


THE CABINET

AGENDA

Meeting to be held in the Civic Centre (Committee Room No. 1) on Wednesday, 18 July, 2012 at 2.00 p.m.

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Local Government (Access to Information) (Variation) Order 2006

The reports contained in Part II of the Agenda are not for publication as the Cabinet is considered likely to exclude the public during consideration thereof as they contain information relating to any individual, which is likely to reveal the identity of an individual, the financial or business affairs of any particular person (including the Authority holding that information) and to consultations or negotiations in connection with labour relations matters arising between the Authority and employees of the Authority (Local Government Act 1972, Schedule 12A, Part I, Paragraphs 1, 2, 3 and 4).

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 **Denotes Key Decision.**

*** Denotes Rule 15 Notice issues – item which is a key decision which is not included in the Forward Plan.**

ELAINE WAUGH
Head of Law and Governance

Civic Centre
SUNDERLAND

10 July 2012

CABINET MEETING – 18 JULY 2012
EXECUTIVE SUMMARY SHEET – PART I

Title of Report:

MINUTES, PART I

Author(s):

Head of Law and Governance

Purpose of Report:

Presents the minutes of the last meeting held on 20 June 2012 Part I.

Action Required:

To confirm the minutes as a correct record.

At a meeting of the CABINET held in the CIVIC CENTRE (COMMITTEE ROOM NO. 1) on Wednesday 20 June 2012 at 2.00 p.m.

Present:-

Councillor P. Watson in the Chair

Councillors Blackburn, Gofton, Kelly, G. Miller, P. Smith, Speding and H. Trueman

Also in attendance:-

Councillors Allan, T. Martin, Mordey, Tate, Walker and S. Watson

Part I

Minutes

The minutes of the meeting of the Cabinet held on 6 June 2012 Part I (copy circulated) were submitted.

(For copy report - see original minutes).

1. RESOLVED that the minutes of the last meeting be confirmed and signed as a correct record.

Receipt of Declarations of Interest

The following Councillors declared personal interests in the reports below as Members of the bodies indicated:-

Item 4C – Health and Wellbeing Scrutiny Committee: Rehabilitation and Early Supported Discharge – Policy Review Final Report	Councillor G. Miller	City Hospitals Sunderland NHS Foundation Trust, Northumberland, Tyne and Wear NHS Foundation Trust Council of Governors
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Item 9 – A19 Ultra Low
Carbon Vehicle Enterprise
Zone: Draft Local
Development Order
(Turbine Park and Vehicle
Test Centre Site)

Councillor P. Watson

North Eastern Local
Enterprise Partnership

Item 10 - Vaux: Advance
Infrastructure and Public
Realm Improvements

Councillor Gofton

University of Sunderland –
Board of Governors

Councillor Gofton declared a personal and prejudicial interest in “Item 4F - Prosperity and Economic Development Scrutiny Committee: Aim 1 of the Economic Masterplan: A New Kind of University City - Policy Review Final Report,” as a Member of the Board of Governors of the University of Sunderland and withdrew from the meeting during the consideration of the report.

Apologies for Absence

There were no apologies for absence submitted to the meeting.

Items Arising from Scrutiny Committees:-

Community and Safer City Scrutiny Committee – Development of Community Cohesion in Sunderland – Policy Review Final Report

The Community and Safer City Scrutiny Committee and the Chief Executive submitted a joint report (copy circulated) to set out the recommendations of the Community and Safer City Scrutiny Committee following the Committee’s review into Community Cohesion in Sunderland.

(For copy report – see original minutes).

The Chairman of the former Committee, Councillor T. Martin, was in attendance to introduce the Community and Safer City Scrutiny Committee’s policy review into the development of community cohesion in Sunderland. He explained that the Committee had chosen to look at this issue in view of the importance of community cohesion to the stability and sustainability of our local communities.

Councillor Martin reported that during the course of the review, the Committee had consulted with a broad range of partners and had viewed at first hand some of the initiatives being developed throughout the city. He added that the Committee was most impressed by the enthusiasm and commitment of everyone involved on these initiatives and the very real impact their work was having. In particular the Committee wished to thank to all of the officers of the Council and the LSP who supported the Committee during the review and also representatives from Show Racism the Red Card and Wear Out who provided invaluable support and guidance.

Councillor Martin advised that based on the Committee's discussions, it was considered that one of the key factors in community cohesion revolved around the issues of deprivation and unemployment. He added that action tackling poverty and unemployment were a major part to securing stable and cohesive communities.

Councillor Martin considered that the report had generated a number of far reaching recommendations that together could make a significant improvement to the development of community cohesion in the city. In concluding his presentation, he thanked his colleagues on the Community and Safer City Scrutiny Committee for their hard work during the course of the review and thanked them for their valuable contribution.

In response to the presentation, Councillor Gofton advised Cabinet Members that the Committee had reviewed a wide range of evidence and had developed an action plan with recommendations for the Council, including the Sunderland Partnership team. She added that the actions included ensuring cohesion was seen in its broadest context, and ensuring staff and Elected Members had an awareness of equalities legislation.

Councillor Gofton reported that the Committee had recognised the broad range of factors influencing community cohesion and felt that if the Council was to make a real impact, it was important to align and integrate cohesion with other strategies and plans, including the emerging Community Resilience Plan, Equalities Scheme and Area Local Plans.

Cabinet Members were assured that all of the recommendations were considered to be achievable within existing resources.

The Cabinet having thanked the officers of the Council and the Sunderland Partnership team for their help and support with the review and to the Council's partners who contributed so willingly to the investigation, it was:-

2. RESOLVED that:-

- (i) the Sustainable Communities Scrutiny Committee Policy Review Final Report be noted and the recommendations contained within the report be approved, and

- (ii) the proposed Action Plan for the implementation of these recommendations, which has been prepared in consultation with the appropriate Portfolio Holder(s), be noted.

Environment and Attractive City Scrutiny Committee: Low Carbon Vehicles in the Delivery of Public Services – Policy Review Final Report

The Environment and Attractive City Scrutiny Committee and the Executive Director of City Services submitted a joint report (copy circulated) to set out the recommendations of the Environment and Attractive City Scrutiny Committee following its review into Low Carbon Vehicles in the Delivery of Public Services.

(For copy report – see original minutes).

The former Chairman of the Committee, Councillor G. Miller, presented the findings and recommendations of the Scrutiny Committee's study into Low Carbon Vehicles in the Delivery of Public Services.

Councillor Miller reported that the targets to reduce carbon emissions contained within the Climate Change Act 2008 were binding and there were huge implications if they were not achieved. He added that the growth of the low-carbon transport industry provided a real opportunity for Sunderland and the North-East region to cement its position as a leader in this arena. In considering the issues the Committee therefore found that the use of low-carbon vehicles would positively impact the city environmentally, financially and economically.

Councillor Miller advised that the Committee had gathered a large amount of evidence from local people, local MPs, the North East Purchasing Organisation (NEPO), Nexus and the bus operators, the University of Sunderland, Gateshead College and a number of local businesses working in the low-carbon transport sector. He added that the Committee had concluded that the Council should consider implementing targets to adopt electric cars into its fleet and that it should continue to keep a 'watching brief' on developments in low-carbon technologies, particularly larger vehicles, until such a time they become financially viable. The Committee also thought that a wide range of other measures should be explored to reduce the Council's carbon emissions and that the Council should be trail blazers in terms of adopting low-carbon vehicles into its fleet and encouraging its partners to do so.

Councillor Miller thanked everybody who had contributed to the policy review, in particular the Vice Chair and all members of the Committee, the Community Spirit Panel and the officers who supported us in carrying out the review, Les Clark (Head of Streetscene) and Paul Muir (Engineer).

In responding to the presentation, Councillor Blackburn reported that the work of the Scrutiny Committee and its recommendations aligned with and complemented the Fleet and Transportation Review currently being undertaken, and which would be used to take the actions forward. He added that a particularly important piece of evidence was a detailed cost benefit analysis commissioned from CENEX (the national Centre of Excellence for low carbon and fuel cell technologies) of electric cars and medium size vans specifically in the context of deployment by the Council. He advised that it took into account the Government's Plug-In Car grant of up to a maximum of £5000 for cars and £8000 for vans and concluded that there was an immediate business case for the procurement of electric cars but not for larger electric vans. He explained that this had been reflected in the recommendations made to Cabinet.

Councillor Blackburn reported that during the recent peer review the Council's commitment to reducing carbon emissions was commended and noted that a sound platform was being developed by preparing and extending the infrastructure for charging points in the city.

Consideration having been given to the report, it was:-

3. RESOLVED that:-

- (i) the Environment and Attractive City Scrutiny Committee Policy Review Final Report be noted and the recommendations contained within the report be approved, and
- (ii) the proposed Action Plan for the implementation of these recommendations, which has been prepared in consultation with the appropriate Portfolio Holder(s), be noted.

Health and Wellbeing Scrutiny Committee: Rehabilitation and Early Supported Discharge – Policy Review Final Report

The Health and Wellbeing Scrutiny Committee and the Executive Director of Health, Housing and Adult Services submitted a report (copy circulated) to set out the recommendations of the Health and Wellbeing Scrutiny Committee following the Committee's review of rehabilitation and early supported discharge.

(For copy report – see original minutes).

The Chairman of the former Committee, Councillor Walker, was in attendance to present the review of rehabilitation and early supported discharge. He reported that the aim of the review had been to assess how health and social care services were working together to support timely and smooth discharges from hospital and support independence in the community and to ensure that the policies were fit for purpose.

Councillor Walker reported that the Committee had heard many examples of good practice around smooth transitions of care and it was clear that all partners aimed for a genuinely shared vision of the model that would actively promote smooth transitions. He added that unfortunately this was not always achieved and all too often the patients with complex post-hospital needs were delayed in hospital after they were clinically fit to leave and then once discharged, many found themselves having to be re-admitted.

Councillor Walker reported that whilst the health and social care services could not hope to solve all of these complex problems with a review hopefully the recommendations for improvement and the highlighted policy gaps where efforts could be better focused would go some way towards helping to improve services.

In conclusion, Councillor Walker thanked all of the witnesses who provided evidence to the review, particularly the co-opted members of the Committee representing Sunderland Link, Age UK, and the Carers Centre and the staff at Sunderland Link who gathered patient evidence to allow their views and experiences to be reported.

In responding to the presentation, Councillor Miller reported that the work of the Scrutiny Committee had very much supported the partnership work the Council was engaged in, both to support the appropriate discharge arrangements of patients but also looking to prevent unnecessary hospital admissions, and avoidable admissions to care homes. He added that the work was helping the Council to progress with the practical changes needed and was also supporting discussions with the new Clinical Commissioning Group to work together to drive integrated working in communities which was the key to the outcomes the Council wished to see.

Councillor Miller thanked Councillor Walker as the outgoing Chair and congratulated the Committee and those who worked with them for producing a good report which was supporting real change which would lead to better outcomes for patients and their families.

Consideration having been given to the report, it was:-

4. RESOLVED that:-

- (i) the Health and Wellbeing Scrutiny Committee Policy Review Final Report be noted and the recommendations contained within the report be approved, and
- (ii) the proposed Action Plan for the implementation of these recommendations, which has been prepared in consultation with the appropriate Portfolio Holder(s), be noted.

Management Scrutiny Committee: Demonstrating Local Accountability – Policy Review Final Report

The Management Scrutiny Committee and the Chief Executive submitted a joint report (copy circulated) to set out the recommendations of the Management Scrutiny Committee following the Committee's review of local accountability and self regulation.

(For copy report – see original minutes).

The Chairman of the former Committee, Councillor Tate, was in attendance to present the review of the Management Scrutiny Committee's into self regulation. He reported that the Committee had looked at a number of aspects of this new 'self regulation' agenda and the emerging self regulation tools being developed through a series of interactive workshops. He advised that these workshops had proved extremely useful in not only gaining a clear understanding of self regulation and the associated mechanics, but also how this was being implemented and developed in Sunderland.

Councillor Tate thanked his colleagues on the Management Scrutiny Committee, in particular the Vice Chairman, Councillor Rolph, for their valuable input and contribution throughout the course of the review. He hoped that the review and its recommendations could help to add value and develop further the self regulation role within the Council.

In response, Councillor Trueman welcomed the recommendations of the policy review and he commend the work of Councillor Tate and the Management Scrutiny Committee in undertaking a robust policy review which had come up with constructive and practical recommendations.

Councillor Trueman reported that it was a timely piece of work as the Council, along with all other councils, was moving away from a national framework of assessment and inspection to a framework for Sunderland which was more localised and reflected its commitment to be more transparent and accountable to local people. He advised that it was reassuring that the policy review had acknowledged that Sunderland was well placed to take on board 'self regulation' as Sunderland had a strong sense of purpose and self awareness and was well placed through the Sunderland Way of Working to embrace the challenges and opportunities of self regulation.

Councillor Trueman informed Members that the Council had a strong track record of taking action and improving services, whilst at the same time providing assurance that its services were fit to achieve the quality and outcomes for people which were among the best in local government. He reported that the work undertaken in localities and the impact, for example, Responsive Local Services was making at the local level was evidence of the Council's track record in listening and acting on local needs.

Councillor Trueman reported that recent changes to governance arrangements including Cabinet, Area Arrangements and Scrutiny reinforced that the Council would continue to evolve and develop its structures provide the appropriate accountability and transparency.

Councillor Trueman highlighted that one of the key elements of self regulation was listening to local communities and Members would be aware that there was a focus on customers at the heart of the Sunderland Way of Working and ensuring that the Council listens and acts on what the residents say was important to them. He added that the consultation the Council undertook including around the State of the City, day to day feedback from operational services, the feedback through the customer service network and the recent Area based consultation meant it was well placed to demonstrate the local accountability and transparency which underpinned self regulation.

Councillor Trueman advised Members that the Council had always welcomed external challenge to support its improvement journey. He reminded Members that the Council had been a high performing council under the previous regimes of the CAA and CPA and would look to continue high levels of performance as it went forward- but measured through local residents based on their experiences of interacting with the Council, rather than by external inspectors.

Members were also advised that the policy review had recommended that the Council took advantage of a corporate peer challenge from the LGA and this was something that the Council had used constructively in the past.

In concluding, Councillor Trueman reported that the Council had nothing to fear from the new self regulation agenda as the elements of self regulation already supported the way that it worked in Sunderland and its values and aspirations.

5. RESOLVED that:-

- (i) the Management Scrutiny Committee Policy Review Final Report be noted and the recommendations contained within the report be approved, and
- (ii) the proposed Action Plan for the implementation of these recommendations, which has been prepared in consultation with the appropriate Portfolio Holder(s), be noted.

Management Scrutiny Committee: At What Cost: The Effects of High-Cost Credit and Illegal Loan Sharks on Local Communities – Policy Review Final Report

The Management Scrutiny Committee and the Chief Executive submitted a joint report (copy circulated) to set out the recommendations of the Management Scrutiny Committee following the Committee's review of unlicensed and high-cost credit.

(For copy report – see original minutes).

The Chairman of the former Committee, Councillor Tate, was in attendance to present the review of the Management Scrutiny Committee's on illegal loan sharks and high-cost credit. He reported that the Committee had gathered a wide range of views and evidence in undertaking this piece of work and was delighted that the Illegal Money Lending Team was working in Sunderland. This team together with key partners from across the city is looking to gather information and intelligence from communities and individuals that will lead to prosecutions, prison sentences and ultimately the removal of loan sharks from Sunderland.

Councillor Tate reported that Councillor Rolph had suggested signposting the provision of the right support to the most vulnerable and a scheme of including relevant contact details on free samples of lip gloss had been made available in community centres had been established. This scheme had proved to be very successful and Gentoo were also taking this initiative on board.

In concluding, Councillor Tate thanked his colleagues on the Management Scrutiny Committee and all the officers and witnesses who have contributed to this piece of work. He hoped that with the Council working with its partners and other agencies viable options can be provided for people to make better informed choices about their own financial situation.

Councillor Speding in responding to the presentation reminded Members that the Government had set up the England Illegal Money Lending team in 2011 and the Council had approved the protocol with the Team in June 2011 which was launched by the Leader of the Council in November 2012.

Members were advised that in February 2012 there was a month of action to raise awareness of loansharks and to seek intelligence on their activities. Councillor Speding reported that this had included a wide range of activities with partner agencies including Southwick Primary pupils designing a banner which was paraded at a Sunderland AFC match, training sessions to raise the awareness of front line staff within the Council and other agencies such as Jobcentre Plus and Gentoo.

Councillor Speding reported that it had been recognised that it was important to maintain the profile of the Illegal Money Lending team and promote access to advice and information from the Council and partner agencies. To this end City Services staff had been working with Health Housing and Adult Services to develop an action plan to continue through the financial year which included:-

- ensuring that any activity by the Illegal Money Lending Team was well publicised and key messages were delivered to those who might be suffering the same fate;
- Enforcement and advice agencies would continue to receive training on the signs which might indicate loanshark activity;
- Feedback would be given to the Office of Fair Trading on the City Services survey of high cost lenders and the Scrutiny Committee would be kept abreast of developments;
- Schools would be encouraged to support saving clubs and work would be undertaken to support the Bridges Community Bank; and
- New media would be used to put across the risks of high cost lending and use of loansharks.

Councillor Speding reported that these activities would be delivered in conjunction with the Illegal Money Lending team and with the Support of the Libra Partnership of advice agencies.

Cabinet Members having thanked the Management Scrutiny Committee for its review on such an important issue, it was:-

6. RESOLVED that:-

- (i) the Management Scrutiny Committee Policy Review Final Report be noted and the recommendations contained within the report be approved, and
- (ii) the proposed Action Plan for the implementation of these recommendations, which has been prepared in consultation with the appropriate Portfolio Holder(s), be noted.

At this juncture, Councillor Gofton withdrew from the meeting during consideration of the following item in which she had a personal and prejudicial interest.

Prosperity and Economic Development Scrutiny Committee: Aim 1 of the Economic Masterplan: A New Kind of University City - Policy Review Final Report

The Prosperity and Economic Development Scrutiny Committee and the Deputy Chief Executive submitted a joint report (copy circulated) to set out the recommendations of the Prosperity and Economic Development Scrutiny Committee following the Committee's review into Aim 1 of the Economic Masterplan.

(For copy report – see original minutes).

The Chairman of the former Committee, Councillor Mordey, was in attendance to present the Prosperity and Economic Development Scrutiny Committee's policy review into Aim 1 of the Economic Masterplan – "A New Kind of University City". He reported that the review set out to examine the measures being taken by the Council, the University and all of the Council's partners to this end and consider the influence and impact that the University had on the city's economy at the present time and the potential for this to be increased. He added that the Committee also examined the way in which the Council and the University could more fully integrate the University into the city's economy, including business start up and growth; the development of workforce skills through education and retention and the potential for research to support business growth through innovation, graduate placement and management and staff development.

Councillor Mordey reported that the Committee's work was supported throughout by staff and academics from the Sunderland and Sheffield Universities and he thanked the University's Vice Chancellor and Chief Executive, Deputy Vice Chancellor and Deputy Chief Executive and the Assistant Director, and colleagues on the Prosperity and Economic Development Scrutiny Committee for their hard work, support and guidance during the review.

The Chairman thanked Councillor Mordey and the Prosperity and Economic Development Scrutiny Committee for the excellent review and welcomed and supported their recommendations, subject to the availability of resources, which would contribute to the aims and aspirations of the Economic Masterplan.

Consideration having been given to the report, it was:-

7. RESOLVED that:-

- (i) the Prosperity and Economic Development Scrutiny Committee Policy Review Final Report be noted and the recommendations contained within the report be approved, and
- (ii) the proposed Action Plan for the implementation of these recommendations, which has been prepared in consultation with the appropriate Portfolio Holder(s), be noted.

Councillor Gofton was re-admitted to the meeting.

Sustainable Communities Scrutiny Committee: Building a Sustainable and Lasting Legacy in Sport and Physical Activity – Policy Review Final Report

The Sustainable Communities Scrutiny Committee and the Executive Director for City Services submitted a joint report (copy circulated) to set out the recommendations of the Sustainable Communities Scrutiny Committee following its review into Building a Sustainable and Lasting Legacy in Sport and Physical Activity.

(For copy report – see original minutes).

The Chairman of the former Committee, Councillor S. Watson, was in attendance to present the Scrutiny Committee's study into Building a Sustainable and Lasting Legacy in Sport and Physical Activity. She explained that the Committee had agreed that it was the right time to consider the future of sport and physical activity in Sunderland due to the rapidly changing environment, as well as the 2012 Olympic and Paralympic Games.

Councillor Watson acknowledged the role of local providers, schools, the Active Sunderland Board and Sport England for providing the Committee with knowledge of this subject area and thanked all of the Elected Members who provided us with intelligence about sport and physical activity in their wards, the results of which gave the Committee a comprehensive and positive view of local provision and not only contributed to the findings, but would also be used to plan future service delivery and development and increase the level of access to and engagement with local communities.

Councillor Kelly, in responding to the presentation, highlighted that sport and physical activity played a unique role, in being able to cut across many strategic priorities and supporting a wide range of important issues, including positive activities for young people, volunteering, regeneration, education, health improvement and community safety. He outlined that during the policy review, the Committee received evidence from a range of sport and physical activity providers including the voluntary sector, the University, Sunderland AFC Foundation, school headteachers and Sport England.

Councillor Kelly advised that Sport England had presented an overview of their new Strategy for 2012-17, and five years after the London Olympic and Paralympic Games it was hoped that a sustainable sporting legacy could be developed both nationally and locally. He added that in order to respond to the challenge of Sport England's aim and creating an Olympic and Paralympic legacy for Sunderland, a comprehensive action plan had been developed from the policy review, and subject to the financial resources, would aim to drive forward participation in sport and physical activity by:

- Further developing the role of the Active Sunderland Board to place 'sport and physical activity' as a priority in the city's agenda
- Increasing the number of sport development pathways, based on agreed priority sports with Elected Members and volunteers playing a key role
- Promoting greater access to sport and physical activity for minority groups
- Utilising the intelligence data gathered as part of the Scrutiny Review to inform service planning
- Exploring opportunities to maximise funding
- Developing an activity plan to reflect the legacy aligned to the Health and Wellbeing Strategy

Councillor Kelly highlighted that the 2012 Olympic Games would provide a great opportunity to increase participation levels in sport and also engage residents in physical activity and volunteering. He added that the review also provided a great platform to place sport high on the city agenda, so that playing sport or taking part in physical activity became a lifelong habit and a regular choice for residents.

8. RESOLVED that:-

- (i) the Sustainable Communities Scrutiny Committee Policy Review Final Report be noted and the recommendations contained within the report be approved, and
- (ii) the proposed Action Plan for the implementation of these recommendations, which has been prepared in consultation with the appropriate Portfolio Holder(s), be noted.

In concluding consideration of the Scrutiny Committees' Policy Reviews, the Chairman, on behalf of the Cabinet, thanked the Chairmen and their Committees for their valued contribution in scrutiny and the effectiveness and ability to respond to the wishes of local residents.

Transition from Early Implementer to Shadow Health and Wellbeing Board

The Chief Executive and the Executive Director of Health, Housing and Adult Services submitted a joint report (copy circulated) to set out the next stage of transition from an Early Implementer to Shadow Health and Wellbeing Board.

(For copy report – see original minutes).

Councillor Miller reported that the health and wellbeing of the residents was of crucial importance to the Council and that was why the opportunity presented by the Health changes to provide local democratic leadership of the Health System in the city was being embraced. He added that this had been reflected in the recent Cabinet changes with an increased emphasis on health responsibilities.

Councillor Miller advised that the report highlights the background to the health changes particularly in relation to Health and Wellbeing Boards, which was the one part of the Health reforms that emerged unscathed from the wider concerns about the Health Bill and had been universally welcomed. He reminded Cabinet Members of the establishment of an Early Implementer Health and Wellbeing Board in 2011 which had used the last year to develop the board and work with the Children's Trust and Adults' Partnership Board as key advisory board's to prepare for the necessary changes.

Cabinet Members were advised that following the establishment of the Health and Social Care Act in March the Council had reached an important milestone in moving to the Health and Wellbeing Board operating in shadow form before taking on its full statutory role in April 2013. During the next year the Council would see the Board, as a committee of the Council, oversee the final stages of Public Health responsibilities transferring to the Council, supporting the authorisation of the new Clinical Commissioning Group for the city to replace the Primary Care Trust, and establishing a Health and Wellbeing Strategy for the city.

Councillor Miller reported that this was a key milestone not only in the physical transfer of services and responsibilities such as in Public Health but particularly as a significant step in opening up accountability and transparency in relation to NHS Services. The NHS locally would become more accountable to local people through the Health and Wellbeing Board and Council Members as their elected representatives.

Consideration having been given to the report, it was:-

9. RESOLVED that the:-

- (i) transition to Shadow Board status be endorsed,
- (ii) representation of nominated elected members on the Shadow Board as stated in the revised terms of reference be approved,
- (iii) Children's Trust and the Adults' Board will act in an advisory capacity to the Shadow Board, and
- (iv) developmental work programme of the Board be noted and that as a consequence further changes may be made.

Public Health – Procurement of Adult Substance Misuse Services

The Executive Director of Health, Housing and Adult Services and the Assistant Chief Executive submitted a joint report (copy circulated) to request approval for the procurement of adult substance misuse services on behalf of Sunderland Teaching Primary Care Trust. The commissioning of public health services would become the formal responsibility of the Council in April 2013 and it was therefore felt appropriate that the procurement was undertaken within the Councils operating model. The report also provided an update on the ongoing work currently being undertaken by Sunderland Teaching Primary Care Trust and Safer Sunderland Partnership around the proposed delivery model for Adult Substance Misuse Services within Sunderland beyond 2013.

(For copy report – see original minutes).

Councillor Kelly reported that the commissioning of drug and alcohol services was currently the responsibility of Public Health in the Primary Care Trust and it undertook this role on behalf of the Safer Sunderland Partnership. He explained that the commissioning work was led by a Joint Commissioning Group which reported to the Safer Sunderland Partnership. He added that the responsibility and funding for substance misuse services would transfer to local authorities from April 2013 as part of the transfer of Public Health responsibilities.

Councillor Kelly reported that the current service had evolved over a number of years often with new elements of service added as additional funding or initiatives had been introduced. He advised that there were currently eight separate providers commissioned to provide a range of treatment interventions.

The attention of Cabinet Members was drawn to the publication of a new Drug Strategy by the Government in late 2010 which highlighted recovery as the ultimate treatment outcome alongside the intention to finance localities based on a payment by results model. Councillor Kelly reported that the focus of treatment historically had been in engaging people into treatment and payment from the National Treatment Agency had been based on the numbers in treatment rather than on how many people had successfully recovered. He advised therefore, that a full redesign of the service had been undertaken and this now needed to be finalised and the appropriate procurement process undertaken.

Cabinet Members were advised that in view of the impending transfer of responsibilities it was considered more appropriate that the Council's systems and processes be used for the final stages and the procurement. The process is expected to run during 2012 and the new system to be live by April 2013

Consideration having been given to the report, it was:-

10. RESOLVED that:-

- (i) approval be given to the Council undertaking the procurement of adult substance misuse services for up to 3 years from 2013/14 to 2015/16 on behalf of Sunderland Teaching Primary Care Trust, and
- (ii) the progress on the substance misuse service redesign be noted.

International Strategy – Annual Report January 2011 to March 2012

The Chief Executive submitted a report (copy circulated) to provide an overview of activity undertaken from January 2011 to March 2012 in relation to the city's International Strategy, to highlight the benefits this had generated, and to identify the outline Work Programme for the year 2012/13.

(For copy report – see original minutes).

The Chairman reported that the International Strategy aimed to ensure the city's international engagement supported the Sunderland Partnership in achieving its vision for Sunderland, maximising the opportunities and benefits for the city and its residents. He advised that this was the fifth Annual Report and covered the period from January 2011 to March 2012, a fifteen month period, as it was proposed that future reports would be based on financial years rather than calendar years. He added that following consideration by Cabinet, it would be presented to the Sunderland Partnership.

The Chairman highlighted the work and key developments during 2011/12 which had primarily focussed on consolidating activity undertaken in previous years, including:-

- The city's Friendship Agreement with Washington DC being renewed for a further five years.
- A second Sunderland software company setting up an American subsidiary in the Washington DC area.
- The first Harbin software company setting up a business in Sunderland.
- School pupils from Sunderland visiting Harbin for the first time.
- A teacher from Saint-Nazaire spending a year teaching in a Sunderland primary school.
- Young people from the city taking part in Essen's European Youth Arts Exhibition.

- Sunderland's membership of EUROCITIES and the World Health Organisation's Healthy Cities Network opening up opportunities to exchange good practice in key policy areas
- The announcement of 2,000 new jobs by overseas-owned companies in the city, bringing in £700 million of capital investment.

The Chairman reported that detailed information on the range of activity undertaken during the year was included within the Annual Report itself, including an assessment of the benefits this is generating. He added that a number of actions had been identified within the Annual Report as part of the Work Programme for 2012/13, and work on these areas had begun through the Partnership-wide Steering Group for the International Strategy.

Consideration having been given to the report, it was:-

11. RESOLVED that:-

- (i) the level and nature of activity developed under the International Strategy during 2011/12 be noted, and
- (ii) the series of actions proposed for 2012/13 be endorsed.

Sunderland City Council Draft Greenspace Audit and Report 2012 & Draft Ecological Evidence Base for Sunderland's Local Development Framework 2012

The Deputy Chief Executive submitted a report (copy circulated) to seek approval of the 2012 Draft Sunderland Greenspace Audit and Report and 2012 Draft Ecological Evidence Base for public consultation, and to seek its approval for its use in developing the Local Development Framework.

(For copy report – see original minutes).

Councillor Speding reported that good quality local environments were seen as vital ingredients for the health and well-being of neighbourhoods and were important considerations for people and businesses choosing to locate in the city. He added that the Council's emerging Local Development Framework would set policies for how land in the city should be used and the policies must be informed by robust and up-to-date evidence. He advised that this report set out the draft evidence prepared to inform policies in relation to greenspace and ecology and that this evidence would also be used to assist in determining day to day planning applications.

Councillor Speding referred to the draft Greenspace Audit which provided a comprehensive audit of all types of greenspace in the city which had been categorised and assessed according to a broad set of criteria including their value, quality and accessibility. He advised that the Audit confirmed previous assertions that Sunderland was a 'green city'. Specifically, 57% of the city was undeveloped green field and much of this was of considerable benefit to local people. He added that the audit also found that the quality and accessibility of greenspace in some areas could be improved and that opportunities existed to use some greenspace areas for development where this was necessary and appropriate.

Cabinet Members were advised that the report had been informed by consultations with 1,000 local people and the Audit and its draft recommendations would now be subject to further consultation.

Turning to the Ecological Audit, Councillor Speding explained that this outlined the outcome of investigations of all sites and species protected by European, national and local designations, as well as the wider countryside including green corridors and previously developed sites. He reported that the audit revealed that Sunderland was home to a rich and diverse landscape with significant biodiversity and geological interest. However, some of the designated sites were vulnerable due to their size and location and some measures would need to be taken so that the Council was able to satisfy its legislative responsibilities. He advised that the report set out a set of recommendations that would be subject to further consultation.

Consideration having been given to the report, it was:-

12. RESOLVED that it be recommended to Council to:-

- (i) endorse the 2012 Draft Greenspace Audit and Report and 2012 Draft Ecological Evidence Base for consultation purposes,
- (ii) following the close of the consultation and in consultation with the appropriate Portfolio holder, to authorise the Deputy Chief Executive to make any minor amendments to the report prior to its adoption. The final report will be used:
 - a. As part of the evidence base to inform the emerging Local Development Framework, and
 - b. As a material consideration in determining planning applications.

A19 Ultra Low Carbon Vehicle Enterprise Zone: Draft Local Development Order (Turbine Park and Vehicle Test Centre Site)

The Deputy Chief Executive submitted a report (copy circulated) to seek approval of the A19 Ultra Low Carbon Vehicle Enterprise Zone Draft Local Development Order (Turbine Park and Vehicle Test Centre Site) for the purposes of public consultation.

(For copy report – see original minutes).

Councillor Trueman reminded Cabinet Members that as part of the coalition Government's plans to stimulate economic growth and job creation, a new wave of Enterprise Zones (EZs) had been launched. He reported that the EZ for Sunderland comprised two adjoining sites located to the south of the Nissan car plant; namely Turbine Park and the Vehicle Test Centre site and Hillthorn Farm site situated adjacent to the Leamside railway line.

He highlighted that in addition to the financial incentives available, EZ status was conditional on putting into place a simplified planning regime across the sites through Local Development Orders (LDOs). He reported that the LDO grants advance planning permission for specified types of development and removed the requirement for a developer to submit an application for planning permission.

Councillor Trueman reported that a draft LDO for Turbine Park and the Vehicle Test Centre site had now been prepared and a subsequent LDO would be produced for the Hillthorn farm site as detailed in the report.

Cabinet Members were pleased to see the implementation of a simplified planning regime under the EZ status which would introduce reduced developer costs through the removal of planning fees, increased certainty due to its site specific nature and significant time savings compared to the conventional Development Management process.

Consideration having been given to the report, it was:-

13. RESOLVED that approval be given to the A19 Ultra Low Carbon Vehicle Enterprise Zone Draft Local Development Order (Turbine Park and Vehicle Test Centre Site) for the purposes of public consultation.

Vaux: Advance Infrastructure and Public Realm Improvements

The Deputy Chief Executive and Executive Director City Services submitted a joint report (copy circulated) to seek approval to undertake a significant infrastructure and public realm scheme design to support the regeneration of Vaux and the wider city centre. The works would comprise the re-alignment of St Mary's Way / Livingstone Road into a boulevard, and the development of a new civic space referred to as Magistrates Square.

(For copy report – see original minutes).

Councillor Speding in highlighting the proposals in the report, advised that the new square would provide a flexible multi-functional area capable of holding a wide range of events and activities. He added that the proposed scheme would also create attractive potential commercial development opportunities around the new square, most likely for retail, food and drink uses in addition to delivering a further phase of the Council's multi-phase Sunderland Strategic Transport Corridor (SSTC).

Councillor Speding reported that several alternative approaches to improving this highway corridor had been considered and the other options were summarised in Appendix 1 of the report. He added that however they were unlikely to deliver the same regenerative benefits as the recommended option and, apart from the “do nothing” option, would require higher levels of investment.

Cabinet Members were advised that the overall scheme cost was estimated to be in the region of £13.4m and was included in the capital programme approved by full Council on 7 March 2012. Potential external funding opportunities were currently being explored in an effort to secure a contribution towards scheme costs.

Councillor Speding then highlighted that a series of public consultation events were planned for later this month, prior to the submission of a planning application towards the end of the summer.

Cabinet Members were advised that the best case current programme indicated a start on site in April 2013 and scheme completion by November 2014. However this might change depending on certain factors which could cause slippage, such as delays in completing utility diversions or inclement weather conditions during construction.

Cabinet Members applauded the progress that had been made in the short time that the site had been brought into the Council's ownership and the steps made to realise the Economic Masterplan to reinvigorate the City Centre and bring employment and economic opportunities.

Consideration having been given to the report, it was:-

14. RESOLVED that:-

- (i) the proposed scheme for the re-alignment of St Mary's Way / Livingstone Road and the development of the proposed Magistrates Square be approved and the Deputy Chief Executive and the Executive Director of City Services be authorised to take all necessary actions required for the procurement and delivery of the scheme, and

- (ii) the Deputy Chief Executive be authorised to progress the disposal of two development plots overlooking the proposed Magistrates Square for best consideration and otherwise on terms to be agreed by the Deputy Chief Executive.

