

SCRUTINY COMMITTEE

AGENDA

Meeting to be held in the Civic Centre (Committee Room No. 1) on Thursday, 14th January, 2015 at 5.30 p.m.

Membership

Cllrs, Davison, Dixon, Fletcher, Howe, Scanlan, David Snowdon, Dianne Snowdon and N. Wright

Co-opted Members – Ms. A. Blakey, Ms. R. Elliott and Ms. H. Harper and Mr. S. Williamson.

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Part D – Health Substantial Variations to Service

No items

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No items

E. WAUGH,
Head of Law and Governance,
Civic Centre,
SUNDERLAND.

6th January, 2016.

**At a meeting of the SCRUTINY COMMITTEE held in the CIVIC CENTRE
SUNDERLAND on THURSDAY, 3RD DECEMBER, 2015 at 5.30 p.m.**

Present:-

Councillor Dianne Snowdon in the Chair

Councillors Davison, D. Dixon, Fletcher, Scanlan and David Snowdon and Mr Steve Williamson.

Also in attendance:-

Councillor Trueman – (in respect of item 4 only)

Ms. Karen Brown, Scrutiny Officer, Sunderland City Council

Ms. Charlotte Burnham, Head of Scrutiny and Area Arrangements, Sunderland City Council

Mr. Nigel Cummings, Scrutiny Officer, Sunderland City Council

Mr. Jim Diamond, Scrutiny Officer, Sunderland City Council

Mr. Stuart Douglass, Lead Policy Officer for Community Safety, Sunderland City Council

Mr. David Gallagher, Chief Officer, Sunderland Clinical Commissioning Group

Ms. Gillian Gibson, Consultant in Public Health, Sunderland City Council

Mr. David Noon, Principal Governance Services Officer, Sunderland City Council

Apologies for Absence

Apologies for absence were submitted to the meeting on behalf of Councillors Howe and N. Wright.

Change in the order of Business

The Chairman advised that she would be taking item 4 on the agenda (Safer Sunderland Annual Report) at this juncture to allow Councillor Trueman to leave and attend another meeting immediately thereafter.

Safer Sunderland Annual Report 2014-15

The Lead Policy Officer for Community Safety submitted a report (copy circulated) which provided the Committee with the annual report of the Safer Sunderland Partnership (SSP) for 2014-15.

(for copy report – see original minutes)

Stuart Douglass, Lead Policy Officer for Community Safety and Councillor Trueman, Deputy Leader, presented the report, highlighting the key points and addressing questions and comments from Members.

In response to an enquiry from Councillor David Snowdon, Councillor Trueman advised that currently there was no specific evidence to link the rise in recorded crime with welfare reform or central government cutbacks. There had been speculation that changes to the benefit system could be reflected in increased levels of shoplifting however crime figures in this category had actually declined. There was a school of thought that people were increasingly relying on payday loans to avoid falling into criminality and that the change from weekly to monthly benefits payments may impact on local crimes rates.

Councillor Dixon advised that he had attended the West Sunderland Area Committee the previous evening where Northumbria Police had presented the local crime statistics. The police had explained the recent changes implemented by the Home Office in relation to the collation and recording of the crime figures and the fluctuations this had caused in the statistics.

In response to an enquiry from Councillor Fletcher in respect of issues in relation to the A690 at Houghton, Mr Douglas advised that he would ask Michelle Cotes to place it on the next LMAPs agenda.

With regard to the format of the report, Councillor David Snowdon commented that the use of percentages was pointless if the actual number of cases concerned weren't also included.

The Chairman welcomed the enormous amount of positive work that been done to tackle the issue of domestic violence and noted that this had resulted in an increase in the number of incidents reported. Councillor Trueman advised that the amount of publicity given to the matter had helped remove any stigma and had brought the issue into the open. The crime of domestic violence was no longer a hidden crime.

There being no further questions the Chairman thanked Mr Douglass and Councillor Trueman for their attendance and it was:-

1. RESOLVED that the report be received and noted and that a further report on the key achievements in delivering the strategic priorities be submitted at the end of 2015/16.

Minutes of the last Ordinary Meeting of the Committee held on 5th November, 2015 and of the Extraordinary Meetings held on 25th February and 21st October, 2015.

2. RESOLVED that the minutes of the last ordinary meeting of the Scrutiny Committee held on 8th October, 2015 and of the extraordinary meetings held on 25th February and 21st October 2015 (copies circulated), be confirmed and signed as correct records.

Declarations of Interest (including Whipping Declarations)

There were no declarations of interest made.

CQC Inspections of General Practices in Sunderland

The Chief Officer of the Sunderland Clinical Commissioning Group submitted a report (copy circulated) which updated the Committee on the recent Care Quality Commission (CQC) general practice reports published in respect of the Conishead, Church View and Harraton surgeries.

(for copy report – see original minutes)

The Chairman welcomed Mr David Gallagher, Chief Officer of the CCG who presented the report highlighting the key aspects and in particular the support being provided for Harraton surgery which had been deemed inadequate in the CQC report.

In response to an enquiry from Councillor David Snowdon, Mr Gallagher confirmed that the surgery was not in special measures prior to the CQC inspection. Mr Williamson queried whether the inadequate rating had implications for patient safety. Mr Gallagher replied that it did not. There were no fundamental clinical safety issues for the practice arising from the inspection. If there had been, the CCG would have stepped in and taken action.

Councillor Scanlon asked whether the practice was required to notify patients of the inspection findings. Mr Gallagher confirmed that it was and that the CCG would be providing support to assist the surgery in doing so. Councillor Scanlon also asked whether the practice need to display a formal notice about the inspection on the premises. Mr Gallagher confirmed that this was the case.

The Chairman having thanked Mr Gallagher for his report, it was :-

3. RESOLVED that the report be received and noted.

Review of Scrutiny Arrangements and Next Steps

The Chairman of the Scrutiny Committee and Head of Scrutiny and Area Arrangements submitted a report (copy circulated) which sought the views of the Committee on the proposed structure and operating arrangements of a new scrutiny model for the Council.

(For copy report – see original minutes).

Ms. Charlotte Burnham, Head of Scrutiny and Area Arrangements together with Karen Brown, Scrutiny Officer presented the report highlighting the background to the issue, the key proposals in relation to the revised Scrutiny Structure and Committee memberships, together with details of the proposed transitional arrangements to operate from January 2016 prior to the formal adoption of the new structure at Annual Council in May 2016.

Members gave detailed consideration to the report and the following points were highlighted:-

- i) Consideration be given to an amendment to the proposed membership of the Scrutiny Co-ordinating Committee,(as detailed in Appendix one of the report), to provide for the inclusion of the Vice Chairs of the three thematic Scrutiny Committees resulting in the following membership:-

Chairman
Vice Chairman
3X Thematic Chairman
3X Thematic Vice Chairman
6 Scrutiny Members
(Total = 14 Members)

- ii) Consideration be given to the power to appoint co-opted member(s) to the Scrutiny Co-ordinating Committee

The Chairman having thanked Ms Burnham and Ms Brown for presenting the report it was:-

4. RESOLVED that:-

- i) it be recommended to the Council that subject to i) and ii) above, approval be given to the proposed new model for Scrutiny as detailed in paragraph 5 and appendix 1 of the report;
- ii) approval be given to the proposed transitional arrangements to be implemented between January and April 2016 as detailed in paragraph 7 and appendix 2 of the report and
- iii) the progress towards delivering the actions arising from the independent Scrutiny Review as detailed in appendix 3 of the report be noted.

Monitoring the Delivery of Agreed Scrutiny Recommendations

The Head of Scrutiny and Area Arrangements submitted a report (copy circulated) providing the Scrutiny Committee with progress in relation to the implementation of agreed scrutiny recommendations from 14 policy reviews conducted by the relevant scrutiny panel during 2013/14 and 2014/15 respectively.

(For copy report – see original minutes).

Nigel Cummings, Scrutiny Officer having presented the report, it was:-

5. RESOLVED that the progress towards completion of the actions detailed within the Action Plans as set out in Appendices A to M of the report be noted.

Notice of Key Decisions

The Interim Head of Paid Service and Director of Finance submitted a report (copy circulated) providing Members with an opportunity to consider those items on the Executive's Notice of Key Decisions for the 28 day period from 17th November, 2015.

(For copy report – see original minutes).

6. RESOLVED that the Notice of Key Decisions be received and noted.

Annual Work Programme 2015-16

The Head of Scrutiny and Area Arrangements submitted a report (copy circulated) which provided the Annual Scrutiny Work Programme for 2015-16 for the Committee's information.

(For copy report – see original minutes).

Nigel Cummings advised that it had now been confirmed that the further update in respect of Sunderland breast services would be reported to the Committee at its January 14th meeting. Given the nature of the subject, Mr Williams expressed concern that two meetings of the Working Group in respect of Breast Services had been cancelled. Mr Cummings reported that unfortunately the cancellations had been unavoidable however the next meeting had been arranged for 15th December, 2015.

7. RESOLVED that the information contained in the work programme be received and noted.

Member Development Opportunity

The Interim Head of Paid Service and Director of Finance submitted a report (copy circulated) providing Members with details of a development opportunity in relation to Health and Social Care.

(For copy report – see original minutes).

8. RESOLVED that approval be given to the attendance of two members of the Committee and a Scrutiny Officer at the Westminster Briefing 'The Future of Health and Wellbeing Boards' to be held at Westminster on Tuesday 23rd February, 2016.

Lead Scrutiny Member Update: December, 2015

The Lead Scrutiny Members submitted a joint report (copy circulated), which provided an overview to the Scrutiny Committee of the work of each of the six Lead Scrutiny Members and supporting Panels to date.

(For copy report – see original minutes).

Mr Cummings having advised that the Budget Consultation event for Scrutiny Members would be held on Wednesday, 9th December, 2015 in Committee Rm1 at

2.00pm and that he would email round details of the proposed Scrutiny Members development day, it was ;-

9. RESOLVED that:-

- (a) the update of the Lead Scrutiny Members be received and noted; and
- (b) the current expenditure and remaining scrutiny budget for 2015/16 be noted.

The Chairman on behalf of the Committee placed on record her best wishes to Councillor Norma Wright for a full and speedy recovery and having thanked everyone for their attendance and contributions, closed the meeting.

(Signed) DIANNE SNOWDON,
Chairman.

SCRUTINY COMMITTEE

14 JANUARY 2016

ANNUAL AUDIT LETTER 2014/15

REPORT OF THE HEAD OF LAW AND GOVERNANCE

1. PURPOSE OF THE REPORT

- 1.1 To provide Members with an opportunity to consider the Annual Audit Letter for 2014/15, considered by Cabinet on 16 December 2015, and to meet with the representative from the external auditors Mazars.

2. BACKGROUND INFORMATION

- 2.1 The Cabinet, at its meeting on 16 December 2015, gave consideration to the attached report of the Interim Head of Paid Service and Director of Finance in relation to the City Council's Annual Audit Letter covering the year 2014/15 (**Appendix 1**).

3. RECOMMENDATION

- 3.1 To consider the Council's Annual Audit Letter for 2014/15 and seek the views of the representative from Mazars where appropriate.

4. BACKGROUND PAPERS

- Cabinet Agenda – 16 December 2015

Contact Officer : David Noon Principal Governance Services Officer
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CABINET MEETING – 16 DECEMBER 2015

EXECUTIVE SUMMARY SHEET – PART I

Title of Report:

Annual Audit Letter 2014 - 2015

Author(s):

Interim Head of Paid Service and Director of Finance

Purpose of Report:

This report details the external auditor's (Mazars) Annual Audit Letter (AAL) covering the year 2014/2015. A copy is attached.

Description of Decision:

Cabinet is recommended to:

- Note and comment on the contents of this report, and
- Refer the report to Council for their consideration

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:

Not applicable as the report is for information only.

Alternative options to be considered and recommended to be rejected:

Not applicable as the report is for information only.

Impacts analysed:

Equality ☒ Privacy ☒ Sustainability ☒ Crime and Disorder ☒

Is the Decision consistent with the Council's Co-operative values? Yes

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

Is it included in the 28 day Notice of Decisions? No

Cabinet Meeting – 16th December 2015

ANNUAL AUDIT LETTER 2014 - 2015

Report of the Interim Head of Paid Service and Director of Finance

1.0 Purpose of Report

- 1.1 This report details the external auditors (Mazars) Annual Audit Letter (AAL) covering the year 2014/2015. A copy is attached.

2.0 Description of Decision

- 2.1 Cabinet is recommended to:
- Note and comment on the contents of this report, and
 - Refer the report to Council for their consideration.

3.0 Introduction

- 3.1 The Audit Commission's Code of Audit Practice requires auditors to prepare an AAL and issue it to each audited body. The purpose of preparing and issuing an AAL is to communicate to the audited body and key external stakeholders, including members of the public, the key issues arising from the auditors' work, which auditors consider should be brought to the attention of the audited body.
- 3.2 The AAL summarises the findings of the 2014/15 audit, which comprises of two key elements:
- An audit of the Council's financial statements
 - An assessment of the Council's arrangements to achieve value for money in the use of its resources

4.0 Summary Position

- 4.1 The AAL is positive overall, providing a strong endorsement of the financial management and governance arrangements in place across the Council.
- 4.2 The Auditor issued an unqualified audit opinion on the Council's financial statements and in this respect the report confirms that the Council:
- Produced "good quality" accounts for 2014/15, within the statutory timescales and that gave a true and fair view of the council's financial position;
 - Produced an accurate Annual Governance Statement which was found to be consistent with the views of the auditor;
 - Received no questions or objections to the accounts;
 - Accurately reported its financial performance to government via the Whole of Government Accounts process.

4.3 The Auditor also issued a qualified audit opinion on the Council's Value For money Conclusion however they noted that, in all significant respects, the council had proper arrangements in place to secure economy, efficiency and effectiveness of its use of resources, "except for" the areas that were assessed as inadequate by Ofsted in their report on children's services published in July 2015. This issue is fully set out on page 6 of the Auditors correspondence.

4.4 For information the opinion noted that the Council:

- Was financially resilient and had robust systems and processes to manage financial risks and opportunities effectively, and to secure a stable financial position that enables it to continue to operate for the foreseeable future;
- Was prioritising its resources within tighter budgets by achieving significant cost reductions and by improving efficiency and productivity;
- Continued to manage its financial position very well as both budget setting and close budget monitoring were considered robust which had culminated in a small underspend of £0.6m despite having to successfully deliver continued significant financial savings of over £36m in respect of cuts in government funding and other cost pressures in the financial year;
- Had already delivered £171m of savings for the period 2010/2011 up to the end of 2014/2015 and had made significant changes to secure its future viability as a community leadership council, through implementing alternative models of service delivery (eg Sunderland Care and Support Ltd), working with partners (most notably establishing the Better Care Fund with Sunderland Clinical Commissioning Group and finalising the local asset backed vehicle (LABV) via Siglion to accelerate economic regeneration in the city);
- Invested in infrastructure (through its ambitious capital programme) which includes the City Deal and the creation of a new International Advanced Manufacturing Park; the Sunderland Strategic Transport Corridor including the new Wear bridge; and development of the Vaux site and St Mary's Boulevard aimed at reinvigorating the city centre;
- Has also made other significant transformational changes to deliver challenging savings targets whilst improving service delivery;
- Is aware of the continued and significant further grant reductions it is likely to face (estimated at £149m for the period 2015/16 to 2019/20) and is therefore continuing to identify ways of improving service efficiencies and ways of working to further improve service delivery and outcomes within this very challenging environment with fewer resources.

