to independent scrutiny.

The Board Self-Assessment Tool was designed to allow board members to review the Board's performance against its strategic plan and key roles and responsibilities set out in the Care Act 2014 and statutory guidance. The tool reviewed collective and individual agency participation and was designed to produce the following benefits and opportunities:

- develop board priorities
- determine areas that require improvement or highlight best practice
- improve the understanding of partner agency expectations
- improve accountability

- allocate resources

The responses to the self-assessment were received only one day before this document is to be finalised and so only the numerical scores and a few examples of the commentary is included in this annual review (see Appendix 4).

## **SECTION 6 – Conclusions and what the Board will be working on in 2019-2020**

This report describes the significant changes in the provision of resources and the introduction of an agreed strategy and work plan. The increased emphasis on 'Adults Safeguarding', that the inclusion of a Manager for the SAB has generated, has led to greater engagement from Partners and new work streams. (e.g. new policy, website review, prevention emphasis etc.).

SAB is engaging with Partners well and the development of governance (including strategy, policy and procedures) is managed in a collaborative way that adds value and improves services for service users.

The further development of intelligence will be key to the progression of the Safeguarding agenda and partnership working over the next year. With appropriate evidence the 'Prevention' agenda can further develop and the SAB should encourage more shared thinking and working in this arena.

Outcomes from the SAB self-assessment have provided evidence of the success of the Board and the administration and governance of the arrangements; and opportunity to refresh the Strategy and work plan over the next year.

Over the next year the following areas of development have been identified:

- Review and renew Strategic Plan and Work-plan
  - Outcomes from Partner and Board Self-Assessment and data collected and presented in the Dashboard will lead the discussion and outcomes
- Consider combination of Performance and Audit Quality and Review sub-groups
- Review SAR's from SAR Library
- Review and monitor Partner agency inspection and audits
- Renew focus on Prevention – offer assurance that prevention activity is appropriate, sustainable and is achieving appropriate outcomes
- Consider and react to changes in LSCB governance as a result of the Working Together Document 2018
- Work alongside (improving the functional working relationship)
  - LSCB
  - Violence and Violence Group

- Health & Wellbeing Board
- CSP and CAG
- SET Group
- Regional and National SAB Groups (Managers and Independent Chairs)
- Maintain a horizon scanning function that brings matters to the attention of the SAB in a timely and appropriate manner (National, Regional and Sector led initiatives and agendas).
- Review Performance Dashboard to ensure information leads improvement
- Target audit activity led by outcomes and trends visible in the Performance Dashboard, national, local and sector agendas

DRAFT

## SECTION 7 - APPENDICES

### Appendix 1 – Meeting Tracker

Board membership and attendance October 2016 – end September 2017 (nominated representative or substitute)

Organisation	Rep. Name	Position	Secure Email	Designation	Tue 30.01.18	Wed 23.05.18	Tue 18.09.18	Mon 10.12.18 (was 06.11)
Community Rehab Co.	Alex Osler		YES	1. CORE	Y	Y	Y	Y
SAVS	Anthony Quinn		NO	1. CORE	APOLS	Y	Y	Y
Southend Borough Council	Clr Tony Cox (Was Cllr LS)	Executive Councillor for Adults and Housing.	INT	1. CORE	Y	APOLS	APOLS	APOLS
Southend Secondary Care (SUHFT)	Denise Townsend (Paul Hodson is Denises Sub)		NO	1. CORE	Y (PH)	Y (PH)	APOLS	Y
Essex PCC	Greg Myddelton		YES	1. CORE				
Healthwatch Southend	Janet Symmonds		NO	1. CORE	Y	APOLS		
Southend SAB	Liz Chidgey	Chair	INT	1. CORE	Y	Y	Y	Y
SBC Adult Safeguarding	Sarah Range		INT	1. CORE	Y	Y	APOLS	Y
SBC Adult Social Care	Sharon Houlden		INT	1. CORE	APOLS			Y
SBC Dept. for People	Simon Leftley	Vice Chair	INT	1. CORE	APOLS	Y	APOLS	Y
Clinical Commissioning Group	Tricia D'Orsi	Chief Nurse	YES	1. CORE		Y (AU)	Y (SC)	Y
Essex Police	Elliott Judge	CAIT (?) – Essex Police	YES	1. CORE	Y (TB)	Y	Y	Y
SBC Legal	Dorothy Simon		YES	2. FOR INFO	APOLS		APOLS	APOLS
Southend CCG	Hayley Waggon	PA for Tricia D'Orsi and Sharon Connell	YES	2. FOR INFO				
NHS England	Gabby Irwin			2. FOR INFO	APOLS			
SUHFT	Hannah Copley	PA to Denise Townsend	YES	2. FOR INFO				Y (PH)
Essex Police	Julie Wilson (M-W) /	Essex Police Secretaries	YES	2. FOR INFO				
SBC Trading Standards	David Baxter?			3. EXTENDED				
SBC Public Health	Erin Brennan-Douglas		INT	3. EXTENDED		Y	Y	Y
SBC Drug and Alcohol Team	Jamie Pennycott		INT	3. EXTENDED				APOLS
Essex Fire & Rescue	Karen Soanes		NO	3. EXTENDED	APOLS			
East of England Ambulance Service	Lisa Fautley		NO	3. EXTENDED	Y (CS)			
CQC	Lo-Anne Lewis		NO	3. EXTENDED	APOLS			
National Probation Service	Sam Brenkley		YES	3. EXTENDED		Y (EC)		
Southend Community Safety P'ship	Simon Ford		INT	3. EXTENDED		Y	Y	Y
Southend Airport Border Force	Sonia Price-Barron		YES	3. EXTENDED	APOLS			
CRC	Shirley Kennerson			3. EXTENDED	Y	APOLS	Y	Y
EPUT	Tendayi Musundire	Head of Safeguarding for Mental Health	YES	3. EXTENDED	Y (ET)			Y
South Essex Homes	Anita McGinley (was Traci Dixon)		INT	3. EXTENDED	Y			Y
SBC	Fiona Abbott		YES	4. TEAM	Y	Y	Y	Y
Southend LSCB & SAB	Liz Chidgey	LSCB & SAB	N/A	4. TEAM				Y
Southend LSCB & SAB	Paul Hill	LSCB & SAB	N/A	4. TEAM	Y (HC)	Y (SW)	Y	Y
Southend LSCB & SAB	Sue Rollason	LSCB & SAB	N/A	4. TEAM				Y
Southend LSCB & SAB	Christie Tucker	LSCB & SAB	N/A	4. TEAM				
Southend LSCB & SAB	Madeleine Exley	LSCB & SAB	N/A	4. TEAM				
SBC Housing	Glyn Halksworth	Group manager Housing & Social Inclusion		5. GUEST				
SBC	John Dunworth	Community Safety Consultant		5. GUEST				
SBC Chief Exec	Ali Griffin			5. GUEST			Y	
SBC	Jodi Thompson			5. GUEST				Y

**Appendix 2 – Safeguarding Adults Board Actuals & Projections  
2018/19**

	<b>Expenditure Area</b>	<b>£</b>
Expenditure	Salaries	33,539.91
	Recharged Salaries	11,745.03
	Professional Fees - E J C ASSOCIATES (Elizabeth Chidgey)	22,893.60
	Consultancy - Strategic Arc (Sanna Westwood/Craig Derry)	31,598.55
	Web Design - Danny Baker	350.00
	Recruitment	950.00
	Security	7.00
	Car Allowances	153.00
	Travel Expenses	36.00
	Advertising	1,500.00
	Training fees	1,000.00
	IT	2,750.00
	Catering/Hospitality	500.00
	Equipment	7.00
	Room Hire	0.00
	Printing & Stationary	5,000.00
	<b>Total Expenditure</b>	<b>112,030.09</b>

	<b>Income</b>	<b>£</b>
Income	NHS Southend CCG	-28,809.00
	Essex Police	-28,809.00
	Southend Borough Council	-53,210.00
	Other	0.00
	<b>Total Income</b>	<b>-110,828.00</b>

**Outcome: 1,202.09**

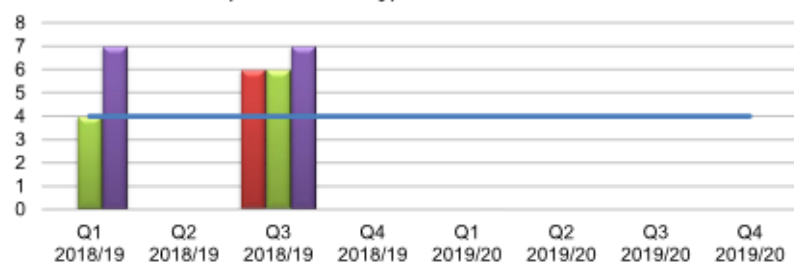
## DRAFT Southend SAB Performance Dashboard - Tier 2 - Q3 2018/19

**Introduction:** This dashboard has been developed to provide the Southend Safeguarding Adults Board with an overview of key factors impacting on the effectiveness of the Southend safeguarding adults system. It provides a degree of alignment with the Essex Safeguarding Adults Dashboard for the purpose of comparison (Measures marked with an asterisk.)

**Note:** If you are viewing the dashboard on a laptop or PC in Excel, we recommend you ensure you are viewing it in 'Page Layout' view.

**Context:** Provides the SAB with an overview of high level contextual measures and volumes of activity in specific areas of the local safeguarding system.

### 1.1 LeDeR Reviews (Southend only)

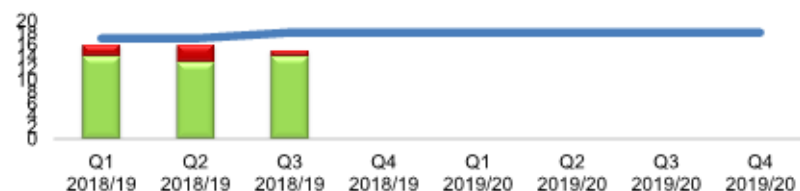


#### 1.1 Commentary:

All except 1 of the cases in progress/awaiting assignment to a reviewer, relates to an adult. As of 15 August, Southend has 12 LeDeR cases: 6 awaiting allocation and 6 allocated.

- LeDeR: Reviews completed in the quarter (CCG)
- LeDeR: Reviews in progress at end of quarter (CCG)
- LeDeR: Cases awaiting to be assigned to a reviewer at the end of the quarter (CCG)
- LeDeR: Reviews completed to date

### 1.2 CQC rating of Domiciliary care providers (Snapshot)\* - To be replaced by PAMMS data (Provider Assessment & Market Management Solution, ADASS)

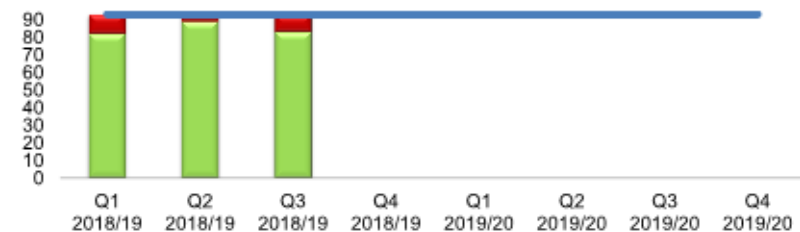


#### 1.2 Commentary:

Q2 - One provider is currently unrated.  
Q3 - The Contracts Team continues to monitor and support those Providers who have a CQC rating of Requires Improvement or Inadequate in order to enable them to address the shortfalls as quickly and efficiently as possible.

- Inadequate/Needs improving
- Good/Outstanding
- Total Providers

### 1.3 CQC rating of Residential care providers (Snapshot)\* - To be replaced by PAMMS data (Provider Assessment & Market Management Solution, ADASS)



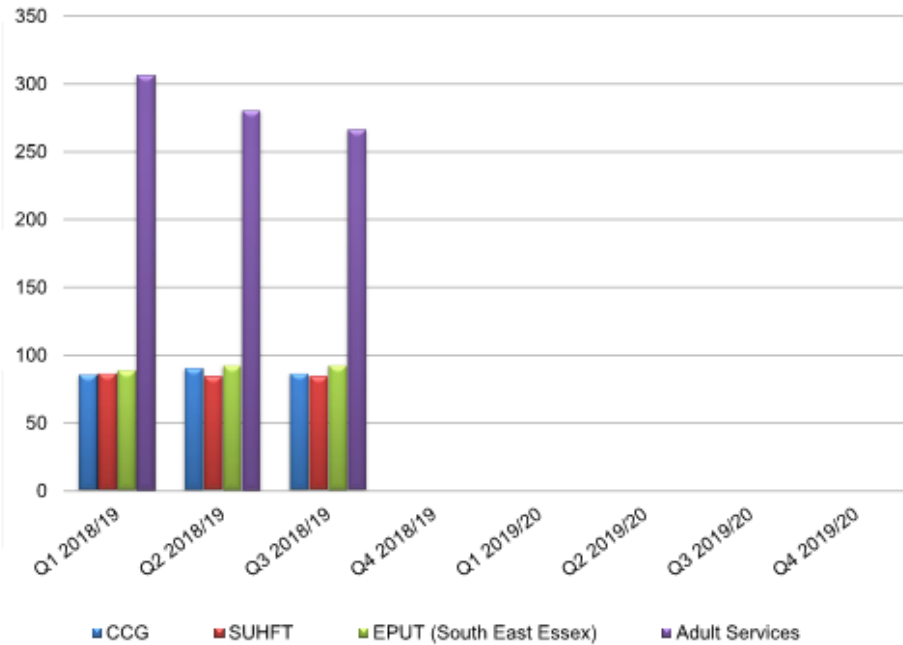
#### 1.3 Commentary:

Q3 - The Contracts Team continues to monitor and support those Providers who have a CQC rating of Requires Improvement or Inadequate in order to enable them to address the shortfalls as quickly and efficiently as possible.

- Inadequate/Needs improving
- Good/Outstanding
- Total Providers

Context (Continued)

1.4 Training: % of all staff who have attended safeguarding adult training relevant to their role and in line with SAB guidance



**1.4 Commentary:**

Late addition to dashboard: Data requested from SUHFT, LA and Essex Police.

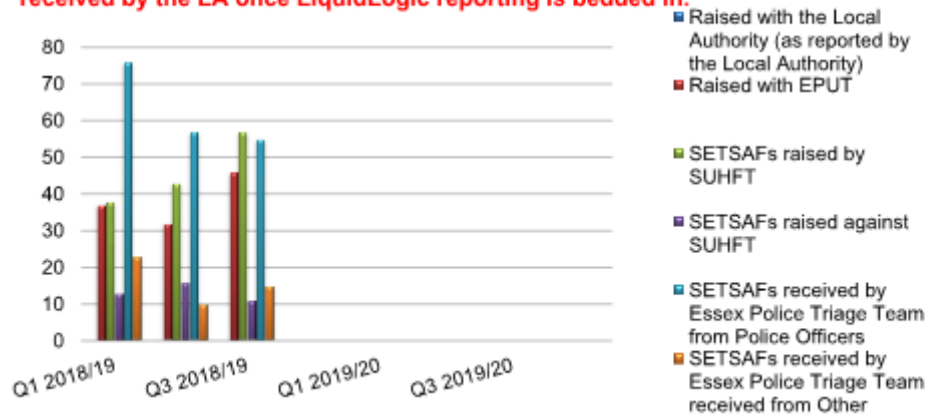
**SBC:** Data would need to be collated manually. Agresso is in the final process of being developed to capture all staff training and development records and will be ready for testing in October.

**Essex Police:** Percentage data cannot be calculated. Year to date: 84 officers have completed PPA, 21 have completed DA (JUNO), and 67 probationers have undergone safeguarding vulnerable adults training. All these courses cover safeguarding vulnerable adults. Total for the 3 months is 172.



Domain 2: Front doors

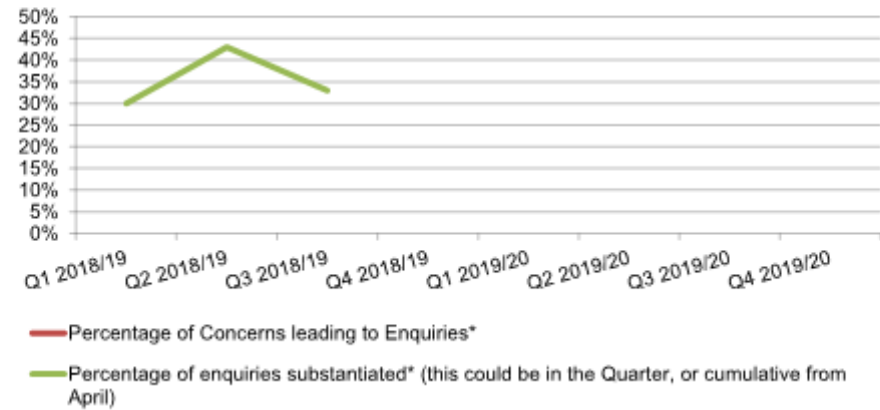
**2.1. Number of concerns raised - To be replaced by breakdon of SETSAFs received by the LA once LiquidLogic reporting is bedded in.**



**2.1 Commentary:**

**Essex Police:** The recording process for the adult triage changed in June 2018 to assist with internal performance management, so the total figure shows as higher than previous months in terms of SETSAF's received. Not all SETSAF's are routed through adult triage, with some officers submitting direct to social care. This is an ongoing internal educational issue being addressed through inputs on probationer training, DC, DS and DI training.

**2.2. Enquiries: concerns that became safeguarding enquiries**



**2.2 Commentary:**

*It is anticipated data will be available by the end of Quarter 2, however this is subject to the successful completion of the migration of Adult Services data to LiquidLogic.*

**2.3. Number of rerrals made for FGM YTD:**

0

**2.3 Commentary:**

Domain 2: Front doors (continued)

2.4. Breakdown of SETSAFs received by Essex Police



	Q1 2018/19	Q2 2018/19	Q3 2018/19	Q4 2018/19	Q1 2019/20	Q2 2019/20	Q3 2019/20	Q4 2019/20
N/A	0	0						
Hoarding	0	0						
Self Neglect	2	0						
Mental Health	11	2						
Neglect	1	0						
Non Crime - concern	0	2						
Death	0	0						
Cuckooing	2	0						
Offence - Rape	0	2						
Offence - Theft	2	3						
Offence - Sexual Assault	0	1						
Offence - Fraud	0	2						
Offence - Cuckooing	0	0						

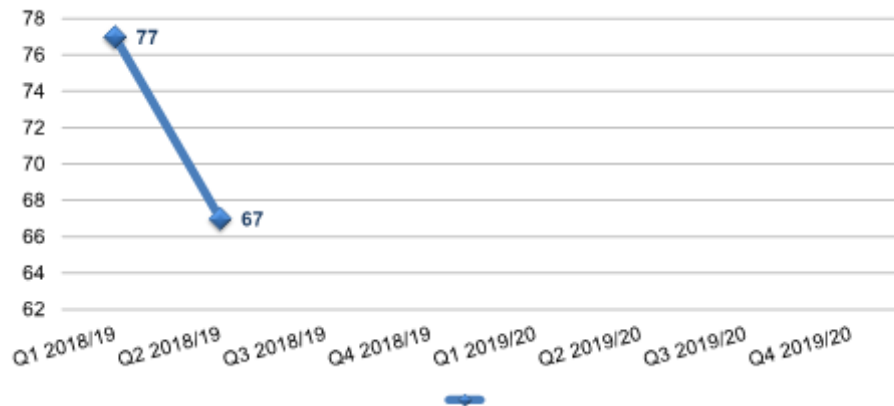
2.4 Commentary:

No identified patterns or trends in numbers or concerns for Southend. Ref comments for Chart 2.1.

Domain 3: Adult protection

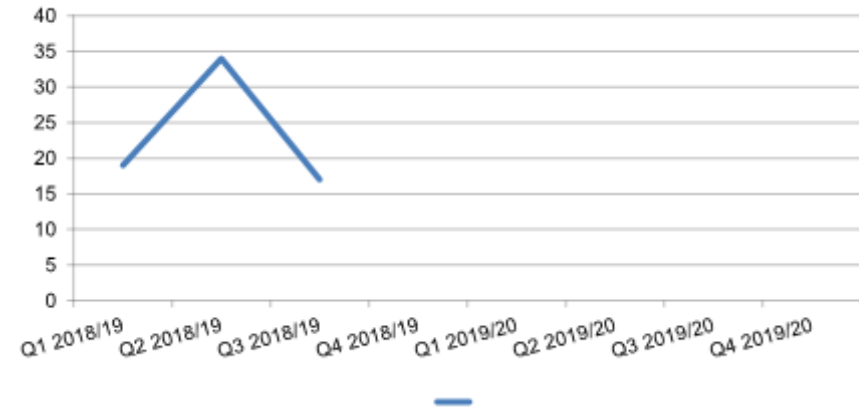
It is anticipated data on adult protection will be available by the end of Quarter 2. This is subject to the successful completion of the migration of adult services data to LiquidLogic.

3.1. Number of referrals: Essex Police



Commentary:

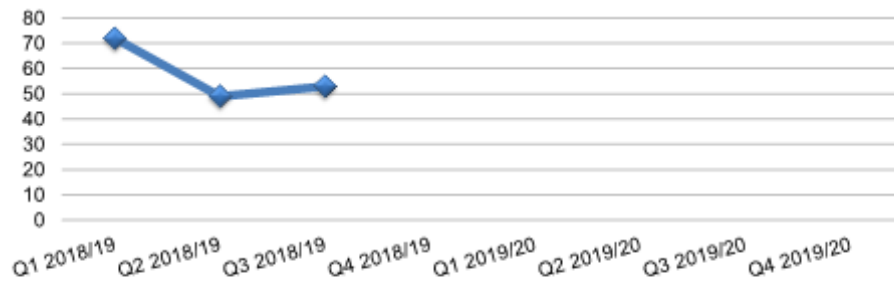
3.2. Enquiries open for more than 3 months



Commentary:

It is anticipated data will be available by the end of Quarter 2, however this is subject to the successful completion of the migration of Adult Services data to LiquidLogic.

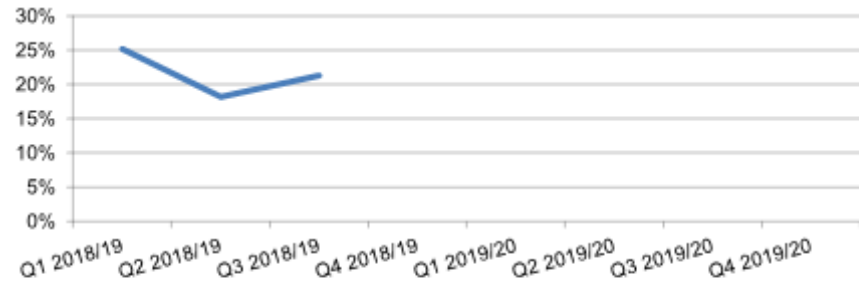
3.3. Repeat Safeguarding Enquiries within 12mths



Commentary:

It is anticipated data will be available by the end of Quarter 2, however this is subject to the successful completion of the migration of Adult Services data to LiquidLogic.

3.4. Repeat Safeguarding Enquiries within 12mths as a percentage



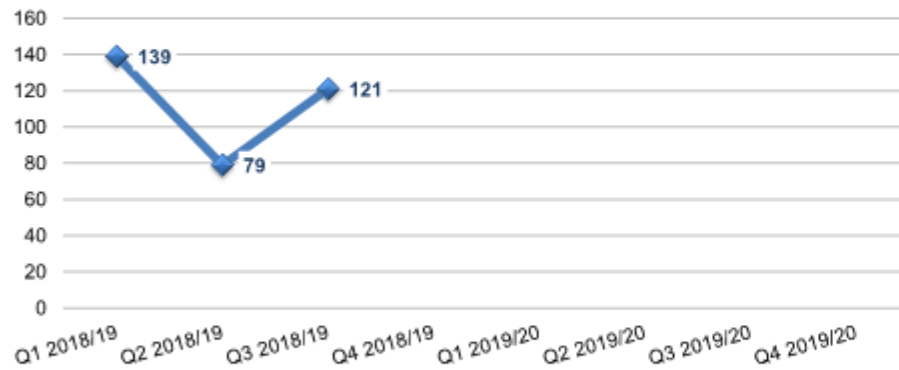
Commentary:

It is anticipated data will be available by the end of Quarter 2, however this is subject to the successful completion of the migration of Adult Services data to LiquidLogic.

**Domain 3: Adult protection (Continued)**

*It is anticipated data on adult protection will be available by the end of Quarter 2. This is subject to the successful completion of the migration of adult services data to LiquidLogic.*

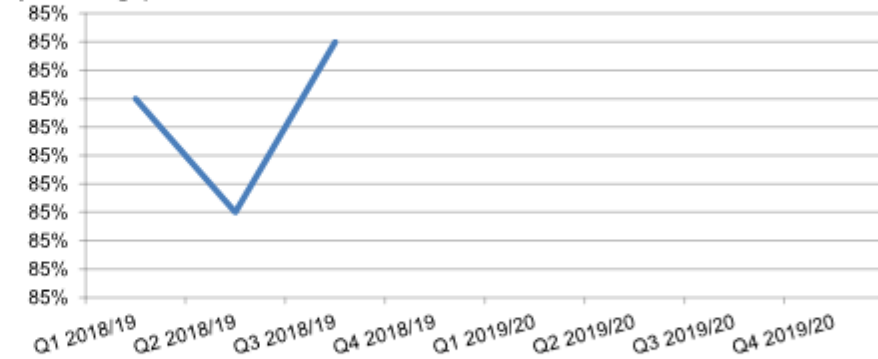
**3.5. Number of safeguarding enquiries closed**



**Commentary:**

*It is anticipated data will be available by the end of Quarter 2, however this is subject to the successful completion of the migration of Adult Services data to LiquidLogic.*

**3.6. Enquiries closed where the client is satisfied with the outcome (as a percentage)**



**Commentary:**

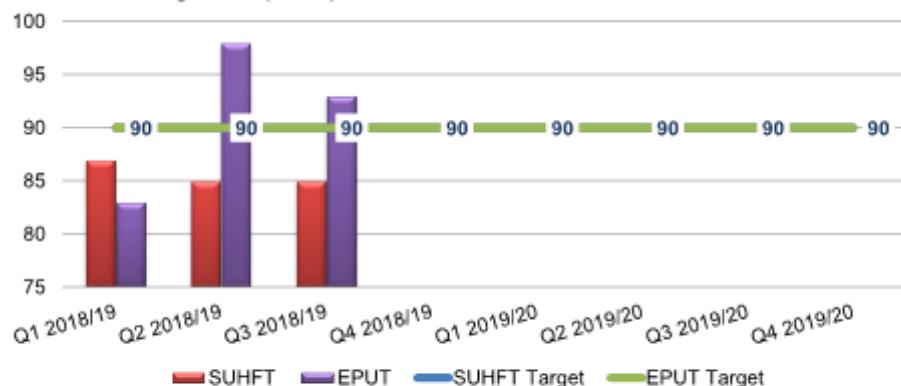
*It is anticipated data will be available by the end of Quarter 2, however this is subject to the successful completion of the migration of Adult Services data to LiquidLogic.*



Domain 4: MCA & DoLS

4.1. MCA & DoLS training

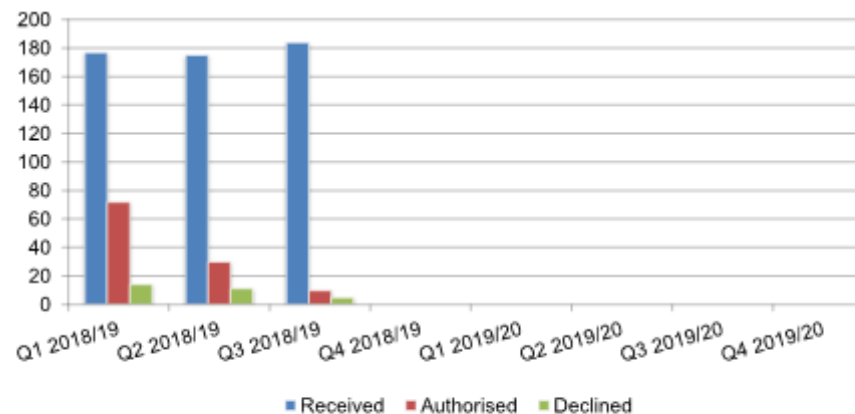
Percentage of all staff who have attended safeguarding adult MCA training relevant to their role and in line with LSAB guidance (Health)



Commentary:

**Targets:** For SUHFT and EPUT are both 90%.  
**SBC:** See comments for Chart 1.4.

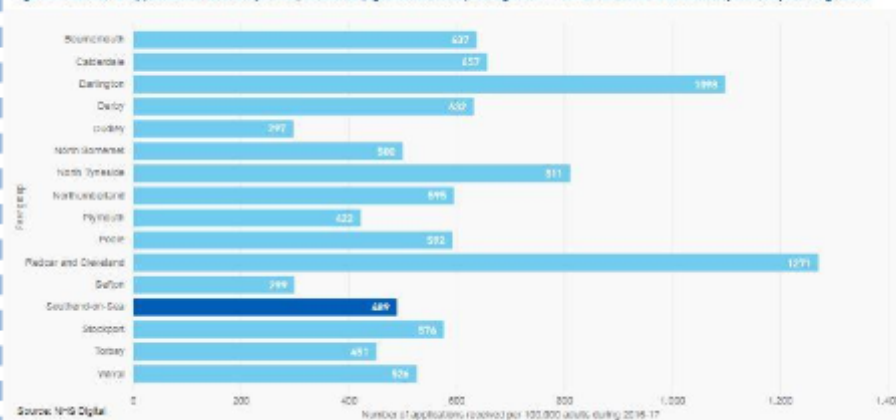
4.2. Deprivation of Liberty Authorisation Requests



Commentary:

*It is anticipated data will be available by the end of Quarter 2, however this is subject to the successful completion of the migration of Adult Services data to LiquidLogic.*

Figure 5: Number of applications received per 100,000 adults (age standardised) during 2018-17 for the selected local authority and its peer neighbours



## Appendix 4 – Southend Adults Safeguarding Board Self-Assessment

The tool is split into three sections

1. Statutory duties set out in the Care Act 2014
2. Statutory Guidance key roles and responsibilities
3. Enablers of board effectiveness

The outcomes of the self- assessment will be collated by the SAB Manager and provided anonymously to the SAB for discussion, alternatively the self-assessment could be completed collectively in small groups facilitated by an external assessor with overall findings discussed as a whole board. Each statement should be attributed one of the following ratings.

- 1 = poor
- 2 = adequate
- 3 = good
- 4 = outstanding

This summary includes the:

- Mode – Score that appears most (the closes whole number)
- Mean – Average Score (the closes whole number)
- Range – Difference between lowest and highest score (the closes whole number)

Not all organisations were able to complete the assessment as their representative had recently changed and they did not think that they were able to offer an objective view of the performance of the Board.