Revenue Budget Outturn for 2011/2012 and First Revenue Review 2012/2013

The Executive Director of Commercial and Corporate Services submitted a report (copy circulated) on details of the Revenue Budget Outturn for 2011/2012 and First Revenue Review 2012/2013.

(For copy report – see original minutes).

Councillor Speding reported that in relation to the revenue Outturn position there was very positive news reflecting the work carried out over the last year by Portfolio Holders and Directorates to ensure that the Council succeeded in dealing with the financial challenges it faced both now and in the medium term. He added that there were two key issues to highlight:-

- all Portfolio holders were within delegated budgets at outturn which was an excellent outcome given the significant £58m budget savings targets for the year which Portfolio holders had had to achieve, and
- taking into consideration final calls on contingencies, savings through proactive treasury management together with the Council's rigorous approach to financial management had led to an under spending of £7.58 million at year end which would be used to support transitional costs.

Councillor Speding highlighted that this was yet again another excellent and strong financial performance which was made more notable by the increasingly difficult climate in which it had been delivered.

The attention of Cabinet Members was then drawn to the position at first review. Councillor Speding reported that there were a number of challenges in implementing the required reductions in 2012/2013. He added that whilst in overall terms progress was positive, the position in the report reflected the fact that it was getting much more difficult in the second year of the spending review. He referred to the significant demand pressures in adult and children's social care which continued to be experienced. In addition there was an increasing pressure being experienced in the SWITCH budget primarily due to turnover and that position was being closely monitored with actions being considered to address the position.

Councillor Speding assured Cabinet Members that robust monitoring processes were in place to ensure that a positive budget would be delivered and where delays in implementation of savings targets were identified Portfolio holders and Directors were progressing alternative actions to address the position.

Consideration having been given to the report, it was:-

15. RESOLVED that:-

- (i) in relation to 2011/2012:
 - (a) the contingency and reserve transfers proposed at Appendix A, and the budget transfers and virement at Appendix B be approved;
 - (b) the final account decisions as set out in the report be approved.
- (ii) in relation to 2012/2013, the contingency transfers at Appendix E and budget transfers be approved.

Capital Programme Outturn 2011/2012

The Executive Director of Commercial and Corporate Services submitted a report (copy circulated) to detail the Council's capital programme outturn for 2011/2012.

(For copy report – see original minutes).

Councillor Speding was pleased to report that the outturn reflected both positive performance and robust budget management across the programme, with the majority of planned activity delivered and expenditure retained within budget. He advised that the final capital expenditure for 2011/2012 was almost £57 million reflecting a wide range of Council investment which included:-

- A new school at St Joseph's with Maplewood on schedule to open in September,
- Major progress with the new Software Centre due to open in the autumn,
- Economic development grants including a contribution to the Nissan Battery Plant to bring additional jobs to the city,
- Acquisition of some key city centre sites to attract future development,
- Progress with the regeneration of the Seafront,
- A new Wellness Centre, café and support facilities at Houghton Sports Centre, and
- Invest to save schemes that would support the Council's green agenda and reduced ICT spend in the future.

Councillor Speding then drew attention to the reprofiling of spend amounting to £6.4 million into £2012/2013 which was primarily as a result finalising agreements with landowners and contractors, reviewing scheme requirements to minimise costs to the Council and, reprofiling of works to minimise service disruption.

Councillor Trueman reported that this had been an excellent performance to achieve these schemes in the current economic climate and budget pressures. The Chairman in adding his congratulations and thanks to the Executive Director of Commercial and Corporate Services and his team, also reminded Cabinet Members of the new leisure centre to be constructed in Washington.

Consideration having been given to the report, it was:-

16. RESOLVED that the amendments to the Capital Programme since it was reported to Council in March 2012 be approved and the projected outturn position for 2011/2012 be noted.

Schools Capital Works Procurement

The Executive Director of Children's Services submitted a report (copy circulated) to seek approval to procure and appoint a contractor(s) to undertake major capital works at Monkwearmouth School and Highfield Primary School.

(For copy report – see original minutes).

Councillor Smith highlighted that the first proposal was to invest £370,000 from the schools' capital maintenance programme to replace windows at Monkwearmouth School. She advised that the school had been built in the 1960's and had been a high priority for investment had the second phase of Building Schools for the Future gone ahead.

Councillor Smith then reported that the second proposal concerned Highfield Primary School and was to provide an additional two class bases for a cost of £300,000. She referred to the report to Cabinet in April 2012 which highlighted pressure on school places in the Washington and South areas of the City. She added that the increase in the published admission number (PAN) at Highfield would deal with a trend of oversubscription and successful appeals as well as planning for a proposed housing development in the immediate vicinity of the school.

Cabinet Members were advised that the additional two class bases would increase capacity at Highfield from 315 to 420 and as these would adjoin the nursery, it would provide a much better foundation stage provision for the very young children. Councillor Smith reported that these works would be funded from the Council's Basic Need allocation, which was specifically for the provision of additional places.

Cabinet Members having been advised that should these schemes be approved, they would be progressed from 1 July 2012.

Consideration having been given to the report, it was:-

17. RESOLVED that approval be given to:

- (i) procure capital works in excess of £250,000.00 and appoint a contractor for the window replacement scheme at Monkwearmouth School, and
- (ii) procure capital works in excess of £250,000.00 and appoint a contractor to construct an extension at Highfield Primary School.

Announced Inspection of Safeguarding and Looked After Children's Services

The Executive Director of Children's Services submitted a report (copy circulated) to provide Cabinet with the final inspection report and draft action plan arising from the recently successful announced inspection of safeguarding and looked after children's services.

(For copy report – see original minutes).

Councillor Smith was pleased to provide Cabinet with a copy of the final report and draft action plan arising from the recent announced inspection of safeguarding and looked after children services. She highlighted that the multi-agency inspection had taken place in February 2012, and had graded Sunderland as being 'good' against each of the four headline inspection judgements, and 'good' against 17 of the 18 supporting judgements.

Councillor Smith reported that the inspection had identified a small number of formal areas for improvement and an improvement plan had been drafted with the Council's partners which would enable the Council to address these, as well as the 'softer' areas for improvement which were referenced throughout the report.

Cabinet Members having thanked and congratulated the Executive Director of Children's Services and the Safeguarding Team for their excellent work in achieving this inspection judgement, it was:-

18. RESOLVED that the contents of the report and the associated improvement actions the Council and its partners are undertaking in response be noted.

Local Government (Access to Information) (Variation) Order 2006

At the instance of the Chairman, it was:-

19. RESOLVED that in accordance with the Local Government (Access to Information) (Variation) Order 2006 the public be excluded during consideration of the remaining business as it was considered to involve a likely disclosure of information relating to any individual, which is likely to reveal the identity of an individual, the financial or business affairs of any particular person (including the Authority holding that information) or to consultations or negotiations in connection with labour relations matters arising between the Authority and employees of the Authority (Local Government Act 1972, Schedule 12A, Part 1, Paragraphs 1, 2, 3 and 4).

(Signed) P. WATSON,
Chairman.

Note:-

The above minutes comprise only those relating to items during which the meeting was open to the public.

Additional minutes in respect of other items are included in Part II.

CABINET MEETING – 18 JULY 2012 EXECUTIVE SUMMARY SHEET – PART I									
Title of Report: AS SOON AS POSSIBLE: EARLY INTERVENTION AND LOCALITY SERVICES IN SUNDERLAND									
Author(s): Children, Young People and Learning Scrutiny Committee and Chief Executive									
Purpose of Report: To set out the recommendations of the Children, Young People & Learning Scrutiny Committee following the Committee's review of Early Intervention and Locality Services in Sunderland.									
Description of Decision: The Cabinet is requested to consider the Children, Young People & Learning Scrutiny Committee's Policy Review Final Report and endorse the recommendations contained within the report (attached as Appendix A). To assist the Cabinet in its consideration of the draft recommendations of the Scrutiny Committee, attached as Appendix B is the proposed Action Plan for the implementation of these recommendations which has been prepared in consultation with the appropriate Portfolio Holder.									
Is the decision consistent with the Budget/Policy Framework? *Yes/No									
If not, Council approval is required to change the Budget/Policy Framework									
Suggested reason(s) for Decision: The Committee has investigated preventative and early intervention services for children, young people and their families in Sunderland, looking at the policy context, the early intervention offer, the common assessment framework and locality based services. The recommendations aim to support, progress and raise awareness to early intervention and locality based services in Sunderland.									
Impact analysed: <table style="width: 100%; border: none;"> <tr> <td style="border: none;">Equality</td> <td style="border: 1px solid black; width: 60px; text-align: center;">N/A</td> <td style="border: none;">Privacy</td> <td style="border: 1px solid black; width: 60px; text-align: center;">N/A</td> <td style="border: none;">Sustainability</td> <td style="border: 1px solid black; width: 60px; text-align: center;">N/A</td> <td style="border: none;">Crime & Disorder</td> <td style="border: 1px solid black; width: 60px; text-align: center;">N/A</td> </tr> </table>		Equality	N/A	Privacy	N/A	Sustainability	N/A	Crime & Disorder	N/A
Equality	N/A	Privacy	N/A	Sustainability	N/A	Crime & Disorder	N/A		
Alternative options to be considered and recommended to be rejected: The Scrutiny Committee has gathered detailed evidence and arrived at conclusions and recommendations which are intended to enhance and develop the early intervention offer and processes in Sunderland. There are no alternatives to be considered.									
Is this a “Key Decision” as defined in the Constitution? Yes/No Is it included in the Forward Plan? Yes/No	Scrutiny Committee:								

REPORT OF THE CHILDREN, YOUNG PEOPLE & LEARNING SCRUTINY COMMITTEE AND THE DEPUTY CHIEF EXECUTIVE**CHILDREN, YOUNG PEOPLE & LEARNING SCRUTINY COMMITTEE: AS SOON AS POSSIBLE: EARLY INTERVENTION AND LOCALITY SERVICES IN SUNDERLAND – POLICY REVIEW FINAL REPORT****1. Purpose of the Report**

- 1.1 To set out the recommendations of the Children, Young People & Learning Scrutiny Committee following the Committee's review of Early Intervention and Locality Services in Sunderland.

2. Description of Decision (Recommendations)

- 2.1 The Cabinet is requested to consider the Children, Young People & Learning Scrutiny Committee's Policy Review Final Report and endorse the recommendations contained within the report (attached as Appendix A). Where there are any recommendations which have financial implications, these will be outlined in the Service Directorate's response.
- 2.2 To assist the Cabinet in its consideration of the draft recommendations of the Scrutiny Committee, attached as Appendix B is the proposed Action Plan for the implementation of these recommendations which has been prepared in consultation with the appropriate Portfolio Holder.

3. Background

- 3.1 The Annual Scrutiny Conference was held at the Crowtree Leisure Centre on 19th May 2011. During the Scrutiny Café sessions a number of viable policy reviews were formulated for discussion by Members of the Committee. At a meeting of the Children, Young People and Learning Scrutiny Committee held on 9th June 2011, following discussions regarding the Work Programme, the Committee agreed to focus on early intervention and locality services.
- 3.2 The Marmot review highlighted that giving every child the best start in life was crucial to reducing health inequalities across the life course and it made action in this area its top priority. Early action is the key, 'later interventions, although important are considerably less effective if they have not had good early foundations'.

4. Key Points Arising from the Review

- 4.1 Early intervention can have a profound impact on young people, families and the wider community. Research from both England and the USA illustrates these impacts, and highlights the potential savings to public services and other key resources. Numerous amounts of research also demonstrate the increased outcomes and improved life chances for those involved.

- 4.2 The Common Assessment Framework is an important document and is used to gather a variety of information that can help professionals to ascertain the correct type and level of support required. However the document is lengthy and was often considered burdensome particularly by those in a universal setting where capacity is already stretched. The council has invested in training and support for individuals around the CAF process and this is important. However, there is an opportunity to look at the form with the aim of producing a more streamlined and accessible document that can be used in all settings. Further to this it would also help to have a single contact point for potential referrers to seek help and support prior to the submission of a CAF assessment form.
- 4.3 Services based in the local area are acknowledged by leading professionals as being more efficient than previous arrangements. They allow for local people to build up trust and relationships with service providers who are on their doorstep. The importance of this should not be underplayed and by providing services and support in people's local environment can prove beneficial for a number of reasons including the development of relationships, the ease of access and the development of support networks beyond the bricks and mortar of a locality setting. The Children's Centres are a good example of this practice in action.
- 4.4 The recent peer review, independent review of CAF and Ofsted inspections around safeguarding and looked after children provide a timely review of processes, procedures and services. The development of subsequent action plans to tackle any areas identified for improvement including that important interface between CAF assessments and safeguarding will prove invaluable to the progress and development of this agenda. The scrutiny function is one of a number of suitable vehicles to monitor and challenge the action plan over the coming months.

5. Response from the Directorate

- 5.1 Children's Services welcome this report which is timely and can be considered alongside both Ofsted inspection and the Peer Review. Children's Services would like to highlight the following actions that are currently being undertaken to ensure that there is support available for our children and their families at the earliest opportunity and that accessing this support is as swift and easy as possible. They are as follows:
- Review of Children's Centre and Childcare services including the introduction of the all-age Early Intervention Family Team and a service pathway;
 - Development of the Sunderland Early Intervention Strategy;
 - Review of CAF Process including supporting communications, documentation and partner engagement;
 - Integration of services as part of Responsive Local Services work including local governance arrangement; and
 - Strengthening Families project which will better link the early intervention service into services provided by partners thereby enhancing the support provided.

6. Reasons for the Decision

- 6.1 The recommendations are intended to support, progress and raise awareness to early intervention and locality based services in Sunderland.

7. Alternative Options

- 7.1 There are no alternative options recommended.

8. Impact Analysis

8.1 Equalities

The proposals are designed to support improved service delivery for children, young people and their families. Equality issues were addressed during the evidence gathering process and this is reflected in the focused recommendations.

8.2 Privacy Impact Assessment

The proposals have no immediate additional implications for the protection of privacy of the public. Any privacy issues which arise will be addressed through the delivery of the action planning process.

8.3 Sustainability

The proposals have no immediate implications for sustainability. Sustainability issues will be considered and addressed as part of the delivery of the action plan by Members and officers.

8.4 Reduction of Crime & Disorder – Community Cohesion / Social Inclusion

The proposals have no immediate implications for crime and disorder. Any crime and disorder issues will be addressed as part of the delivery of the action plan by Members and officers.

9. Relevant Considerations / Consultations

- 9.1 The findings in the report are the result of consultation and evidence gathering by the Scrutiny Committee. Consultation has been carried out with relevant key stakeholders from across the Council and the City using a variety of techniques including focus groups, site visits, and questionnaires. The Committee also held an Expert Jury Event which provided the opportunity to discuss key themes with a number of relevant experts. Members also visited a Children's Centre and a Locality Based Team to gain a better understanding of the importance of early support and help being placed within communities.

10. List of Appendices

Appendix A – Policy Review Final Report
Appendix B – Action Plan

11. Background Papers

Children, Young People and Learning Scrutiny Committee Agenda Papers 2011/12

Children, Young People and Learning Scrutiny Committee Policy Review 2011 – 2012

As Soon As Possible: Early Intervention and Locality Services in Sunderland

Final Report

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1 Foreword from the Chairman of the Committee

On behalf of the Children, Young People and Learning Scrutiny Committee I am delighted to publish this report. I would like to thank all those who participated in the process, for their time, effort and continued commitment to their chosen fields.

Early intervention has many benefits and is a vitally important process in terms of ensuring that children, young people and families are supported through difficult periods in their lives. Intervention and support can take many forms from intensive multi-agency support for a number of issues to additional childcare support, all with the aim of improving outcomes for individuals and families.



Throughout the course of this review the committee has gathered evidence from a wide range of stakeholders and this has proved extremely useful in helping us to form our conclusions. The committee also looked at teenage pregnancies and the role of the corporate parent and, while not directly linked to this issue, we do recognise the excellent work that is being undertaken in relation to these challenging issues.

It is important as we go forward with this agenda that early intervention and the CAF offer is clearly communicated to all stakeholders. It must be a process that is accessible to as many service providers as possible to ensure that intervention is available to everyone who may need it. Taking services into localities is a positive move forward and can help to break down barriers within communities, similar in the way Children's Centres have.

The success and impacts of early intervention can often be difficult to attribute to one particular action but through the use of innovative measures and locally developed indicators there is the real potential to identify how individuals and families progress from a fixed point. Gauging success on people's own perceptions is also of benefit and it can often be that very feeling of improvement that sparks change and provides individuals and families with the impetus to move forward positively.

Finally I would like to thank my colleagues on the Children, Young People and Learning Scrutiny Committee for their valuable input and contribution throughout the course of the policy review. I hope that the work and recommendations can help to address some of the issues that have been highlighted and can contribute, in some way, to helping young people, parents and families as a whole to improved outcomes and a better quality of life.

A handwritten signature in black ink that reads "Paul Stewart". Below the signature is a long, thin horizontal line.

Councillor Paul Stewart, Chair of the Children, Young People and Learning Scrutiny Committee

2 Executive Summary

- 2.1 Early Intervention can have a deep and lasting impact on young people, families and the wider community. Research from both England and the USA illustrates very well these impacts, highlighting the potential savings to public services and other key resources as well as the increased outcomes and improved life chances for those involved. All of these factors demonstrate that early intervention is extremely worthwhile and an important cornerstone in the prevention agenda.
- 2.2 The Common Assessment Framework form is an important document and is used to gather a variety of information that can help professionals to ascertain the correct type and level of support required. However the document is lengthy and has the potential to be off-putting, particularly in many of the universal settings where capacity is already stretched. There is an opportunity to look at the form with the potential for re-designing it to a more streamlined and accessible format that can be used in all settings. Further to this it would also help to have a single contact point for potential referrers to seek help and support prior to the submission of a CAF assessment form.

Recommendation: That the CAF assessment form is reviewed with particular consideration given to a shorter streamlined form which is less onerous to complete.

Recommendation: That the option of a dedicated single point of contact for any CAF assessor to contact for support and advice around thresholds prior to completing a full CAF assessment is explored.

- 2.3 There is still, despite all the training and importance placed on the CAF process by the Local authority, still a lack of understanding and awareness from agencies and organisations. There needs to be a clear message around the process including any developments and that these are communicated to the widest audience possible including all concerned agencies and organisations. This will be of particular relevance in universal settings such as schools, medical practices and local community youth settings.

Recommendation: That the CAF assessment process and threshold are considered for a comprehensive re-launch within Sunderland, following any CAF form redesign, and this is communicated to all stakeholders.

Recommendation: That an effective and coordinated communication strategy is put in place to ensure that future changes to the early intervention offer, CAF assessment process or CAF thresholds can be effectively communicated to all stakeholders including elected Members.

- 2.4 There is still a degree of confusion around the threshold limits and in particular between early intervention support and safeguarding. The continuum of needs illustrates the level of support and intervention that can be used and is like a windscreen, with young people and families moving backwards and forwards through the levels of support depending on personal circumstances at that time.

Recommendation: That further comprehensive training is made available to key stakeholders to provide a clear understanding of the differentials in thresholds between early intervention support and safeguarding.

- 2.5 The CAF Panel meetings provide that link between initial recognition and actual support for families and individuals. In undertaking this review the committee saw the advantages and potential for the initial assessor to be invited to attend the relevant CAF panel meeting in order to be able to provide a further degree of clarity or detail about their assessment if required. It was also acknowledged that this could lead to logistical issues and further pressures on individual's capacity.

Recommendation: That the initial CAF assessor is routinely invited to attend the relevant CAF panel meeting in relation to their initial assessment.

- 2.6 Services based in the local area are acknowledged by leading professionals as being more efficient than previous arrangements. They allow for local people to build up trust and relationships with service providers who are on their doorstep. The importance of this should not be underplayed and by providing services and support in people's local environment can prove beneficial for a number of reasons including the development of relationships, the ease of access and the development of support networks beyond the bricks and mortar of a locality setting. The Children's Centres and XL youth projects are fine examples of such practices in action. Developing such relationships with key partners can also encourage greater involvement from partners in sharing the responsibility and workload associated with the CAF process and TAF/TAC interventions.

Recommendation: That locality based teams look to increase their engagement with local partners through the development of more integrated working practices and approaches that promote locality services and the early intervention core offer with local partners and the community.

- 2.7 Developing effective measuring tools and evidencing impacts and outcomes is an essential element of the whole intervention agenda. Much of the measuring of success and outcomes is around insight from the professional opinion through to the individuals own perception. Taking into account a number of factors and measuring these against tangible outcomes can certainly evidence the case for early intervention. Improved attendance at school or reduced criminal offending can highlight the success of intervention measures. The stripping back of the national indicator set presents a chance to look at this in greater detail, as well as the possibility of creating a greater ownership over locally set targets and providing a clear focus about direction, aspiration and intention.

Recommendation: That the development of a specific data set of outcome measures for locality based working and early intervention be undertaken by the Directorate with a particular focus on measuring outcomes.

- 2.8 It was acknowledged that all local authorities faced difficult decisions in prioritising funding in light of spending reductions, and that some of the funding mechanisms had perverse incentives. This can result in local authorities being penalised for high performing services and improved outcomes which ultimately result in funding reductions. At the expert jury day it was reported that funding was a real issue for many projects aimed at supporting young people and their families.

Recommendation: That the Children, Young People and Learning Scrutiny Committee write to the relevant government department in relation to their general concerns relating to perverse funding arrangements.

- 2.9 It was interesting to note through discussions with the DfE that there was no research currently being undertaken in relation to the CAF process. It was noted that practice across the country varied greatly and it would be interesting and extremely beneficial to local authorities if such a piece of work was undertaken. It could highlight areas of good practice, innovative monitoring and measuring tools and provide the DfE with evidence to provide clear guidance on the process in general.

Recommendation: That the Children, Young People and Learning Scrutiny Committee write to the DfE requesting that they look to undertake research into the CAF process across the country.

- 2.10 The recent peer review, independent review of CAF and Ofsted inspections around safeguarding and looked after children provide a timely review of processes, procedures and services. The development of subsequent action plans to tackle any areas identified for improvement including that important interface between CAF assessments and safeguarding will prove invaluable to the progress and development of this agenda.

Recommendation: That the actions arising from the recent independent reviews and Ofsted inspections relating to this agenda are combined into a single Action Plan which is monitored by the Children, Young People and Learning Scrutiny Committee.

- 3.1 The Annual Scrutiny Conference was held at the Crowtree Leisure Centre on 19th May 2011. During the Scrutiny Café sessions a number of viable policy reviews were formulated for discussion by Members of the Committee. At a meeting of the Children, Young People and Learning Scrutiny Committee held on 9th June 2011, following discussions regarding the Work Programme, the Committee agreed to focus on early intervention and locality services.

4 Aim of the Review

- 4.1 To investigate preventative and early intervention services for children, young people and their families.

5 Terms of Reference

- 5.1 The title of the review was agreed as 'As soon as possible: Early Intervention and Locality Based Services in Sunderland' and its terms of reference were agreed as:

- (a) To understand and define the Early Intervention offer;
- (b) To look at the Common Assessment Framework (CAF) process and how this directly links to intervention and support;
- (c) To identify and understand the pathways, benefits and barriers to families and/or individuals accessing early intervention support;
- (d) To investigate the impact of support available and identify if these approaches are coordinated, multi-agency in nature and deliver an improvement in outcomes;
- (e) To consider how interventions can be robustly monitored to evaluate outcomes and provide information to further develop service delivery; and
- (f) To look at examples of good practice from across the region and country in relation to the policy review.

- 5.2 Members agreed that as the review progressed, they may feel that the review should narrow its focus further in order to ensure that robust findings and recommendations are produced.

6 Membership of the Committee

- 6.1 The membership of the Children, Young People and Learning Scrutiny Committee during the Municipal Year is outlined below:

Councillors Paul Stewart (Chair), Anthony Morrissey (Vice-Chair), Richard Bell, Stephen Bonallie, Doris MacKnight, Tom Martin, Robert Oliver, Dennis Richardson, Lynda Scanlan, Derrick Smith and Linda Williams.

Co-opted Members: Christine Hutchinson, Rose Elliott, Marilyn Harrop, Suzanne Duncan, Howard Brown and Ken Morris.

7 Methods of Investigation

7.1 The approach to this work included a range of research methods namely:

- (a) Desktop research – review of relevant documentation including government documents such as The Munro Review of Child Protection and the Government Review of Early Intervention conducted by Graham Allen MP;
- (b) Interviews – with key individuals both internally and externally;
- (c) Focus groups – with key individuals both internally and externally;
- (d) Questionnaires;
- (e) Presentations at committee;
- (f) Site Visits, and
- (g) Expert Jury Event.

7.2 All participants were assured that their individual comments would not be identified in the final report, ensuring that the fullest possible answers were given.

7.3 Interviews with the following personnel were carried out:

- (a) Ciaran Hayes – Department for Education;
- (b) Simone Common – Risk and Resilience Service Manager & West Locality Manager;
- (c) Lorraine Hughes – Children’s Commissioning Lead;
- (d) Catherine Joyce – Leaving Care Service Team Manager;
- (e) Lee Ferry – XL Youth Village Coordinator;
- (f) Meg Boustead – Head of Safeguarding;
- (g) Cllr Phil Tye – Local Councillor and Volunteer Youth Worker;
- (h) Bev Chismon – Independent Chair; and
- (i) A parent who has been involved with the CAF process.

7.4 A number of visits were conducted during the policy review to gather evidence and to witness some of the initiatives being undertaken in relation to early intervention and locality based services in Sunderland. These included:

- (a) Bumps to Babies;
- (b) Rainbow Family Centre – Washington;
- (c) XL Youth Village Projects in Washington, Houghton, Burnside and Red House;
- (d) Durham County Council,; and
- (e) Locality Based Team – Bunny Hill Centre.

7.5 An expert Jury Event on 17th December 2011, where final evidence was presented to members of the committee by:

- (a) Ros Watt – Parent Partnership Service (PPS) Coordinator;
- (b) Rachel Putz – Locality Operations Manager (Coalfields);
- (c) Louise Hill – Head of Youth Offending Service;
- (d) Susan Henderson – Red House Academy;
- (e) Lynne Goldsmith – Service Manager (Safeguarding,); and
- (f) Sandra Mitchell – Head of Early Intervention and Locality Based Services.

- 7.6 It should also be noted that many of the statements made are based on qualitative research i.e. interviews and focus groups. As many people as possible were interviewed in an attempt to gain a cross section of views. All statements in this report are made based on information received from more than one source, unless it is clarified in the text that it is an individual view. Opinions held by a small number of people may or may not be representative of others' views but are worthy of consideration nevertheless.

8 Findings of the Review

Findings relate to the main themes raised during the committee's investigations and evidence gathering.

8.1 The Beginnings of Early Intervention

- 8.1.1 Early intervention is not new and it has even been suggested that its roots can be traced back to Friedrich Fröbel's kindergarten movement in the early 18th century. However and much more recently, well known interventions have included Head Start and the Family Nurse Partnership, which began in the USA in the 1960s and 1970s respectively and still continues to this day. Today, it is widely agreed by experts across the world that early intervention can be of enormous benefit to children. This is reinforced by the findings of the Marmot review into tackling health inequalities.
- 8.1.2 The Marmot review highlighted that giving every child the best start in life was crucial to reducing health inequalities across the life course and it made action in this area its top priority. Early action is the key, 'later interventions, although important are considerably less effective if they have not had good early foundations¹'.

8.2 The Value of Intervention

- 8.2.1 The High Scope study conducted in Michigan, USA, in the 1990's concluded that for every dollar spent on early interventions seven dollars would be saved in later life. The study evaluated a small, intensive pre-school programme that was established in 1962 in Ypsilanti, a town near Detroit. A number of 3 and 4 year olds identified as at significant risk of poor outcomes were involved in a high quality learning programme every day in the two years before they went to school. Teachers worked with the children individually and in groups, and once a week they visited the child's home and encouraged the parents to take an active role in their child's education. The children were assessed as they grew up and compared with a 'control group' who did not receive this extra support. At 15 years the High Scope children were reporting lower levels of involvement in crime, and at 19 and 27 they had experienced significantly fewer arrests. Mostly notably, the proportion of chronic offenders was only 7% for the High Scope graduates, compared to 35% among the controls. It has been hypothesised that much of the difference is accounted for by the fact that the High Scope children achieved greater success at school and therefore improved their outcomes as adults.
- 8.2.2 The cost of poor literacy in the UK is estimated to be between £5,000 and £64,000 for each individual over a lifetime, while the cost of poor numeracy is estimated to be between £4,000 and £63,000 over an individual's lifetime. The vast majority of these costs are the result of lower tax revenues and higher benefits paid due to poorer employment prospects.
- 8.2.3 The NSPCC estimates that 13% of children have suffered some form of abuse while 2% suffer some form of neglect during childhood. There were 603,700 referrals to Children's social services in 2009-10, but perhaps more disturbing is the 2009 survey of two London boroughs that showed 80% of referrals to Children's Services were not investigated.

¹ The Marmot Review: Fair Society, Healthy Lives (2010)

- 8.2.4 Department for Education research suggests that for every £1 million invested in family intervention, £2.5 million of cost to local authorities and the state is avoided.² Preliminary findings from the Durham Pathfinder pilot also suggest that family intervention costs of £420,000 are estimated to generate potential family outcome avoidance savings of £1 million; a net saving of £664,000.³
- 8.2.5 A number of problems or barriers also exist in relation to the identified benefits of early intervention. Often the organisations that invest most heavily in early intervention may well find that they are not the ones who reap the benefits of these practices. A second potential barrier is that it is often hard to prove what 'has not' or 'does not' happen is as a direct result of early detection and intervention. A final issue worth considering is that the benefits of early intervention may take many years to be fully realised or achieved and in the very early stages can even increase the costs to services.

8.3 The Policy Context

- 8.3.1 It is fair to say in the context of policy that early intervention is a key issue and is attracting international, national and local interest from policy-makers and practitioners through to academics and think tanks. It is the growing body of evidence that illustrates what can happen when children and young peoples emerging difficulties are not spotted and addressed, added to the emerging data about the difference intervention programmes and approaches can have.
- 8.3.2 An estimated 20-30% of children and young people will have additional needs at some point in their lives according to the Children's Workforce Development Council. Support may be over a set or limited period or of a more intensive long-term arrangement depending on the circumstances and level of need required. The 'Every Child Matters' programme led to the development and introduction of a new framework for integrated working within children's services which looked to change service delivery and shift focus so that children's needs were identified and assessed earlier. The ultimate aim of this policy shift was the ability to provide timely and suitable support for the child.
- 8.3.3 In May 2010, the Coalition Government published its programme for government with the section on families and children detailing key commitments including:
- (a) Taking Sure Start back to its original purpose of early intervention with an increased focus on those families most in need;
 - (b) Refocusing Sure Start funding to fund an extra 4,200 health visitor posts; and
 - (c) Investigating a new approach to supporting families with multiple problems.

The Comprehensive Spending Review published in October 2010 also announced:

- (a) An Early Intervention Grant to support children at the greatest risk of multiple disadvantage;

² Redesigning Provision for Families with Multiple Problems: an assessment of the early impact of local approaches. York Consulting 2010.

³ Durham Pathfinder costs and benefits: A social return on investment approach. York Consulting 2010.

(b) Community-based budgets to allow local areas to pool resources and support families with multiple problems; and

(c) All disadvantaged 2-year-olds to be given 15 hours per week of free education.

8.3.4 In July 2010 the Government announced an independent commission on early intervention to be chaired by Graham Allen, MP for Nottingham North. This independent report, 'Early Intervention: The Next Steps', was published in January 2011 and followed up in July 2011 with a second report, 'Early Intervention: Smart Investment, Massive Savings', with a further report to be published in the summer detailing new funding options needed to resource early intervention.

8.3.5 The Government commissioned Independent Review conducted by Professor Eileen Munro published its first report in October 2010, identifying four major drivers of developments in child protection in recent times, these were:

(a) the importance and strength of reaction that members of the public attach to children and young people's safety and welfare;

(b) the often limited understanding amongst the public and policy makers of the unavoidable degree of uncertainty involved in making child protection decisions, and the impossibility of eradicating that uncertainty;

(c) the tendency of the analyses of inquiries into child abuse deaths to cite human error too readily, rather than taking a broader view when drawing lessons; and

(d) the demands of the audit and inspection system for transparency and accountability which has ultimately contributed to undue weight being given to readily measurable aspects of practice.

8.3.6 The Munro Review's second report, published in February 2011, dealt with the child's journey through the protection system. The aim was to show how this system could be improved. The report concluded that instead of following procedures the system needed to focus on doing the right thing by checking whether children and young people were being helped. The development of the final report was heavily influenced by extensive consultation on the reform areas highlighted by Professor Munro. The key points revolved around valuing professional expertise, ensuring the shared responsibility for early help and developing social work enterprise. The review also stressed the importance of an effective child protection system that has the ability to get a wide range of professionals to work together to instigate the right help for a young person or family.

8.3.7 There have been a steady stream of reports and studies on the issue of prevention, through early intervention that have emerged over the last 18 months from Government-sponsored reports including the Marmot Review on health inequalities; The Munro Review of Child Protection; *Grasping the Nettle: early intervention for children, families and communities*; *Early Intervention: The Next Steps*; *Early Intervention: Smart Investment, Massive Savings*; The Scottish Parliament's *Finance Committee Report on preventative spending*; *Joining the Dots*; through to Dame Clare Tickell's report on the Early Years Foundation Stage. These follow closely on the heels from Centre for Social Justice Reports, *Breakthrough Britain: the Next Generation* and *Early Intervention: Good Parents, Great Kids, Better Citizens*, and Action for Children's *Backing the Future* and *Deprivation and Risk: the case for Early Intervention*.

8.3.8 Despite the breadth and range of these publications the consistency of their conclusions is enlightening. Based on the various recommendations and conclusions, an effective framework for early intervention would contain the following six common elements:

- (a) A commitment to prevention;
- (b) Priority focus on the early years;
- (c) Continuing early intervention in later years;
- (d) A multi-agency systems approach;
- (e) High quality of workforce, and
- (f) Investment in programmes that work.

8.4 The Local Perspective

8.4.1 The Children's Services Directorate has undertaken a major revision to its structure that provides an effective configuration for the service and is able to continue in its drive for improved outcomes for children, young people and their families. The new service still very much focuses on the key priorities of:

- (a) safeguarding children and young people;
- (b) supporting schools to raise achievement and attainment for all;
- (c) improving early intervention and prevention strategies through a locality based working approach, and
- (d) developing a more effective commissioning role to deliver better outcomes.

8.4.2 The key drivers that led to this review of structures within Children's Services included:

- (a) the importance of realising efficiencies as part of the overall Council's proposals for financial savings from 2011 to 2014;
- (b) the need to respond to Coalition Government priorities outlined in key government legislation;
- (c) building on the success of integrated Children's Services by strengthening the focus on early intervention and prevention in service delivery to provide better outcomes for children and young people, and
- (d) to position Children's Services as a stronger commissioner of services.

8.4.3 The newly created early intervention and locality services will lead on the provision and delivery of early intervention and prevention services for children and young people to improve their lives and outcomes, and prevent the need for support from more specialist services at a later stage of their lives. Achieving this recognises the need to work closely with other services responsible for schools, safeguarding and commissioning to develop a whole way of working around early intervention and prevention which is very effective. There is also a strong emphasis on developing that multi-agency model of locality based working and the Common Assessment Framework (CAF) using Sunderland's 5 regeneration areas.