5. Alternative Options

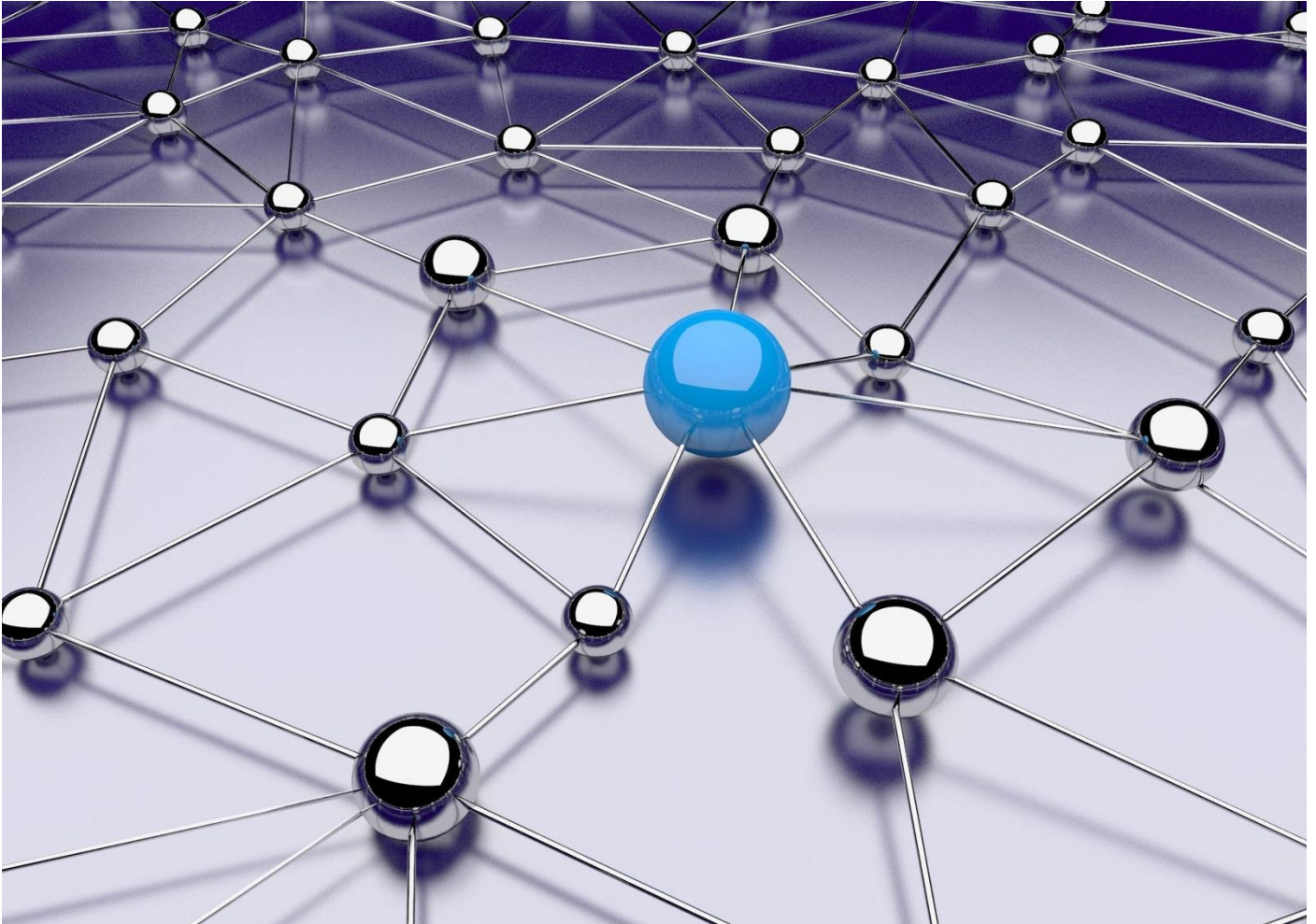
5.1 Not applicable as the report is for information only.

6. List of Appendices

6.1 Appendix A - Sunderland City Council Annual Audit Letter 2014/2015.

Annual Audit Letter 2014/15

Sunderland City Council




Sunderland
City Council

October 2015

Mazars LLP
Rivergreen Centre
Aykley Heads
Durham
DH1 5TS

Members
Sunderland City Council
Civic Centre
Burdon Road
Sunderland
SR2 7DN

30 October 2015

Dear Members

Sunderland City Council - Annual Audit Letter 2015

I am delighted to present to you Sunderland City Council's (the Council's) Annual Audit Letter. The purpose of this document is to summarise the outcome of the audit of the Council's 2014/15 annual accounts and our work on our value for money conclusion.

We carried out the audit in accordance with the Code of Audit Practice for Local Government bodies as issued by the Audit Commission and delivered all expected outputs in line with the timetable established by the Accounts and Audit Regulations 2011 and the National Audit Office.

2014/2015 has been another challenging year for the Council and like most other authorities in the North East, Sunderland City Council made some tough decisions on its spending priorities and plans for the future. We reflect on these matters in the value for money and future challenges sections of this letter.

Given the difficult circumstances we were pleased to issue an unqualified opinion on the statement of accounts. In relation to value for money, we concluded that, in all significant respects, the Council had made proper arrangements to secure economy, efficiency and effectiveness in its use of resources except for the areas that were assessed as inadequate by Ofsted in their report on children's services in July 2015. We explain this further in the value for money part of this letter.

I would like to express my thanks for the assistance of the Council's finance team, as well as senior officers and the Audit and Governance Committee; the continued constructive approach to our audit is appreciated.

If you would like to discuss any matters in more detail then please do not hesitate to contact me or my senior manager Gavin Barker on 0191 383 6300.

Yours faithfully

Mark Kirkham
Partner
Mazars LLP

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Our reports are prepared in the context of the Audit Commission’s ‘Statement of responsibilities of auditors and audited bodies’. Reports and letters prepared by appointed auditors and addressed to Members or officers are prepared for the sole use of the Council and we take no responsibility to any Member or officer in their individual capacity or to any third party.

Mazars LLP is the UK firm of Mazars, an international advisory and accountancy group. Mazars LLP is registered by the Institute of Chartered Accountants in England and Wales

01 Key messages

Our Annual Audit Letter provides a summary of our work and findings for the 2014/15 audit period for Members and other interested parties.

In 2014/15 our audit of the Council included the following main elements:

- auditing your financial statements; and
- assessing arrangements for achieving value for money (VFM) in your use of resources.

We reported the detailed findings from our audit work to the Audit and Governance Committee in our Audit Completion Report on 25 September 2015.

The key conclusions for each element are summarised below.

Our audit of the statement of accounts

We issued an audit report including an unqualified opinion on the Council's financial statements on 30 September 2015.

Our VFM conclusion

We carried out sufficient, relevant work, in line with the Audit Commission's guidance, so that we could conclude on whether you had in place, for 2014/15, proper arrangements to secure economy, efficiency and effectiveness in your use of resources.

We were required to consider two specified criteria:

- the Council has proper arrangements in place for securing financial resilience; and
- the Council has proper arrangements for challenging how it secures economy, efficiency and effectiveness.

We issued our VFM conclusion on 30 September 2015. This included an 'except for' qualification which is explained further in section 3 of this report.

Whole of Government Accounts

We provide assurance to the National Audit Office (NAO), as the auditor of central government departments, in relation to the consistency of your WGA consolidation pack with the audited statement of accounts. We reported that your consolidation pack was consistent with the audited statement of accounts on 30 September 2015.

Our other responsibilities

As the Council's appointed external auditor, we have other powers and responsibilities as set out in the Audit Commission Act 1998. These include responding to questions on the accounts raised by local electors as well as a number of reporting powers such as reporting in the public interest. We did not receive any questions or objections in relation to your 2014/15 accounts from local electors, nor did we exercise our wider reporting powers.

02 Financial statements

Audit of the financial statements

We audited your financial statements in line with auditing standards and we reported our detailed findings to the meeting of the Audit and Governance Committee on 25 September 2015. We issued an audit report, including an unqualified opinion, on the statement of accounts on 30 September 2015.

Preparation of the accounts

The Council presented us with draft accounts in accordance with the national deadline. The production of the statement of accounts is a significant technical challenge involving a great deal of work by the Council's officers. We appreciate the cooperation of management and the patience, courtesy and assistance shown to us in the completion of our work. The working papers supporting the statement of accounts were of good quality and officers were responsive in following up the queries we raised.

Issues arising from the audit of the accounts

We highlight the following key points:

- officers prepared good quality draft statements and working papers;
- we identified very few errors requiring adjustment in the financial statements;
- there were no unadjusted errors and no errors impacting on the Council's general fund balance or earmarked reserves;
- we recorded no significant deficiencies in internal control (noting our work is not intended to express an opinion on the effectiveness of the system of internal control); and
- the positive outcome of the audit and in particular the continued constructive and responsive approach of officers is noteworthy.

Annual Governance Statement (AGS)

The AGS is drafted by the Council to provide assurance to the reader over how it is managed and how it has dealt with risks in the year. We reviewed the AGS to see whether it complied with relevant guidance and whether it was misleading or was inconsistent with what we know about the Council. We found no areas of concern to report.

03 VFM conclusion

We performed our work in line with the Audit Commission's Code of Audit Practice for Local Government bodies and the guidance on the VFM conclusion for 2014/15.

Our work in this area focused on the two criteria specified by the Audit Commission namely:

Criteria	Focus of the criteria
The Council has proper arrangements in place for securing financial resilience.	The Council has robust systems and processes to manage financial risks and opportunities effectively, and to secure a stable financial position that enables it to continue to operate for the foreseeable future.
The Council has proper arrangements for challenging how it secures economy, efficiency and effectiveness.	The Council is prioritising its resources within tighter budgets, for example by achieving cost reductions and by improving efficiency and productivity.

As part of our work, we also:

- review your Annual Governance Statement;
- review the work of other relevant regulatory bodies or inspectorates to the extent the results of the work have an impact on our responsibilities; and
- carry out any risk-based work we determine to be appropriate.

We are not required to consider, nor have we, all aspects of the Council's arrangements. We adopt a risk based approach, designed to identify any significant issues that might exist. We report if significant matters come to our attention which prevent us from concluding that the Council has put in place proper arrangements.

In the Audit Strategy Memorandum we identified a significant risk relevant to the value for money conclusion. We carried out work to address this risk area.

There was one report by other regulatory bodies or inspectorates that was relevant to our work this year. This was the Ofsted report in relation to the Council's children's safeguarding services.

Like other public sector bodies, the Council faces a number of challenges and in light of these we reviewed the Council's arrangements for managing financial risks and securing a stable financial position. We included the results of our review of arrangements for securing VFM in a separate report to the Audit and Governance Committee on 25 September 2015.

Overall conclusion

Our audit report included a conclusion that, in all significant respects, the Council had proper arrangements in place to secure economy, efficiency and effectiveness in its use of resources except for the areas that were assessed as inadequate by Ofsted in their report on children's services in July 2015.

Significant risk

VFM risk

Description of the risk

The Council faces financial pressures from reduced funding and continues to identify plans to deliver future savings. Without robust budgetary control and delivery of its action plans, the Council's financial resilience and service performance could deteriorate.

How we addressed this risk

We reviewed budget monitoring and reporting, focusing on areas where action plans are in place to make savings and seek to minimise any adverse impact on service delivery. We reviewed the plans that were developed to deliver savings.

Conclusion

There is strong evidence of the Council's delivery of savings. Over the five year period from 2010/11 to 2014/15 the Council has achieved savings of £171m. In 2014/15, the Council delivered significant savings and still achieved a small net budget underspend of £0.6m. The Council has identified the need for significant future savings and plans are in place or are being developed to address these challenges.

Financial resilience and securing economy, efficiency and effectiveness

The Council has a strong track record of delivering savings and keeping within budget. The Council also has a reputation for strong leadership and innovation. Measures taken have included:

- significant changes in the way the Council provides services including new models of service delivery, for example, establishing Sunderland Care and Support Ltd, and closer working with partners, for example, with Sunderland Clinical Commissioning Group through the Better Care Fund;
- investment in regeneration including the establishment of Siglion LLP, a local asset backed vehicle, as a joint venture with the private sector to accelerate investment in the City; and,
- other investment in infrastructure including: the City Deal and the creation of a new International Advanced Manufacturing Park; the Sunderland Strategic Transport Corridor, including the building of a new Wear Crossing; and development of the Vaux site and St Mary's Boulevard aimed at reinvigorating the city centre.

The future looks even more challenging. The Government has not yet clarified how much funding levels will reduce but the outlook for the Council is that resources available will not be sufficient to pay for the services it currently provides. The Council forecasts that the savings requirements in the next 5 years from 2015/16 to 2019/20 will be a further £149m and shows an understanding of what these challenges will mean:

"The outlook is therefore extremely challenging and it is clear that as more savings are required the ability to protect frontline services will become increasingly difficult.

The Council continues to plan for these further significant reductions and risks. As set out in the Medium Term Financial Strategy, the achievement of savings will be through a programme of activity based around the council's Community Leadership approach. The Council's role will increasingly shift from delivering services to enabling individuals, communities and other organisations in the public, private and voluntary sectors to work together to address the needs of the city and to encourage people to be more self-supporting."

Source: Explanatory Foreword, Sunderland City Council Financial Statements 2014/15

Ofsted inspection

In seeking to satisfy ourselves that the Council has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources, we have considered reports issued by other regulators.

In July 2015, Ofsted reported the results of an inspection of services for children in need of help and protection, children looked after, care leavers and adoption performance. Ofsted concluded that these services and their leadership, management and governance were inadequate. Ofsted also concluded that the arrangements in place to evaluate the effectiveness of what is done by the Council and its partners to safeguard and promote the welfare of children, through the Sunderland Safeguarding Children Board, were inadequate.

We have identified much good practice in the Council's overall corporate arrangements, however, the Ofsted assessment of children's safeguarding services as 'inadequate' provides evidence of a significant service failure. We note that corporate management had identified that there were significant issues that needed to be addressed, had already taken action and planned further improvement measures. This provides some evidence of the Council's corporate arrangements operating effectively in terms of identifying risks and seeking to address them. Progress with the actions to date, however, has not yet led to the improved outcomes that are needed.

The Ofsted report, although acknowledging some of the measures that have been taken, concluded that they have not yet improved practice or outcomes for young children. The issues raised by Ofsted focus on "widespread, systematic poor practice" in the management of social work for children, which has left significant numbers of cases that have not been fully assessed or progressed, issues over the stability of the workforce and high caseloads, and issues over partnership working, performance management and quality assurance and oversight. Ofsted describe this as "a corporate failure by senior leaders and management that leaves children and young people unsafe."

Our response to the conclusions reached by Ofsted, was to incorporate an 'except for' qualification into our VFM Conclusion. In effect, based on the required scope of our work, our conclusion was that the Council, in all significant respects, put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ended 31 March 2015 'except for' the areas that have been highlighted as inadequate in the Ofsted report.

The Council is addressing the issues raised in the Ofsted inspection, and has appointed an Interim Director with experience of leading improvement. Following the inspection, the Government appointed a Commissioner for Children's Services in Sunderland to work with the Council to advise on improvements and to inform ministers about progress.

04 Future challenges

Financial challenges

The Council has made good progress in addressing its biggest challenges to date and has a proven track record of strong budget management and delivering planned budget reductions. The Council's budget for 2014/15 reflected £36m of savings, and overall there was an underspend of £0.6m against the original budget.

The Council identified that significant savings of £39.8m are required in 2015/16, and forecasts that the savings requirements in the next 5 years from 2015/16 to 2019/20 will be £149m.

Other challenges

Improving children's safeguarding services is a key priority for the Council, and is being closely monitored.

The wider difficulty of maintaining good service performance levels at the same time as reducing budgets is recognised by the Council. The Council is exploring a number of options including alternative models of service delivery.

The Council faces a number of other challenges in the coming year which include:

- Better Care Funding and associated pooled budgets;
- joint working with health and others; and
- the ongoing impact of the Welfare Reform Act.

With a financial outlook that is increasingly challenging, to develop locally responsive services that maintain standards of access and quality, the Council will need to continue to:

- carefully forecast and effectively monitor budgets;
- identify and address financial pressures as they emerge;
- deliver a long term financial strategy that addresses immediate pressure while allowing scope for strategic service change;
- maintain effective arrangements for public engagement; and
- use constructive relationships with partners to safeguard service quality and resilience.

We will focus our 2015/16 audit on the risks that these challenges present to your financial statements and your ability to maintain proper arrangements for securing value for money.

We will also share with you relevant insights that we have as a national and international accounting and advisory firm with experience of working with other public sector and commercial service providers.

In terms of the technical challenges that officers face around the production of the statement of accounts, we will continue to work with them to share our knowledge of new accounting developments and we will be on hand to discuss any issues as and when they arise. A key area in this respect includes liaising with officers as they make preparations for the change in valuation basis for transport infrastructure required by the accounting Code. This will require significant changes in the 2016/17 financial statements and we are already working with both finance and highways officers to ensure all required systems are in place.

05 Fees

As outlined in our Audit Strategy Memorandum presented to the Audit and Governance Committee on 27 March 2015, the Audit Commission sets a scale fee for our audit and certification work. The fees applicable to our work in 2014/15 are summarised below.

Element of work	2013/14 Final Fee	2014/15 As previously reported	2014/15 Final Fee
Code audit work	£183,802	£181,032	£181,032
Certification work	£12,412	£10,300	£10,300
Non-audit work	£35,500	£7,955	£16,870
Total	£231,714	£199,287	£208,202

All fees are shown excluding VAT

The fee outlined above in relation to certification work is an estimate as we are yet to complete our work on certifying the Council's Housing Benefit claim.

Analysis of non-audit work for 2014/15:

Non-audit services	2014/15 Actual Fee
2013/14 Teachers' Pensions Return (included in 2014/15 fees due to the timing of this work)	£2,750
2013/14 Review of s256 Agreements (included in 2014/15 fees due to the timing of this work)	£5,205
2014/15 Teachers' Pensions Return	£2,750
Officer attendance at Mazars' accounting workshops relating to Transport Infrastructure Assets and Group Accounting	£300
Tax advisory services	£865
Advisory review of Better Care Fund plans for health and social care integration	£5,000 ¹
Total fee	£16,870

All fees are shown excluding VAT

¹ Plus travel expenses

Mazars is also the auditor of Sunderland Care and Support Ltd, one of the Council's trading companies. In addition, the firm provides accounts preparation and taxation services to the company.

Should you require any further information on this letter or on any other aspects of our work, please contact:

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REFERENCE FROM CABINET – 13 JANUARY 2016

REVENUE BUDGET 2016/2017 PROPOSALS AND PROVISIONAL REVENUE SUPPORT SETTLEMENT 2016/2017

Report of the Head of Law and Governance

1. Purpose of this Report

- 1.1 To set out for advice and consideration of this Committee a report which will be considered by Cabinet on the 13 January 2016 on the provisional budget proposals 2016/2017 and Provisional Revenue Support Settlement, as a basis for consultation, prior to the receipt of the final Local Government Finance Settlement.
- 1.2 Members' views are requested in accordance with the Budget and Policy Framework Procedure Rules.