7 Partners completed the Self-Assessment.

<b>Self-Assessment Outcomes (Score) – Set Against Specific Duties</b>		<b>Mode</b> (Score appearing most frequently)	<b>Mean</b> (Average score)	<b>Range</b> (Difference between high and low score)
<b>Statutory Duties set out in the Care Act 2014</b>				
Strategic Plan	To publish a strategic plan for each financial year that sets how it will meet its main objective, and what the members will do to achieve this.	3	3.1	2
	The plan must be developed with local community involvement; the SAB must consult the local Healthwatch organisation.	4	3.1	2
	The plan should be evidence based and make use of all available evidence and intelligence from partners to form and develop its plan.	3	2.9	2
Annual Report	To publish an annual report detailing what the SAB has done during the year to achieve its main objective and implement its strategic plan, and what each member has done to implement the strategy as well as detailing the findings of any safeguarding adult reviews and subsequent action.	3	2.7	2
SARs	To arrange safeguarding adults review in accordance with Section 44 of the Act.	3	2.9	3
<b>Statutory Guidance Key Roles and Responsibilities</b>				
	Identify the role, responsibility, authority and accountability with regard to the action each agency and professional group should take to ensure the protection of adults.	3	3	2
	Establish ways of analysing and interrogating data on safeguarding notifications that increase the SAB's understanding of prevalence of abuse and neglect locally that builds up a picture over time.	3	2.6	2
	Establish how it will hold partners to account and gain assurance of the effectiveness of their arrangements.	3	2.7	2
	Determine its arrangements for peer review and self-audit.	3	2.7	3
	Establish mechanisms for developing policies and strategies for protecting adults which should be formulated, not only in collaboration and consultation with all relevant agencies but also take account of the views of adults who have needs for care and support, their families, advocates and carer representatives.	3	2.8	3
	Develop preventative strategies that aim to reduce instances of abuse and neglect in its area.	3	2.8	1
	Identify types of circumstances giving grounds for concern and when they should be considered as a referral to the local authority as an enquiry.	3	3.3	1

	Formulate guidance about the arrangements for managing adult safeguarding, and dealing with complaints, grievances and professional and administrative malpractice in relation to safeguarding adults.	3	3.2	1
	Develop strategies to deal with the impact of issues of race, ethnicity, religion, gender, gender orientation, sexual orientation, age, disadvantage and disability on abuse and neglect.	3	2.6	3
	Balance the requirements of confidentiality with the consideration that to protect adults, it may be necessary to share information on a 'need-to-know basis'.	3	3.1	2
	Identify mechanisms for monitoring and reviewing the implementation and impact of policy and training.	3	2.7	2
	Carry out safeguarding adult reviews and determine any publication arrangements.	3	3.3	1
	Evidence how SAB members have challenged one another and held other boards to account	3	3.2	1
	Promote multi-agency training and consider any specialist training that may be required. Consider any scope to jointly commission some training with other partnerships, such as the Community Safety Partnership	3	2.9	2
<b>Enablers of Board Effectiveness</b>				
Aim and Vision	All board members have a clear understanding of the purpose and aim of the SAB.	3/4	3.3	2
Members	All members of the SAB have the requisite skills and experience necessary for the SAB to act effectively and efficiently to safeguard adults in its area.	4	3.1	2
	SAB Membership covers the full range of stakeholders and expertise required for an effective SAB.	3	3	2
	SAB members from core partner agencies attend every meeting, including Thurrock Council, Thurrock CCG and Essex Police	3	3.1	2
Attendance	If a Board member cannot attend, a nominated deputy may attend in their place, but may not do so for more than two consecutive meetings without review of the representative nominated by the member organisation.	3	2.8	1
Risk	Board members contribute to the development and ongoing review of the TSAB risk register, including mitigating actions and agreeing which direct action to take.	3	3	2
Finance	Board members regularly monitor the TSAB budget, resource allocation discuss potential projects.	2/2.5	3	2
Leadership	Board members actively raise the profile of the board and its role.	3	3	2
	The Leadership Executive Group clearly articulate the role of board members, encourage	3	2.4	3



	active discussion by all board members, encouraging full participation in strategic planning, board development opportunities, and individual agency ownership of tasks.			
	The Independent Chair is proactive in raising the profile of the SAB with professional stakeholders and the community.	4	3.4	2

## Examples of Commentary by Partners

### Aim and Vision

- *Yes, I have a clear understanding of the purpose and aims of the SAB*
- *The ## has a clear understanding of the purpose and aim of the SAB and supports its function at all levels.*
- *Work has been completed to establish the membership of the Board and its sub-groups. The governance structure is clear, including how information reaches the Board. An agreed multi-agency strategic board plan and risk assessment is in place. The Chair ensures all partners are clear on the purpose and aim of the Board and this is also included within the Business Plan.*

### Attendance, Skills and Experience of Members

- *I have the skills..... and authority to commit resources, provide assurance and contribute to the board's decision making.*
- *Despite a willingness to attend meetings... due to previous commitments and staff shortages this hasn't always been possible*
- *I believe partners are committed to attend but I know from my agency's perspective, there are often clashes with other strategic meetings*
- *SAB core members have representation at every meeting. The CCG is fully integrated into the work of the SAB.*
- *Difficulties with attendance – it would be useful to have a dial in with video conference facilities*

### Range of membership

- *Yes, as key agencies and the voluntary sector are represented.*
- *The Core membership appears appropriate and the Exec Terms of Reference states that Extended group membership may be required for specific task and finish groups, which seems to cover all possible bases*
- *The level of membership is appropriate for the SAB to be effective.*
- *The range of stakeholders on the SAB is sufficient The range of stakeholders and attendance to the sub groups is variable and there are no chairs for the Performance and AQA sub groups which is likely to impact on the effectiveness of the SAB.*

### Leadership

- *We work closely with the Safeguarding Board and direct other agencies to it for specialist information and support when necessary*

- [Independent Chair raising profile of Safeguarding] - *In our dealings with the Independent chair we have found this to be the case*
- *I think the current chair is a very strong advocate for the board*
- *Partners are involved in planning and development processes which are important to ensure commitment to change and learning.*
- *Tasks are generally clearly identified and the use of action logs ensures timescales and who is responsible for key tasks is apparent.*

#### Budget

- *The board regularly reviews the budget.*
- *Yes – although there feels to be little scope to influence spend*

#### Strategic Plan and Reports

- *This year the plan was completed following a full strategic review, and seeks to evidence the voice of adults through assurance processes.*
- *All members are asked to contribute to the Annual Report by giving a specific account of their agency's safeguarding context, outcomes and successes.*
- *The strategic plan appears clear in its actions and how the Board, Exec and sub-groups will assist in achieving these.*
- *I am less clear on how our team feeds in to any of these groups to assist achievement against the plan.*
- *I think this is well laid out in the Strategic Plan*
- *The annual report does comment on achievements made during the year. Not sure it comments specifically on the 3 statutory agencies achievements though*
- *The plan sets out how the SAB interlinks with other statutory and voluntary organisations*
- *# in collaboration with our partners is leading the movement towards a locality based approach for engagement with the community, support at a preventative stage and intervention from the perspective of Making Safeguarding Personal.*

#### Data and Statistics:

- *Is there a way to strengthen the use of 'intelligence', so members are clear about the information that is helpful to share?*
- *I think that the data sets presented to the board are still developing, but yes, we have a local picture that is helpful.*
- *I am not clear how our team feeds data into this process*
- *The performance dashboard and quality assurance needs to be further developed.*
- *Following the restructure progress is being made to revise the performance dashboard so that data collected reflects the Board's priorities and can evidence impact and outcomes. This is an area of development.*
- *The board shows an in depth understanding of issues affecting the area*
- *the information sharing agreements in place are comprehensive and enable appropriate proportionate information sharing*

- *The development of a dashboard of performance indicators for the effective monitoring at a strategic level of meaningful safeguarding data has been difficult for the Board.*

### Risk

- *Yes – structures exist which provide opportunities to contribute for all agencies.*
- *Clear guidance is available on the SAB website for the completion of risk assessment and risk management plan.*
- *The risk register has been reviewed and revised this year.*

### Holding Partners to Account:

- *Yes – recent accountability in relation to the ##### inspection is an example of this.*
- *I suspect I could be held to account over the effectiveness of our arrangements with our commissioned services, but I am not clear on what the process would be for establishing this.*
- *We are aware of actions and responsibilities that we have in regard to Safeguarding*
- *I think individual agencies are clear with regards what is expected of their organisation. I am not so sure that all agencies are clear with regards each other's responsibilities.*
- *Yes, processes in place*

### Peer Review and Self Audit:

- *There is a framework and robust internal audit arrangements.*
- *We do not yet complete a self-audit but would be happy to receive guidance on what is required.*
- *Not sure how this happens*

### Developing Policies and Strategies

- *I value the collaboration across SET for the development of the safeguarding adult guidelines, so all teams can work to the same policy set.*
- *As far as I am aware the Board has not worked directly with any of our providers to develop their policies and strategies*
- *Key policy development is generally formulated on a SET wide basis. Many professionals have to work across different organisational boundaries therefore it is important that this approach continues wherever possible. It is not clear how the views of service users are taken into account.*

### Prevention

- *The Board does not have a prevention strategy in itself – although to some extent this is was the strategic plan is. We might want to consider a prevention 'statement' as an opener to the strategy in future in the way that Havering LA have done.*

- *In addition the Southend combined boards (LSCB, SAB, HWB, CSP) work on their violence and vulnerability plan is an excellent example of preventative work, as well as responsive work.*
- *The Board has input to the development of strategy to prevent the abuse and neglect of adults and receives reports on the effectiveness of the service. The Chair of the SAB is a member of the Health & Wellbeing Board and acts a 'critical friend'.*
- *Prevention is a key strand of the work the board undertakes and is clearly listed in the strategic plan*

#### Minority Agenda

- *All reports have regard to diversity – always more to do on this area*
- *Adults with disabilities is included an SAB priority including the LeDeR Programme. It is less evident how other issues are strategically addressed.*
- *Valuing diversity is a central tenant of all the work of the SAB.*

#### Grounds for Concern / Enquiry

- *Yes – the safeguarding adults guidance is very clear.*
- *The SET Guidance is well-known among our local services and the Safeguarding Southend website provides some quick and easy guides for when to refer etc.*
- *SET Adult Safeguarding Guidelines identify types of circumstances giving grounds for concern and when they should be considered as a referral to the local authority as an enquiry. This is reflected in the information on the SAB website*
- *Working with the board the thresholds to trigger referrals are clear and the # work closely with partners to safeguard adults*

#### Management Guidance

- *Yes, this is covered in the safeguarding adult's guidance.*
- *The Safeguarding Southend website provides a wealth of useful links to relevant information*

#### Confidentiality

- *I think that all agencies are well sighted on the issues underpinning information sharing arrangements, including consent; when consent can be overridden, and information on a 'need to know' basis. I have no recent concerns or examples of where board members behaviour is inappropriate in relation to this.*

#### Safeguarding Adult Reviews

- *I think that the board takes these responsibilities seriously, taking into account the importance of transparency and openness about the findings/learning; alongside the need to preserve the identification and privacy of families.*
- *I have had no involvement in, or knowledge of SARs being conducted. [there have been none]*

- *Arrangements are in place*
- *The board can demonstrate its approach to reviews and this is also detailed within a SAR policy.*

### Partner Challenge

- *During the last year, I have observed challenge of the CCG regarding staffing levels in the NHS, and winter crisis contingency arrangements. I have observed both support and challenge regarding inspection findings (JTAI, CRC's HMIP, LA's Ofsted). I have observed challenge regarding the need for agencies to provide performance data.*
- *I think partners do challenge each other effectively to promote good practice and greater understanding*
- *Board members challenge each other as 'critical friends' e.g. NHSE and Police Commissioners provided assurance to the LSCB Executive in respect of SARC forensic examinations carried by Nurse Forensic Examiners. There is external challenge through the Joint LSCB & SAB Scrutiny Panel.*
- *The SAB has direct relationships with the Community Safety Partnership, Safeguarding Adult Board, Health & Well-being Board and SET Domestic Abuse Strategic Board.*
- *The Chair seeks objective views from all partners and this is reflected in constructive challenge. Members are asked to discuss any barriers to effective safeguarding practice as a matter of course at Board meetings. Challenge of practice between partners and on-going casework auditing is in place and used to identify where improvements can be made in front-line performance and management oversight*

### Training

- *I think that all board members agree, and promote multi-agency training as a critical component of all our training plans; and the board as a whole recognises and promotes the importance of training.*
- *I am aware of training and awareness raising opportunities that have been provided, which have been disseminated on to our commissioned services*
- *There has been improvements across training but feel we could continue to improve in this area*
- *The LSCB makes partners aware of multi-agency training available locally. Further opportunities to jointly commission some training with other partnerships needs further development through the LSCB/SAB T&D Group*
- *The Boards promotion of multi-agency training, including local groups (e.g. Modern Slavery with V&V group) – evidenced from participation in the last multi agency training event*
- *All LSAB members support access to the training opportunities in their agencies. The L&D group are responding to local drivers, ensuring training opportunities reflect these drivers' i.e. mental health and criminal exploitation. The partners now present training data to performance monitoring as part of the revised dashboard.*
- *The Board did well to organise a multi-agency event on exploitation that was welcome and well received however without a training budget, it is hard to see how these arrangements can be at scale and sustainable. The SAB should coordinate a collective training offer across the partnership where members are encourage to attend partnership training to develop a cross reference*

*of skills and have clear understanding on roles.*

DRAFT

## Appendix 5 – Glossary

<b>ASYE</b>	Approved & Supported Year in Employment	<b>LSCB</b>	Local Safeguarding Children's Board
<b>AMHP</b>	Approved Mental Health Practitioner	<b>MARAC</b>	Multi Agency Risk Assessment Conference and Domestic Abuse
<b>CA 2014</b>	Care Act 2014	<b>MASH</b>	Multi Agency Safeguarding Hub
<b>CAG</b>	Community Action Group	<b>MCA</b>	Mental Capacity Act
<b>CCG</b>	Clinical Commissioning Group	<b>MDT</b>	Multi-Disciplinary Team
<b>CEO</b>	Chief Executive Officer	<b>MECC</b>	Make Every Contact Count
<b>CFOA</b>	Chief Fire Officers Association	<b>MHST</b>	Mental Health Street Triage
<b>CGL</b>	Change, Grow, Live	<b>MSB</b>	Mid Essex, Southend and Basildon
<b>CP-IS</b>	Child Protection Information Sharing	<b>MSP</b>	Making Safeguarding Personal
<b>CPN</b>	Community Practice Nurse	<b>NEPT</b>	North Essex Partnership Trust
<b>CQC</b>	Care Quality Commission	<b>NHS</b>	National Health Service
<b>CRU</b>	Central Referral Unit	<b>NPS</b>	National Probation Service
<b>CSP</b>	Community Safety Partnership	<b>OPFCC</b>	Office of Police, Fire and crime Commissioner
<b>CVS</b>	Council for Voluntary Services	<b>PFCC</b>	Police and Fire Commissioner
<b>CYP</b>	Children and Young People	<b>PH</b>	Public Health
<b>DACT</b>	Drug and Alcohol Team	<b>PPPB</b>	Public Protection Policy Board
<b>DNAR</b>	Do Not Attempt Cardiopulmonary Resuscitation	<b>PQUPs</b>	Trainee Probation Officers
<b>DoLs</b>	Deprivation of Liberty	<b>SAB</b>	Safeguarding Adults Board
<b>ECFRS</b>	Essex County Fire & Rescue Service	<b>SAR</b>	Serious Adult Review
<b>EPUT</b>	Essex Partnership University Trust (NHS)	<b>SAVS</b>	Southend Association of Voluntary Services
<b>FGM</b>	Female Genital Mutilation	<b>SECH</b>	South Essex Community Hub
<b>HLA</b>	Health Law Advocates	<b>SEPT</b>	South Essex Partnership Trust
<b>EQUIP</b>	National Probation Service Database	<b>SET</b>	Southend, Essex and Thurrock
<b>HMIP</b>	Her Majesty's Inspector of Prisons	<b>SMART</b>	Specific, Measurable, Achievable, Realistic, Time-based
<b>IC</b>	Independent Chair	<b>STARS</b>	Southend Treatment and Recovery Service
<b>IMCAS</b>	Independent Mental Capacity Advocacy Service	<b>STP</b>	Sustainability and Transformation Partnership
<b>JSNA</b>	Joint Strategic Needs Assessment	<b>V&amp;V</b>	Violence & Vulnerability
<b>JTAI</b>	Joint Targeted Area Inspection	<b>VCS</b>	Voluntary and Community Sector
<b>KSS</b>	Knowledge and Skills Statement	<b>WT</b>	A name protected by confidentiality guidelines
<b>LAC</b>	Looked After Children	<b>YMCA</b>	Young Men's Christian Association
<b>LeDeR</b>	Learning Disability Mortality Review	<b>YPDAT</b>	Young Peoples Drug and Alcohol Team

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# Southend-on-Sea Borough Council

Agenda  
Item No.

Report of Deputy Chief Executive (People)

to

Cabinet

on

12<sup>th</sup> March 2019

Report prepared by: Brin Martin, Director of Learning

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## Annual Education Report

People Scrutiny Committee  
Cabinet Member: Councillor Boyd  
Part 1 (Public Agenda Item)

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### 1. Purpose of Report

To inform Cabinet of the format and content of the Annual Education Report 2018

### 2. Recommendations

- i. That Cabinet note and approve the Annual Education Report

### 3. Background

- i. Each year the Council elects to publish an Annual Education Report of the high level outcomes from the previous academic year, in retrospect.
- ii. The timing of the report is contingent upon the Department for Education release of the validated school outcomes, usually towards the end of the preceding calendar year.
- iii. In the past, the report has been a lengthy and wordy document that by the nature of the date of publication reduces the value for the Council, stakeholders and residents. The decision was taken in 2018 to produce a far more concise “infographics” style report that highlighted key performance against the recognised national benchmarks at each key stage, including the rankings of the Council against all other Local Authorities.
- iv. In addition, following feedback at scrutiny last year, a glossary of terms has been included.

### 4. Other Options

- i. The other options of not submitting and Annual Education Report would result in less information available for members and residents. The other option of a more lengthy report was dismissed on grounds of relevance and cost effectiveness.

## **5. Reasons for Recommendations**

- i. Whilst much of the information is in the public domain at some stage in the later part of the preceding year, the Annual Education report provides a concise, relevant and accurate summary of the performance of the Council.
- ii. It is also an opportunity for members to recognise and celebrate the very strong performance of our schools at all key stages relative to the national benchmarks, and a point to formally congratulate pupils, staff and schools for such strong achievement.

## **6. Corporate Implications**

### 6.1 Contribution to the Southend 2050 Road Map

The report will inform several of the outcomes, in particular readiness for school and work.

### 6.2 Financial Implications

The report will be used to inform the commissioning of improvement support where required, utilising the School Improvement budget identified in the budget report.

### 6.3 Legal Implications

### 6.4 People Implications

### 6.5 Property Implications

### 6.6 Consultation

### 6.7 Equalities and Diversity Implications

The report focusses on disadvantage achievement

### 6.8 Risk Assessment

Through Education Board, the report contributes towards the collective intelligence that compiles the “risk register” of performance of each school.

### 6.9 Value for Money

### 6.10 Community Safety Implications

### 6.11 Environmental Impact

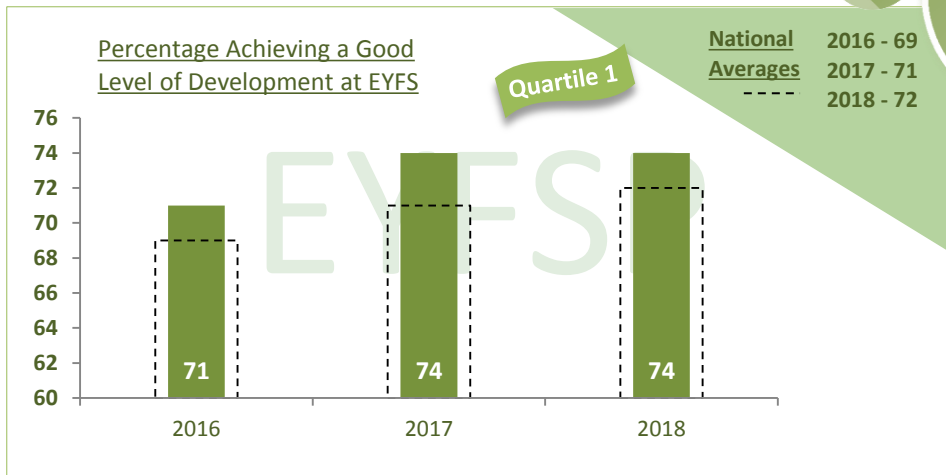
## **7. Background Papers**

## **8. Appendices**

Appendix one, Annual Education Report

# Annual Education Report - 2018

## Achievement



### Early Years Foundation Stage

Southend continues to perform above the national average

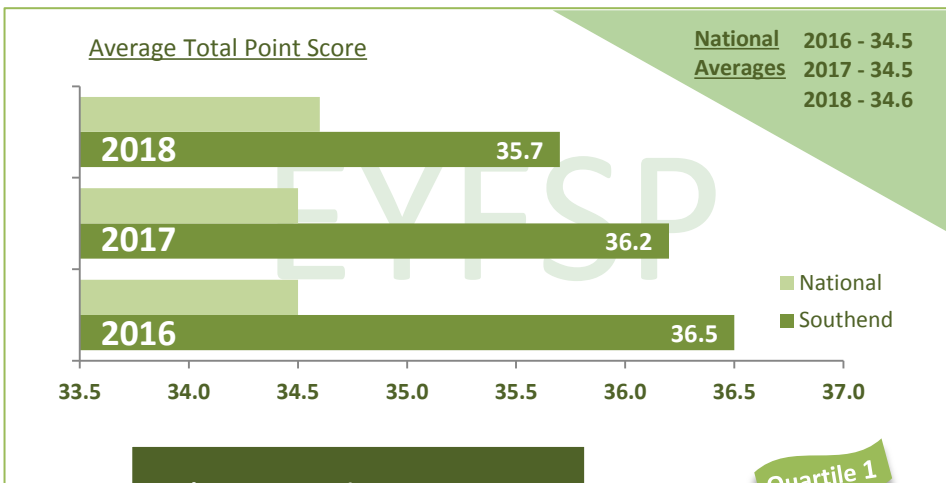
Southend is ranked in the top 25% of all local authorities in the main attainment measures

The attainment gap between FSM pupils and their peers has narrowed and is less than the national average

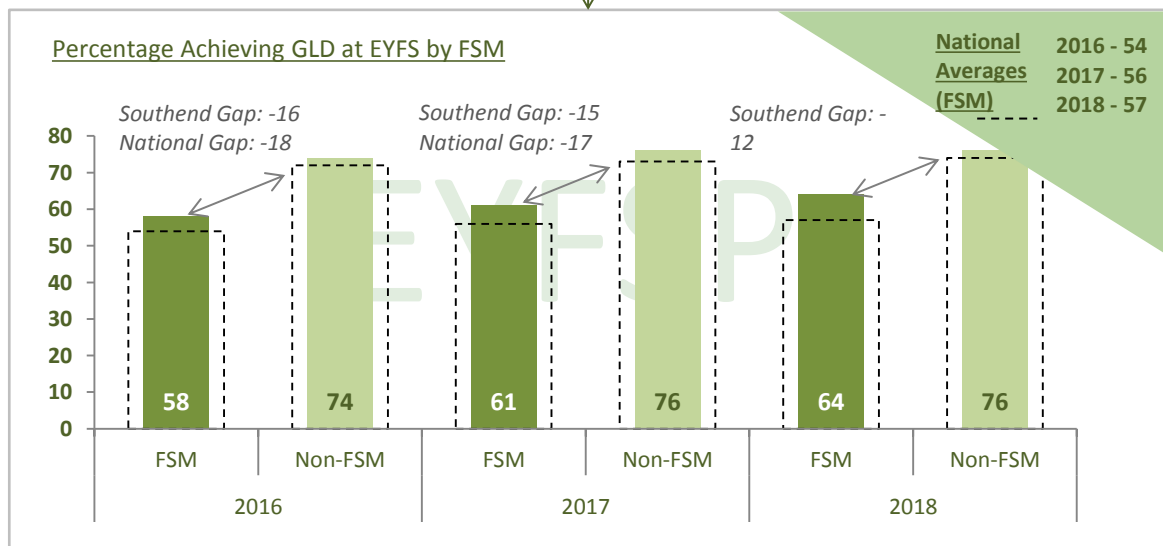
### Rank Info

Of 152 LAs

% achieving a Good Level of Development	36th
Average Total Point Score	20th



In the average point score measure Southend is ranked in the top 20 of all LAs.



## Early Years Foundation Stage (EYFS)

### Main attainment measures:

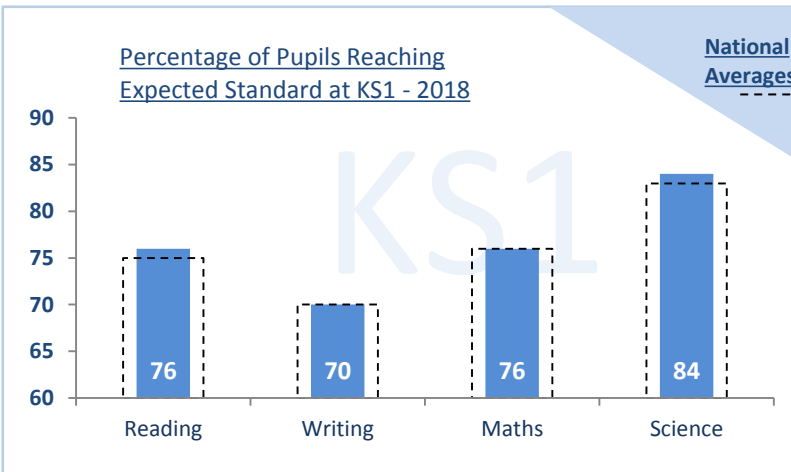
- Good level of development - A child is identified as achieving a good level of development if they are meeting or exceeding the expected levels in the early learning goals covering the areas of; communication and language, physical development, personal, social and emotional development, literacy and mathematics
- Average total point score - A child's total point score is calculated across all 17 early learning goals in EYFS. Each of the 17 goals are marked out of 3 points with a total of 51 points overall. Each goal is marked as either emerging (1 point), Expected (2 points) or exceeding (3 points)

### Definitions:

- Free School Meals (FSM) - A child who is eligible and claiming a free school meal
- Non Free School Meals (non-FSM) - A child who is not eligible for free school meals or eligibility was unclassified or could not be determined

# Annual Education Report - 2018

## Expected Standard - By Subject



**Key Stage 1**

R - 75  
W - 70  
M - 76  
S - 83

Performance was above or in line with the national average in all subjects in the expected standard measure

Outcomes have slightly declined in all subjects since last year

**Rank Info**  
Of 152 LAs

Pupils reaching the expected standard:

Reading	58th
Writing	72nd
Maths	74th
Science	51st

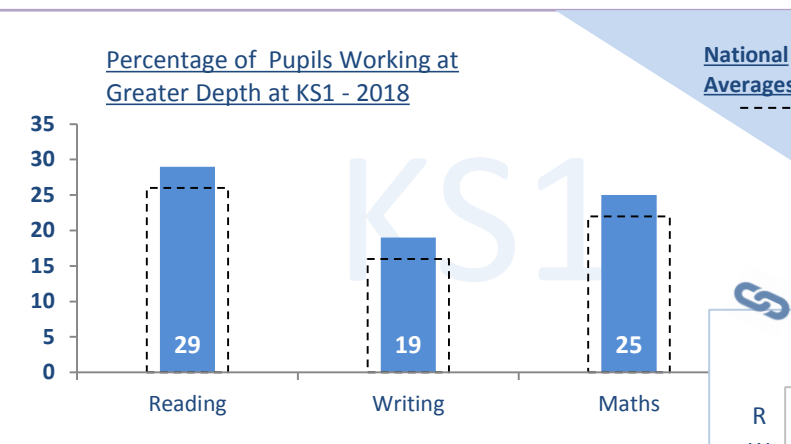
**Trend Info**

	2017	2018	
R	78	76	↓
W	71	70	↓
M	77	76	↓
S	86	84	↓

Outcomes for FSM pupils have not significantly changed since 2017. The trend table shows data for FSM only

Pupils working at greater depth:

Reading	24th
Writing	25th
Maths	29th



**Trend Info**

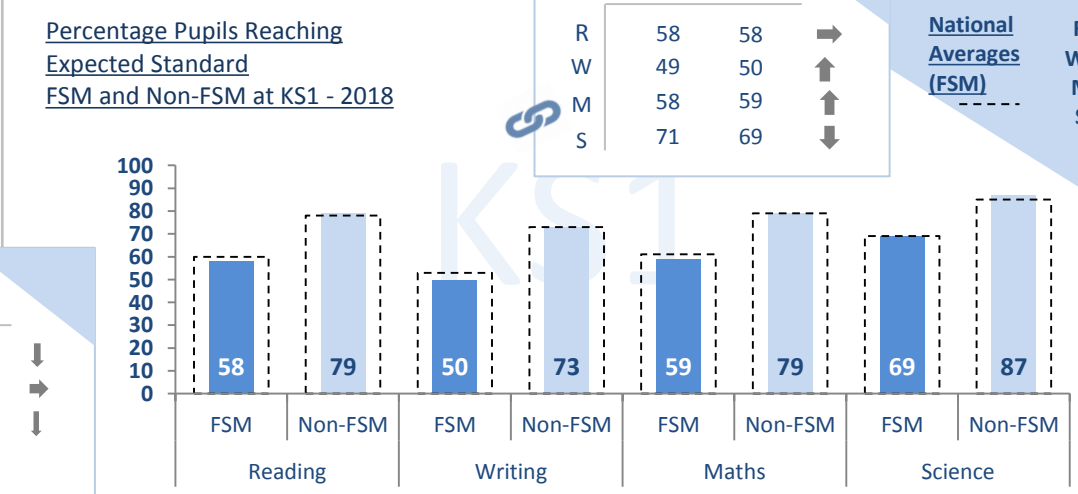
	2017	2018	
R	26	26	↔
W	16	19	↑
M	22	25	↑

**Trend (FSM)**

	2017	2018	
R	58	58	↔
W	49	50	↑
M	58	59	↑
S	71	69	↓

**National Averages (FSM)**

R	60
W	53
M	61
S	69



**Quartile 1** In the more demanding measure of pupils working at greater depth, Southend was ranked in the top 25% of all local authorities in reading and writing

## Key Stage One (KS1)

Main attainment measures:

Expected standard - A pupil working at the expected standard of the given subject

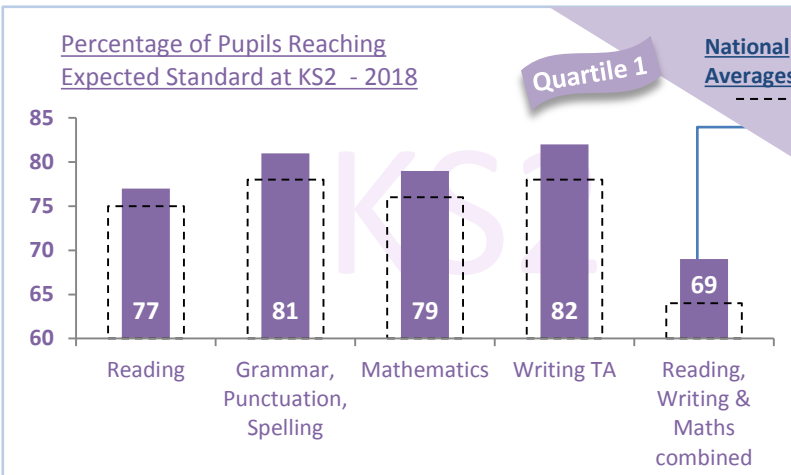
Greater Depth - A pupil working at a greater depth within the expected standard of the given subject

Definitions:

- Free School Meals (FSM) - A child who is eligible and claiming a free school meal
- Non Free School Meals (non-FSM) - A child who is not eligible for free school meals or eligibility was unclassified or could not be determined

# Annual Education Report - 2018

## Expected Standard - By Subject



**Key Stage 2**

Performance was above the national average in all subjects in the expected standard measure

Southend was ranked in the top 25% of all local authorities in the combined reading, writing and maths measure

**Rank Info**

Of 152 LAs

**Reading, writing & maths combined**

Pupils achieving the expected standard **32nd**

Pupils achieving the higher **30th**

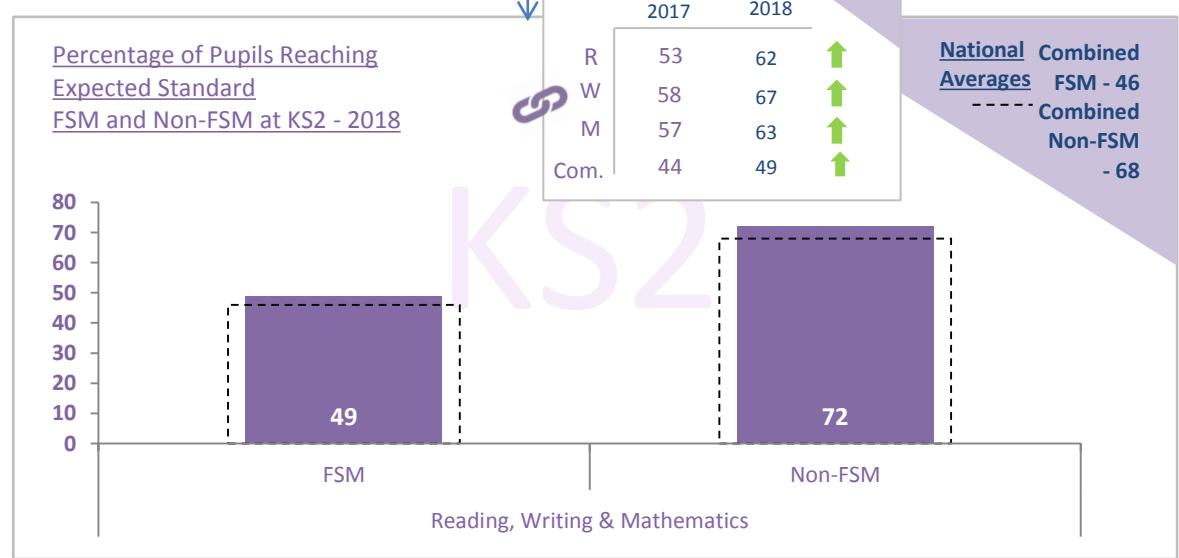
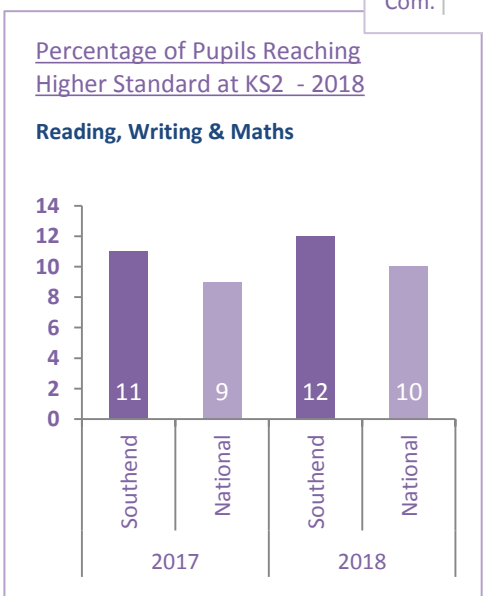
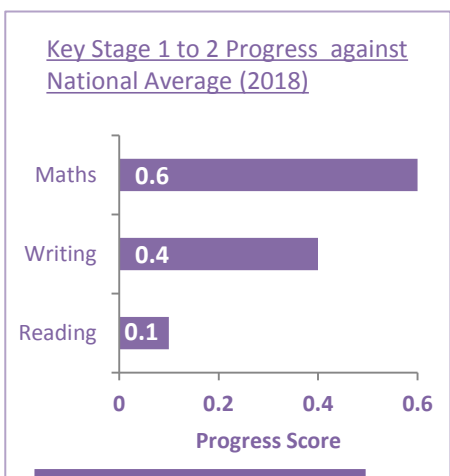
**National Averages**

R - 75  
GPS - 78  
M - 76  
W - 78  
Com. - 64

**Trend Info**

	2017	2018	
R	75	77	↑
GPS	80	81	↑
M	77	79	↑
W	79	82	↑
Com.	66	69	↑

Outcomes for FSM pupils have continued to improve since 2016. From 2017 only the combined RWM figure is being published.