8.4.4 It is also worth exploring the developments in structure to the Safeguarding service as this also has implications for early intervention. The existing service now has responsibility for the Youth Offending Service and Services for Young People. Safeguarding remains a high priority and high profile service within the directorate and key responsibilities in relation to child protection and safeguarding services have remained largely unchanged.

- 8.4.5 The Safeguarding service continues to provide a range of interventions to support and protect the most vulnerable children and young people in Sunderland. The service also provides the lead for improving outcomes for young carers, children and young people affected by bullying and for those young people who require support from Child and Adolescent Mental Health Services (CAMHS). Key to all of this is the partnership working in respect of operational service delivery and strategic delivery within safeguarding.
- 8.4.6 In undergoing this restructure and the bringing together of a number of services which deliver early intervention across the whole age range from pre-birth to 19, there is a clearly identifiable role for Children's Centres and the services, support and quality childcare they deliver. A major review and consultation has been undertaken to determine, in relation to an early intervention service, a suitable delivery model for Children's Centres. This has been brought about due to financial constraints that require a saving of £1.77m to be delivered. The review and subsequent proposals developed across Children's Centres and service delivery and childcare will deliver the required financial savings whilst providing a service which gives children the best start in life, is better targeted to reach the most vulnerable families, offers support and interventions across the whole family and is responsive to differing needs at a local level.
- 8.4.7 Following an extensive review and consultation process, approval was given by Cabinet on the 15th February 2012 to a redesign of Children's Centre service delivery as follows:
- (a) A reduction in the number of Children's Centres which are designated from 17 to 5 in the 5 localities and that the remaining 12 centres remain open as service delivery centres;
 - (b) That from April 2012, arrangements for Area Community Boards for each of the five Children's Centres are established in order that these Boards can shape and direct service delivery and the further development of Children's Centres moving forward;
 - (c) That the proposal to prioritise families needing additional support is progressed recognising that criteria relating to need will be clearly defined and that a range of services will continue to be delivered on a universal basis;
 - (d) That proposals to secure service delivery from April are progressed for one year from April 2012, with services from April 2013 identified and prioritised by the newly established Area Community Boards.
- 8.4.8 In planning the design and delivery of future services through Children's Centres an outcomes based commissioning approach was adopted. Based on current available intelligence from needs analysis and on the findings from a review of all services including those contracted from providers external to the Council, a set of service specifications was prepared which focussed on improving outcomes for children and their families. Service reviews and the engagement of external providers supported decisions on the outcomes to adopt, how to measure these and to identify 'what works' to improve outcomes.
- 8.4.9 A key development from this commissioning process was the design of a generic Early Intervention Family Team bringing together a range of roles and activities that were currently delivered for families through Children's Centres by different agencies via contracts or by the Council. The primary purpose of the team is to offer

consistent and coordinated support to families with additional needs and to promote and enable family access to universal and targeted services across learning, health and social care services. The family team will work in localities and will enhance the work that is already underway to tackle the needs of children and their families across the continuum through earlier intervention. This team will be based upon the generic skills of staff so that they can develop positive relationships with service users to identify and develop their strengths as well as supporting them with addressing needs. This team will provide a significant resource to be delivered from within the Council for the first twelve months, with future commissioning arrangements being determined for April 2013 through the governance of the proposed Area Boards.

8.4.10 These generic teams are of course now known as the Locality Based Integrated Teams which form the Early Intervention and Locality Services group. The teams currently include practitioners from Attendance, Children's Centres, Connexions, Educational Psychology, Risk and Resilience (Teenage Pregnancy, Substance Misuse and Crime Prevention) and Youth Development.

8.4.11 It is acknowledged by members that this agenda has progressed significantly over the past 18 months and has continued to develop throughout the duration of this review. The peer review, independent review of CAF and the unannounced inspection of Safeguarding have also added impetus to this changing landscape and have highlighted areas and issues for further development. This review adds further evidence and research to a service area that is of critical importance to Children's Services, the Council and Sunderland as a whole.

8.5 The Continuum of Needs

8.5.1 The continuum of needs known as "The Windscreen" model shows how a child's needs may move backwards and forwards through universal, additional, multiple and in need of immediate care and protection.

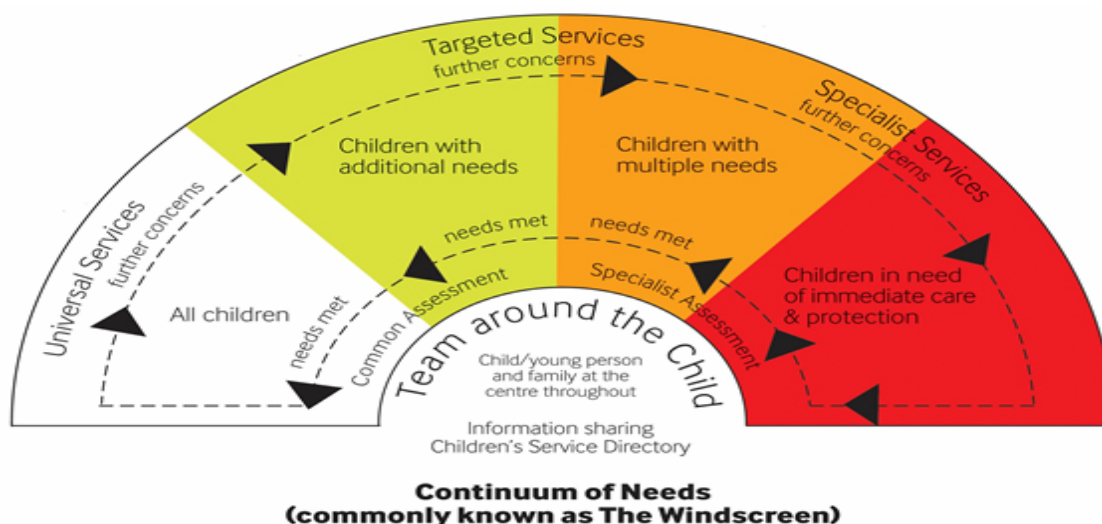


Figure 1: The Continuum of Needs diagram
Source: Sunderland Children's Trust Website

8.5.2 Universal Services

Universal services are those services which are available to all children, young people and their families. Most children achieve the five outcomes set out in Every

Child Matters through the care of their families and the support of a range of universally provided services, for example schools, primary health care and leisure facilities. However, early identification of children with additional needs is critical in making sure targeted services can intervene early. If ignored, these issues could develop and lead to poorer life chances or the need for more intrusive interventions.

8.5.3 Intervention is most likely to be successful if it is child centred, involves and empowers the family, is provided within the community and can be provided as soon as is practicable.

8.5.4 *Children with additional needs*

A child or young person identified as having additional needs can be defined as needing some additional support without which they would be at risk of not reaching their full potential. The additional support may relate to health, social or educational issues. It is also possible that other needs may arise because of their own development, family circumstances or environmental factors.

8.5.5 *Children with multiple needs*

A child or young person whose needs are not fully met due to the range, depth or significance of their needs and whose life chances will be jeopardised without remedial intervention/support. These children will require a more co-ordinated multi-agency response, within or between agencies. A lead practitioner would be identified to coordinate intervention and complete the CAF process, including a team around the child meeting or discussion.

8.5.6 *Children in need and those at risk of harm and potential harm*

A child or young person with complex needs who will be subjected to specialist assessment and will include children who are:

- Children identified as being 'in need' under S17 of the Children Act;
- Looked After Children.

8.5.7 In applying this framework it was recognised that the following principles should be considered:

- (a) Intervention should be at the lowest tier appropriate to meet the needs of the child and prevent the need for specialist services;
- (b) Consideration should always be given to undertaking a CAF to resolve difficulties and prevent the need for a specialist service, and repeated assessments should not be necessary for a child to move from one tier to another;
- (c) If there are child protection concerns about a child's health, development or Welfare, professionals must follow the Sunderland Safeguarding Children Board, Safeguarding Children Procedures and make an immediate referral to Children's Social Care, and
- (d) The tier of need will always be influenced by the multiplicity of factors.

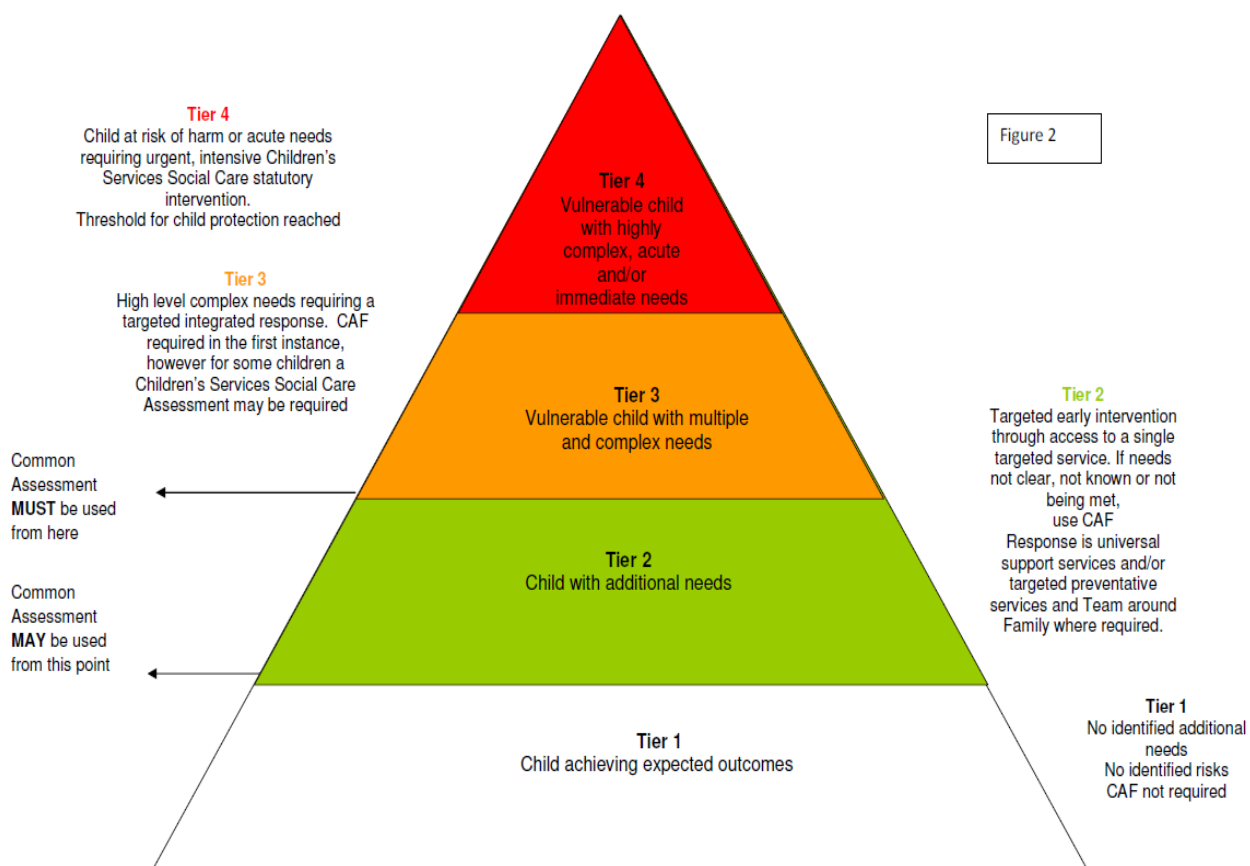


Figure 2: Matrix of Need: The Circumstances for a CAF Assessment or Referral to Safeguarding
Source: Sunderland Safeguarding Children Board

8.6 The Common Assessment Framework

- 8.6.1 The Common Assessment Framework (CAF) is a standardised approach to conducting assessments of 'children's and families additional needs, and for developing and agreeing on a process through which agencies work together to meet those needs. Its aim is to enable early identification of needs, leading to planned and co-ordinated provision of services for children, young people or their families. Children and families experience a range of needs at different times in their lives. However, while all children and young people require access to high-quality universal services, some of them also benefit from targeted support to address additional needs which may relate to education, health, social welfare or other areas.
- 8.6.2 In visiting a Children's Centre Members of the Committee were informed of how a variety of activities and groups had created a strong outcome for families and individuals through the construction and feeling of a social network, which offered support not only within the centre but beyond. This also benefited the centre as it created a strong sense of belonging. The Children's Centres through data analysis and customer feedback were also able to tailor their services with the key driver being prevention. Members of the committee witnessed service delivery around preparing for baby, smoking cessation, sex education and breast feeding (bosom buddies).
- 8.6.3 The CAF process and Children's Centres have been 'married' together through locality arrangements to provide one aspect of early intervention work in

Sunderland. Members noted that Children's Centres offered early support to individuals and families through the CAF process and had the ability to ensure that support was in place at the right time for the right families. This was through support workers operating in the centres who are able to initiate CAF assessment where issues have been mutually identified. The building of relationships and social networks within the centre's and wider community were recognised as a real driver for early intervention measures and allowed for multi-agency support to be identified and implemented at an early stage.

- 8.6.4 It should be noted at this stage that the use of the CAF depends very much on the consent of the child, young person and/or their family. This is one of the defining features of the process, and emphasises the fact that children, young people and families can make an important contribution to the process, which should be based on an assessment of their strengths as well as their difficulties. Therefore the development of relationships and mutual trust, already mentioned, is crucial and can only help in delivering outcomes, speeding up the process and ensuring the CAF is owned by those involved.
- 8.6.5 A common assessment can be conducted at any time on children or young people and even unborn babies. It is principally designed for when:
- There is concern about how well a child (or unborn baby) or young person is progressing. This might be about their health, welfare, behaviour, progress in learning or any other aspect of their well-being;
 - The needs are unclear, or broader than a particular service can address; and
 - A common assessment would help identify the needs, and/or get other services to help meet them.
- 8.6.6 The Common Assessment Framework consists of:
- A simple pre-assessment checklist to help practitioners identify children who would benefit from a common assessment. The checklist can be used on its own or alongside specialist universal assessments, such as those done by midwives and health visitors;
 - A process for undertaking a common assessment, to help practitioners gather and understand information about the needs and strengths of the child, based on discussions with the child, their family and other practitioners as appropriate;
 - Standard forms to help practitioners record, and, where appropriate, share with others, the findings from the assessment in terms that are helpful in working with the family to find a response to unmet needs; and
 - A process for implementing a Team Around the Child/Family (TAC/TAF).
- 8.6.7 The CAF is a mechanism which allows for a range of responses to be made available to those children or families identified. The individual CAF panels for the 5 locality areas meet on a weekly basis to discuss individual cases and decide on the most appropriate course of action. The Team Around the Child/Family is one such response other potential outcomes include support from either a single service or two specific services, e.g. Child & Family Support and social care.

Example of CAF Referral from a school: FEB 2011

A CAF was submitted from a school on a 12 year old child with regards primarily to his recent failure to attend school. The child (X), resided with his mother and younger sibling in the west of Sunderland. X had undergone a medical operation in December 2010 which had resulted in lost time from school. X was now refusing to attend school; X's behaviour was becoming aggressive within the family home, as well as X developing a phobia of health professionals. The CAF recorded no concerns in relation to parenting issues. The CAF requested a referral for X to address fears and help X back into school life. Further information shared at the panel meeting confirmed the need for mental health support and the panel agreed for a direct single agency referral to CaMHS.

Source: Sunderland City Council Children's Services

- 8.6.8 Members queried how the CAF process avoided purely subjective information and only getting information that the family/parent/child was willing to divulge? The Head of Early Intervention reported that CAF awareness training was available for staff as well as there being a host of CAF Champions across the city. It was also stressed that support was available from the council to help individuals complete the CAF referral form. It was stressed that it was the discussion at the CAF panel held through the CAF panel meetings that would provide the most balanced response to the CAF assessment.
- 8.6.9 The Committee also highlighted the potential time consuming nature of the completion of the CAF form, currently 13 pages in length, and how principal universal settings such as schools and GP's could cope with this level of additional paperwork. It was recognised at the committee's expert jury day that professionals need the referral and assessment process to be as simple as possible. The CAF process has the ability to bring agencies together to work for the same outcomes. On visiting the locality team based in the north of the city it was highlighted that over 300 people had been trained in how to complete the CAF form and that the more people completed the form, like many things, the easier it can become. However, it was stressed that completing the form with as much information as possible, even leaving gaps, was still better than not completing a CAF referral at all.
- 8.6.10 Speaking with the Head of Early Intervention and a CAF and Childrens Centre Lead, Members noted that incomplete or poorly completed CAF forms would be directed to the relevant locality area from the central business support unit. Any new CAF submissions would be discussed in localities at the weekly held panel meetings. Members queried the potential capacity issues in relation to these additional weekly CAF panel meetings and it was noted that attendance at such meetings was generally good, but there was also an acknowledgement around agency involvement and capacity issues.
- 8.6.11 The diagram below illustrates the number of CAF assessments that have been received by Children's Services over an 18 month period. It is worth highlighting that of the 2,513 assessments submitted 41% (1,025) were related to females and 58% (1,464) were related to males. The most popular outcome of a CAF meeting from the 2,513 submissions was a single agency intervention with 953 cases achieving this outcome. Perhaps most interesting though was the 346 cases which were reviewed at the next panel meeting following the pursuit of further information.

Locality	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
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Coalfields	9	17	25	20	28	22	26	20	23	39	47	20	21	31	36	17	20	21
East	8	25	34	23	35	27	17	24	24	21	22	20	28	47	38	33	39	21
North	12	23	22	10	19	32	33	26	28	33	34	32	38	51	45	32	37	27
Washington	13	20	36	14	39	27	28	14	28	22	20	20	36	29	35	33	35	45
West	2	17	25	14	26	26	31	27	33	21	37	27	35	64	46	31	55	40
Totals	44	102	142	81	147	134	135	111	136	136	160	119	158	222	200	146	186	154

Diagram 1: Number of CAFs received per month Jan 2010 – Jun 2011 by Locality
Source: Sunderland City Council

8.6.12 It was interesting to note on the Committee's visit to Durham that the County Council has re-designed the CAF form reducing it from 13 pages to a less daunting 4 page assessment form. Durham saw this as a significant barrier and wanted to move to something professionals saw as quick and easy to complete. It was noted that Durham was placing more emphasis on a pre-CAF conversation with key connected services. This pre-CAF assessment acted as a checklist as to whether that child or family required the more detailed CAF assessment.

8.6.13 It was identified at the expert jury day that there was still a lack of awareness from agencies around the CAF process and this had the potential to lead to an inappropriate use of the CAF threshold. It was also noted by Members that any changes in systems or process needed to be communicated to all stakeholders to ensure a consistency of approach.

8.6.14 Members acknowledged that feedback was always provided back to the original referrer including the outcomes from the CAF panel meeting. However perhaps there were situations or circumstances when having the original assessor at the meeting to provide more background detail or family history could help the CAF panel. It could also have the potential to help the assessor, in being present, to understand the rationale behind the agreed intervention and way forward. Obviously opening up CAF attendance in this way could lead to logistical issues but could also lead to a fuller discussion with any additional points of clarification being able to be addressed immediately.

8.6.15 It should be remembered that the CAF process is voluntary in nature and this does lead to positive and negative issues. At its expert jury day, the committee, noted that there can often be a difference of opinion between the professional and the family, with families or individuals not seeing the problem in the same way or even thinking that there is no problem. Families can often have a general sense of fear of engagement arising from the thought that their children could be taken into care. The expert jury day highlighted the importance of building trust and relationships between families and professionals. There is a lack of confidence from families in taking those initial steps to accessing services or activities, sometimes even just entering a building can be a huge barrier. The expert jury day also highlighted to Members the dislike of the message from professionals around how children are best looked after, sometimes these messages or the way they are communicated can be perceived as nosey or obtrusive.

8.6.16 On the positive side the CAF process should allow for a seamless access to support and service intervention. Some of the chief aims of the CAF process are to eliminate duplication, repeat interviews for information and ultimately through single or multi-agency approaches improve outcomes for individuals and families. This

process should remove the feeling of being pushed between services and lead to quicker improvement of outcomes for the people involved.

- 8.6.17 There is a danger that a number of inappropriate referrals are still being made to the safeguarding service as there is that blurring around those children with multiple needs and those with need of immediate care and protection. This is illustrated on the continuum of needs, as well as being identified in the model below as the edge of care. In some cases a child, young person or family will go through a number of transition points on their journey to having their needs met. For example, a child, whose needs do not respond to services provided under Tier 1, may need to receive a more coordinated response within Tier 2. Similarly, a child in Tier 2 whose circumstances and situation do not improve sufficiently may need to receive the specialist assessment and support provided at Tier 3. It is important to recognise that children often move in either direction from one tier of need to another and that many agencies, including universal services, offer support at more than one tier. It is important that the threshold guidance is one that is clear, concise and communicated to all agencies and as already reported that there is a point of contact for advice and guidance to ensure the correct assessment is made.

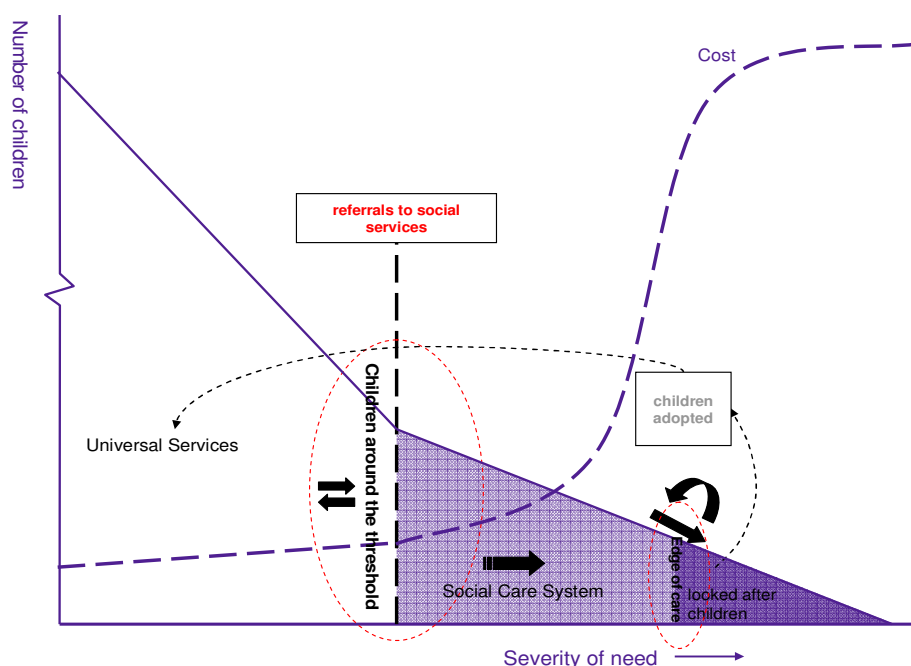


Figure 3: DfE Model of the Severity of Need
Source: Department for Education

- 8.6.18 In speaking with DfE representatives around the national perspective on the common assessment framework it was noted that there appeared to be a huge variety in relation to the CAF process across the country. It was also noted that the DfE reported that there was currently no major national research or review work being undertaken in relation to the CAF process.

8.7 The Team Around the Child/Family

- 8.7.1 The Team Around the Child/Family (TAF/C) model has been developed in response to the need for joined up services and the need to provide a more integrated approach within existing resources. The aim is to reduce duplication and support a

common service delivery approach which continues from, and compliments the CAF process. A TAC/F aims to plan actions around the child's identified unmet needs through an agreed written TAC/F plan.

8.7.2 The Team Around the Child/Family brings together relevant practitioners with the family to address a child, young person's or families needs. The team works together to plan co-ordinated support from agencies to address problems in an holistic way. It is important that parents have an active role in the TAC/F and their contribution is recognised as they have a central role in meeting the needs of the child. Parents may require support to achieve this due to their own potentially unmet needs.

8.7.3 The function of the TAC/F includes:

- reviewing and agreeing information shared through CAF;
- planning and agreeing actions with timescales;
- identifying solutions, allocating tasks and appropriate resources;
- agreeing a Lead Practitioner;
- monitoring and reviewing outcomes with timescales;
- reporting, as required, to other review meetings or resource panels; and
- identifying gaps and informing planning and commissioning.

8.7.4 The membership of the TAC/F will almost certainly change as the needs of the child and family change, moving through the continuum of needs. The TAC/F operates as a supportive team, rather than just a group of practitioners and parents. In this way there is direct benefit to parents who have new opportunities to discuss their child and family issues with key practitioners all in one place and to practitioners who might otherwise feel isolated and unsupported in their work with a child and their family.

An Example of CAF through Team Around the Family

A CAF submitted on child Y, from school. The concerns were in relation to Y's attendance at school and disruptive behaviour in the family home. Y had been diagnosed with ADHD and had started medication. The CAF requested assistance with getting Y to school, support for the mother and behaviour support intervention.

Before the case was submitted to the panel the coordinator recognised the surname and found that CAF's had been submitted from separate schools on Y and sibling Z, both had similar issues and needed their cases to be joined up rather than dealt with separately.

At the panel both Y and Z were discussed. A Team Around the Family was convened including Y and Z and their mother.

Continued on page 19

The initial TAF took place 3 days after the panel date. It was attended by all agencies. Both Y and Z and the family's needs and strengths were discussed in full with an action plan being drawn up. It became apparent that Y was copying Z's behaviour and mother was struggling with parenting, especially in relation to school attendance.

4 weeks later Y has full school attendance; his behaviour has improved and is making progress. Z has managed to put school uniform on and walk out of the house, but still becomes anxious. Z does a little more each day and support work is ongoing. Parenting and other support is also ongoing.

The case is to be reviewed again in one month by TAF.

These two cases although submitted separately and from different schools show how the panels work well at bringing together a family approach. The TAF's were convened quickly and progress is being made with the whole family.

Source: Sunderland City Council Children's Services

- 8.7.5 The multi-agency approach through the TAF/C can help to reduce the repetition for families and once initiated can move very quickly to respond. One of the main advantages of the TAF/C is its ability to bring various practitioners together with their knowledge and skills to produce better outcomes for families. This was reinforced at the expert jury day where it was highlighted that previously families would be working with only one professional and this had the potential for a number of associated issues to be overlooked.
- 8.7.6 However with any new model or way of working there are cultural changes that need to happen. Members recognised that some staff were still new to this approach to working and it was taking time for them to see the benefits of working in different ways. It was acknowledged by Members during evidence gathering that this style of integrated working can mean that some professionals are working out of their own comfort zone which does have merits and disadvantages.
- 8.7.7 Throughout the evidence gathering process Members recognised the importance of the Team Around the Family/Child as pivotal to multi-agency early intervention. Having all the agencies and key professional around the table was viewed as paramount to successful outcomes for individuals or families. At the expert jury day Members were informed that certain services were 'opting out' of the TAF/C panel meetings as some services or professionals were of the view that this was additional to their current sphere of work. Some agencies had also questioned what their involvement would be and had expressed capacity concerns. It was also noted that many key agencies and partner organisation contribute very well to the CAF and TAF/C process, but there are issues around capacity and the independence of the Chair of TAF/C panels. It was recognised by Members that partners should be encouraged to take more responsibility in the chairing role as this model develops, and with the progress in locality based working there was an opportunity to enhance this and partnership working even further.

- 8.7.8 Members agreed that it was important that further awareness raising was undertaken with key stakeholders, professionals and local communities to ensure engagement in the process and compliance with attendance at TAF/C panel meetings. The local authority acknowledged the lead role that it took in the whole process and there was a danger that this could lead to partners becoming over reliant on the local authority in this process. It was interesting that when speaking with a parent currently undergoing intervention through a TAF that the parent had no prior knowledge of the CAF process or how to make a self assessment. It was only by contacting a partner agency that this particular parent was made aware of the CAF process and an assessment undertaken. The expert jury day also highlighted the importance of partners having full involvement and fulfilling their roles and responsibilities rather than relying on council capacity. Members noted that the whole process was to be re-launched with awareness in 2012 and this would be an opportune time to remind partners and agencies of their role in the early intervention agenda.
- 8.7.9 The aim of the TAF/C is to involve all agencies and partners in the process and it was identified that a number of voluntary sector organisations were involved in this agenda. The voluntary sector is ideally placed within the community to play an important role in early intervention for not only do they have local knowledge and experience, but are also trusted and have a strong relationship with local communities, families and individuals. It will be important to look at how the local authority can continue to encourage those agencies already involved as well as looking at opportunities to engage further with the voluntary and community sector. At the expert jury day it was reported that a number of local voluntary agencies appeared to be unaware of the CAF and TAF/C processes and it was important in any re-launch to ensure that such organisations were aware of the process and support available for members of their community.

8.8 Locality Based Services

- 8.8.1 The ways of working to support children and young people have changed and developed over the years. This has been in response to both local and national drivers and has often included a move to more localised service delivery e.g. Children's Centres. This way of working has resulted in significant benefits to children, young people and their families and opportunities to extend local ways of working have been implemented across Sunderland.
- 8.8.2 Locality based integrated teams have been developed, with localities co-terminus with Sunderland City Council regeneration areas, in order to support identification of needs and delivery of services which are differentiated according to the needs of the local community. The 5 Locality Based Integrated Teams form the Early Intervention and Locality Services group, which came into being in autumn 2011. The teams currently include practitioners from Attendance, Children's Centres, Connexions, Educational Psychology, Risk and Resilience (Teenage Pregnancy, Substance Misuse and Crime Prevention) and Youth Development.
- 8.8.3 It was recognised at the expert jury day that the development of locality teams was an incredible move forward, meaning that families had services on their doorsteps and had in effect created a one-stop shop for families. This closer working relationship between services from universal, targeted and specialist providers was seen as essential for high quality, accessible support to families. It was also recognised that this integrated working approach promoted cooperation and

collaboration as well as potentially empowering communities to generate resilience and creativity.

- 8.8.4 One of the key barriers identified at the expert jury day was around the access to services and support. A number of early intervention programmes that are available including training courses were held in various parts of the city, getting there was identified as problematic for low income families with limited resources. It was hoped the development of the locality based services would reduce the need for families to travel across the city to access services as many of these interventions and support programmes would be available in their own area.
- 8.8.5 Professor Munro's report also acknowledges the benefits of locality teams and reports that many welcome the opportunity to consult such a team and access social work expertise and discuss how best to help children. Professor Munro also recognises that these multi-agency teams are relatively new and are taking a number of forms but they are proving to be more efficient than previous arrangements⁴.
- 8.8.6 Members also encountered multi-agency working in practice on their visit to the XL Youth Project on Friday 17th February 2012. The XL Youth Villages model has offered provision of 110 summer youth villages, and 50 winter youth villages, a total of 160 youth villages per annum offered city wide. This model of delivery proved very successful engaging over 3,000 young people. However as the project developed some youth village sites were identified as less successful due to location and the youth population demographics of the area. The model needed to be more flexible to meet the differing needs and youth cultures in communities. A new winter delivery model was piloted in 2011/12, moving from a static provision to a more mobile/responsive one which also accounted for the needs of the local community. Developing this winter model will see XL Youth Village events increase in size and allow for young people to access more activities and resources. The XL outreach model will also continue to work with real time intelligence to engage young people that will ultimately inform the area operational groups to help better direct service delivery.
- 8.8.7 In visiting a number of XL Youth Projects across Sunderland Members saw the collaborative working that was taking place between a variety of agencies. In particular how this youth intervention was being targeted at 'hotspot' areas based on police intelligence around anti-social behaviour and residents complaints. Members in conversation with local police officers saw how targeting troubled areas had reduced the levels of anti-social behaviour and the number of incidents reported. The youth workers would canvas local residents before, during and after intervention and this would be used to gauge success.
- 8.8.8 Members also saw how the XL Youth Project interacted with young people on tackling a number of issues including smoking, drugs, alcohol and sex and relationship education. This could be illustrated by every young person accessing the XL Youth Projects being routinely breathalysed and only able to access activities within the project if they had passed the test and were sober. It was interesting to note, in conversation with the project coordinator, that on the first couple of weekends in a locality a number of young people would fail the test but over the ensuing weekends the fail rates would reduce as more young people accessed the XL project. This illustrates how locality working and intervention can

⁴ The Munro Review of Child Protection. Department for Education. May 2011

help in reducing issues within an area. Members also saw how such projects ran a number of courses over the weeks dealing with specific issues around smoking cessation, alcohol and drug abuse. The XL youth project was also a spot for issuing the C-Cards and providing young people with access to condoms, and promoting the message of sexual health and responsibility. All of this work contributes to giving young people information and advice that can help them to make better informed choices. It was also noted that all youth workers involved with the XL Youth Project had been trained to complete the CAF form and it was noted that youth workers had completed a number of assessments.

- 8.8.9 Members saw a number of projects in a number of settings and it was clear to see the different styles and challenges that presented themselves at the various locations. Members welcomed the new style of a more responsive delivery model and hope that this could help to tackle the variations witnessed in participation across the city, and in particular with the use of the mobile units. It was noted that detached youth workers would work in the area and signpost young people to the XL Youth Project site. The project was also looking at breaking down the territorial barriers that existed in areas. All the provision was linked to prevention work and looking at providing advice and guidance for young people on a number of health and wellbeing related issues. The XL Youth Villages also provided a setting for young people to be comfortable and develop relationships with youth workers which could result in the highlighting of issues which could be signposted to further or additional support.
- 8.8.10 One of the major barriers identified was around communication of what is available. It was identified at the expert jury day that families are often unaware of the services available and there needed to be better signposting to this support and help. Members were informed that Children's Services was currently developing and implementing a communications strategy to ensure that the early intervention offer is known and understood across the whole range of providers and service users. Members also discussed with a locality based team the way to communicate this to local people and a number of ideas were discussed including social media, the community newsletter, websites and using partner agencies. Members also suggested that it would be beneficial to extend this to local Magistrates.
- 8.8.11 Children's Services were also continuing to work with a range of partners, particularly within health and the voluntary and community sector to bring more services under the locality based banner and ultimately extend the continuum of support and the early intervention offer. Children's Services are developing an action plan based on the recent peer review and Ofsted inspections and it was recommended that this action plan would be routinely presented to the scrutiny committee to monitor progress and developments in this area.
- 8.8.12 Professor Munro also adds a final note of caution stating that in that some cases of abuse and neglect are well concealed and the surface problems within a family look benign. However there is a limit to how thoroughly family life can be scrutinised⁵. It can be argued that the multi-agency approach can help to reduce this even further by ensuring that all agencies coming into contact with young people and families are able to spot the signs and issues. Families will perhaps drop their guard or façade when the Gentoo plumber is in the house, acting more naturally, as opposed to if it was a social worker. Providing the support and training are available this can only prove to be an extremely effective approach.