2. Background and Current Position

- 2.1 The Cabinet, at its meeting held on 13 January 2016, will give consideration to a report of the Interim Head of Paid Service and Director of Finance on the Revenue Budget 2016/2017 Proposals and Provisional Revenue Support Settlement 2016/2017 (attached at Appendix A). The report advises of the provisional budget proposals for 2016/2017 including the impact of the Provisional Revenue Support Settlement, as a basis for the continuation of budget consultation, prior to the receipt of the final Local Government Finance Settlement 2016/2017.
- 2.2 The report contains a number of issues for Cabinet to consider and approve and it is passed to this Committee in accordance with the Budget and Policy Framework Procedure Rules.
- 2.3 Attached, for information to assist this Committee in providing advice and consideration to Council on the provisional budget proposals are the following reports:
 - Council Tax Base 2016/2017 (Appendix B) - Calculation of the Council Tax Base 2016/2017 in accordance with the Local Government Finance Act 1992 as amended by the Local Authorities (Calculations of Council Tax Base) (Amendment) (England) Regulations 2012 as reported to Cabinet on 13 January 2016;
 - Business Rates Income Forecast 2016/2017 and Projected Business Rates Income Outturn 2015/2016 (Appendix C) as reported to Cabinet on 13 January 2016 which sets out arrangements for estimating:

- the forecast outturn for business rates income for 2015/2016, and
- the business rates income for 2016/2017

to be included in the NNDR1 return which must be submitted to Government by 31 January 2016 in accordance with the Non Domestic Rating (Rates Retention) Regulations 2013.

Cabinet was asked to provide delegated authority to the Director of Finance, in consultation with the Leader of the Council and Cabinet Secretary, to approve the final version of the NNDR1 form to be submitted to DCLG by 31 January 2016 in accordance with regulations, and which will form the basis of the necessary apportionment of the estimated total business rate income for 2016/2017 in the following proportions:

- 50% to the Government
- 1% to the Tyne and Wear Fire and Rescue Authority
- 49% to the Council
- Local Council Tax Support Scheme (Appendix D) as reported to Cabinet on 13 January 2016, which sets out an update on the consultation results for the Local Council Tax Support Scheme and recommends the Local Council Tax Support Scheme set out in the report be implemented with effect from 1 April 2016.

- 2.4 Copies of 13 January 2016 Cabinet agenda have been circulated to all Members of the Council. The decisions and recommendations of the Cabinet will be reported orally to the Scrutiny Committee.

3. Conclusion

- 3.1 The report is referred to this Committee for advice and consideration. The comments of this Committee will be reported to the Council meeting on 27 January 2016.

4. Recommendation

- 4.1 The Scrutiny Committee is invited to give advice and consideration on the attached report of the Interim Head of Paid Service and Director of Finance.

5. Background Papers

- 5.1 Cabinet Agenda, 13 January 2016.
- 5.2 A copy of the Agenda is available for inspection from the Head of Law and Governance or can be viewed on-line at:-

<http://www.sunderland.gov.uk/committees/cm5/Meetings/tabid/73/ctl/ViewMeetingPublic/mid/410/Meeting/8596/Committee/1890/Default.aspx>

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CABINET MEETING – 13 JANUARY 2016 EXECUTIVE SUMMARY SHEET – PART I
Title of Report: Revenue Budget 2016/2017 Proposals and Provisional Revenue Support Settlement 2016/2017
Author(s): Interim Head of Paid Service and Director of Finance
Purpose of Report: To report the provisional budget proposals for 2016/2017 including the impact of the Provisional Revenue Support settlement, as a basis for the continuation of budget consultation, prior to the receipt of the final Local Government Finance Settlement 2016/2017.
Description of Decision: Cabinet is requested to approve the provisional budget proposals, as a basis for the continuation of budget consultation, prior to the receipt of the final Local Government Finance Settlement 2016/2017.
Is the decision consistent with the Budget/Policy Framework? Yes – it is seeking to inform a future decision to change the Budget and Policy Framework for 2016/2017.
If not, Council approval is required to change the Budget/Policy Framework
Suggested reason(s) for Decision: To enable constitutional requirements relating to the development of the Revenue Budget to be met.
Alternative options to be considered and recommended to be rejected: There are no alternative options recommended for approval.
Impacts analysed: Equality <input checked="" type="checkbox"/> Privacy <input checked="" type="checkbox"/> Sustainability <input checked="" type="checkbox"/> Crime and Disorder <input checked="" type="checkbox"/>
Is the Decision consistent with the Council’s co-operative values? Yes
Is this a “Key Decision” as defined in the Constitution? Yes Is it included in the 28 day Notice of Decisions? Yes

**REVENUE BUDGET 2016/2017 PROPOSALS AND PROVISIONAL
REVENUE SUPPORT SETTLEMENT 2016/2017****Report of the Interim Head of Paid Service and Director of Finance****1. Purpose of Report**

- 1.1 This report sets out the provisional budget proposals for 2016/2017 including the impact of the Provisional Revenue Support settlement, as a basis for the continuation of budget consultation, prior to the receipt of the final Local Government Finance Settlement 2016/2017.

2. Description of Decision

- 2.1 Members are requested to approve the provisional budget proposals, as a basis for the continuation of budget consultation, prior to the receipt of the final Local Government Finance Settlement 2016/2017.

3. National and Economic Context to the 2016/2017 Budget

- 3.1 The Chancellor confirmed in the Spending Review 2015 statement (SR15) on 25th November 2015 that Government economic policy remains unchanged, with the economy forecast to continue to grow by circa 2.4% on average over the next 5 year period. A budget surplus of £10.1bn is now expected in 2019/2020.
- 3.2 As reported to Cabinet in December 2015, the SR15 included key announcements affecting Local Government funding through to 2020 including a 'flat' cash settlement for councils by comparing 2019/2020 with 2015/2016 after taking into account grant funding and locally raised income.

However the 'flat cash settlement by 2019/20 uses assumptions on the level of income growth that councils can generate locally through business rates and council tax, with an assumed average 21.9% increase over the period. This will be difficult for councils with low tax bases such as Sunderland to achieve.

4. Provisional Local Government Settlement for 2016/2017

The Provisional Local Government Settlement for 2016/2017 announced on 17th December 2015 has provided further detail on certain aspects of the SR15. The key features of the settlement are set out at section 4.1 (national position) and 4.2 (Sunderland position) below.

The provisional settlement includes a consultation paper with a deadline for responses to Government by January 15th 2016. Officers are preparing the proposed response in consultation with the Leader and Cabinet Secretary.

4.1 Provisional Local Government Settlement - National position

- 4.1.1 The settlement announcement includes a '4 year settlement' showing the provisional settlement for 2016/2017 and indicative funding levels for each year up to 2019/2020. The Settlement consultation document states:

Government is making a commitment to provide central funding allocations for each year of the Spending Review period, should councils choose to accept the offer and if they have published an efficiency plan.

It is not yet clear exactly what the Government mean by the 'offer', what the 'acceptance' entails, or what form / period of cover the efficiency plan which must be published has to take.

While the Government have published indicative figures through to 2019/20, figures beyond 2016/2017 take no account of the proposed Business Rates Review and the move to 100% Retained Business Rates. The indicative figures, and the Governments 'offer' therefore need to be treated with extreme caution at this stage until further details are known.

- 4.1.2 The government has introduced a revised Spending Power measure known as the Core Spending Power. This new measure now includes:

- Settlement Funding Assessment (SFA) comprising:
 - Revenue Support Grant (RSG);
 - Retained Business Rates;
 - Top Up Grant;
- New Homes Bonus;
- Local Government element of the Improved Better Care Fund (from 2017/2018);
- Rural Services Delivery Grant;
- Council Tax Income (assuming increases of CPI and that the 2% precept to support social care is taken up in full).

The removal of a number of specific grants from the Spending Power measure, including NHS Pooled Better Care Funding and Public Health Funding is welcomed, given their inclusion previously distorted comparative data.

Core Spending Power will reduce by an average 2.8% nationally in 2016/2017 and by an average 0.5% over the four year period.

- 4.1.3 The Settlement Funding Assessment (including RSG, Retained Business Rates and Top up grant) will reduce by an average 31.8% nationally over the four years and an average 12.5% in 2016/2017.

This demonstrates that local government funding is being reduced by more than the headline figures contained within the SR15.

4.1.4 A number of previous specific grants have transferred into the Revenue Support grant. These include:

- Council Tax Freeze Grant 2015/2016
- Lead Local Flood Authority Grant
- Care Act Funding 2015/2016 (notionally adjusted)
- Efficiency Support Grant

Taking the above transfers into account, Revenue Support Grant is to reduce nationally by an average 78.6% over the 4 year period and by 27.6% in 2016/17.

Revenue Support Grant is the key needs based element of local government funding and this is being significantly cut over the four year period.

4.1.5 The government has amended the grant distribution methodology to apply equal percentage reductions in settlement core funding for each type of Authority with the aim of ensuring councils delivering the same set of services receive the same percentage change to their Settlement Core funding .

The move by Government to reinstate a fairer methodology to the allocation of the cuts is welcomed.

4.1.6 As trailed in the Spending Review, Social Care authorities are to receive £1.5bn of additional Better Care Funding (BCF) by 2019/20. The allocations however are to back loaded with very limited additional funding in the first 2 years:

- 2016/17 Nil
- 2017/18 £0.105bn
- 2018/19 £0.825bn
- 2019/20 £1.500bn

Of the £1.5bn, £0.8bn is a transfer from a review of the New Homes Bonus grant funding system and is therefore not additional funding to the total quantum available to local authorities.

The method to distribute the improved BCF funding is to be consulted upon but the government has indicated that it will be targeted towards those authorities with lower council tax bases to ensure a fairer distribution of the grant in future.

4.1.7 Social Care councils will be able to levy an additional ringfenced social care precept at 2%. This would mean assumed council tax rises in each of the next 4 years of up to 4% for social care councils.

4.1.8 Government confirmed previously announced proposals to change the way local government is funded which will see 100% retention of business rates, an ending of Revenue Support Grant by 2019/20; and a transfer of new responsibilities (such as Public Health) which will need

to be funded from the retained business rates. The Government will consult in the spring.

The outcome of this review will be critical to the future sustainability of Council services for Sunderland.

- 4.1.9 New Homes Bonus (NHB) will remain unchanged for 2016/17. Beyond this it is to be continued although it is to be reviewed in order to divert £0.8bn of funding to Better Care Fund authorities. The government is consulting on delivering a revised Scheme in the spring.

Government will also reduce its contribution to the NHB scheme by £40m pa, to £210m with the remaining funding to come from top slicing existing local authority funding.

- 4.1.10 Government have issued guidance on the proposed flexible use of capital receipts. This allows councils to use capital receipts (from the sale of assets generated between 1st April 2016 to 31st March 2019) to fund revenue costs of projects designed to make on-going revenue savings and / or transform service delivery to reduce costs or to improve the quality of service delivery in future years. In order to qualify the council must prepare and publish an annual efficiency strategy listing all qualifying projects and proposed receipt usage which must be approved by full council.

4.2 Provisional Local Government Settlement - Impact for Sunderland in 2016/2017

- 4.2.1 Appendix 1a sets out the Core Spending Power measure for Sunderland (which includes income raised locally from council tax). This demonstrates a cut of £9.9m (4.3%) for 2016/2017 which is higher than the national average cut of 2.8%. This reflects that although government actions to allocate the cuts more fairly have had some positive effect, the actions have not gone far enough to offset the inability for councils with low council tax bases to raise significant additional income locally.

- 4.2.2 Appendix 1b sets out the Settlement Funding Assessment for Sunderland (including Revenue Support Grant, Retained Business Rates and Top up grant). Although Government have moved to improve the methodology for allocating the cuts for 2016/2017 there is a further net 9.9% reduction. However this is lower than the national average cut of 12.5% and reflects some positive impact arising from the Governments actions to allocate the cuts on a fairer basis.

- 4.2.3 Within the Settlement Funding Assessment, Government funding through Revenue Support Grant for Sunderland is reducing in 2016/2017 by 21.4% (£15.5m). This compares to the national average cut of 27.6%, again reflecting some positive impact from the Governments actions to allocate the cuts on a fairer basis.

Government attempts to share the cuts more fairly are welcomed, however:

- the council is still faced with a significant funding cut in 2016/17 and in each of the next four years;
- the approach adopted has not addressed the historic impact on the council's core baseline funding as a result of the inequitable cuts in recent years.

4.2.4 Detailed analysis of the component elements which underpin the Revenue Support Grant is set out at Appendix 1b. It is of concern that there are significant cuts to Revenue Support Grant needs based funding (which includes children's services funding) in addition to an 8% p.a. cut to the Early Intervention component at a time when demand for the council's children's services is increasing.

4.2.5 A number of other grants are yet to be announced including Pooled Better Care Fund, Public Health grant and Housing Benefits Administration. The impact of the allocations once received will be factored into the February Budget report.

4.3 Indicative data for four years to 2019/20

4.3.1 While the Government have published figures for four years through to 2019/20, figures beyond 2016/2017 need to be considered with extreme caution as they take no account of the proposed Business Rates Review and the move to 100% Retained Business Rates.

4.3.2 In addition, as set out at paragraph 4.1.1 clarity is required of exactly what the Government mean by the 'offer' of a four year settlement, what the 'acceptance' entails, and what form / period of cover the required efficiency plan must take.

4.3.3 Appendix 1c sets out initial analysis of the published figures which indicates for Sunderland:

- Core Spending Power will reduce by 2.79% over the period which is higher than the national average reduction of 0.5%. This reflects the inability for councils with low council tax bases to raise significant additional income from council tax.

It is noted however that this position includes the Councils share of the improved better care fund of £14m by 2019/20:

- As this funding is to be partly funded by a review of New Homes Bonus funding, only around half of the £14m can be considered as additional funding available to the council;
- Government indicated in the spending Review that the funding was to enable councils to increase payments to care providers and meet the cost of the National Living Wage. As the National Living Wage is estimated to cost the council an additional £16m p.a. by 2019/20, and only around half of the £14m improved Better Care fund allocation is new funding to the council, it is evident there remains a significant gap of around £9m by 2019/20.

- Settlement Funding Assessment will reduce by 25% over the period compared to a national average reduction of 32%;
- Within the Settlement Funding Assessment, Revenue Support Grant will reduce by 62% (£45m) compared to a national average reduction over the period of almost 79%.

However this position is masked by the netting off within the RSG of additional Care Act Funding of £1.228m by 2019/20. If this sum is excluded Sunderland's RSG reduces by 64% over the period.

- 4.3.4 Work is continuing to understand the underlying implications of the data released thus far, the detail of the government 'offer' and how this links to the Business Rates Review. An update will be reported as part of the Medium Term Financial Planning update report to February Cabinet.

4.4 Outlook for the Medium Term

- 4.4.1 While Government actions to allocate the cuts on a fairer basis are welcomed, the underlying historic inequity remains. Ultimately the Council is still faced with reductions in RSG of 62% or £45m by 2020 in addition to the need to meet significant unavoidable spending pressures. While some provision is included in the Spending Review for meeting pressures arising from social care and the National Living Wage, at this stage this appears to be significantly short of the amount required to maintain services in the future. The prognosis therefore remains bleak into the medium term.
- 4.4.2 The impact of the proposed changes to the local government funding system as a result of the Business Rates Review will be critical to understanding the future sustainability of services within Sunderland. All opportunities will be taken to influence government thinking in this regard.
- 4.4.3 It is clear that funding of local government over the medium term will be subject to significant change both in terms of sustained reduced funding from central government and the shift towards local self-sufficiency. It is clear that significant cuts are likely to continue resulting in fundamental change to the way the council operates.

5. 2016/2017 Budget - Detail of Key Funding Elements for 2016/2017

5.1 For 2016/2017 the key funding elements to support the revenue budget comprise:

5.1.1 Retained Business Rates

The forecast income from Business Rates for 2016/2017 which will be retained by the Council is reported elsewhere on this agenda.

5.1.2 Revenue Support Grant

The amount of Revenue Support grant to be received by Sunderland announced as part of the Provisional Local Government Finance Settlement is £57.231m.

5.1.3 Top up Grant

The amount of Top-up grant to be received by Sunderland announced as part of the Provisional Local Government Finance Settlement is £36.247m.

5.1.4 Section 31 Grant - Cap on Business Rates RPI increase

The Government capped the annual increase on Business Rates at 2% instead of RPI in both 2014/2015 and 2015/2016. The Government is to continue to compensate Councils for the on-going consequential shortfall in income through provision of a Section 31 Grant. For 2016/2017 this is estimated to be £1.147m.

5.1.5 Other Core Grant and Revenue Funding

The core and revenue grants of significant value which have been confirmed as part of the provisional settlement are:

- **The New Homes Bonus Grant**
The level of grant awarded is based on the increase in housing stock through new build properties and through returning empty properties back into use. Each year's allocation is awarded for a 6 year period with 2016/17 being the final year. Government have confirmed New Home Bonus is to continue with consultation on proposed changes in the spring.

The provisional total allocation for 2016/2017 of £4.367m comprises:

2011/12 - year 6 of allocation	£0.575m
2012/13 - year 5 allocation	£0.577m
2013/14 - year 4 allocation	£0.551m
2014/15 - year 3 allocation	£0.522m
2015/16 - year 2 allocation	£0.946m
2016/17 - Year 1 allocation (prov)	£1.196m

Support to Housing investment initiatives will continue to be addressed via the Capital Programme and revenue budget as required.