**Trend (FSM)**

	2017	2018	
R	53	62	↑
W	58	67	↑
M	57	63	↑
Com.	44	49	↑

**National Averages**

Combined FSM - 46

Combined Non-FSM - 68

The progress scores of pupils were higher than the national average (0.0)

## Key Stage Two (KS2)

### Main attainment measures:

- Expected standard - A pupil is working at the expected standard if they achieve scaled score of 100 or above in the reading and maths test and the expected standard in the writing teacher assessment
- Higher standard - A pupil is working at the higher standard if they achieve scaled score of 110 or above in the reading and maths test and assessed as working at greater depth within the expected standard in the writing teacher assessment
- Key stage 1 to 2 progress - the progress measure aims to capture the progress a child makes from the end of KS1 to the end of KS2. This is a value-added measure which means that a pupils' KS2 results are compared nationally to other pupils' who had a similar prior attainment (results at KS1)

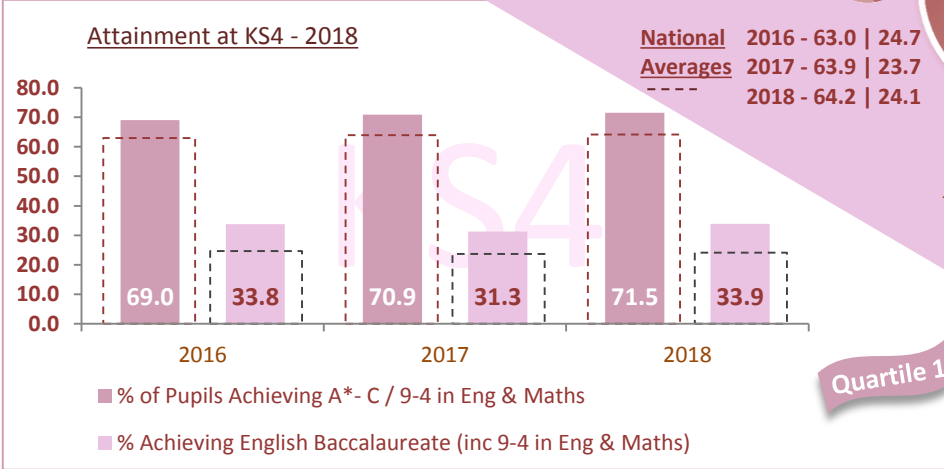
### Definitions:

- Free School Meals (FSM) - A child who is eligible and claiming a free school meal
- Non Free School Meals (non-FSM) - A child who is not eligible for free school meals or eligibility was unclassified or could not be determined
- Teacher Assessment (TA)



# Annual Education Report - 2018

## Attainment



**Key Stage 4**

Performance was above the national average in the headline attainment measures

Southend was ranked in the top 25% of all local authorities in the English and maths 'basics' measure and the English Baccalaureate. In 2018 the new EBACC APS measure Southend performed better than national average with a score of 4.61 compared to 4.04

Southend's pupils made significantly more progress from KS2 than the national average, particularly in open slots

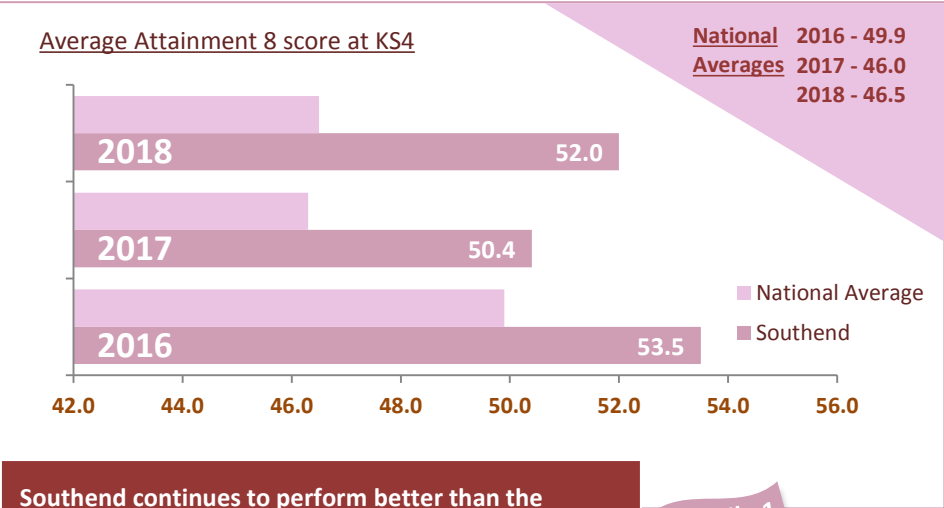
**Rank Info**  
Of 152 LAs

Attainment 8 **13th**

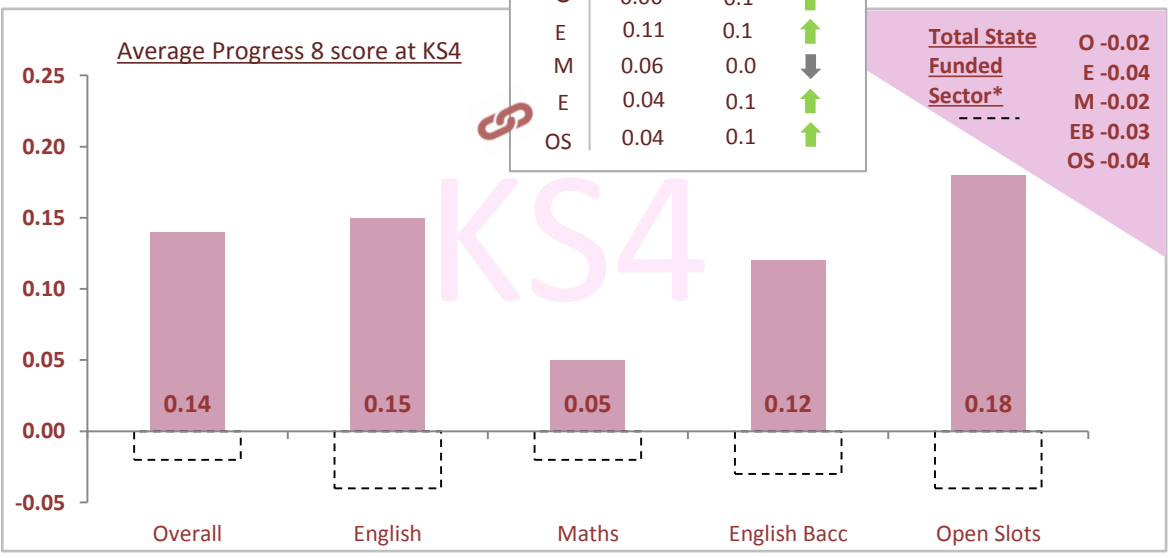
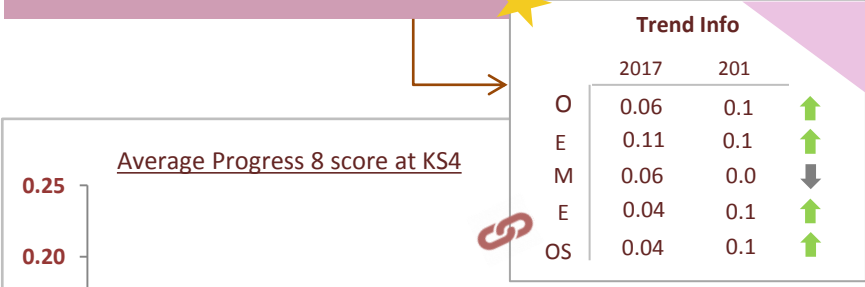
% achieving a strong pass in English and Maths **10th**

% achieving EBacc inc 9-5 in English and Maths **8th**

Progress 8 **32nd**



Southend continues to perform better than the national average following changes to the attainment 8 point score distribution which now uses grades 9-1



Quartile 1

## Key Stage Four (KS4)

### Main attainment measures:

- English & Maths - The percentage of pupils achieving in both English and Maths. Pupils can achieve the English component of this by either taking English Language or Literature. There is no requirement to sit both exams
- Attainment 8 - Attainment 8 measures the average achievement of pupils in up to 8 qualifications including English (double weighted if the combined English qualification, or both language and literature are taken), Maths (double weighted), three further qualifications that count in the English Baccalaureate (EBacc) and three further qualifications that can be GCSE qualifications (including EBacc subjects) or any other non-GCSE qualifications
- English Baccalaureate Entry - A pupil is included in the EBACC measure if they take a subject in each of the EBACC pillars which are English, Maths, Science, a Language and History or Geography
- English Baccalaureate (9 - 4 / 9 - 5) - A pupil achieving either a grade 9-4 or 9-5 in all of the EBACC pillars
- English Baccalaureate APS (EBACC APS) - From 2018, the headline EBacc attainment measure is the EBacc average point score (EBACC APS). This replaces the previous threshold EBacc attainment measure. EBacc APS measures pupils' point scores across the five pillars of the EBACC – with a zero for any missing pillars. This ensures the attainment of all pupils is recognised, not just those at particular grade boundaries, encouraging schools to enter pupils of all abilities, and support them to achieve their full potential
- Progress 8 - Progress 8 aims to capture the progress a pupil makes from the end of key stage 2 to the end of key stage 4. It compares pupils' achievement – their Attainment 8 score – with the average Attainment 8 score of all pupils nationally who had a similar starting point (or 'prior attainment'), calculated using assessment results from the end of primary school. Progress 8 is a relative measure, therefore the national average Progress 8 score for mainstream schools is very close to zero

### Definitions:

- \* Total state funded sector - state funded sector figures only cover achievements for pupils in state-funded schools
- English Baccalaureate (EBACC)

# Annual Education Report - 2018

## Achievement



**Key Stage 5**

Southend was ranked in the top 20 local authorities for each of these measures

### Rank Info

Of 152 LAs

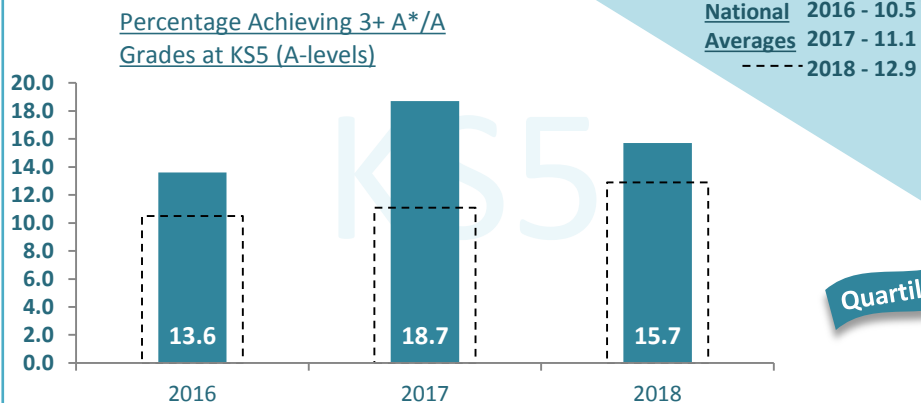
3+ A\* - A 12th

AAB or Better 9th

AAB inc. 2 facilitating subjects 11th

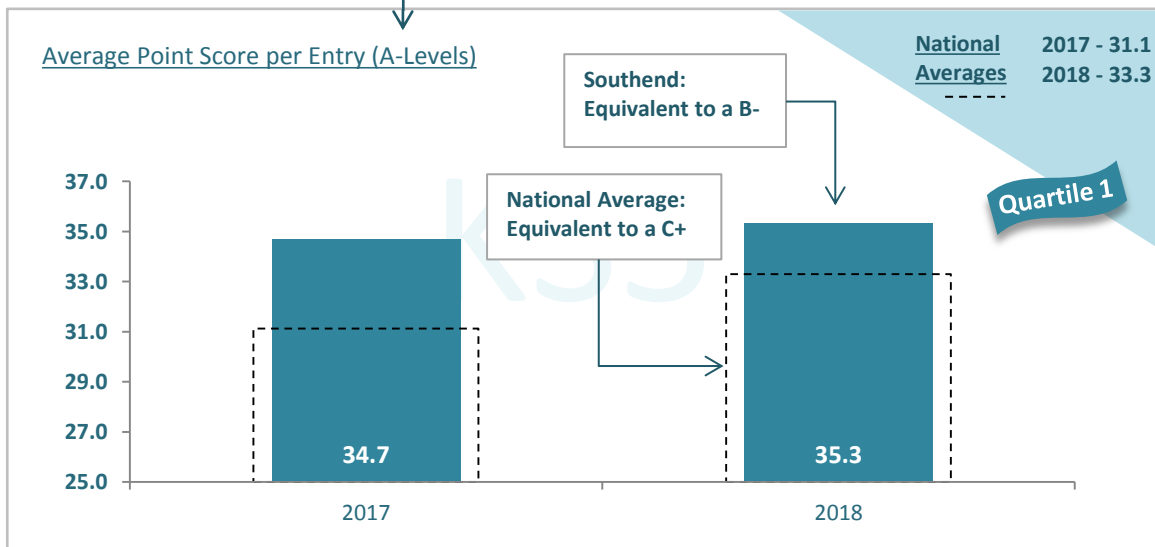
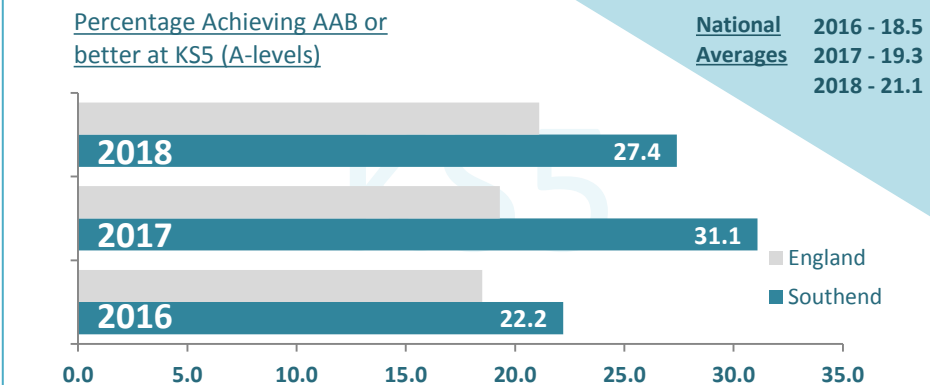
APS Per entry 9th

APS per entry (best 3) A-Levels 9th



The percentage of students achieving 3 or more A\*-A grades has reduced since last year but remains above the national average

The average point score per entry has increased since 2017 and remains above the national, equivalent to a B-



## Key Stage Five(KS5)

Main attainment measures:

- 3+ A\*/A - Percentage of pupils achieving 3 or more A\*/A grade A levels
- Percentage achieving AAB or better - percentage of pupils achieving AAB or better across 3 or more A levels
- Average point score per entry for A level students - Average point score per entry for A level students. It is calculated by dividing the total point score by the total size of entries. APS per entry gives an indication of the average result achieved per qualification taken and provides a comparison of achievement over time, regardless of the volume of qualifications taken

# Southend-on-Sea Borough Council

## Report of Deputy Chief Executive (People)

To  
Cabinet

On  
12 March 2019

Report prepared by: Diane Keens, Head of Service

Agenda  
Item No.

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### Adoption & Fostering Statements of Purpose

Relevant Scrutiny Committee(s)  
Cabinet Member: Councillor Helen Boyd  
Part 1 (Public Agenda Item)

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#### 1. Purpose of Report

To review the updated Statements of Purpose for Adoption & Fostering in line with Standard 18.3 of the Adoption National Minimum Standards and Standard 16 of the Fostering National Minimum Standards.

#### 2. Recommendations

That the updated Statements of Purpose, as at appendix 1, are approved

#### 3. Background

3.1 The provision, standards and operations of the adoption service is governed by:

- The Local Authority Adoption Services (England) Regulations 2003 (updated 2005);
- The Adoption Agencies regulations 2005 (updated 2013 & 2014);
- The Adoption Agencies and Independent Review of Determinations (amendment ) regulations 2011;
- The Adoption Agencies (Panel and Consequential amendments) Regulations 2012;
- The Adoption Minimum Standards 2011.

3.2 National Minimum Standard 25.6 states that the Executive side of the Local Authority should:

- a) receive written reports on the management and outcomes of the agency twice a year;
- b) monitor the management and outcomes of the service in order to satisfy themselves that the agency is effective and is achieving good outcomes for children and/or service users;
- c) satisfy themselves that the agency is complying with the conditions of registration.

3.3 Fostering National Minimum Standard 18.3 requires that that the Executive side of the Local Authority formally approves the Statement of Purpose and reviews it at least annually.

The provision, standard and operations of the Fostering service is governed by:

- The Local Authority Fostering Services (England) Regulations 2011 (updated 2013)
- Fostering minimum Standards 2011 and the
- Children Act 1989 Guidance & Regulations Volume 4, 2011

3.2 National Minimum Standard 25.7 states that the Executive side of the Local Authority

- a) receive written reports on the management and financial state of the fostering service every 3 months
- b) monitor the management and outcomes of the service in order to satisfy themselves that the service is effective and is achieving good outcomes for children and/or service users
- c) satisfy themselves that the provider is complying with the conditions of registration.

The report, the Journey of the Child, previously presented to full Cabinet in October 2018 gave a full update of the activities of the adoption and fostering services

#### **4. Other Options**

This is a statutory requirement

#### **5. Reasons for Recommendations**

The Adoption and Fostering Statements of Purpose have been updated and require cabinet approval

#### **6. Corporate Implications**

6.1 Contribution to the Southend 2050 Road Map

Development of the fostering and adoption services in Southend will ensure that Southend children receive the most appropriate and high quality care at the right level and at the right time, to give them the best possible opportunities in life.

## 6.2 Financial Implications

None

## 6.3 Legal Implications

This is a statutory requirement to update annually.

## 6.4 People Implications

None

## 6.5 Property Implications

None

## 6.6 Consultation

None, however we undertake regular consultations with adopters and foster carers which inform future development

## 6.7 Equalities and Diversity Implications

Both the fostering and adoption services must ensure that equality and diversity are at the heart of all services provided

## 6.8 Risk Assessment

N/A

## 6.9 Value for Money

N/A

## 6.10 Community Safety Implications

N/A

## 6.11 Environmental Impact

N/A

## 7. Background Papers

Cabinet have already seen the annual Journey of the child report which gave full details of the activities of both services. This report is purely to approve the updated Statements of Purpose for the coming year.

## 8. Appendices

Copies of the 2 new Statements of Purpose attached





**Southend Borough Council**

**Statement of Purpose**

**Southend Adoption Service**

Civic Centre  
Victoria Avenue  
Southend-on-Sea  
SS2 6ER

**December 2018**

Telephone: 01702 212938

Website: [www.southend.gov.uk](http://www.southend.gov.uk)

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## Introduction

The following Statement of Purpose is intended to set out clearly the aims and objectives of the Southend Adoption Agency as required by Schedule I of the Local Authority Adoption Services (England) Regulations 2003 (amended 2005, 2013 and 2014) and the Adoption Agencies regulations 2005, amended by the Adoption Agencies and Independent Review of Determinations (Amendment) Regulations 2011 and the Adoption Agencies (Panel and Consequential amendments) Regulations 2012 and the Adoption National Minimum Standards 2011. As required under these Regulations, the Statement of Purpose will be presented to the Council's Cabinet for endorsement and will be reviewed and updated annually.

The Statement of Purpose will take into account the following:

- ❖ The Southend Adoption Agency Policy Document
- ❖ The Adoption Act 1976 as amended by Adoption & Children Act 2002
- ❖ The Local Authority Adoption Agencies (England) Regulations 2003 (amended 2005 & 2013 & 2014)
- ❖ The Care Standards Act 2000
- ❖ The National Minimum Standards for Local Authority Adoption Services in England and Wales 2011
- ❖ The Adoption and Children Act 2002
- ❖ The Adoption Agencies Regulations 2005 – amended 2011
- ❖ Children and Adoption Act 2006
- ❖ Any relevant Local Authority Circulars and Good Practice Guidance
- ❖ Adoption Scorecard
- ❖ Southend Improvement Plan



## The Aims and Objectives of the Local Authority in Relation to the Adoption Service

Southend Sea Borough Council Adoption Service aims to provide a comprehensive range of adoption services to children requiring adoption, birth families, adopters and those who have already been adopted. In meeting its aims and objectives, the Adoption Service will work within the relevant policies of both Southend Borough Council and the Adoption Service.

The objective of Children's Services is for every child to remain with their birth family and every reasonable effort will be made by the Authority to enable and support the birth parents, or the wider birth family, to provide a permanent home for the child where the child's needs can be met within a safe environment. However, if this is not possible then the child is entitled to grow up as part of a loving, adoptive family that can meet their needs during childhood and beyond. At all times the child's best interests come first with their welfare and safety being paramount.

The Adoption Service aims to recruit sufficient adopters to ensure that children can be placed with a family that not only meet the child's day to day needs but also the ethnic, cultural, religious, physical and emotional needs of the child. However, no child should wait indefinitely for an ideal placement.

The Adoption Service recognises the importance of a child retaining some form of contact with their birth parent(s) or birth family. Any decision about the possibility, type and frequency of contact will be based on the needs of the child and what is in the child's best interests. Where a child is of an age to understand, the child's views and wishes in relation to adoption will be considered when making plans for the child.

The Adoption Service aims to provide anyone enquiring about adoption with full information on the adoption process so that they can make an informed judgement about whether or not to proceed with their application. This will include those wishing to adopt from within the United Kingdom and from overseas, foster carers wishing to adopt a child already in their care and step-parents and relatives wishing to adopt a child from within their family.

Prospective adopters will be welcomed without prejudice and will be provided with clear eligibility criteria. They will also be given information on children waiting and what is required to meet the children's needs. The adoption provision aims to provide a service to birth parents and birth families that takes into account the lifelong implications of adoption and treats each individual fairly and with respect.

Birth parent(s) and birth families will be given information on local and national support groups, and where an adult adoptee requires information from their birth records, the adoption service aims to provide a supportive and informative service at all times.

The Adoption Service aims to provide information, help and support for all those who have been affected by adoption whether prior to, or after, the making of an Adoption Order. The Adoption Service also aims to protect all the information held and will provide security and confidentiality for all records, including those to be held for 100 years from the making of the Adoption Order.

The Adoption Service will maintain management information systems in order to monitor and evaluate the service provided and ensure all work is undertaken with the requirements of the National Minimum Standards, current legislation and Regulations, current policy statements and accepted good practice in mind.

## Where can I see this Guide

Written copies are available at the Adoption Team. If you would like a written copy please contact the Adoption Team Manager at the address above or by contacting [johines@southend.gov.uk](mailto:johines@southend.gov.uk)

The guide is available on the Southend Borough Council website

The statement will be translated into other languages or made available in a format that is right for someone with physical, sensory and learning impairments and communication difficulties, upon request.

## The Service Values

Southend's Success for All Children's Group has the following shared vision

'We aim to make sure that all children and young people who live in Southend are able to take advantage of the opportunities which are here now and to enhance these opportunities for the future. It is to

- Help them raise their aspiration and achievement
- Ensure they have the opportunities they need for inclusion
- Facilitate their participation in decision making that affects their lives
- Strive for excellence in the services we provide

The Adoption Service's values include:

- Being child centred; their best interests being paramount
- Focusing on outcomes for children
- Being outward looking, flexible, adapting to new ideas and ways of working and being responsive to individual need
- A commitment to learning
- Listening to children and their families
- Ensure that the services promotes equal opportunities and does not discriminate against anyone on the basis of their age, gender, sexual orientation, disability, ethnic origin, religion or culture
- Developing and enrich partnerships with other local, regional and national agencies to improve standards and offer a complete service, taking every opportunity to share best practice as openly as possible
- Improving standards of practice and service continuously to respond to changes in law and challenge poor practice
- A commitment to Children Services Practice Priorities

## How will this happen?

These Aims and Objectives will be achieved by:

- Providing placement choices that reflect:  
Equality  
Diversity

Individual and personal needs  
Social and cultural background preferences

- Delivering local Consortium placements wherever possible and appropriate to allow ongoing appropriate levels of post-adoption support
- Active leadership that delivers clarity of purpose to the adoption service
- Clarity about the purpose of individual placements
- Matching placement availability to requirements
- Providing access to support services (e.g. health, therapy) for children, and adopters.
- Facilitating the maintenance of valued relationships, where appropriate, especially with siblings and anyone identified by the child and birth family where possible.
- Avoiding drift and working with time scales that meet the child's best interests
- Designing and managing effective processes and ways of working
- Joint working and partnership
- Ensuring that staff are trained and motivated to deliver a child centred service
- Learning in order to deliver continuous improvement through:
  - The assessment and review of the service
  - Responding positively to complaints and feedback
  - Learning from any placement disruptions
- Involving children in policy and decision making
- Ensuring that children's wishes and feelings will be actively sought and fully taken into account at all stages
- Taking corporate responsibility within Childrens Services for the effective management, quality and support of placements
- Being vigorous in challenging poor practice and addressing problems effectively
- Providing appropriate and pro active guidance and support to birth parents
- Undertaking ongoing quality assurance and consultation to ensure that the service focuses on outcomes for children

## The Policies

There are detailed adoption policies and procedures to guide the way in which the principles are practiced. These cover children, adopters, birth families, adoption support, and non-agency adoption and inter country adoption.

New staff and panel members are given a copy of the adoption policies and informed of any changes.

A written copy can be obtained as above in 'Where can I see this guide?'

There is also a complete range of more general Southend Borough Council's policies which all staff first access as part of their induction.

## The Structure of the Service

The Service is committed to monitoring the quality of its services and the outcomes of placements and collects data that measures the service's performance. The Group Managers for 'Placements and Resources' and for 'Specialist Resources and Quality Assurance' are responsible for the quality standards of the services and the Adoption Panel also plays a key role in this.

Staff with relevant qualifications, usually a CQSW, DipSW or Degree in Social Work, are appointed by interview in accordance with equal opportunities, good practice and human resources recruitment policy. Copies of staff qualification, references and checks are kept on Personnel files for inspection and oversight by the appropriate inspectors and managers. Regular supervision, training and annual employee development appraisals are conducted.

The core Adoption Team currently consists of 1 Team Manager/service manager, 1 Senior Practitioner, and 4 Social Workers. Administrative support is provided by 2 Adoption Administrators. All social workers within the team are suitably qualified with experience in varying degrees of children and family social work and fostering or adoption itself.

The Adoption Team is part of the Department for People. The Director of Children's Services is John O'Loughlin, who is also the Agency Decision Maker and the Deputy Chief executive is Simon Leftley who also acts as Deputy Agency Decision Maker. The Adoption Service is part of children's services which is managed by the Head of Service Placements & Resources (see below and attached structure chart)

- John O'Loughlin is Director of Children's Services and ADM. He holds a Dip SW; Dip HE and Msc (distinction) in Public Sector Management. John has worked in the public service for over 30 years across Health, Education and Social Care.
- Diane Keens Head of Service Placements & Resources since April 2011 and is Registered Manager of the Adoption Service. Diane was manager of an Adoption Team from 2002, joining Southend in September 2007 as Adoption Team Manager and has worked within Children and Families Service for over 30 years in Essex and Thurrock. Diane gained a Certificate Qualification in Social Work in 1985 at Chelmer College, Essex; a Bsc Hons Degree in Social Work (1<sup>st</sup>) in 2000 at Anglia Polytechnic University, Full PQ award and a Post Graduate Diploma in Social Work (Management) in 2006 at Anglia Ruskin University
- Jo Hines, Service Manager and Adoption Team Manager from May 2011 has extensive adoption experience having worked previously in the Adoption Service in Essex since 1997 and as Senior Practitioner in the Southend Adoption Team since 2007. Jo has a particular interest in Theraplay in which she holds level 1 & 2 training, which brings an added dimension to the Team. She has level 2 Dyadic Development psychology; levels 1&2 Sensory Attachment Intervention and foundation & level 1 Just Right State.
- Faye Khraud, (since July 2012) part time. Faye gained a BA in Social Work at the University of Essex in 2010 and worked in the Care Management Teams in Southend prior to joining the adoption team. She has level 1 Dyadic Development psychology; levels 1&2 Sensory Attachment Intervention and foundation & level 1 Just Right State and level 1 & 2 Theraplay.
- Diane Bowden, social Worker holds a BA(Hons)Social Work obtained in 2013; level 1 Dyadic Development psychology; levels 1&2 Sensory Attachment Intervention and foundation & level 1 Just Right State and commenced working for the adoption service in July 2013.
- Aimee Fossett, Senior Social Worker, was a student social worker in the team in 2009 and joined the team on a permanent basis in 2010 having gained her Degree in Social Work at Southend University. She has level 1 Dyadic Development psychology; levels 1&2 Sensory Attachment Intervention, level 1 & 2 Theraplay and foundation & level 1 Just Right State.
- Anne Caine - holds an NNEB Nursery Nurse Examination Board (Distinction) Child Development. Higher National Diploma in Child Care and Education and a Social Work Degree 2:1. In September 2007 after qualifying as a social worker she worked in First Contact Team as a front line social worker. In August 2013 she moved to the Southend Adoption Team. Anne holds level 1 Sensory Attachment Intervention and foundation & Level 1 Just Right State.
- Anna Harris, Part time - completed her BSc in Applied Psychology and Sociology at Surrey in 2007, and an MSW at Kingston University in 2012. She has undertaken training in Motivational

Interviewing, Pervasive Neglect, Using the Assessment Framework, Theraplay level 1, Working with sex offenders in child protection work, and Suicide and Self harm.

The System(s) in place to Monitor and Evaluate the Provision of Services to ensure that Services provided are Effective and the Quality of those Services is of an Appropriate Standard.

Statistical records are kept of the adoption service's activities, these are analysed to evaluate and monitor the service and to ensure children's plans are moving forward within timescales that meet their needs, and that adopters are being assessed and approved within the timescales of the National Adoption Minimum Standards. Monitoring is also undertaken to provide information on the needs of the children requiring adoption, the numbers of adopters required, and to ensure sufficient staff are available to provide an effective and efficient service.

The Government introduced an Adoption Scorecard in 2012 which set priorities for all Adoption Services. Southend uses this as an additional tool to monitor and evaluate the provision of services within the Agency.

Following approval, adopters are reviewed every year and are referred back to the adoption panel if they have not been linked within two years of approval.

Statistical records are also kept of all post adoption activity.



The following systems are in place to monitor and evaluate the service given:

- ❖ Preparation courses, the value of the training, information and preparation given.
- ❖ Case work supervision and performance management of staff.
- ❖ Quality assurance of papers going to the Adoption Panel.
- ❖ Adoptive applicants attending panel are asked to provide feedback on their experiences.
- ❖ Feedback on cases presented by members of the Adoption Panel.
- ❖ Review of how members of the Adoption Panel fulfil their functions.
- ❖ Following the making of an Adoption Order, adopters are asked to complete an evaluation form so that the service they have received can be monitored, and where necessary, improved.
- ❖ Various consultation exercises undertaken into specific areas of the service
- ❖ Southend participation survey
- ❖ File audits as part of the corporate audit process



Systems for providing feedback and evaluation from the following groups are in place. These include:

- ❖ Initial information given to enquirers and the time taken to respond to Adopters' experience of introductions, placement and the information given on the child.
- ❖ Adoption Panel attendance feedback
- ❖ Birth parent(s) and birth families and the service they have received.
- ❖ Where they are of an age to understand and communicate, the views of children placed for adoption.
- ❖ Inter-country adopters and the service they have received.
- ❖ Non-agency adopters, e.g. step-parents and relatives, and the service they have received.
- ❖ Schedule 2 users (birth record counselling and adult adoptees) and the service they received.

## The Services Provided

The Service is part of the developing Adopt East Regional Adoption Alliance. The Team covers all areas of adoption including recruitment, assessment and training of prospective adopters, preparation of children for placement, counselling of adopted adults, step-parent adoptions, birth parent counselling, post adoption services and inter country adoptions.

## Who receives Adoption Services?

- ✓ Children requiring adoption
- ✓ Birth relatives
- ✓ Prospective adopters
- ✓ Approved adopters
- ✓ Children and their adoptive families who need adoption support
- ✓ Adopted adults and members of their birth families



## What services are provided?

The Adoption Service provides adoptive families for Southend and local partners as well as the National Register. The Agency offers placements with adopters who have been approved and who are provided with comprehensive support and training.

The Adoption Service offers a therapeutic service for young people through the local EWMHS, and where needed with adjoining EWMHS services, where adopters live outside the boundaries. The Marigold Assessment + also undertakes life story work with children.

Specialist education support is available through the Looked after Children's Advisory Teacher and Virtual Head Teacher, until the making of an adoption order and beyond if the family reside in Southend.

Specialist Health support is available through the agency's Looked after Children Nurse and Consultant Paediatrician service.

Adopters are supported through the process of adoption by the allocation of an adoption Social Worker, usually the worker who has completed their assessment with them. They visit regularly (at least six monthly pre placement and more frequently as needed post placement) and have telephone contact in the intervening period. They are responsible for advising on the linking & matching of placements, practical support and advice to adopters, acting as a key liaison person with the child's social worker and completing reports for the Court.

A post approval group meets on a quarterly basis for approved adopters awaiting placement to offer ongoing training and to share profiles of children needing adoption.

A Southend post adoption support group meets on a quarterly basis, which looks at issues such as managing difficult behaviour, the effects of separation and loss, first aid and life story work as well as offering a Christmas Party and other social events throughout the year.

Family events also take place at least twice a year enabling adopters and their children to meet and integrate with other such families within their immediate and wider networks, further seeking to normalise adoption for all and strengthening the links developed between them further.

A Theraplay parent and toddler group for adopters with pre-school placements to support the development of secure attachment. (Sparkles) and thus improve outcomes for children placed for adoption.

Non Violent Resistance and Just Right State groups run throughout the year as does a new group supporting other children in a family approved for adoption.

A Birth Parent support group runs on a monthly basis to support birth parents with issues regarding adoption and to support the ongoing development of letterbox contact. This aims to help maintain contact between adopted children and their birth parents in a meaningful way.

Any family living in the Southend area whose lives are affected by adoption are able to apply to the Southend Adoption Service and request an assessment of need. This will be undertaken by a qualified adoption social worker to identify support required and available to the family or person concerned. A Support Plan will then be drawn up and agreed by the Adoption Support Services Advisor.

Southend also has close links with Adoption Plus, to help advise on the most complex cases.

## Recruitment of Adopters

Any person expressing an interest in adoption is invited to one of the local open events.

Adoption information is also available on the Southend Borough Council website. The team also have an active Facebook page which gives information and activity news.

#### Key Aims of the Recruitment Strategy;

- Recruit a variety of adopters to meet the ever-changing needs of children in Southend requiring placements.
- Attract adopters from black and ethnic minority communities, those interested in taking older children, those with disabilities and larger sibling groups.
- Increase stability of adoptive placements through appropriate support packages
- To provide a choice of placements to match the needs of children and young people thereby decreasing the possibility of disruption
- Make adoptive families available to the National Register in a timely manner.

Prospective applicants are encouraged to attend one of the monthly information sharing events run by Southend. Following this, applicants are encouraged to explore their interest in adoption further and to inform us if they wish to proceed with Southend.

As soon as we are in a position to pick up the application, a Registration of Interest Form is sent. Once received, they will be notified within 5 working days as to whether Southend will proceed with their application and statutory checks are then started. The applicants then enter stage 1 of the process which is completed within 2 months. Southend allocate an agency advisor to support the family through stage 1. At the end of stage 1 there will be a formal interview after which applicants will be invited to formally apply and a written agreement completed.

At this point applicants begin stage 2 of the process. A decision re the suitability to adopt must be made by the Agency within 4 months of the acceptance of the formal application – 6 months in exceptional circumstances.

If the preceding processes follow each other without a gap, it will be the aim to complete the whole process within eight months from start to finish.



## Placements for Children

Placements for children are considered on the basis of seeking carers from within the child's family first (Connected Persons). If this is not possible, placements from within the Borough's own resources (adopters) or those available within the agencies involved in the developing RAA will be sought, unless this is not in a child's best interests. If this is then still not available, an external resource will be located by the Adoption Team. This is achieved in a variety of ways including

through linking with the National Adoption Register, Adoption Link, advertising in specialised publications, featuring children via exchange events and through continually developing links with other adoption agencies throughout the country.

The Adoption service receives requests for placements for adoption from the child's social worker. The request is provided in writing and outlines the reasons for placement, care needs, ethnicity, religion and language and intended timescales, legal status, forum in which the decision for adoption or foster to adopt was made and any other key information that enables a suitable match to be found.

An Adoption notification meeting then takes place to clarify what information is required for the Agency Decision Maker and by when and who will take responsibility for this.

Prior to the "preferred option decision", a worker is allocated from the Adoption Team to link up with the social worker and begin family finding and hopefully direct work with the birth family. This support they can continue for as long as it is required and certainly until the making of the adoption order.

Once a child has been referred for adoption, a child's permanence report and adoption placement report are prepared. During this work it is ensured that:

- Children are carefully listened to where they are old enough.
- Children's views about their situation, in particular, who they live with in the future and who they continue to have contact with are recorded and actively taken into account at each stage.
- Children should receive support services that meet their assessed needs
- Children should receive proper preparation for placement and support after placement.

(For more information see Adoption Agency Policy Statement)

Birth families views about placements are sought and taken into account.

Every effort is made to find a placement, which meets the child's emotional and developmental needs. This takes into account their ethnicity, religion, language, culture, gender and disability. However, no child should have to wait indefinitely for the ideal placement. Placements that cannot meet all these needs, but are sympathetic to them, can be considered.

The child is provided with a full and realistic family history and helped to maintain their heritage. A letter for later life is prepared and includes information about the child's birth and early life, and provides up-to-date information about themselves and their situation. The child's social worker writes this letter to be read by young adopted people when they reach their teenage years.

Social workers, foster carers and others staff work to prepare children for adoptive placement. Work is undertaken with children in regard to their wishes and feelings about adoption and the kind of family they would ideally like to live with.

When a family has been matched, children are given appropriate information about their new family in a format they can understand. This often includes welcome books including photos and DVD's, prepared by the prospective adopters.

## Adoptive Applicants

Adoptive applicants from all sections of the community: married people; couples living together, single people, same sex partnerships and members of the diverse ethnic, cultural and religious groups, are sought in order to meet the diverse needs of children in this area.

People who are interested in becoming adoptive parents will be welcomed without prejudice, responded to promptly and given clear information about recruitment, assessment and approval. They will be treated fairly throughout the adoption process.

(For procedures, criteria and more detailed information see; Adoption Agency Policy and Information for Adopters leaflet)

Adopters will need to show that they can:

- ✓ Learn from their experiences
- ✓ Cope with stress
- ✓ Meet the ethnic, cultural, health and educational needs of the child needing adoption
- ✓ Offer consistency of care
- ✓ Work with children's social workers and other agencies to secure necessary services for the child
- ✓ Build and sustain close, intimate and reciprocal relationships
- ✓ Understand other people's points of view and their feelings
- ✓ Be in touch with sad and angry feelings
- ✓ Resolve past wrongs or losses
- ✓ Build secure attachments and share difficulties

At all stages of referral people are informed about a wide range of people who can adopt. These include:

- ✓ Families from all types of backgrounds
- ✓ Couples with or without children
- ✓ Couples who are married or not; heterosexual or gay
- ✓ Single people
- ✓ People from all ethnicities
- ✓ People with disabilities
- ✓ People who are not 'perfect'
- ✓ People who have had problems in the past
- ✓ People who rent their houses
- ✓ Some overweight and older people and smokers (subject to medical advice)
- ✓ People whose infertility treatment has ended.

Further explanation is available for each bullet points. For instance, when discussing weight, smoking and age this is qualified by explaining that adopters need to have the likelihood of maintaining the health and vigour needed to meet the many and varied demands of children throughout their childhood and into adulthood.

Adopters are clearly told that if they smoke they are unable to adopt a child under the age of 5 years. They are also told that they are not deemed to be a non-smoker until they have given up for a period of twelve months.

Further information is given about the qualities needed to adopt, which are:

- ✓ The ability to see the child as he or she is, not how you would like them to be
- ✓ Acceptance, commitment, flexibility, stickability, sensitivity and openness.
- ✓ The ability to cope with a bit of a mess and disruption
- ✓ Ability to ask for and accept help
- ✓ A sense of humour.

The information for the assessment is brought together in a format known as the PAR (Prospective Adopters Report). An adoption social worker visits applicants in their own home. They are seen

together and separately if there is more than one applicant. Applicants are invited to make their own written as well as verbal contributions to their assessment. Work with the adopters own children is also undertaken if appropriate. Other members of the household are also interviewed. Significant relatives and referees are seen at this stage, also ex-partners. The assessing social worker will analyse the information and make a recommendation about the suitability of the applicants to be adopters.

Applicants see the completed Prospective Adopters Report (PAR) and are asked to sign to say that they agree its contents. Prospective adopters are invited to attend the adoption panel where their application is considered.



## Post Approval

The Agency will review approved adopters every twelve months whilst on the register and continue to provide advice, support and counselling. After two years the assessment will be updated and represented to panel.