⁵ The Munro Review of Child Protection. Department for Education. May 2011

8.9 Funding Intervention

- 8.9.1 In discussions with DfE representatives Members of the Committee acknowledged that all local authorities faced difficult decisions in prioritising funding in light of spending reductions. It was also noted that some of the funding mechanisms had perverse incentives, in that local authorities were penalised for performing well resulting in funding reductions. At the expert jury day it was reported that funding was a real issue for many projects aimed at supporting young people and their families. A number of projects are currently funded through the local authority and with spending pressures at a premium there were real issues around the sustainability of some of these projects.
- 8.9.2 The Government has launched the new Early Intervention Grant (EIG), a non ring-fenced funding stream to allow freedom at a local level to support early intervention in the early years and on through the age range. Local authorities across England have been allocated part of £2,232 million grant in 2011-12 and a further share of £2,365 million in 2012-13 for support activities around the child and family. It should be noted that the new EIG does replace a number of existing grants and funding streams, and is a lower total value than previously. A full list is detailed at **appendix 1**.
- 8.9.3 In speaking with the DfE social investment and social impact bonds were discussed as a potential way of funding early intervention. A social impact bond was defined as a contract between a public sector organisation and a third party investor in which a commitment is made to pay for improved social outcomes that result in public sector savings. The expected public sector savings are then used as a basis for raising investment for prevention and early intervention services that improve social outcomes. The broad benefits of such financing are that:
- (a) more funds are available for prevention and early intervention services;
 - (b) the public sector only has to pay for effective services; the third party investor bears all the risk of services being potentially ineffective;
 - (c) there is an incentive to be as effective as possible, because the larger impact on the outcome, the larger the repayment investors will receive, and
 - (d) the Social Impact Bond approach imbeds vigorous ongoing evaluation of program impacts into program operations, accelerating the rate of learning about which approaches work and which do not.
- 8.9.4 In MP Graham Allen's report⁶ it is highlighted that the most advanced social impact bond is in Peterborough, with the Ministry of Justice, Big Lottery Fund and Social Finance of the not-for-profit offender rehabilitation charity St Giles Trust to reduce re-offending rates. The Peterborough outcome based contract specifies:
- (a) the intermediary targets are based on 3,000 adult offenders sentenced to less than 12 months in custody discharged from Peterborough prison;
 - (b) the services are provided to three cohorts of 1,000 offenders, one after the other over up to six years;
 - (c) the intermediary will raise around £5 million of finance from investors;

⁶ Graham Allen MP (2011) Early Intervention: Smart Investment, Massive Savings. HM Government

- (d) the Ministry of Justice will pay the intermediary a fixed unit outcome payment for each reconviction avoided within a cohort, providing reduction within cohort equals 10% (using a control group to measure reconviction impact);
- (e) outcome-based payments will be adjusted for economic shocks;
- (f) returns will be capped at £3 million (above the original £5 million investment), and
- (g) should the intermediary fail to deliver at least a 10% reduction in any cohort but still reduce reconvictions by 7.5% across all three cohorts, the Ministry of Justice will make a smaller payment to the intermediary.

8.9.5 The main issue with this style of financing is around attracting investors into the scheme. The Peterborough project has attracted private philanthropists and charitable trusts including the Esmée Fairburn Foundation, the Henry Smith Charity and the Friends Provident Foundation to name but a few. However there are no private investors. The government has indicated that it wants social impact bonds to appeal eventually to pension funds and other big institutional investors. But the reality is that they are likely only to appeal in the short-term to philanthropists and then to smaller investment funds and private banks, which are more able to take risks.

8.9.6 In a similar vein to the Social Impact Bond comes the Troubled Families Programme whereby the government has made £450 million available to local authorities in a drive to turn around the lives of some 120,000 problem families nationwide. Government figures show that troubled families cost an estimated £9 billion a year or £75,000 per family. Sunderland is estimated to have 805 so called troubled families based on indicative numbers from government research. It was recognised Sunderland was developing a much broader programme around a strengthening families model which will look to build family resilience and focus on the positives rather than negatives. The £450 million funding actually equates to the Government offering up to 40% of the cost of dealing with these families to local authorities - but on a payment-by-results basis when they and their partners achieve success with families. The remaining 60% will come from budgets across the range of local bodies. For the first time, the Government has outlined the headline goals and how success will be measured with the following, straightforward, criteria:

- (a) children back into school;
- (b) reduce their criminal and anti-social behaviour;
- (c) parents on the road back to work, and
- (d) reduce the costs to the taxpayer and local authorities.

8.9.7 The new programme will also fund a national network of Troubled Family 'Trouble-Shooters' who will be appointed by local councils. The trouble-shooters will oversee the programme of action in their area. Their responsibilities will include making sure the right families are getting the right type of help, that sanctions are in place when needed, and that positive results are being achieved with the troubled families in their area.

8.9.8 Similar to the Social Impact Bonds this new project must be able to identify the factors that improve a family's life and these improvements must generate sufficient savings for local authorities. Any savings have to be 'cashable' meaning that they are able to be turned into genuine cash that can be used to pay back investors and re-invest in other services and support.

8.9.9 Social investment, social impact bonds and similar style financing are not a 'magic bullet' for early intervention. Some projects will naturally lend themselves more to social investment than others, i.e. ones with clear outcome measures that can deliver definable cashable savings primarily to a single commissioner. Although Social impact bonds can provide the extra funding that commissioners need in transition from late to early intervention, however the need for later interventions will not disappear. Social investment needs to be weighed against other sources of finance by commissioners given the extra costs involved in a Social Impact Bond compared to internal finance. There needs to be a sufficient transfer of risk to reflect the increased costs of external finance. Also the discipline and data requirements of a Social Impact Bond can help commissioners to better understand the costs and benefits of early intervention activity and its value for money compared to more costly later interventions.

8.10 Measuring outcomes and impacts

8.10.1 The very reason for early intervention is to put support in place to help young people and families at the earliest point to improve their outcomes and life chances. Equally as important though is to understand what interventions work and how successful they ultimately are. It can often be difficult to judge the impact on a family from an intervention that prevents an issue from manifesting itself in the first place, how can anyone be sure that this was as a direct result of the intervention. The report has highlighted the CAF process, through the Team Around the Family/Child to locality based services which all play a huge part in the early intervention agenda and robust success measures are also essential to a whole system approach to early intervention.

8.10.2 In discussions with the DfE, Members identified the key characteristics of successful measures. These were:

- (a) Avoid risk of perverse incentives – those incentives which have an unintended and undesirable result which can be contrary to the interests of the incentive makers;
- (b) Be simple and meaningful and under the control of those who are held accountable for them – measures that are common across all services which could simplify the data collection;
- (c) Incentivise partnership working and data sharing;
- (d) Contribute to benchmarking;
- (e) Be meaningful for users of services, and
- (f) Be outcome measures, but if not, be as closely linked as possible to outcomes.

8.10.3 The CAF process can identify improvements for the child and the family and can often go beyond the direct recipient of support and lead to positive impacts on parents, siblings and the extended family. The key way of gathering such information is through gathering the views of practitioners, parents and young people and can include factors relating to home life, engagement in education, improved behaviour, resilience and emotional health and development.

8.10.4 Recently conducted research⁷ has identified a number of short term and long term negative futures that have potentially been avoided by early intervention support. These included:

- (a) poor educational outcomes, including becoming NEET or poor school attendance;
- (b) emotional health difficulties;
- (c) referrals into social care, including the prevention of long term foster or local authority care;
- (d) police, youth offending services and youth projects, including youth inclusion programmes, prevention of anti-social behaviour and possible imprisonment;; and
- (e) uncoordinated multi-agency working.

8.10.5 At the expert jury day it was acknowledged that it can be difficult to measure outcomes but by gauging starting, intermediate and finishing points through the responses of various stakeholders there is an opportunity to see the impact and measure outcomes. In Sunderland the evaluation of the impact of interventions on outcomes for children, young people and their families is undertaken through the use of the “Outcomes Star”. The Outcomes Star was originally developed by Triangle Consulting in the homelessness sector but has since been developed and utilised in a host of sectors. Parental perceptions of the child or young person from a number of dimensions including education and learning; emotional, social and behavioural development; family and social relationships; health; wider community and environment are measured at the initial TAF meeting and further elicited at a number of points during the life of the Team Around the Family. These are illustrated graphically on the “Outcomes Star” and given numerical values according to detailed guidance. This allows progress to be measured, recognised and celebrated. Analysis of data from “Outcomes Star” evaluations is used to identify both service contribution to positive outcomes and any gaps in services.

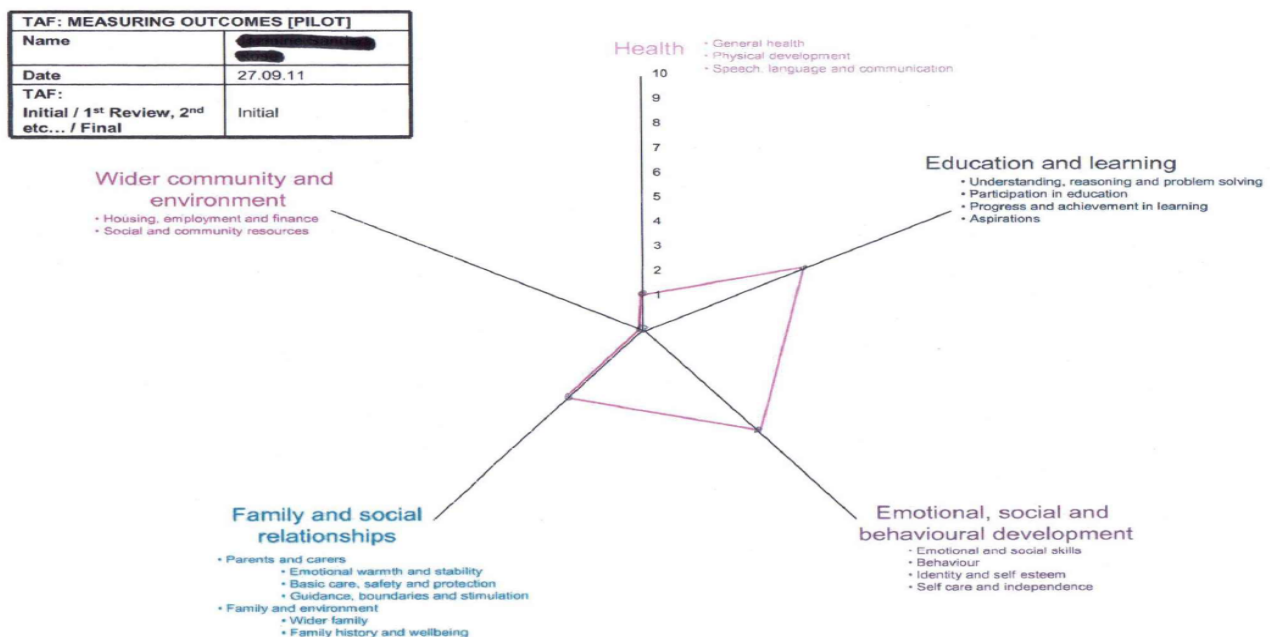


Figure 4: Example of an Initial Outcome Star
Source: Sunderland City Council

⁷ Easton, C., Gee, G., Durbin, B., and Teeman, D (2011). Early intervention, using the CAF process, and its cost effectiveness Findings from LARC3. Slough: NFER

8.10.6 The Outcomes Star is a new approach to measuring change which is underpinned by the principles of empowerment, collaboration and the integration of measurement with the core work of the organisation. One of the main benefits of the Outcomes Star is to focus service users, providers and organisations on positive change. The Outcome Star can also help to increase user engagement through involvement of young people and families in thinking about their own improvement journey.

8.10.7 The Outcomes Star also focuses on the whole person and not simply the issue. Also by its very nature it is extremely visual, making progress very visible and clearly understandable by all concerned. Although it was highlighted to Members that this measure is ultimately more around perspective and opinion of those at the centre of the work. There is also the danger that at times the professional and the child/family may disagree on progress or perceived progress in relation to outcomes. In such cases there arises the potential for conflict between professional opinion and an individuals or family's own thinking on their journey. This is another reason for the forging of strong and trusted relationships between a child/family and a lead practitioner to be able to enter an honest and frank dialogue to resolution.

8.10.8 Also with the development of Social Impact Bonds and Payment by Results the requirement for service providers and commissioners to find ways of measuring change have never been more paramount. There is a danger, already highlighted by conversations with the DfE, that measuring outcomes may focus service providers more on achieving targets for payment rather than looking to develop measuring tools and learn from outcomes.

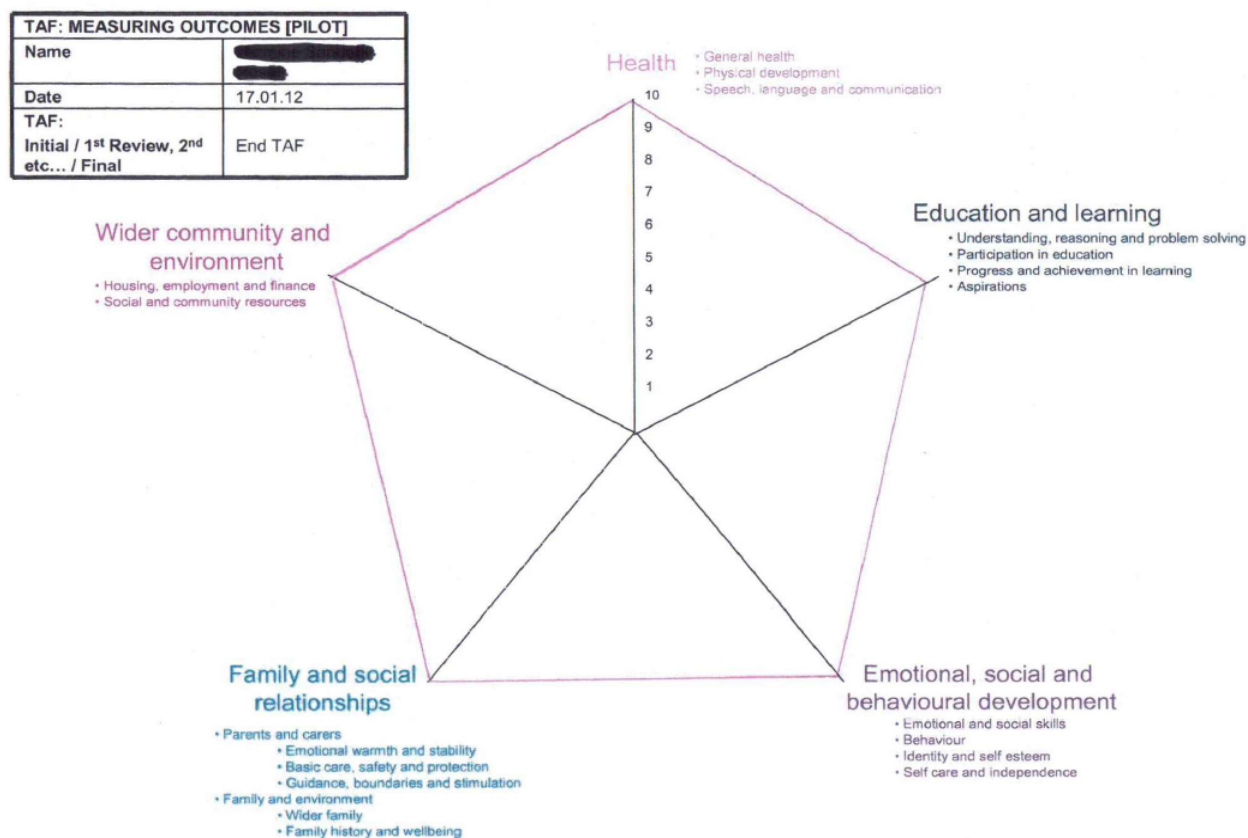


Figure 5: Example of an Outcome Star at the end of TAF intervention
Source: Sunderland City Council

- 8.10.9 It was noted by Members that it was harder to measure the impacts on a larger scale. There are global outcome measures like the Early Years Foundation Stage Profile where increased results can illustrate a general increase in education status. There are also educational attainment measures at Key Stage 2 & 4; however it was unknown how long such measure would remain in light of the Dame Tickell review.
- 8.10.10 In visiting Durham County Council the committee looked at the performance management framework that Durham had designed to focus on demonstrating the impact of early intervention and integrated service delivery. In designing the framework Durham have purposely been simplistic to ensure that staff and service users clearly understand what is to be achieved. The performance management framework sets prescribed input and outcome indicators against key objectives. The key objectives were detailed as:
- (a) Safeguard children and young people in County Durham;
 - (b) Improve attendance at school and participation in activities;
 - (c) Improve health and emotional wellbeing;
 - (d) Undertake effective assessment, and
 - (e) Improve service user satisfaction.
- 8.10.11 The framework also contains a number of HR measures which give the opportunity to assess how well Durham is operating their service and monitors the satisfaction levels of internal 'service users'. These include a number of measures around numbers of staff leaving the service, vacant posts, days lost to sickness and staff survey information.
- 8.10.12 Durham also highlighted the development of targets as an integral part of planning the services they provided. In monitoring progress against targets, Durham highlighted that they were able to demonstrate through performance management and reporting arrangements the affect services were having on improving the lives of children, young people and their families. This single approach had various benefits including:
- (a) a more accurate picture of performance;
 - (b) a clear message to staff about direction, aspirations and intentions;
 - (c) clear focus on what is important;
 - (d) a consistent approach to performance;
 - (e) improved efficiency and effectiveness, and
 - (f) clear illustration of performance to all service users and the public.
- 8.10.13 Durham obviously noted that some indicators had nationally agreed targets or had already been set by lead officers. It was noted that new targets for the integrated service would be set by Area Managers in consultation with Hub Managers, the Head of Early Intervention and Partnership Services would be responsible for signing off all targets for the service.
- 7.10.14 New and innovative measures will play an important part in assessing the success of interventions and support because they have the ability to reflect the real changes achieved and support the aims of services. This is not to say that the more traditional measures around obesity rates, teenage conception rates or smoking are not valid as they also form part of a much wider picture that illustrates the impacts of a wide range of strategies and interventions on the wider community or at more locally focused level.

9. Conclusions

- 9.1 There is no doubting that early intervention can have a profound impact on young people, families and the wider community. Research from both England and the USA illustrates very well these impacts, highlighting the potential savings to public services and other key resources as well as the increased outcomes and improved life chances for those involved. All of these factors demonstrate that early intervention is extremely worthwhile and an important cornerstone in the prevention agenda.
- 9.2 This is further supported by the wealth of publications, reviews, studies and policy drivers that have helped to influence and shape the direction of early intervention over the last couple of years. Despite the variety and angles at which intervention has been tackled by academics, professionals, governmental bodies and politicians it is remarkable that there is a general thread as to what makes for effective early intervention.
- 9.3 It is also appropriate to note that since commencing this review the landscape has changed substantially and continues to do so. A number of key issues including the re-structuring of the Children's Services directorate and the Children's Centres review coupled with peer reviews and unannounced inspections have all added to the momentum carrying this agenda forward.
- 9.4 The CAF process is pivotal to early intervention even though it is voluntary in nature. It is for this very reason that the relationship between practitioner and child/family is so important, there needs to be a building of trust and mutual respect of each other. This is one of the reasons that community settings work so well as being based in the community creates the opportunity to break down barriers and not be seen as part of the corporate centre of an organisation.
- 9.5 The Common Assessment Framework form is an important document and is used to gather a variety of information that can help professionals to ascertain the correct type and level of support required. However the document is lengthy and has the potential to be off-putting, particularly in many of the universal settings where capacity is already stretched. The council has invested in training and support for individuals around the CAF process and this is important. However, there may also be an opportunity to look at the form itself and the potential for re-designing it to a more streamlined and accessible format that can be used in all settings. Further to this it would also help to have a single contact point for potential referrers to seek help and support prior to the submission of a CAF assessment form.
- 9.6 Despite all the training and importance put on this process by the local authority it was surprising to learn there was still a lack of understanding and awareness from agencies and organisations in relation to the CAF process, as well as from parents, families and young people. This can lead to confusion around the thresholds and it is important that a clear message around the process including developments is communicated to the widest audience possible to ensure understanding and compliance from stakeholders. This will be particularly important to universal settings including schools, local medical practices and local community youth settings.
- 9.7 CAF Panel meetings provide the link between initial recognition and actual support for families and individuals. There is an argument that the initial assessor

could be invited to attend the relevant CAF panel meeting and thereby provide clarity or further detail if required about the assessment. Of course this could lead to logistical issues and further pressures on individual's capacity.

- 9.8 The multi-agency approach provided by the Team Around the Family/Child needs to ensure that all the key agencies are engaged and present at such meetings. The local authority takes a very active lead in chairing the process and the majority of TAF/C's whilst the lead practitioner role is undertaken by the appropriate organisation. As with any new process there is a degree of uncertainty around roles and it is important that the local authority ensures that all agencies and partners are aware of their responsibility in relation to this process.
- 9.9 Services based in the local area are acknowledged by leading professionals as being more efficient than previous arrangements. They allow for local people to build up trust and relationships with service providers who are on their doorstep. The importance of this should not be underplayed and by providing services and support in people's local environment can prove beneficial for a number of reasons including the development of relationships, the ease of access and the development of support networks beyond the bricks and mortar of a locality setting. The Children's Centres are a good example of this practice in action.
- 9.10 The XL youth projects are another example of locality based work having a direct impact on young people and providing them with the information and guidance to make more informed choices. The importance of clearly targeted work is apparent with the XL youth project as well as the multi-agency cooperation that is evident. The youth project works closely with the police and community support officers to target youth 'hotspots' and provide activities that not only aim to reduce anti-social behaviour in an area but also provide young people with information around health issues and lifestyle choices. The XL youth projects are also another example of how relationships can be developed and provides another avenue for young people to flag issues or concerns that they may have. Youth workers are all trained in completion of the CAF form and it is another setting that can help signpost young people to support and intervention.
- 9.11 The recent peer review, independent review of CAF and Ofsted inspections around safeguarding and looked after children provide a timely review of processes, procedures and services. The development of subsequent action plans to tackle any areas identified for improvement including that important interface between CAF assessments and safeguarding will prove invaluable to the progress and development of this agenda. The Children, Young People and Learning Scrutiny Committee is one of a number of suitable vehicles to monitor and challenge the action plan over the coming months.
- 9.12 Local authorities face difficulties in prioritising funding in light of current spending reductions. There are however a host of new funding initiatives including social impact bonds and payment by results schemes. Quite how these will sit with local government commissioners of services is open to debate, not to mention what types of investors would look to take the risks associated with such contracts. Clearly there are broad benefits to such financing for local authorities but whether the larger investors would be interested in such opportunities is still unclear. However, as funding reduces still further it will be for local authorities to decide if this route offers additional funding opportunities and enhanced services for users.

- 9.13 Ultimately early intervention and locality based services are about improved outcomes and life chances for young people and their families. Developing effective measuring tools and evidencing impacts and outcomes is an essential element of the whole intervention agenda. Much of the measuring of success and outcomes is around insight from the professional opinion through to the individuals own perception. The outcomes star is a useful tool and can provide a clear illustration of progress and impact.
- 9.14 Taking into account a number of factors and measuring these against tangible outcomes can certainly evidence the case for early intervention. Improved attendance at school or reduced criminal offending can highlight the success of intervention measures and conversely the potential failure of such measures. It is also important to avoid the risk of perverse incentives and therefore simple and meaningful measures under the control of those accountable and easy to collect are the most effective.
- 9.15 It may also be that measures vary from one locality to another to better reflect the issues or concerns of that area. While there is still the need for a general set of targets and indicators, the stripping back of the national indicator set does present an opportunity to look at this in greater detail. This also has the possibility of creating a greater ownership over locally set targets and providing a clear focus about direction, aspiration and intention.
- 9.16 There is clearly a very important role for new innovative measures to play alongside the more traditional measurements of hard outcomes because they have the ability to reflect the real changes achieved and support the aims of the services. They can focus on the much softer issues of social and behavioural development and that all important feeling of improving. The more traditional measures and indicators are still important and used together can create a more complete picture of individual and family progression through identification, intervention, support and achievement.
- 9.17 The DfE noted that there was no research being undertaken in relation to the CAF process and practice across the country varied greatly. It would be interesting and extremely beneficial to local authorities if such work was undertaken. It could highlight areas of good practice, innovative monitoring and measuring tools and provide the DfE with evidence to provide clear guidance on the process in general.

10. Recommendations

- 10.1 The Children, Young People and Learning Scrutiny Committee has taken evidence from a variety of sources to assist in the formulation of a balanced range of recommendations. The Committee's key recommendations to the Cabinet are as outlined below:-
- (a) That the CAF assessment form is reviewed with particular consideration given to a shorter streamlined form which is less onerous to complete;
 - (b) That the option of a dedicated single point of contact for any CAF assessor to contact for support and advice around thresholds prior to completing a full CAF assessment is explored;

- (c) That the CAF assessment process and threshold are considered for a comprehensive re-launch within Sunderland, following any CAF form redesign, and this is communicated to all stakeholders;
- (d) That an effective and coordinated communication strategy is put in place to ensure that future changes to the early intervention offer, CAF assessment process or CAF thresholds can be effectively communicated to all stakeholders including elected Members;
- (e) That further comprehensive training is made available to key stakeholders to provide a clear understanding of the differentials in thresholds between early intervention support and safeguarding;
- (f) That the initial CAF assessor is routinely invited to attend the relevant CAF panel meeting in relation to their initial assessment;
- (g) That locality based teams look to increase their engagement with local partners through the development of more integrated working practices and approaches that promote locality services and the early intervention core offer with local partners and the community;
- (h) That the development of a specific data set of outcome measures for locality based working and early intervention be undertaken by the Directorate with a particular focus on measuring outcomes;
- (i) That the Children, Young People and Learning Scrutiny Committee write to the DfE requesting that they look to undertake research into the CAF process across the country;
- (j) That the Children, Young People and Learning Scrutiny Committee also write to the relevant government department in relation to their general concerns relating to perverse funding arrangements; and
- (k) That the actions arising from the recent independent reviews and Ofsted inspections relating to this agenda are combined into a single Action Plan which is monitored by the Children, Young People and Learning Scrutiny Committee.

11. Acknowledgements

11.1 The Committee is grateful to all those who have presented evidence during the course of our review. We would like to place on record our appreciation, in particular of the willingness and co-operation we have received from the below named:-

- (a) Keith Moore – Executive Director of Children’s Services – Sunderland City Council;
- (b) Sandra Mitchell – Head of Early Intervention and Locality Services – Sunderland City Council;
- (c) Ciaran Hayes – Department for Education;
- (d) Simone Common – Risk and Resilience Service Manager & West Locality Manager – Sunderland City Council;
- (e) Lee Ferry – XL Youth Village Coordinator – Sunderland City Council;
- (f) Cllr Phil Tye – Local Councillor and Volunteer Youth Worker;

- (g) Ros Watt – Parent Partnership Service (PPS) Coordinator – Sunderland City Council;
- (h) Rachel Putz – Locality Operations Manager (Coalfields) – Sunderland City Council;
- (i) Louise Hill – Head of Youth Offending Service – Sunderland City Council;
- (j) Susan Henderson – Red House Academy;
- (k) Lynne Goldsmith – Service Manager (Safeguarding) – Sunderland City Council;
- (l) The Rainbow Family - Washington;
- (m) XL Youth Village Projects in Washington, Houghton, Burnside and Red House;
- (n) Durham County Council, and
- (o) Locality Based Team – Bunny Hill Centre.

12. Background Papers

12.1 The following background papers were consulted or referred to in the preparation of this report:

- (a) Children's Services Cabinet Report Dec 2008.
- (b) Early Intervention: The Common Assessment Framework – Presentation
- (c) Durbin, B., MacLeod, S., Aston, H. and Bramley, G. (2011). *Developing a business case for early interventions and evaluating their value for money*. Slough: NFER.
- (d) Early Intervention: Securing Good Outcomes for all Children and Young People. Department for Children, Schools and Families.
- (e) Easton, C., Gee, G., Durbin, B., and Teeman, D (2011). *Early intervention, using the CAF process, and its cost effectiveness Findings from LARC3*. Slough: NFER.
- (f) Graham Allen MP (2011). Early Intervention: The Next Steps. HM Government.
- (g) Graham Allen MP (2011). Early Intervention: Smart Investment, Massive Savings. HM Government.
- (h) The Munro Review of Child Protection. Department for Education. (May 2011)
- (i) The Marmot Review: Fair Society, Healthy Lives (2010).
- (j) Redesigning Provision for Families with Multiple Problems: an assessment of the early impact of local approaches. York Consulting 2010.
- (k) Durham Pathfinder costs and benefits: A social return on investment approach. York Consulting 2010.

APPENDIX 1

Funding Streams replaced by the Early Intervention Grant

Grant Name	2010-11 Allocation £m
Sure Start Children's Centres	1,135.148
Early Years Sustainability- including funding for sufficiency and access, quality and inclusion, buddying, holiday child care and disabled access to childcare	238.044
Early Years Workforce - quality and inclusion, graduate leader fund and every child a talker	195.701
Two Year Old Offer - Early Learning and Childcare	66.757
Disabled Children Short Breaks	184.647
Connexions	466.732
Think Family	94.196
Youth Opportunity Fund	40.752
Youth Crime Action Plan	11.975
Challenge and Support	3.900
Children's Fund	131.804
Positive Activities for Young People Programme	94.500
Youth Taskforce	4.344
Young People Substance Misuse	7.002
Teenage Pregnancy	27.500
Key Stage 4 Foundation Learning	19.882
Targeted Mental Health in Schools Grant	27.818
ContactPoint	15.000
Children's Social Care Workforce	18.156
Intensive Intervention Grant	2.800
January Guarantee	6.000
Child Trust Fund	1.325
DfE Emergency Budget Reduction	-311.000
Total Grants	2,482.982

Source: Department for Education

Ref	Recommendation	Action	Owner	Due Date	Progress Commentary
(a)	That the CAF assessment form is reviewed with particular consideration given to a shorter streamlined form which is less onerous to complete	•			
(b)	That the option of a dedicated single point of contact for any CAF assessor to contact for support and advice around thresholds prior to completing a full CAF assessment is explored	•			
(c)	That the CAF assessment process and threshold are considered for a comprehensive re-launch within Sunderland, following any CAF form redesign, and this is communicated to all stakeholders	•			
(d)	That an effective communication strategy is put in place to ensure that future changes to the early intervention offer, CAF assessment process or CAF thresholds can be effectively communicated to all stakeholders including elected Members	•			

Ref	Recommendation	Action	Owner	Due Date	Progress Commentary
(e)	That further comprehensive training is made available to key stakeholders to provide a clear understanding of the differentials in thresholds between early intervention support and safeguarding;	•			
(f)	That the initial CAF assessor is routinely invited to attend the relevant CAF panel meeting in relation to their initial assessment	•			
(g)	That locality based teams look to increase their engagement with local partners through the development of more integrated working practices and approaches that promote locality services and the early intervention core offer with local partners and the community	•			
(h)	That the development of a specific data set of outcome measures for locality based working and early intervention be undertaken by the Directorate with a particular focus on measuring outcomes	•			

Ref	Recommendation	Action	Owner	Due Date	Progress Commentary
(i)	That the Children, Young People and Learning Scrutiny Committee write to the DfE requesting that they look to undertake research into the CAF process across the country	The Scrutiny Committee will draft a letter to the Department for Education. The letter will be afforded final approval at a formal meeting of the Committee. Any correspondence and subsequent actions will be communicated through the Committee.	N Cummings		
(j)	That the actions arising from the recent independent reviews and Ofsted inspections relating to this agenda are combined into a single Action Plan which is monitored by the Children, Young People and Learning Scrutiny Committee	The Scrutiny Committee will receive appropriate reports relating to the independent reviews and Ofsted inspection to facilitate a monitoring role in relation to identified actions.			

CABINET MEETING – 18 JULY 2012

EXECUTIVE SUMMARY SHEET – PART I

Title of Report:

Foreign Travel Policy

Author(s):

Chief Executive

Purpose of Report:

The purpose of this report is to agree the Council's policy and associated guidelines on Foreign Travel.

Description of Decision:

Cabinet is requested to:

- consider the contents of this report and agree the proposed Foreign Travel Policy and Guidelines as set out within the report.

Is the decision consistent with the Budget/Policy Framework? Yes

If not, Council approval is required to change the Budget/Policy Framework

Suggested reason(s) for Decision:

The current policy was established in 1999. Since that time, the range of foreign travel undertaken by the City Council has changed. Although expenditure on foreign travel has been reduced in each of the last three financial years, a degree of foreign travel is required to continue to generate benefits for the city in line with the International Strategy. The revised policy and guidelines ensure that the objectives of each individual visit are clear at the outset, that these objectives are achieved and that value for money is secured whilst ensuring the safety of Officers and Members travelling abroad.

Alternative options to be considered and recommended to be rejected:

The alternative option is to not revise the existing policy on this area. The existing policy dates back to 1999. The context for foreign travel has changed significantly since that date and this is not therefore considered an appropriate option.

Impacts analysed:

Equality

n/a

Privacy

n/a

Sustainability

n/a

Crime and Disorder

n/a

Is this a "Key Decision" as defined in the Constitution?

No

Scrutiny Committee

Is it included in the Forward Plan?

No

FOREIGN TRAVEL POLICY

REPORT OF THE CHIEF EXECUTIVE

1.0 Purpose of the Report

- 1.1 The purpose of this report is to agree the Council's policy and associated guidelines on Foreign Travel.

2.0 Description of Decision

- 2.1 Cabinet is requested to:
- consider the contents of this report and agree the proposed Foreign Travel Policy and Guidelines as set out within the report.

3.0 Background

- 3.1 The current policy on Foreign Travel was approved by Personnel Sub-Committee at its meeting of 31 March 1999.
- 3.2 Since 1999, the level and nature of international activity, and associated foreign travel, has increased. This was reflected in the decision to develop an International Strategy for Sunderland. The International Strategy was approved as a Consultative Draft in October 2006 and formally endorsed in October 2008 following the revision of the Sunderland Strategy.
- 3.3 The attached draft Foreign Travel Policy and Guidelines are set within the context of the International Strategy and include sections on: authorisation; travel and accommodation; subsistence; business hospitality; risk management; reconciliation of foreign travel expenditure and reporting arrangements. With the exception of the proposed Checklist for Managers (see 3.3 below), it is proposed that all aspects of the policy apply equally to Officers and Members.

4.0 Current Position

- 4.1 Key changes from the current policy are set out in sections 4.2 to 4.6 below.
- 4.2 Two separate forms have been produced to cover authorisation and subsequent reconciliation of foreign travel, which will be linked by the introduction of a reference number for each visit. They will replace the current 4-page form that combines both aspects. Copies of the completed forms will be held centrally in a file in the Chief Executive's Office and reconciliation will be required within 12 weeks of the visit itself.

- 4.3 A Self-Health Declaration Form has been included for the first time. This follows discussions with the Occupational Health Physician and advice that any new procedure should ensure that the Council is not placing an individual at an inappropriate risk by requiring them to travel due to their individual health circumstances, and can demonstrate that this is the case.
- 4.4 A Checklist for Managers, to be completed by the line manager in conjunction with the individual travelling, is also included for the first time. The Checklist will ensure Managers check all of the appropriate procedures have been followed before the visit and that they, and the travelling individual, have all the appropriate information in place ahead of the visit.
- 4.5 A process for risk assessments for both EU and non-EU travel have been developed. These will be made available on the intranet as set out in paragraph 6.1 of the Policy so they can be adopted for use by any team undertaking such travel, or amended in light of particular circumstances for an individual visit.
- 4.6 Offsetting carbon emissions in respect of flights undertaken is written into the policy for the first time. This is in line with the City Council's commitment to the principles of sustainability and can be achieved either direct with the airline concerned or through reputable schemes on the advice of officers responsible for Sustainability within the Council's Strategy, Policy and Performance Management service.

5.0 Reasons for the Decision

- 5.1 The current policy was established in 1999. Since that time, the range of foreign travel undertaken by the City Council has changed. The City Council endorsed an International Strategy for Sunderland in 2006, signing a Friendship Agreement with Washington DC in the USA in June 2006 and with Harbin in China in May 2009. Within Europe, in addition to its long-standing relationships with its twin towns, the City Council became a member of the EUROCITIES network in November 2007.
- 5.2 Although expenditure on foreign travel has been reduced in each of the last three financial years, a degree of foreign travel is required to continue to generate benefits for the city in line with the International Strategy. An annual report on activity undertaken under the International Strategy is submitted to Cabinet each year and benefits generated between January 2011 and March 2012, including levels of investment and jobs created by overseas companies, were reported to the June meeting of Cabinet.