The Settlement also confirms the council will receive £0.188m in returned New Homes Bonus funding from the expected total top slice surplus that is projected by government for 2016/17.

- Other Grants

The following significant grants are yet to be announced:

- Pooled NHS Integrated Health and Social Care
- Public Health Grant
- Department of Health Revenue Grant (including Local Reform and Community Voices Grant)
- Housing and Council Tax Benefit Administration and Local Council Tax Support Administration Grant, and Council Tax Support New Burdens Funding
- Independent Living Fund.

5.1.6 Council Tax

- Capping Powers and Reserve Powers

The Localism Act provides for the provision of referendums to veto excessive council tax increases. This effectively places a limit on council tax increases and if councils exceed Government limits then the public will be able to vote to agree or veto any increase considered 'excessive'.

- In the Provisional Settlement the Government announced that the referendum threshold for 2016/2017 is 2%.
- In addition Social Care councils are able to levy an additional ringfenced social care precept at 2%.
- Together this means assumed council tax rises in each of the next 4 years of up to 4% for social care councils.

The government is to allow Shire District Council and Police and Crime Commissioners with relatively low council tax level (in the lowest quartile) to increase Council Tax by 2% or by a flat rate £5 increase at Band D, whichever is the higher in the next 4 years.

- Local Council Tax Support Scheme

Proposals for the Local Council Tax Support Scheme for 2016/2017 are set out elsewhere on today's agenda. No Changes are proposed to the current scheme for 2016/2017.

5.2 Schools Funding

5.2.1 Dedicated Schools Grant

The Dedicated Schools Grant (DSG) is defined across three separate blocks as set out below. A new National Funding Formula will be introduced from 2017, with consultation to begin in early 2016.

- Schools Block

Based on the October 2015 census data pupil numbers have increased by 110 pupils, with funding increased by £0.540m, to £160.076m.

The Government is to continue to apply a national protection arrangement for schools whereby no school will see a per pupil reduction compared to its 2015/16 budget (excluding sixth form funding) of more than 1.5 per cent before the pupil premium.

- High Needs Block

The high needs block supports provision for pupils and students with SEN and disabilities, from their early years to age 25, and alternative provision for pupils who cannot receive their education in schools.

An additional £92.5 million has been provided nationally in 2016/17 for this block, with Sunderland receiving an additional £0.435m increasing total funding to £23.613m. This will support the increase in the number of pupils receiving Education, Health and Care Plans and requiring specialist education provision.

- Early Years Block

The early years block comprises funding for the 15-hour entitlement for 3 & 4 year-olds; participation funding for 2-year-olds from the most disadvantaged backgrounds; and the early years pupil premium. The rates per child are to be maintained at their 2015/16 level. The provisional allocation for 2016/17 is £15.776m including £0.333m pupil premium allocation.

5.2.2 Pupil Premium Funding

The Pupil Premium level for Sunderland Schools and Academies is estimated to be £15.224m, based on October 2015 census data. The final allocation will be based on the January 2016 pupil census and will not be confirmed until September 2016 by the Education Funding Agency.

5.2.3 Education Services Grant (ESG)

The ESG is allocated on a simple per-pupil basis to local authorities and academies according to the number of pupils for whom they are responsible.

The retained duties rate will remain at £15 per pupil and the general funding rate for 2016/17 will reduce from £87 per pupil to £77 per pupil, with continued protections for academies affected by the reduction. The Government will consult in the New Year on further reductions in order to reach the £600 million reduction announced in the 2015 Spending Review.

Provision has been included within the Budget Planning Framework for the impact of reduction in funding and academy transfers.

6. 2016/2017 Budget - Provision for Spending Pressures and Commitments

6.1 When the Budget Planning Framework was approved in October 2015 Cabinet agreed that the following spending commitments would be taken into account:

- provision in respect of a pay-award;
- price increases on the basis of prudent assumptions in respect of energy and contractual arrangements;
- the impact of the Actuarial review of the Local Government Pension Scheme 2013, the impact of the Pensions Act 2008 (pension scheme auto enrolment) and the impact of the Pensions Act 2014 (abolition of NI contracted out rate);
- the impact of workforce transformation;
- provision for spending commitments in respect of debt charges and interest receipts;
- the impact of demographic changes in respect of adult social care;
- pressures relating to safeguarding;
- service pressures as a result of the economic position;
- replacement of one off resources utilised in setting the 2015/2016 budget where pressures are of an on-going nature e.g. the Intelligence Hub.

6.2 In this context it is proposed to make provision to address a number of spending commitments and pressures as set out below:

6.3 Cabinet Secretary

The following proposals are made:

6.3.1 Capital Financing

Prudential borrowing has been provided for within the medium term financial position in relation to known investments over that period, together with a provision to provide future flexibility to enable strategic priorities of the Council to be addressed.

6.3.2 Workforce Transformation

The latest financial implications associated with workforce transformation have been factored into the budget planning. The position will be kept under review.

6.3.3 National Living Wage

The government's proposal to implement the National Living Wage of £7.20 rising to £9.00 by 2020 represents a significant additional cost pressure for councils as external contract suppliers seek to pass the cost on through increased contract prices. While there will be some limited Government additional Better Care Funding available to support this pressure from 2017/2018, the National Living Wage impacts from April 2016. Provision has therefore been included in the budget planning for the estimated first year impact. The MTFS will be updated to reflect any forecast additional gap compared to available government funding from 2017/2018. A further update will be reported to February Cabinet.

6.4 Adults Health and Housing

The following proposals are made:

6.4.1 People - Adult Services Demand / Demographic Issues

The increasing longevity of the national and specifically, the city's, population continues to place significant pressure on Adult Social Services budgets. In addition, client expectations and increasing demand to support clients with complex cases to enable clients to maintain independent living, is requiring reconfigured services and additional investment.

A sum of £2.49m for cost pressures has been factored into the 2016/2017 budget.

6.5 Children's Services

The following proposals are made:

6.5.1 People - Children's Safeguarding

Provision has been included in the 2016/2017 budget in respect of the continued demand pressures in relation to Safeguarding and Looked After Placements reflecting the latest improvement plan requirements. This position will be kept under review.

6.6 Summary Pressures Position

The table below summarises the spending pressures in 2016/2017

	2016/17 £m
On-going Spending Pressures	
Pay, Prices and Other Pressures	6.48
Living Wage Contract Inflation	4.00
NI - End of contracted-out rate	2.46
People - Adults Demand Pressures	2.49
People - Children's Demand Pressures External Placements	6.38
Intelligence Hub	0.50
Living Wage and Workforce Transformation	2.50
Capital Financing	1.00
Total Estimated On-going Pressures	25.81
Safeguarding Pressure (One-Off)	5.79
Total Pressures	31.60

7. Summary Funding Gap 2016/2017 to 2019/2020

- 7.1 When spending pressures and commitments are taken alongside the current forecast reduction in funding, the overall gap to be addressed in 2016/2017 through to 2019/2020 is summarised as follows:

	2016/17 £m	2017/18 £m	2018/19 £m	2019/20 £m	Total £m
Government Grant Changes	15.00	13.11	8.84	5.68	42.63
Total On-going Spending Pressures	25.81	20.00	10.68	10.82	67.31
Total On-going Funding Gap	40.81	33.11	19.52	16.50	109.94
Safeguarding Pressure (One-Off)	5.79	0.00	0.00	0.00	5.79
Pressure from Use of One-Off Balances	0.00	5.35	0.00	0.00	5.35
Total Funding Gap	46.60	38.46	19.52	16.50	121.08

Further update to the medium term position will be provided as part of the February Cabinet Budget Report.

- 7.2 Proposals to address the funding gap for 2016/2017 are detailed at section 8 below.

8. Proposals to Meet the Funding Gap 2016/2017

- 8.1 As part of the Budget Planning Framework for 2016/2017, Cabinet agreed in October 2015 to meet the funding gap by progressing the existing savings programme and developing a further programme of activity taking into account the strategic vision of the council's role in the future and reflecting the Councils Community Leadership role and the Improvement Framework key principles. This involves further transforming service delivery, reducing service standards and

commissioned activity and prioritising resources to support statutory requirements and key priorities:

- People - protecting and supporting the most vulnerable adults and children in our communities;
- Place - keeping our communities as safe, clean and well maintained as possible within the resources available;
- Economy - continuing support to the economic regeneration of the city by encouraging businesses and jobs into the city.

8.2 For all service areas this has included consideration of:

- Ensuring resources are targeted on statutory services and protecting key priority services;
- Redesigning and reshaping services to deliver required outcomes at least cost;
- Reduced commissioning and service standards;
- Pressing forward with new alternative models of service delivery (ASDMs) at reduced cost and increasing commercialisation;
- Continued focus on progressing Regeneration, Funding Leverage & Commercial Opportunities.

8.3 Summary of Proposed Plans To Meet the Funding Gap

Proposals to fully meet the funding gap for 2016/2017 are summarised below together with an indication of plans for 2017/2018;

	2016/17 £m	2017/18 £m
Total Estimated Pressures and Grant Reductions	46.60	38.46
Proposals to Meet the Funding Gap		
Other Services (Appendix 2.1)	-4.93	-2.57
Contingencies and Central Resources (Appendix 2.2)	-11.14	-1.10
Place and Economy Services (Appendix 2.3)	-6.32	-4.73
People Services - Adults (Appendix 2.4)	-7.42	-10.35
People Services - Children's (Appendix 2.5)	-2.70	-3.18
Total On-going Savings Programme	-32.51	-21.93
Use of One-Off Balances	-8.94	0.00
Collection Fund Surplus - Council Tax	-2.00	0.00
Net position after Proposals	-43.45	-21.93
Remaining Gap	3.15	16.53

Further work is continuing to develop a full suite of proposals to meet the 2017/2018 funding gap of circa £17m as well as the further savings forecast to be required through to 2019/2020.

Further updates will be provided to Cabinet in due course and the Medium Term Financial Strategy 2016-2020 will be refined and updated as this work progresses.

8.4 Detail of Proposals for Reduction 2016/2017

The proposals for reduction are summarised below with further detail set out for each at Appendix 2:

8.4.1 Other Services (£4.932m 2016/2017 and £2.574m 2017/2018). Further details at Appendix 2 cross referenced to the table below.

Ref	Proposed Reduction	2016/17 £m	2017/18 £m
1.1	Full Year Impact of previous years decisions – ICT Rationalisation	0.300	0.000
1.2	Review of democratic function, member support, community leadership and electoral services	0.271	0.000
1.3	ICT Further Rationalisation	0.150	0.754
1.4	Review of Business Support arrangements	0.848	0.848
1.5	Review of Transformational Change Team	0.244	0.000
1.6	Integration of the Strategy Team and Partnership Team	0.289	0.050
1.7	Review of HR and OD services	0.300	0.100
1.8	Review of Corporate Affairs and Communication arrangements	0.836	0.038
1.9	Review of Tourism arrangements	0.024	0.000
1.10	Review of Events Core Programme funding arrangements and income generation	0.150	0.100
1.11	Review of Legal Services and Governance Services	0.213	0.037
1.12	Assurance, procurement and Projects review, including income maximisation	0.329	0.145
1.13	Review of Financial Resources arrangements, including Transactional services	0.328	0.502
1.14	General Review of Management Arrangements	0.650	0.000
	Total	4.932	2.574

8.4.2 Contingencies and Central Resources (£11.135m 2016/2017 and £1.100m 2017/2018). Further details at Appendix 2 cross referenced to the table below.

Ref	Proposed Reduction	2016/17 £m	2017/18 £m
2.1	Review of Corporate Allocations - Debt Charges Provision	6.619	0.000
2.2	Business Rates Growth	0.700	0.500
2.3	Council Tax Base Growth and New Homes Bonus Grant	2.178	0.600
2.4	NECA – ITA Transport Levy Reduction	0.569	0.000
2.5	Review of Corporate Allocations - Contingencies	1.069	0.000
	Total	11.135	1.100

8.4.3 Place and Economy (£6.323m 2016/2017 and £4.726m 2017/2018)
Further details at Appendix 2 cross referenced to the table below

Ref	Proposed Reductions	2016/17 £m	2017/18 £m
3.1	Full Year Impact of Previous Years Decisions	1.207	0.000
3.2	Place Management – ASDM Cost Reductions	1.025	1.075
3.3	Place Management – ASDM Business Growth	0.097	0.350
3.4	Responsive Local Services – reduced frequency / volume of service through new commissioning arrangements	2.350	0.000
3.5	Parking Services – parking strategy implementation	0.080	0.350
3.6	Highways Maintenance – reduction to reactive maintenance	0.150	0.150
3.7	Bereavement – annual increase in fees and increased range of options for memorialisation services.	0.040	0.150
3.8	Security Services rationalisation and reduction within the city	0.078	0.094
3.9	Pest Control and Dog Wardens – increased fees or service reduction	0.060	0.000
3.10	Place Shaping – ASDM Cost Reduction	0.000	0.790
3.11	Place Shaping – ASDM Business Growth	0.100	0.100
3.12	Highways, Transport and Network Management – maximisation of fee earning and rationalise school crossing provision.	0.150	0.240
3.13	Building Control - greater commercial focus including extending the geographical coverage of the service	0.100	0.100
3.14	Development Control – greater commercial focus including more emphasis on pre-application services.	0.100	0.100
3.15	Public Protection and Regulatory Services review, with integration of housing related functions.	0.105	0.090
3.16	Asset Management – review of statutory responsibility	0.050	0.050
3.17	Miscellaneous land and Property Review – increased income opportunities	0.050	0.050
3.18	Waste Disposal – increased recycling, including in trade waste	0.085	0.311
3.19	Registrars – annual increase in fees	0.050	0.050
3.20	Port of Sunderland – Business Growth	0.100	0.100
3.21	Street Lighting – introduction of LEDs onto main highways	0.000	0.150
3.22	Business Investment, incl International Development – phased reduction of SME grants	0.196	0.176
3.23	Fleet and Transport Review – further reduction in vehicle numbers	0.150	0.250
	Total	6.323	4.726

8.4.4 **People – Adults** (£7.418m 2016/2017 and £10.345m 2017/2018). Further details are shown at Appendix 2 cross referenced to the table below:

Ref	Proposed Reductions	2016/17 £m	2017/18 £m
4.1	Full Year Impact of previous years decisions – implementation of Care and Support Business Plan	0.553	0.000
4.2	Adults Social Care – support for older people through extra care provision	(0.336)	0.289
4.3	Support for Vulnerable Clients – Home Care support within Localities	0.447	0.424
4.4	Reablement at Home – contract review	0.200	0.000
4.5	Community Equipment Service – review to allow for direct purchasing and better signposting	0.200	0.200
4.6	Adults with Learning and Physical Disabilities – support for those living in Residential Care and receiving short breaks	0.451	0.292
4.7	Adults with Learning and Physical Disabilities – review of day care opportunities	1.500	1.041
4.8	Adults with Learning and Physical Disabilities – review and reduction of unit costs	1.000	0.000
4.9	Review of Staff Requirement in Adult Social Care	0.000	0.250
4.10	Review of Grant funding to VCS to ensure aligned to agreed outcomes	0.200	0.000
4.11	Demand Pressure for all client groups to be absorbed within base budgets	1.991	2.507
4.12	Culture and Activity – Development of a cultural offer for the city	0.987	2.598
4.13	Housing Related support review	0.000	2.539
4.14	Review of Specialist advice function	0.225	0.205
	Total	7.418	10.345

8.4.5 **People – Children's** (£2.703m 2016/17 and £3.180m 2017/18). Further details are shown at Appendix 2 cross referenced to the table below:

Ref	Proposed Reductions	2016/17 £m	2017/18 £m
5.1	Children remaining with Families - Integrated model of delivery across early help and child protection	1.000	0.317
5.2	Children in the Care of the LA - Review of the Looked after Strategy and reduction in numbers	1.427	2.003
5.3	Services for Disabled Children – review of delivery and staffing	0.150	0.300
5.4	Youth Provision – review of provision and commissioned contracts	0.000	0.560
5.5	Review of School Improvement Service	0.100	0.000
5.6	Derwent Hill – review of costs and maximisation of income opportunities	0.026	0.000
	Total	2.703	3.180

8.5 Use of One Off Resources

At this stage it is proposed to utilise one off funding of £8.940m to meet pressures on a one off basis to support the overall budget position.

In addition it is proposed to utilise £2m of Council Tax Collection fund surplus to support the budget in 2016/2017 on a one off basis. This position will be reviewed and updated as part of the Budget proposals in February 2016.

It also is anticipated that some further use of transitional funding will be required in 2016/2017 to allow for the full implementation of some savings plans and the final impact of workforce transformation. This position will be kept under review and updated as part of the Budget proposals to Cabinet in February 2016.

8.6 Other Resources

After taking account of total on-going programmed savings and use of one off resources for 2016/2017 there remains a funding gap of £3.150m. At this stage it is proposed this gap will be met from either council tax increase or use of transitional funding held in balances on a temporary basis.

9 Outstanding Uncertainties

9.1 At this stage there are a number of uncertainties still to be resolved in relation to next year's budget, including:

- the outcome of the final Local Government Revenue Support Grant Settlement for 2016/2017 and related grant announcements;
- Grants announcements in relation to some specific grants including Better Care Fund, Public Health Grant and Housing and Council Tax Benefit Administration;
- transitional costs in relation to the implementation of savings proposals;
- the forecast Income from Business Rates;
- the final Collection Fund position for both Council Tax and Business Rates.