Every effort will be made to match the applicants with a suitable child or children. Applicants should be clear however that our priority is to find appropriate families for children. Approved adopters will be informed of the National Adoption Register, and Adoption Link arrangements.

Prospective adopters receive preparation for a child being placed when they attend the preparation course and during their assessment.

When a link with a particular child or children has been agreed at the linking meeting, the adoption social worker and child's social worker will tell the prospective adopter about the child and give some written information too. If the prospective adopters wish to proceed, they will receive further detailed information including the child's permanence report. The child's foster carer and the two social workers will also visit them.

All prospective adoptive parents have the opportunity to meet with the medical advisor prior to the matching adoption panel, but particularly where children have special needs.

Where the child's case has been considered by court, leave of the court will be sought to disclose specialist written reports about the child that may help adopters.

The agency is committed to developing a comprehensive range of services aimed to support adoptees, both as children and adults, prospective adopters and adopters in the periods before placement, after placement and post adoption. An Adoption Placement Report is prepared prior to the full adoption panel to make clear what support will be offered to the child and their new family. This will include services such as financial support, payment of legal expenses where agreed; referral

to specialist local services; letterbox contact, ongoing training and a telephone helpline.

Following approval of the match at the full adoption panel, a placement planning meeting will be called. The Adoption Team Manager or senior practitioner will chair this. The meeting includes the adopters, their social worker, the child's social worker, foster carer and the foster carers supervising social worker.

The purpose of the meeting is to ensure that the adopters have all the relevant information available about the child. We provide the prospective adopters with a copy of the child's permanence report, matching report and adoption support plan. An introductions programme is devised in consultation with the adopters.

After the child is placed with the adopters, the child's social worker and the adopter's social worker continues to support the placement. Where more in-depth work is needed, the child and prospective adopters can be referred to services both in house and by other agencies as part of the adoption support plan.

Reviews are chaired by an independent reviewing officer until an adoption order is made. The review first considers the child's progress and then the adoption support plan and whether changes need to be made to it. Adopters are informed that they can make contact with the agency at any time in the future if they wish the adoption support plan to be reviewed.

## Financial Support and other Support Arrangements

For placements arranged through Southend Adoption Agency, the Agency is able to pay introductory expenses and will meet costs of legal expenses where the adoption is contested or particularly complex. Applicant's court fees for an adoption application are paid.

At the point of matching, all children must have an adoption support plan, which highlights any financial implications. Adopters are provided with a leaflet setting out what benefits they may be entitled to. When all possible benefits have been claimed and if there is still a financial need, the Agency assesses whether it should assist. The adoption support plan must be agreed by the Adoption Services Support Adviser (the Group Manager Placements & Resources) and with the adoptive family before being presented to the Adoption Panel.

Subsequently, the child and adopters circumstances will need to be reassessed before any help is offered. Where there is a specific need for financial help related to the placement for adoption and subject to means testing (which is required by government regulations). Southend will consider assisting adopters before and after the child is adopted. This support is available to any adopter living in the Southend area, whether the child has been placed by Southend or not.

Unless the circumstances are exceptional, most financial help given will be in the form of a one off rather than regular payments. One exception is where existing foster carers are adopting, where Southend Borough Council will agree to regular payments for a period of up to two years.

## Making, maintaining and reviewing Contact Plans

Southend Adoption Agency recognises the importance of children and young people having suitable contact with their birth families and other significant people. Such contact is entirely governed by the best interests of the children. Contact can vary from the annual exchange of written information to face-to-face contact with members of the birth family at intervals appropriate for the child. The Agency Decision Maker will review contact plans at the Preferred Option Stage and later as part of the matching process.

The agency operates a letterbox contact scheme for the exchange of information between adoptive families and birth families. Birth families are also supported in arrangements for letterbox and direct face-to-face contact with the child by adoption support social workers.

There are usually mutual benefits from holding at least one meeting between the child's birth parent and the adoptive parents around the time of introductions. Other significant birth relatives may also be involved.

After placement, contact arrangements continue to be revisited at each review, but not after an adoption order is made. If there are any issues that arise later, these are addressed through the adoption support social workers.

A birth parent drop-in is run on a monthly basis to offer birth parents support and advice in all matters relating to adoption, but in particular to support with contact arrangements.

The Adoption Agency recognises that the contact requirements in each individual case, vary and need to remain flexible in order to meet a child's ever changing needs, therefore when approached Southend Adoption Service seek to review any request, ultimately the child's new parents will make decisions according to what they feel is in their child's best interests.

## What happens if placements break down?

Very few placements for children do disrupt. However, where there is a disruption the Agency convenes a disruption meeting in order to try to understand the factors, which led to the breakdown of the placement. This helps in planning future placements. These meetings are chaired by an Independent Chairperson. A summary of the conclusions of this meeting are considered by the management team, and with the Adoption Panel to inform future practice.

## Birth Families

Birth parents and birth families are entitled to services that recognise the lifelong implications of adoption.

Birth parents will be informed and consulted at the earliest stage when the agency has decided parallel plans, which include adoption. They will have the opportunity to give their account of events and to see and comment on what is written about them in reports for the Adoption Panel and in information passed to adopters.



Birth Parents will be offered a worker from the Adoption Team to advise and support them throughout the adoption process. If requested, this service can be provided by another local authority or purchased independently.

The Agency will provide a service for birth parents that wish to relinquish their child for adoption, usually babies. When the agency is approached before the child's anticipated birth, as much preliminary work as possible will be undertaken with the birth parents before the child is born, to ensure that the decision to place for adoption is based on the fullest possible consideration of all the alternatives available.

All birth parents will be encouraged to provide information and contribute to their child's life storybook and letter for later life. The life storybook provides a simple and age appropriate explanation of what has happened to the child up until they join their adopted family. It includes pictures of important people and places in the child's life so far, mementoes and other information relevant to the child. The child's social worker usually does this work with help and advice from the adoption worker. (For more information see Adoption Agency Policy Statement)

A Birth Parent drop-in runs on a monthly basis to support Birth Parents with any issue relating to adoption and especially to support in the provision of letterbox contact.

## Step-Parent Adoption

The Service also provides advice, information and counselling for those who are seeking to secure the adoption of their partner's children. The same service will be provided for adoption by relatives.

Enquirers are sent written information about non-agency adoption within 2 working days. If having read the information provided, families wish to proceed, they are asked to apply in writing. Applicants are asked to complete the forms for statutory checks in line with agency adopters.

The adoption team will provide a detailed report for the court having considered all alternatives to adoption with the applicants. The Agency has a duty to only recommend adoption where it is in the best interests of the child for an order to be made.

In order to assess whether adoption is in the best interests of the child, it is necessary to seek the child's own views and the views of the birth parent who is not making the application. Similarly the views of wider family members will be taken into consideration where appropriate. (For more information see Adoption Agency policy Statement)

## Services for Adopted Adults

The Service offers counselling and acts as an intermediary with the birth family where adoptees over the age of 18 years contact the Adoption Service seeking information or seeking contact with their birth family. This includes those seeking access to their adoption records, referred to the team by the General Register Office.

This service is available both to those adults adopted through this Agency and those living in this area whose adoptions were arranged through other Adoption agencies. (For more information see Adoption Agency policy Statement)

Where adoptees are under the age of 18 and are seeking further information and possible contact with the birth family, the agency will offer counselling and act as an intermediary, taking into account the views of the adoptive family.

Support is offered to all young adult adoptees as they reach 18 regarding on-going information exchange and where appropriate the tracing of birth records and/or their birth parents.

### Birth Relative Initiated Contact

Requests from adult birth family members for help seeking information or making contact with adult adoptees, placed by the Agency, will be facilitated by the team, who will act as an intermediary, approaching the adult adoptee, where their whereabouts can be found.

Recognising the potential impact that this work may have upon the adopted person, their separated sibling and other involved people; the work will be guided by the following general principles:

- The welfare, safety, needs, current circumstances and wishes of the adopted adult and others involved will inform any work undertaken.
- The role of the Service will be to assist the individual to understand and accept the situation they are in and the choices open to them, not to advocate on their behalf.

(For more information see Adoption Agency Policy Statement)

### Applications for approval as an Inter-country Adopter

The Service believes that with inter-country adoptions, as with all other adoptions, the child's needs are paramount. The service will provide initial written information and counselling to applicants seeking to adopt a child from another country and offer advice on how further specific information regarding the legal and good practice arrangements for adoption in a particular country might be obtained. The team will apply the same standards as for domestic adoptions. (For further information see Adoption Agency Policy Statement)

### Equal Opportunities

The Adoption Team is committed to working in an anti-discriminatory way, incorporating the Authorities Equal Opportunities Policy in all its work. Ensuring services to children meet their individual needs such as racial and cultural identity, religious and linguistic needs, disability, gender and sexuality.

The service endeavours to make a positive commitment to address these needs and promote respect and celebrate difference.

## Child Protection

The Service complies with the SET procedures and Southend's Safeguarding Board policy in all areas of child protection and provides adequate training to its staff and adopters to ensure that children are safeguarded and protected at all times.



## Adoption Panel

Southend Adoption Panel is compliant with The Adoption Agency Regulations 2005 (amend 2011 & 2013) and relevant guidance. Terms of reference for this panel and panel membership are available within the Southend Adoption Agency Policies.

The panel consists of people with a wide range of experience and diverse backgrounds and operates at sufficient frequency to avoid delay in considering children for adoption, approval of adopters and matching.

The Adoption panel is set up in accordance with government regulations. The panel is there to make recommendations to the agency on two main issues -

- ✓ Whether to approve people as suitable adopters
- ✓ Whether a match for a child with a particular adopter is right for them

They also comment on –

- ✓ Adoption Support Plans
- ✓ Contact arrangements
- ✓ Issues of concern, which they feel the Agency needs to put right.
- ✓ Quality assurance matters

The Agency Decision Maker will then consider the panel's recommendations before making a decision. Whether a child should be placed for adoption is now the decision of the Decision Maker and is no longer presented to the full adoption panel apart from where a child is relinquished.

## Panel Arrangements

Southend has one Adoption Panel which usually meets monthly. The panel has been reconstituted under the Adoption Agencies Regulations 2005 – amended 2011 & 2013. There is now a central list of panel members who perform the functions of the adoption panel.

The panel ensures an independent chairperson. Southend appointed Panel Chair (Barbara Foster) in June 2014, and we have two independent Vice-Chairs who will stand in as required.

The main decision maker is John O’Loughlin, Director of Children’s Services in the Department for People. He has overall responsibility for services for looked after children and is Decision Maker in cases presented for Preferred Option. There is a deputy Decision Maker, Simon Leftley, Deputy Chief Executive.

## Involving people in Agency Decisions

Applicants to be approved as adopters are always invited to attend the panel where their approval is being considered and subsequently when they are matched with a child.

The panel always gives reasons for their recommendations. These reasons are recorded in the panel minutes. When applicants attend panel they are informed of the recommendation immediately in most cases, otherwise within 24 hours. Decisions are made within 7 days of the Decision Maker receiving the relevant minutes.

Individual decisions are made about when and how to tell children about agency decisions that adoption is right for them. The child’s age, maturity and understanding and what they are likely to understand is taken into account.

If the decision maker is minded not to approve an adoptive applicant or not to continue with their assessment, he will write to them setting out the reasons and giving them the chance within 40 days to ask for the decision to be reviewed by the Independent Review Mechanism.

## Placements with other Adoption Agencies

When children’s needs cannot be met locally, they will be placed with adopters approved by other adoption agencies. Similarly, adopters approved by Southend who do not match the needs of the local children are assisted to have a child placed with them from elsewhere.

## A Summary of the Complaints Procedure Established in Accordance with Section 26(3) of the Children Act 1989(A) and the Complaints Procedure Directions 1990 (B)

Complaints about adoption fall into two categories as follows:

1. Where the complaint is related to the service received, this is dealt with in accordance with Section 26 of the Children Act 1989, and the procedures on complaints for the Southend Borough Council’s Department for People.

A service user or somebody acting on their behalf can make a complaint by contacting:

Customer Services Manager  
Department for People  
PO Box 6, Civic Centre  
Victoria Avenue  
Southend – on – Sea  
Essex SS2 6ER

2. Where the complaint relates to the fact that the Agency Decision Maker decides not to approve the applicant, then the applicant will have the opportunity to have their case reviewed by the adoption service, or be referred to the Independent Review Mechanism.

The Independent Reviewing Mechanism is organised by the British Associate of Adoption and Fostering. The Independent Review Mechanism (IRM) is a review process, conducted by a panel, which prospective adopters can use when they have been informed that the Adoption Agency does not consider them suitable and does not propose to approve them as adoptive parents (or has withdrawn the approval).

More information on the IRM can be obtained from:

Contract Manager,  
Independent Review Mechanism (IRM)  
Unit 4,  
Pavilion Business Park,  
Royds Hall Road,  
Wortley,  
LEEDS  
LS12 6AJ

Telephone: 0845 450 3956

Fax: 0845 450 3957

Email: [irm@baaf.org.uk](mailto:irm@baaf.org.uk)



## Contact Addresses and Telephone Numbers

The Southend – on – Sea Borough Council Adoption Agency is registered with:

**OFSTED**

Piccadilly Gate  
Store Street  
Manchester  
M1 2WD

08456 404045

[enquiries@ofsted.gov.uk](mailto:enquiries@ofsted.gov.uk)

**Southend** Adoption and Fostering, Floor 7, Civic Offices, Victoria Avenue, Southend on Sea, Essex

Diane Keens (Group Manager) <a href="mailto:dianekeens@southend.gov.uk">dianekeens@southend.gov.uk</a>	01702 534406
Jo Hines (Team Manager) <a href="mailto:johines@southend.gov.uk">johines@southend.gov.uk</a>	01702 212126
Aimee Fossett <a href="mailto:aimeefossett@southend.gov.uk">aimeefossett@southend.gov.uk</a>	01702 212128
Faye Khraud Social Worker <a href="mailto:fayekhraud@southend.gov.uk">fayekhraud@southend.gov.uk</a>	01702 212129
Ann Caine <a href="mailto:anncaine@southend.gov.uk">anncaine@southend.gov.uk</a>	01702 534374
Diane Bowden <a href="mailto:dianebowden@southend.gov.uk">dianebowden@southend.gov.uk</a>	01702 215747
Anna Harris <a href="mailto:annaharris@southend.gov.uk">annaharris@southend.gov.uk</a>	

## The System for Reviewing the Statement of Purpose

The Statement of Purpose will be reviewed annually and presented to Southend Borough Council's Cabinet for approval.

For a copy of this document in any other format / language, or to order more copies, please call 01702 212938



**Southend Borough Council  
Statement of Purpose**

**Southend Fostering Service**

Civic Centre  
Victoria Avenue  
Southend on Sea  
Essex

**December 2018**

Telephone: 01702 212938  
Website: [www.southend.gov.uk](http://www.southend.gov.uk)

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## Introduction

### **Southend Fostering Service**

The Fostering Service is managed within the Department for People and is led by John O'Loughlin, Director of Children's Services.

### **Status and Constitution:**

The Southend Fostering Service is part of Southend Borough Council and is a 'Local Authority Fostering Service' as recognised within the Fostering Service Regulations 2011(amend 2013).

Southend Fostering Service is based at:

Civic Centre  
Victoria Avenue  
Southend on Sea  
Essex  
SS2 6ER  
Tel No: 01702 212180

### **The Service's Values**

Southend's Success for All Children's Group has the following shared vision

'We aim to make sure that all children and young people who live in Southend are able to take advantage of the opportunities which are here now and to enhance these opportunities for the future. It is to

- Help them raise their aspiration and achievement
- Ensure they have the opportunities they need for inclusion
- Facilitate their participation in decision making that affects their lives
- Strive for excellence in the services we provide

The success of this will be measured against the OFSTED guidance for inspection of:

- Gaining Children & Young People's views
- Value for money
- Helping children to be healthy
- Protecting children from harm or neglect and helping them to stay safe
- Success for children
- Achieving economic wellbeing
- Helping children to make a positive contribution
- Promoting equality and tackling discrimination
- Helping children to achieve well and enjoy what they do

The Department for People believes that children and young people who cannot be cared for within their own family, whether that be for a short or longer period of time, are often best served by being cared for within another family. The Department for People has sought to develop a Fostering Service that can meet the physiological, psychological, emotional, ethnic, cultural and religious needs of children who are looked after by Southend Borough Council. The agency's primary aim is to provide safe, high quality family care for children and young people.



## Aims & Objectives

The overall aim of Children's Services is to provide safe, secure and effective services that enable all children to fulfil their potential, maximise their health and live successful adult lives. The aims of Children's Services are:

- To give all looked after children the same opportunities and benefits as other children to live in a safe, secure and stable environment.
- To enable children in care to reach their potential.
- To create a safe environment for looked after children.
- To ensure that looked after children are not disadvantaged or excluded by giving them a sense of belonging in their homes, schools and community.
- To develop and meet the emotional needs of looked after children.
- To provide looked after children with the ability to build and maintain stable relationships.
- To provide looked after children with life opportunities that will assist them to grow into autonomous healthy adults who will be responsible citizens and parents themselves.

In particular the Fostering Service's objectives are:

- To provide the best possible placements for children and young people to enable them to reach their full potential.

- To recruit, assess and support foster carers so they can provide a wide range of placements, which meet the diverse needs of looked after children and young people
- To ensure that the Children's Pledge and Foster Carer Charter are embedded into all work undertaken by the service.
- To ensure that sufficient resources are available through clear sufficiency planning, to meet the needs of our Looked after Children.

### **How will this happen?**

These outcomes will be achieved by:

- Providing placement choices that reflect equality, diversity, individual and personal needs
- Delivering local placements wherever possible to allow ongoing appropriate levels of support
- Active leadership that delivers clarity of purpose to the fostering service
- Clarity about the purpose of individual placements
- Providing access to support services (e.g. health) for children and foster carers.
- Facilitating the maintenance of contact and valued relationships
- Support Friends and Family Carers in the same way as any other Foster Carer
- Avoiding drift and working with time scales that meet the child's best interests
- Designing and managing effective processes and ways of working
- Joint working and partnership
- Ensure that there is a 'Staying Put' procedure in place so that when a young person reaches the age of 18 and they cease being looked after, they have the opportunity to remain with their current foster carer under a supported lodgings agreement.



**By working in partnership with foster carers within Southend-on-Sea to improve the quality of foster care.**

- The Agency and Fostering Families have established Southend Foster Families Community in partnership, which plays a key role in the strategic and operational development of the service.
- Provide a grant to the Southend Foster Families Community.
- Adopt and carry out our work as set out in the Foster Carer Charter and Pledge to Looked After Children

**To recruit, train, support and supervise foster carers the service organises:**

- Advertising, publicity campaigns and recruitment initiatives
- Initial visits to applicants
- Safeguard checks on applicants
- Fostering preparation courses
- Assessments of foster carers and Family and Friends carers
- Presentation of foster carers and Family and Friends foster carers to the Fostering Panel
- Post approval training e.g. De-escalation and Behaviour Management and Valuing Diversity Support to carers during the assessment process and post approval
- Monitoring and improvement of standards of care
- Annual Fostering Household Reviews
- Provision of adequate allowances to enable foster carers to purchase equipment and furniture required for the purpose of fostering
- Support to carers at children's reviews and in the preparation of reports
- Supervision of carers to develop and maintain good standards of practice

**To ensure the highest quality of care for Looked after Children:**

- Standards of care are monitored through regular supervision, including unannounced visits. Any concerns about standards of care are addressed by the supervising social worker.
- Annual household reviews are undertaken and take into account the views of service users.
- Unannounced visits at least annually and more frequent where concerns or difficulties arise.
- Where concerns are noted or investigations are commenced following allegations against foster carers, the Fostering Service will ensure that these are investigated and that the foster carers are supported through the process.
- Following any formal Section 47 inquiries, the Fostering Panel will consider the Fostering Service's appraisal of the foster carers continued capacity to care for children.
- Support and advice for carers is available 24 hours a day.

**To provide an in-house placement service for Looked after Children:**

- A duty worker is available during office hours to take referrals from the Fieldwork Service and match children with appropriate in-house foster placements.

- Details of carers willing to take emergency placements are provided to the emergency duty team when the office is closed.

**To promote a positive image of fostering for foster carers, the children of foster carers and children and young people placed with foster carers:**

- Build a positive sense of identify for carers and foster families
- Long Service Awards for foster carers.
- Positive media coverage
- Fund raising and promotional events
- Awards for looked after children
- Annual celebration event for sons and daughters of foster carers

**To create an environment of continuous improvement and innovation in everything we do:**

- Consult with carers and their representatives about the service and how to improve it.
- Consult with children and young people who are looked after
- Consult with foster carer's children
- Consult with service users and their representatives about the service and how to improve it.
- Consult with staff and their representative about the service and how to improve it.
- Consult with partner agencies about the service and how to improve it.
- Undertake reviews of the service.
- Ensure that staff are trained and motivated to deliver a child centred service
- Learn in order to deliver continuous improvement through:
  - The assessment and review of the service
  - Responding positively to complaints and feedback
  - Learning from any placement disruptions
  - Involving children in policy and decision making
  - Ensuring that children's wishes and feelings will be actively sought and fully taken into account at all stages
  - Taking corporate responsibility within Children's services for the effective management, quality and support of placements
  - Being vigorous in challenging poor practice and addressing problems effectively.

## Management, Staffing & Services

### Management Structure

The Fostering Service is part of the Department for People Children's Services. The Director of Children's Services is John O'Loughlin who is also the Decision Maker. The Fostering Service is part of Placements & Resources which is managed by the Head of Service Placements & Resources Diane Keens who is also the Registered Manager.

Quality assurance issues are managed by this Group Manager and the Group Manager Specialist Resources and Quality Assurance. It is also managed through the Fostering Panel.

## Staffing

- **1 Team Manager** - Emmet Perry (full-time)
- **4 Senior Practitioners** - Martelize Kinnear (Part-time)
  - Toni Bisaccia (full-time)
  - Phil Bugg (Full-time)
  - Sue Snoxell (Full time senior fostering worker for SGO and Private Fostering)
  - Karen Eves (full time) Mental Health worker
- **2 Placements Commissioning Officers** - Howard Cecil (full-time)
  - Magdalena Wach-Sowa (full time)
- **7 Supervising Social Workers**
  - Rebecca Sparrow (full-time)
  - Nikki Seaden (full-time)
  - Caroline Dolby (full-time)
  - Jodie Wessell (full-time)
  - Suz Sawtell (part-time)
  - Lynn Hails (full-time)
  - Eunice Charangwa (Part-time)
  - Vacancy (full time)
- **1.5 Fostering Administrators** - Sally Andrews (part-time)
  - Loraine Little (full-time)
- **Marketing and Recruitment Officer** - Dawn Webb (part time)
- **1 Senior MH worker** – Karen Eves (Full Time)

The Team Manager and all supervising workers are qualified social workers, holding the Diploma/Degree in Social Work or an equivalent qualification.

## Services provided:

Southend Fostering Service exists in order to provide foster care for children and young people looked after by Southend Borough Council. The Fostering Service aims to recruit sufficient carers in numbers and range of skills to enable children and young people to be placed local to their families and other support networks. The agency offers placements with carers who meet National Standards and receive comprehensive support and training. There is the opportunity for career progression for foster carers through fee paid schemes. There is an arrangement in place for independent support in the case of allegations, by way of a partnership scheme between Southend and Thurrock fostering services.

## Placement Options

### Long term (permanent):

Duration: Until adulthood

Purpose: Permanent, substitute care

### Task centred:

Duration: 1 to 2 years including preparation for independence

Purpose: Provide substitute care where a lengthy piece of work is required, or for teenagers.

### Short term:

Duration: Up to 1 year

Purpose: Provide substitute care while plans are formulated or a specific piece of work is carried out, e.g. assessment of parents.

### Parent and child:

Duration: Up to 1 year (occasionally longer)

Purpose: Support parent, protect baby, and assess parenting skills.

### Respite:

Duration: 1- 28 days; may be one off, or a planned series of placements, not exceeding 110 nights per year.

### Remand and bail support:

Duration: Up to a year (very occasionally longer)

Purpose: Provide a placement when a young person is remanded to Local Authority accommodation by the Court.

### Emergency:

Duration: Up to 28 days (may then evolve into short term or other type of placement)

Purpose: Emergency substitute care at very short notice.

### Supported Lodgings

Duration: Ongoing until young person is able to move to independent living.

Purpose: To provide a supportive home environment to aid transition to independent living.

### Short Breaks

Duration: No longer than 17 days in any one period and for no more than 75 days per annum  
Purpose: To provide short term care and support for CWD and children in need

#### Staying Put

Duration : 18-25 years  
Purpose: To provide ongoing support post 18 for care leavers within their foster placement



### **Services Provided**

Southend Fostering Service offers a therapeutic service for children and young people through the Marigold Assessment +, the Southend Emotional wellbeing Mental Health service (EWMHS) services, and where needed, with adjoining EWMHS services e.g. where carers live outside the boundaries of Southend on Sea.

We have a senior mental health worker, working directly with the fostering service, to support the emotional health and wellbeing of Looked after Children in Southend.

Specialist education support is available through the Virtual Head Teacher and Advisory Teacher for Looked after Children, who are based within the Civic Centre. Children with special educational needs are provided with services through the special educational needs service. Specialist health support is available through the agency's Lead Nurse for Looked after Children.

The Virtual School Headteacher's role is to co-ordinate services for looked after children and their families, so that all school-age children in the care of Southend Borough Council are receiving the best possible education. The Virtual School approach is to work with looked after children as if they were in a single school, liaising with the schools they attend, tracking the



progress they make and supporting them and their carers to help them achieve the best possible outcomes.

The Edge of Care Team has dedicated workers to support foster carers to prevent placement breakdown.

## **Children Placed**

The majority of children are placed with in-house foster carers. The remaining children in foster placements are largely placed with independent fostering agencies (IFAs) that have an agreement with Southend Borough Council and provide local placements. Southend will usually only place with independent providers deemed 'good' or 'outstanding' by OFSTED.

The foster carer recruitment strategy, aimed at attracting local families to become foster carers, is increasing the number of available in-house placements.

## **Carer Households**

The Fostering Service currently has 113 approved carer households across all the categories. Whilst several new Foster Carers have been approved, others have resigned or retired over the past year, however we continue to successfully recruit locally. The recruitment campaign is in place to recruit additional carers to reflect the needs of Southend's looked after population. Foster Carers need to reflect the ethnic and religious backgrounds of the children looked after by Southend Borough Council. We are particularly seeking carers from black and minority ethnicities, carers who can offer a home to large sibling groups, carers for children with a disability and carers willing to take adolescents. Fostering Allowances are set in detail in the Fostering Allowances booklet and policy. These figures are reviewed annually.

The Southend Fostering Team continues to carry out foster care and Family and Friends assessments and to assess and formally support and supervise all Connected Person's placements.

## **Procedures for the Recruitment, Approval, Training, Support and Review of Foster Carers**

Southend Fostering Service has undertaken to ensure that its practices comply with the National Minimum Standards (2011). Furthermore the policies in relation to the recruitment,

assessment, approval, training, management, support and supervision of foster carers reflect the expectations set out in the preceding Code of Practice.

Southend Fostering Service undertakes all its work within the principle, set out in the 1989 Children Act, that the welfare of children is paramount. This principle is applied to the agency's decision making, planning and daily work.

All social work tasks, including the assessment, support and supervision of foster carers, are carried out by qualified and experienced social workers.

All enquiries to the agency by people expressing an interest in becoming a foster carer are responded to promptly. We aim to have formally acknowledged the enquiry within two working days by sending an acknowledgement letter and information leaflets. This will be further supported by a phone call and a home visit within 7 working days of their confirmation that they wish to proceed.

Applicants are then invited to attend the Skills to Foster course. These are run at least every 3 months. Subject to satisfactory safeguard checks and the agreement of the Team Manager, applicants are also invited to make a formal application and are immediately allocated for assessment.

The target date for presentation to the Fostering Panel is within 6 months from the date of the initial enquiry. Applicants are invited to read the assessment report and to attend the Fostering Panel considering their application. The Fostering Panel's recommendations are then considered by the Director of Children's Services who is the decision maker. Each foster carer is allocated a named supervising social worker, who visits them on a regular basis. The agency also provides a 24 hour on call system through their Out of Hours service, staffed by specialist, experienced foster carers. Foster carers are offered respite as required by the Care Plan and Placement Agreement for each child.

## **Foster Carer Allowances**

Fostering Allowances are set in detail in the Fostering Allowances booklet and policy. These figures are reviewed annually.

## **Ongoing Learning and Development**

A rolling programme of training is provided for foster carers, including courses on:

- Fostering Challenge

- Apprentiships
- Valuing Diversity
- Managing difficult behaviour
- De-escalation
- The effects of separation and loss
- First aid
- Substance misuse
- Life story work
- Court work
- Theraplay
- Child Protection
- Health of Looked after Children
- Fostering changes

Southend Fostering Service has full membership of CoramBAAF and Fostering Network and all carers have membership to Fostering Network (funded by the Fostering Service) where they can gain additional support and advice.

### **Fostering Panel**

- The Fostering Panel is independently chaired.
- The Panel is compliant with the Fostering Regulations 2011 (updated 2013).
- The Panel meets on a monthly basis
- The Panel considers recommendations for the approval of foster carers and matches between foster carers and specific children where a long term placement is planned. It also oversees Household Reviews and the de-registration of foster carers and helps with quality assurance.

### **Quality Assurance and Strategic Planning**

The Fostering Service keeps statistical records and undertakes analysis in order to inform judgement on the quality of the services offered and to provide information on which to strategically plan future placement requirements.

The Borough has a Commissioning Strategy, drafted in line with Department of Health guidance on 'Planning & Providing Good Quality Placement for Children in Care'. Information is kept and monitored on:

- The number of referrals of children/young people by age, ethnicity, religion, culture, gender and disability,
- The number of enquiries to approval, number of carers by age, ethnicity, religion, culture, gender and disability
- The number of Annual Foster Home Reviews conducted to timescale
- Disruption rates

There is a clear audit programme for all foster care files.

## Private Fostering

The Fostering Service is responsible for:

- Information on Private Fostering within the local community together with the Local Safeguarding Board.
  - The completion of a Private Fostering Assessment to ensure that the placement can meet the child's needs.
- The maintenance of a register of people privately fostering and children placed with them
- The monitoring of standards within private foster homes.
- Awareness raising within the local community

## Complaints

Complaints leaflets are provided to foster carers. Complaints leaflets are provided to children and young people by their own social worker and the fostering service provides further copies when requested or when circumstances indicate that this is relevant. Adults and children are encouraged to discuss any concerns about the service with their social worker and/or the team manager.

### Making a Complaint

Southend Borough Council, Department for People has a Complaints Manager. Complaints, or indeed general comments or compliments, about the service can be lodged. Any complaint will be acknowledged and the Complaints Manager will organise an investigation of the complaint according to the three stages of complaints (Stage 1, Stage 2 and Stage 3).

The Complaints Manager can be contacted at  
 Department for People  
 Civic Centre  
 Victoria Avenue  
 Southend-on-Sea  
 Essex SS2 6ER

Telephone 01702 215085 or by email [childrenscomplaints@southend.gov.uk](mailto:childrenscomplaints@southend.gov.uk)

Comments and Complaints can also be made to Ofsted:

OFSTED  
Piccadilly Gate  
Store Street  
Manchester  
M1 2WD  
03001231231

Maggie Atkinson Children's Commissioner for England  0800 528 071 Advice.team@childrenscommissioner.g si.gov.uk
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### Additional Copies

Copies of this Statement are routinely given to people using the services provided by Southend Fostering Services.

A Children's Guide to our services is also available.

For a copy of this document in any other format/language, or to order more copies, please contact:

Southend Fostering Service  
Civic Offices  
Victoria Road  
Southend on Sea  
Essex SS2 6ER  
Tel No: 01702 212180

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# Southend-on-Sea Borough Council

Report of Strategic Director (Finance & Resources)  
To  
**Cabinet**  
on  
12 March 2019

Report prepared by: Caroline Fozzard  
Group Manager – Financial Planning and Control

Agenda  
Item No.

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**Quarter Three Treasury Management Report – 2018/19**  
**Policy and Resources Scrutiny Committee**  
**Cabinet Member: Councillor John Lamb**  
***Part 1 (Public Agenda Item)***

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**1. Purpose of Report**

- 1.1 The Quarter Three Treasury Management Report covers the treasury management activity and compliance with the treasury management strategy for both quarter three and the period from April to December 2018.

**2. Recommendations**

**That the following is approved:**

- 2.1 The Quarter Three Treasury Management Report for 2018/19.**

**That the following is noted:**

- 2.2 Treasury management activities were carried out in accordance with the CIPFA (The Chartered Institute of Public Finance and Accountancy) Code of Practice for Treasury Management in the Public Sector during the period from April to December 2018.**
- 2.3 The loan and investment portfolios were actively managed to minimise cost and maximise interest earned, whilst maintaining a low level of risk.**
- 2.4 £0.628m of interest was received during the nine month period. The total investment income earned including this interest during this nine month period was £1.843m, at an average rate of 3.54%. This is 3.06% over the average 7 day LIBID (London Interbank Bid Rate) and 2.90% over the average bank rate. (Section 8).**
- 2.5 The level of borrowing from the Public Works Loan Board (PWLB) (excluding debt relating to services transferred from Essex County Council on 1<sup>st</sup> April 1998) remained at the same level of £227.8m (Housing Revenue Account (HRA): £77.0m, GF: £150.8m) during the period from April to December 2018.**

- 2.6 The level of financing for ‘invest to save’ capital schemes decreased from £8.74m to £8.68m during the period from April to December 2018.
- 2.7 The commercial property investment decision set out in section 14, made under delegated authority by the Strategic Director (Finance and Resources).

### **3. Background**

- 3.1 This Council has adopted the ‘CIPFA Code of Practice for Treasury Management in the Public Sector’ and operates its treasury management service in compliance with this code. The code recommends that local authorities submit reports regularly as part of its Governance arrangements.
- 3.2 Current guidance is that authorities should report formally at least twice a year and preferably quarterly. The Treasury Management Policy Statement for 2018/19 set out that reports would be submitted to Cabinet quarterly on the activities of the treasury management operation. This is the third quarter report for the financial year 2018/19.
- 3.3 Appendix 1 shows the in-house investment position at the end of quarter three of 2018/19.
- 3.4 Appendix 2 shows the treasury management performance specifically for quarter three of 2018/19.

### **4 National/Global Context**

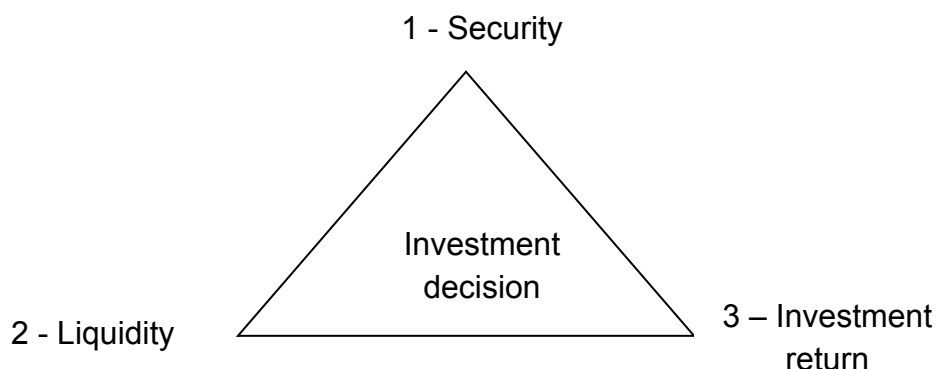
- 4.1 At the beginning of August the Bank of England increased the bank base rate from 0.5% to 0.75%. The Monetary Policy Committee is likely to wait and see that happens with Brexit before any further changes. In January CPI was 1.8%, a reduction from 2.1% the previous month and the lowest since January 2017. The labour market remains buoyant with wage growth improving to a ten year high in October. Together with a lower CPI there is the potential for real wages growth which could boost household spending.
- 4.2 Annual GDP growth for 2018 was 1.4%, the lowest since 2012 due to the uncertainty around Brexit. However, analysts believe that if a solution can be achieved then the economy could fare well.
- 4.3 Average house prices in the UK increased by 2.5% in the year to December, down from 2.7% for the year to November. The lowest annual growth was in the North East, where prices fell by 1.0% over the year to December. This was followed by London where prices fell 0.6% over the year.
- 4.4 Growth in the Eurozone is slowing with slower household consumption growth, along with the weaker demand in China and the UK. Business confidence has been knocked, in part by the China-US trade dispute and also by a potential “no-deal” Brexit.