- 5.3 The revised policy and guidelines has been developed over an extended period and elements of the policy are already in operation. They ensure that the objectives of each individual visit are clear at the outset, that these objectives are achieved and that value for money is secured whilst ensuring the safety of Officers and Members travelling abroad. They also seek to ensure that the Council's duty of care as an employer is discharged to the best of its ability.

6.0 Alternative Options

- 6.1 The alternative option is to not revise the existing policy on this area. The existing policy dates back to 1999. The context for foreign travel has changed significantly since that date and this is not therefore considered an appropriate option.

7.0 Relevant Consultations

- 7.1 The Head of Corporate Assurance and Procurement has been involved in all stages throughout the development of this draft Policy and Guidelines. Discussions have taken place with the Assistant Head of Law and Governance, Head of Transactional Services, Insurance Policy / Underwriting Manager, Occupational Physician and officers responsible for sustainability on relevant areas within the attached draft. The Director of Human Resources & Organisational Development has also been consulted during the development process.

8.0 Background Papers

- 8.1 The following background papers are available from the Office of the Chief Executive:
International Strategy
International Strategy Annual Report (January 2011 – March 2012)

FOREIGN TRAVEL – POLICY & GUIDELINES

1.0 Foreign Travel Policy

- 1.1 In order for all foreign travel to be effective, arrangements for each visit must comply with these Guidelines, which not only provide transparency and accountability but support the International Strategy to ensure that desired outcomes can be achieved on a consistent basis from foreign travel undertaken as part of City Council business.
- 1.2 The underpinning aim of this Policy and set of Guidelines is to ensure that the objectives of each individual visit are clear at the outset, that these objectives are achieved and that value for money is secured whilst ensuring the safety of Officers and Members travelling abroad. They seek to ensure that the Council's duty of care as an employer is discharged to the best of its ability. Travelling abroad does create uncertainty and involve a level of risk. These Guidelines are designed to minimise that risk and uncertainty, and empower the individual travelling to exercise their judgement and discretion responsibly whilst abroad to ensure their activities can be carried out safely and effectively.
- 1.3 The Policy and Guidelines replace earlier guidelines (dated 1999), updating these on the basis of experience in recent years and in relation to other related policies and practice within the Local Authority. The Director of Human Resources and Organisational Development, the Occupational Health Physician of the Council's Occupational Health Unit and the Head of Corporate Assurance and Procurement have been involved in the development of the Policy and Guidelines.
- 1.4 The guidelines will be reviewed on an annual basis by the Director of Human Resources and Organisational Development taking into account changing circumstances and experiences during the previous year.
- 1.5 Flowcharts setting out the various key stages of the process to be carried out before and after travel are included as appendix 12 and 13 respectively. These have been developed to assist with implementation of the policy. They are not, however, a substitute for the full policy and guidelines.

2.0 Authorisation of Foreign Travel

- 2.1 Every occasion of foreign travel must be authorised in advance as follows:
 - a) Mayor – subject to approval of Chief Executive as a designated Civic Duty
 - b) Elected Members – subject to approval of the Leader of the Council
 - c) Leader – subject to approval of Chief Executive
 - d) Chief Executive – subject to the approval of the Deputy Chief Executive or the Executive Director of Commercial and Corporate Services

- e) Officer – subject to approval of the relevant Chief Officer and Chief Executive or Deputy Chief Executive

In any circumstances where flights or accommodation need to be booked in advance of a formal approval this should be authorised by the Chief Executive.

- 2.2 Foreign travel on official business will generally be undertaken only by Officers and Elected Members of the Council with the exception of designated civic duties when the Mayoress or Mayor's Consort will frequently be invited to accompany the Mayor. In these circumstances, both the Mayor and companion (Mayoress / Mayor's Consort) should be named on the FT1 form for authorisation by the Chief Executive. Costs for the Mayor's companion will be met by the Council to cover travel, accommodation and subsistence following the same guidelines for Officers and Members with the exception of the Out of Pocket Allowance for which the companion is not eligible. Generally, companions will not accompany an Officer or Member in carrying out official Council business save where agreed as appropriate or necessary by the Chief Executive, for example, for reasons of protocol in relation to the city's formal international partners. In these circumstances, where a companion is to travel as part of the official delegation at the cost of the Council this must be authorised by the Chief Executive in advance, and by the Leader if it relates to a Member. In these circumstances, the guidelines regarding authorisation and expenses will apply as with the Mayor's companion. If an individual intends to travel with a companion for personal reasons and at no cost to the Council, they must discuss this in advance with their line manager (for Officers) or with the Leader (for Members), who will seek authorisation from the Chief Executive.
- 2.3 The FT1 form (Appendix 3) is to obtain authorisation for all travel. The form requires details including the names of the Officer(s) and Member(s) who are travelling, the reason for the visit, the anticipated benefits of the visit, and the estimated costs for all those travelling (Officers and Members) plus the budget heading from which the costs are to be met. As a starting point, the estimate should include travel, accommodation, subsistence, out of pocket allowances and any conference fees. The number of participants (officers and members) should be kept to the minimum level to meet the needs of the visit with justification in writing eg by email for each participant's inclusion being provided to both the relevant Chief Officer and Chief Executive before the FT1 form is authorised. Where more than one Officer is travelling, a lead Officer from within the group should be identified to co-ordinate arrangements and support Members. Each individual is, however, responsible for ensuring compliance with the Policy and Guidelines in respect of their participation.
- 2.4 The lead travelling Officer must complete the FT1 form which is to be signed by the relevant Chief Officer (including certification that appropriate funds exist to meet the cost of the visit). The original will then be submitted to the Chief Executive, for signature and retained on file within the travelling Directorate. A reference number will be issued and written on each FT1 form by the Chief Executive's Office as it is authorised for monitoring purposes. The original form will remain the primary document for verifying the approval of the travel. For Member travel (excluding travel by the Mayor and Leader for which authorisation is delegated to the Chief Executive), the original will subsequently be submitted to the Leader for signature. A copy of the signed form showing the reference number will be held centrally by the Personal Assistant to the Chief Executive. In any instance where the Chief Executive is involved in a foreign visit, the form will be countersigned by the Deputy Chief Executive / Executive Director of Commercial and Corporate Services.

- 2.5 When foreign travel is to be part financed through an externally funded project, care must be taken to meet the specific requirements of the funder. If these conflict with this Policy, and departure from the funder's requirements will result in additional costs to the City Council (whether in relation to travel, accommodation, subsistence or out of pocket allowances), this must be raised with and authorised by the Chief Officer at the time the FT1 is completed for signature. Guidance should be sought as appropriate from staff in Financial Resources, or through line management channels, to ensure the funder's requirements can be met satisfactorily.
- 2.6 A Self-Health Declaration Form (Appendix 8) must be completed and any concerns resolved before the FT1 form or Cabinet report is submitted for authorisation (see 6.6). Concerns will be resolved in conjunction with the Occupational Health Unit and the individual's GP if necessary. The completed Self-Health Declaration Form for each individual travelling (Officers and Members) must be attached to the FT1 form when it is sent for signature.

3.0 Travel and Accommodation

- 3.1 All travel and accommodation should be booked in accordance with the City Council's procurement practices. At the time of writing, this involves compliance with the central booking system through the corporate Administration service (see appendix 2).
- 3.2 The means and form of travel are changing rapidly. With the growth of low cost airlines and the role of the internet, both the way in which travel is procured and the standards expected in travelling itself have changed dramatically over recent years. This trend is expected to continue and guidelines will be kept under review to ensure that the current circumstances are reflected.
- 3.3 The following are the basic presumptions of all requests for Foreign Travel approval and expenditure:-

- i) Short Haul Flights (5 hours or less) – travel will normally be in Economy / Standard Class with scheduled or low cost airlines

The exception to this rule is when the Mayor travels on Civic Business, in which case Business Class is permitted (if available) for the Mayor, Mayoress/Mayor's Consort and accompanying officer(s) and Member(s). If Business Class is not available, access to airport lounges can be purchased with the prior authorisation of the Chief Executive (in writing eg by email). This should be held on file within the travelling Directorate.

For short-haul flights outside Europe, Business Class may be authorised by the Chief Executive when the visit as a whole is authorised. This decision would be taken on the basis of local conditions and/or the need to meet the requirements of the programme for the visit and/or the demands placed on the traveller(s) in terms of combined flying time within a visit. Agreement should be in writing eg by email and held on file within the travelling Directorate.

- ii) Long Haul Flights - these will be separated into two categories

A) Flights of 5 - 8 hours – travel will normally be in Premium Economy (NB This category will apply to flights to and from Washington DC)

B) Flights of 8 hours or more - travel will normally be in Business Class.

This is based on the duty of care the City Council has for its employees and Members. Whilst at all times the most advantageous cost must be taken into account, the need for staff required to travel for work purposes to be in a position to carry out their duties effectively on arrival, would not normally allow for the use of Economy Class to be recommended over such distances

The flight time refers to the scheduled departure and arrival time for the main flight and excludes short-haul connecting flights. Two connecting long haul flights within category A (5-8 hours) will be classified collectively as category B (8 hours or more), unless they are separated by an overnight stay in which case they will be classified individually.

For long haul journeys involving Premium Economy travel, consideration should be given on each occasion to the relative benefits of day and night flights and a balance achieved in terms of the impact of the travel on the individual(s) concerned, the needs of the programme, and the overall cost. It is recognised that additional recuperation time may need to be built in before and after visits, as well as on arrival, to ensure participants are in a position to carry out their duties effectively both during and following visits.

Where participation in long-haul foreign travel is externally funded and undertaken on a voluntary basis (for example to take part in professional development activity overseas) - rather than for essential Council business – participants will generally be required to travel in line with the funder's requirements. If this specifies economy class, a separate risk assessment will be required for each individual in these circumstances. This should be done at the time of the Self-Health Declaration Form prior to travel authorisation.

Where participation in long-haul foreign travel is externally funded (and only economy class costs can be met due to the funders' criteria) but a requirement is placed on officers / Members to participate to take forward Council business, provision should be made from Council resources by the relevant Directorate to meet the additional costs of premium economy or business class travel depending on the flight duration. This should be clarified prior to the FT1 form being authorised to allow all relevant costs to be included.

Any exceptions to this, including exceptions arising from an individual's Self Health Declaration Form (Appendix 8), should be approved by the Chief Executive. A written record of any such approval eg copy of the authorising email should be held on file within the travelling Directorate.

- 3.4 In booking air travel, care must be taken to ensure that it will be obtained against an agreed standard range particularly where this is outside of the UK and not therefore regulated by the Department for Transport. This standard will ensure minimum quality levels of flight, health and safety, and security are met to protect, as far as possible, the individuals carrying out Council business abroad. The final determinant will be a balance of price and meeting the requirements of the scheduled programme. Procurement will therefore be based on the following:-

- i) Short Haul Flights (5 hours or less)
Any European scheduled carrier, or budget airlines, for example: Easy Jet
Ryan Air, Flybe
- ii) Long Haul Flights (greater than 5 hours)
Any reputable airline, for example: British Airways, Air France, Virgin, KLM,
North West Airlines, Continental

These lists are not exhaustive however and will be annually reviewed. Long haul travel requires more careful timetabling and greater attention to airport location and standards.

- 3.5 In line with the Council's commitment to sustainability, arrangements should be made to purchase carbon emission offsets related to the flights. Carbon offsets can be purchased through schemes offered by the airline selected or, where this is not an option, should be purchased through a reputable carbon offsetting company. Advice will be provided by officers responsible for Sustainability within the Council's Strategy, Policy and Performance Management service.
- 3.6 It is recognised that, depending on both the time of year and the length of time ahead of travelling a booking is made, prices to a particular destination will vary significantly. In order to minimise cost therefore, travel should be arranged as far in advance as is practicable – this is particularly true where fixed events are part of an annual programme. It is acknowledged, however, that booking early in this way may in certain circumstances result in the loss of the total value of the tickets(s) should Members / Officers unavoidably not be able to travel as planned nearer the time.
- 3.7 Public transport should be utilised wherever practical eg train from airport into City Centre. However, it is recognised that it is often both time and cost effective to utilise local taxi services on arrival/departure, or to attend meetings and events depending, for example, on the location, time of day, demands of the programme, and number of travellers. Individual responsibility must be assumed in such a situation when travelling abroad. Individual judgement will be exercised during each visit to ensure that the most efficient and safe means of transport is utilised in the light of local conditions. Receipts should be obtained and retained for all taxi journeys and tickets retained wherever possible for public transport.
- 3.8 In selecting accommodation it is essential that a balance is struck between business-orientated accommodation (for example, where meetings can be held during the visit and where there is access to a business centre), and accommodation which is also of a minimum safety and quality standard for travellers who may be away from home for some period of time and/or travelling alone (for example, with a reception staffed 24 hours a day). The demands of the role when abroad should be taken into consideration and the accommodation selected should be fit for purpose for the nature of the visit concerned. Safety, quality, and cost comparison considerations should all be taken into account.
- 3.9 Where travel or accommodation bookings attract personal benefits which are known to the individual - such as air miles, hotel loyalty points or other advantages - these must be declared on form FT2 (appendix 4) with a yes/no response and name of the scheme(s) concerned. Individual air miles, loyalty points and any related benefits earned on Council business can only be used for personal purposes with the prior written agreement of the

Chief Executive. On request, individuals will provide the Council with details of benefits where these are known to the individual.

- 3.10 As in the case of travel arrangements, accommodation should, as far as possible be arranged well in advance of travel.

4.0 Subsistence

- 4.1 Subsistence expenditure when travelling abroad needs to be handled sensitively. Clearly, limits must be set on expenditure and aligned as close as possible with other allowances determined by the City Council. At the same time, however, recognition must be given to local conditions, which do apply when abroad, particularly when visiting large conurbations.
- 4.2 A standard subsistence rate (non-taxable) will be applied to both Members and Officers who travel abroad and should be complied with wherever possible. This is different to the UK subsistence rate and was last set in 1999. Paragraph 3.2.3 of the Members' Allowances Scheme provides for separate travel and subsistence levels for the Foreign Travel Policy to apply whilst Members are abroad. This will apply to both Officers and Members. Where meals are provided, the equivalent meal rate reduction will be applied when reconciliation of expenditure is completed on page 4 of the form FT2. The current subsistence allowances, including amounts to be deducted per meal provided (whether free of charge, as hospitality, met from Council currency or with the Corporate Purchase Card) are attached as Appendix 1. A copy of the page 4 should be completed for each individual travelling. The remaining pages of the FT2 forms should be completed collectively for the visit as a whole.
- 4.3 It is recognised that there are occasions and geographies where these will not be appropriate or realistic and reasonable additional costs over and above the subsistence rates will be reimbursed.
- i) Where an individual meal costs more than the standard subsistence rate, the Member / Officer will have to provide a receipt for the meal concerned and the additional cost over and above the meal allowance will be reimbursed. Such costs can include the cost of one alcoholic drink with either lunch or dinner. Additional drinks costs must be met by the individual from out of pocket allowances. Where a specific destination or set of circumstances is particularly expensive, recognition will be made within the estimated costs in the FTI form wherever possible.
- ii) Where a meal is part of Council hospitality for a third party then this will be met from the appropriate budget with the budget holder's agreement. When a meal is provided in this way, the appropriate deduction must be made from the day's subsistence allowance.
- 4.4 There is recognition in all of the above relating to travel, that local custom and practice will influence costs. Tipping is an accepted practice in many parts of the world for meals, taxis and portage. It is expected that tipping will be in line with local practice, with no more than 15% of any individual costs allowable, for these purposes. This will be kept under review. Tips should be included on receipts wherever possible, whether payment is from currency or by purchase card. If they are made from currency and there is no receipt, the amounts should be recorded alongside receipted currency expenditure on the currency reconciliation (see page 3 of the FT2 form).

- 4.5 Access to a work mobile phone should be made available for officers taking part in visits abroad and international coverage arranged through the Telecomms team within ICT. This may, for example, mean lending out a team phone where individual officers do not have their own work phone. Remote use of the internet for personal purposes during periods of foreign travel is permissible strictly in accordance with Council policy. The use of work phones and blackberries during visits will be monitored in line with the Council's standard practice.
- 4.6 Out of pocket allowances for both Members and Officers for Foreign Travel will be set at a fixed rate per 24 hours period beginning when individuals arrive overseas and ending at the time of departure for the return journey. The allowance will cover all personal incidental expenses and is taxable. (The current rates, also set in 1999, are attached as Appendix 1.) Out of Pocket Allowances should be included on page 4 of the FT2 form and will normally be paid after the visit has taken place. As in 4.2, a copy of the page 4 should be completed for each individual travelling. The remaining pages of the FT2 forms should be completed collectively for the visit as a whole.
- 4.7 Any expenditure of a personal nature during the visit above these rates will be borne by the individual. If circumstances require the necessity to incur expenditure of a personal nature on the Council purchase card or from the Council currency advance, this will need to be declared on the final page (page 4) of the FT2 form and deducted via Payroll on the Overseas Travel & Subsistence Form (Appendix 5) at the time of the claim (see 4.9).
- 4.8 Foreign currency can be purchased in advance of the visit from the appropriate Council budget in order to meet expenditure such as local travel. This is to be obtained from the Council's bank (Nat West). Authorisation to purchase amounts of over £1,000 must be gained from the Executive Director of Commercial and Corporate Services. Currency should be co-ordinated by the lead officer. Where allocations are made to other members of the delegation from the currency advance, the individuals should be asked to sign to confirm the amount received and that they will return the balance with receipts for expenditure to the lead officer. A sample receipt for these purposes is attached at appendix 11. All expenditure from foreign currency should be recorded and receipted, and summarised on page 3 of the FT2 form. Currency returned unused should either be held in a Council safe for use on a future visit, either by the same team or other areas of the Council, or re-paid to the bank. Due to conversion charges, re-selling currency to the bank is not the preferred option.
- 4.9 Claims should be made within 12 weeks of return and the FT2 form completed and signed off with receipts where applicable. An overseas Travel & Subsistence form (Appendix 5), distinguishing between taxable and non-taxable allowances must be completed by each individual traveller and submitted to Payroll with a copy of the final page (page 4) of the signed FT2 form. This should be authorised in accordance with the Directorate delegation scheme. For Members, authorisation of the overseas Travel & Subsistence form should be obtained from the Head of Law & Governance or designate, in line with delegation arrangements. This form should also include deduction of any personal expenditure which it has been necessary to meet from local authority funds for any reason during the visit as in para 4.7.

5.0 Business Hospitality

- 5.1 This guidance supplements the provisions in the Employee's Code of Conduct and specifically relates only to foreign travel.

- 5.2 It is recognised that, as part of travelling abroad, officers and members will both meet and visit individual companies, business organisations and agencies (both governmental and non governmental) in the course of their activities.
- 5.3 A reasonable amount of hospitality is a normal part of the courtesies of business and civic life. Officers have within their remit a responsibility to improve working relationships with prospective investors and promote the City generally and staff may be required to participate in hospitality as part of their role. This type of activity includes involvement in local events, or socialising outside of normal working hours, usually in the form of breakfast meetings, working lunches and business dinners. In addition, it may involve the giving and receiving of gifts.
- 5.4 It is essential that the best interests of both the Council and its staff are protected and it is important not to create an appearance of improper use of public funds, which could undermine public confidence. Decisions about the level of hospitality or type of gift including civic gifts should be justifiable, reasonable and appropriate. This includes both the provision of business hospitality and gifts and their receipt by Officers and Members as part of this process.
- 5.5 Within form FT1, any element of business hospitality or gifts should be recorded in advance where possible, included within cost estimates and authorised when the FT1 form is signed. This should include the organisation involved, potential numbers and form of hospitality (breakfast, dinner etc) or form/type of gift. Whilst it is accepted that precise numbers may not be given at this stage, there should always be presumption of “no surprises” in terms of the level of business hospitality which is expected to be given or received.
- 5.6 As far as possible, all expenditure relating to business hospitality must be paid for using an official Council Purchase Card (RBS One Card at the time of writing). Similarly, gifts should be purchased in advance or, if not appropriate, purchased using the official Purchase Card. Where this is not possible, reimbursement for these costs will be made. In both cases, the following applies;
- i) Receipts must be provided wherever possible for all expenditure.
 - ii) All sums claimed must be converted into sterling using either the conversion rate valid on the day of return to the UK, or at the rate shown on the individual's credit card bill.

Reimbursement for any other costs met by the individual in foreign currency should be made at either of these rates or the rate at which they purchased their currency.

- 5.7 Form FT2 includes provision on page 2 to record any business hospitality received during the course of the visit. This or any costs met by 3rd parties must be completed as well as the standard Declaration of Hospitality / Gifts form (Code of Conduct Form 7), where appropriate, which must be signed by the Chief Officer and accompany the FT2 form when sent to the Chief Executive. These forms will be treated as set out for FT1 with the original form being the primary document for verification purposes.
- 5.8 Members and Officers are reminded they must comply with any requirements in the respective Code of Conduct in relation to declaring receipt of hospitality and gifts.

6.0 Risk Management

- 6.1 A risk assessment should be adopted by teams involved in foreign travel, including an escalation procedure for use in the event of an emergency. A standard risk assessment covering EU and non-EU travel has been prepared by the International Team. This can be found on the intranet. It is the Line Manager's responsibility to ensure a risk assessment is in place to cover travel by individuals within their service area. Consideration should be given on each occasion as to whether an individual risk assessment is needed, for example in circumstances set out in 3.3.
- 6.2 The relevant controls, as identified within the Risk Assessment, should be put in place as appropriate for each visit.
- 6.3 The Council's Insurance Section must be informed about all foreign travel in advance. A summary of the Council's policy at the time of writing is attached as Appendix 9. Any individual travelling can request more detailed or up to date information on insurance cover from Insurance Section prior to travelling. The lead officer must provide by email the destination and duration of the visit and names of all participants to the Insurance Section in writing and receive confirmation this information has been received and noted. Any unusual activities to be undertaken eg participation in sporting activities should be raised and cover confirmed, in writing, prior to the visit.
- 6.4 All employees are asked to have a European Health Insurance Card (EHIC) before travelling within, or through the EU including, Switzerland.
- 6.5 The lead travelling Officer should prepare an Information Note detailing flight and accommodation information as well as emergency contact details before the visit. This is for reference purposes for the individual travelling and for office use. A template is available from the International Team. A copy should be given to the Line Manager and attached to the Employee Essential Information Form (Appendix 6).
- 6.6 To minimise risk, everyone travelling is required to complete a self-health declaration form (Appendix 8) before the FT1 form is passed to the Chief Officer/Chief Executive for approval, or the Cabinet Report is submitted.(as set out in para 2.7).
- 6.7 Managers should ensure a Checklist for Managers (Appendix 7) is completed prior to every visit. A copy of the Checklist should be completed for each individual travelling. This includes confirmation of the preparation of an Information Note and completion of the Employee Essential Information Form (Appendix 6).

7.0 Reconciliation of Foreign Travel Expenditure and Reporting Arrangements

- 7.1 When the visit is over, the Chief Officer must ensure the FT2 form (all 4 pages) detailing the actual expenditure, and benefits of the visit, is completed by the travelling officer(s). The original (with supporting documents) is to be checked and countersigned by Management Accounting and Budget Forecasting Team within Financial Resources before being signed by the Chief Officer (on page 4) / Chief Executive (on page 1). To facilitate checking by Financial Resources staff, a list of account codes against which expenditure should be coded wherever possible is included in appendix 10.

- 7.2 As with the FT1 form, the original will be retained by the travelling Directorate with a copy being held by the Office of the Chief Executive for reference purposes. Again, the original form will remain the primary document for verification purposes and should be supported with receipts for all expenditure incurred (except in relation to the Out of Pocket Allowance)
- 7.3 Maintaining a central copy of FT forms within the Office of the Chief Executive will enable him to be kept fully informed with regard to foreign travel in particular following up on non-reporting of benefits, assessing the benefits of visits, achievement of anticipated outcomes and comparing actual costs with those estimated.
- 7.4 A more detailed report of the visit should generally be prepared by the lead travelling officer in conjunction with all participants to supplement the summary on the FT form. This should highlight key developments and outcomes in relation to the anticipated benefits, and any follow-up activity required. The preparation of a separate report should be noted on the FT2 form. It should be held on file in the travelling Directorate and shared with the Chief Officer / Chief Executive as appropriate. A copy of this more detailed report does not need to be held in the Chief Executive's Office.

8.0 Appendices

- Appendix 1 Subsistence Allowances
- Appendix 2 Authorised Users for Corporate Purchase Card Bookings
- Appendix 3 FT1 form
- Appendix 4 FT2 form
- Appendix 5 Overseas Travel and Subsistence Form
- Appendix 6 Employee Essential Information Form
- Appendix 7 Checklist for Managers
- Appendix 8 Self-health Declaration Form
- Appendix 9 Personal Accident / Business Travel Insurance summary
- Appendix 10 Guidance on account codes to be used
- Appendix 11 Sample receipt for allocation of Council currency within a delegation
- Appendix 12 Flowchart A – Before the Visit
- Appendix 13 Flowchart B – After the Visit

June 2012

Appendix 1

Subsistence Allowances (Overseas)

The rate for subsistence when travelling abroad is currently £30 per day.

Deductions must be made from the daily rate for meals provided free of charge as follows:

Breakfast: £6.49

Lunch: £8.93

Afternoon tea: £3.52

Dinner: £11.06

The Out of Pocket Allowance is currently set at £22 per 24 hour period, and is taxable.

NB Allowance levels were set in 1999

Appendix 2

Authorised Users for Booking Travel / Accommodation on Corporate Purchase Cards

- Corporate Procurement
- Officers who hold a Council Purchase Card whereby the booking of travel and accommodation has been agreed and activated.
This might be the case, for example, on occasions where the accommodation is not being paid for in advance and where the individual's card is the purchase card which will be used to settle the hotel bill during the visit.
NB The prior agreement of Corporate Procurement needs to have been received. The standard booking request form should still be completed and submitted to the corporate Administration service for their records. The fact that the booking has been already made needs to be clearly shown.

Appendix 3, 4 and 5

FT1, FT2 and Overseas Travel and Subsistence Forms

Attached as separate pdf documents

Appendix 6

EMPLOYEE ESSENTIAL INFORMATION (EEI FORM)

NB Adapted for Foreign Travel. Please attach a copy of the Information Note (see 6.5)

Name: _____

Position: _____

Contact mobile telephone number: _____

Next of Kin: _____

Next of Kin contact no. _____

Appendix 7

CHECKLIST FOR MANAGERS – TO BE COMPLETED PRIOR TO FOREIGN TRAVEL

Visit – Destination and Dates:	
Officer travelling:	
Line Manager:	
Line Manager	please delete as appropriate
Employee confirmed as fit to travel?	Yes / No
FT1 Form authorised?	Yes / No
Copy of Information Note received? (see 6.5)	Yes / No
Copy of Programme for visit received?	Yes / No
Next of kin details received on EEI form?	Yes / No
Mobile phone available for duration of visit?	Yes / No
Travelling Officer	please delete as appropriate
Insurance section advised of visit?	Yes / No
Copy of Information Note to take away? (including flight, accommodation, insurance details, emergency contact numbers etc)	Yes / No
EHIC card obtained (for travel within EEA and Switzerland)?	Yes / No / Not Applicable
Prescription medicines – GP letter / copy of prescription obtained if needed?	Yes / No / Not applicable
Mayor's chains – guidance received from Hospitality and Facilities Manager	Yes / No / Not Applicable
For travel outside of EU	please delete as appropriate
OHU travel kit received?	Yes / No
Vaccinations recommended?	Yes / No
If yes –	* Received / Employee Opted Out

* Individuals should seek advice from their GP regarding their vaccination status prior to travel and arrange to receive appropriate vaccinations. Costs will be met by the authority.

Signed by

Travelling officer		Date:
Line Manager		Date:

Appendix 8

SELF-HEALTH DECLARATION FORM (INDIVIDUALS GOING ABROAD ON BUSINESS) – MANDATORY

Please note:

- This form should be completed by the individual and returned to the Line Manager prior to travel. It is to be attached to the FT1 form requesting authorisation for foreign travel.
- Deliberately giving false or misleading information on this form may put your health and well being at risk.
- If you are unsure whether or not you are medically fit to travel and/or would like any advice or guidance, you can make an appointment to go to the Occupational Health Unit either independently or through your Line Manager
- If you declare that you do not consider yourself medically fit to travel, you may be asked by your Line Manager to see the Occupational Health Unit or provide information from your GP to confirm the position

* If you have completed this form within the last 12 months and there have been no changes to your medical circumstances you do not need to complete this form again (please tick and sign below).

GPs Name / Address:

..... Post Code: Tel. No:.....

(if not registered with a GP please state)

ISSUES WHICH YOU SHOULD CONSIDER BEFORE SIGNING THE SELF-HEALTH DECLARATION ARE:

- Do you have, or have you had, physical or mental health problems lasting 3 weeks or longer in the last 12 months?
- Have you ever had a health problem that may reoccur in the future?
- Are you taking any prescribed medication at present? If 'Yes' is it required to be taken on a strict timetable?
- Do you need any aids or adaptations to carry out day-to-day activities?
- Are you restricted for health reasons from carrying out any specific activities?
- Have you had any serious illnesses, operations, accidents or hospital treatment in the last 12 months?
- Are you currently pregnant or have recently given birth?

SELF-HEALTH DECLARATION

I declare that, to the best of my knowledge, there is no medical reason why I am not fit to travel abroad for business purposes

Signed:	Date:	
Print Name:	* Form Completed within the last 12 months and no changes (please tick)	

Personal Accident & Travel Insurance**Insurer:** Chartis**Policy No:** 0010626165**Period:** 1st April 2012 to 31st March 2013**Emergency Telephone No:** 0208 762 8326 and as per attached list**Cover:** Journeys within UK, European and Rest of the World**Insured Persons:** Any adult and any pupil travelling on an educational excursion

Benefits:	Adults	Pupils	Excess
Medical & Emergency Travel Expenses	Unlimited	Unlimited	Nil
Liability to the Public	£5,000,000	£5,000,000	Nil
Personal Accident:			
§ Death	£ 25,000	£ 20,000	Nil
§ Loss of one or more limbs or eyes	£ 25,000	£ 25,000	Nil
§ Permanent & Total Disablement from gainful employment	£ 25,000	£ 25,000	Nil
§ Temporary Disablement from usual occupation			
§ - Temporary Total Disablement	£ Nil	Nil	Nil
§ - Temporary Partial Disablement	£ Nil	Nil	
Cancellation, curtailment, travel disruption and delay	£ 10,000	£ 10,000	Nil
Baggage (single article limit £2,000*)	£5,000	£ 5,000	Nil
Money (Loss of cash £2,000*)	£5,000	£ 5,000	Nil

*Insurers will cover amounts above £2,000 subject to the Council bearing first 25% loss over £2,000

Main Exclusions:

Intentional self injury, suicide or attempted suicide

Flying as a pilot

Travelling against medical advice

War, Terrorism, Wear and Tear

Note: Loss of money or baggage must be reported to the police.

Subject otherwise to policy terms, conditions and exceptions

This is a brief summary only of the Council's insurance cover. Full details can be obtained from the Insurance Policy/Underwriting Manager, Insurance Section, Room 1.77, Civic Centre, SR2 7DN. Tel: 0191 561 7545, david@walton.sunderland.gov.uk

Appendix 10

GUIDANCE ON ACCOUNT CODES TO BE USED

To facilitate checking of FT2 forms by Accountancy staff, expenditure should be coded within the range of account codes below wherever possible.

G/L Account	Description
46901	Transport - Air Fares - Members
46902	Transport - Air Fares Officers
46903	Transport - Bus Fares/Passes
46906	Other Travelling Expenses
46908	Transport - Foreign Travel - Members
46909	Transport - Foreign Travel - Officers
50213	Subs - Appr - Conf - Officer

RECEIPT FOR DISPERSEMENT OF CURRENCY WITHIN DELEGATION - SAMPLE



OUTGOING VISIT TO _____
DATE
EXPENSES ADVANCE

NAME OF INDIVIDUAL

Received the sum of _____

Date:

Signature:












Witnessed By:






Date:

*Receipts must be obtained for all expenditure and the balance of currency returned to _____ immediately on return to the UK.