In addition, it will be necessary to consider the outcome of further consultation to take place on the budget.

10 Budget Consultation

- 10.1 The Budget and Policy Framework procedure rules contained within the Constitution of the Council requires consultation on budget proposals to take place. In October 2015 Cabinet approved proposals regarding the consultation strategy and framework for the budget for 2016/2017 and proposed briefings to the following stakeholders:
- Trade Unions;
 - North East Chamber of Commerce / Representatives of Business Ratepayers;
 - Voluntary Sector;
 - Children's Trust Advisory Network;
 - Schools Forum, Head Teachers and Governors.
- 10.2 In addition to the above stakeholder consultation, a survey was undertaken to gain an understanding of priorities for the council in terms of how we will spend money on services and the acceptability of approaches to addressing the budget cuts.
- 10.3 To supplement the survey, a number of area based events were undertaken using established Area arrangements and open to local residents, in the five areas of the city which sought to maximise engagement with stakeholders, residents and VCS organisations.
- 10.4 Initial findings of the survey and discussions at the workshops demonstrate general support for the overall approach.
- 10.5 To date budget consultation with these groups has concentrated on the overall approaches to meeting the budget challenge. Further detailed consultation in relation to the proposals will be undertaken, as appropriate, when the proposals are developed, or service review takes place. The results of this consultation will, in turn, inform the Equality Analysis of the proposals.
- 10.6 At each stage in the budget preparation process Scrutiny Committee is being consulted.
- 10.7 This report will become the basis for second stage consultation. Elements of the consultation undertaken to date, which has not yet been fully analysed, together with the results of the second stage of consultation will be considered in framing the final budget proposals to be submitted to Cabinet in February, 2016.

11 Equalities Impact Assessment

In accordance with the approach followed in previous years the Council continues to fully consider the impact of its plans by following a robust approach to equalities analysis. Appendix 3 sets out the approach adopted to the budget setting process.

The full Equality Analyses that have been undertaken to date can be found as supplementary information on the agenda, by using the following link:

<http://www.sunderland.gov.uk/committees/cm15/Meetings/tabid/73/ctl/ViewMeetingPublic/mid/410/Meeting/8596/Committee/1890/Default.aspx>

Members must read these documents as having regard to them will assist members in complying with the public sector equality duty when considering the proposals. Copies have also been deposited in the members' group rooms.

12 Crime and Disorder

- 12.1 Consideration has been given to the options for savings with regard to their potential impact on crime and disorder, (Section 17 Duty), and it has been identified that item 3.8 (appendix 2), in relation to Security Services rationalisation and reduction within the city may have a negative impact. The service will seek to mitigate this risk as appropriate through communication plans, and seeking to involve community and other groups in the service provision where possible.

13 General Balances

- 13.1 A Statement of General Balances is attached at Appendix 4.
- 13.2 As reported at the Second Revenue Review Report to Cabinet, some savings have been generated in 2015/2016 from Interest on Balances and Debt Charges, and unutilised contingency provisions. Any savings generated will be required to fund one off spending pressures and additional costs associated with implementing the budget proposals for 2015/2016 and to support the 2016/2017 Revenue Budget as part of a prudent and robust approach to budget setting.
- 13.3 The balances position will be updated / reviewed as the budget is progressed. A full risk analysis will be presented with the final budget proposals to the February meeting of Cabinet.

14 Suggested Reason for Decision

- 14.1 To enable constitutional requirements relating to the development of the revenue budget to be met.

15 Alternative options to be considered and recommended to be rejected

- 15.1 There are no alternative options recommended for approval.

Background Papers

Budget and Planning Framework 2016/2017 (October 2015 Cabinet)

Local Government Finance Settlement 2016-17:

<https://www.gov.uk/government/collections/provisional-local-government-finance-settlement-england-2016-to-2017>

Provisional Revenue Support Settlement 2016/2017

Core Spending Power 2016/2017 compared to 2015/2016 adjusted

Ref Spending Power Components	Adjusted Core Spending Power 2015-16	Provisional CSP 2016-17	Changes for 2016-17 compared to the Adjusted 2015-16	
	£m	£m	£m	%
Council Tax Requirement excluding parish precepts	78.273	80.461	2.188	2.79%
1 Settlement Funding Assessment (SFA)	150.706	135.817	-14.889	-9.88%
1 Efficiency Support Grant	0.000	0.000	0.000	
1 Lead Local Flood Authorities	0.000	0.000	0.000	
1 Council Tax Freeze Grant 2015-16	0.000	0.000	0.000	
1 Adult Social Care New Burdens (Care Act)	0.000	0.000	0.000	
2 Social Care Council Tax precept	0.000	1.589	1.589	100.00%
2 Improved Better Care Fund	0.000	0.000	0.000	
Provisional New Homes Bonus	3.426	4.555	1.129	32.95%
New Homes Bonus: returned funding	0.000	0.000	0.000	
Sunderland Total Core Spending Power	232.405	222.422	-9.983	-4.30%

Memorandum - national position

-2.80%

Notes

1. Grants in 2015/16 that have been transferred into the 2016/17 Settlement Funding Assessment

Lead Local Flood Authorities

Council Tax Freeze Grant 2015/16

Adult Social Care Act Funding

Efficiency Support Grant (not applicable to the Council)

2. New Funding included in Core Spending Power

Social Care Council Tax precept (Social Care Authorities only)

Improved Better Care Fund for Social Care Authorities only

Other Changes**3 Grants removed from the Core Spending Power measure - to be paid by specific**

SFA Section 31 grant is to be paid separately outside of the SFA reference to Funding

Local Council Tax support and Housing Benefit Admin

Department of Health Revenue Grant (renamed)

Public Health Grant (Ring-fenced)

Better Care Fund (NHS)

4. Funding removed from Spending Power- currently position unknown

Council Tax Support Funding to Parishes

Inshore Fisheries Conservation Authorities

Council Tax Support New Burdens Funding

Provisional Revenue Support Settlement 2016/2017

Settlement Funding Assessment and Revenue Support Grant 2016/2017

	Adjusted 2015-16 Settlement Funding assessment £m	Provisional 2016-17 Settlement Funding Assessment £m	Variation between 2016/17 and 2015/16 adjusted £m	Variation between 2016/17 and 2015/16 adjusted %
Upper-Tier Funding	99.614	87.417	-12.197	-12.24%
Lower-Tier Funding	17.974	15.714	-2.260	-12.57%
Total (Needs based funding)	117.588	103.131	-14.457	-12.29%
Other Funding Components				
2011-12 Council Tax Freeze Compensation	2.357	2.357	0.000	0.00%
Early Intervention Funding	9.699	8.921	-0.778	-8.02%
Homelessness Prevention Funding	0.138	0.138	0.000	0.00%
Lead Local Flood Authority Funding 2013-14	0.118	0.120	0.002	1.69%
Lead Local Flood Authority Funding 2015-16	0.025	0.025	0.000	0.00%
Learning Disability and Health Reform Funding	14.906	15.221	0.315	2.11%
2013-14 Council Tax Freeze Compensation	0.979	0.979	0.000	0.00%
2014-15 Council Tax Freeze Compensation	0.964	0.964	0.000	0.00%
Local Welfare Provision	1.081	1.081	0.000	0.00%
2015-16 Council Tax Freeze Grant	0.990	0.990	0.000	0.00%
Social Care Act Funding reform	1.850	1.880	0.030	1.62%
Sustainable Urban Drainage Systems	0.009	0.009	0.000	0.00%
Carbon Monoxide and Fire Alarm Grant	0.001	0.001	0.000	0.00%
Sunderland Total SFA	150.705	135.817	-14.888	-9.88%
SFA split				
RSG(including funding transfers in 2016/17)	72.769	57.231	-15.538	-21.35%
Baseline Funding (Top Up Grant)	35.948	36.247	0.299	0.83%
Assumed Business Rates	41.988	42.339	0.351	0.84%
Sunderland Total SFA	150.705	135.817	-14.888	-9.88%

Memorandum - National Position

-12.50%

APPENDIX 1c

Provisional Revenue Support Settlement 2016/2017

Core Spending Power 2016/2017 to 2019/20

Ref Spending Power Components	Adjusted Core Spending Power 2015-16	Provisional CSP 2016-17	CSP 2017-18	CSP 2018-19	CSP 2019-20	Changes over 4 year period 2015/16 to 2019/20	
	£m	£m	£m	£m	£m	£m	%
Council Tax Requirement excluding parish precepts	78.273	80.461	83.119	85.948	88.961	10.688	13.65%
Settlement Funding Assessment (SFA)	150.706	135.817	124.844	118.653	112.640	-38.066	-25.26%
1 Efficiency Support Grant	0.000	0.000					
1 Lead Local Flood Authorities	0.000	0.000					
1 Council Tax Freeze Grant 2015-16	0.000	0.000					
1 Adult Social Care New Burdens	0.000	0.000					
2 Social Care Council Tax precept	0.000	1.589	3.306	5.173	7.204	7.204	100.00%
2 Improved Better Care Fund	0.000	0.000	1.802	8.544	14.346	14.346	100.00%
Provisional New Homes Bonus	3.426	4.555	4.580	2.877	2.761	-0.665	-19.41%
New Homes Bonus: returned funding	0.000	0.000					
Totals	232.405	222.422	217.651	221.195	225.912	-6.493	-2.79%

Memorandum National Position

-0.50%

SFA can be analysed as follows	Adjusted Core Spending Power 2015-16	Provisional CSP 2016-17	CSP 2017-18	CSP 2018-19	CSP 2019-20	Changes over 4 year period 2015/16 to 2019/20	
Top Up Grant	35.948	36.247	36.960	38.051	39.267	3.319	9.23%
Business Rates Share	41.989	42.339	43.172	44.445	45.866	3.877	9.23%
Revenue Support Grant	72.769	57.231	44.712	36.157	27.507	-45.262	-62.20%
Total	150.706	135.817	124.844	118.653	112.640	-38.066	-25.26%

1. Other Services Proposals (Saving £4.932m 2016/17 and £2.574m 2017/18)

1.1 Full Year Impact of previous year's decisions (Saving - £0.300m 2016/17)

The ICT Unit will continue the consolidation of applications and associated licences, reducing the external spend on application support. This will be coupled with service redesign that will focus on demand management through increased self-service and improved service delivery processes.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	
Additional Comment: The savings will predominantly be delivered through a review of internal processes, internal support arrangements and restructuring of the workforce in these areas, therefore equality implications will be considered as part of Workforce Planning arrangements	

1.2 Undertaking a review of the democratic decision function, member support, community leadership and electoral services arrangements (Saving - £0.271m in 2016/17)

A review of the democratic decision making model in line with Future Council 2020 thinking and member support is underway and proposals will be implemented that will ensure robust, integrated and effective governance arrangements are in place that will deliver the required savings. This will involve: the grouping of member Support Functions to rationalise ways of working and staffing structures,

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	
Additional Comment: The savings will predominantly be delivered through a review of internal processes, internal support arrangements and restructuring of the workforce in these areas, therefore equality implications will be considered as part of Workforce Planning arrangements	

1.3 Corporate ICT – Review of arrangements between ICT and Intelligence functions and seeking out commercial opportunities (Saving - £0.150m in 2016/17 and £0.754m in 2017/18)

A review of the ICT structure, its assets, processes and how it integrates with the Intelligence Function will be undertaken to not only generate the savings required but also cultivate an organisation where information, data and insight flows into and from the council to support the council in fulfilling its key community leadership purpose and has an overall “Service orchestration-type” function connecting demand and supply, underpinned by customer insight and intelligence.

Managing the relationship with the Intelligence and ICT partners (and other commissioned capacity or capability) and the ability to trade will serve the core council and the wider eco-system of public to private enterprise to enable the following:

- Development of a new operating model that ensures the council has a robust and fit for purpose ICT service.
- Development of a new city blueprint - a framework of the essential digital and data skills, innovation processes and technology components.
- Maximisation of integration opportunities with the intelligence work; the developing software market in the city, the alignment with other key partners work in the city.
- Providing a robust business model which represents VFM.
- Ability to attract the right calibre of partner/s to the procurement exercise.
- Developing a strong client unit in the council.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	✓
Additional Comment: This efficiency is based upon staffing changes, which will be considered as part of workforce planning arrangements, and increased income generation by delivering services to a wider range of customers therefore it is considered that no additional equality analysis is required.	

1.4 Review of Business Support arrangements (Saving - £0.848m in 2016/17 and £0.848m in 2017/18)

A full service review of business support arrangements is underway to ensure that they are streamlined to reflect the business support requirements that the future council will require. The review focusses on how to improve internal processes, deliver lower cost alternative delivery methods, manage demand and increase self-service, and reduce the service catalogue and resource ratios all of which will deliver the required efficiency savings.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	
Additional Comment: A significant element of the above savings relates to staffing changes which will be considered as part of the Workforce Planning Project.	

1.5 Review of the Transformational Change Team (Saving - £0.244m in 2016/17)

A review of the Transformational Change Team is underway with a view to transforming it into a model that best serves the requirements of the future council. The service will be redesigned to focus resource on high value/risk priorities and will therefore no longer support low value/risk activity.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	
Additional Comment: A significant element of the above savings relates to staffing changes which will be considered as part of the Workforce Planning Project. In developing future lists of projects that the Transformation Change Team are involved in, due consideration will be given to the impact of each project in relation to the protected characteristics.	

1.6 Integration of the Strategy Team and Partnership Team (Saving - £0.289m in 2016/17 and £0.050m in 2017/18)

A review will be undertaken to redesign a smaller, leaner Policy, Strategy and Partnership Team which can work more collaboratively with partners to maximise the efficiency, skills and value of the participating organisations whilst sourcing external expertise if needed. It will provide clear direction and common purpose and delivery support through the formulation of partnership-based strategy and relevant performance management arrangements within the council through to action and evidenced results.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	✓
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	
Additional Comment: Some of the savings will need to come from the service review to redesign a smaller and leaner team, these workforce changes will need to be considered as part of the Organisational Workforce Planning arrangements. Some of the savings will need to come from non-staffing costs such as partnership and community safety activity, corporate subscriptions and the commissioning of specialist consultants, for example, for economic studies. The equality impact of stopping partnership and community safety activity will require equality analysis. There may be opportunity to realise positive equality impacts through aligning our work with the work of our partners and the Equality Forums, this will be explored as part of the Equality Analysis process.	

1.7 Migration of HR and OD into separate delivery model (Saving - £0.300m in 2016/17 and £0.100m in 2017/18)

It is proposed that HR and OD will transfer initially into a LATC which will allow it to trade in the private sector. By definition, ASDMs will be more commercially minded and will be focussed on growing the business beyond the core commission. In addition to increasing income, the creation of the LATC will assist in reducing future costs. Recognising that the Council transfer of assets such as staff, systems and knowledge will be critical in actually forming the business, it is assumed in return that increased income generated by any new ASDM through business growth for the period up to 2020 will be passported back to the authority by way of a reduction in the value of the core commission.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	✓
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	
Additional Comment: It is considered that an equality analysis is required as this efficiency will be achieved through the creation of a new delivery model for HR&OD services focussing on savings from changes to staffing arrangements and conditions. The equality analysis will be carried out at an appropriate time when options for future terms and conditions can be considered alongside the make up of the workforce that would be TUPE transferring (N.B. any revised terms and conditions will only affect new starters).	

1.8 Review of Corporate Affairs and Communication arrangements (Saving - £0.836m in 2016/17 and £0.038m in 2017/18)

By 2020 the council will need a different sort of Corporate Affairs and Communications service to reflect its smaller size and its changed role of being more of a facilitating and enabling commissioner of services. In order to ensure the Council continues to have an effective media relations, corporate communications and reputation and influencing corporate affairs resource, going forward, the team will be re-organised with responsibilities being realigned. We will also start to devolve the People, Place and Economy marketing communications to the service areas in readiness for moving to alternative delivery models. In addition to the restructure a proportionate reduction in non-staff spend reflecting changing priorities / size and shape of the future council will be managed out.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	
Additional Comment: A significant element of the above savings relates to staffing changes which will be considered as part of the Workforce Planning Project.	

1.9 Review of Tourism arrangements (Saving - £0.024m in 2016/17)

A proportionate reduction in non-staff spend, i.e. marketing and publicity materials will be implemented in order to contribute to savings targets.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: As the modest saving relates to publicity and marketing materials it is felt that no equality analysis is required.	

1.10 Review of Events Core Programme funding arrangements and income generation (Saving - £0.150m in 2016/17 and £0.100m in 2017/18)

The Sunderland Live Team has been in existence for three years now and it is felt that the organisation is now mature enough that the Council's contribution to the Events Core Programme can be reduced. The reduction in the Council contribution will be matched by external funding arising from greater encouragement of event sponsorship and also increased income opportunities.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment The saving is based upon reducing the funding that the Council contributes towards the Events Core Programme by increasing the level of external funding sourced for events and also maximising income generation opportunities through the events themselves therefore it is felt that no equality analysis is required.	

1.11 Review of Legal Services arrangements and Governance Services (Saving - £0.213m in 2016/17 and £0.037m in 2017/18)

A review of Legal & Democratic Services is under way to ensure the team is organised to support the on-going requirements of the council, through the transformation process and beyond, at the same time ensuring we can ensure compliance with legal requirements and reduce the risk of legal challenge. This review will therefore focus on a structural review of the Legal Services teams and further integration of work.