- 4.5 In the US, falls in oil/gasoline prices have helped to boost consumer spending and real consumption growth. However, the expectation is that this will slow in 2019 and the Federal Reserve may move from increasing rates in 2019 to starting to reduce them in 2020.
- 4.6 In China, the economy is weaker than a year ago with growth of around 5.5%. Weaker external demand is likely to be a factor with industrial sales for export markedly lower. Construction activity, which has underpinned growth, has also slowed. Rising food price inflation has been driving CPI higher over the last couple of years. Non-food inflation has also increased as rising oil prices have pushed fuel prices higher.
- 4.7 The economic situation together with the financial market conditions prevailing throughout the quarter continued to provide challenges for treasury management activities. Due to the low interest rate environment, only monies needed for day to day cash flow activities were kept in instant access accounts.
- 4.8 Low interest rates prevailed throughout the period from April to December 2018 and this led to low investment income earnings from the in-house investments.

## 5 Investments – quarter three (October to December)

- 5.1 A prime objective of our investment activities is the security of the principal sums invested. To ensure this security before a deposit is made an organisation is tested against a matrix of credit criteria and then other relevant information is considered. During the period from October to December 2018 investment deposits were limited to those who met the criteria in the Annual Treasury Management Investment Strategy when the deposit was placed.
- 5.2 Other investment objectives are to maintain liquidity (i.e. adequate cash resources to allow the council to operate) and to optimise the investment income generated by surplus cash in a way that is consistent with a prudent level of risk. Investment decisions are made with reference to these objectives, with security and liquidity being placed ahead of the investment return. This is shown in the diagram below:



Security:

- 5.3 To maintain the security of sums invested, we seek to lower counterparty risk by investing in financial institutions with good credit ratings, across a range of

sectors and countries. The risk of loss of monies invested is minimised through the Annual Treasury Management Investment Strategy.

- 5.4 Pie chart 1 of Appendix 1 shows that at the end of quarter two; 100% of our in-house investments were placed with financial institutions with a long term rating of A.
- 5.5 As shown in pie chart 2 of Appendix 1, all these monies were placed directly with banks.
- 5.6 Pie chart 3 of Appendix 1 shows the countries where the parent company of the financial institution with which we have monies invested is registered. The cumulative balance of funds held with any one institution was kept within agreed limits.

Liquidity:

- 5.7 Our in-house monies were all available on an instant access basis at the end of quarter three. The maturity profile of our investments is shown in pie chart 4 of Appendix 1.

Investment return:

- 5.8 During the quarter the Council used the enhanced cash fund manager Payden & Rygel to manage monies on our behalf. An average balance of £5.1m was invested in these funds during the quarter earning an average rate of 0.16%. More details are set out in Table 3 of Appendix 2.
- 5.9 The Council had an average of £19.6m of investments managed in-house over the period from October to December, and these earned an average interest rate of 0.75%. Of the in-house managed funds:
- use was made of call accounts during the quarter because they provide instant access to funds. An average of £9.2m was held in these accounts and earned an average return of 0.65% over the quarter.
  - an average of £10.4m was held in money market funds earning an average of 0.83% over the quarter. These work in the same way as a deposit account but the money in the overall fund is invested in a number of counterparties, therefore spreading the counterparty risk.
- 5.10 In accordance with the Treasury Management Strategy the performance during the quarter is compared to the average 7 day LIBID (London Interbank Bid Rate). Overall, performance on our investments was higher than the average 7 day LIBID. The 7 day LIBID rate fluctuated between 0.58% and 0.59%. The bank base rate remained at 0.50% until 2<sup>nd</sup> August when the Bank of England increased it to 0.75% and it remained at that level throughout the rest of the period to December 2018. Performance is shown in Graph 1 of Appendix 2.

## **6 Short Dated Bond Funds – quarter three (October to December)**

- 6.1 Throughout the quarter medium term funds were invested in two short dated bond funds: Royal London Investment Grade Short Dated Credit Fund and the AXA Sterling Credit Short Duration Bond Fund.
- 6.2 The monies are invested in units in the fund, the fund is then invested as a whole by the fund managers into corporate bonds in the one to five year range. An income distribution will be generated from the coupon on the bond. Until November these income distributions were being reinvested back into the fund but are now being paid into the Council's bank account. This change was driven by a change in the capital finance and accounting regulations. The price of units can rise and fall, so these funds are invested over the medium term with the aim of realising higher yields than short term investments.
- 6.3 Following the change in the capital finance and accounting regulations a Financial Instrument Revaluation reserve will be used to capture all the changes in the unit value of the funds. Members should be aware that the investment returns in some quarters will look very good and in other quarters there may be losses reported, but these will not impact the revenue account as only the income distributions paid into the Council's bank account will impact that.
- 6.4 An average of £7.6m was managed by AXA Investment Managers UK Limited. During the quarter the value of the fund decreased by £0.012m due to a decrease in the unit value. There was also an income distribution relating to that period of £0.027m. The combined return was 0.75%.
- 6.5 The AXA fund decreased by £0.012m during this three month period due to the decrease in the value of the units. The fund started the quarter at £7.582m and decreased in value with the fund at the end of the quarter at £7.570m. This is set out in Table 2 of Appendix 2.
- 6.6 An average of £7.7m was managed by Royal London Asset Management. During quarter three, the value of the fund decreased by £0.050m due to a decrease in the unit value. There was also an income distribution relating to that period of £0.047m. The combined return was -0.18%.
- 6.7 The Royal London fund decreased by £0.050m during this three month period due to the decrease in the value of the units. The fund started the quarter at £7.711m and decreased in value with the fund at the end of the quarter at £7.661m. This is set out in Table 2 of Appendix 2.

## **7 Property Funds – quarter three (October to December)**

- 7.1 Throughout the quarter long term funds were invested in two property funds: Rockspring Property Investment Management Limited and Lothbury Investment Management Limited.
- 7.2 The monies are invested in units in the fund, the fund is then invested as a whole by the fund managers into properties. An income distribution is generated from the rental income streams from the properties in the fund. Until November these income distributions were being reinvested back into the fund but are now being

paid into the Council's bank account. This change was driven by a change in the capital finance and accounting regulations. There are high entrance and exit fees and the price of the units can rise and fall, depending on the value of the properties in the fund, so these funds are invested over the long term with the aim of realising higher yields than other investments.

- 7.3 Following the change in the capital finance and accounting regulations a Financial Instrument Revaluation reserve will be used to capture all the changes in the unit value of the funds. Members should be aware that the investment returns in some quarters will look very good and in other quarters there may be losses reported, but these will not impact the revenue account as only the income distributions paid into the Council's bank account will impact that.
- 7.4 An average of £14.7m was managed by Rockspring Property Investment Management Limited. During quarter three, the value of the fund increased by £0.244m due to an increase in the unit value. There was also an income distribution relating to that period of £0.186m and this distribution will be confirmed and distributed in quarter four. The combined return was 11.59%.
- 7.5 The Rockspring fund increased by £0.244m during this three month period due to the increase in the value of the units. The fund started the quarter at £14.724m (excluding the income distribution for quarter two of £0.155m that was forecast at the time but is now paid into the Council's bank account) and increased in value with the fund at the end of the quarter at £14.968m. This is set out in Table 1 of Appendix 2.
- 7.6 An average of £13.9m was managed by Lothbury Property Investment Management Limited. During quarter three, the value of the fund decreased by £0.028m due to a decrease in the unit value. There was also an income distribution relating to that period of £0.105 and this distribution will be confirmed and distributed in quarter four. The combined return was 2.23%.
- 7.7 The Lothbury fund decreased by £0.028m during this three month period due to the decrease in the value of the units. The fund started the quarter at £13.833m and increased in value with the fund at the end of the quarter at £13.805m. This is set out in Table 1 of Appendix 2.

## **8 Investments – quarter three cumulative position**

- 8.1 During the period from April to December 2018 the Council complied with all of the relevant statutory and regulatory requirements which limit the levels of risk associated with its treasury management activities. In particular its adoption and implementation of the Code of Practice for Treasury Management means its treasury practices demonstrate a low risk approach.
- 8.2 The Council is aware of the risks of passive management of the treasury portfolio and has proactively managed levels of debt and investments over the nine month period with the support of its treasury management advisers.

8.3 The table below summarises the Council's investment position for the period from April to December 2018:

Table 1: Investment position

	At 31 March 2018	At 31 December 2018	April to December 2018	
	Actual Balance (£000s)	Actual Balance (£000s)	Average Balance (£000s)	Average Rate (%)
Call accounts <sup>#</sup>	8,186	16,376	8,603	0.64
Money market funds	13,000	0	12,017	0.73
<b>Total investments managed in-house</b>	<b>21,186</b>	<b>16,376</b>	<b>20,620</b>	<b>0.69</b>
Enhanced Cash Funds	5,038	5,057	5,050	0.48
Short Dated Bond Funds	15,193	15,231	15,277	0.96
Property Funds	22,625	28,773	28,151	7.57
<b>Total investments managed externally</b>	<b>42,856</b>	<b>49,061</b>	<b>48,478</b>	<b>4.75</b>
<b>Total investments</b>	<b>64,042</b>	<b>65,437</b>	<b>69,098</b>	<b>3.54</b>

<sup>#</sup>This includes the council's main current account.

8.4 In summary the key factors to note are:

- An average of £20.6m of investments were managed in-house. These earned £0.108m of interest during this nine month period at an average rate of 0.69%. This is 0.21% over the average 7 day LIBID and 0.05% over the average bank base rate.
- An average of £5.1m was managed by an enhanced cash fund manager. This earned £0.018m during this nine month period at an average rate of 0.48%.
- An average of £15.3m was managed by two short dated bond fund managers. This earned £0.111m during this nine month period from a combination of an increase in the value of the units and income distribution, giving a combined return of 0.96%.
- An average of £28.2m was managed by two property fund managers. This earned £1.606m during this nine month period from a combination of an increase in the value of the units and income distribution, giving a combined return of 7.57%.

8.5 The majority of the cash balances managed in-house are required to meet short term cash flow requirements and therefore throughout the nine month period

monies were placed 26 times for periods of one year or less. The table below shows the most used counterparties overall and the countries in which they are based. All deals are in sterling despite the country the counterparties are based in.

Table 2: Counterparties used

Counterparty	Country	No. of Deals	Value of Deals (£m)
BlackRock	Money Market Fund (Various Counterparties)	14	81
Aberdeen Liquidity Fund (formerly Standard Life)	Money Market Fund (Various Counterparties)	10	51
Goldman Sachs	Money Market Fund (Various Counterparties)	1	3
Insight Investment Management Ltd	Money Market Fund (Various Counterparties)	1	3

8.6 In addition to the above, use was also made of call accounts during the year because they provide instant access to funds. This meant that funds were available for cash flow movements to avoid having to pay higher rates to borrow from the market. During the period from April to December 2018 an average of £8.6m was held in such accounts.

## 9 Short Dated Bond Funds – quarter three cumulative position

9.1 An average of £7.6m was managed by AXA Investment Managers UK Limited. During the period from April to December 2018 the value of the fund increased by £0.007m due to an increase in the unit value. There was also an income distribution relating to that period of £0.027m. The combined return was 0.59%.

9.2 The AXA fund increased by £0.007m during this nine month period due to the increase in the value of the units. The fund started the nine month period at £7.563m and increased in value with the fund at the end of the period at £7.570m.

9.3 An average of £7.7m was managed by Royal London Asset Management. During the period from April to December 2018, the value of the fund decreased by £0.113m due to a decrease in the unit value. There was also an income distribution relating to that period of £0.191m. The combined return was 1.33%.

9.4 The Royal London fund increased by £0.031m during this nine month period due to the combination of the decrease in the value of the units and the part of the income distribution that was reinvested. The fund started the nine month period at £7.630m and increased in value with the fund at the end of the period at £7.661m.

## **10 Property Funds – quarter three cumulative position**

- 10.1 An average of £14.5m was managed by Rockspring Property Investment Management Limited. During the period from April to December 2018, the value of the fund increased by £0.607m due to an increase in the unit value. There was also an income distribution relating to that period of £0.505m and the quarter three part of this distribution will be confirmed and distributed in quarter four. The combined return was 10.17%.
- 10.2 The Rockspring fund increased by £0.770m during this nine month period due to a combination of the increase in the value of the units and the part of the income distribution that was reinvested. The fund started the nine month period at £14.198m and increased in value with the fund at the end of the period at £14.968m.
- 10.3 An average of £13.7m was managed by Lothbury Property Investment Management Limited. During the period from April to December 2018, the value of the fund increased by £4.989m due to the purchase of additional units in April and £0.181m due to an increase in the unit value. There was also an income distribution relating to that period of £0.313 and the quarter three part of this distribution will be confirmed and distributed in quarter four. The combined return was 4.81%.
- 10.4 The Lothbury fund increased by £0.389m during this nine month period due to the combination of the increase in the value of the units and the part of the income distribution that was reinvested. The fund started the nine month period at £8.427m and increased in value with the fund at the end of the period at £13.805m.

## **11 Borrowing – quarter three**

- 11.1 The Capital Financing Requirement (CFR) is the Council's theoretical need to borrow but the Section 151 Officer can manage the Council's actual borrowing position by either:
- 1 - Borrowing to the CFR;
  - 2 - Choosing to use temporary cash flow funds instead of borrowing (internal borrowing) or;
  - 3 - Borrowing for future increases in the CFR (borrowing in advance of need).
- 11.2 The Council began quarter two in the second of the above scenarios, with actual borrowing below CFR.
- 11.3 This, together with the Council's cash flow, the prevailing Public Works Loans Board (PWLB) interest rates and the future requirements of the capital programme, were taken into account when deciding the amount and timing of any loans. No debt restructuring was carried out during the quarter.
- 11.4 During quarter three, no new PWLB loans were taken out. No loans matured during the quarter.

- 11.5 The level of PWLB borrowing (excluding debt relating to services transferred from Essex County Council on 1<sup>st</sup> April 1998) remained at £227.8m during quarter three. The average rate of borrowing at the end of the quarter was 4.62%. A profile of the repayment dates is shown in Graph 2 of Appendix 2.
- 11.6 The level of PWLB borrowing at £227.8m is in line with the financing requirements of the capital investment programme and the revenue costs of this borrowing are fully accounted for in the revenue budget. The current level of borrowing is also in line with the Council's prudential indicators and is Prudent, Affordable and Sustainable.
- 11.7 Interest rates from the PWLB fluctuated throughout the quarter in response to economic events: 10 year PWLB rates between 2.04% and 2.53%; 25 year PWLB rates between 2.56% and 2.93% and 50 year PWLB rates between 2.39% and 2.79%. These rates are after the PWLB 'certainty rate' discount of 0.20%.
- 11.8 During quarter three short term borrowing was undertaken for cash flow purposes. Two loans were taken out for £7m and £3m respectively, both at a rate of 0.80%. See Table 4 of Appendix 2.

## 12 Borrowing – quarter three cumulative position

- 12.1 The Council's borrowing limits for 2018/19 are shown in the table below:

	2018/19 Original (£m)	2018/19 Revised (£m)
Operational Boundary	285	280
Authorised Limit	295	290

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

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

- 12.2 The Council's outstanding borrowing as at 31<sup>st</sup> December 2018 was:

- Southend-on-Sea Borough Council £236.5m
  - PWLB: £227.8m
  - Invest to save: £8.7m
- ECC transferred debt £11.3m



Repayments in the first 9 months of 2018/2019 were:

- Southend-on-Sea Borough Council £0m
- ECC transferred debt £0.59m

- 12.3 Outstanding debt relating to services transferred from Essex County Council (ECC) on 1<sup>st</sup> April 1998, remains under the management of ECC. Southend Borough Council reimburses the debt costs incurred by the County. The debt is recognised as a deferred liability on our balance sheet.
- 12.4 The interest payments for PWLB and excluding transferred debt, during the period from April to December 2018 were £6.951m which is the same as the original budget for the same period.
- 12.5 The table below summarises the PWLB borrowing activities over the period from April to December 2018:

Quarter	Borrowing at beginning of quarter (£m)	New borrowing (£m)	Re-financing (£m)	Borrowing repaid (£m)	Borrowing at end of quarter (£m)
April to June 2018	227.8	0	0	(0)	227.8
July to September 2018	227.8	0	0	(0)	227.8
October to December 2018	227.8	0	0	(0)	227.8
<i>Of which:</i>					
General Fund	150.8	0	0	(0)	150.8
HRA	77.0	0	0	(0)	77.0

All PWLB debt held is repayable on maturity.

### 13 Funding for Invest to Save Schemes (included in Section 12)

- 13.1 Capital projects were completed on draught proofing and insulation in the Civic Centre, and lighting replacements at University Square Car Park and Westcliff Library which will generate on-going energy savings. These are invest-to-save projects and the predicted revenue streams cover as a minimum the financing costs of the project.
- 13.2 To finance this project the Council has taken out interest free loans of £0.223m with Salix Finance Ltd which is an independent, not for profit company, funded by the Department for Energy and Climate Change that delivers interest-free capital to the public sector to improve their energy efficiency and reduce their carbon emissions. The loans are for periods of four and five years with equal instalments to be repaid every six months. There are no revenue budget implications of this funding as there are no interest payments to be made and the revenue savings

generated are expected to exceed the amount needed for the repayments. £0.052m of this loan was repaid during the period from April to December 2018.

- 13.3 At the meeting of Cabinet on 23<sup>rd</sup> June 2015 the LED Street Lighting and Illuminated Street Furniture Replacement Project was approved which was to be partly funded by 25 year reducing balance 'invest to save' finance from the Green Investment Bank (GIB). The balance outstanding at the end of quarter three was £8.60m. A repayment of £0.011m was made during the period from April to December 2018.
- 13.4 Funding of these invest to save schemes is shown in Appendix 2, with Table 5 showing the Salix Finance repayment.

## **14 Commercial Property Investment**

- 14.1 In order for the Council to optimise its existing investment assets and to build the portfolio the investment portfolio requires active management in terms of acquisition, management and disposal decisions. Decisions need to be made commercially and often quickly and efficiently and the Council's Constitution already delegates authority to the Strategic Director (Finance and Resources) "to take all steps that are considered appropriate for the administration of the financial affairs of the Council including...to borrow and invest..." These investments are a logical application for those powers which will be enacted by the Strategic Director (Finance and Resources) and will be reported in these quarterly treasury management reports to Cabinet.
- 14.2 The Maplin business went into administration and the unit they occupied in Fossetts Way became vacant. In quarter three the unit was re-let to PureGym Limited, a leading gym operator in the UK. Some investment will be needed to upgrade the electrical supply at the substation which will increase the electrical capacity for this and future occupiers, increasing the Council's asset value and ability to let the space. This investment will be from the Commercial Property Investment capital budget.

## **15 Compliance with Treasury Management Strategy – quarter three**

- 15.1 The Council's investment policy is governed by the CIPFA Code of Practice for Treasury Management in the Public Sector, which has been implemented in the Annual Treasury Management Investment Strategy approved by the Council on 22<sup>nd</sup> February 2018. The investment activity during the quarter conformed to the approved strategy, and the cash flow was successfully managed to maintain liquidity. This is shown in Table 6 of Appendix 2.

## **16 Other Options**

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

## **17 Reasons for Recommendations**

- 17.1 The CIPFA Code of Practice on Treasury Management recommends that Local Authorities should submit reports regularly. The Treasury Management Policy Statement for 2018/19 set out that reports would be submitted to Cabinet quarterly on the activities of the treasury management operation.

## **18 Corporate Implications**

### **18.1 Contribution to the Southend 2050 Road Map**

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

### **18.2 Financial Implications**

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

### **18.3 Legal Implications**

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

### **18.4 People Implications**

None.

### **18.5 Property Implications**

None.

### **18.6 Consultation**

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

### **18.7 Equalities Impact Assessment**

None.

### **18.8 Risk Assessment**

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

## 18.9 Value for Money

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

## 18.10 Community Safety Implications

None.

## 18.11 Environmental Impact

None.

## 19 Background Papers

None.

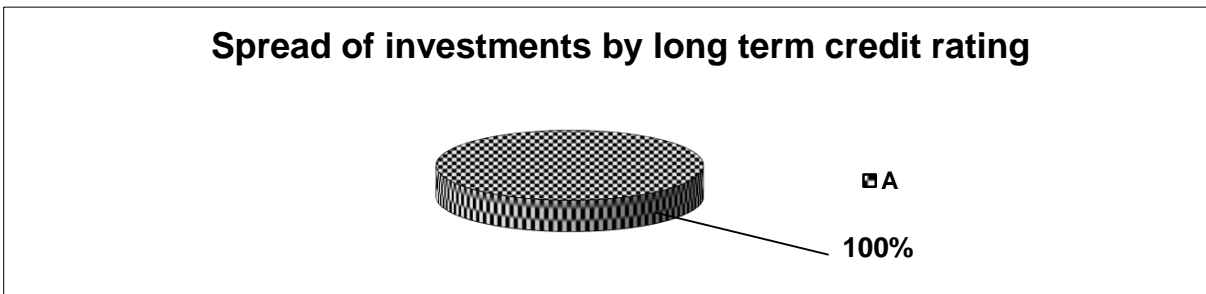
## 20 Appendices

Appendix 1 – In-House Investment Position as at 31<sup>st</sup> December 2018

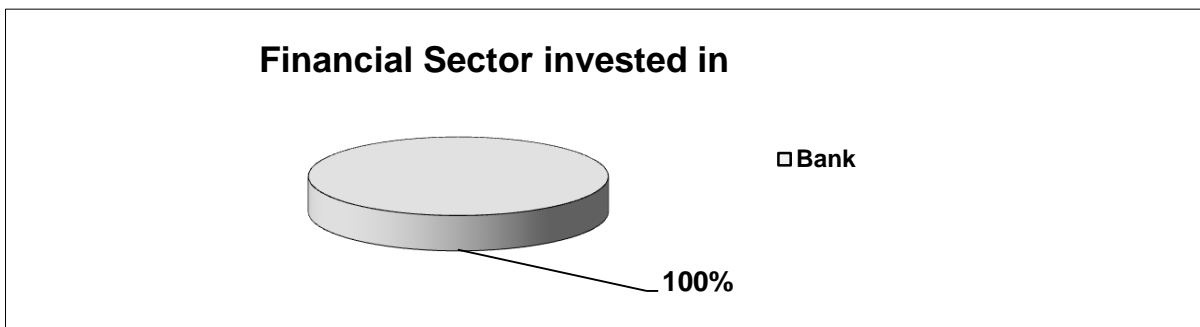
Appendix 2 – Treasury Management Performance for Quarter Three – 2018/19

**INVESTMENTS - SECURITY AND LIQUIDITY**

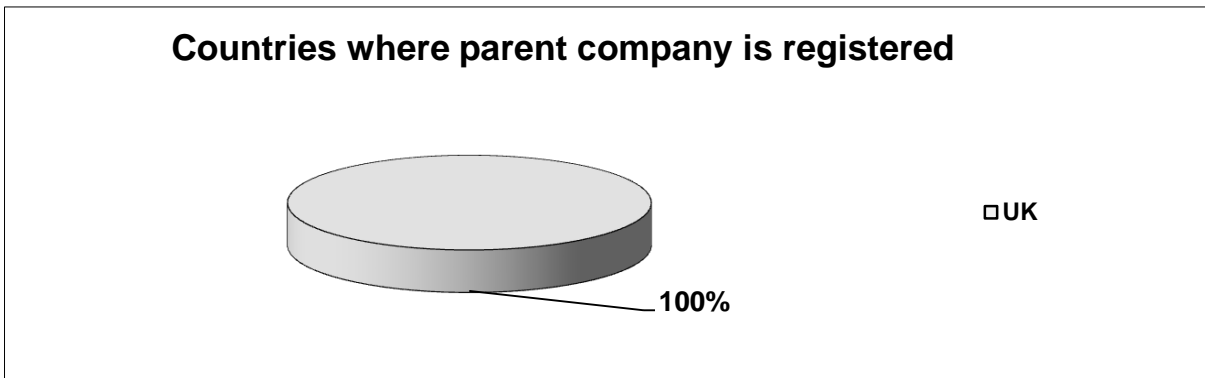
Pie chart 1



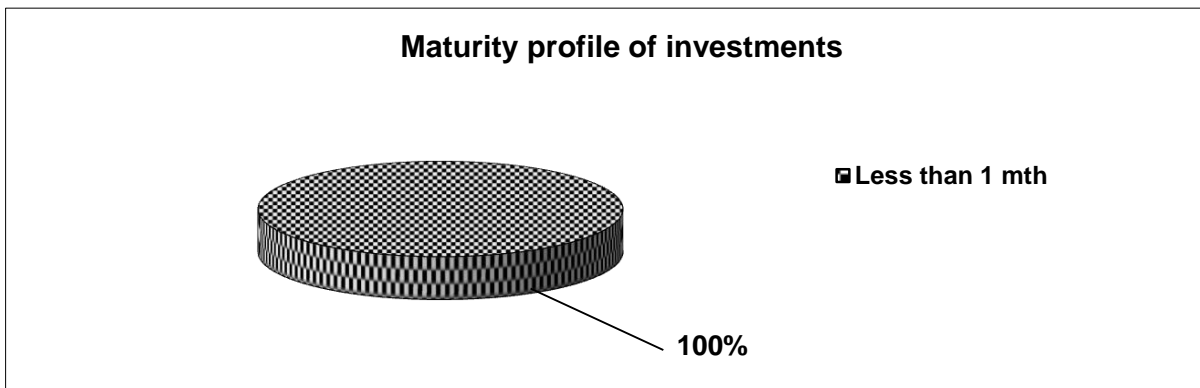
Pie chart 2



Pie chart 3



Pie chart 4



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## TREASURY MANAGEMENT PERFORMANCE FOR QUARTER THREE - 2018/19

GRAPH 1 - INVESTMENT RETURN

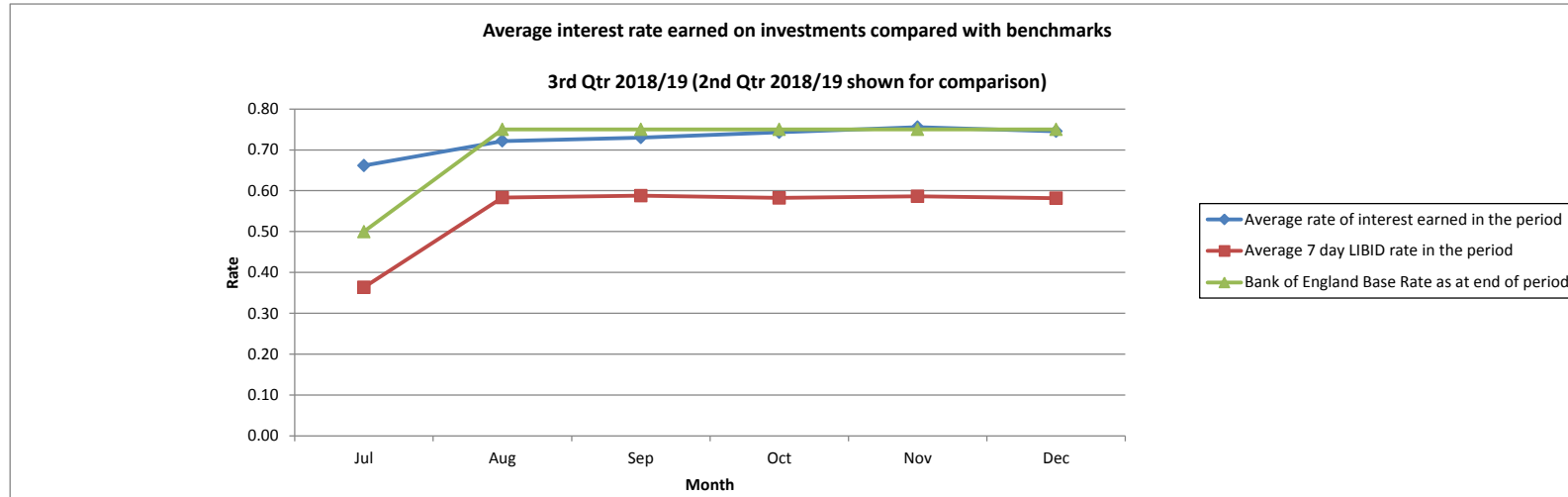


Table 1 - Property Funds

Financial Institution	Quarter	Period of investment	Value of fund at beginning of Qtr 3 £	Number of units at start of Qtr 3 Units	Number of units distributed during Qtr 3 Units	Purchased of new units during Qtr 3 Units	Number of units at end of Qtr 3 Units	Gross Increase / (Decrease) in fund value £	Value of Fund at end of Qtr 3 £	Income Distribution Qtr 3 £	Combined interest Rate %
Rockspring Hanover Real Estate Investment Mgt Ltd	3	5 Years +	14,724,066.00	987	10	0	997	243,895.00	14,967,961.00	186,318.75	11.59
Lothbury Investment Management - Property Fund	3	5 Years +	13,832,842.94	6,797.2485	46.8953	0.0000	6,844.1438	(27,350.75)	13,805,492.19	105,181.97	2.23
<b>Total</b>									<b>28,773,453.19</b>		

Table 2 - Short Dated Bond Funds

Financial Institution	Quarter	Value of fund at the start of Qtr 3 £	Number of shares Qtr 3 Units	Number of units distributed during Qtr 3 Units	Number of units at the end of Qtr 3 Units	Increase / (Decrease) in fund value £	Fund Value at end of Qtr 3 £	Income Distribution during the Qtr 3 £	Combined Interest Rate %
Royal London	3	7,710,961.84	7,751,286.43	N/a	7,751,286.43	(50,383.25)	7,660,578.59	46,848.67	(0.18)
AXA	3	7,582,381.89	6,442,125.6460	N/a	6,442,125.6460	(12,553.61)	7,569,828.28	26,854.47	0.75
<b>Total</b>							<b>15,230,406.87</b>		

## TREASURY MANAGEMENT PERFORMANCE FOR QUARTER THREE - 2018/19

Table 3 - Enhanced Cash Fund

Payden & Rygel	Quarter	Value of fund at the start of Qtr 3 £	Number of shares at start of Qtr 3 Units	Number of shares distributed during Qtr 3 Units	Number of units at the end of Qtr 3 Units	Increase / (Decrease) in fund value £	Income Distribution during the Qtr 3 £	Fund Value at end of Qtr 3 £	Combined Interest Rate %
	3	5,054,751.27	461,646.4200	39,944.93	501,591.35	(9,068.74)	11,160.80	5,056,843.33	0.16%
<b>Total</b>								<b>5,056,843.33</b>	

**BORROWING**

Table 4

SHORT TERM BORROWING	Counterparty	Rate	Amount £	From	To
In place during this Quarter	Derbyshire County Council	0.80%	3,500,000.00	03/04/2017	29/03/2019
Taken out this Quarter	South Cambridgeshire District Council	0.80%	3,000,000.00	05/12/2018	24/01/2019
	Barnsley Metropolitan Borough Council	0.80%	7,000,000.00	06/12/2018	24/01/2019

Table 5 - INVEST TO SAVE FUNDING

Financial Institution	Date	Period of loan	Final Repayment date	Amount borrowed £	Amount Repaid to Date £	Rate of interest %
Salix Finance Ltd Energy Efficiency Programme	26/03/2015	4 Years	01/04/2019	141,059	(123,426.62)	0
	23/03/2017	5 Years	01/04/2022	82,017	(24,605.10)	0

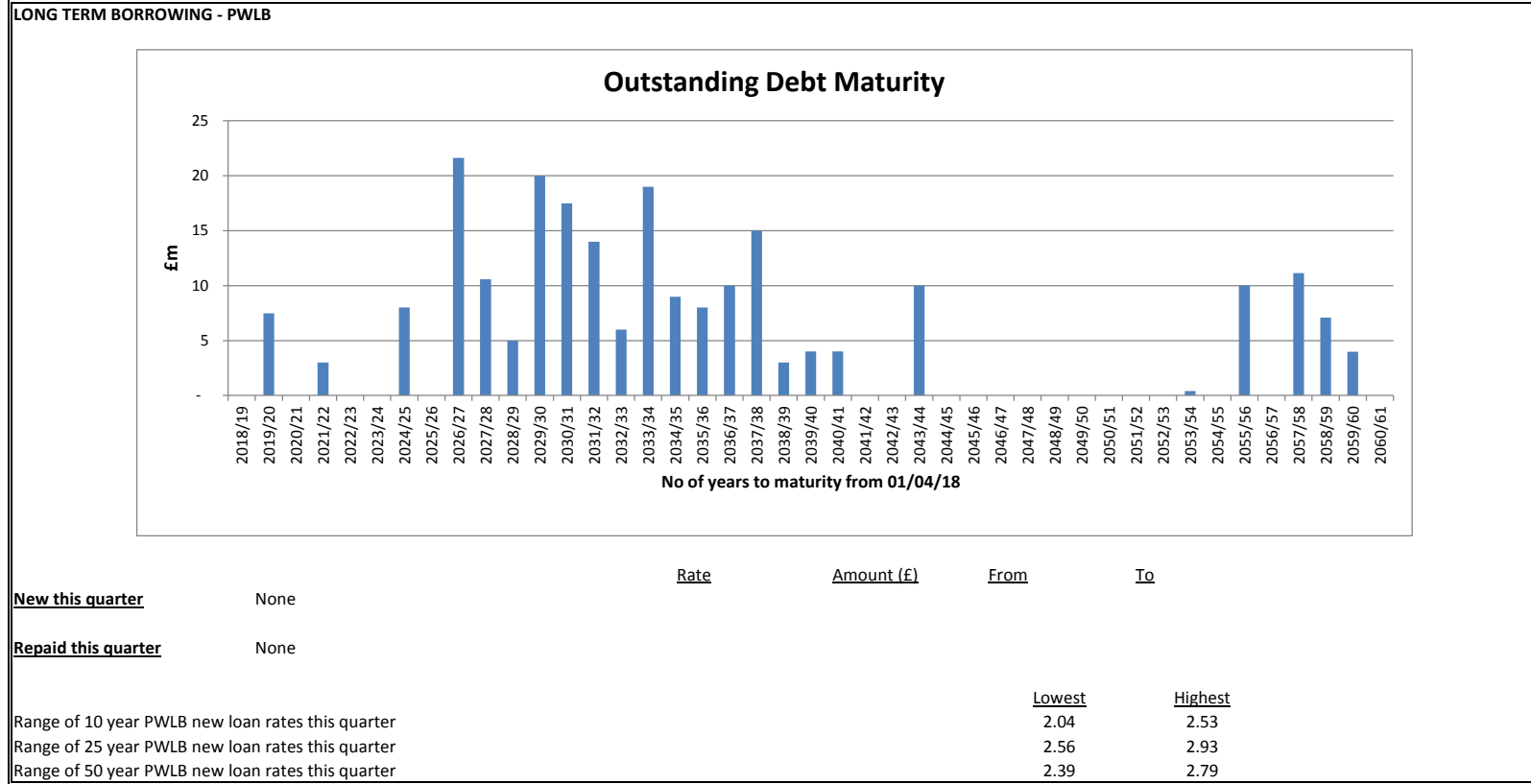
L1 Renewables Finance Limited

- 25 year reducing balance finance
- balance of £8.6m outstanding at the end of quarter Two
- there was a repayment of £0.011m during this quarter.



TREASURY MANAGEMENT PERFORMANCE FOR QUARTER THREE - 2018/19

Graph 2



**TABLE 6 - COMPLIANCE WITH TREASURY MANAGEMENT STRATEGY**

All transactions properly authorised	✓
All transactions in accordance with approved policy	✓
All transactions with approved counterparties	✓
Cash flow successfully managed to maintain liquidity	✓
All recommended changes to procedures	None required

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# Southend-on-Sea Borough Council

## Report of Strategic Director (Finance & Resources)

to  
**Cabinet**  
on  
**12 March 2019**

Agenda  
Item No.