FLOWCHART A – BEFORE THE VISIT







Appendix 12




A) Before the Visit						
1. Prior to Gaining Authorisation to Travel						
Self-health Declaration Form completed by all individuals (section 2.7) and returned to the Line Manager (for Officers) and Head of Law & Governance (for Members)		Should any issues be raised by the Self-health Declaration Form these issues should be resolved via OHU / GP		Completed Self-health Declaration Form held by Line Manager for the duration of the visit and can be held on record for a period of 12 months for use in relation to future visits. (For Members the completed form must be held by the Head of Law and Governance)		When individuals are confirmed fit to travel via the Self-health Declaration Form a copy must be returned to the Lead Officer to be attached to the FT1 form prior to Authorisation by the Chief Executive's Office
FT Policy and Guidelines and standard Risk Assessments for Foreign Travel (EU and Non-EU) prepared by International Team to be read		Any exceptions to FT Policy & Guidelines to be identified and raised on the FT1 Form (sections 3.3 and 6.1)				
2. Gaining Authorisation to Travel						
FT1 form prepared by Lead Officer		FT1 Form submitted to Chief Officer, then Chief Executive's Office for authorisation with completed Self-health Declaration Forms. FT1 subsequently submitted to Leader for signature if involves Member travel (excluding Mayor or Leader)		Reference Number Issued by Chief Executive's Office and signed authorisation form returned to Lead Officer (Copy of FT1 form held on file in Chief Executive's Office)		Original signed copy of FT1 Form held by Lead Officer in line with the Council's retention of Financial Records
3. Once Authorisation Has Been Received						
Business Travel Request form submitted to Travel Procurement to book flights and accommodation – along with a scanned copy of the FT1 form (section 3)		Once confirmed flight and accommodation details are received by the Lead Officer hard copies are to be printed and held on record along with the completed FT1 Form				
4. Arrangements Prior to Travel						
Employee Essential Information Form Completed and submitted to Line Manager by all individuals - Head of Law & Governance (for Members)		Completed Employee Essential Information Form to be held by Line Manager/Head of Law & Governance for the duration of the visit.				
Foreign Currency ordered via Nat West Bank and cheque raised via		Foreign Currency collected from Nat West Bank and held securely		Individuals to sign for receipt of foreign currency - immediately		

Form 1 Process		prior to travel		before travel - agreeing to account for expenditure and provide receipts on their return		
Risk Assessment for the individual visit to be prepared if required – the standard Risk Assessment (EU/Non-EU) can be adopted for most visits						
Access to a work mobile phone arranged for officers if they do not already have a Council mobile (section 4.5)		Telecomms Team within ICT notified regarding international access requirement for mobiles / Blackberries (section 4.5)				
Insurance Section notified by Lead Officer re delegation members names, job titles, dates of travel and destination(s) (section 6.3)		A copy of the Insurance details and emergency phone number must be included by the Lead Officer within the Information Note (section 6.5)				
Advice re vaccinations sought from GP (Appendix 7) by individual(s) travelling						
Information Note prepared by Lead Officer (section 6.5)		A copy of the Information Note along with a copy of e-tickets, hotel confirmations and insurance information must be provided by the Lead Officer to each member of the delegation				
Line Manager's Checklist completed for each Officer travelling (Appendix 8) and signed by the individual and their Line Manager		A signed copy must be held by the Line Manager for the duration of the visit				

FLOWCHART B – AFTER THE VISIT

Appendix 13

B) After the Visit						
1. Reconciliation of Costs						
Foreign Currency is to be returned to the Lead Officer for Reconciliation on the FT2 form if distributed to more than one person – with receipts and details of expenditure		Returned Foreign Currency to be stored in Council safe for future visits / repaid back to the bank – record of which should be held by Budget Holder		Expenditure from Council currency reconciled and recorded on a spreadsheet by Lead Officer – summary included on page 3 of FT2 Form		
Expenditure met by Council including copies of invoices / Corporate Purchase Card or credit card bills (redacted) to be attached to FT2 Form by Lead Officer – page 2 of FT2 Form						
Expenditure met in sterling by individuals recorded e.g. travel to airport – page 2 of FT2 Form – and reimbursed using Overseas T&S Form						
2. Recording Benefits of Visit						
Summary of Benefits on FT2 Form completed by Lead Officer – in coordination with other delegation members		More detailed report of visit produced – co-ordinated by Lead Officer				
3. Travel and Subsistence / Out of Pocket Allowance Claims						
Allowances (Subsistence / Out of Pocket) to be claimed set out – page 4 of FT2 Form – 1 copy per individual – amount entered onto individual Overseas T&S Forms		Overseas T&S Forms to be attached to page 4s of FT2 Form and submitted by Lead Officer for authorisation		Overseas T&S Forms authorised by Team Manager / Head of Service sent to Directorate HR Team responsible – a copy must be attached to FT2 Form for record. (NB The page 4 needs to be signed - as in no 5 below - before the T&S form is sent to Directorate HR)		Photocopies of Overseas T&S Forms and Page 4 of FT2 Form to be made by Lead Officer (<i>originals</i> of Overseas T&S Forms along with <i>copies</i> of page 4 of FT2 Form to be sent to relevant HR Office within the Shared Service Centre for payment)

4. Financial Signature						
FT2 Form including all financial evidence (NB photocopies – not originals - of receipts for currency expenditure) to be sent to Financial Resources (Management Accounting and Budget Forecasting Team) to be verified		Signed FT2 Form returned to Lead Officer		Actual cost to be entered into Foreign Travel monitoring spreadsheet held by Financial Resources		
5. Chief Officer + Chief Executive Signature						
FT2 Form sent to Chief Officer to authorise page 4s with Overseas T&S Forms for signature. (NB Cross-reference to no 3 above)		FT2 form to be signed off by Chief Executive. NB within the Office of the Chief Executive the above 2 steps can be combined				
6. After Completion of FT2 Form						
Original FT2 Form to be held on file in travelling Directorate with supporting documents i.e. receipts, copies of invoices etc.						
Copy of completed FT2 Form held on file within the Chief Executive's Office						

Pay Period:	Date:
Input by:	Checked:

Claim for Travelling and Subsistence Allowance (Overseas) For Officers and Members

Name:	Directorate:	Payroll No:
Journey Commenced:	am/pm on	20
Journey Ended:	am/pm on	20
Nature of Duty:		

Committee Minute (or other authority)	Expenses Authorised by
	Team Manager / Head of Service NB A copy of Page 4 of the authorised FT2 Form including Chief Officer signature must be attached

Travelling Expenses claimed: Mileage and Car Parking should be on a mileage claim Please attach all relevant receipts.		Taxable		Non-taxable	
		£	p	£	p
Travel Costs to/from Airport/Departure Point	SUBS				
Subsistence Allowance claimed: (Transferred from page 4 of Foreign Travel Reconciliation Form)		£	p	£	p
Subsistence @ £30 per Day	SUBS				
Less Personal Expenses to offset (including deductions)	SUBS			–	
Out of Pocket Allowance @ £22 per day	SUBT				
Signature of Claimant:		Calculations checked by:			
Date:					

NB An Account Code and Cost Centre only need to be added if the claim is not being charged to the employee's normal Budget Cost Area

Account Code	Cost Centre	Pay Code	Amount	Period	Initial	

FT Ref No.

(to be allocated by Chief
Executive's Office at
authorisation)

Foreign Travel Authorisation Form (FT1)

Team and Directorate: _____

Dates of Visit: _____

Destination (Place and Country): _____

Lead Officer (for coordination purposes): _____

Members Travelling (Name and Role):

Officers Travelling (Name and Job Title):

Reason for Visit:

Anticipated Benefits of Visit:

Relevant key area of activity from International Strategy (please tick)

- a) Forging strong links between the local and international business community – to maintain and attract further international investment, and support local and home-grown businesses to access global market places and compete internationally ☐
- b) Including an international dimension in the City's educational and cultural activities – to increase knowledge and understanding of other cultures, develop welcoming and inclusive communities, stimulate a sense of global citizenship and build the skills needed by employers operating in a global economy ☐
- c) Developing, and exchanging, good practice within international partnerships and networks – to build knowledge within Partnership organisations and improve services ☐
- d) Engaging with EU policy-making and legislation – to influence areas which may impact on the City, and identify opportunities to implement EU policies and initiatives which will benefit Sunderland and its residents ☐
- e) Raising the profile of Sunderland internationally – to influence individuals and businesses in their decisions about where to live, work, visit, study and invest and to support the ongoing development of the City's economy. ☐
- Other (please specify) ☐
-
-

Estimated total cost of visit (inc travel, subsistence, accommodation) _____

Budget Heading(s) from which costs will be met: _____

Please specify the following:

Are all or part of the costs are to be met from external funding? Yes ☐ No ☐

If Yes, please highlight any requirements which differ from the Council's Foreign Travel Policy e.g. class of travel, use of allowances/direct costs for accommodation or subsistence and how they will be addressed

Do you anticipate hospitality costs will be incurred during the visit? Yes ☐ No ☐

If Yes, please summarise

Do the estimated costs include amounts for subsistence above the standard allowances (see FT Policy 4.3)

Yes ☐ No ☐

If Yes, please summarise

AUTHORISATION**Chief Officer Certification**

I certify that the above details are correct and that adequate funds exist within the budget heading detailed to meet the costs of this journey.

Chief Officer - Signature: _____ Date: _____

Chief Executive - Signature: _____ Date: _____

Leader - Signature (if appropriate): _____ Date: _____

NB The FT2 Foreign Travel Reconciliation Form should be completed within three months of this visit taking place

FT Ref No.

Transferred from FT1
form and issued via
Chief Executive's Office

Foreign Travel Reconciliation Form (FT2)

Team and Directorate: _____

Dates of Visit: _____

Destination (Place and Country): _____

Lead Officer (for coordination purposes): _____

Benefits of Visit: (Separate report attached) Yes ☐ No ☐

Original Estimated Total Cost: _____	Sub Totals	Travel	_____
		Accommodation/Meals	_____
		Other	_____
		Total Actual Cost	_____

NB if the actual cost is higher than estimated cost please provide an explanation below:

Please indicate if any entertainment was provided for third parties: Yes ☐ No ☐

If yes please give a brief description:

If the visit was covered by external funding, please confirm that the appropriate claim has been submitted: Yes ☐ No ☐ Not Applicable ☐

If No, please provide a brief explanation:

FT2 form checked by relevant accountancy section

Finance Manager Signature: _____

Date: _____

Completed FT2 form received by the Chief Executive's Office

Chief Executive Signature: _____

Date: _____

Summary of Expenditure Details

– to be completed collectively for all members of the delegation

1. Amounts pre-paid by the Authority (by purchase order or purchase card) – receipts must be provided in all cases

Details	Travel £	Meals/ Accommodation £	Other £
Sub Totals			

2. Amounts paid by individuals and reimbursed on return to UK e.g. local travel to/from airport (please attach a copy of claim form)

[illegible]

If relevant, show contributions from other bodies (name of body and details/amount):

NB - Employee Code of Conduct Form 7 should be completed by each individual for any hospitality and/or gifts received during visit

Foreign Currency Reconciliation

– to be completed collectively for all members of the delegation

Currency in hand from previous visit (if applicable)		
Initial foreign currency advance (if applicable)		<i>Please attach appropriate documentation for purchase of currency*</i>
Further advances from Authority funds during visit (if applicable)		<i>Please attach appropriate documentation for purchase of currency</i>
Total foreign currency taken on visit		
Foreign currency balance at end of visit		
Foreign currency expenditure <div> Travel Meals/Accommodation Other Total </div>	<div>=====</div>	<i>Please give a detailed breakdown on a separate spreadsheet and attach with this form along with copies of all receipts**</i>
Sterling Equivalent <div> Travel Meals/Accommodation Other Total </div>	<div>=====</div>	Please indicate exchange rate used below: £1 =
Currency paid back to bank (if applicable)		Please attach appropriate documentation
Currency on hand for future visits (if applicable)		

Lead Officer Signature:

Date:

Sum in hand verified by:

Date:

*Currency advances can be arranged from Council resources (see section 4.8 of Foreign Travel Policy)

**This should be prepared by the Lead Officer for the Visit on behalf of the delegation as a whole (see section 4.6 of the FT Policy).

Summary of Allowances

– to be completed by each individual member of the delegation

Breakfast £6.49
Lunch £8.93
Afternoon Tea £3.52
Dinner £11.06

Name: _____ Visit Date: _____ Destination (place and country): _____

Date	Please tick individual meals provided so that the appropriate deductions can be made or tick 'all meals provided' if appropriate.				Subsistence (Q £30 per day (non-taxable) £	Deductions for meals provided £	Total amount due to claimant for Subsistence (non-taxable) £	Out of Pocket Allowance (Q £22 per 24 hour period (taxable) £
	Breakfast <input type="checkbox"/>	Lunch <input type="checkbox"/>	Afternoon Tea <input type="checkbox"/>	Dinner <input type="checkbox"/>	All Meals Provided <input type="checkbox"/>			
	Breakfast <input type="checkbox"/>	Lunch <input type="checkbox"/>	Afternoon Tea <input type="checkbox"/>	Dinner <input type="checkbox"/>	All Meals Provided <input type="checkbox"/>			
	Breakfast <input type="checkbox"/>	Lunch <input type="checkbox"/>	Afternoon Tea <input type="checkbox"/>	Dinner <input type="checkbox"/>	All Meals Provided <input type="checkbox"/>			
	Breakfast <input type="checkbox"/>	Lunch <input type="checkbox"/>	Afternoon Tea <input type="checkbox"/>	Dinner <input type="checkbox"/>	All Meals Provided <input type="checkbox"/>			
	Breakfast <input type="checkbox"/>	Lunch <input type="checkbox"/>	Afternoon Tea <input type="checkbox"/>	Dinner <input type="checkbox"/>	All Meals Provided <input type="checkbox"/>			
	Breakfast <input type="checkbox"/>	Lunch <input type="checkbox"/>	Afternoon Tea <input type="checkbox"/>	Dinner <input type="checkbox"/>	All Meals Provided <input type="checkbox"/>			
	Breakfast <input type="checkbox"/>	Lunch <input type="checkbox"/>	Afternoon Tea <input type="checkbox"/>	Dinner <input type="checkbox"/>	All Meals Provided <input type="checkbox"/>			
	Breakfast <input type="checkbox"/>	Lunch <input type="checkbox"/>	Afternoon Tea <input type="checkbox"/>	Dinner <input type="checkbox"/>	All Meals Provided <input type="checkbox"/>			
	Breakfast <input type="checkbox"/>	Lunch <input type="checkbox"/>	Afternoon Tea <input type="checkbox"/>	Dinner <input type="checkbox"/>	All Meals Provided <input type="checkbox"/>			
Please indicate if any personal benefits were obtained (e.g. air miles, hotel loyalty points) Yes <input type="checkbox"/> No <input type="checkbox"/>								
Totals						£	£	£
						Non Taxable		
						Taxable		
Deduction for personal expenditure met from Local Authority Purchase Card or Local Authority Currency (if applicable) – see section 4.7 of Foreign Travel Policy						-£		
Deduction for any personal advance in relation to Out of Pocket Allowances (if applicable)						-£		

I declare that my claim is correct and that where claimed I have actually and necessarily incurred expenditure as indicated. Except as shown I have not made and will not make any claim for travelling or subsistence allowance or any other expenditure in connection with the duties indicated.

Signature: _____ I approve the above expenditure Chief Officer: _____

Please note:

1. Receipts must be provided for all expenditure over and above the amounts claimed as allowances wherever possible. A reason must be given when a receipt is not attached.

2. Expenses claimed on page 2 can relate to cash transactions or payments via individual's own credit card.

3. 'Other expenditure' on travel, accommodation or miscellaneous expenses shown on page 2 should wherever possible be met by the Lead Officer for the visit through an Authority Purchase Card.

CABINET MEETING – 18 JULY 2012

EXECUTIVE SUMMARY SHEET – PART I

Title of Report:

EU Covenant of Mayors – Sustainability

Author(s):

Chief Executive

Purpose of Report:

This report seeks retrospective authorisation for the Leader to participate in the EU Covenant of Mayors seminar, 'Covenant Signatories Meet Business to Convert Plans into Actions', in Brussels on 22 June 2012.

Description of Decision:

Cabinet is requested to:

- authorise participation in the EU Covenant of Mayors seminar and the consequential travel by the Leader to Brussels
- note the range of initiatives within Sunderland in relation to the city's sustainability commitments

Is the decision consistent with the Budget/Policy Framework? **Yes**

If not, Council approval is required to change the Budget/Policy Framework

Suggested reason(s) for Decision:

As a signatory to the EU Covenant of Mayors, engaging with the Covenant of Mayors' Office and EUROCITIES colleagues as a speaker and panel member at this seminar provides an opportunity to raise Sunderland's profile and strengthen the city's influence within the field of sustainability and the low carbon economy. It is important that the City Council engages effectively within appropriate European networks, in line with the city's International Strategy, to identify and pursue the opportunities they can open up for Sunderland.

Alternative options to be considered and recommended to be rejected:

A decision could have been taken not to accept the request to present at this seminar. This would send a negative message about the City's commitment as a signatory to the EU Covenant of Mayors, as well as about its participation in EUROCITIES, and mean that opportunities to strengthen Sunderland's influence in relation to EU policy and legislation, and to develop and exchange good practice in relation to sustainability and the low carbon economy, would be lost.

Impacts analysed:

Equality n/a Privacy n/a Sustainability n/a Crime and Disorder n/a

Is this a "Key Decision" as defined in the Constitution? **No**

Is it included in the Forward Plan? **No**

Scrutiny Committee

Scrutiny Lead Member for Skills, Economy and Regeneration

EU COVENANT OF MAYORS - SUSTAINABILITY

REPORT OF THE CHIEF EXECUTIVE

1.0 Purpose of the Report

- 1.1 This report seeks retrospective authorisation for the Leader to participate in the EU Covenant of Mayors seminar, 'Covenant Signatories Meet Business to Convert Plans into Actions', in Brussels on 22 June 2012.

2.0 Description of Decision

- 2.1 Cabinet is requested to:

- i) authorise participation in the EU Covenant of Mayors seminar and the consequential travel by the Leader to Brussels
- ii) note the range of initiatives within Sunderland in relation to the city's sustainability commitments

3.0 Background

- 3.1 Sunderland has a long-standing commitment to sustainability, which is reflected in the city's Climate Change Action Plan.
- 3.2 The City Council is a signatory of both the EUROCITIES Declaration on Climate Change and the European Union (EU) Covenant of Mayors. Sunderland signed the EUROCITIES Declaration on Climate Change in October 2008 and subsequently, together with all local authorities within North East England, signed the EU Covenant of Mayors in January 2009, committing to carbon emission reductions of at least 20% by 2020. North East England was the first region in Europe where all local authorities signed up to the Covenant jointly.
- 3.3 Information provided by the Covenant of Mayors' Office in Brussels indicates that it has been instrumental in engaging almost 4,000 local authorities and over 100 regions and provinces across Europe in addressing shared energy and climate objectives. They acknowledge, however, that local authorities cannot address the challenges of the transition to sustainable energy alone and that partnership with the private sector and other local stakeholders will be key.
- 3.4 The Covenant of Mayors' seminar on 22 June 2012 therefore aims to showcase the private sector's engagement with European local and regional Action Plans (SEAPs) and prepare the ground for a 'covenant of companies'. It brings together city and private sector representatives during two sessions within the same event. Over 100 delegates are expected to attend the event.

- 3.5 The event takes place during the EU's annual Sustainable Energy Week which runs from 18-22 June 2012. The focus for the seventh EU Sustainable Energy Week is energy efficiency and renewables.
- 3.6 Sunderland was approached to speak at the event in late May as one of five speakers and panel members, and the sole local authority representative, within its session. This followed a visit by a EUROCITIES delegation to the city as part of a peer review exercise focussed on energy in urban transport under the EU-funded Cascade project. Further information on Cascade is included in paragraph 4.4.

4.0 Current Position

- 4.1 As part of its Covenant of Mayors' commitments, the City Council submitted a Sustainable Energy Action Plan in January 2010. This was based on the Climate Change Action Plan the city had already developed and outlined the ways in which the City planned to make carbon reductions in line with the agreed targets.
- 4.2 Sunderland is engaged in a series of initiatives related to sustainability which contribute towards achievement of the targets set out in the EU Covenant of Mayors and the city's Sustainable Energy Action Plan. These include individual initiatives as part of the City Council's own corporate commitments, but also reflect the centrality of sustainability to the city as a whole with creation of a low carbon economy at the heart of the city's Economic Master Plan.
- 4.3 Examples of initiatives across the city include: the Low Carbon Economic Area and Enterprise Zone; the production of Electric Vehicles by Nissan and Smith's Electric Vehicles; the Zero Carbon Futures project, which means the city is now home to one of Europe's leading facilities for training in Low Carbon Vehicle and Electric Vehicle development; flagship buildings such as the Sunderland Aquatic Centre, which was designed to be the greenest 50m swimming pool in the country; a fleet management review undertaken with the University to improve the opportunities for Electric and Hybrid vehicles; and installation of Solar Photovoltaic arrays in a number of the city's schools.
- 4.4 Sunderland is also currently involved in the EU-funded Cascade project, led by EUROCITIES. As part of this project, a delegation of Sustainable Transport practitioners from Sweden (Stockholm), Bulgaria (Burgas), Spain (Terrassa), Poland (Warsaw) and France (Nantes) visited Sunderland for several days in May of this year to take in part in a peer learning exercise. This was focussed on sustainable energy in urban transport, and in particular: transport policy and implementation; the North East Smart Ticketing Initiative; and the Policy Review undertaken on the deployment of low carbon vehicles in the delivery of public services.

5.0 Reasons for the Decision

- 5.1 The request for Sunderland to present at the EU Covenant of Mayors' seminar reflects the city's positive reputation with EUROCIITIES colleagues in relation to sustainability, notably in delivery of the EU funded Cascade project focusing on low carbon transport.
- 5.2 EUROCIITIES provides a strong platform through which to influence EU policy and legislation, exchange knowledge and experience, and develop best practice through dialogue with European Union institutions and fellow cities within the network. As a signatory to the EU Covenant of Mayors, engaging with the Covenant of Mayors' Office and EUROCIITIES colleagues as a speaker and panel member at this seminar provides an opportunity to raise Sunderland's profile and strengthen the city's influence within the field of sustainability and the low carbon economy.
- 5.2 It is important that the City Council engages effectively within appropriate European networks, in line with the city's International Strategy, to identify and pursue the opportunities they can open up for Sunderland.

6.0 Alternative Options

- 6.1 A decision could have been taken not to accept the request to present at this seminar. This would send a negative message about the City's commitment as a signatory to the EU Covenant of Mayors, as well as about its participation in EUROCIITIES, and mean that opportunities to strengthen Sunderland's influence in relation to EU policy and legislation, and to develop and exchange good practice in relation to sustainability and the low carbon economy, would be lost.

7.0 Relevant Consultations

7.1 Financial Implications

Costs for participation will be met from existing cash-limited budgets.

8.0 Background Papers

- 8.1 The following background papers are available from the Office of the Chief Executive:
Invitation from EUROCIITIES and Seminar Programme
Sustainable Energy Action Plan (Climate Change Action Plan)

CABINET MEETING – 18 JULY 2012

EXECUTIVE SUMMARY SHEET – PART I

Title of Report:

Seafront Regeneration Capital Programme Delivery

Author(s):

Deputy Chief Executive

Purpose of Report:

This report seeks approval to the next phase of public realm improvements at Seaburn and Roker, including proposed re-furbishment work to Roker Pier and Lighthouse. The proposed schemes will be funded from the Council's Capital Programme although the opportunity will also be taken to use this as match for appropriate bids for external funding support.

Description of Decision:

Cabinet is recommended to;

- a) Approve the proposed regeneration programme for Roker and Seaburn, to be funded by the £2.85m capital programme allocation between 2012 and 2015.
- b) Authorise the Deputy Chief Executive, in consultation with the Cabinet Secretary, to appoint contractors to deliver future phases of improvements.

Is the decision consistent with the Budget/Policy Framework? ***Yes**

If not, Council approval is required to change the Budget/Policy Framework

Suggested reason(s) for Decision: The phase two improvements at Roker and Seaburn and the restoration of the Roker Pier and lighthouse will continue the delivery of the Seaburn and Roker masterplans as part of the wider Seafront Regeneration Strategy.

Alternative options to be considered and recommended to be rejected:

The alternative option would be to not progress the works. However funding for the project has been secured and the delivery team is progressing the design stages of the project. To carry out the works contractors must be procured following a competitive tender process.

Impacts analysed:

Equality Privacy Sustainability Crime and Disorder

Is this a “Key Decision” as defined in the Constitution?
Yes

Scrutiny Committee

Is it included in the Forward Plan?
No

Seafront Regeneration Capital Programme Delivery**REPORT OF THE DEPUTY CHIEF EXECUTIVE****1.0 Purpose of Report**

- 1.1 This report seeks approval to the next phase of public realm improvements at Seaburn and Roker, including proposed re-furbishment work to Roker Pier and Lighthouse. The proposed schemes will be funded from the Council's Capital Programme although the opportunity will also be taken to use this as match for appropriate bids for external funding support.

2.0 Description of Decision

- 2.1 Cabinet is recommended to;

- i) Approve the proposed regeneration programme for Roker and Seaburn, to be funded by the £2.85m capital programme allocation between 2012 and 2015.
- ii) Authorise the Deputy Chief Executive, in consultation with the Cabinet Secretary, to appoint contractors to deliver future phases of improvements.

3.0 Background

- 3.1 Cabinet will recall that at its meeting in February 2010 it approved the adoption of the Seafront Regeneration Strategy and the Marine Walk Masterplan following a series of public consultation events, and in July 2011 Cabinet adopted the Seaburn Masterplan.
- 3.2 In December 2009 the Council was awarded £1m Sea Change funding, which was matched with £0.5m of the Council's own resources, to deliver a first phase of improvements at Marine Walk, Roker.
- 3.3 A first phase of improvements was also undertaken at Seaburn, largely funded by North Area Committee with contributions from other Area Committees.
- 3.4 The approved capital programme 2012/13 includes an allocation of £1.5m for the seafront. The capital programme sets out that in order to recognise community priorities and help deliver the Council's Seafront Regeneration Strategy a three year improvement programme for seafront is proposed. Improvements works will be designed to generate and support private sector investment in line with the approved Seaburn and Marine Walk masterplans.

- 3.5 In addition to the £1.5m the capital programme 2012/13 also includes an allocation of £1.35m (£0.45m per annum for three years) for Roker Pier and Lighthouse. This funding will address major maintenance works to the grade II listed Roker Pier and Lighthouse including repairs to the Lighthouse and pier structure, resurfacing of the decking and the restoration/ replacement of railings along the pier. Match funding from the Environment Agency, Heritage Lottery Fund and other funding partners will be applied for where appropriate.

4.0 Current Position

- 4.1 Since the funding was approved in the capital programme the Seafront Project Group has commenced the preparation of draft designs and specifications for the:

- (i) Phase two promenade improvements at Seaburn
- (ii) Phase two promenade improvements at Roker
- (iii) Repairs and refurbishment of Roker Pier and Lighthouse

- 4.2 To deliver these improvements it is proposed that £1.5m allocation for the seafront be split between Roker and Seaburn as follows:

- (i) £700,000 Seaburn phase two
- (ii) £700,000 Roker phase two
- (iii) £100,000 additional supporting projects at the Seafront

- 4.3 Match funding – the £700,000 allocated for Seaburn will be used as match funding for a £2m bid to the Big Lottery for Coastal Communities funding. This is covered in more detail in the Seaburn Redevelopment report elsewhere on this agenda.

- 4.4 To ensure best value is achieved a competitive tender process will be undertaken for the public realm improvements and repairs to the pier.

5.0 Reason for Decision

- 5.1 The phase two improvements at Roker and Seaburn and the restoration of the Roker pier and lighthouse will continue the delivery of the Seaburn and Roker masterplans as part of the wider Seafront Regeneration Strategy.

6.0 Relevant Considerations

- a) Financial Implications – The works will be funded from the £1.5m allocation for the Seafront and the £1.35m allocation for Roker Pier and Lighthouse.
- b) Legal Implications – Clause 9.0 Section 2 of the Local Government Act 2000 provides local authorities with a power for the promotion or

improvement of the economic, social or environmental well being of their area.

- c) Policy Implications – The projects forms part of the wider seafront regeneration project which is in line with the objectives of the Sunderland Strategy and Economic Masterplan.
- d) Project Management Methodology – the delivery of the project is via the Council's standard Prince2 methodology.
- e) Sustainability Impact Appraisal – An impact appraisal has been undertaken and is attached in appendix one.

7. Background papers

- Seafront Regeneration Strategy
- Marine Walk Masterplan Supplementary Planning Document
- Seaburn Masterplan Supplementary Planning Document
- Marine Walk Masterplan Appropriate Assessment Screening report
- Sustainability Appraisal of the Marine Walk Masterplan
- Seaburn Masterplan Appropriate Assessment Screening report
- Sustainability Appraisal of the Seaburn Masterplan

CABINET MEETING – 18 JULY 2012

EXECUTIVE SUMMARY SHEET – PART I

Title of Report:

First Capital Review 2012/2013 (including Treasury Management)

Author(s):

Executive Director of Commercial and Corporate Services

Purpose of Report:

This report details proposed changes made to the Capital Programme 2012/2013 since its approval and provides an update on progress in implementing the Treasury Management Borrowing and Investment Strategy for 2012/2013.

Description of Decision:

In relation to the Capital Programme Cabinet is asked to approve, and where necessary recommend to Council, the inclusion of additional schemes and variations to existing schemes for 2012/2013 detailed at Appendix A, as a variation to the capital programme, and

In relation to the Treasury Management Strategy Cabinet is asked to note the positive progress in implementing the 2012/2013 Treasury Management Strategy and Prudential Indicators.

Is the decision consistent with the Budget/Policy Framework? Yes

If not, Council approval is required to change the Budget/Policy Framework

Suggested reason(s) for Decision:

To respond to proposed variations in expenditure and funding which have arisen since the 2012/2013 Capital Programme was approved to enable effective budgetary control to be exercised.

To note the progress in implementing the Treasury Management Strategy for 2012/2013, which is in line with the approved Treasury Management Policies.

Alternative options to be considered and recommended to be rejected:

No alternative options are proposed.

Impacts analysed:

Equality ☒ Privacy ☒ Sustainability ☒ Crime and Disorder ☒

<p>Is this a “Key Decision” as defined in the Constitution? Yes - new capital project detailed at Appendix A estimated to cost above £250,000.</p> <p>Is it included in the Forward Plan? Yes provisionally - in light of content of this report it is necessary.</p>	<p>Scrutiny Committee</p>
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First Capital Review 2012/2013 (including Treasury Management)

Report of the Executive Director of Commercial and Corporate Services

1. Purpose of Report

1.1 This report details:

- reprofiling of projects since the Capital Programme for 2012/2013 was first approved in March and also taking account of the Capital Programme Outturn for 2011/2012;
- the inclusion of additional schemes and revisions to costs and resourcing for 2012/2013 since the Capital Programme Review was approved;
- the progress in implementing the Treasury Management Strategy for 2012/2013.

2. Description of Decision:

2.1 Cabinet is recommended that:

In relation to the Capital Programme, Cabinet is asked to approve, and where necessary recommend to Council, the inclusion of additional schemes or variations to existing schemes for 2012/2013 detailed at Appendix A, as a variation to the Capital Programme, and

In relation to the Treasury Management Strategy and Prudential Indicators, Cabinet is asked to note the positive progress made in implementing the strategy for 2012/2013.

3. Introduction

3.1 During the year additional approvals to incur expenditure are received from government and other agencies with associated funding accompanying those approvals. Accordingly, the Capital Programme changes during the year as notifications of additional schemes and resourcing are received, and phasing of schemes is reviewed. Variations to anticipated expenditure and financing of the 2012/2013 capital programme approved by Council on 7th March 2012 are shown in section 4 of this report. Those variations that exceed £250,000 in value also need to be approved by Council.

3.2 Performance in implementing the Treasury Management Strategy and adhering to the agreed Prudential Indicators is detailed in section 5 along with confirmation that the Council is operating within its agreed borrowing limits.

4. First Capital Review 2012/2013

4.1 Since the Capital Programme was reported to Council in March 2012, there have been some changes required to the programme both in terms of expenditure and resourcing. In total, reprofiling and other adjustments have led to the 2012/2013 Capital Programme increasing by a maximum of £30.073m from £60.251m to £90.324m. This can be analysed as follows:

- Reprofiled expenditure of £7.648m between 2011/2012 and 2012/2013. The primary reasons for this reprofiling relate to external influences outside of the Council's control and were reported to Cabinet on 20th June 2012;
- Reprofiled expenditure of £0.350m between 2013/2014 and 2012/2013;
- Additional fully funded schemes and cost variations notified since the Capital Programme was last reported of £21.880m;
- Technical Adjustments of £0.195m.

Appendix A gives a summary of the changes to expenditure and resources for 2012/2013 with the principal variations set out below:

4.2 Additional Schemes and Cost Variations 2012/2013

4.2.1 Leader

Newcastle International Airport Ltd

The airport is currently seeking to re-finance their existing debt portfolio in advance of the current agreements reaching term. Initial analysis suggests that the overall level of debt which can be secured from commercial banks will be lower than previously obtained as a consequence of the prevailing difficult economic and financial climate. This presents an opportunity for the local authority shareholders to inject additional shareholder funds to support the refinancing on a commercial basis.

At this stage Cabinet is requested to recommend to Council that it approves an increase in the 2012/2013 Capital Programme by a maximum of £20m in order that the Council may participate in the re-financing of the airport. The proposal can be financed through prudential borrowing which has been provided for within headroom included in the approved Treasury Management Strategy/Prudential Indicators for 2012/2013 in March 2012 and by temporary use of internal resources to maximise the financial position for the Council.

It is envisaged that the interest and dividends receivable over the course of the financing period will compensate for any additional costs of borrowing incurred by the Council on a worst case scenario basis and that as such the transaction is expected to be at least revenue neutral.

A full business case for the potential transaction will be considered at a future Cabinet meeting.

4.2.2 Attractive and Inclusive City

Local Transport Plan

The 2012/2013 programme has been increased to reflect the successful outcome of the following grant applications :

Better Bus Area Fund

A grant of £0.420m has been awarded by the Department for Transport in respect of Borough Road Bus Improvements (£0.360m 2012/2013 and £0.010m 2013/2014) and for the provision of Intelligent Transport Systems to 5 key bus corridors (£0.050m in 2012/2013) .

Local Sustainable Transport Fund

Funding of £0.952m has been approved by the Department for Transport for a mix of revenue (£0.716m) and capital projects (£0.236m) to deliver an integrated programme of walking, cycling, road safety and public transport initiatives aimed at school children and their parents/guardians over the period 2012/2013 to 2014/2015. Capital projects include the purchase of a camera car to improve road safety by addressing problem parking in the vicinity of schools and improving cycle and pedestrian routes either on road with cycle lanes or off-road with new paths, work will also involve safer crossings and signage and anticipated spend is £0.230m in 2012/2013 and £0.006m in 2013/2014.

C2C Cycleway

Following successful negotiations with the Homes and Communities Agency in respect of the transfer of Riverside Assets, reported to Cabinet on 21st March 2012, a sum of £0.542m has been provided for the upgrade of the C2C cycle route in 2012/2013.

4.3 Resources

4.3.1 Priority Schools Building Programme (PSBP)

On 24th May 2012, Michael Gove, Secretary of State for Education, announced details of the schools that had been successful in applying to be refurbished or rebuilt under the governments PSBP. Of the 587 schools that applied to be part of the programme 261 were successful. The Council has been successful in all 5 of its bids for new schools to be funded from the PSBP, at Hetton School, Hylton Castle Primary School, Shiney Row Primary School, St Anthony's Catholic Girls Academy and Usworth Grange Primary School. Works required to Usworth Grange Primary have been assessed as highest priority and will be funded from capital grant whilst the other schools will be funded from a new PFI type arrangement to be introduced by the government. The Council is still awaiting detailed guidance on how these schemes operate, however previous advice indicated that the design, procurement and monitoring would be managed outside of the Council by the Education Funding Agency.

The Council will review capital works needed to all schools and the allocation of resources that had not been committed from the Schools Asset Management Programme to specific schemes pending confirmation of the PSBP award. This will necessitate the reprofiling of spend and funding from 2012/2013 into future years and details will be reported to Cabinet at the Second Capital Review in October 2012.

5. Review of the Prudential Indicators and Treasury Management Strategy for 2012/2013

- 5.1 The Prudential Indicators for 2012/2013 were approved by the Council on the 7th March 2012 and are regularly reviewed to ensure that:
- the Council remains within its Authorised Limit for External Debt;
 - treasury management decisions are taken in accordance with the Treasury Management Code of Practice and the agreed Council Treasury Management Policy and Strategy;
 - the capital expenditure control framework operated locally is consistent with, and supportive of, local strategic planning, local asset management planning, and proper option appraisal.
- 5.2 Internal monitoring procedures track performance daily against the various prudential indicators agreed by the Council. At this stage, the Council is operating within its Authorised Borrowing Limit, which is a statutory limit determined under Section 3 (1) of the Local Government Act 2003 and there are no areas for concern or any issues which require any review of the indicators as originally approved.

Borrowing Strategy for 2012/2013

- 5.3 The Borrowing Strategy is based upon the Council's anticipated borrowing requirement and prospects for interest rates. No new borrowing has been undertaken in the current financial year. The Council's strategy for 2012/2013 is to continue to adopt a pragmatic and flexible approach and to respond to any changing circumstances to seek to secure benefit for the Council. Consideration will be given to various options, including utilising some investment balances to fund the Council's borrowing requirement in 2012/2013.

Investment Strategy for 2012/2013

- 5.4 The primary aim of the Investment Strategy is the security of Council funds, then having regard to liquidity i.e. the availability of cash to meet council liabilities, and finally to secure a reasonable rate of return on its investments.
- 5.5 As at 31st May 2012, the funds managed by the Council's Treasury Management team has achieved a rate of return on its investments of 1.66% compared with the benchmark rate (i.e. the 7 day rate) of 0.45%. Performance is therefore very positive and is significantly above the benchmark rate, whilst adhering to the prudent policy agreed by the Council.
- 5.6 Due to high levels of volatility that currently exist in financial markets, particularly within the Eurozone, the Council is following advice that investments with non-part government owned institutions should be kept to shorter periods of a maximum of three months. The investment policy is regularly monitored and reviewed to ensure it has flexibility to take full advantage of any changes in market conditions to the benefit of the Council.