A review of the Governance Service function has been undertaken and has identified that savings can be generated by reducing the types of meetings that are serviced by the Governance Services Team to only formal Cabinet, Council, Committee, etc. Meetings, combining support to the corporate complaints and information governance functions, and on-going income generation. In addition to this, consideration will be given to how the number of meetings and the decision making and recording process could also be streamlined. These changes will be accommodated in a reconfiguration of Governance Services, Information and Complaints functions.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	
Additional Comment: A significant element of the above savings relates to staffing changes which will be considered as part of the Workforce Planning Project.	

1.12 Assurance, Procurement and Projects Review (Saving - £0.329m in 2016/17 and £0.145m in 2017/18)

The service will reduce the level of audit, risk and project support available for transformational change and service delivery. Alongside the reduction in audit and risk support, managers across the Council will have access to further guidance so that they are able to self-serve for those areas that have not been prioritised. In addition to resource reductions, the service area will seek to further increase income generated for liability claims handling for external organisations.

In order to generate savings, the procurement service will look to greater use of national and regional framework procurement contracts which will reduce the resource required on developing and managing Council procurement exercises. The level of procurement support offered to commissioners \ managers will also be reviewed whilst at the same time additional focussed support on contract management will be provided. All central support and oversights for procurements up to £10,000 will be removed and managers across the Council will be expected to self-serve in line with corporate guidelines. Increased income will be generated from procurement rebates received from NEPO contracts.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	✓
Additional Comment: A significant element of the above savings relates to staffing changes which will be considered as part of the Workforce Planning Project. There is an element of income generation covered within the proposal but this has no impact on front line services therefore it is considered that equality analysis is not required. Equality is already written into the procurement process and managers will be expected to continue to follow this process	

1.13 Review of Financial Resources arrangements, including transactional services (Saving - £0.328m in 2016/17 and £0.502m in 2017/18)

Financial Resources will reconfigure the service to reflect the reducing customer base (e.g. leisure JV and other potential ASDMs), and the increased focus on commissioning services. A core team will be developed in Financial Resources which ensures that the Council benefits from any savings prior to the likely creation of ASDMs. This approach will also ensure that a sustainable, quality, flexible and efficient resource is in place whilst ensuring financial stability and minimising the risk to the Council in the future.

The Council has been extremely successful in applying for external funding streams from both the Government and the European Union. It is envisaged that the success that the Council has enjoyed will continue and as a consequence management fee income for the External Funding Unit are expected to increase.

A review of Transactional Services will lead to a restructured service based upon the following key areas:

- Reviewing and improving processes around the whole procure to pay cycle including the use of technology to automate activity and maximise efficiency.
- Considering level of support that the reduced Council will require.
- Increasing officer self-service relating to the ordering function.
- Reviewing and improving processes around the whole sales to cash cycle including the use of technology to automate activity and maximise efficiency.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	✓
Additional Comment: A significant element of the above savings relates to staffing changes which will be considered as part of the Workforce Planning Project. One saving relates entirely to increased management fees arising from successful grant applications therefore it is considered that no equality assessment is required.	

1.14 General Review of Management Arrangements (Saving - £0.650m 2016/17)

Review of structures to ensure meets needs going forward.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	
Additional Comment: A significant element of the above savings relates to staffing changes which will be considered as part of the Workforce Planning Project.	

2. Contingencies and Central Resources (£11.135m 2016/17 and £1.100m 2017/18)

2.1 Review of Corporate Allocations - Debt Charges Provision (£6.619m in 2016/17)

A review of debt charge provision based on existing capital programme, and reflecting the on-going work to accelerate capital receipts realisation to support the capital programme which also facilitate private sector residential and commercial development in the city.

In addition, consistent with many other Local Authorities, a new approach to the annual repayment of borrowing - the minimum revenue provision - is being considered. The proposed approach would change the repayment to an annuity basis, from the current practice of Equal Instalment of Principal repayments. Not only is this change deemed more prudent, it also generates savings in the early years of the switch.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: This reduction has no service provision or internal workforce impact and as such no equality analysis is deemed necessary	

2.2 Business Rates Growth (£0.700m 2016/17 and £0.500m 2017/18)

The anticipated increase in Business Rates growth over and above normal inflationary increases, taking into account planned developments in the city, RPI adjustments and Section 31 grant income provided as a consequence of various government reliefs introduced. The exact amount of growth will be confirmed upon completion of the NNDR1 form for 2016/17.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: This reduction has no service provision or internal workforce impact and as such no equality analysis is deemed necessary	

2.3 Council Tax Growth and New Homes Bonus (£2.178m 2016/17 and £0.600m 2017/18)

Increase in Council tax Base and New Homes Bonus), reflecting known and planned increases to residential property in the city.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: This reduction has no service provision or internal workforce impact and as such no equality analysis is deemed necessary	

2.4 NECA – ITA Transport Levy (£0.569m in 2016/17)

This saving will arise through the proposed reduction to the Tyne and Wear Transport Levy for Sunderland in 2016/2017.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: This reduction has no service provision or internal workforce impact and as such no equality analysis is deemed necessary	

2.5 Review of Corporate Allocations - Contingencies (£1.069m in 2016/17)

A review of contingencies has freed up savings, particularly in relation to utilities and fuel. The current low oil and gas prices, couple with extensive property rationalisation and energy efficiency work, has allowed for the release of contingencies earmarked for utility and fuel inflation. In addition, further in depth review of contingencies, has freed up further resource no longer required.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: This reduction has no service provision or internal workforce impact and as such no equality analysis is deemed necessary	

3. Place and Economy (Saving - £6.323m 2016/17 and £4.726 2017/18)
3.1 Full Year Impact of previous year's decisions (Saving - £1.207m 2016/17)

Proposals Agreed as part of last year's budget setting, in relation to:

Street Scene Citywide - £0.842m

Continuation and introduction of a range of measures to maximise income from waste collection, including through reviewing existing charges and introducing new charging, specifically in relation to garden waste.

Reducing demand to enable the reduction of staff through natural turnover and workforce planning.

Increased income from Bereavement Service to be realised by increasing charges by 5%, which, analysis of neighbouring authorities charges, highlights will still be comparable.

Street Scene Highways, Transportation and Network Management - £0.005m

Increased fee income associated with skip permits and Traffic Regulation Orders.

Street Scene Responsive - £0.350m

Continued savings following the service re-design undertaken during 2015/2016 that reduces the cost of operational supervision with staff released through workforce planning with fixed term staff and apprentices integrated into core to facilitate continuity of service.

Continual reduction and transfer of responsibility to the community / community organisations focussed on horticultural activity.

Design Services – review of operational costs / income - £0.010m

The maximisation of income earning opportunities will be delivered, with the emphasis on project management and building management, to a range of clients including through increased charges to the capital programme and schools.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓ (3)
No Equality Analysis Required	✓ (1,2,4)
<p>Additional Comment:</p> <p>These savings represent the full year effect of savings commenced part of the way through a year. Equality Analysis was undertaken as part of the 2015/16 budget setting process regarding these proposals the most notable of which revealed the following:</p> <p>1 Waste Collection income - The Council collects garden waste from approximately 80,000 residential households on a fortnightly basis. It is proposed that residents will have the option to pay an annual fee to continue with the service or they can opt out of the service but will be able to use either alternative free recycling services (self-serve delivery) or use their green residual waste bin which will continue to be collected free of charge. Assisted collections for aged and infirm residents in relation to garden waste will continue and refuse collection frequencies will not change.</p> <p>2 Other Waste Collection initiatives— A number of initiatives do not require Equality Analysis as they are either back office functions, changes to existing work practices to extract more value across the board price increase for existing trade waste customers, including:</p> <ul style="list-style-type: none"> • Increased recycling by improved investment in waste communications • More in house waste skip reductions <p>3 Review of RLS operations - A significant element of this saving relates to staffing changes which were considered as part of the Workforce Planning Project.</p> <p>4 A review of income earning potential has been undertaken in Design Services which has revealed that income can be increased through a greater emphasis on project management and building management, to a range of clients including through increased charges to the capital programme and schools. This element of proposal does not affect any front line service users therefore no Equality Analysis is required.</p>	

3.2 Place Management - Cost Reductions through ASDM (Saving - £1.025m in 2016/17, £1.075m in 2017/18)

It is proposed that Place Management related services will transfer initially into a LATC which will allow it to trade in the private sector and beyond Sunderland's boundaries. In addition to increasing income, the creation of the LATC will assist in reducing future costs in these broad areas:

- Improved productivity – An element of employee ownership or interest is proven to lead to improved productivity growth and efficiency resulting in a smaller overall workforce and reduction in non-staff related costs. These savings typically range from between 1% to 5% of expenditure.
- Rationalised management and supervisory arrangements – The amalgamation of a broad range services from different parts of the current organisation into a single coherent Place Management service along with the contraction in scale of the services provided

will promote a rationalisation of management and supervisory structures.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	✓
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment: It is considered that an equality analysis is required as this efficiency will be achieved through the creation of a new delivery model for place based services focussing on savings from improved productivity and staffing arrangements. The equality analysis will be carried out in the later half of 2016 when options for the composition of the LATC are clearer and can be considered alongside the make up of the workforce that would be TUPE transferring.	

3.3 Place Management - Business growth through ASDM (Saving - £0.097m in 2016/17, £0.350m in 2017/18)

By definition, ASDMs will be more commercially minded and will be focussed on growing the business beyond the core commission. Recognising that the Council transfer of assets such as staff and operational depots will be critical in actually forming the business, it is assumed in return that increased income generated by any new ASDM through business growth for the period up to 2020 will be passported back to the authority by way of a reduction in the value of the core commission.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: This efficiency is based upon increased income generation by delivering services to a wider range of customers therefore it is considered that no equality analysis is required.	

3.4 Responsive Local Services (Saving - £2.350m in 2016/17)

Place Boards and Area Committees will be involved in defining the specification for Responsive Local Services, but with a much reduced level of resource. The 2020 budget setting process determines the budget reduction (£2.35m) and the available budget for 2016/17 onwards (£4.065m).

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	✓
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	
Additional Comment: The impact on groups with protected characteristics will be identified when the detail of the revised patterns of service delivery is established.	

3.5 Parking Services (Saving - £0.080m in 2016/17, £0.350m in 2017/18)

Efficiencies will be delivered through the expansion of measures in the Parking Strategy. These measures can be summarised as follows:

- Annual increases in parking tariffs of 10p per hour.
- Charging for a number of car parks situated near or adjacent to retail/business areas which are currently free
- Increasing the number of on-street parking bays
- Increasing the cost of staff parking permits
- Increasing the charge for parking waivers

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	✓
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
<p>Additional Comment:</p> <p>The Parking Strategy 2014 to 2020 identifies the approach that the Council will take to parking provision and management during the course of the next 4 years. It identifies guiding principles and policies that inform the approach to parking management arising from the changing need brought about by the City's economic development and regeneration plans. An Equality Analysis which evaluates the Parking Strategy as regards its potential impact on future parking provision and management in the City has been undertaken and has identified the following positive impacts:</p> <ul style="list-style-type: none"> • All age groups will benefit from delivery of priorities that support improvements in road safety and accessibility arising from effective parking management and enforcement activity. • Disabled persons, pregnant people and parents using pushchairs are likely to benefit from effective enforcement that reduces obstructions caused by parked vehicles to pavements. <p>Further more specific Equality Analysis will be undertaken where necessary as options for implementation continue to be firmed up.</p>	

3.6 Highways Maintenance (Saving - £0.150m in 2016/17 and £0.150m in 2017/18)

The revenue element of the highways budget funds day to day maintenance of the asset and reactive repairs. As a consequence of previous budget reductions only urgent reactive work is currently undertaken. It is proposed to reduce reactive activity further which will impact on: road and footway maintenance, highway drainage, guardrail and safety fence maintenance, road marking and emergency repair standards.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	✓
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment: The proposal is based predominantly upon reducing the revenue funding for highways maintenance and mitigating the impact of this by taking a more focussed approach to the prioritisation of work in order to maintain service levels as much as possible within the constraints of the funding. Equality Analysis has identified that whilst all road and footpath users will be affected, there may be an increased likelihood of a negative impact on the elderly, very young, disabled, pregnant people and parents with pushchairs as the volume of maintenance and repairs decreases. The Impact of this however will be offset to a certain extent by maximising benefits derived from capital investment and schemes.	

3.7 Bereavement (Saving - £0.040m in 2016/17 and £0.150m in 2017/18)

The Bereavement Service will continue to contribute to council efficiencies through modest annual increases in the fees for burial and cremation and developing an improved range of options for memorialisation services available to residents to purchase. The future focus of the bereavement service will be around improving operational efficiency, income, and service to users.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	✓
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
<p>Additional Comment:</p> <p>Bereavement and Registration Fees have been Equality Analysed and although any cost increases will impact on everyone who uses the service, it has been deemed that there is a neutral impact as it does not have a disproportionate impact on any of the protected characteristic groups.</p> <p>Bereavement Services will continue to provide for Contract Funerals, with dedicated times established daily in the cremation and burial diaries to accommodate such requests. In order to alleviate the financial pressures of funerals, the Dignity group currently hold the Contract Funeral contract, and DWP will continue to make provision in the form of a bereavement payment to families who are deemed to be in hardship and qualify for the allowance.</p>	

3.8 Security Services (Saving - £0.078m in 2016/17 and £0.094m in 2017/18)

It is proposed that a range of security service commissioned activity will be stopped as follows:

Stop the park and cemetery gates opening and closing service - This would create an open park policy 24/7 and remove the park wardens at Barnes Park, Mowbray Park and the mobile service, whilst security requirements for events will be paid for by the organisers. Communities in the vicinity of parks will be given the option to open and close park gates if they consider it a priority.

Remove the subsidy of the Taxi Marshalling Service - This service was originally provided by Northumbria Police and was joint-funded with a contribution from the council. The Police have since withdrawn funding. The service currently operates Friday, Saturday & Monday nights between the hours of 23.00 - 05.00. The removal of Council subsidy would result in either the service stopping, or preferably, the required funding being made up by partners benefiting from it including taxi firms and licensed premises operators. The current contract has two years still to run, therefore, this would come into effect in mid-2017/18.

Rationalise CCTV and alarms panel monitoring - The City Alarm & Emergency Centre has increasingly supported a range of partner organisations as their funding has diminished. It is proposed to rationalise the number of CCTV cameras being monitored through dialogue with partners or transferring responsibility or costs back to them. The reduction would include Northumbria Police City Centre system, street cameras and would enable a reduction in staffing levels and / or removing certain shifts.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	✓
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment: Stopping the park gates opening and closing service and removing the park warden patrols will have a universal impact on all people who visit or pass through the Council's Parks. Consideration will be given to implementing a communication campaign on safety awareness, tailored to the needs of all visitors, whilst using the parks.	

All those who use taxi rank facilities in the City Centre will be equally affected by the withdrawal of the taxi marshal funding; therefore there is no disproportionate impact on any of the protected characteristic groups.

Prior to the removal of any cameras, a risk assessment will be undertaken which will take into account not only the number of incidents but also the demographics of the area.

3.9 Pest Control and Dog Warden Service (Saving - £0.060m in 2016/17)

Charges were introduced for pests other than rats in 2014/15. It is proposed that either charges will be applied for rats in 2016/17 to fully recover the cost of the service or the service will be stopped and residents would then be signposted to private providers.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	✓
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment: The introduction of charges will have the same impact on all people who would use the service as it will be universally applied, therefore there is no disproportionate impact on any of the protected characteristic groups.	

3.10 Place Shaping - Cost Reduction through ASDM (No Saving in 2016/17 and £0.790m in 2017/18)

It is proposed that Place Shaping related services will transfer into an ASDM(s) which will allow it to trade in the private sector and beyond Sunderland's boundaries. In addition to increasing income, the creation of the ASDM(s) will assist in reducing future costs in these broad areas:

- Improved productivity – An element of employee ownership or interest is proven to lead to improved productivity, again resulting in a smaller overall workforce and reduction in non-staff related costs. These savings typically range between 1% to 5% of expenditure.
- Rationalised management and supervisory arrangements – The amalgamation of a broad range services from different parts of the current organisation into a single coherent Place Shaping service along with the contraction in scale of the services provided will promote a rationalisation of management and supervisory structures.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	✓
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment It is considered that an equality analysis is required as this efficiency will be achieved through the creation of a new delivery model for place shaping based services focussing on savings from improved productivity and staffing arrangements. The equality analysis will be carried out in late 2016 early 2017 when options for the composition of the ASDM(s) are clearer and can be considered alongside the make up of the workforce that would be TUPE transferring	

3.11 Place Shaping - Business growth through ASDM (Saving - £0.100m in 2016/17 and £0.100m in 2017/18)

By definition, ASDMs will be more commercially minded and will be focussed on growing the business beyond the core commission. Recognising that the Council transfer of assets such as staff and operational depots will be critical in actually forming the business, it is assumed in return that increased income generated by any new ASDM through business growth for the period up to 2020 will be passported back to the authority by way of a reduction in the value of the core commission.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: This efficiency is based upon increased income generation by delivering services to a wider range of customers therefore it is considered that no equality analysis is required.	