Report prepared by:  
Ian Ambrose, Head of Corporate Finance  
Caroline Fozzard, Group Manager for Financial Planning and  
Control

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### Revenue and Capital Budget Monitoring 2018/19 – January 2019

**All Scrutiny Committees**  
**Cabinet Member: Councillor John Lamb**  
***Part 1 (Public Agenda Item)***

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#### **1 Purpose of Report**

The budget monitoring report is a key tool in scrutinising the Council's financial performance. It is designed to provide an overview to all relevant stakeholders. It is essential that the Council monitors its budgets throughout the year to ensure that it is meeting its strategic objectives and that corrective action is taken where necessary.

#### **2 Recommendations**

That, in respect of the 2018/19 Revenue Budget Monitoring as set out in appendix 1 to this report, Cabinet:

- 2.1 Note the forecast £1,631,000 net surplus for the General Fund and the forecast £119,000 net surplus for the Housing Revenue Account, as at January 2019;
- 2.2 Note the planned management actions of £721,000 to achieve that forecast outturn;
- 2.3 Approve the planned budget transfers (virements) of £377,000;
- 2.4 Approve the transfer of £300,000 to the Public Health Reserve as a result of unspent ring fenced grant;
- 2.5 Approve the transfer of £200,000 from the Interest Equalisation Reserve to mitigate against the impact of a change in Government regulations;

- 2.6 Approve the transfer of £65,000 from the Supporting People Reserve to mitigate the temporary non-delivery of a budget saving;
- 2.7 Approve the transfer of £790,000 from the Grants Reserve to release surplus funds within the Reserve;
- 2.8 As a result of the forecast net surplus, approve the following one-off investments totalling £480,000 as set out below;
- £100,000 to support secondary schools
  - £130,000 additional support for children and vulnerable adults subject to gang exploitation
  - £100,000 for a deep clean of the High Street
  - £100,000 for Place branding, marketing and signage costs
  - £50,000 for additional parking enforcement provision
- 2.9 Note the potential transfer of £1,151,000 to the Business Transformation Reserve in respect of the residual forecast General Fund net surplus; and
- 2.10 Note the potential transfer of £119,000 to the HRA Capital Investment Reserve in respect of the forecast HRA net surplus.

That, in respect of the 2018/19 Capital Budget Monitoring as set out in appendix 2 of this report, Cabinet:

- 2.11 Note the expenditure to date and the forecast outturn as at January 2019 and its financing;
- 2.12 Approve the requested changes to the 2018/19 capital investment programme as set out in Section 2 of Appendix 2;

### **3 Background and Summary**

#### **Revenue**

- 3.1 The forecast overall position at the end of January is for a net surplus of £1,631,000 (1.3%) of net expenditure or (2.1%) of council tax requirement. This compares to a forecast surplus of £1,553,000 at the end of December.
- 3.2 In February 2018 the Council agreed for 2018/19 a General Fund revenue budget of £123.036M and a balanced Housing Revenue Account revenue budget. This report details the projected outturn position for 2018/19 based on information as at the end of January (period 10). The report includes details of
- General Fund Revenue Budget position;
  - Progress in delivering the 2018/19 revenue savings ;
  - Housing Revenue Account Revenue Budget position.
- 3.3 The year end forecast for the General Fund is derived as follows:

£2,759,000 initial portfolio overspend
<b>less</b> £721,000 management actions, principally being <ul style="list-style-type: none"> <li>• £400,000 adults transformation savings (Adults &amp; Housing)</li> <li>• £50,000 childrens savings (Children &amp; Learning)</li> <li>• £210,000 troubled families income target (Children &amp; Learning)</li> </ul>
<b>results</b> in £2,038,000 forecast portfolio overspend, principally being <ul style="list-style-type: none"> <li>• <u>Overspends</u> <ul style="list-style-type: none"> <li>• £120,000 civic centre maintenance (Growth)</li> <li>• £270,000 Learning Disabilities and Mental Health residential care (Adults &amp; Housing)</li> <li>• £115,000 Supporting People and Housing (Adults &amp; Housing)</li> <li>• £940,000 childrens social care placements (Children &amp; Learning)</li> <li>• £490,000 childrens social care staffing (Children &amp; Learning)</li> <li>• £325,000 parks and open spaces income shortfall (Healthy Communities &amp; Wellbeing)</li> <li>• £700,000 highways (Infrastructure)</li> <li>• £750,000 car parking (Infrastructure)</li> <li>• £690,000 streetwork permit income (Infrastructure)</li> </ul> </li> <li>• <u>Underspends</u> <ul style="list-style-type: none"> <li>• (£380,000) additional rental income (Growth)</li> <li>• (£195,000) additional planning income (Growth)</li> <li>• (£345,000) Older People residential care (Adults &amp; Housing)</li> <li>• (£170,000) customer services staffing (Healthy Communities &amp; Wellbeing)</li> <li>• (£300,000) Public Health staffing and contract delivery (Healthy Communities &amp; Wellbeing)</li> <li>• (£235,000) flood defences (Public Protection)</li> <li>• (£760,000) waste disposal and management (Public Protection)</li> </ul> </li> </ul>
<b>less</b> £414,000 non portfolio underspends, principally being <ul style="list-style-type: none"> <li>• (£450,000) release of unused contingency</li> </ul>
<b>less</b> £755,000 from earmarked reserves
<b>less</b> £2,500,000 additional funding <ul style="list-style-type: none"> <li>• (£2,500,000) additional income associated with business rates</li> </ul>
<b>results in £1,631,000 forecast net surplus by the year end</b>

3.4 Full details of the budget issues facing each portfolio, together with an outline of the management action being undertaken and the residual pressures can be found in the revenue budget monitor at appendix 1. That appendix also sets out the RAG status of the savings targets for each portfolio.

3.5 The forecast for the Housing Revenue Account indicates that the HRA will have a net surplus of £167,000 in 2018/19, (3.7%) of net operating expenditure. Of this £48,000 will be used to fund additional revenue contributions to capital, with the remaining £119,000 being transferred to the HRA Capital Investment Reserve.

3.6 As a result of the forecast general fund net surplus, discussions have taken place as to a small number of one-off interventions that can be undertaken that will be of immediate benefit to the Borough. These are:

- £100,000 to support three secondary schools yet to be graded as good by Ofsted so that all our children get the best education

- £130,000 for additional support for children and vulnerable adults subject to gang exploitation. This money will fund 2 social workers and a media campaign
- £100,000 to undertake a spring deep clean of the High Street in line with the Southend 2050 ambition and outcomes
- £100,000 for branding and marketing of the Borough as well as some wayfinding signage within the borough
- £50,000 for additional out of hours parking enforcement

3.7 Cabinet are recommended to approve these one-off investments totalling £480,000.

### **Capital**

3.8 In February 2018 the Council agreed a capital investment programme budget for 2018/19 of £92.984M. This budget was revised at June Cabinet to £77.689M and was further revised at November Cabinet to £60.481M following approved re-profiles and other amendments. Since November Cabinet further work has been done to align the revised 2018/19 budget to the forecast outturn and the budget was further revised at February Cabinet to £52.648M.

3.9 This report details the projected outturn position for 2018/19 based on information as at the end of January (period 10). The report includes details of progress in delivering the 2018/19 capital investment programme and in receiving external funding relating to that year.

3.10 The progress of schemes for 2018/19 is detailed in section 1 of Appendix 2 with Section 2 setting out the resulting requests to:

- Carry forward £1,448,000 of 2018/19 scheme budgets into future years;
- Bring forward £987,000 of budget from future years into 2018/19;
- Add scheme budgets totalling £233,000 into 2018/19 where new external funding has been received;

3.11 As at the end of January the expected capital outturn for 2018/19 is £52,420,000.

3.12 The 2018/19 capital budget is part of the wider capital investment programme spanning several years.

## **4 Other Options**

The Council could choose to monitor its budgetary performance against an alternative timeframe but it is considered that the reporting schedule provides the appropriate balance to allow strategic oversight of the budget by members and to manage the Council's exposure to financial risk. More frequent monitoring is undertaken by officers and considered by individual service Directors and the Council's Corporate Management Team (CMT) including approval of management action.

To the extent that there are options for managing the issues identified these are highlighted in the report in order to ensure that members have a full picture of the issues and proposed solutions as part of their decision making

## **5 Reasons for Recommendations**

The regular reporting of Revenue and Capital Budget Monitoring information provides detailed financial information to members, senior officers and other interested parties on the financial performance of the Council. It sets out the key variances being reported by budget holders and the management action being implemented to address the identified issues.

Set alongside relevant performance information contained within the monthly performance report (MPR) pack it also informs decision making to ensure that Members' priorities are delivered within the agreed budget provision.

It is important that issues are addressed to remain within the approved budget provision or where they cannot be contained by individual service management action, alternative proposals are developed and solutions proposed which address the financial impact; Members have a key role in approving such actions as they represent changes to the budget originally set and approved by them.

## **6 Corporate Implications**

### **6.1 Contribution to the Southend 2050 Road Map**

The robustness of the Councils budget monitoring processes and the successful management of in-year spending pressures are key determinants in maintaining the Council's reputation for financial probity and financial stewardship.

### **6.2 Financial Implications**

As set out in the body of the report and accompanying appendices.

### **6.3 Legal Implications**

The report provides financial performance information. It is consistent with good administration for the Council to consider monitoring information in relation to plans and budgets that it has adopted.

Section 3 of the Local Government Act 1999 requires the Council as a best value authority to "make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness". Monitoring of financial and other performance information is an important way in which that obligation can be fulfilled.

The Council is required by section 151 of the Local Government Act 1972 to make arrangements for the proper administration of its financial affairs. The Council is also required by section 28 of the Local Government Act 2003 to

monitor its budget, and take corrective action as necessary. The Council's chief finance officer has established financial procedures to ensure the Council's proper financial administration. These include procedures for budgetary control. It is consistent with these arrangements for the Cabinet to receive information about the revenue and capital budgets as set out in the report.

#### 6.4 People Implications

None arising from this report

#### 6.5 Property Implications

None arising from this report

#### 6.6 Consultation

None arising from this report

#### 6.7 Equalities and Diversity Implications

None arising from this report

#### 6.8 Risk Assessment

Sound budget monitoring processes underpin the Council's ability to manage and mitigate the inherent financial risks associated with its budget, due to the volatility of service demand, market supply and price.

The primary mitigation lies with the expectation on CMT and Directors to continue to take all appropriate action to keep costs down and optimise income (e.g. through minimising spending, managing vacancies wherever possible). Adverse variances will require remedial in-year savings and budget reductions. The back-stop mitigation would be to draw on reserves to rebalance the budget, but this will only be done at year end should other measures fail.

With the likely scale of funding pressures and future resource reductions, it is important that the Council holds a robust position on reserves and maintains the ability to deal with issues that arise during the financial year.

#### 6.9 Value for Money

The budget set reflects the Council's drive to improve value for money and to deliver significant efficiencies in the way it operates. Monitoring the delivery of services within the budget set helps to ensure that the planned value for money is achieved.

#### 6.10 Community Safety Implications

None arising from this report



6.11 Environmental Impact

None arising from this report

**7 Background Papers**

None

**8 Appendices**

Appendix 1 Revenue Budget Monitoring 2018/19 – January 2019

Appendix 2 Capital Investment Programme Budget Monitoring 2018/19 –  
January 2019

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# Revenue Budget Monitor 2018/2019 - January 2019

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General Fund

Portfolio Summary

Portfolio	Original Budget			Virement £'000	Latest Budget			Initial Outturn £'000	Proposed Management Action £'000	Expected Outturn £'000	Forecast Variance £'000	Movement from Period 9
	Gross Expend £'000	Gross Income £'000	Net £'000		Gross Expend £'000	Gross Income £'000	Net £'000					
Leader	13,384	(2,448)	10,936	620	13,935	(2,379)	11,556	11,416	0	11,416	(140)	↓
Growth	8,880	(5,799)	3,081	591	14,398	(10,726)	3,672	3,272	0	3,272	(400)	↑
Adult and Housing	69,994	(27,117)	42,877	(1,456)	70,043	(28,622)	41,421	41,918	(400)	41,518	97	↑
Children and Learning	108,037	(74,481)	33,556	4,579	105,895	(67,760)	38,135	39,910	(260)	39,650	1,515	↑
Healthy Communities and Wellbeing	119,551	(105,915)	13,636	1,268	103,141	(88,237)	14,904	14,814	(30)	14,784	(120)	↓
Infrastructure	28,408	(14,235)	14,173	1,046	29,429	(14,210)	15,219	17,416	0	17,416	2,197	↑
Public Protection	17,515	(3,733)	13,782	778	18,108	(3,548)	14,560	13,480	(31)	13,449	(1,111)	↓
<b>Portfolio Net Expenditure</b>	<b>365,769</b>	<b>(233,728)</b>	<b>132,041</b>	<b>7,426</b>	<b>354,949</b>	<b>(215,482)</b>	<b>139,467</b>	<b>142,226</b>	<b>(721)</b>	<b>141,505</b>	<b>2,038</b>	<b>↑</b>
Reversal of Depreciation	(39,074)	10,793	(28,281)	(2,134)	(45,228)	14,813	(30,415)	(30,415)	0	(30,415)	0	↔
Levies	638	0	638	0	638	0	638	638	0	638	0	↔
Financing Costs	8,542	0	8,542	(308)	8,234	0	8,234	8,270	0	8,270	36	↑
Contingency	5,716	0	5,716	(2,211)	3,505	0	3,505	3,055	0	3,055	(450)	↔
Pensions Upfront Funding	(3,734)	0	(3,734)	0	(3,734)	0	(3,734)	(3,734)	0	(3,734)	0	↔
<b>Non Portfolio Net Expenditure</b>	<b>(27,912)</b>	<b>10,793</b>	<b>(17,119)</b>	<b>(4,653)</b>	<b>(36,585)</b>	<b>14,813</b>	<b>(21,772)</b>	<b>(22,186)</b>	<b>0</b>	<b>(22,186)</b>	<b>(414)</b>	<b>↑</b>
<b>Net Operating Expenditure</b>	<b>337,857</b>	<b>(222,935)</b>	<b>114,922</b>	<b>2,773</b>	<b>318,364</b>	<b>(200,669)</b>	<b>117,695</b>	<b>120,040</b>	<b>(721)</b>	<b>119,319</b>	<b>1,624</b>	<b>↑</b>
General grants	0	(2,380)	(2,380)	0	0	(2,380)	(2,380)	(2,380)	0	(2,380)	0	↔
Revenue Contribution to Capital	5,058	0	5,058	(2,678)	2,380	0	2,380	2,380	0	2,380	0	↔
Contribution to / (from) Earmarked Reserves	5,436	0	5,436	(95)	5,341	0	5,341	4,586	0	4,586	(755)	↓
<b>Net Expenditure / (Income)</b>	<b>348,351</b>	<b>(225,315)</b>	<b>123,036</b>	<b>0</b>	<b>326,085</b>	<b>(203,049)</b>	<b>123,036</b>	<b>124,626</b>	<b>(721)</b>	<b>123,905</b>	<b>869</b>	<b>↓</b>
Revenue Support Grant	0	(10,318)	(10,318)	0	0	(10,318)	(10,318)	(10,318)	0	(10,318)	0	↔
Business Rates Top-up Grant	0	(12,085)	(12,085)	0	0	(12,085)	(12,085)	(12,085)	0	(12,085)	0	↔
Retained Business Rates	0	(21,924)	(21,924)	0	0	(21,924)	(21,924)	(24,424)	0	(24,424)	(2,500)	↔
Collection Fund Surplus	0	(2,500)	(2,500)	0	0	(2,500)	(2,500)	(2,500)	0	(2,500)	0	↔
Contribution to / (from) General Reserves	0	0	0	0	0	0	0	910	(910)	0	0	↔
<b>Council Tax Requirement</b>	<b>348,351</b>	<b>(272,142)</b>	<b>76,209</b>	<b>0</b>	<b>326,085</b>	<b>(249,876)</b>	<b>76,209</b>	<b>76,209</b>	<b>(1,631)</b>	<b>74,578</b>	<b>(1,631)</b>	<b>↓</b>

<b>Use of General Reserves</b>	
Balance as at 1 April 2018	11,000
(Use) / contribution to in Year	0
<b>Balance as at 31 March 2019</b>	<b>11,000</b>

11,000	11,000		11,000	0	↔
0	910	(910)	0	0	↔
<b>11,000</b>	<b>11,910</b>	<b>(910)</b>	<b>11,000</b>	<b>0</b>	<b>↔</b>

## Overall Council Revenue Budget Performance

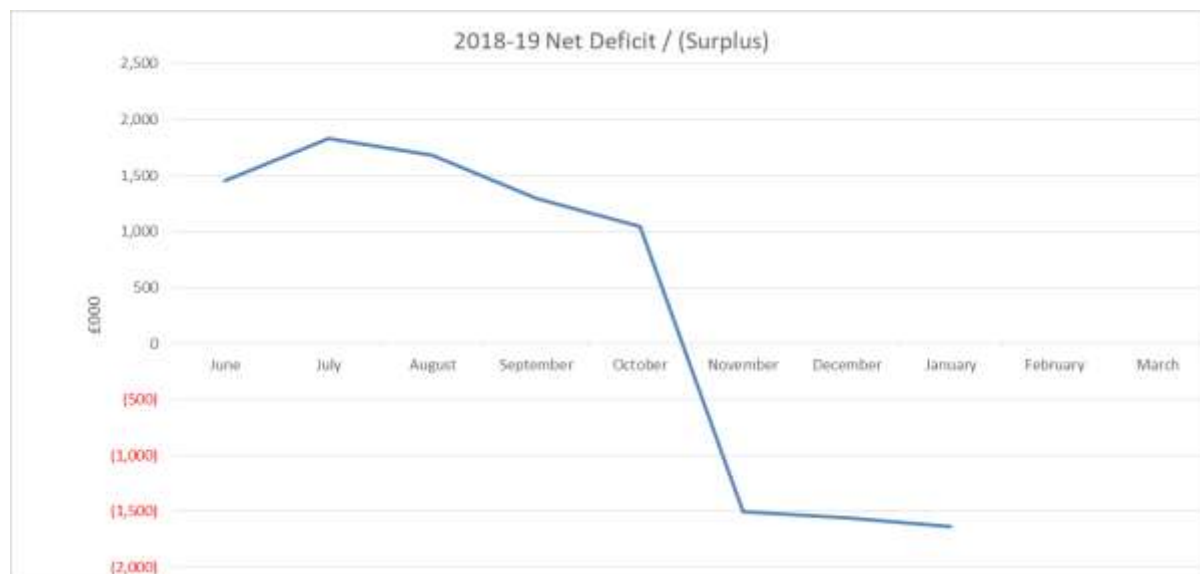
### The Council is forecasting a net year end surplus of £1,631,000 as at the end of January 2019

This report outlines the budget monitoring position for the General Fund and Housing Revenue Account for 2018/2019, based on the views of the Deputy Chief Executive's, Strategic Directors, Directors and their Management Teams, in light of the performance of expenditure and income to 31 January 2019. The starting point for the budget monitoring is the original budget as agreed by Council in February 2018.

The forecast overall position as at the end of January is a net surplus of (£1,631,000) which is (1.3%) of net expenditure or (2.1%) of council tax requirement. This compares to a net surplus of £1,553,000 at the end of December. This end of year forecast is derived as follows:

£2,759,000 initial portfolio overspend
<b>less</b> £721,000 management actions, principally being
<ul style="list-style-type: none"> <li>• £400,000 adults transformation savings (Adults &amp; Housing)</li> <li>• £50,000 childrens savings (Children &amp; Learning)</li> <li>• £210,000 troubled families income target (Children &amp; Learning)</li> </ul>
<b>results</b> in £2,038,000 forecast portfolio overspend, principally being
<ul style="list-style-type: none"> <li>• <u>Overspends</u></li> <li>• £120,000 civic centre maintenance (Growth)</li> <li>• £270,000 Learning Disabilities and Mental Health residential care (Adults &amp; Housing)</li> <li>• £115,000 Supporting People and Housing (Adults &amp; Housing)</li> <li>• £940,000 childrens social care placements (Children &amp; Learning)</li> <li>• £490,000 childrens social care staffing (Children &amp; Learning)</li> <li>• £325,000 parks and open spaces income shortfall (Healthy Communities &amp; Wellbeing)</li> <li>• £700,000 highways (Infrastructure)</li> <li>• £750,000 car parking (Infrastructure)</li> <li>• £690,000 streetwork permit income (Infrastructure)</li> <li>• <u>Underspends</u></li> <li>• (£380,000) additional rental income (Growth)</li> <li>• (£195,000) additional planning income (Growth)</li> <li>• (£345,000) Older People residential care (Adults &amp; Housing)</li> <li>• (£170,000) customer services staffing (Healthy Communities &amp; Wellbeing)</li> <li>• (£300,000) Public Health staffing and contract delivery (Healthy Communities &amp; Wellbeing)</li> <li>• (£235,000) flood defences (Public Protection)</li> <li>• (£760,000) waste disposal and management (Public Protection)</li> </ul>
<b>less</b> £414,000 non portfolio underspends, principally being
<ul style="list-style-type: none"> <li>• (£450,000) release of unused contingency</li> </ul>
<b>less</b> £755,000 from earmarked reserves
<b>less</b> £2,500,000 additional funding
<ul style="list-style-type: none"> <li>• (£2,500,000) additional income associated with business rates</li> </ul>
<b>results in £1,631,000 forecast net surplus by the year end</b>

This represents an improved position compared to December 2018.



**General Fund Portfolio Forecast Comparison 2018-19  
as at Period 10 - January 2019**

Portfolio	Latest Budget 2018/19 £000	Projected Outturn 2018/19 £000	January Forecast Variance £000	December Forecast Variance £000	Trend
Leader	11,556	11,416	(140)	(80)	↓
Growth	3,672	3,272	(400)	(408)	↑
Adult and Housing	41,421	41,518	97	0	↑
Children and Learning	38,135	39,650	1,515	1,085	↑
Healthy Communities and Wellbeing	14,904	14,784	(120)	140	↓
Infrastructure	15,219	17,416	2,197	1,871	↑
Public Protection	14,560	13,449	(1,111)	(1,039)	↓
<b>Total Portfolio</b>	<b>139,467</b>	<b>141,505</b>	<b>2,038</b>	<b>1,569</b>	<b>↑</b>
Non-Service Areas	(21,772)	(22,186)	(414)	(422)	↑
Earmarked Reserves	5,341	4,586	(755)	(200)	↓
Source of Funding	(46,827)	(49,327)	(2,500)	(2,500)	↔
<b>Net Expenditure / (Income)</b>	<b>76,209</b>	<b>74,578</b>	<b>(1,631)</b>	<b>(1,553)</b>	<b>↓</b>

### Performance against Budget Savings Targets

As part of setting the Council budget for 2018/2019, a schedule of Portfolio and Corporate savings was approved totalling £7.594 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 Portfolio Savings is shown below:

	a	b	c	b+c	d	e	a-(b+c+e)
	Target	Green	Amber	Expected	Red -	Saving	Residual
	Saving	Green	Amber	Delivery of	Estimated not	in year	Under /
	£000	£000	£000	Savings	Deliverable	mitigated	(Over)
				£000	£000	£000	Delivery
							£000
Leader	80	0	0	0	80	80	0
Growth	509	509	0	509	0	0	0
Adults and Housing	2,325	2,235	0	2,235	90	90	0
Children and Learning	840	180	150	330	510	360	150
Healthy Communities and Wellbeing	504	355	0	355	149	149	0
Infrastructure	1,006	906	0	906	100	100	0
Public Protection	30	12	0	12	18	18	0
	5,294	4,197	150	4,347	947	797	150
Non-Portfolio	2,300	2,300	0	2,300	0	0	0
	7,594	6,497	150	6,647	947	797	150

The current forecast is showing £947,000 of savings as being undeliverable in year. These savings are

	£000		Explanation	Mitigation
<b>Leader</b>				
PL18	80	Print Contract Savings	Saving not deliverable due to on-going management fee funding requirements with new provider	Mitigated through other one off underspends
<b>Children and Learning</b>				
PE10	100	Children Services transformation	Savings not deliverable due to required workforce to meet case load demand	Mitigated through an internal children department budget transfer
PE11	165	Children service savings		
PE2	150	Review of placements	Saving not deliverable due to current numbers of Children in Care in the external market	No financial mitigation available within portfolio service
PE4	25	Passenger transport	Procurement saving not deliverable in year, but	In year mitigation through an



			due to be delivered in 2019/20	underspend in the use of the education public transport provision
PE5	70	Education savings	Specific in year savings relating to a service contract and a traded income target undeliverable	Mitigated by additional DfE grant income in 2018/19 £50k and in year underspends within schools support services
<b>Healthy Communities and Wellbeing</b>				
PH1	54	Sexual Health	These contracts are being retendered in year, with no expected savings accruing in year, although it is anticipated that the full saving will be achieved for 2019/20.	Funding has been drawn down from the Public Health reserve to meet the 2018/19 shortfall
PH2	95	0 - 5 Children's Public Health Service		
<b>Infrastructure</b>				
PL2	100	Cost Reductions in Highways Infrastructure	Increased Highways defects due to adverse weather conditions	Mitigated by use of the Pothole Action Fund from DfT in 2018/19
<b>Public Protection</b>				
PL9	15	Trade Licence to use Public Highway	Charging arrangements not in place for 2018/19; will be delivered in 2019/20	Mitigated by staffing vacancies in 2018/19
PL11	3	Food Hygiene Rating Scheme Re-assessment		
<b>Adult Social Care</b>				
PE4	25	Passenger transport	Procurement saving not delivered in 2018/19 but due to be delivered in 2019/20	Mitigated through an internal LD budget transfer
PE8	65	Procurement Plan	Procurement savings not delivered in 2018/19 on Supporting People contracts. There are plans to deliver in 2019/20	Requested to draw down from earmarked reserves.
<b>947</b>				

Against these undeliverable savings, in year mitigations of £797,000 have been identified against the required savings total of £7.594 million.

**Portfolio Performance – Leader**

<b>Current Budget</b>	<b>Initial Outturn</b>	<b>Management Actions</b>	<b>Expected Outturn</b>	<b>Forecast Variance</b>
<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
11,556	11,416	0	11,416	(140)

There is currently a forecast underspend of (£140,000) in the Leader's Portfolio which equates to 1.2% of the £11.556M net budget allocation.

The residual saving for the Print Contract (PL19) totalling £80,000 is reflected within "Infrastructure" savings. At budget setting it was removed from the Corporate Core budget although the expenditure is ongoing. It is unlikely that the saving can be met although it is expected to be mitigated by other corporate underspends for this year.

A Treasury Management in-year saving of (£30,000) is forecast resulting from lower short-term borrowing and Public Works Loan Board charges. The budget for the post of Strategic Director of Legal & Democratic Services will not be fully utilised due to vacant hours which is expected to result in a further (£20,000) underspend at year-end.

There is a projected underspend of (£70,000) on Accountancy due to vacancies and a semi-retirement in Financial Management and Financial Planning & Control. This is despite a pressure on the income budget due to more schools converting to Academy status and no longer buying into the School Finance Team's service.

The Internal Audit team continue to make use of Contractors to deliver their programme which is funded by vacancies. Notwithstanding this, a (£80,000) underspend at year end is expected.

It is projected there will be a £40,000 pressure on the Human Resources budget which is mainly due to the additional costs of job evaluations, pension enrolments and a vacancy factor which will not been met. The team are managing a number of projects which has resulted in higher than usual use of Agency staff.

The expansion of the Emergency Planning team to make it more resilient and fit for purpose has been mostly funded by Contingency in year. An overspend of £20,000 is still expected at year-end as a result of Job Evaluations and one off recruitment fees.

**Portfolio Performance – Growth**

<b>Current Budget</b>	<b>Initial Outturn</b>	<b>Management Actions</b>	<b>Expected Outturn</b>	<b>Forecast Variance</b>
<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
3,672	3,272	0	3,272	(400)

The forecast underspend of (£400,000) in the Growth Portfolio is 10.9% of the £3.672M net budget allocation.

**Asset and Facilities Management**

The Council's strategy to develop income streams through Commercial Property acquisitions is resulting in a forecast underspend of (£380,000) at year-end. In the main this income has been generated from the units at Fossetts Farm, rent increases on existing leases and higher than expected turnover rent at Southend Airport.

The cost of the cleaning and security contract for the Civic Centre continues to exceed the budget. A saving of £75,000 was agreed in 2017/18 but this hasn't materialised and the current pressure is now £120,000. Attempts have been made to reduce the service without a noticeable impact but this hasn't been possible.

A wide range of responsive repairs and maintenance tasks have been completed in the Civic Centre this year, ranging from boiler repairs and emergency lighting servicing, to door security systems and electrical testing. The number of works which have taken place means that the budget provision is expected to be exceeded by £40,000.

Due to the conversions of schools to academies, a number of trusts have opted out of the schools property service run by the property and regeneration team and utilising their own contractors to deliver works. This is resulting in an income shortfall of £20,000. A number of staff in the property team are employed on the basis of delivering elements of the capital programme and currently more time has been capitalised than expected resulting in a (£20,000) forecast underspend.

**Economic Development and Regeneration**

Due to the number of events in the Town Centre, additional income has been received from organisations that are using the High Street for promotional purposes. This, alongside the popularity of the High Street markets is resulting in additional income of (£22,000). With the focus on the town centre, new initiatives to better understand the use and popularity of the High Street are being explored which will help provide an evidence base for potential investment decisions by both the private sector and the Council.

A number of the economic growth projects are externally funded and require regular claims to be made to funders – some in advance, some in arrears and others on a payment by results model. All continue to draw down funding in accordance with the terms and conditions of the grants so the committed financial support is being made available to the Council ensuring ongoing delivery and budget management.

**Planning**

Applications have been made for 7 significant development projects this year and as a result the income received in the Development Control team has been greater than expected. The current forecast is that an additional (£195,000) will have been received by the end of the financial year. In order to cope with the increased demand of these projects, some agency staff support is in place, and staffing supplements have been agreed to retain talented employees. This is expected to resulting in additional staffing costs of £63,000

**Tourism**

Due to the major investment in the pier structure there are a greater number of inspections taking place. As a result of this, additional repairs and maintenance work is being identified and this is resulting in a forecast over spend of £40,000. Additional works are also being undertaken by our water testing contractor at a range of sites including the City Beach Fountains and the 3 Shells Lagoon. These additional works are creating an overspend on the Pier and Foreshore repairs and maintenance budget of £120,000.

Due to a record year for visitor numbers at the Pier in the 2018 calendar year, the income target is expected to be exceeded by (£160,000) by the end of the financial year.

**Portfolio Performance – Adults and Housing**

<b>Current Budget</b>	<b>Initial Outturn</b>	<b>Management Actions</b>	<b>Expected Outturn</b>	<b>Forecast Variance</b>
<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
41,421	41,918	(400)	41,518	97

The Adults and Housing Portfolio are forecasting a final year end overspend of £97,000. This forecast is assuming the delivery of all the (£400,000) management actions so this forecast is being closely monitored because of the volatility of Adult Social Care budgets.

**Adult Social Care**

Adult social care is reporting an underspend of (£18,000) as at the end of period 10. As stated above, this position assumes full delivery of the agreed 2018/19 savings. There is therefore a degree of risk to the accuracy of these projections at this time.

Strategy, Development and Commissioning – the year end forecast variance on Commissioning is an underspend of (£65,000). This is due to vacancies across Commissioning, Performance and Planning and Engagement teams.

Older People – The management action on Older People is (£300,000). This reflects the outstanding 2018/19 savings which are currently being reported as amber. The forecast variance is an underspend of (£345,000) due to an overall reduction in the actual commitment on older people residential and domiciliary care. We are continuing to see an increase in the overall commitment on interim residential placements. This is expected, as clients go in interim placements in the first instance, to support them to eventually go back home. Reablement is also going up as more intensive support is provided to help people live independently at home. The residential placements have reduced slightly from 17/18. This reflects the transformation work currently going on in the service, continuing to promote and encourage maximum independence and support the clients to maintain their wellbeing and better quality of life. This is being achieved by working with providers that support short stays in care homes, through enablement and reablement, with the aim of improving outcomes for residents. This helps them become more independent with daily living activities.

Learning Disabilities - The forecast year end pressure on learning disabilities as at period 10 is £143,000, and this assumes full delivery of the (£100,000) management actions. There is currently an increase in the commitment on residential placements and supported living. This increase is due to a slight increase in the numbers of people in residential and supported living placements. There is also a pressure on LD transport on day care services and this pressure is being dealt with within LD budgets.

Mental Health – The forecast year end pressure on mental health is £230,000, which is an increase on period 9 of £130,000. The main pressure is on residential placements, with the current year commitment being higher, and we have seen an increase in the commitment on supported living placements. This increase is also due to a demand increase on residential placements. There has also been more use of agency staff to cover vacant social worker posts on the mental health team, which is costing more than permanent staff.

In October the government announced a £240M social care investment to ease winter pressures and Southend has been allocated £824,000. The funding will primarily contribute towards a number of community based initiatives that will enhance our whole system transformational approach to supporting people. By looking at the positives through strengths-based assessments, care planning and focusing on individual abilities and community assets, the investment will help to support a preventative approach in line with locality working.

### **Private Sector Housing**

Private Sector Housing is forecasting to underspend by (£140,000) as at the end of period 10. This is because of the vacant posts currently in the team, some of which are being temporarily covered by agency staff. There has recently been a recruitment drive to recruit on a permanent basis.

### **Supporting People**

The forecast variance on Supporting People contracts is £65,000 overspend. This is an increase on the reported online position at period 9, and reflects the non-delivery of the management action. £35,000 of the 2018/19 £100,000 savings has been delivered. It is therefore recommended that the £65,000 is drawn from the earmarked reserve. There are plans to deliver the savings in 2019/20.

### **Housing and Homelessness**

General fund housing is forecasting an overspend position of £190,000 at the end of period 10. Homelessness continues to be an issue in Southend and the hostels have been at full capacity, with some families placed in B&B accommodation.

Southend's bid for the Rough Sleeper Initiative Grant was successful and there is now a further £425,000 available in 2018/19. The service has now finalised service level agreements with the partners to deliver the intended outcomes, focusing on prevention and intervention. We also have £195,000 Flexible Homelessness Support Grant and £91,000 New Burdens Grant (Homelessness Reduction Act). Since the introduction of the Homelessness Reduction Act in April, we have continued to see an increase in active homeless cases compared to same period last year. At the end of January 2018 we had 205 active cases, and in January 2019 we had 358 active cases, a 75% increase. These grants are helping meet the existing demands and pressures, as well as investment in a drive towards further homelessness prevention.

**Portfolio Performance – Children and Learning**

<b>Current Budget</b>	<b>Initial Outturn</b>	<b>Management Actions</b>	<b>Expected Outturn</b>	<b>Forecast Variance</b>
<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
38,135	39,910	(260)	39,650	1,515

The Portfolio for Children and Learning is currently forecasting a final year end overspend variance of £1.515M or equivalent 4.0% compared to the latest net budget allocation of £38.135M, and this is after the expectation that all current in year management actions of (£260,000) to reduce the initial outturn forecasts are delivered.

The management actions of (£260,000) reflect any outstanding amber budgeted 2018/19 saving allocations targets which are either yet to be delivered or at risk of non-delivery, and these are identified as (£150,000) outstanding for this portfolio, and a further targeted (£110,000) troubled families' payment by results income.

The forecast overspend variance is entirely attributable to financial pressures within Children Social Care. It should be noted that financial pressures within Children Social Care is recognised as a national issue as well as our own local authority position.

**Children's Social Care**

As previously reported and recognised, our local financial pressure is due to both an increased demand for children's social care which has emerged since the middle of 2016/17, alongside an OFSTED inspection in July 2016 that has resulted in Children Social Care itself being under a transformational journey for the last 2 years.

To further explain, whilst additional social work capacity (including required agency social workers), recruitment, training and development has been required to support child in need a budget pressure of £492,000 in totality. Southend has also experienced an increase in the numbers of children who have been taken into care including the complexity of the needs for some of those children.