6. Reasons for Decision

- 6.1 To respond to variations in proposed expenditure and income which have arisen since the 2012/2013 Capital Programme was approved to enable effective budgetary control to be exercised and to update Cabinet on the progress in implementing the

7. Alternative Options

7.1 No alternative options are proposed.

8. List of Appendices

Appendix A - Other variations to the 2012/2013 capital programme to those previously reported

9. Background Papers

Sunderland City Council Capital Programme 2011/12 to 2015/16
Capital Programme Outturn 2011-2012

Other variations to the 2012/2013 Capital Programme to those previously reported

	£000	£000
Reprofiling of Expenditure between 2011/2012 and 2012/2013 reported to Cabinet 20 th June 2012		7,648
Additional Schemes - Fully Funded		
Leader		
Newcastle International Airport Ltd – Proposed refinancing of Newcastle Airport up to a maximum sum of £20m with detailed sums to be reported to a future Cabinet meeting		20,000
City Services		
Hydrographic Survey – additional Coast Protection grant to carry out survey	15	
C2C Cycleway – Part of HCA land transfer agreement approved by Cabinet 21 st March 2012	542	
North Area Skate Park – funded from Strategic Initiatives Budget £0.035m and Section 106 developers contribution £0.045m	80	
Local Sustainable Transport Fund	230	
Better Bus Areas Fund	410	
Coalfields Cycle Route – funded from Section 38 developer contributions	60	
Thompson Park – Demolition of former park keepers house and replacement with new car parking and footpaths fully funded from SIB and Section 106 monies	49	1,386
Variation to Existing Schemes in the Capital Programme - Fully Funded		
Leader		
Sheepfolds Asset Acquisitions - approved by Cabinet 14 th March 2012 and funded by Homes and Communities Agency		37
Cabinet Secretary		
Old Sunderland Townscape Heritage Initiative – Former East End Orphanage – additional approval by Cabinet 20 th June 2012 of £0.500m towards project funded from New Homes Bonus Grant		500
Public Health, Wellness and Culture		
Football Investment Strategy – review of schemes following rejection of grant application from Coalfields Regeneration Trust		(100)
Health Housing and Adult Services		
Sunderland Energy Efficiency Programme – additional grant to extend programme until 31 st December 2012		57
Reprofiling of Capital Spend from 2013/2014 to 2012/2013		
Leader		
Strategic Land Acquisitions – Cabinet 6 th June 2012 approved the acquisition of land at High Street West, Sunnyside, Sunderland and the building known as Liverpool House, High Street West, Sunderland. Funding of £0.350m towards these purchases accelerated from 2013/2014		350
Technical Adjustments		
Smarter Working - funding from earmarked reserve	477	
City Centre Improvements - spend and funding transferred from Revenue	68	
Economic Development Provision - spend and funding transferred to revenue	(100)	
Festivals and Events - spend and funding transferred to Revenue	(250)	195
TOTAL VARIATIONS 2012/2013		30,073

CABINET MEETING –18 JULY 2012

EXECUTIVE SUMMARY SHEET – PART I

Title of Report:

DEPARTMENT FOR WORK AND PENSIONS (DWP) INNOVATIONS FUND BID

Author(s):

Executive Director Children's Services

Purpose of Report:

The purpose of this report is to describe an opportunity to bid for funds, in partnership with Northumberland County Council, from the Department for Work and Pensions (DWP) to improve outcomes for the 14-16 year old cohort of young people who at risk of not participating in Education, Employment and Training (NEET).

The report also seeks approval for the Council to act as the social investor for the Sunderland cohort of young people (with Northumberland acting as the social investor for their respective cohort) and explains the implications of this position should Cabinet approve.

Description of Decision:

Cabinet is recommended to:

- (i) Approve that Sunderland City Council act as Social Investor for the joint bid with Northumberland County Council to the Department for Work and Pensions Innovations Fund with an initial investment of £300,000 in respect of the Sunderland cohort of 14-16 year olds at risk of becoming NEET;
- (ii) Consider the implications of this position.

Is the decision consistent with the Budget/Policy Framework? *Yes/No

If not, Council approval is required to change the Budget/Policy Framework

Suggested reason(s) for Decision:

NEET figures are rising in Sunderland (10.4%) and current funding mechanisms to support NEET such as the European Social Fund (ESF) are ending in December 2012. This bid provides the potential to reduce NEET figures and the longer term impacts for young people of economic disadvantage. It also provides an opportunity to work in partnership with Northumberland County Council and to trial the social investment model of funding.

Alternative options to be considered and recommended to be rejected:

At Expression of Interest stage the proposal was that schools, rather than the two Councils, act as social investors for the Innovations Fund investment. It was very recently confirmed that this approach was no longer possible and there has been insufficient time in preparing for the 29th June submission to attract an alternative social investor. If the tender application is successful it is suggested that there is no alternative option in the first instance to the two Councils acting as social investors. However it may be possible as the project progresses to attract other social investors to invest in the Innovations Fund.

Impacts analysed: Equality <input type="text" value="N/A"/> Privacy <input type="text" value="N/A"/> Sustainability <input type="text" value="N/A"/> Crime and Disorder <input type="text"/>	
Is this a “Key Decision” as defined in the Constitution? Yes Is it included in the Forward Plan? No	Scrutiny Committee:

DEPARTMENT FOR WORK AND PENSIONS (DWP) INNOVATIONS FUND BID

REPORT OF THE EXECUTIVE DIRECTOR CHILDREN'S SERVICES

1. PURPOSE OF THE REPORT

- 1.1 The purpose of this report is to describe an opportunity to bid for funds' in partnership with Northumberland County Council, from the Department for Work and Pensions (DWP) to improve outcomes for the 14-16 year old cohort of young people who at risk of not participating in Education, Employment and Training (NEET).
- 1.2 The report also seeks approval for the Council to act as the social investor for the Sunderland cohort of young people (with Northumberland acting as the social investor for their respective cohort) and explains the implications of this position should Cabinet approve this.

2. DESCRIPTION OF THE DECISION

Cabinet is recommended to:

- (i) Approve that Sunderland City Council act as Social Investor for the joint bid with Northumberland County Council to the Department for Work and Pensions Innovations Fund with an initial investment of £300,000 in respect of the Sunderland cohort of 14-16 year olds at risk of becoming NEET;
- (ii) Consider the implications of this position.

3. BACKGROUND

- 3.1 The numbers of young people who are NEET is rising nationally and locally. In Sunderland the latest figures show a rise from 9.3% to 10.4% over a 12 month period, at the same time as a range of measures of support are coming to an end. In May 2011, the Government announced a package of measures to help address youth unemployment. These included a new Innovation Fund, managed by the Department for Work and Pensions, of up to £30 million over 3 years. Under Round 2 of the Innovation Fund, launched in March 2012, a joint proposal was submitted by Sunderland City Council and Northumberland County Council. This outline application was successful and a more detailed tender application was submitted on 29 June 2012.
- 3.2 The Fund has been developed to pilot a small number of social investment projects, whereby social investors are asked to agree to underwrite the cost of delivery at the start of the project. Depending on the precise funding model adopted, and performance during the project, it is expected that each social investor will recoup their initial investment, and benefit from both a social and financial return.
- 3.3 The Sunderland/Northumberland proposal will aim to work with approximately 500 young people aged 14-16 at risk of disadvantage, to reduce the prospects of them being or becoming long term NEET (Not in Employment, Education or Training). In particular, we expect that the project will target vulnerable young people who face a range of issues such as:

- Projected low attainment in Key Stage 4
- Young people who are carers
- Children who are looked after or in care or care leavers
- Pupils with special educational needs and learning disabilities
- Pupils with attendance and/or behaviour issues
- Those who are supervised by the Youth Offending Team
- Those with family issues – receiving support from family intervention projects or a parent or sibling in custody or with substance misuse issues

3.4 Disadvantaged young people are a very diverse group with a variety of needs. A range of factors are associated with a greater risk of becoming NEET, including low educational attainment, truancy, exclusion, teenage parenthood and having a learning difficulty and/or disability. The aim of the proposal is to focus on innovative ways of addressing the issues and barriers which lead to young people becoming NEET.

3.5 The Innovation Fund funding model is a 'payment by results' mechanism by which the DWP will pay the social investor based upon the achievement of specified outcomes. Within this proposal, the outcomes that will be measured relate to the improved attendance, behaviour and performance of the whole target group as well as entry to training and employment post 16 at differentiated levels.

3.6 The role and commitment of the social investor is crucial to the success of the proposal and required that investors meet the following criteria:

- Are willing and able to underwrite the full delivery costs and take the risks of payment by outcomes.
- Should not have a direct role in delivery and must be separate legal entities from the delivery organizations.
- Provide front loaded funding for the project;
- Provide management systems support to the delivery bodies.

4. CURRENT POSITION

4.1 As the social investor cannot also be the delivery organisation, a range of delivery organisations, including voluntary organisations will be commissioned to deliver the services to young people. All of the costs incurred by the delivery bodies will be met by the investors who will monitor performance through a project board to ensure that the outcome payments are justifiable and that both a social and financial return on the investment is achieved.

4.2 Many of the risks attached to engaging with this programme are with the social investors. However, experience of working with similar target groups of young people, particularly through the European Social Fund Bid (ESF) has shown that risks can be managed to ensure the programme is successful and that high volume targets (such as increased attendance) can be increased low volume/ higher cost if targets such as entry into employment prove more difficult to achieve. Appendix 1 gives an illustration of the potential return on investment of specific interventions. Furthermore, delivery structures in Sunderland and Northumberland are well developed and there are significant assets – training locations, specialist staff, ICT facilities, strong employer engagement – that can be utilised to ensure outcomes are achieved.

- 4.3 The outcome of the tender application will be known by September 2012.

5. REASONS FOR THE DECISION

- 5.1 NEET figures are rising in Sunderland (10.4%) and current funding mechanisms to support NEET such as the European Social Fund (ESF) are ending in December 2012. This bid provides the potential to reduce NEET figures and the longer term impacts for young people of economic disadvantage. It also provides an opportunity to work in partnership with Northumberland County Council and to trial the social investment model of funding.

6. ALTERNATIVE OPTIONS

- 6.1 At Expression of Interest stage the proposal was that schools, rather than the two Councils, act as social investors for the Innovations Fund investment. It was very recently confirmed that this approach was no longer possible and there has been insufficient time in preparing for the 29th June submission to attract an alternative social investor. If the tender application is successful it is suggested that there is no alternative option in the first instance to the two Councils acting as social investors. However, it may be possible as the project progresses to attract other social investors to invest in the Innovations Fund.

7. IMPACT ANALYSIS: CRIME AND DISORDER

- 7.1 Young people who are NEET or at risk of NEET may also be at risk of anti-social behaviour. One of the outcomes of this project will be to assist in the reduction of crime and disorder.

8. FINANCIAL IMPLICATIONS

- 8.1 It is proposed that the Council consider acting as a social investor to underwrite initial investment of £300,000 in 2012/13 for the Innovations Fund, should the tender application be successful. Northumberland County Council will separately fund their element of this which is £150,000. It is suggested that for Sunderland, the Innovations Fund could potentially be linked to funding associated with the Strengthening Families Initiative given that this initiative is working with the same client groups.
- 8.2 The estimated return on investment is 31%, linked to delivery of the outcomes. The mitigation of the risks to achieve this income is described at 4.2 of this report. A broad model indicating how the funding model works is shown below:

Year	Council Investment	Payment by results receipt	Net cost/gain to Council	Cumulative Gain
1	300,000		300,000	-300,000
2	300,000	400,000	100,000	-200,000
3	300,000	400,000	100,000	-100,000
4		400,000	400,000	+300,000

The table demonstrates that at the end of the 4 year period the investment delivers a financial net gain of £300,000 (simple 33%) as well as delivering improved outcomes as a result of the interventions.

9. RELEVANT CONSULTATION

- 9.1 Schools have been consulted in both local authorities as have delivery organisations including the voluntary sector.

10. BACKGROUND PAPERS

- 10.1 DWP Innovations Fund Guidance to bidders.

APPENDIX 1

DRAFT FUNDING MODEL - SUNDERLAND CITY COUNCIL AND NORTHUMBERLAND COUNTY COUNCIL							
(assumptions are based on up to 500 young people over 3 years)							
Outcomes by age group	Targets	Unit cost per outcome (60%)	Total Payments	Estimated delivery cost	Total Payments	Estimated income for reinvestment (per unit)	Total income (all units)
Aged 14 – 15							
Improved attitude to school	280	£420	£117,600	£400	£112,000	£20	£5,600
Improved attendance at school	500	£840	£420,000	£500	£250,000	£340	£170,000
Improved behaviour at school	500	£780	£390,000	£650	£325,000	£130	£65,000
QCF accredited entry level qual (below GCSE)	250	£540	£135,000	£450	£112,500	£90	£22,500
Aged 16+							
Improved attitude to school / education	220	£420	£92,400	£400	£88,000	£20	£4,400
Basic skills	200	£540	£108,000	£450	£90,000	£90	£18,000
Level 1 NQF or equivalent (Foundation)	250	£660	£165,000	£600	£150,000	£60	£15,000
Level 2 NQF or equivalent	45	£1,980	£89,100	£1,300	£58,500	£680	£30,600
Level 3 NQF or equivalent	30	£3,060	£91,800	£2,000	£60,000	£1,060	£31,800
Entry into first employment (16+ hours per week) with training element	50	£3,300	£165,000	£2,000	£100,000	£1,300	£65,000
Total payments (outcome income generated)			£1,773,900	Estimated total expenditure	£1,346,000	Estimated total income for reinvestment	£427,900
Average cost per participant			£3,547.80		£2,692.00	Surplus unit cost	£855.80
Note: The total cost of outcomes payable to each individual participant cannot exceed £11,700. This figure is calculated as a proportion of the cost of out of work benefits to a young person over a 3-year period. There are no minimum or maximum number of payable outcomes - in some cases, there might be the potential to claim 6 or 7 outcomes per participant.						Surplus (% delivery costs / outcome payments)	
						31.79%	

DRAFT

CABINET MEETING – 18 JULY 2012 EXECUTIVE SUMMARY SHEET – PART I	
Title of Report:	HYLTON RED HOUSE PRIMARY/BISHOP HARLAND CE PRIMARY SCHOOLS - FIRST STAGE CONSULTATION ON FUTURE ARRANGEMENTS
Author(s):	Executive Director of Children's Services
Purpose of Report:	The purpose of this report is to describe the current position with regard to Bishop Harland CE and Hylton Red House Primary Schools and seeks approval to progress options to address future arrangements at both schools to the first stage of consultation.
Description of Decision:	<p>Cabinet is recommended to:</p> <ul style="list-style-type: none"> i. Consider the proposal to progress to the first stage of consultation on options to re-organise the existing Bishop Harland CE and Hylton Red House Primary Schools. ii. Should the recommendation to proceed to the first stage of consultation be agreed, to receive feedback on the outcomes of this at 10th October meeting of Cabinet
Is the decision consistent with the Budget/Policy Framework?	*Yes/No
If not, Council approval is required to change the Budget/Policy Framework	
Suggested reason(s) for Decision:	Both Bishop Harland CE and Hylton Red House Primary Schools are on an improvement journey, having recently been subject to Department for Education (DfE) scrutiny as schools in an Ofsted category of concern. Both have significant levels of surplus places currently which present challenges in the sustainable delivery of effective education moving forward. Informal consultation between the Council, the Church of England Diocese of Durham, and the two governing bodies has indicated support for a local solution.
Alternative options to be considered and recommended to be rejected:	This report seeks approval to begin a first stage consultation on options to address the sustainability and performance of both schools. Potential options will be considered as part of the consultation process and taken forward or rejected as a result of this consultation.

Impacts analysed:	
Equality <input type="text" value="N/A"/>	Privacy <input type="text" value="N/A"/> Sustainability <input type="text"/> Crime and Disorder <input type="text" value="N/A"/>
Is this a “Key Decision” as defined in the Constitution? Yes Is it included in the Forward Plan? Yes	Relevant Scrutiny Committee: Scrutiny

**HYLTON RED HOUSE PRIMARY/BISHOP HARLAND CE PRIMARY
SCHOOLS – FIRST STAGE CONSULTATION ON FUTURE
ARRANGEMENTS****REPORT OF THE EXECUTIVE DIRECTOR CHILDREN'S SERVICES****1. PURPOSE OF THE REPORT**

- 1.1 The purpose of this report is to describe the current position with regard to Bishop Harland CE and Hylton Red House Primary Schools and seeks approval to progress options for the future arrangements at both schools to the first stage of consultation.

2. DESCRIPTION OF THE DECISION

- (i) Consider the proposal to progress to the first stage of consultation on options to re-organise the existing Bishop Harland CE and Hylton Red House Primary Schools;
- (ii) Should the recommendation to proceed to the first stage of consultation be agreed to receive feedback on the outcomes of this at 10th October meeting of Cabinet.

3. BACKGROUND

- 3.1 Bishop Harland CE Primary School and Hylton Red House Primary School both serve the Hylton Red House Estate in the North of the City. They have Published Admission Numbers (PANs) of 30 and 60 and net capacities of 210 and 427 respectively. Bishop Harland has a nursery which provides 26 part time places. A separate, stand alone, nursery school sits at the entrance to Hylton Red House Primary School.
- 3.2 The current numbers on roll are 143 at Bishop Harland and 330 at Hylton Red House, a total of 473. The number of surplus places is 67 and 97 respectively, a total of 164 between the two schools. This equates to approximately 25% surplus places.
- 3.3 Hylton Red House Primary School was placed in a Special Measures category by Ofsted in June 2008. Following the appointment of the current headteacher and the establishment of a new governing body, in June 2010 the school was judged to be good. A further Ofsted Inspection took place in early July 2012, the outcome of which will be reported to Cabinet. In September 2010, Bishop Harland Primary School was judged by Ofsted to be making inadequate progress to address key improvements identified in its 2009 Ofsted Inspection (which was satisfactory overall). The school subsequently had difficulty in recruiting a substantive headteacher and in consultation with the Local Authority and the governing bodies of both schools it was proposed that the headteacher at Hylton Red House take on this role on a temporary basis. This has led to a 'soft' federation between the two schools which has created successful joint working between teaching staff and governors in a number of curriculum and pastoral areas. Children from both schools now also take part in joint learning. Bishop Harland CE School has recently had an Ofsted inspection and is now judged to be satisfactory. Nevertheless, there are still significant national drivers which may impose a different organisational model for one or both schools.

- 3.4 In recent years both schools have faced and dealt with significant challenges in terms of Ofsted inspection. The surplus places in each school also present budgetary challenges which could impact on the ability to sustain and progress their substantial improvements made to date.
- 3.5 The schools have already begun to reap the educational benefits brought about by working together and joining up resources. One option therefore is to formally join the two schools by closing both existing schools and opening a new voluntary aided school on the Hylton Red House site. Bringing the two schools together as one school for the community at Red House will make the resulting school sustainable for the future and will be positioned to create positive educational benefits for the delivery of education. Reducing surplus places and reconfiguring school provision can also have clear educational benefits: having the appropriate size school has a beneficial impact upon schools' delivery of teaching and learning including class size organisation. An excess of places ties up resources that could otherwise be invested in teaching and learning.
- 3.6 Initial consultation with the governing bodies of both schools also included consultation with Hylton Red House nursery staff and governing body, who were asked to consider whether the nursery should be part of the proposal. Following discussion, Governors of the nursery school did not wish to progress this further. As Bishop Harland CE School has a nursery with 26 part time places, if the two schools were brought together as one school on the Hylton Red House site, it is proposed that the nursery class be transferred to Hylton Red House Nursery School.
- 3.7 The governing bodies of both Bishop Harland and Hylton Red House schools have worked in partnership with officers of the council and the Church of England Diocese, over a period of time to consider options for an innovative solution to provide a sustainable and robust future for primary education to serve the Hylton Red House community.

4. CURRENT POSITION AND POTENTIAL OPTIONS FOR CONSULTATION

- 4.1 Several options have been considered and legal advice taken on how these could potentially be progressed. The issue of one school being voluntary aided and the other maintained presents challenges and limits the viable options available because of the differing governance arrangements required. For example, a hard federation could not be established because the legal constitution of the governing bodies is different.
- 4.2 Following legal advice from the Department of Education, one viable option is to close both existing schools and establish a new Church of England Voluntary Aided School. Whereas it is no longer possible to establish a new 'community' school (as new schools would now automatically become academies), recent legislation still allows for the establishment of new voluntary aided schools. As a result of the size of the new school, the Hylton Red House site would be the most appropriate location for the new school as the capacity at Bishop Harland CE School would be insufficient. The proposed new school would be a 2.5 form entry school and the existing nursery provision from Bishop Harland CE School would transfer to Hylton Red House Nursery School. The Diocese and governing bodies at both schools are supportive of this option and have agreed that they would like to progress on that basis, subject to Cabinet approval.

- 4.3 Although it is believed that this is the most viable option, given the legal advice provided, there may be a limited number of other options which can be developed and explored at consultation stage. The 'status quo' option which would see both existing schools remain as they are can also be explored and the implications of this explained during consultation. The likely outcome of this option is that DfE would require Bishop Harland to become an Academy as part of an academy chain, with potentially an external sponsor, on the basis of current Ofsted performance.
- 4.3 Following consultation, any proposal for change would require the Local Authority and the Diocese to publish statutory notices. The likely process and timescales would be as follows:
- (i) **Consultation** - First stage (4 weeks consultation) following Cabinet from 3rd September 2012.
 - (ii) **Cabinet** - Draft proposals to Cabinet following stage 1 above, to 10th October 2012 Cabinet meeting.
 - (iii) **Publication** of statutory notices in October 2012 following Cabinet recommendation – 1 day
 - (iv) **Representation** - Must be 6 weeks - up to late November 2012
 - (v) **Decision** – School Organisation Committee of Cabinet must decide the proposals within 2 months maximum -December 2012
 - (vi) **Implementation** - No prescribed timescale – but must be as specified in the published notice, subject to any modifications agreed by the decision-maker.
- 4.4 Cabinet is asked to approve the first stage consultation which will include staff, parents, pupils and governing bodies at both schools, the wider community, elected Members, Unions, Dioceses and other interested parties. The outcome of the consultation will be reported to October Cabinet meeting for further consideration and to determine whether the preferred option should then be progressed to publication of statutory notices if appropriate.

5. REASONS FOR THE DECISION

- 5.1 Both Bishop Harland CE and Hylton Red House Primary Schools are on an improvement journey, having recently been subject to Department for Education scrutiny as schools in concern. Both have significant levels of surplus places currently which present challenges in the sustainable delivery of effective education moving forward. Informal consultation between the Council, the Church of England Diocese of Durham and the two governing bodies has indicated support for a local solution.

6 ALTERNATIVE OPTIONS

This report seeks approval to begin a first stage consultation on options to address the sustainability and performance of both schools. Potential options will be considered as part of the consultation process and taken forward or rejected as a result of this consultation.

7. LEGAL IMPLICATIONS

- 7.1 Any proposals for school re-organisation require the publication of statutory proposals. The responsibilities for publishing statutory notices are set out at 4.3 above. From May 2007 decisions on school organisation are an executive function of the Council, carried out by the School Organisation Committee (SOC) of Cabinet. SOC will consider for determination proposals where statutory objections have been received. Where no objections are received the determination of proposals is delegated to the Executive Director of Children's Services in consultation with the Cabinet Portfolio Holder for Children's Services. The indicative timescales also shown in paragraph 4.3 suggest that decisions will be required in December 2012.

Should Cabinet agree to take forward an option which brings both school together, further work would need to be undertaken in relation to the issue of land and property ownership. At the present time all of the land and buildings at Hylton Red House Primary School are in the ownership of the Council whereas at Bishop Harland School, the playing fields are in the ownership of the Council and the buildings are owned by the Church of England

8. FINANCIAL IMPLICATIONS

- 8.1 Both schools are currently funded through Dedicated Schools Grant (DSG).. Depending on the option taken forward, capital investment would be required at Hylton Red House School in relation to the condition and suitability of the current building. Discussions are currently underway between council officers and the Diocese of Durham in relation to capital funding and any implications for the Council's capital programme will be brought forward for consideration prior to the statutory consultation stage. Investment would also be required at Hylton Red House Nursery School to enable the additional numbers to be accommodated.

9. RELEVANT CONSULTATION

- 9.1 Paragraph 4.3 shows the proposed process planned for consultation, together with timescales.

10. IMPACT ANALYSIS

- 10.1 Any capital investment works will be designed and specified using modern sustainable materials.

11. BACKGROUND PAPERS

- 11.1 Legal advice from the Local Authority's legal representatives and School Organisation Unit at the Department for Education (DfE).

CABINET MEETING – 18th July 2012

EXECUTIVE SUMMARY SHEET - PART 1

Title of Report: FOOD LAW ENFORCEMENT SERVICE PLAN 2012/13									
Author(s): Executive Director of City Services									
Purpose of Report: To advise Cabinet of the Service's Food Law Enforcement Service Plan for 2012/13									
Description of Decision: Cabinet is recommended to refer the Food Law Service Plan for 2012/13 to Scrutiny Committee for further consideration..									
Is the decision consistent with the Budget/Policy Framework *Yes/No									
If not, Council approval is required to change the Budget/Policy Framework									
Suggested reason(s) for Decision: The Foods Standards Agency which monitors and audits Local Authority activities requires Food Law Service Plans to be approved by Members to ensure local transparency and accountability. The plan forms part of the Council's policy and budgetary framework as defined in the Constitution.									
Alternative options to be considered and recommended to be rejected: There are no practical alternative options as failure to produce a Food Law Enforcement Plan would conflict with the requirements of the Food Standards Agency									
Impacts analysed;									
<table style="width: 100%; border: none;"> <tr> <td style="text-align: right; padding-right: 10px;">Equality</td> <td style="border: 1px solid black; width: 40px; text-align: center; padding: 2px;">✓</td> <td style="text-align: right; padding-right: 10px;">Privacy</td> <td style="border: 1px solid black; width: 40px; text-align: center; padding: 2px;">n/a</td> <td style="text-align: right; padding-right: 10px;">Sustainability</td> <td style="border: 1px solid black; width: 40px; text-align: center; padding: 2px;">✓</td> <td style="text-align: right; padding-right: 10px;">Crime and Disorder</td> <td style="border: 1px solid black; width: 40px; text-align: center; padding: 2px;">n/a</td> </tr> </table>		Equality	✓	Privacy	n/a	Sustainability	✓	Crime and Disorder	n/a
Equality	✓	Privacy	n/a	Sustainability	✓	Crime and Disorder	n/a		
Is this a "Key Decision" as defined in The Constitution? <div style="text-align: right;">Yes</div>	Scrutiny Committee								
Is it included in the Forward Plan? <div style="text-align: right;">Yes</div>									

FOOD LAW ENFORCEMENT PLAN 2012/13

REPORT OF THE EXECUTIVE DIRECTOR OF CITY SERVICES

1. Purpose of the Report

The purpose of the report is to advise Cabinet of the Food Law Enforcement Service Plan for 2012/13.

2. Description of Decision (Recommendations)

Cabinet is recommended to refer the Food Law Service Plan for 2012/13 to Scrutiny Committee for further consideration.

3. Introduction/Background

- 3.1 The Food Standards Agency is an independent food safety watchdog set up by Act of Parliament in 2000 to protect the public health and consumer interests in relation to food.
- 3.2 The White Paper “The Food Standards Agency – A Force for Change” identified that Food Standards Agency as having a key role overseeing local authority enforcement activities. The Agency is therefore proactive in setting and monitoring standards and auditing local authorities enforcement activities to ensure that they are effective and undertaken on a more consistent basis.
- 3.3 Service Plans for food safety enforcement activities are seen to be an important part of the process to ensure that national priorities and standards are addressed and delivered locally. It was recognized by both central and local government that central guidance on the content of local service plans for food enforcement work would be helpful to local authorities.
- 3.4 The Food Standards Agency Framework Agreement has been developed in close partnership with the Local Government Regulation (LGR) and the Local Government Association. They have recommended a format for food enforcement service plans and given detailed guidance on the content of the plan.

4. Current Position

- 4.1 The Food Law Enforcement Service Plan 2012/13 has been developed to comply with the recommendations of the Food Standards Agency’s Framework Agreement. It would be necessary to produce this plan in the event of an audit by the Agency.

5. Reasons for the Decision

- 5.1 The Food Standards Agency which monitors and audits local authority activities requires the Food Law Service Plans to be approved by Members to ensure local transparency and accountability. The plan forms part of the Council's policy and budgetary framework as defined in the Constitution.

6. Alternative Options

- 6.1 The option of not producing a Food Law Service Plan would place the authority at risk in the event of an audit or intervention by the Food Standards Agency. It would also weaken the Council's reputation and ability to influence businesses in this field. It has been discounted on these grounds.

7. Impact Analysis

7(a) Equalities

There are no direct equalities implications as a result of this decision. Equalities are embedded within the national framework with which the Food Law Service Plan complies.

7(c) Sustainability

The actions promoted by the Food Law Enforcement Service Plan seek to ensure the standards of food supplied within the City meet the requirements of food standards legislation.

8. Other Relevant Considerations / Consultations

- (a) **Financial Implications/ Sunderland Way of Working** – details of financial and budgetary details in this report have been extracted from information supplied by Executive Director of Commercial and Corporate Services.
- (b) **Risk Analysis** – failure to approve Plan would conflict with requirements of Food Standards Agency. Measures within the Plan promote the health of the population of the City.
- (c) **Employee Implications** – there are no employee implications resulting from this decision and the plan will be delivered through existing staff resources.
- (d) **Legal Implications** – this decision ensures continued compliance with the requirements of the Food Standards Agency.
- (e) **Policy Implications** – this decision continues the policy approach established through the previous Food Law Service Plans.
- (f) **Health and Safety Considerations** – operational health and safety issues will not change as a result of this decision.
- (g) **Property Implications** – there are no property implications resulting from this Decision.

- (g) **Implications for Other Services** – there are no implications for other services as this decision continues the approach already in place for service delivery.
- (i) **The Public** – it is considered that this decision will have a positive impact on public health and wellbeing by ensuring a comprehensive and coordinated approach to food safety.
- (j) **Compatibility with European Convention on Human Rights** – this is embedded within the national framework with which the Food Law Service Plan complies.
- (k) **Project Management Methodology** – none required as this decision continues the approach already in place for service delivery.
- (l) **Childrens Services** – there are no direct implications for Children’s Services resulting from this decision.
- (m) **Procurement** – there are no procurement implications resulting from this decision.

9. Glossary

FSA Food Standards Agency.

10. List of Appendices

Appendix - Food Law Enforcement Service Plan 2012/13.

11. Background Papers

Framework agreement on Local Authority Food Law Enforcement.

Sunderland City Council

City Services, (Street Scene)

Public Protection and Regulatory Services

Food Law Enforcement Service Plan **2012/13**

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FOOD LAW ENFORCEMENT SERVICE PLAN 2012/13

1. SERVICE AIMS AND OBJECTIVES

1.1 Aims and Objectives

The Department's aim is to protect the health of all persons within the City in relation to food safety matters.

Our objectives are to proactively interact with food businesses within the City on a risk-based programme to improve the standard of food premises in the City. A variety of interventions are under consideration, with the Food Standards Agency approval, which will influence the actions at each premises during the year and the number of programmed inspections. Alternative strategies to inspection for enforcing standards in lower-risk premises are still being considered regionally with other interventions being considered. We will undertake a programme of food sampling, both microbiological and compositional. We will also respond appropriately to all food complaints, food alerts and food poisoning incidents.

We will also educate and advise the public and the food trade in matters of food hygiene and safety. Officers from the Food team will undertake the inspection of ships visiting the Port in accordance with current guidance.

1.2 Links To Corporate Objectives And Plans

The Sunderland Strategy for the years 2008-2025 sets out the framework for the work of everyone in the council. The full document can be viewed on the council's website. The Environmental Health section, in relation to Food, can impact on all of the five strategic aims to a greater or lesser extent.

They are;

1. To create a strong and diverse local economy that will provide jobs and careers for people in the city now and in the future.
2. To create a city that provides excellent health and social care services, where residents are supported to make healthy life and lifestyle choices.
3. To make Sunderland a place where everyone feels welcome and can be part of a safe and inclusive community.
4. To create a thriving learning culture where everyone can be involved in learning.
5. To ensure that Sunderland becomes a clean, green city with a strong culture of sustainability.

Of the five priorities set to achieve the goals, the Food section will be involved with – Prosperous City, Healthy City, Safe City and Learning City.

The Corporate Improvement Plan

The Food teams are included in the following Corporate Improvement Objectives whilst undertaking their statutory and advisory roles;

- § Delivering Customer Focused Services
- § Being One Council
- § Efficient and Effective Council
- § Improving Partnership Working to deliver One City.

2. BACKGROUND

2.1 Profile of the Local Authority

Sunderland City Council covers an area of 138 sq. kilometres and contains a population of about 284,000. It is the largest City between Leeds and Edinburgh. The area is largely urban ("metropolitan") but contains a great diversity of settlements including the City Centre, Washington and former coalmining communities such as Houghton le Spring and Hetton le Hole.

2.2 Organisational Structure

The Council through a Leader, Cabinet and a total of 75 Councillors covering 25 wards, has an annual estimated budget of approximately **£253.7** million for 2012/13. The Council employs **12,803** different individuals working full and part time across the City in a wide variety of jobs. The most recent estimate of the number of Council staff (Full Time Equivalents) currently employed is **10,180.35**

Current Departmental Structure;

Chief Executive + 4 Directorates; City Services, Children's Services, and Health, Housing and Adult Services, and Office of the Chief Executive.

Structure of City Services

City Services have four main service areas, Street Scene, Culture and Tourism, Customer Services and Community Services.

Street Scene includes the Public Protection and Regulatory Services division as well as Responsive Local Services, City-Wide Services, Highways and Transportation, Network Management, Cemeteries and Crematorium, Drainage, Grounds Maintenance, Refuse Collection and Street Cleaning.

Within Public Protection and Regulatory Services, (Environmental Health Section), the Commercial Food team and Health Promotion team are involved in food related matters and Trading Standards are involved in primary production and feedingstuffs control.

With regard to the line of Management for food matters, the Executive Director of City Services is the Chief Officer and the Assistant Head of Street Scene heads the Public Protection and Regulatory Services division. There is an Environmental Health Manager for Commercial sections and a Principal Environmental Health Officer responsible for food matters. The Assistant Head of Street Scene is also line manager to the Trading Standards and Licensing Manager, and Health Promotion Specialist.

This arrangement may change during 2012 as there is currently a Review of Regulatory Services being conducted.

2.3 Scope of the Food Service

The activities relating to food in the City are undertaken between the Commercial Food team, Trading Standards team and the Health Promotion team.

This arrangement may change during 2012 as there is currently a Review of Regulatory Services being conducted.

The Commercial Food team currently carry out a programme of food hygiene and food standards inspection duties as well as responding to requests for service and infectious disease notifications. Sampling of foodstuffs, both microbiological and compositional, is also undertaken. The team has for many years enforced health and safety at work in most food premises in line with recommendations in the Lord Young report "Common Sense, Common Safety". Officers also respond to Port Health requests and food hygiene inspections are part of the Ship Sanitation Certificates required under International Health Regulations.

Trading Standards Officers within the Department specialise in the primary production and animal feedingstuffs response.

The services of Health Protection Agency laboratories and the Public Analyst, currently complement the work of the two teams. The County Analyst service, Durham no longer exists and possible alternative arrangements are being considered regionally. A NEPO tender document has been prepared and tenders were invited in March for the public analyst service.

The Health Promotion team provide Level 2 (Basic) and Level 3 (Intermediate) Food Hygiene Training Courses. Officers organise campaigns and undertake visits to educational establishments in connection with food hygiene. The Heartbeat award and Healthy Home Award schemes are promoted and managed by the team, with inspections being undertaken of relevant premises. Significant interest in the Healthy Home Award was generated at a second seminar earlier this year and it is anticipated that there will be a further increase in the number of awards presented this year.