3.12 Highways, Transportation and Network Management (Saving - £0.150m in 2016/17 and £0.240m in 2017/18)

The focus is on maximising fee-earning whilst evaluating the impact and contribution of non-statutory and non-fee earning activity, principally in respect of road safety, and minimising the cost of this as far as possible. Although some road safety activity such as cycle / pedestrian training is part-funded by fees, not all costs are covered and these activities will be stopped.

Increased fee earning opportunities - Additional income will be generated through a more proactive approach to working with developers to support the design and delivery of highways improvements required by new planning permissions. The cost of statutory advertisements will be reduced and charges for permits will be increased.

Rationalise the School Crossing Patrol service - It is proposed to carry out a risk assessment on all crossing patrol sites to identify sites where existing traffic controls, e.g. pedestrian crossings, are sufficient to allow safe movement, or where the installation of such measures could reduce the need for school crossing patrols. Schools will be involved in the process.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	✓
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment: Prior to any service reduction being implemented on a school crossing patrol, a risk assessment will be undertaken taking into account all relevant intelligence related to accidents involving children.	

3.13 Building Control (Saving - £0.100m in 2016/17 and £0.100m in 2017/18)

Income will be increased through a more proactive approach to engaging developers at the pre-application stage in planning and expanding the geographical coverage of building control through partnership arrangements.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: This efficiency is based upon increased income generation by delivering services to a wider range of customers therefore it is considered that no equality analysis is required.	

3.14 Development Control (Saving - £0.100m in 2016/17 and £0.100m in 2017/18)

It is proposed to create a Major Development team (from existing staff) which will focus on attracting business via the pre-application process so that strategic and major developments within the City can be effectively project managed through the use of Planning Performance Agreements.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	✓
Additional Comment: This efficiency is based upon amalgamating various planning related functions together which will allow for efficiencies to be realised through workforce planning arrangements as well as increased income generation by delivering services to a wider range of customers therefore it is considered that no equality analysis is required.	

3.15 Public Protection and Regulatory Services (Saving - £0.105m in 2016/17 and £0.090m in 2017/18)

Savings will be made through integrating the statutory housing environmental health and licensing functions into the broader public protection structure and embedding the housing renewal function into the new Planning and Regeneration service with a renewed focus on developing and delivering the broader housing strategy.

The service will focus on high risk \ priority work with lower risk \ priority work being undertaken on a reduced reactive basis. In general terms, the service will need to further concentrate on matters affecting broad sectors of the populace.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	✓
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
<p>Additional Comment:</p> <p>The saving arises from integrating the statutory housing environmental health and licensing functions into the broader public protection structure and embedding the housing renewal function into the new Planning and Regeneration service which will allow for a reduction in staff numbers. The reduction in staffing numbers will reduce the number of interventions, however this will be mitigated through the targeting of interventions on those areas of highest risk. The integration will however, increase the pool of people from a similar specialism which should assist in improving overall resilience of the service.</p> <p>The focus on a risk based approach will impact on all service users equally; therefore a neutral impact is envisaged.</p>	

3.16 Asset Management (Saving - £0.050m in 2016/17 and £0.050m in 2017/18)

Savings will be realised via a review of the Council's statutory responsibility for asbestos management, electricity at work, water hygiene etc. as well as the Estates Surveying function which would be retained as part of potential overall package of services likely to benefit from commercial opportunities.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: This efficiency is based upon amalgamating various statutory and estates related functions together which will allow for increased income generation by delivering services to a wider range of customers therefore it is considered that no equality analysis is required.	

3.17 Miscellaneous Land and Property and Industrial Units Review Saving - £0.050m in 2016/17 and £0.050m in 2017/18)

A review of miscellaneous land and property and industrial units holdings, rents and leases will be undertaken to identify increased income opportunities and options for disposing of property that does not meet corporate priorities or provide an acceptable return.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: A review of holdings is currently being undertaken by CIPFA which will highlight where income opportunities exist in relation to miscellaneous land and property and industrial units. The saving will have no impact on protected characteristics therefore an equality analysis is not required.	

3.18 Waste Disposal (Saving - £0.085m in 2016/17 and £0.311m in 2017/18)

The cost of waste disposal will be reduced by encouraging the public to cut the amount of waste they produce and divert as much as possible into the blue recycling bin. This approach will use secured external funding to deliver a planned programme of targeted incentives and marketing. Recycling will be included in the trade waste offer.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: This saving relates to an on-going campaign in which the public are encouraged to separate out more of their waste for recycling than they have been doing previously therefore no equality analysis is required.	

3.19 Registrars (Saving - £0.050m in 2016/17 and £0.050m in 2017/18)

Fees will be reviewed and increased in line with regional trends projected to be around 5% per annum.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	✓
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
<p>Additional Comment: Registration Fees have been Equality Analysed and although any cost increases will impact on everyone who uses the service, it has been deemed that there is a neutral impact as it does not have a disproportionate impact on any of the protected characteristic groups.</p> <p>Many of the fees and charges levied by the Registration Service are statutory fees determined by central government legislation. Fees for birth, death, marriage and civil partnership certified copy certificates are set by statute. Other statutory fees include the notice of marriage / civil partnership fee and the statutory marriage / civil partnership fee for Register Office ceremonies. Many customers who use the Registration Service require a statutory service, and are therefore charged accordingly. The proposed increases are on fees that are optional to customers, i.e. non statutory for which the customer can chose not to take up the offer.</p>	

3.20 The Port (Saving - £0.100m in 2016/17 and £0.100m in 2017/18)

The Port of Sunderland will improve its trading position through a combination of reduced operating costs and increases in income primed by investments made in port infrastructure and preparing sites within the estate for development.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: The saving will be realised through improved trading at the Port therefore it is considered that no Equality Analysis is required as no protected characteristic groups will be affected.	

3.21 Street Lighting (No Saving in 2016/17 and £0.150m in 2017/18)

A programme of changing conventional lighting to LEDs in residential areas to reduce energy costs is programmed to start in 2015/16 and resulting savings are already accounted for. It is proposed to expand this approach to highways lighting in 2017/18, by which time it is judged that the cost of the technology for these large lamps will fall within the scope of capital invest to save.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	✓
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment: The proposal is to replace approximately 48,000 lighting columns on highways with energy efficient LED lighting (22,000 for implementation on 2017/18) which will result in lower energy costs and lower carbon emissions. Residents and visitors to areas where the new lighting installed should be impacted upon positively as the new LED lighting actually provides a white light source with better night-time colour recognition and concentrates the light onto the road and footway where it is needed, with less light pollution into homes and gardens.	

3.22 Business Investment, including International Development (Saving - £0.196m in 2016/17 and £0.176m in 2017/18)

It is proposed that the revenue grants provided to SMEs be reduced on the following phased basis: 25% in 2016/17, 25% in 2017/18 and 50% in 2018/19 in order to remove the £0.238m budget allocation by April 2019. The proposal excludes any changes to the revenue software grants budget which is needed as match-funding to support an ERDF application to fund Sunderland Software City.

The phasing should allow most existing commitments to be maintained and implementation of the reductions will be managed carefully to minimise impact on the businesses community. Wherever possible, an attempt is made to support companies to access other sources of funding including national and European funding sources.

The proposed savings also take account of continuing the excellent performance of the Evolve Business Centre, and further development of occupancy rates at Software Centre, with assumed occupancy of 55% through 2016/17, 70% through 2017/18, 80% through 2018/19 and 90% through 2019/20.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	✓
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment: The proposal relates to a reduction in the financial incentives scheme budget and the introduction of income targets at Evolve and the Software Centre. Equality Analysis has been undertaken in relation to the proposal and it is felt that there will be a neutral impact. We will continue to develop a more focused financial incentives offer, directed at stimulating growth and job creation in agreed priority sectors, including strengthening links to support city businesses in accessing other funding opportunities. We will also look at opportunities to identify appropriate external funding which can assist the Council in providing financial support to businesses. We will strengthen relationships with colleagues internally and externally to maximise the potential for all Sunderland residents to be able to take up job opportunities that are created.	

3.23 Fleet (Saving - £0.150m in 2016/17 and £0.250m in 2017/18)

The Fleet and Transport review will continue to capture further efficiencies as the council reduces in size over the next 5 years. Fleet will work with other areas to maximise vehicle reductions as part of planned service reconfigurations.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: The Transport and Fleet Review proposes a continuation of the rationalisation of the number of vehicles the Council operates, by ensuring that excess vehicle capacity is eradicated. Fleet is a support service and any reduction in vehicles is generated by changes in service areas across the Council and it is at these points that service areas would consider the equality impacts of their proposals. Where directorates come up with specific proposals which could impact on service users or staff, these will be subject to a further Equality Analysis at the appropriate time.	

4. Peoples (Adults) (Saving £7.418m 2016/17 and £10.345m 2017/18)

4.1 Full Year Impact of previous year's decisions (Saving - £0.553m 2016/17)

As part of the 2015/16 budget proposals a number of proposals were agreed that delivered efficiencies over a longer period. These included the implementation of the LATC 2 Business Plan through service review.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: Equality analysis has previously been undertaken	

4.2 Adults Social Care – Older Persons (Cost £0.336m 2016/17 and Saving £0.289m 2017/18)

Support for Older People – An annual reduction of 4% in the use of residential care to reflect more appropriate accommodation and support independence and choice. This will be supported by extra investment and better targeting of accommodation in Extra Care as an alternative. In total a net saving of £1.464m by 2020 will be achieved.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: The reduction in the use of residential will occur naturally as more service users are better supported within Extra Care. No existing residents of residential care homes will be required to move out of residential care as a result of this initiative and new customers will continue to be able to access residential care if this is agreed as being the best way to support their assessed care needs.	

4.3 Support for Vulnerable Clients – Home Care (£0.447m saving 2016/17 and £0.424m saving 2017/18)

5% reduction in each of the next 2 years by working more flexibly with providers to commission support focused on outcomes as opposed to tasks.

Plans are in place to support them to work more flexibly in meeting client outcomes within a locality. This will include more discussion with clients as to how they would wish support to be delivered in meeting outcomes and needs and will allow providers to plan their support more effectively, thereby delivering savings on block contracts.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	✓
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment: Plan is to re-model service offer but to still meet needs of eligible clients in line with the requirements of the Care Act.	

4.4 Reablement at Home (£0.200 saving 2016/17)

Review and reduction of hourly rate paid to Sunderland Care and Support for delivery of this service.

There will be a review of how the current service is delivered including consideration of the outcomes achieved. The current cost of this service is higher than benchmark comparisons and higher than the cost for other services delivered by SCAS and this will be addressed.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
Additional Comment: Unit cost issue with contracted provider. No impact on service users	

4.5 Community Equipment Service (Saving - £0.200m in 2016/17 and £0.200m in 2017/18)

A full review of the Equipment Service will be undertaken with the intention of providing a more effective and efficient service, particularly for smaller equipment. This will involve better signposting and opportunities to purchase equipment directly thereby removing delay caused by the need for an eligibility assessment.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	✓
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment: RPIW event planned for January to look at model of service. This may result in restrictions to certain items of equipment and moving to a retail model.	

4.6 Adults with Learning Disabilities and Physical Disabilities – Support for those living in Residential Care and those receiving short breaks (Saving - £0.451m in 2016/17 and £0.292m in 2017/18)

Residential Provision currently registered as care homes will be de-registered. This will support the independence of residents and allow them to claim housing benefit to contribute to the rent costs of their accommodation.

Support for those receiving full-time residential care will be reviewed to ensure there is no duplication of provision.

Opportunities to reduce the average number of short break nights individuals living in the community receive will be considered as appropriate

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	✓
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
<p>Additional Comment:</p> <p>The changes relate mainly to services provided to people with learning disabilities.</p> <p>The deregistrations programme is already underway and impact is positive.</p> <p>Support will meet the equality requirements of the Care Act however it is recognised that there may be a negative impact on some individuals currently receiving services.</p>	

4.7 Adults with Learning Disabilities and Physical Disabilities - Review of Day Care opportunities (Saving - £1.500m in 2016/17 and £1.041m in 2017/18)

An increasing number of clients are seeking alternatives to building based day care and opportunities to increase the availability of such provision will be pursued. This will lead to a reduction in existing building based provision.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	✓
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment: The changes relate mainly to services provided to people with learning disabilities. Support will meet the equality requirements of the Care Act however it is recognised that there may be a negative impact on some individuals currently receiving services.	

4.8 Adults with Learning Disabilities and Physical Disabilities – Sunderland Care and Support (Saving - £1.000m in 2016/17)

The unit costs of delivery for this client group are higher than for other client groups and those paid to some other providers locally and regionally. Opportunities to reduce the cost of this provision will be implemented.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	
Additional Comment: Currently looking at staffing structures and unit costs to meet reduction targets within SCSL. Figures and plans will be updated following outcome of workforce transformation project.	

4.9 Review of Staff Requirement in Adult Social Care – (No Saving 2016/17 and £0.250m in 2017/18)

Review of staffing structures and requirements in the light of reductions undertaken.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓
No Equality Analysis Required	
Additional Comment:	

4.10 Review of Grant Funding to VCS – (Saving - £0.200m in 2016/17)

All grant funding will be reviewed to ensure that those organisations receiving support are delivering a service which supports the achievement of agreed outcomes.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	✓
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment:	
Scoping of review to start in January 2016.	

4.11 All client groups - Demand Pressure to be contained within base budget (Saving - £1.991m in 2016/17 and £2.507m in 2017/18)

Financial planning takes account of demand pressures in Adult Social Care. This is estimated to require a budget increase of up to an additional £3m per annum. By implementing the proposed reductions, an element of this financial pressure will be absorbed.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	✓
<p>Additional Comment:</p> <p>Demand pressures will be managed through greater use of universal community support, provision of reablement support to maximise peoples independence, support to carers and ensuring appropriate levels of support for any on-going care needs.</p> <p>National equality analysis has been completed for the Care Act. Where local equality analysis is required, this will be undertaken as services are redesigned. All individuals with needs meeting the new Care Act eligibility criteria will continue to receive appropriate support.</p>	

4.12 Culture and Activity – Development of a Cultural Offer for the City (Saving - £0.987m in 2016/17 and £2.598m in 2017/18)

The cultural offer which includes museums, arts, heritage and libraries as well as other activities will be combined to deliver efficiencies but retain the most appropriate offer for the City which can be offered in partnership with other organisations.

Currently the Council provides financial support to a range of organisations and the basis for and value received from, these arrangements varies and needs review. The review will seek to minimise any future contribution and maximise value from the arrangements, whilst recognising any legal and contractual arrangements.

The Active Sunderland Strategy is in place, and will link to the Leisure JV arrangements and opportunities to build on this approach. The role within the LA will consist of an “intelligent commissioner” with a limited increase in commissioning and contract management arrangements in order to deliver this reduction. External Funding will be sought to ensure continuation of certain activities.

With regard to Sunderland Museums pending consideration of future service delivery options, it is proposed that additional activity to reduce costs is implemented, including a review of opening times and charging for more exhibitions. Any change to delivery model including partnership working will be brought forward as appropriate.

Review of the Library service to reflect actual costs incurred pending further future efficiencies as part of the cultural offer.

The Empire Theatre receives a financial contribution from the Council with the current agreement until 2029 and discussions are progressing with ATG to remove the subsidy and deliver additional benefits.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	✓
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	✓1
No Equality Analysis Required	
Additional Comment	
1 – some of the savings will come from staffing changes	

4.13 Housing Related Support Review — (No Saving in 2016/17 and £2.539m in 2017/18)

A review will commence in 2016/17 with the intention to cease contracts from July 2017 recognising that a change in emphasis onto prevention as well as improving integrated approaches to working with vulnerable service users will need to continue.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	✓
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment	

4.14 Review of Specialist Advice Function — (Saving £0.225m in 2016/17 and £0.205m in 2017/18)

The review will include a reduction in first tier provision by increased self-serve and supported self-serve, a review of management and staffing across the service and move to an alternative delivery model.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	✓
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment	
Review has now been scoped. EIA planned for January 2016	

5 People (Children's) Proposals for Reductions (Saving £2.703m 2016/17 and £3.180m 2017/18)

5.1 Children Remaining with Families (Saving - £1.000m in 2016/17 and £0.317m in 2017/18)

As part of the 2015/16 budget proposals a number of proposals were agreed that delivered efficiencies over a longer period. These include the move to more integrated delivery of support from Early Help to statutory intervention services continue to be progressed where appropriate, although the timescale has been delayed to allow a focus on improving child protection services.

Delivery will be linked to the Early Help Strategy that describes a tiered response to meeting need and sets out guidance on thresholds for access to the tiers of support. The proposal will take advantage of opportunities linked to commissioning of health visitor services. The new offer will commence from September 2017 at the latest. One-off funding of £1m from Troubled Families Grant is to be used in 2016/17.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	✓
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment: A new model will mean a more streamlined delivery with continuous and seamless transfer between services which will have a positive impact on service users. The service will retain a range of support from universal delivery through to specialist support and will therefore be equally accessible to all for universal provision however some existing and future service users could be affected if, as expected, the service becomes more targeted to those with identified need.	

5.2 Looked After Strategy – Review and reduce the number of children in the care of the Local Authority (Saving - £1.427m in 2016/17 and £2.003m in 2017/18)

Plans are in place to review, develop and implement a more localised offer to respond to both the increases in older children and the number of external placements. A root and branch review will be carried out of our needs, the existing options that exist with an emphasis on developing a more local offer that meets the diverse needs that are presented. The review will involve engaging with staff and children and also looking at best practice elsewhere.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	✓
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment: The review will develop and implement a more localised offer to respond to both the increases in older children and the number of external placements.	