Southend's current locally employed foster carers are also at maximum capacity. This combined with a private external care market that has reduced capacity regionally has seen children social care experience higher average costs in external care placements since 2016/17, whereby this is practically apparent in the external residential care market. Children Social Care have also been required to place 5 children in secured residential accommodation for their safety this year. Whilst these placements are not long term, they are unfortunately at significant cost for Local Authorities. As previously referenced and illustrated under the use of ear marker reserves additional one off funding has been approved and drawn to support the cost of the secured placements. However, the budget to support the cost of external placements (Private and Independent placements) remains with a forecasted budget pressure of £620,000 this year.

And however whilst, the work of the Edge of Care team is proving to prevent further placements entering the care system where safe to do so and appropriate for the child. The overall numbers of children currently in care (as also demonstrated through the performance reports) has slightly increased from 2017/18, and this remains apparent within the external

under -16 residential care market. Therefore the 2018/19 planned budgeted saving PE2 has been undeliverable, and is recognised as part of the £620,000 remaining budget pressure on Private and Independent placements. (It must also remain minded that this is both a local and national issue)

It also needs to continue to be noted, that once a child turns 16, they are transitioned over to the leaving care team, who will then fully support the costs of a child from 16 to 18 if they are in a supported accommodation type placement. Therefore due to the increase in the numbers of looked after children who are then transitioned to the leaving care team, this has also added an ongoing budget pressure of £220,000.

Children social care is also required to provide support to families who are under the status of 'no recourse to public funds' with temporary accommodation, whereby they are assessed as in need and eligible, a budget pressure of £93,000 this year.

The children with disabilities budget is now also reporting a £100,000 overspend pressure, there has been an increase in the overall cost provision where support packages are tailored to the assessed need of the child.

The directorate continues to look towards reducing the ongoing financial pressures on a longer term basis, but remains a challenge given the volatility in the nature of service provision.

It also needs to be noted, that in accordance with agreed budgeted savings for 2018/19, children social care are also still anticipating the full deliver of current outstanding budgeted savings of (£50,000), although these savings are either yet to be achieved or currently at risk of delivery in full.

### **Youth and Family Support**

Youth and Family Support is forecasting a small net underspend of (£10,000), but this is dependent upon the anticipated full delivery of (£210,000) management actions. The management action is entirely attributable to targeted additional troubled families' payment by results income levels compared to last financial year. (£100,000) relates to the additional 2018/19 budgeted targeted income, and a further (£110,000) covering the reduction in the fixed amounts of troubled families grants for both the attachment fees and service transformation grant, which are all distributed from the MHCLG.

The Youth and Family support service will be providing an update on this financial management action, for next period.

### **Education and Schools**

Education and Schools is forecasting a final net expenditure position on-line to budget, therefore remaining in balance to budget overall.

However, whilst, the Council's Learning department is forecasting a total position on line to budget, it should be noted that there is a £100,000 overspend pressure on School Support and Education Transport, which is mainly attributable to in year pressures on Educational Transport, offset by a (£100,000) underspend within the Councils element of High Need educational funding due to a continued, due to an unexpected government grant receipt in



2018/19 for the SEN reforms. Although, a welcome receipt, the government had not announced this grant would continue for another year, before the original council budget was set.

### **Education and Schools (Dedicated Schools Grant only)**

The Dedicated Schools Grant (DSG) is a specific and ring fenced government grant to support both education and early years providers and therefore sits outside of the Council's own general fund resources.

As clearly highlighted within previous budget monitoring reports, and the Education Board - Dedicated School Grant financial reports themselves, from the autumn term of 2016/17 the High Needs budget has experienced considerable increase in costs, associated with need and therefore demand for special school placements, mainstream schools and Independent provider placements, resulting in a current total DSG deficit reserve balance of (£537,000). This local financial position again is not just a local issue but a recognised national issue.

In response, to the high need funding pressures and as presented and agreed through the Southend Education Board, the High Needs budget has been constrained for the last two financial years and savings delivered to mitigate further spend pressures.

It also needs to be strongly noted that under the Government's revised National Funding Formulae administered from 2018/19, Southend is now also recognised as significantly underfunded on its high need block allocation, and will therefore be receiving additional and much needed funding towards its the high needs block funding allocation in 2019/20. However, as funding caps are applied on any gains from DSG funding distributions, it is currently unknown from what financial year Southend will receive its expected full funding allocation.

It must also be noted, there was a recent and welcome announcement from the Department for Education on the 17<sup>th</sup> December formally recognising the DSG funding pressures related to High needs which have been mainly driven by the SEND reforms of 2014. This announcement included an increase in funding of £250M nationally (£125M in both 2018/19 and 2019/20) and of which £410,000 is applicable for Southend in both years.

The assessment of this new £410,000 funding announcement in terms of both the potential positive impact on both DSG reserve balances and funding applied to settings will be considered in further Education Board DSG finance reports. This is also in recognition of the continued and positive joint work of the local authority and education board.

### **Maintained Schools Delegated**

Forecast on line to budget. This simply reflects the dedicated schools grant revenue funding and pupil premium funding that is passed through to support our local maintained schools, as well as including the enhanced pupil premium funding attached to our local looked after children.

**Portfolio Performance – Healthy Communities and Wellbeing**

<b>Current Budget</b>	<b>Initial Outturn</b>	<b>Management Actions</b>	<b>Expected Outturn</b>	<b>Forecast Variance</b>
<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
14,904	14,814	(30)	14,784	(120)

The forecast underspend of (£120,000) in the Healthy Communities and Wellbeing Portfolio is 0.8% of the £14.904M net budget allocation.

**Culture**

The delivery partner of Twenty One terminated their agreement with us earlier this year and as a result, the venue is now only open for private events. At this moment there is no agreed course of action for the future of the venue and therefore we remain liable for the Business Rates and running costs of the site resulting in an overspend of £20,000.

The entire Grounds Maintenance service was brought in-house in January 2016 and after a period of time, the service have been able to understand their staffing requirements and the savings attached to this move have been delivered. One of the biggest challenges this year has been income generation. The service lost a number of contracts in 2017 which it has struggled to replace but the cost base has not been reduced to compensate for this. The current shortfall in income is forecast at £120,000.

The income received from outdoor sports teams and the Belfairs Golf Course has reduced considerably over the last 5 years. After a review to understand where this has taken place and the sports mostly affected by this, it is understood that the increase in budget gyms and the uptake of cycling and running has had an impact on organised team sports which subsequently has reduced the income this generates within our parks by £210,000. The Parks service currently have a vacant Project Officer post which it is anticipated will not be filled by the end of the financial year. This will result in a staffing underspend of (£20,000). It is expected that this post will be filled in 2019/20 and the team will be fully staffed.

The mobile library has been off of the road for a number of months due to maintenance problems. Alternative service provision has been put in place and this revised service is reaching more people who have limited mobility themselves. We are using standard vehicles rather than a bespoke mobile library which is also proving cost effective. Any such proven savings can be built into the permanent budget for 2019/20.

Although the Museums and Galleries service is fully staffed, there has been a requirement to provide peak relief staff during busy periods throughout the year to provide cover and this is resulting in a forecast pressure of £40,000.

**Customer Services**

The Group Manager of the Customer Services team has been leading the “Channel Shift” Project meaning that a proportion of her salary costs can be capitalised. This is creating an underspend against her salary budget. Despite high costs for agency staff, this, along with other staff vacancies, has resulted in an underspend of (£170,000) being forecast. The team have completed a management restructure with all the vacant posts now appointed to.

## **Revenues and Benefits**

As the volume of the Council's future Housing Benefit responsibilities is unknown, the core team is supplemented with outsourced services which, although more costly, will avoid possible future redundancy costs. The overspend on these contractors is offset by vacancies and additional transitional income awarded by the Department for Work and Pensions (DWP) resulting in a (£50,000) forecast underspend for the year.

## **Public Health**

The Public Health grant is a specific ring fenced grant for local authorities to discharge their public health functions as set out in the National Health Service Act (2006) S73B.

There is an anticipated (£100,000) underspend on school nursing because the team has had several vacant posts over the year. There are also staffing savings on the general public health team budget due to vacant posts (£100,000). The Smoking Cessation budget is also anticipated to underspend by (£100,000). When the budget was originally set, the Smoking Cessation target was higher than the current target of 781 and this will result in an underspend. Because of the conditions of this grant, Public health is forecasting an online position as at the end of period 10, the total forecast underspend of (£300,000) will be transferred to the public health reserve at the end of the year.

It should be noted that the Council are currently out to tender for the Sexual Health contract, and the 0-5 contract is currently under review.

## **Voluntary and Community Services**

The Community Hub service which offers financial advice and support to has been commissioned for three years and will be delivered via the South Essex Community Hub. This is funded through a voluntary grant from the Council. Under the terms of the property lease, the Council remains liable for accommodation costs so the grant is reduced accordingly. There is a £15,000 pressure due to backdated rent which was not accounted for at the end of last year.

**Portfolio Performance – Infrastructure**

<b>Current Budget</b>	<b>Initial Outturn</b>	<b>Management Actions</b>	<b>Expected Outturn</b>	<b>Forecast Variance</b>
<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
15,219	17,416	0	17,416	2,197

The forecast overspend of £2.197M in the Infrastructure Portfolio is 14.4% of the £15.219M net budget allocation. The key variances are £698,000 within the highways maintenance budget, £755,000 relating to car parking and a £686,000 shortfall in streetworks regulation & compliance income.

**Transport**

As a result of the poor weather conditions in late February / early March labelled as the “Beast from the East”, the condition of the road network deteriorated and as a result there was a large increase in the number of defects on the highways and footways. An increase in the number of Highway Inspectors has also resulted in a greater area being inspected more frequently which is also identifying more defects than previously. The launch of MySouthend is giving residents the opportunity to report defects and these are focussing the Inspectors on verifying MySouthend calls which will ultimately result in more works to the Highway. All of these factors are resulting in a pressure of approximately £475,000 above the original budget although over a period of time we will be able to understand better if this is a current spike in identification of defects, or the new norm under an enhanced inspection regime. As part of the Autumn budget statement the Council has received £617,000 of additional funding in 2018/19 for pothole funding. Of this, (£400,000) has been allocated to the main revenue budget for routine maintenance and as such, a pressure of £75,000 at the end of the year is anticipated based on current assumptions.

There have been a number of incidents across the Borough which has resulted in damage to street furniture. Unfortunately due to a lack of evidence to identify the culprit the cost to rectify this damage has been met by the service area. With regards to street lighting, this is expected to result in an additional £80,000 of repairs and maintenance expenditure which with more information as to how the incident occurred, could have been recharged to the offender. The number of incidents is also impacting on the traffic signals budget whereby the maintenance contractor is undertaking chargeable works to reinstate the signals, and the highways maintenance contract is being utilised for any reactive maintenance for required civil engineering works. This is resulting in a forecast overspend in the Traffic Signals budget of £89,000.

Income from rechargeable works has historically been low and based on current income a shortfall of £125,000 is likely. However the service area are engaging with an external insurance specialist on a payment by results trial basis in an attempt to pursue claims for damage to the Highway.

In an effort to increase the number of Highways Inspectors within the Borough, the establishment was increased by 3 additional Inspectors who were to be funded by the additional income generated from streetwork permits and the inspections after work has been completed. Unfortunately this additional income hasn't materialised and therefore the cost of these staff is resulting in a forecast overspend of £90,000.

There has been on average a 15% increase in the number of PCN's (Penalty Charge Notice) issued against the same time period last year and a £152,000 increase in the income collected for those tickets as at the end of January. However there is still an anticipated shortfall in the income budget of £195,000. Due to a significant write off of historic debt which can no longer be collected, it is anticipated that (£215,000) will be released from the bad debt provision built up over prior years. The number of PCN's registered with the Traffic Enforcement Centre has also increased in 2018/19 in an attempt to collect outstanding debts. Although there is a cost associated with this registration, estimated at £15,000 for this financial year, it allows further opportunities for the debt to be collected. The implementation of a CCTV (closed circuit television) vehicle is resulting in an increase in the number of PCN's issued, however there are start-up costs associated with this in year one.

The rollout from the parking and enforcement contract had a number of improvements and efficiencies over a number of years and savings were agreed in the budget to reflect these. Unfortunately, due to delays in the ICT infrastructure from third parties some of these efficiencies are yet to be implemented. This is resulting in an overspend of £30,000 in decriminalised parking and £45,000 in car parking.

As part of the 2018/19 budget, an increase of £700,000 in the income budget for car parking was agreed after independent advice from Steer Davies Gleave (SDG) which modelled the impact of removing the 1, 3 and 5 hour parking rates in a number of car parks. As at period 10, car parking income has increased significant, especially in June and July when we enjoyed a very dry spell and a heatwave. Within that, there has been an 11% shift in usage from on street car parks to off street surface car parks. From an analysis of 7 town centre car parks which have retained the same machines over this period, projections suggest that the off street car parks will perform even better than SDG suggested. However, due to the shift from on street to off street (where VAT is payable) the additional income from the removal of 1, 3 and 5 hour parking charges is currently being negated by the loss in on street parking income (where no VAT is payable). The total effect of this is an anticipated shortfall in income of £365,000. There is also an anticipate shortfall in the income generated from season tickets and resident permit schemes of £135,000. Security at the University Square car park has been increased to 24 hours which increases the pressure on this budget to £105,000 and an additional £60,000 has been spent on upgrades to the pay & display machines within the borough.

The latest estimates from our concessionary fares consultants suggest that the concessionary fares budget will underspend by approximately (£156,000). This is due to the decision made in 2016 to switch to a calculator method rather than a fixed amount which takes account of actual passenger numbers. Due to declining numbers, the amount to be paid to Essex County Council in relation to the concessionary fares scheme will also reduce.

Unfortunately the Travel Centre has been vandalised on a number of occasions and incidents of anti-social behaviour have resulted in the necessity to provide regular security patrols at the site in order to provide a safe environment for bus users. This security service is estimated to result in an overspend of £90,000.

The management system used to log and inspect streetwork permits had a number of changes made to it towards the end of the last financial year. These changes resulted in works which overran the length of their permits not being correctly categorised, and

therefore the financial penalties which have been levied were not correct which is currently resulting in an income shortfall of £365,000. Work is currently underway to revisit these cases to charge the correct amount, but in the meantime, the system has been corrected and works are now being charged for correctly. There has also been a number of write offs agreed in January which is putting an additional pressure of £320,000 on the income target.

In order to deliver a number of projects within the Traffic Management team, a project manager has been employed on a fixed term contract until March 2019 for which there is no budget provision. This, alongside a reduction in the amount of staff time being spent on schemes within the capital programme and therefore being transferred from revenue to capital, is resulting in a forecast pressure of £115,000.

**Portfolio Performance – Public Protection**

<b>Current Budget</b>	<b>Initial Outturn</b>	<b>Management Actions</b>	<b>Expected Outturn</b>	<b>Forecast Variance</b>
<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
14,560	13,480	(31)	13,449	(1,111)

The forecast underspend of (£1.111M) in the Public Protection Portfolio is 7.6% of the £14.560M net budget allocation.

**Community Safety**

Due to a review of the strategy for replacement and procurement of new CCTV equipment, the additional revenue provision for maintenance is currently not required. This is resulting in a forecast underspend of (£35,000). A carry forward request has been made for the remaining capital funding and a further capital bid has been submitted for 2019/20.

The recruitment for the Borough Wide Patrol team has concluded and the permanent team will be in post shortly. In order to ensure a smooth transition from the temporary arrangement in place, there will a period of dual running to ensure that the new staff are trained and ready to patrol the Borough. As a result of this dual running and the recruitment of staff it is anticipated that there will be an overspend of £69,000

**Cemeteries and Crematorium**

Income received for Cremation services is higher than originally forecast. An underspend of (£90,000) has been estimated which anticipates a pressure due to the hospital processing more Public Health Act funerals. To date more costs have been incurred and less income has been collected when compared to last year's outturn.

**Flooding**

There are a number of engineering vacancies within the Flood Defences section which are yet to be filled. Recruitment is ongoing, but until the posts are filled there will be an underspend on staffing costs within this team. No additional consultancy or contractor costs have been incurred during this time, and due to a lack of engineers, the expected contractor costs have reduced significantly due to no works being identified and this is resulting in a forecast underspend of (£235,000).

**Regulatory Services**

Due to internal promotions there is currently a vacancy within the team which will result in a staffing underspend of approximately (£80,000). Attempts to fill vacancies throughout the year have proved difficult and it is felt that our proximity to London is making it difficult to recruit staff. As a result, attempts are now being made to develop a programme to 'grow our own' to train and retain staff.

Income generated through the Building Control Trading Account is significantly less than in previous years. Currently the levels of income received are at their lowest levels since 2012/13. It is felt that this is due to increased levels of competition from private businesses,

and the level of service provided by the contact centre who deal with a range of queries rather than specialising in Building Control.

### **Waste and Street Scene**

Due to the Mechanical Biological Treatment plant (MBT) in Basildon continuing to fail to meet the performance requirements of the original specification, the reduced gate fee during the commissioning phase is still in place. This is allowing SBC to dispose of residual waste at a lower rate than the original business case. However, due to poor performance at the facility, the average cost per tonne for disposal this year has increased to £122, whereas the cost of landfill is £102. The MBT has recently been switched off to some waste streams and as a result some waste has been diverted to landfill. This, along with a change in the disposal of food waste which now provides us with an income, is resulting in a forecast underspend of (£525,000). There is an opportunity to source a short term agreement for our waste disposal requirement from January 2020 up until October 2023 when the Waste Collection contract will expire with a view to procuring a joint waste collection and disposal contract from October 2023 onwards.

As a result of the revised agreement with Essex County Council relating to the waste Joint Working Agreement, we are continuing to receive a share of the Waste Infrastructure Grant in relation to the MBT. The value of this income in 2018/19 is forecast to be (£235,000).



**Non Portfolio Performance**

<b>Current Budget</b>	<b>Initial Outturn</b>	<b>Management Actions</b>	<b>Expected Outturn</b>	<b>Forecast Variance</b>
<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
(21,772)	(22,186)	0	(22,186)	(414)

**Financing Costs**

The £36,000 adverse variance is a reduced forecast from Period 8 which was £28,000 and is due to;

- A shortfall of £60,000 in the Property Investment Fund due to a revision of the full year estimate based on quarter 3 performance;
- A loan made to South Essex College is attracting interest at market rates. Due to the unknown timing of the capital receipt at budget setting, additional interest of (£152,000) will be received;
- A favourable variance of (£252,000) is expected to arise due to reduced long term Public Works Loan Board borrowing which is now anticipated to be in the region of £20M, half the amount that was originally forecast.
- A favourable variance of (£41,000) due to short-term borrowing is partly offsetting a pressure of £52,000 which has materialised due to the statutory mitigation implemented in November's report.
- There is expected to be an adverse variance of £309,000 due to greater Capital Expenditure in 2017-18 than expected.
- Due to delays in long term borrowing, low balances are being kept in Money Market Funds which is resulting in an adverse variance of £60,000.

**Contingency**

The Strategic Director of Finance and Resources has delegated authority to release funds held as contingencies within the approved budget. As at Period 10 the following drawdowns have been approved:-

Drawdowns agreed as at period 9	£000 2,139
• Funding for Contaminated Land Survey	21
• Funding for Planning Support	4
• Funding for Enforcement Bid (Public Protection)	9
• Event Support within Public Health	20
• Redaction Officer, Adults & Housing Business Support	17
<b>Total</b>	<b>2,210</b>

A thorough review of contingency balances has been conducted resulting in an underspend of (£450,000) being forecast.

## Revenue Contribution to Capital

The original budget for 2018/19 included planned revenue contributions for capital investments, via the use of Earmarked Reserves, of £5,058,000. Due to slippage from 2018/19 into 2019/20 agreed at Cabinet in November 2018, this budget has now decreased to £2,380,000. The Capital Reserve will fund £1,940,000 of this, £238,000 is funded from the Agresso Reserve and the remaining £202,000 is funded from the People Workforce Strategy Team, energy savings generated from energy efficiency projects and contingency.

## Transfers to / (from) Earmarked Reserves

Net transfers to Earmarked Reserves totalling £5,436,000 were agreed by Council when setting the 2018/19 budget in February 2018. The current outturn position allows for further in-year net transfers from reserves totalling (£95,000). Total net transfers from reserves for 2018/19 are therefore forecast to be £5,341,000.

The net change of (£94,900) comprises the following agreed additional transfers

### Transfers to Earmarked Reserves

- £2,736,000 to the Capital Reserve due to programme re-profiling
- £300,000 from Contingency for Welfare Reforms to the Welfare Reform Reserve

### Transfers from Earmarked Reserves

- (£1,518,600) from the Children's Social Care Reserve – to support the OFSTED improvement programme, Edge of Care Team, secured looked after children placements and Children's Local Safeguarding Board.
- (£555,300) from the Business Transformation Reserve – for specific projects agreed by CMT.
- (£22,000) from the Troubled Families Reserve – for supporting the targeting of additional troubled families payment by results income.
- (£20,000) from the Adult Social Care Reserve – for the Adult's Safeguarding Board.
- (£240,000) from the Public Health Reserve – for the Interim Director of Public Health and unachieved 2018/19 Sexual Health and 0-5 contract savings.
- (£185,000) from the Licensing Reserve to recognise income received in 2017/18 relating to part of 2018/19.
- (£40,000) from the Grants Reserve to fund the final cost of the Cultural Destinations project, funded by the Arts Council.
- (£23,000) from the Grants Reserve to fund 2018/19 costs relating to the 60 Minute Mentor programme, which has been extended in Southend.
- (£40,000) from the Grants Reserve to fund the reimbursement of the remainder of the TRACE (Walking and Cycling Tracking Services) grant
- (£15,000) from the Election Reserve to supplement funding for the Local Government Elections held in May
- (£472,000) from the Dedicated Schools Grant Reserve, to support in year DSG funding pressures

However, as part of the proposed management actions, there is a request to transfer a further £755,000 of earmarked reserves; namely

- £300,000 to the Public Health reserve as a result of a forecast underspend on the ringfenced grant
- (£200,000) from the Interest Equalisation Reserve to mitigate against the impact the change in government regulations has on recognition of interest income
- (£65,000) from the Supporting People Reserve to mitigate the unachieved element of saving PE8
- (£790,000) release of surplus funds within the Grants Reserve

Providing the request to transfer (£755,000) above is agreed, there will be a need to transfer £1,631,000 to the Business Transformation Reserve for the projected residual underspend at year end.

### **Funding the Budget**

The funding of the net £123.036M budget of the Council is largely fixed at the start of the year, being derived from the preset revenue support grant and business rates top-up grant from central government, the council tax precept and business rates retained share from local taxpayers, and any release of accumulated collection fund surpluses. However in addition to these fixed amounts, the Council is also in receipt of Section 31 grants paid to compensate the Council for changes made to the Government's business rates scheme, and also new for this year anticipated benefit to be derived from being a part of the Essex Business Rate Pool. A review of the anticipated income relating to Section 31 grants and the Essex pool has been undertaken, and it is forecast that the Council will receive some £2,500,000 additional income in year to support the Council Budget.

## Housing Revenue Account

	Original Budget			Virement £'000	Latest Budget			Initial Outturn £'000	Proposed Management Action £'000	Expected Outturn £'000	Forecast Variance £'000	Movement from Period 9
	Gross Expend £'000	Gross Income £'000	Net £'000		Gross Expend £'000	Gross Income £'000	Net £'000					
Employees	210	0	210	0	210	0	210	210	0	210	0	↔
Premises (excluding repairs)	790	0	790	0	790	0	790	770	0	770	(20)	↑
Repairs	4,930	0	4,930	469	5,399	0	5,399	5,399	0	5,399	0	↔
Supplies and Services	69	0	69	0	69	0	69	69	0	69	0	↔
Management Fee	5,579	0	5,579	38	5,617	0	5,617	5,617	0	5,617	0	↔
MATS	1,146	0	1,146	0	1,146	0	1,146	1,146	0	1,146	0	↔
Provision for Bad Debts	394	0	394	0	394	0	394	394	0	394	0	↔
Depreciation	6,284	0	6,284	0	6,284	0	6,284	6,284	0	6,284	0	↔
Capital Financing Charges	3,515	0	3,515	0	3,515	0	3,515	3,505	0	3,505	(10)	↔
<b>Gross Expenditure</b>	<b>22,917</b>	<b>0</b>	<b>22,917</b>	<b>507</b>	<b>23,424</b>	<b>0</b>	<b>23,424</b>	<b>23,394</b>	<b>0</b>	<b>23,394</b>	<b>(30)</b>	<b>↑</b>
Fees and Charges	0	(349)	(349)	0	0	(349)	(349)	(349)	0	(349)	0	↔
Dwelling Rents	0	(24,900)	(24,900)	(507)	0	(25,407)	(25,407)	(25,595)	0	(25,595)	(188)	↓
Other Rents	0	(1,372)	(1,372)	0	0	(1,372)	(1,372)	(1,372)	0	(1,372)	0	↔
Other Income	0	(27)	(27)	0	0	(27)	(27)	(27)	0	(27)	0	↔
Interest	0	(250)	(250)	0	0	(250)	(250)	(240)	0	(240)	10	↔
Recharges	0	(566)	(566)	0	0	(566)	(566)	(525)	0	(525)	41	↔
<b>Non Department Net Expenditure</b>	<b>0</b>	<b>(27,464)</b>	<b>(27,464)</b>	<b>(507)</b>	<b>0</b>	<b>(27,971)</b>	<b>(27,971)</b>	<b>(28,108)</b>	<b>0</b>	<b>(28,108)</b>	<b>(137)</b>	<b>↓</b>
<b>Net Operating Expenditure</b>	<b>22,917</b>	<b>(27,464)</b>	<b>(4,547)</b>	<b>0</b>	<b>23,424</b>	<b>(27,971)</b>	<b>(4,547)</b>	<b>(4,714)</b>	<b>0</b>	<b>(4,714)</b>	<b>(167)</b>	<b>↓</b>
Revenue Contribution to Capital	1,925	0	1,925	0	1,925	0	1,925	1,973	0	1,973	48	↔
Contribution to/ (from) Earmarked Reserves	2,622	0	2,622	0	2,622	0	2,622	2,741	0	2,741	119	↑
Contribution to/ (from) General Reserves	0	0	0	0	0	0	0	0	0	0	0	↔
<b>Net Expenditure/ (Income)</b>	<b>27,464</b>	<b>(27,464)</b>	<b>0</b>	<b>0</b>	<b>27,971</b>	<b>(27,971)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>↔</b>

Use of general Reserves	
Balances as at 1 April 2018	3,502
(Use)/ contribution to in Year	0
<b>Balance as at 31 March 2019</b>	<b>3,502</b>

3,502	3,502	0	3,502	0	↔
0	0	0	0	0	↔
<b>3,502</b>	<b>3,502</b>	<b>0</b>	<b>3,502</b>	<b>0</b>	<b>↔</b>

### Overall Budget Performance

The HRA budget was approved by Council in February 2018 and anticipated an operating surplus of £4,547,000.

The closing HRA balance as at March 2018 was £3,502,000.

The latest forecast as at January 2019 indicates that the HRA will have an operating surplus of £4,714,000, an increase of (£167,000) in 2018/19. The main reasons are as follows:

- (£20,000) underspend on council tax because the actual council tax on void sheltered properties is higher than estimated in the budget. The assumption for the council tax budget was at higher voids than the actual to date.
- (£188,000) over recovery of rental income - This is because predictions as at the end of period 7 are showing higher rental income than budgeted for. The estimate assumes a 4% void allowance across all properties and the actual up to end of October has been less. Rather than increase the HRA balance, normal custom and practice would see this surplus transferred to the HRA Capital Investment Reserve.
- £41,000 overspend on the recharge to the HRA capital programme. This is because of the anticipated underspend on the capital budget.

Rather than increase the HRA balance, normal custom and practice would see this surplus transferred to the HRA Capital Investment Reserve.

### Revenue Contribution to Capital Expenditure

The original budget for 2018/19 included planned revenue contributions for capital investments, via the use of earmarked reserves, of £1,925,000. There had been earlier thoughts to finance the majority of this through different means, but for now it is considered that it is appropriate to stick with the original proposal. Due to a revision in the capital programme however the RCCO has risen by £48,000.

### Transfers to / (from) Earmarked Reserves

Net transfers to Earmarked Reserves totalling £2,622,000 were agreed by Council when setting the 2018/19 budget in February 2018. Based on the current forecasts, there will be the need to transfer a further £119,000 to the HRA Capital Investment Reserve in respect of the projected residual underspend at year end.

## Budget Transfers

In line with the approved financial procedure rules all budget transfers (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 transfers which fall within these parameters

	DR £000	CR £000
Transfers over £50,000 in this period for approval	377	(377)
Transfers over £50,000 previously reported	25,836	(25,836)
Transfers approved under delegated authority	206	(206)
<b>Total Budget Transfers</b>	<b>26,419</b>	<b>(26,419)</b>

The budget transfers for Cabinet approval this period are:

	£000
1) Allocation of remaining Public Health Grant 18/19.	258
2) Move Occupational Therapy Posts from Housing to OT Team.	119
<b>Total</b>	<b>377</b>

## Decisions Required

Members are asked to

- Note the forecast outturn for the General Fund and Housing Revenue Accounts as at January 2019
- Note the planned management actions of £721,000 to achieve that forecast outturn;
- Agree the planned budget transfers (Virements) of £377,000;
- Note the potential transfer of £1,631,000 to the Business Transformation Reserve in respect of the forecast General Fund net surplus; and
- Note the potential transfer of £119,000 to the HRA Capital Investment Reserve in respect of the forecast HRA net surplus

## General Fund

## Leader Portfolio

Leader : Cllr John Lamb

Service Department	Original Budget			Virement £'000	Latest Budget			Initial Outturn £'000	Proposed Management Action £'000	Expected Outturn £'000	Forecast Variance £'000	Movement from Period 9
	Gross Expend £'000	Gross Income £'000	Net £'000		Gross Expend £'000	Gross Income £'000	Net £'000					
<b>Corporate Planning and Policy</b>												
a. Corporate and Non-Distributable Costs	1,919	(184)	1,735	(141)	1,778	(184)	1,594	1,564	0	1,564	(30)	↓
<b>Corporate Services</b>												
b. Department of the Chief Executive	634	0	634	(2)	632	0	632	612	0	612	(20)	↔
<b>Financial Services</b>												
c. Accountancy	2,131	(295)	1,836	0	2,131	(295)	1,836	1,766	0	1,766	(70)	↓
d. Accounts Payable	119	(4)	115	0	119	(4)	115	115	0	115	0	↔
e. Accounts Receivable	190	(77)	113	0	190	(77)	113	113	0	113	0	↔
f. Insurance	162	(247)	(85)	0	162	(247)	(85)	(85)	0	(85)	0	↔
g. Internal Audit	774	(271)	503	0	705	(202)	503	423	0	423	(80)	↓
h. Corporate Fraud	225	(52)	173	1	226	(52)	174	174	0	174	0	↔
i. Corporate Procurement	621	0	621	136	757	0	757	757	0	757	0	↔
<b>Human Resources &amp; Organisational Development</b>												
j. Human Resources	1,815	(505)	1,310	129	1,944	(505)	1,439	1,479	0	1,479	40	↔
k. People and Organisational Development	414	(115)	299	(1)	413	(115)	298	298	0	298	0	↔
l. Tickfield Training Centre	370	(156)	214	5	375	(156)	219	219	0	219	0	↔
<b>Legal and Democratic Services</b>												
m. Democratic Services Support	371	0	371	0	371	0	371	371	0	371	0	↔
n. Mayoralty	191	0	191	7	198	0	198	198	0	198	0	↔
o. Member Support	730	0	730	0	730	0	730	730	0	730	0	↔
p. Elections and Electoral Registration	354	0	354	15	369	0	369	369	0	369	0	↔
q. Local Land Charges	197	(297)	(100)	0	197	(297)	(100)	(100)	0	(100)	0	↔
r. Legal Services	1,308	(245)	1,063	218	1,526	(245)	1,281	1,281	0	1,281	0	↔
<b>Other Services</b>												
s. Emergency Planning	82	0	82	70	152	0	152	172	0	172	20	↔
t. Corporate Subscriptions	85	0	85	70	155	0	155	155	0	155	0	↔
u. Strategy and Performance	692	0	692	113	805	0	805	805	0	805	0	↔
<b>Total Net Budget for Department</b>	<b>13,384</b>	<b>(2,448)</b>	<b>10,936</b>	<b>620</b>	<b>13,935</b>	<b>(2,379)</b>	<b>11,556</b>	<b>11,416</b>	<b>0</b>	<b>11,416</b>	<b>(140)</b>	<b>↓</b>

## General Fund

## Growth Portfolio

Growth : Cllr James Courtenay

Service Department	Original Budget			Virement £'000	Latest Budget			Initial Outturn £'000	Proposed Management Action £'000	Expected Outturn £'000	Forecast Variance £'000	Movement from Period 9
	Gross Expend £'000	Gross Income £'000	Net £'000		Gross Expend £'000	Gross Income £'000	Net £'000					
<b>Asset and Facilities Management</b>												
a. Asset Management	416	(16)	400	0	416	(16)	400	400	0	400	0	↔
b. Corporate and Industrial Estates	177	(3,319)	(3,142)	1,026	4,533	(6,649)	(2,116)	(2,496)	0	(2,496)	(380)	↔
c. Property Management and Maintenance	469	(111)	358	(11)	458	(111)	347	347	0	347	0	↔
d. Buildings Management	2,543	(110)	2,433	150	2,693	(110)	2,583	2,743	0	2,743	160	↔
<b>Economic Development and Regeneration</b>												
e. Economic Development	1,004	(578)	426	(45)	2,365	(1,984)	381	381	0	381	0	↔
f. Town Centre	206	(59)	147	(1)	205	(59)	146	83	0	83	(63)	↓
g. Better Queensway	0	0	0	0	0	0	0	0	0	0	0	↔
<b>Planning</b>												
h. Development Control	895	(631)	264	0	895	(631)	264	132	0	132	(132)	↔
i. Regional and Local Town Plan	284	0	284	135	419	0	419	419	0	419	0	↔
<b>Tourism</b>												
j. Resorts Services Pier and Foreshore	2,828	(957)	1,871	(662)	2,357	(1,148)	1,209	1,224	0	1,224	15	↑
k. Tourism	58	(18)	40	(1)	57	(18)	39	39	0	39	0	↔
<b>Total Net Budget for Department</b>	<b>8,880</b>	<b>(5,799)</b>	<b>3,081</b>	<b>591</b>	<b>14,398</b>	<b>(10,726)</b>	<b>3,672</b>	<b>3,272</b>	<b>0</b>	<b>3,272</b>	<b>(400)</b>	<b>↑</b>



## General Fund

## Adults and Housing Portfolio

## Adults and Housing : Cllr Tony Cox

Service Department	Original Budget			Virement £'000	Latest Budget			Initial Outturn £'000	Proposed Management Action £'000	Expected Outturn £'000	Forecast Variance £'000	Movement from Period 9
	Gross Expend £'000	Gross Income £'000	Net £'000		Gross Expend £'000	Gross Income £'000	Net £'000					
<b>Adult Social Care</b>												
a. Adult Support Services and Management	298	0	298	226	524	0	524	524	0	524	0	↔
b. Business Support Team	1,776	(184)	1,592	17	1,793	(184)	1,609	1,609	0	1,609	0	↔
c. Strategy, Development and Commissioning	2,228	(590)	1,638	16	2,314	(660)	1,654	1,589	0	1,589	(65)	↓
d. People with a Learning Disability	14,427	(1,922)	12,505	(353)	14,012	(1,860)	12,152	12,395	(100)	12,295	143	↑
e. People with Mental Health Needs	3,653	(198)	3,455	555	4,397	(387)	4,010	4,240	0	4,240	230	↑
f. Older People	29,566	(16,464)	13,102	(2,608)	29,528	(19,034)	10,494	10,449	(300)	10,149	(345)	↓
g. Other Community Services	5,877	(4,574)	1,303	601	4,477	(2,573)	1,904	1,904	0	1,904	0	↔
h. People with a Physical or Sensory Impairment	4,614	(1,222)	3,392	436	5,078	(1,250)	3,828	3,847	0	3,847	19	↑
i. Service Strategy and Regulation	124	(69)	55	(1)	123	(69)	54	54	0	54	0	↔
<b>Council and Private Sector Housing Investment</b>												
j. Private Sector Housing	3,780	(1,119)	2,661	(54)	3,726	(1,119)	2,607	2,467	0	2,467	(140)	↓
k. Supporting People	2,433	0	2,433	(188)	2,245	0	2,245	2,310	0	2,310	65	↑
<b>Homelessness</b>												
l. Housing Needs and Homelessness	994	(658)	336	(119)	1,586	(1,369)	217	407	0	407	190	↑
<b>Strategy and Advice</b>												
m. Strategy and Planning for Housing	224	(117)	107	16	240	(117)	123	123	0	123	0	↔
<b>Total Net Budget for Department</b>	<b>69,994</b>	<b>(27,117)</b>	<b>42,877</b>	<b>(1,456)</b>	<b>70,043</b>	<b>(28,622)</b>	<b>41,421</b>	<b>41,918</b>	<b>(400)</b>	<b>41,518</b>	<b>97</b>	<b>↑</b>