The Joint Authorities in the region have previously co-operated with training for new businesses in a partnership arrangement between the Authorities and funded by the participants. We will continue to seek and cooperate in joint working between the Authorities.

The food service currently operates from Jack Crawford House. The Contact Centre in Fawcett Street is open to the public in normal working hours throughout the week, 8.30am to 5.15pm (4.45pm Friday), although officers from the Food Team may be contacted by businesses directly. There is an evening and weekend service arrangement for contacting management for out-of-hours emergencies. There are

no formal planned “out of hours” arrangements for field Officers, however visits are conducted at events or as necessary outside normal working hours.

The Council website www.sunderland.gov.uk encourages the public to communicate with the Department by email and makes information constantly available. Letters from the Department to customers / companies encourage the use of email. The facility to contact the Department and individual Officers by direct telephone lines is also promoted with customers. Initial contact for services to the public is now through the Customer Services Network.

The Council displays current food hygiene ratings on the sunderlandcitycouncil.com website, which is also linked from the sunderland.gov.uk website (Food Hygiene). This Authority also regularly updates data on the Food Standards Agency national scheme and the system is operating successfully. Ratings can be found on <http://ratings.food.gov.uk>

The Authority has a limited rural community, principally arable with few livestock holdings. The Trading Standards Division carries out the enforcement of primary production and feedingstuffs legislation and advice to farmers / retailers.

2.4 Demands on the food service

- There are 2152 food premises currently operating in the City, including 1 registered Primary Producer.

Food Premises in the City of which;	No.	Food Hygiene High Risk (a)	Food Hygiene Medium Risk (b)	Food Hygiene Medium Risk (c)	Food Hygiene Medium Risk (d)	Food Hygiene Low risk (e)	Unrated / unclassified
Primary producers / manufacturers / processors	93	0	9	42	10	19	13
Packers / Importers / Exporters / distributors, etc	38	0	1	2	13	20	2
Retailers	556	0	15	170	194	142	19
Restaurant / Other Caterers	1465	1	155	821	199	194	94
Contact Materials and articles	0	0	0	0	0	0	0
Total Food Premises	2152	1	180	1035	416	375	128
Outside the programme	17						

- The majority are classified in the Restaurant / catering outlet group (1465) whilst there are 557 food retailers.
- The unrated / unclassified premises are those which have recently opened or changed proprietor since the last inspection. These premises are revisited for further inspection and a further rating within 6 months to make an informed judgement of on-going standards.
- The Stadium of Light can accommodate over 40,000 seated spectators, with significant catering from the outlets within the stadium. International events are also hosted at the site. This year several major music events again are planned in May / June at the Stadium that will involve the food team.
- There are a significant number of outdoor events held regularly each year (e.g. Air Show, International Friendship Festival) which are attended by up to 1.5 million visitors, with various mobile caterers and food businesses from around the region and beyond visiting the Authority to cater at the events.
- Port health inspections which require inspections of food hygiene and standards on board vessels coming into the port were undertaken. The provision of Ship Sanitation Certificates has continued to be requested from the Authority.
- Increased vigilance continues to be expected regarding the inland enforcement of imported food legislation in an effort to prevent the spread of disease in food animals.
- The Freedom of Information Act can impact on the workload of the Department due to the administration of requests and time spent recovering the information. Press and other enquiries to Local Authorities in the region continue to request specific information regarding comparative businesses in each Local Authority. In the past year, again there have been 7 formal requests for information regarding food premises in the financial year 2011 to April 2012.
- Information regarding local food premises is available on-line i.e. Food Hygiene Rating Scheme from our own council website. This involves the publication of a food safety rating for catering premises in the City based on standards of structure and hygiene ratings and confidence in management scores assessed during programmed inspections. Following inspections, the written communications to business owners advise them that the information may be released on the website in the future and in response to third party requests as required by Freedom of Information legislation. The Food Standards Agency national scheme is operating and this Authority is part of the national scheme.
- The Licensing function impacts on the workload. Officers consider new licences and applications for amendments to licences as part of the Responsible Authority consultation.

- There is some potential for any large outbreak of food poisoning or illness, or a serious accident at food premises, to impact significantly on the routine service operated by the Authority.
- There are no other likely major impacts e.g. significant food imports, seasonal variations or high numbers of food manufacturing businesses other than local catering businesses. Where food alerts necessitate a significant response, this will impact on other areas of the service.
- Food alerts are notified by the Food Standards Agency to Local Authorities. During 2011 there were 28 alerts with 2 updates. In the first three months of 2012 a further 8 alerts were received with 1 update. (Many of these alerts have been product recalls where response from this Authority has been minimized). The alerts have included; possible hazards associated with the contamination of kettle chips and turkey goujons with plastic, food produced on premises without the required approval, glass fragments in bottled beer, soft drinks, snack products and pies, metal in pizzas and ready meals, salmonella in bean sprouts, listeria in milkshakes, and contamination of Indian cheese with veterinary medicines. Details of all the food alerts are available on the Food Standards Agency (FSA) website, www.food.gov.uk.
- The FSA system of allergy alerts, separate from food alerts, continues with many instances of food labelling errors or contamination of specific ingredients. There were 42 such alerts in 2011 and 21 have been received in the first quarter of this year. Whilst not critical to the general public health they can have serious effects on persons who are allergic to specific ingredients.

2.5 Enforcement Policy

The Department has a documented Enforcement Policy, which has due regard to the Tyne and Wear Food Enforcement Policy. The Authority works in accordance with the principles of the Regulators' Compliance Code, and a review is planned for this year.

The Code of Practice requires that any breaches of food law that may be detected in premises where the Authority is itself the proprietor of a food business should be brought to the attention of the Chief Executive, without undue delay. There have been no instances in the past year where such action was necessary.

3. SERVICE DELIVERY

3.1 Food Control

3.1.1 Food Premises Inspections

Officers routinely inspect high risk premises on a risk based basis. This year there is to be continued emphasis on targeting non-compliant businesses. It is envisaged that those premises which are found not to be complying as indicated by poor

structures, poor hygiene standards or where there is low confidence in management, will progress into a monitored scheme to require improvements.

The National Performance Indicator (ni 184) set previously for the percentage of food businesses that are broadly compliant has been withdrawn, although Local Authorities will continue to send relevant data annually to the FSA, from which the Performance Indicator can be calculated. A local new Performance indicator has recently been set up and quarterly performance reports are produced. Information on premises that are not broadly compliant is available to the public as it is indicated on the Hygiene Rating information on the web. Businesses with a rating of less than 3 are not broadly compliant.

There will still be risk rating for all premises inspected and the Food Standards Agency still anticipate the frequency of inspections for high risk premises being governed by the rating.

Whilst it has been the Department's ongoing annual target to inspect all food premises at a risk rated frequency in accordance with previous guidance from the Code of Practice, the FSA are encouraging Authorities to spend more time at targeted businesses rather than spread over the whole range in future, in accordance with Governmental policy. The lowest rated premises are subject to programmes of alternative enforcement strategies. Premises subject to alternative enforcement have been sent letters and questionnaires requiring a response. Failure to respond, or unsatisfactory responses received will necessitate a visit by an Officer. Any complaints or where intelligence raises issues will result in a visit to the premises by an Officer. This scheme has been agreed to promote consistency and uniformity for businesses and Authorities across the region. Highest risk premises which require specific approval will receive interventions as required. They will be subjected to risk rating and intervention frequency will be determined on an individual basis. Last year 36 premises were dealt with by an alternative strategy – 46 letters were sent (a reminder was sent to 10 businesses), 28 were returned and 4 were subsequently inspected.

The Department has again achieved high rates on inspection of food premises and in 2011/12 visited 1329 different food premises and undertook 1408 inspections. A total of 1895 visits were made including inspections, revisits and sampling. Only 3 inspections were outstanding at the year end. These were completed early in April 2012.

The estimated number of inspections programmed for the year 2012/13 at the time of preparation of this report is approximately 1302 plus any new businesses commencing within the year. Alternative strategies for lower risk premises will determine a change in priority resulting in fewer premises being visited but potentially more visits being made to non-compliant premises to promote and confirm improved standards.

We aim generally to inspect the premises within one month of the due date for inspection, the only exceptions being those businesses that operate seasonally and those which may be subject to alternative enforcement strategies.

Secondary inspections (including revisits) to premises are carried out as necessary in order to ensure that material defects are rectified. Those premises which are not broadly compliant will be followed up with a view to enforcing compliant standards.

The Department has participated in a Business Transformation Programme (BTP) giving consideration to computer systems that are more sustainable. Existing in-house systems continue to work satisfactorily for the Commercial Teams whilst awaiting any change.

3.1.2 Food Complaints

The Authority is committed to responding to all food complaints, the extent of the investigation depending on the merits of the complaint. This can range from re-assuring the complainant to the more formal process, including reference to home or originating Authorities in accordance with the guidance and the relevant Code of Practice. Officers also refer to any Primary Authority, a scheme promoted by legislation and the Better Regulation Office.

In 2011/12, 356 requests for service requiring a response from Officers on the Food Team were made, including 81 complaints relating to food standards or labelling, and 27 requests relating to suspected food poisoning. The staff resources required to deal with these requests were drawn from the Commercial Food team. It is estimated that the time expended on food complaints in 2012/13 will be equivalent to 0.25 officers (full time equivalent).

3.2 Primary Producers and Feedingstuffs Control

3.2.1 Premises Inspection

The Trading Standards Section of the Department has the delegated duty to enforce legislation in relation to primary production and feedingstuffs control. Inspection and sampling of products at farms, manufacturers, wholesalers and retailers is undertaken on a risk-assessed basis. As part of the animal health visits, feedingstuffs inspections are undertaken. Previous inspections have not revealed any premises using imported feed products. Ongoing dialogue with the Port of Sunderland may produce some activity if any feed is imported.

3.2.2 Feedingstuffs Complaints

Due to the relatively few number of feedingstuffs establishments, it is not anticipated that there will not be a significant number of complaints received by the Authority. Any complaints will be investigated in line with Departmental procedures. The Authority last year received no complaints which related to feedingstuffs. The most likely source of complaints will relate to pet foods.

3.2.3 Home Authority Business Advice

There are no businesses in Sunderland that manufacture or import feedingstuffs. The Port of Sunderland may at some point in time become a storage place and

distribution hub for imported feed. If this occurs it can be managed from existing resources by means of prioritisation. It is currently believed that no other type of feed business would warrant a Home or Primary Authority relationship.

3.2.4 Business Advice

With so few premises within the area and no history of previous requests for business advice in relation to feed it is not anticipated that there will be any business enquiries in relation to feed.

3.2.5 Sampling Programme

Sampling will take place where a complaint justifies a sample be taken, though there is no expectation of any complaints. Samples may be taken to assist in project instituted by the Food Standards Agency or the North East Trading Standards Association or to maintain competence levels.

3.2.6 Outbreaks and Food Related Infectious Disease

Previous history has shown no resource requirement for the control and investigation of outbreaks and food related infectious disease in relation to feed. If this were to occur, resources from other Sections would be utilised as necessary.

3.3 Primary Authority Scheme

This was introduced by legislation governed by the Better Regulation office whereby businesses operating in more than one Local Authority area can choose to partner individual Authorities in connection with a selection of regulatory elements.

The future local impact of food safety enforcement is still difficult to assess, however this Authority will comply with all legal requirements in the enforcement of legislation under this principle.

Another similar scheme called "Home Authority Principle" also continues to operate with some businesses.

3.4 Advice to Business

The Authority seeks to assist local businesses as part of the City / Community Strategy. Last year 87 specific requests for advice were logged by the Food Team. Advice is given informally at every visit to food premises by the Officers, as appropriate.

The Authority is committed to promote the Food Standards Agency (FSA) project "Safer Food, Better Business", (SFBB) which is aligned to supporting certain food businesses in complying with the food safety management principles. There will continue to be great efforts to educate businesses in complying with the requirement for them to have implemented a suitable food safety management system, which some smaller food businesses seem to find difficult

In correspondence to food businesses, a standard invitation is given to them to seek advice from the Department.

Larger manufacturing businesses and small–medium enterprises have both expressed their approval of the department's dealings with their business and readiness to assist with advice, a policy of the Department for many years.

In routine inspections and visits to businesses, Officers pay special attention to advising and explaining matters appropriate to the situation.

Close links are maintained with many business organisations in the City and informal agreement reached to cooperate more fully with businesses through these contacts.

3.5 Food Inspection and Sampling

The Department is committed to sampling foods for compositional standards, bacteriological standards and food standards compliance. Sampling is undertaken proactively involving imported and locally produced foods, as well as participating in national and regional surveys with Local Authorities Coordinators of Regulatory Services (LACORS) and Health Protection Agency Laboratory Service.

The Department undertakes local sampling surveys from its own intelligence and from liaison with the Health Protection Agency and other Local Authorities in the region.

As a consequence of "demand" i.e. complaints, food alerts, food poisoning outbreaks, etc. further samples will be taken. Last year 381 samples were taken.

An estimated 500 samples will be taken for bacteriological examination / compositional analysis in the year 2012/13, including 30 water samples. As a consequence of new legislation, private water supplies and distribution systems may require some sampling and work to identify such systems is on going.

The HPA Laboratory transports samples from the region up to daily as necessary by courier to Leeds. Close liaison exists with the laboratories management and neighbouring Authorities to ensure the most effective and coordinated programme with flexibility for local peculiarities.

Participation with neighbouring Authorities in sampling and other food related matters ensures that the Authority works in a co-ordinated and compatible way.-

3.6 Control and Investigation of Outbreaks and Food Related Infectious Disease

This authority has agreed with the regional Health Protection Unit a policy for considering the investigation of confirmed food poisoning cases. Most cases other than suspected viral infections and Campylobacter cases receive contact to endeavour to trace the source and prevent further spread. These are usually

undertaken during personal visits from an Environmental Health Officer. Campylobacter cases are contacted by letter (see below).

The Department, with the Health Protection Agency, operates under the updated “Guidelines – Preventing person-to-person spread following gastrointestinal infections”

A local Consultant for Communicable Disease Control is employed by the Health Protection Agency. Dr. Tricia Cresswell is available to the Department for any advice regarding specific problems relating to infectious disease.

It is vital that any food worker suffering from symptoms of food poisoning advise their employers. Ceasing to work with food until symptom free for at least 48 hours is a common requirement but advice should be sought for specific illnesses.

Advice on food poisoning is available on the Sunderland.gov.uk website by inserting “food poisoning” in the search box on the home page (top right) and following the links.

The number of reported cases of food poisoning depends on persons suffering attending their GP or hospital, where, if samples are taken, and found to be positive, the medical practitioner has a legal duty to inform the Authority. There are close liaisons between the laboratories, Health Protection Agency and the Department to follow up all positive cases.

The Department has maintained close links with the Health Protection Agency as a partner in tackling ill health. Regular meetings to discuss various matters relating to food poisoning cases and sampling programmes take place. The Public Analyst and Health Protection Agency are contracted to assist with expertise where any additional problems arise. Networks exist within the region, nationally and with the Chartered Institute of Environmental Health and the Food Hygiene Forum.

Statistics of cases notified over recent years

Year to March 31 st	Campylobacter	Salmonella	Cryptosporidia	Food poisoning & suspected FP	Shigella	Esch. Coli	Other miscellaneous organisms	Totals
2008	292	53	28	13	1	3	6	396
2009	306	58	26	24	5	2	2	423
2010	357	52	38	12	4	4	4	471
2011	440	28	27	11	3	2	0	511
2012	286	38	17	6	2	12	2	363

Year to March 31st	April	May	June	July	August	September	October	November	December	January	February	March	Totals
2008	19	33	42	46	58	44	39	40	19	13	18	25	396
2009	19	35	50	48	48	41	50	36	22	20	28	26	423
2010	28	38	66	44	40	56	56	41	24	21	24	33	471
2011	37	28	57	90	58	47	57	46	23	21	23	24	511
2012	26	43	30	39	47	32	33	27	24	24	26	12	363

The Authority is committed to a response to all cases and outbreaks notified. The scale of the investigation and response will be measured and as appropriate to the causative organism and potential for further spread. Many cases appear to be the result of foreign travel or home acquired, and some infections e.g. Cryptosporidiosis and Campylobacter may be acquired from the environment rather than from a food source within the City.

As in previous years, the Norovirus (“Winter Vomiting disease”) continued to affect many residential establishments in the City and regionally.

This infection is commonly spread environmentally from person to person rather than being food-borne. Officers work closely with the Health Protection Agency to limit the spread of this infection environmentally and ensure an appropriate response is made, commensurate with the necessity to identify the infection and limit the impact.

Notifications of Campylobacter infections continue to be prominent throughout the country, and the investigation of cases in the past has been time consuming with little chance of identifying the definite sources. Campylobacter is present in the environment and may be picked up outdoors. It is also present in raw chicken and efforts to educate the public regarding risks of cross contamination in the home are being pursued. Unlike most Salmonella strains, it can take relatively few Campylobacter organisms to cause illness. The HPA have worked with EHOs regionally regarding investigations and a policy has been adopted by Local Authorities and the HPA regionally which has reduced the workload created by investigating the increasing number of Campylobacter notifications. Every case notified to the Authority has been contacted by advisory letter rather than visits by an Environmental Health Officer.

Food Safety Week 11-17 June 2012 theme is ‘Food Safety on a Budget’, advising how people can ensure that they keep their food safe when trying to save money.

3.7 Food Safety Incidents

The Authority is committed to responding appropriately to all Food Alerts issued by the Food Standards Agency in accordance with the Code of Practice on this subject. The level of response is determined by the category of response required and individual circumstances of the incident / local impact. Information is available to the

public through Press releases and a link on the Council website to the Food Standards Agency.

3.8 Liaising with other organisations

The Authority meets with the six other Authorities – Tyne & Wear plus Durham and Northumberland, in a North East Food Liaison Group, which operates particularly successfully with close cooperation between the representatives. There are also Sampling sub-groups, and the South of Tyne meeting between the Health Protection Agency, Local Authorities, and P.C.T., which includes representatives from the relevant bacteriological laboratories and Communicable disease specialists.

Trading Standards Officers meet frequently at North East Trading Standards Association (NETSA) meetings when any topical subjects can be considered.

Relevant Building Control and Planning Applications are referred to the Department for consideration and comment.

There is frequent liaison with other Departments and sections in connection with food matters, including Facilities Management (City Catering), School Meals, Procurement, Housing, Health and Adult Services, and also regarding premises licences.

The section has positive liaison with the local office of the Health Protection Agency, Sunderland Teaching Primary Care Trust, City Hospitals Sunderland, local food federations and guilds.

3.9 Food Safety and Standards Promotion

Whilst Officers give advice and information in the course of inspections and other visits, the Health Promotion Team offer training for the Level 2 Award Food Hygiene, the Level 3 Intermediate Certificate in Food Safety and Level 1 Foundation Certificate in Nutrition. The Team also undertake campaigns during the year.

It is anticipated that we will continue to promote a “Curry Chef of the Year” competition which will require, as part of the terms of entry, consideration of the standards of hygiene of the businesses involved. A joint final was held with 3 other Authorities in 2011. More local authorities in the region hope to have representatives in the final this year.

The Heartbeat Award has been running in Sunderland since 1990 and the Healthy Home award commenced in this Authority in 1997. Each of these award schemes has food hygiene related elements. A total of 138 Heart of Sunderland awards and 27 Healthy Home awards were given in 2011/12.

During 2011/12:-

- § 5 Food Hygiene Refresher Training Courses were held for 80 delegates.
- § 19 courses were held in Level 2 Award Food Hygiene attended by 205

§ delegates.

§ 8 delegates attended Level 3 Intermediate Certificate training.

Basic food hygiene information for consumers is available on the Council Website. Similarly advice is also available on food poisoning organisms and what to do in the event of suspecting that you are ill from consuming contaminated food.

This year the Heartbeat award was replaced with a new award, the Heart of Sunderland award.

The award recognises and rewards businesses that offer healthy food options, promotes healthy eating and makes it easier for customers to make an informed choice on foods they buy.

There are 3 award categories:

Bronze awarded to premises which make food healthier by reducing fat, salt and sugar content but may have a limited menu

Silver awarded to premises which are committed to improving the nutritional quality of the food and help customers make informed choices.

Gold awarded to premises which can demonstrate a healthy eating policy with nutritionally trained staff.

In addition, all award premises must demonstrate good standards of hygiene with a food hygiene rating of 3 or above.

A no smoking policy must be in place with support given to staff wishing to quit and information displayed on counterfeit cigarettes.

A total of 138 premises received the awards;

55 Gold

75 Silver

8 Bronze

Healthy Home awards were presented to 27 nursing and residential homes across the City.

A seminar was held in February 2012 which was well attended by home managers. Information and presentations were delivered on relevant subjects associated with the award. (From 2012 the Healthy Home award forms part of the Adult Health and Housing services quality rating system).

The awards are presented to homes which have a food hygiene rating of 3 or above, balanced menus, health and safety policies and procedures in place, together with a number of care issues for the service users.

The Curry chef competition took place locally and regionally with 4 chefs competing in the regional final. 2011 saw a nutritional element being included in the competition.

4. RESOURCES

4.1 Financial Allocation

For 2012-13 the budget for Food Control (CC0120) is £478,667 of which £282,282 is delegated (i.e. controlled by the budget manager).

Health Promotion (CC0131) has a general budget of £56,504 (of which £27,699 is delegated) including anticipated income of £24,275 partly from food hygiene training.

The Feedstuffs element of the Trading Standards budget relating to Inspection, Training and Business Advice is estimated to be £2,500, equating to approximately 111 officer hours (Grade POF/G) per annum.

4.2 Staffing Allocation

Staffing resources will possibly change as a consequence of Regulatory Review. Staff allocated to Food work in 2011/12 were as follows;

Food Team

- 1 Principal Environmental Health Officer / Team Leader (Full Time)
- 3 Senior Environmental Health Officers (2.9 FTE)
- 1 Environmental Health Officer
- 1 Technical Officer (Full time – working towards Higher Certificate)

All of the full-time Senior Environmental Health Officers currently employed have over 2 years experience in food matters. The EHO is progressing very well and continues to gain valuable experience.

Health Promotion

- 1 Health Promotion Specialist (Part time on food matters)
- 1 Health Promotion Assistant (Part time on food matters)

Trading Standards

- 3 Trading Standards Officer (Part time fertiliser and feedingstuffs)
- 3 Trading Standards Officer (Part time Primary Producers)

Estimated Total Full-time equivalent for all Food and Feedstuffs activity = 7.075 Officers on the establishment.

Last year the Environmental Health, Trading Standards and Licensing Teams were moved to the Depot building at Jack Crawford House. Administration Support was redeployed in Support Services (SSS) and initial customer contact was undertaken by the Customer Contact Network. All three significant changes have been undertaken satisfactorily with the cooperation of management and staff embracing the Sunderland Way of Working.

4.3 Staff Development Plan

Staff Appraisals are undertaken regularly and the findings are included in staff development and training plans. Cooperation regionally through the Food Liaison Group and the assistance of the Food Standards Agency in providing low cost training is acknowledged.

Individuals are sent to specific training where appropriate and all Environmental Health Officers are required to maintain a training log in order to comply with Continuing Professional Development.

Training days and training sessions on subjects are programmed as necessary.

Any members of staff "new" to food tasks will need to be supervised and receive training commensurate with the Code of Practice.

5. QUALITY ASSESSMENT

Monitored inspections will be recorded within the food premises database during this year.

The necessary arrangements were made, with assistance from the IT section, for the new annual return of statistics for 2009/10 (LAEMS – Local Authority Enforcement Monitoring System). The 2011/12 return is well on schedule to be provided to the Food Standards Agency by the required internet method, as required before the deadline of 1st June 2012. The return gives specific detailed information about every food business in the City rather than collated statistics as required in the past.

6. REVIEW / PERFORMANCE MANAGEMENT

6.1 Review against Service Plan

A review against the service plan is undertaken mid-year with consideration of achievements against targets. In the interim periods, line management monitors progress, including utilising the very effective in-house database software. The anticipated change to commercial software for sustainability reasons has not been achieved due to the financial cost of the software.

Monthly targets are set for each officer and officers are expected to achieve the required inspection rate to reach annual service level targets.

The Corporate Improvement Plan and an Annual Report is produced to define achievements made during the previous year.

The Service Plan and Annual Report are submitted to the Chief Executive for consideration by the Council as part of the Director's Performance Agreement.

6.2 Identification of any variance from the Service Plan

The food control team performed extremely well against the Service Plan for 2011 / 2012 in all areas of Service Delivery.

The comprehensive review of procedure and policy documents is on-going.

6.3 Improvements Achieved

- Implement the Food Hygiene Star Rating Award system on the FSA website (Target launch 28 June 2011). Achieved
- Continue to implement alternative enforcement strategy for low risk businesses with LAs in the region. Achieved
- Contribute fully to regional training and support all peer review, Inter Authority Audit and / or internal monitoring exercises between LAs in the region. Achieved
- Continue to promote the use of Safer Food Better Business (SFBB), a food safety management scheme, to appropriate food businesses in the City during visits by Officers and within training programmes. Achieved
- Continue to support the Healthy Home Award to raise standards in that sector. Achieved

6.4 Areas for Improvement

- Continue to implement the requirements / guidance of the Local Better Regulation Office in relation to the Regulatory Reform Act. Ongoing
- Progress any necessary actions as a result of future determination of the BTP re departmental computer software. No actions determined.

Due to the regulatory Review, this year may see significant changes to the structure of the section and process for accomplishing the food safety responsibility, which at this stage are difficult to forecast

END

CABINET MEETING – 18 JULY 2012
EXECUTIVE SUMMARY SHEET – PART I

Title of Report:

Traffic Management Services 2012-2016.

Author(s):

Executive Director City Services

Purpose of Report:

To seek approval to the principle of letting a Traffic Management Services Contract.

Description of Decision:

Approved in principle the letting of a Traffic Management Services Contract for the period 2012-2016.

Is the decision consistent with the Budget/Policy Framework? ***Yes**

If not, Council approval is required to change the Budget/Policy Framework

Suggested reason(s) for Decision:

In accordance with the Constitution, Cabinet approval is required where the procurement value is equal to or exceeds £250,000.

Alternative options to be considered and recommended to be rejected:

No alternative options are offered for consideration.

Impacts analysed;

Equality Privacy Sustainability Crime and Disorder

Is this a “Key Decision” as defined in the Constitution? **Yes**

Is it included in the Forward Plan?
Yes

Scrutiny Committee

TRAFFIC MANAGEMENT SERVICES CONTRACT 2012-2016

REPORT OF THE EXECUTIVE DIRECTOR CITY SERVICES

1.0 Purpose of the report

- 1.1 This report seeks approval to the principle of letting a Traffic Management Services Contract.

2.0 Description of Decision

- 2.1 It is recommended that Cabinet approves the principle of letting a Traffic Management Services contract for the period 2012-2016.

3.0 Background

- 3.1 In October 2010 the Executive Director City Services accepted a tender from Roadsafe Ltd to undertake road traffic management on the city's high speed roads. The contract duration was for one year with an option of a one year extension. The contract is currently in the extension period which expires in November 2012.
- 3.2 Whilst the existing contract comprehensively addresses temporary traffic management arrangements on high speed roads, it does not cover all of the council's requirements, particularly in relation to traffic management for council events, road markings, highway schemes and minor repairs to roads and footpaths.
- 3.3 Currently the council's annual expenditure on traffic management services is in the region of £250,000.
- 3.4 The impending expiry of the existing contract now requires for a new tender process to be initiated.

4.0 Selection and Tendering Process

- 4.1 Following a scoping exercise by the council's procurement team it has been determined that a framework contract that aggregates all the council's requirements will be of most benefit to the council. It is also considered that this service falls within the European Union procurement regulations.

- 4.2 An advertisement is to be published in the Official Journal of the European Union (OJEU) and the Contract Journal seeking expressions of interest from companies specialising in Traffic Management Services with a view to tendering and appointing a contractor for a period of 4 years. It is considered that this duration of contact should prove more attractive to

firms and result in keener pricing. The total value for the four year commission is approximately £1m.

- 4.3 Through the council's Scheme of Delegation the Executive Director City Services will accept the most economically advantageous tender returned to the council.

5.0 Scope of Works

- 5.1 It is proposed that the following activities are incorporated in to the new contract:

- Temporary traffic management at road works on high speed roads.
- Temporary traffic arrangements for road markings, highway schemes, minor repairs to roads and footpaths.
- Temporary traffic management for council events such as the Airshow, Houghton Feast and the Remembrance Sunday Parade.

6.0 Reason for Decision

- 6.1 In accordance with the Constitution, Cabinet approval is required where the procurement value is equal to or exceeds £250,000.

7.0 Consultations

- 7.1 The Executive Director of Commercial & Corporate Services views have been incorporated in this report.

8.0 Alternative Options

- 8.1 No alternative options are offered for consideration.

9.0 Background Papers

- 9.1 Corporate Procurement Sub-Category Scoping Report-September 2011.

CABINET MEETING – 18 JULY 2012 EXECUTIVE SUMMARY SHEET – PART I	
Title of Report:	Community Equipment Service (CES) – NHS Collaborative Framework Agreement for the provision of pressure relieving equipment.
Author(s):	Executive Director of Health, Housing and Adult Services
Purpose of Report:	To seek Cabinet's approval to invite suppliers to tender for the provision of pressure care products via a Collaborative Framework Agreement.
Description of Decision:	<p>Cabinet is asked to approve:</p> <ul style="list-style-type: none"> i) The invitation of suppliers to tender for the provision of pressure care products using a collaborative framework agreement for South Tyneside NHS Trust, Sunderland, Gateshead and South Tyneside Equipment Stores. ii) Awarding the contract to the supplier who provides the most economically advantageous tender.
Is the decision consistent with the Budget/Policy Framework?	Yes
If not, Council approval is required to change the Budget/Policy Framework	
Suggested reason(s) for Decision:	The framework agreement will ensure that a wide and comprehensive range of pressure care products and services are available in one place, providing competitive prices for call off and volume purchases achieved using the collective bargaining power of the South Tyneside NHS Trust, Sunderland, Gateshead and South Tyneside Equipment Stores.
Alternative options to be considered and recommended to be rejected:	The alternative option is for Sunderland Council to carry out a stand alone procurement exercise however this would not achieve the same level of economies of scale and consistency of approach as collaborative working across the health authority area.

Impacts analysed: Equality <input type="checkbox"/> Privacy <input type="checkbox"/> Sustainability <input checked="" type="checkbox"/> Crime and Disorder <input type="checkbox"/>	
Is this a “Key Decision” as defined in the Constitution? Yes Is it included in the Forward Plan? No	Scrutiny Committee:

REPORT OF THE EXECUTIVE DIRECTOR OF HEALTH, HOUSING AND ADULT SERVICES

COMMUNITY EQUIPMENT SERVICE (CES) – NHS COLLABORATIVE FRAMEWORK AGREEMENT FOR THE PROVISION OF PRESSURE RELIEVING EQUIPMENT

1. PURPOSE OF THE REPORT

- 1.1 Community Equipment Service (CES) – NHS Collaborative Framework Agreement for the provision of pressure relieving equipment.

2. DESCRIPTION OF DECISION

- 2.1 Cabinet is asked to approve:

- i) The invitation of suppliers to tender for the provision of pressure care products using a collaborative framework agreement for South Tyneside NHS Trust, Sunderland, Gateshead and South Tyneside Equipment Stores.
- ii) The Framework Agreement will be awarded in 3 separate product areas (Lots). These are:
 - Powered Beds
 - Static and Dynamic Support Services (Pressure relieving mattresses)
 - Static Cushions (Pressure relieving cushions)
- iii) Awarding the contract to the supplier who provides the most economically advantageous tender

3. BACKGROUND

- 3.1 CES is a jointly funded partnership between Sunderland City Council and Sunderland Teaching Primary Care Trust (STPCT). CES is delivered by Sunderland City Council and provides community equipment and simple aids for daily living to meet the clinical and social needs of the residents of Sunderland, following assessment by a health or social care professional. The equipment loaned is designed to promote personal independence, safety and mobility and is also supplied to social and health care practitioners to help in their course of work in the community. Sunderland CES provides a procurement, storage, delivery, installation, demonstration, collection, cleaning, refurbishment and recycling service.
- 3.2 The increase in demand for equipment and minor adaptations shows a continuing trend in recent years. In 2011-12, 41868 items of equipment were delivered – an increase of 14% on the previous year. It is thought that this is as a result of a number of factors outlined below:

- An increase in the number of children with disabilities surviving into adulthood, particularly due to increased birth rates in the 1990s;
- An increase in older people, particularly those with functional dependencies because of ill-health who need help with daily living.
- An increase in the number of customers experiencing significant trauma i.e. head injury, amputation or surviving injury and being supported to live at home.
- More people aspire to stay in their homes for as long as possible rather than, as an alternative, admission to institutional care and is a key objective in the Sunderland Strategy.

3.3 Sunderland CES undertook a procurement exercise in 2010 to put a framework agreement in place for standard items of equipment which helped to contribute to the overall financial performance of CES. Pressure relieving equipment was not included in this exercise.

4. CURRENT POSITION

4.1 CES has put a number of measures in place to manage demand within existing resources whilst ensuring that an effective and efficient service is still delivered to customers. The procurement exercise outlined within this report will allow the Council to benefit from further economies of scale and from consolidated relationship management with the suppliers on the framework, as well as ensuring that there is a consistent approach to the supply of pressure relief equipment across the health authority area. In 2011/12 in Sunderland there were 2722 items of pressure relief equipment delivered to clients at a value of £1,155,494.

5. REASONS FOR DECISION

5.1 The framework agreement will ensure that a wide and comprehensive range of pressure care products and services are available in one place, providing competitive prices for call off and volume purchases achieved using the collective bargaining power of the South Tyneside NHS Trust, Sunderland, Gateshead and South Tyneside Equipment Stores.

The framework agreement for pressure care equipment will bring numerous benefits to the Council and its Customers as outlined below:

- I. Reduced waiting times for provision of equipment resulting in improved customer experience
- II. Reduced costs achieved through economies of scale
- III. Increase in the amount of equipment and components that can be recycled and as such in the longer term reduce the number of new pieces of equipment that are purchased at full cost
- IV. The same product will be used across the health authority area helping to ensure a consistent approach to prescribing patterns and care of patients

- 5.2 The contract term will be for 3 years with an option to extend for up to a further 12 months.

6. ALTERNATIVE OPTIONS

- 6.1 The alternative option is for Sunderland Council to carry out a stand alone procurement exercise however this would not achieve the same level of economies of scale and consistency of approach as collaborative working across the health authority area.

7. IMPACT ANALYSIS

7.1 Sustainability Impact Assessment

Whilst this report is seeking permission to progress with the implementation of a framework agreement for pressure relieving equipment, the main emphasis of service delivery within CES is on the recycling and refurbishment of equipment. Whilst the total value of equipment delivered in 2011/12 was £6,347,471 the actual budget spent on equipment, premises and staffing was £2,744.497. Refurbished equipment generally forms between three quarters or two thirds of the total equipment delivered.

8. RELEVANT CONSIDERATIONS/CONSULTATION

8.1 Legal and Procurement Implications

Legal Services and Corporate Procurement have and will continue to be consulted throughout the procurement process.

9. GLOSSARY

CES – Community Equipment Service
NHS – National Health Service

10. LIST OF APPENDICES

None.

11. BACKGROUND PAPERS

The National Health Service and Community Care Act (1990).

The Chronically Sick and Disabled Persons Act (1970).

Statement of Purpose for the Provision of Equipment and Wheelchairs
Revised October 2010.

Department of Health, Guide to Integrating Community Equipment
Services.