## General Fund

## Children and Learning Portfolio

Children and Learning : Cllr Helen Boyd

Service Department	Original Budget			Virement £'000	Latest Budget			Initial Outturn £'000	Proposed Management Action £'000	Expected Outturn £'000	Forecast Variance £'000	Movement from Period 9
	Gross Expend £'000	Gross Income £'000	Net £'000		Gross Expend £'000	Gross Income £'000	Net £'000					
<b>Childrens Social Care</b>												
a. Children Fieldwork Services	4,379	(5)	4,374	929	5,308	(5)	5,303	5,888	0	5,888	585	↑
b. Children with Disabilities	1,175	(183)	992	1	1,176	(183)	993	1,093	0	1,093	100	↑
c. Childrens Specialist Support and Commissioning	2,624	(164)	2,460	135	2,759	(164)	2,595	2,595	0	2,595	0	↔
d. Inhouse Fostering and Adoption	4,911	(236)	4,675	104	5,015	(236)	4,779	4,779	0	4,779	0	↔
e. Leaving Care Placements and Resources	1,104	(232)	872	502	2,043	(669)	1,374	1,644	(50)	1,594	220	↔
f. Private Voluntary Independent Provider Placements	3,825	(120)	3,705	1,603	5,428	(120)	5,308	5,928	0	5,928	620	↑
<b>Youth and Family Support</b>												
g. Early Help and Family Support	1,723	(1,201)	522	261	1,984	(1,201)	783	993	(210)	783	0	↔
h. Youth Offending Service	1,894	(632)	1,262	(2)	1,834	(574)	1,260	1,290	0	1,290	30	↑
i. Youth Service	597	(96)	501	(29)	518	(46)	472	432	0	432	(40)	↓
<b>Educational and Schools</b>												
j. School Support and Education Transport	23,116	(11,213)	11,903	168	23,794	(11,723)	12,071	12,171	0	12,171	100	↔
k. Early Years Development and Child Care Partnership	12,023	(10,825)	1,198	1,102	12,808	(10,508)	2,300	2,300	0	2,300	0	↔
l. High Needs Educational Funding	11,906	(11,028)	878	20	12,175	(11,277)	898	798	0	798	(100)	↔
m. Southend Adult Community College	3,400	(3,186)	214	(215)	3,373	(3,374)	(1)	(1)	0	(1)	0	↔
<b>Maintained Schools Delegated</b>												
n. Maintained Schools Delegated Budgets	32,454	(32,454)	0	0	24,692	(24,692)	0	0	0	0	0	↔
o. Pupil Premium	2,906	(2,906)	0	0	2,988	(2,988)	0	0	0	0	0	↔
<b>Total Net Budget for Department</b>	<b>108,037</b>	<b>(74,481)</b>	<b>33,556</b>	<b>4,579</b>	<b>105,895</b>	<b>(67,760)</b>	<b>38,135</b>	<b>39,910</b>	<b>(260)</b>	<b>39,650</b>	<b>1,515</b>	<b>↑</b>

## General Fund

## Healthy Communities and Wellbeing Portfolio

## Healthy Communities and Wellbeing : Cllr Lesley Salter

Service Department	Original Budget			Virement £'000	Latest Budget			Initial Outturn £'000	Proposed Management Action £'000	Expected Outturn £'000	Forecast Variance £'000	Movement from Period 9
	Gross Expend £'000	Gross Income £'000	Net £'000		Gross Expend £'000	Gross Income £'000	Net £'000					
<b>Community Resilience and Cohesion</b>												
a. Partnership Team	231	0	231	(1)	230	0	230	230	0	230	0	↔
b. Community Centres and Club 60	93	(1)	92	(4)	89	(1)	88	88	0	88	0	↔
<b>Culture</b>												
c. Arts Development	499	(233)	266	78	577	(233)	344	379	0	379	35	↑
d. Amenity Services Organisation	3,673	(683)	2,990	110	3,783	(683)	3,100	3,250	0	3,250	150	↑
e. Culture Management	146	(6)	140	0	146	(6)	140	105	0	105	(35)	↓
f. Library Service	3,378	(397)	2,981	12	3,390	(397)	2,993	3,043	(30)	3,013	20	↑
g. Museums and Art Gallery	1,995	(80)	1,915	(8)	1,987	(80)	1,907	1,947	0	1,947	40	↑
h. Parks and Amenities Management	1,812	(786)	1,026	635	2,451	(790)	1,661	1,836	0	1,836	175	↓
i. Sports Development	54	0	54	(1)	53	0	53	53	0	53	0	↔
j. Sport and Leisure Facilities	589	(304)	285	80	669	(304)	365	365	0	365	0	↔
k. Southend Theatres	647	(27)	620	26	673	(27)	646	646	0	646	0	↔
<b>Customer Services</b>												
l. Registration of Births Deaths and Marriages	330	(378)	(48)	0	330	(378)	(48)	(48)	0	(48)	0	↔
m. Customer Services Centre	1,976	(295)	1,681	34	2,010	(295)	1,715	1,545	0	1,545	(170)	↔
<b>Revenues and Benefits</b>												
n. Council Tax Collection	869	(607)	262	0	869	(607)	262	262	0	262	0	↔
o. Non Domestic Rates Collection	199	(306)	(107)	0	199	(306)	(107)	(107)	0	(107)	0	↔
p. Housing Benefit Administration	1,801	(1,195)	606	8	1,809	(1,195)	614	564	0	564	(50)	↔
q. Rent Benefit Payments	91,582	(91,685)	(103)	0	73,771	(73,874)	(103)	(103)	0	(103)	0	↔
<b>Health</b>												
r. Public Health	6,323	(6,480)	(157)	261	6,713	(6,609)	104	(196)	0	(196)	(300)	↓
s. Drug and Alcohol Action Team	2,270	(2,187)	83	24	2,294	(2,187)	107	107	0	107	0	↔
t. Young Persons Drug and Alcohol Team	273	(265)	8	(1)	272	(265)	7	7	0	7	0	↔
<b>Voluntary and Community Services</b>												
u. Support to Voluntary Sector	811	0	811	15	826	0	826	841	0	841	15	↔
<b>Total Net Budget for Department</b>	<b>119,551</b>	<b>(105,915)</b>	<b>13,636</b>	<b>1,268</b>	<b>103,141</b>	<b>(88,237)</b>	<b>14,904</b>	<b>14,814</b>	<b>(30)</b>	<b>14,784</b>	<b>(120)</b>	<b>↓</b>

## General Fund

## Infrastructure Portfolio

Infrastructure : Cllr Andrew Moring

Service Department	Original Budget			Virement £'000	Latest Budget			Initial Outturn £'000	Proposed Management Action £'000	Expected Outturn £'000	Forecast Variance £'000	Movement from Period 9
	Gross Expend £'000	Gross Income £'000	Net £'000		Gross Expend £'000	Gross Income £'000	Net £'000					
<b>Transport</b>												
a. Highways Maintenance	10,956	(1,708)	9,248	(741)	10,215	(1,708)	8,507	9,205	0	9,205	698	↓
b. Bridges and Structural Engineering	414	0	414	46	460	0	460	425	0	425	(35)	↔
c. Decriminalised Parking	1,171	(1,699)	(528)	(1)	1,170	(1,699)	(529)	(549)	0	(549)	(20)	↓
d. Car Parking Management	1,170	(7,222)	(6,052)	2,357	3,527	(7,222)	(3,695)	(2,940)	0	(2,940)	755	↑
e. Concessionary Fares	3,307	0	3,307	83	3,390	0	3,390	3,234	0	3,234	(156)	↔
f. Passenger Transport	417	(65)	352	21	438	(65)	373	466	0	466	93	↔
g. Road Safety and School Crossing	229	0	229	(1)	228	0	228	194	0	194	(34)	↔
h. Transport Planning	1,672	(1,990)	(318)	41	1,688	(1,965)	(277)	451	0	451	728	↑
i. Traffic and Parking Management	600	(5)	595	53	653	(5)	648	769	0	769	121	↓
j. Dial A Ride Service	105	(19)	86	5	110	(19)	91	91	0	91	0	↔
k. Transport Management	173	0	173	0	173	0	173	173	0	173	0	↔
l. Vehicle Fleet	550	(344)	206	5	555	(344)	211	211	0	211	0	↔
<b>m. Digital Futures</b>	6,193	(1,183)	5,010	(821)	5,372	(1,183)	4,189	4,189	0	4,189	0	↔
<b>Other Services</b>												
n. Enterprise Tourism and Environment Central Pool	1,451	0	1,451	(1)	1,450	0	1,450	1,497	0	1,497	47	↔
<b>Total Net Budget for Department</b>	<b>28,408</b>	<b>(14,235)</b>	<b>14,173</b>	<b>1,046</b>	<b>29,429</b>	<b>(14,210)</b>	<b>15,219</b>	<b>17,416</b>	<b>0</b>	<b>17,416</b>	<b>2,197</b>	<b>↑</b>

## General Fund

## Public Protection Portfolio

Public Protection : Cllr Mark Flewitt

Service Department	Original Budget			Virement £'000	Latest Budget			Initial Outturn £'000	Proposed Management Action £'000	Expected Outturn £'000	Forecast Variance £'000	Movement from Period 9
	Gross Expend £'000	Gross Income £'000	Net £'000		Gross Expend £'000	Gross Income £'000	Net £'000					
<b>Community Safety</b>												
a. Closed Circuit Television	549	(33)	516	(1)	548	(33)	515	480	0	480	(35)	↑
b. Community Safety	216	(32)	184	132	348	(32)	316	385	0	385	69	↑
<b>Energy</b>												
c. Climate Change	111	(144)	(33)	164	275	(144)	131	131	0	131	0	↔
<b>Cemeteries and Crematorium</b>												
d. Cemeteries and Crematorium	1,161	(2,566)	(1,405)	52	1,213	(2,566)	(1,353)	(1,443)	0	(1,443)	(90)	↔
<b>Flooding</b>												
e. Flood and Sea Defences	811	(11)	800	(5)	806	(11)	795	560	0	560	(235)	↓
<b>Regulatory Services</b>												
f. Regulatory Business	35	(14)	21	0	35	(14)	21	36	0	36	15	↑
g. Regulatory Licensing	100	(469)	(369)	204	119	(284)	(165)	(150)	0	(150)	15	↔
h. Regulatory Management	1,134	0	1,134	16	1,150	0	1,150	1,070	0	1,070	(80)	↔
i. Regulatory Protection	71	(13)	58	33	104	(13)	91	96	0	96	5	↔
j. Building Control	443	(440)	3	(1)	442	(440)	2	48	(31)	17	15	↔
<b>Waste and Street Scene</b>												
k. Public Conveniences	550	0	550	16	566	0	566	566	0	566	0	↔
l. Waste Collection	4,695	0	4,695	347	5,042	0	5,042	5,042	0	5,042	0	↔
m. Waste Disposal	5,264	0	5,264	(227)	5,037	0	5,037	4,511	0	4,511	(526)	↓
n. Street Cleansing	1,360	0	1,360	35	1,395	0	1,395	1,395	0	1,395	0	↔
o. Household Recycling	477	(7)	470	12	489	(7)	482	482	0	482	0	↔
p. Environmental Care	242	(4)	238	3	245	(4)	241	212	0	212	(29)	↓
q. Waste Management	296	0	296	(2)	294	0	294	59	0	59	(235)	↓
<b>Total Net Budget for Department</b>	<b>17,515</b>	<b>(3,733)</b>	<b>13,782</b>	<b>778</b>	<b>18,108</b>	<b>(3,548)</b>	<b>14,560</b>	<b>13,480</b>	<b>(31)</b>	<b>13,449</b>	<b>(1,111)</b>	<b>↓</b>

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**Capital Investment Programme  
Budget Monitoring 2018/19**

**Period 10**

**as at 31<sup>st</sup> January 2019**

**Summary by Investment Area**

## Capital Investment Programme Monitoring Report – January 2019

### 1. Overall Budget Performance by Investment Area

The revised Capital budget for the 2018/19 financial year is £52.648million which includes all changes agreed at February Cabinet. Actual capital spend at 31<sup>st</sup> January is £38.479million representing approximately 73% of the revised budget. This is shown in Section 3. (Outstanding creditors totalling £0.191million 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 type of investment area as follows:

Investment Area	Revised Budget 2018/19	Outturn to 31 <sup>st</sup> January 2018/19	Expected outturn 2018/19	Latest Expected Variance to Revised Budget 2018/19
	£'000	£'000	£'000	£'000
Works to Property	1,289	434	1,289	-
Social Care	881	529	881	-
General Fund Housing	1,438	738	1,438	-
Schools	13,086	13,709	14,078	992
Culture & Tourism	4,801	3,706	4,801	-
Enterprise & Regeneration	3,941	3,827	4,041	100
ICT	3,458	2,524	3,458	-
Southend Pier	3,158	1,009	2,009	(1,149)
Highways & Infrastructure	10,243	5,892	10,004	(239)
S106/S38/CIL	963	228	1,031	68
Energy Saving	133	109	133	-
Community Safety	199	67	199	-
Council Housing & New Build Programme	9,058	5,707	9,058	-
<b>Total</b>	<b>52,648</b>	<b>38,479</b>	<b>52,420</b>	<b>(228)</b>

The above investment is proposed to be funded as follows:

	Council Budget	Grant Budget	Developer & Other Contributions	Total Budget
	£'000	£'000	£'000	£'000
<b>Total Budget</b>	<b>25,299</b>	<b>25,913</b>	<b>1,436</b>	<b>52,648</b>
As a percentage of total budget	48.1%	49.2%	2.7%	
External Funding Received to date		18,180	1,334	<b>19,514</b>
External Funding Outstanding		7,733	102	<b>7,835</b>



## **Progress of Schemes for 2018/19**

### **Works to Property**

The Heritage expert's report has now been received on the demolition of 62 Avenue Road and a way forward can now be decided.

Works are now complete on the demolition schemes at Darlows Green and Leigh Cliffs.

The contract has now been let for the Pier arches external landlord works and the contractors are currently on site.

The replacement coffin charger has been ordered and delivery is scheduled for March 2019 utilising the full budget before the end of 2018/19.

The Priority works provision budget currently has £92k remaining unallocated.

### **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 2018/19 include the enhancement of an independent living centre and innovation site to demonstrate technological and robotic opportunities.

Funding from the Dementia Friendly scheme will contribute towards the Dementia Peer Network Development project. This will include set up costs to work across Southend and build on the current programme of asset based community development. This will help to promote people's health, happiness and wellbeing through assessing, identifying and utilising skills and resources within the community.

The tender process is currently underway for the build contract on the new care home, which will be subject to a viable business case.

### **General Fund Housing**

The Private Sector Renewal scheme is in place to ensure that the private sector stock is kept in a good condition to enable the authority to assist its most vulnerable residents. A full service review is currently taking place exploring team objectives and options for delivering against these.

The adaptations framework for the Disabled Facilities scheme commenced in early September with six new contractors following a successful workshop. Works are scheduled to commence on site shortly.

### **Schools**

Condition schemes for 2018/19 total £707k allocated to address larger condition items in schools where the cost is over the schools capabilities to fund. Most of these works were undertaken over the school summer holidays to minimise disruption to the schools. Retentions of £6k are being held for works completed last year at four primary schools.

The Devolved Formula Capital scheme is an annual devolution of dedicated capital grant to all maintained schools. Following a recent announcement, the grant has been increased from £125k to £317k for 2018/19 which will be allocated to schools before the year end. The budget will be increased by £192k in the report to June Cabinet.

A purpose built nursery at the Renown Centre which faces Friars Primary School is now complete and in use, funded from a central government grant of £332k. This is part of a larger project to demolish the older community centre and decommissioned pupil referral unit building and replace them with nine affordable family homes. The demolition phase has now been completed.

The secondary expansion programme is progressing. 120 permanent places have been created for September 2018 and a further seven places will be available from September 2019 along with additional new places over the following years. This expansion will be across eight of the twelve secondary schools. An accelerated delivery request of £800k will be included in the report to June Cabinet to fund works that will be completed ahead of programme.

Shoeburyness High School, St Thomas More High School, Belfairs Academy, The Eastwood Academy and St Bernard's High School have building contractors on site and their building works are at various stages with one progressing to completion in early 2019. Two further schools have commenced feasibility studies and planning applications. These plans are to ensure that the Local Authority can meet its statutory duty of supplying a good school places to any local resident that requests one. Works at Wentworth Road and Southchurch High School have now entered the snagging stage as the schools have now taken possession of the buildings.

### **Culture and Tourism**

Tender assessments have been completed for the main design team on the Forum II scheme and the cost consultant appointment has been approved by the project board. Design work commenced at the beginning of September and the planning application is to be submitted in April 2019. Work is progressing to RIBA stage three.

Contractors are on site for works on the Allotments water supply upgrade but the weather is currently causing delays. Part of the budget has already been carried forward to 2019/20 but it is hoped that the remaining 2018/19 allocation will be utilised before year end.

Works are now complete on the outer tow path at Southchurch Park and final invoices are expected in the coming weeks to bring the costs within budget.

Further orders have been raised for the Replacement of Parks Furniture scheme and the first batch of refurbished dog bins are due to be delivered by the end of February.

The scheme to replace play equipment is progressing well with a Supernova roundabout installed in Christchurch Park during January.

### **Enterprise and Regeneration**

The contract for the remaining phase one utility works has now been awarded on the Airport Business Park scheme. Procurement for Phase two and Phase three is ongoing. Design work for the Launchpad is progressing and procurement for the operator contract has now commenced. An accelerated delivery request of £100k will be included in the report to June Cabinet to fund works taking place in 2018/19.

Works have now been completed at the Hive as part of the Incubation Centre scheme and the full budget provision will be spent in 2018/19. Marketing is now underway to find tenants for the new premises.

Competitive dialogue is continuing on the Better Queensway scheme and a report on the appointment of the preferred bidder and subsequently the joint venture partner was approved at February Cabinet.

## **ICT**

Works to extend WiFi in council premises is continuing with installation works being carried out in Priory and Delaware during February.

The migration of data has been completed and the new service has gone live for the Northgate Revenues and Benefits scheme. A few elements of the scheme remain and expect to be finalised in early 2019/20.

Phase two is continuing on the Liquid Logic scheme with the delegation portal go-live scheduled for March 2019.

The business case for the Intelligence Hub scheme is to be reframed in a way which shows how it will support the Southend 2050 outcomes. It is to be known as the Operations Centre and the Environmental Impact Assessment is in the process of being drafted.

Procurement has completed for the Phones Migration and Re-Tender scheme and the contract has been agreed with the supplier. Installation and testing work is continuing with go-live scheduled for April 2019.

Symology and Uniform integration testing commenced on 11<sup>th</sup> February for the Channel Shift scheme with Building Control and Development Control integration to be handed over for testing by the end of February.

## **Southend Pier**

Phase one of the bearing refurbishment is on-going and the contract will span two financial years. A carry forward request of £569k will be included in the report to June Cabinet to finalise the works in 2019/20.

Despite delays in the tender document for condition works on the pier, works are progressing and a carry forward request of £50k will be included in the report to June Cabinet.

Some issues have been experienced with the structural engineering consultants on the Prince George Extension scheme and the Timber Outer pier Head scheme and most of the works will now take place in 2019/20. Carry forward requests of £60k and £470k respectively will therefore be included in the report to June Cabinet.

## **Highways and Infrastructure**

### **Infrastructure**

The geotechnical consultant contract is currently out to tender for the cliff slip investigation works. In the meantime a series of stand-alone schemes are progressing including Clifftown Gardens and the cliff path adjacent to the lift. A carry forward request of £50k will be included in the report to June Cabinet to continue the works in 2019/20. The Manor Road

cliff stabilisation scheme is also out to tender and a further carry forward request of £50k will be included for this scheme.

#### Highways

Implementation is on-going on the carriageway and footway improvements programme and will continue for the remainder of the financial year.

The Highways Maintenance Potholes scheme is a demand led service and actions are taken on a daily basis to repair potholes that have met the necessary threshold.

Various LTP schemes are underway including works on verge hardening, electric vehicle charging points and travel centres bus stop flag upgrades.

Another round of bridge inspections is planned along with a list of remedial works to continue the bridge maintenance programme.

The parking strategy scheme is still in the early stages and it is unlikely to progress this financial year. A carry forward request of £199k will therefore be included in the report to June Cabinet.

#### Transport

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 SELEP and all funding has been received.

Phase two was completed at the end of June 2017 with three inbound lanes and two new pedestrian crossings in place. Footbridge foundations works on the south side are now complete. The new westbound lane was open to traffic from 9<sup>th</sup> September and works to the drainage and footway are now complete. Water main diversion works have completed and the north footbridge foundation construction is now underway. Footbridge installation is currently programmed for spring 2019.

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. An accelerated delivery request of £60k will be included in the report to June Cabinet to fund review works and traffic data surveys taken place in 2018/19.

#### **S106/S38/S278 and Community Infrastructure Levy (CIL)**

Various highway S106 schemes are scheduled to take place during 2018/19. There are also a number of S38, S278 and S78 schemes all at various stages. Some of the larger schemes include works on pedestrian crossings and footpath improvements at the airport and works at Fossetts Farm.

Various accelerated delivery requests will be included in the report to June Cabinet for S38 schemes at Fossetts Farm, the Garrison and the Airport totalling £27k. A new budget will also be included for £41k for a S106 scheme to delivery primary care facilities.

## **Energy Saving Projects**

Several LED lighting projects have been identified from the energy efficiency budget including Priory Park workshops, the Travel Centre and the Civic Centre. The majority of the budget has been moved into 2019/20 but the works are scheduled to commence before the end of 2018/19. A project is currently being assessed at Chalkwell Hall as part of the Solar Photovoltaics scheme and results are currently awaited on structural surveys.

## **Community Safety**

The tender for the CCTV equipment renewal is ready to go out in early 2019. Phases one and two will be undertaken in 2019/20 for which carry forwards have already taken place.

External engineers have now submitted their final report on the Security Measures scheme and work on the recommendations can now commence. These recommendations will be overlaid with other proposed town planning works in order that town centre security requirements are referenced and incorporated within other planned works to avoid duplication and reduce costs.

## **Council Housing & New Build Programme**

The planned works for the 2018/19 Decent Homes capital programme are progressing as planned. The tender for the kitchen, bathroom and electrical works contract is progressing well. Works on one lift replacement have been delayed due to structural issues and it is likely that further carry forwards may be required at year end. A value for this carry forward will be known closer to the end of March. All other allocated works will be completed by year end.

The Disabled Adaptations 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 2018/19.

Phase two of the housing construction scheme is progressing well and is ahead of programme due to a proactive contractor and a long period of good weather. The bungalow in Audleys Close was handed over on 9<sup>th</sup> January ahead of programme and the new tenant is in the process of moving in. The internal works are continuing in Rochford Road with kitchens and heating in the process of being fitted. The external works are also now underway. The contractor expects completion to be during May 2019.

## 2. Requested Changes to the 2018/19 Capital Programme

### Carry Forwards to Future Years

Scheme	Proposed Forward £000	Carry
Southend Pier - Bearing Refurbishment (Phase One)		(569)
Southend Pier - Condition Works Engineers		(50)
Southend Pier - Prince George Extension		(60)
Southend Pier - Timber Outer Pier Head		(470)
Cliff Slip Investigation Works		(50)
Manor Road Cliff Stabilisation		(50)
Parking Strategy		(199)
<b>Total Carry Forwards</b>		<b>(1,448)</b>

### Accelerated Deliveries from Future Years

Scheme	Proposed Accelerated Delivery £000
School Improvement & Provision for School Places	800
Airport Business Park	100
S38 Fossetts (const&maint fee)	19
S38 Garrison NBP Road Supp Fee	5
S38/S278 Airport 0901960 Fulm	3
Southend Transport Model	60
<b>Total Accelerated Deliveries</b>	<b>987</b>

### New External Funding

Scheme	Proposed External Funding £000	New
Devolved Formula Capital		192
S106 Bellway Prittlebrook - Primary Healthcare		41
<b>Total New External Funding</b>		<b>233</b>

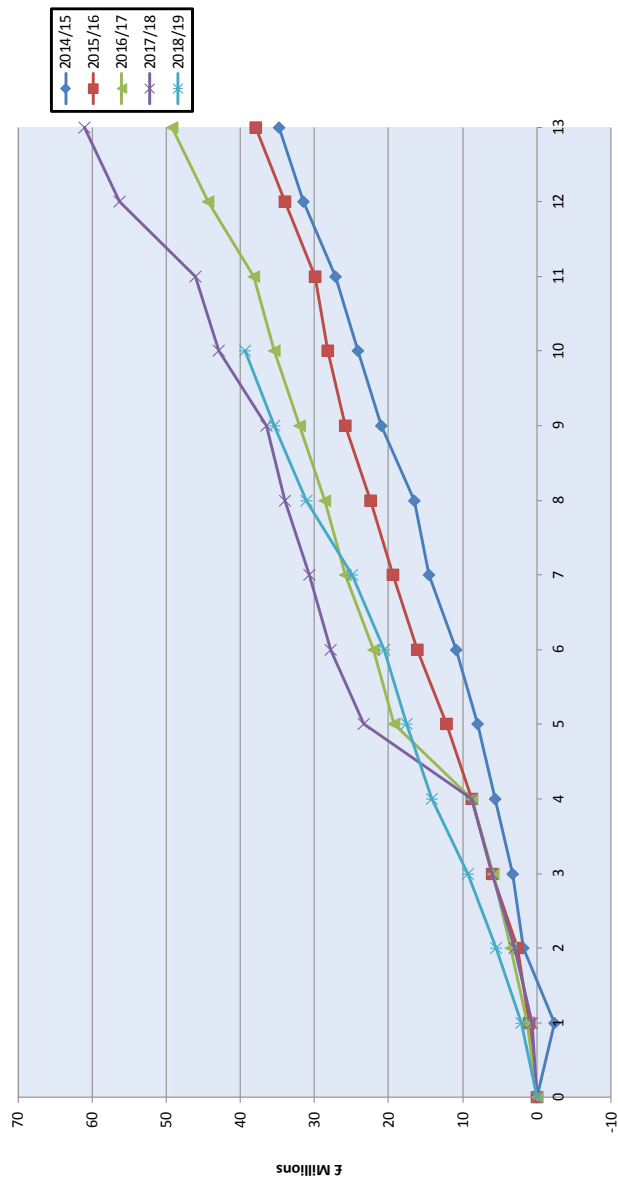
### Summary of Capital Expenditure at 31st January 2019

### Section 3

	Original Budget 2018/19 £000	Revisions £000	Revised Budget 2018/19 £000	Actual 2018/19 £000	Forecast outturn 2018/19 £000	Forecast Variance to Year End 2018/19 £000	% Variance
Finance and Resources	5,555	(4,559)	996	234	996	0	23%
Transformation	395	46	441	304	441	0	69%
People	25,591	(9,618)	15,973	14,974	16,965	992	94%
Place	52,031	(25,851)	26,180	17,260	24,960	(1,220)	66%
Housing Revenue Account	9,412	(354)	9,058	5,707	9,058	-	63%
	<u>92,984</u>	<u>(40,336)</u>	<u>52,648</u>	<u>38,479</u>	<u>52,420</u>	<u>(228)</u>	<u>73%</u>
<b>Council Approved Original Budget - February 2018</b>	<b>92,984</b>						
Finance and Resources amendments	(71)						
People amendments	(2,821)						
Place amendments	(20,308)						
HRA amendments	(2,167)						
Carry Forward requests from 2017/18	6,795						
Accelerated Delivery requests to 2017/18	(2,584)						
Budget re-profiles (June Cabinet)	(19,467)						
New external funding	287						
<b>Council Approved Revised Budget - November 2018</b>	<u>52,648</u>						
<b>Actual compared to Revised Budget spent is £38.479M or 73%</b>							

Section 4

Capital programme Delivery  
Cumulative Capital Expenditure 2014/15 to 2018/19



Year	Outturn £m	Outturn %
2014/15	34.8	83.8
2015/16	37.9	97.0
2016/17	48.8	89.0
2017/18	61.0	95.0



## 1. Budget Performance and Financing by Department

Department	Revised Budget 2018/19 £'000	Outturn to 31 <sup>st</sup> January 2018/19 £'000	Expected outturn 2018/19 £'000	Latest Expected Variance to Revised Budget 2018/19 £'000
Finance & Resources	996	234	996	-
Transformation	441	304	441	-
People	15,973	14,974	16,965	992
Place	26,180	17,260	24,960	(1,220)
Housing Revenue Account (HRA)	9,058	5,707	9,058	-
<b>Total</b>	<b>52,648</b>	<b>38,479</b>	<b>52,420</b>	<b>(228)</b>

The capital programme is expected to be financed as follows:

Department	Council Budget £'000	Grant Budget £'000	Developer & Other Contributions £'000	Total Budget £'000
Finance & Resources	992	-	4	<b>996</b>
Transformation	441	-	-	<b>441</b>
People	1,074	14,331	568	<b>15,973</b>
Place	14,105	11,582	493	<b>26,180</b>
Housing Revenue Account (HRA)	8,687	-	371	<b>9,058</b>
<b>Total</b>	<b>25,299</b>	<b>25,913</b>	<b>1,436</b>	<b>52,648</b>
As a percentage of total budget	48.1%	49.2%	2.7%	

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 31<sup>st</sup> January 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
Finance & Resources	-	4	4	-	4
People	14,331	568	14,899	8,107	6,792
Place	11,582	493	12,075	11,036	1,039
Housing Revenue Account (HRA)	-	371	371	371	-
<b>Total</b>	<b>25,913</b>	<b>1,436</b>	<b>27,349</b>	<b>19,514</b>	<b>7,835</b>

## 2. Departmental Budget Performance

### Finance and Resources

The revised capital budget for Finance and Resources is £0.996million. The budget is distributed across various scheme areas as follows:

Finance and Resources	Revised Budget 2018/19 £'000	Outturn to 31 <sup>st</sup> January 2018/19 £'000	Expected outturn 2018/19 £'000	Latest Forecast Variance to Year End 2018/19 £'000
Asset Management (Property)	904	234	904	-
<b>Subtotal</b>	<b>904</b>	<b>234</b>	<b>904</b>	<b>-</b>
Priority Works (see table)	92	-	92	-
<b>Total</b>	<b>996</b>	<b>234</b>	<b>996</b>	<b>-</b>

Priority Works	£'000
Budget available	600
Less budget allocated to agreed schemes	(508)
Remaining budget	92

Actual spend at 31<sup>st</sup> January stands at £0.234million. This represents 23% of the total available budget.

## Transformation

The revised capital budget for Transformation is £0.441million. The budget is distributed across various scheme areas as follows:

Transformation	Revised Budget 2018/19 £'000	Outturn to 31 <sup>st</sup> January 2018/19 £'000	Expected outturn 2018/19 £'000	Latest Forecast Variance to Year End 2018/19 £'000
Transformation	393	293	393	-
Cemeteries & Crematorium	48	11	48	-
<b>Total</b>	<b>441</b>	<b>304</b>	<b>441</b>	<b>-</b>

Actual spend at 31<sup>st</sup> January stands at £0.304million. This represents 69% of the total available budget.

## Department for People

The revised Department for People budget totals £15.973million.

Department for People	Revised Budget 2018/19	Outturn to 31 <sup>st</sup> January 2018/19	Expected outturn 2018/19	Latest Expected Variance to Year End 2018/19
	£'000	£'000	£'000	£'000
Social Care	881	529	881	-
General Fund Housing	1,438	738	1,438	-
Housing S106 Agreements	568	-	568	-
Children & Learning Other Schemes	52	52	52	-
Condition Schemes	707	646	707	-
Devolved Formula Capital	125	125	317	192
Early Years	402	342	402	-
Secondary School Places	11,800	12,542	12,600	800
<b>Total</b>	<b>15,973</b>	<b>14,974</b>	<b>16,965</b>	<b>992</b>

Actual spend at 31<sup>st</sup> January stands at £14.974million. This represents 94% of the total available budget.

## Department for Place

The revised capital budget for the Department for Place is £26.180million. This includes all changes approved at February Cabinet. The budget is distributed across various scheme areas as follows:

Department for Place	Revised Budget 2018/19 £'000	Outturn to 31 <sup>st</sup> January 2018/19 £'000	Expected outturn 2018/19 £'000	Latest Expected Variance to Year End 2018/19 £'000
Culture – Leisure	204	99	204	-
Culture - Parks	485	399	485	-
Culture - Libraries	507	221	507	-
Culture - Theatres	449	305	449	-
Culture - Museums	13	17	13	-
Other Culture & Tourism	3,388	2,854	3,388	-
Culture S106 Agreements	161	106	161	-
ICT Programme	3,065	2,232	3,065	-
Airport Business Park	3,200	3,263	3,300	100
Better Queensway Regeneration	710	614	710	-
Incubation Centre	31	-	31	-
Southend Pier	3,158	1,009	2,009	(1,149)
Coastal Defence & Foreshore	394	127	294	(100)
Highways and Infrastructure	3,382	1,930	3,382	-
Highways S106 Agreements	169	8	169	-
Parking Management	450	186	251	(199)
Section 38, 278 & 78 / CIL	64	114	132	68
Local Transport Plan	2,680	967	2,680	-
Local Growth Fund	2,836	2,085	2,836	-
Community Safety	199	67	199	-
Community Safety S106	1	-	1	-
Transport	501	548	561	60
Energy Saving Projects	133	109	133	-
<b>Total</b>	<b>26,180</b>	<b>17,260</b>	<b>24,960</b>	<b>(1,220)</b>

Actual spend at 31<sup>st</sup> January stands at £17.260million. This represents 66% of the total available budget.

## Housing Revenue Account

The revised budget for the Housing Revenue Account capital programme for 2018/19 is £9.058million. The latest budget and spend position is as follows:

Housing Revenue Account	Revised Budget 2018/19	Outturn to 31st January 2018/19	Expected outturn 2018/19	Latest Expected Variance to Year End 2018/19
	£'000	£'000	£'000	£'000
Decent Homes Programme	6,229	3,527	6,229	-
Council House Adaptations	884	338	884	-
Other HRA	1,945	1,842	1,945	-
<b>Total</b>	<b>9,058</b>	<b>5,707</b>	<b>9,058</b>	<b>-</b>

The actual spend at 31<sup>st</sup> January of £5.707million represents 63% of the HRA capital budget.

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## **CABINET**

Tuesday, 12<sup>th</sup> March 2019

### **COUNCIL PROCEDURE RULE 46**

The following action taken in accordance with Council Procedure Rule 46 is reported. In consultation with the appropriate Cabinet Member(s):-

**1. The Strategic Director Finance and Resources authorised:**

1.1 Airport – Variation to Rent Certificate Dates

Agreement between the Council and London Southend Airport Company Ltd to vary, by way of a side letter to the Airport lease, the date when the turnover rent certificates are due to be provided from 28 August to 30 November each year, to better align with the Airport's and Stobart Group's accounting arrangements and enable them to comply with the date. There is no financial implication for the Council.

**2. The Strategic Director Legal and Democratic Services authorised:**

2.1 Police, Crime & Fire Panel for Essex

Revised arrangements for the Police, Crime & Fire Panel for Essex. The arrangements have been updated to reflect the experience of operating the Panel over the last 6 years and have already been agreed by a number of other Essex authorities.

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