5.3 Services for Disabled children – Review of delivery and staffing (Saving - £0.150m in 2016/17 and £0.300m in 2017/18)

Review short break support including transferring Sea View Road to the management of SCAS and explore the benefits of collaboration with key partners. Redesign current service offer and explore alternative delivery model alongside possible options for the wider children's services social care.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	✓
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment:	

5.4 Youth Provision – Review of provision and commissioned contracts (No Saving in 2016/17, £0.560m in 2017/18)

A full review of the Youth Offer commenced in 2015/16 seeking to take advantage of partnership opportunities and delivery by VCS and other organisations.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	✓
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment: Whilst the review will consider the fundamental questions of what outcomes we are seeking to achieve from youth delivery and determine the most appropriate way to achieve the outcomes, this particular efficiency impacts on existing delivery pending the review with reduced funding and required outcomes from current contracted delivery. There may be a risk to continued delivery by some organisations.	

5.5 Review of School Improvement Service – (Saving - £0.100m in 2016/17)

Review the service in light of the greater autonomy of schools and to broker effective partnerships between schools to effect school improvement. Income will be maximised through provision of training courses provided to schools and academies.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	✓
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment:	

5.6 Derwent Hill – Deliver Break-Even (Saving - £0.026m in 2016/17)

Review of delivery model, costs and maximisation of income opportunities to deliver at least a break-even position.

Equality Analysis

Equality Statement	Status
Equality analysis is complete and a positive impact has been identified	
Equality analysis is planned and a positive impact is anticipated	
Equality analysis is complete and neutral impact has been identified	
Equality analysis is planned and a neutral impact is anticipated	✓
Equality analysis is complete and a negative impact has been identified	
Equality analysis is planned and a negative impact is anticipated	
Equality analysis is complete and both positive and negative impacts have been identified	
Equality analysis is planned and both positive and negative impacts are anticipated	
The saving is from staffing changes and therefore equality implications will be considered as part of Workforce Planning arrangements	
No Equality Analysis Required	
Additional Comment: Achieving a break even position through maximising income will not impact upon the accessibility of the service for children and young people	

EQUALITY AND THE BUDGET PROPOSALS

1 Equality in Decision Making

The Equality Act 2010 places a specific duty on Local Authorities through the Public Sector Equality Duty. The three aims of the equality duty are to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equality Act
- Advance equality of opportunity between people who share a protected characteristic and those who do not
- Foster good relations between people who share a protected characteristic and those who do not.

Public authorities are required to give 'due regard' to the three aims of the duty when making decisions. Understanding the effect of decisions on people with different protected characteristics is an important part of complying with the general equality duty. Due regard means:

- consider the need to remove or minimise disadvantage or to meet particular needs
- think about how to encourage participation in public life
- tackle prejudice and promote understanding.

2 How equality analysis has fed into the budget-setting process

- 2.1 Each Directorate has considered the equality impact of their proposals. Where it is timely and appropriate an Equality Analysis has been completed (the Council adopted approach to analyse and record equality impacts). The detail of the analysis is dependent on the nature of the proposal and its stage of development. For those proposals which are not sufficiently detailed to undertake a full Equality Analysis at the present time, an initial consideration of the impacts has been undertaken. In these cases further analysis will be carried out, when the proposals are further developed.

3 Consultation

- 3.1 Consultation has included an online survey as well as a targeted event to which Community Spirit (the Residents' Panel), representatives of the Area Voluntary and Community Sector Networks, and city-wide Equality Forums were invited. The Equality Forums cover a range of protected characteristics including disability, sexuality, faith and belief, race and age.

4 Key Messages

- 4.1 Individual proposals for additional savings are currently at different stages of equality analysis depending on the stage of the development of the proposal. The equality considerations can be summarised as follows:

- Equality Analysis, whether complete or at initial consideration, has identified or anticipated positive impacts.
- Equality Analysis, whether complete or at initial consideration, has identified or anticipated negative impacts. Where negative impacts are identified, it is the responsibility of the services to minimise these as far as possible. Some proposals have already identified possible ways to mitigate against potential impacts.
- No impacts have been identified or are anticipated.
- The proposal has potential employment impacts, or the saving will be partially made from staffing changes. Where there are impacts for the Council as an employer, equality considerations will be made as part of the Workforce Planning Project.
- No equality analysis is needed. This is generally where the proposal will have no impact on service users / employees or where the proposal is focused on income generation.

The summary of impacts as at publication date, by area, is outlined below. A further updated position will be reported to cabinet in February.

	Other Proposals	Central	Place and Economy	People - Adults	People – Children's
Positive impact identified or anticipated	0	0	1	0	1
Negative impact identified or anticipated	0	0	3	0	1
Neutral impact identified or anticipated Note 1	1	0	9	2	1
Both positive and negative impacts identified or anticipated Note 1	1	0	0	6	3
Employee implications	11	0	3	3	0
No Equality Analysis needed	5	5	12	4	0
	18	5	28	15	6

Note 1: Where the current draft of the Equality Analysis does identify potential negative impacts, the services will be considering how these impacts can be mitigated as far as possible during the development of detailed proposals.

Note 2: The number of impacts is greater than the number of proposals due to more than one element within a proposal (e.g. a service review with staffing implications)

4.2 A number of the proposals provide the opportunity for improving equality and diversity of provision, due to services being reviewed in line with demand management and application of the Customer Service and Access principles. These principles encourage greater understanding of customers and communities.

4.3 Where Equality Analysis is finalised, there will be a sampled quality assurance process to ensure the relevant considerations are being made in a thorough manner.

5 CONCLUSIONS

- 5.1 The Council continues to seek to meet its obligations in relation to equality and diversity and has procedures in place at both a general and budget specific level to incorporate equality and diversity issues into decision making processes and the assessment of proposals.
- 5.2 Where analysis does highlight some equality implications, services and directorates will be responsible for assessing how these can be mitigated during the development of the detailed proposals. Where a proposal includes a review of services a full and/or updated version of equality analysis will be undertaken and presented to decision makers as proposals are shaped.

APPENDIX 4

Statement of General Balances

	£m
Balances as at 31st March 2015	7.570
Use / Addition to Balances 2015/2016	0
Use of Balances 2015/2016	
- Contribution to Revenue Budget	(8.812)
Addition to Balances 2015/2016	
- Transfer from Strategic Investment reserve to support the budget over the medium term	3.212
- Reserves Released to Support the Revenue Budget	5.600
Estimated Balances 31st March 2016	7.570
Use of Balances 2016/2017	
- Contribution to Revenue Budget	(8.940)
Addition to Balances 2016/2017	
- Transfer from Strategic Investment reserve to support the budget over the medium term	5.590
- Transfer from Safety Net Reserve to support the budget over the medium term	3.350
Estimated Balances 31st March 2017	7.570

The above position will be reviewed and updated and reported to Cabinet as part of the final budget proposals in February, 2016.

The above shows that balances will remain at £7.570m – One off resources will be used to support the budget over the medium term.

CABINET MEETING – 13 JANUARY 2016

EXECUTIVE SUMMARY SHEET – PART I

Title of Report:

Council Tax Base 2016/2017

Author(s):

Director of Finance

Purpose of Report:

To detail the calculation of the Council Tax Base for 2016/2017 and to seek approval to recommend to Council the Council Tax Base for 2016/2017 in accordance with the Local Government Finance Act 1992 as amended by the Local Authorities (Calculation of Council Tax Base) (Amendment) (England) Regulations 2012.

Description of Decision:

Cabinet is recommended to recommend to Council:

The report for the calculation of the Tax Bases for the City Council and Hetton Town Council for 2016/2017 be approved.

That pursuant to the report and in accordance with the Local Authorities (Calculation of Tax Base) Regulations 1992, as amended by Local Authorities (Calculation of Council Tax Base) (Amendment) (England) Regulations 2012 the amount calculated by Sunderland City Council as its Council Tax Base for the year 2016/2017, shall be 67,556 and for the area of Hetton Town Council shall be 3,451.

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 comply with statutory requirements.

Impacts analysed:

Equality ☒ Privacy ☒ Sustainability ☒ Crime and Disorder ☒

Is the Decision consistent with the Council's co-operative values? Yes

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

Is it included in the 28 day Notice of Decisions? Yes

Cabinet – 13th January 2016

Council Tax Base 2016/2017

Report of the Director of Finance

1. Purpose of Report

- 1.1. To detail the calculation of the Council Tax Base for 2016/2017 and to seek approval to recommend to Council the Council Tax Base for 2016/2017 in accordance with the Local Government Finance Act 1992 as amended by Local Authorities (Calculation of Council Tax Base) (Amendment) (England) Regulations 2012.

2. Description of Decision

Cabinet is recommended to recommend to Council:

- 2.1. The report for the calculation of the Tax Bases for the City Council and Hetton Town Council for 2016/2017 be approved.
- 2.2. That pursuant to the report and in accordance with the Local Authorities (Calculation of Tax Base) Regulations 1992 and the Local Authorities (Calculation of Council Tax Base) (Amendment) (England) Regulations 2012, the amount calculated by Sunderland City Council as its Council Tax Base for the year 2016/2017, shall be 67,556 and for the area of Hetton Town Council shall be 3,451.

3. Background to the Calculation of the Council Tax Base

- 3.1 The Council Tax Base is the estimated number of properties in each valuation band adjusted to take account of the estimated number of discounts, disregards and exemptions. The Council levies a Council Tax on the basis of properties in band D and thus the numbers for each valuation band are adjusted to the proportion which their number is to band D. The Council must then estimate its level of collection for the year and apply this figure to arrive at the Council Tax Base figure.
- 3.2 The Council Tax Base must be calculated for both the Billing Authority and Hetton Town Council (a local parish precept). The Billing Authority's Tax Base will be used to calculate the Council Tax for the City Council (including any social care precept) and as the basis for the major precepting authorities (Police and Crime Commissioner for Northumbria and Tyne and Wear Fire and Rescue Authority) to determine their precept requirements.
- 3.3 The calculations also take into account all additional legislative changes that have been made by the government. These include:
 - Council Tax (Reductions for Disabilities) Regulations 1992 in respect of properties adapted to meet the needs of a disabled person as these properties are charged at a rate equal to the next lowest valuation band (for Band A properties a Disabled Band A based on 5/9ths is applied);

- Technical adjustments to Council Tax Discounts and Exemptions applied from 1st April 2013;
- Localisation of Council Tax Benefit Scheme (LCTBS) also introduced from 1st April 2013.

3.4 For information the Technical adjustments have had a positive impact on the Tax Base calculations of the Council and these have to be included separately within the detailed calculations in accordance with the regulations, which are detailed in Appendix 1 for information.

3.5 The introduction of the LCTBS from 1st April 2013 means that the council must approve annually its proposed Council Tax Support scheme. The impact of the scheme is recognised within the calculations as a council tax discount which is referred to as Item Z. The proposed 2016/2017 Scheme is set out elsewhere on today's agenda and remains unchanged from that operated in 2015/2016. The Tax Base of the Council for 2016/2017 includes the full impact of the Scheme as required by the regulations.

3.5.1 The Council Tax Base has increased from last year by 1,556. The increase is primarily due to the number of new homes built across the city over the last year and the anticipated number of new homes expected to be built over the next twelve months has increased.

4. Calculations of the Billing Authority's Council Tax Base

4.1 This calculation is in two parts – 'A' - the calculation of the estimated adjusted band D properties and 'B' - the estimated level of collection.

4.2 The calculation of 'A' - the relevant amounts for each band is complex and includes a number of calculations which are shown at Appendix 1.

4.3 The relevant amounts 'A' as calculated in Appendix 1 are shown below:

BAND	RELEVANT AMOUNT 'A'
	£ p
Disabled (A)	68.69
A	31,249.32
B	11,161.17
C	12,804.06
D	7,781.78
E	3,501.75
F	1,389.24
G	951.23
H	27.50
	<u>68,934.74</u>

4.4 Calculation of Item 'B' - Estimate of Collection Rate

This element of the formula is to reflect the level of collection anticipated. Last year an anticipated collection rate of 98% was assumed. On the basis of current collection levels it is suggested that the collection rate should remain at 98% for 2016/2017.

4.5 Calculation of Council Tax Base

The Council's Tax Base is therefore: 'A' £68,934.74 x 'B' 98% = £67,556.05
(for comparison the previous years Tax Base was £66,000.04)

Appendix 2 shows, for Members information, the Tax Base for each property band.

5. Calculation of Council Tax Base for Hetton Town Council - Local Precept

5.1 The rules for calculating the Council Tax Base for the area covered by Hetton Town Council are similar to those used in calculating the Billing Authority's Tax Base. These detailed calculations are shown in Appendix 3.

5.2 The amounts calculated for each band are shown below:

BAND	RELEVANT AMOUNT 'A'
	£ p
Disabled (A)	5.12
A	1,947.05
B	691.90
C	450.59
D	245.22
E	97.17
F	51.64
G	31.25
H	1.00
	<u>3,520.94</u>

5.3 The same collection rate is required to be used for Parish precepts as for the Billing Authority. The Tax Base for Hetton Town Council is therefore:

'A' x 'B' (where 'B' is the estimated collection rate) £3,520.94 x 98% = £3,450.52.
(for comparison the previous years Tax base was £3,300.85)

Appendix 2 shows, for Members information, the Tax Base for each property band.

6. Reasons for Decision

6.1 To comply with statutory requirements.

7. Alternative Options

7.1 No alternative options are proposed.

8. Impact Analysis

8.1 There are no implications.

9. List of Appendices

Appendix 1 - Calculation of the Billing Authority's Council Tax Base

Appendix 2 - Council Tax Base - City of Sunderland / Hetton Town Council

Appendix 3 - Calculation of the Council Tax Base for Hetton Town Council - Local
Precept

Calculation of the Billing Authority's Council Tax Base

- 1.1 Regulation 3 of the Local Authorities (Calculation of Council Tax Base) Regulations 1992 (S.I. 1992 No. 612) and amended by (S.I. 2012 No. 2914) states that a Billing Authority's Council Tax Base for a financial year shall be calculated by applying the formula -

$$'A' \times 'B'$$

Where 'A' is the total of the relevant amounts for each of the Valuation Bands which are shown or likely to be shown in the Authority's Valuation List as at 30 November in the year prior to the year in question and where 'B' is the Authority's estimate of its collection rate for that year.

- 1.2 As stated above the Council is required to approve the calculation of both items 'A' and 'B' in arriving at its Tax Base.

Calculation of Item 'A' - relevant amounts for each Valuation Band:

- a) Regulation 5 of the Local Authorities (Calculation of Council Tax Base) Regulations 1992, as amended, states that item 'A' should be calculated by applying the following formula:

$$((H - Q + E + J) - Z) \times (F/G)$$

- where H = number of chargeable dwellings
 Q = is a factor to take account of discounts of Council Tax payable. It is calculated as $Q = (R \times S)$
 R = number of discounts estimated to be payable in respect of these dwellings
 S = the percentage relating to each discount classification
 E = is a factor to take account of premiums to be added to the Council Tax Base
 J = adjustment (whether positive or negative) in the numbers of dwellings or discounts during the period
 Z = the amount that the authority estimates will be applied in respect of the Council Tax reduction scheme
 F = the relevant prescribed proportions for each Band
 G = the relevant prescribed proportion for Band D

- b) The calculation of each of the above items is, where appropriate, to be made in accordance with paragraph 2-13 of Regulation 4 of the Local Authorities (Calculation of Council Tax Base) Regulations 2012. The different items are to be calculated as follows:

Item H - the number of chargeable dwellings is the sum of:

The number of dwellings listed in each Band in the copy of the Valuation List on the relevant day less an estimate of the number of such dwellings which were exempt on that day.

Item Q – a factor to take account of the discounts to which the amount of Council Tax payable was subject to on the relevant day. It is calculated by taking the aggregate of amounts found by multiplying, for each different relevant percentage, R by S, where:

Item R – the number of dwellings for which the amount of Council Tax payable for the relevant day was reduced. For 2016/2017 the following reductions are to be applied:

- a) Single Person Discount – awarded to properties with only one adult resident
- b) Single Disregard – awarded to properties in which all but one resident has been disregarded
- c) Double Disregard – awarded to properties in which all residents have been disregarded
- d) Class A Discount – Awarded to properties that cannot be occupied throughout the year (for example beach huts) – there are currently no such properties within the city area
- e) Class B Discount – awarded to furnished, unoccupied properties
- f) Class BE Discount – awarded to properties left furnished and unoccupied because the Council Tax payer is working away from home
- g) Class C Discount 1 – awarded to substantially unfurnished properties vacant for less than one month
- h) Class C Discount 2 – awarded to substantially unfurnished properties vacant for more than one month, for a maximum period of 6 months
- i) Class C Discount 3 – awarded to substantially unfurnished properties vacant for more than 6 months
- j) Class D Discount - awarded to vacant properties requiring or undergoing structural alteration or major repair, for a maximum period of 12 months
- k) Class E Discount - awarded to members of the armed forces living in accommodation provided by the Secretary of State
- l) Class F Discount – awarded to annexes forming part of a single property which the resident is using as their sole or main residence

Item S - the relevant percentage. For 2016/2017 the relevant percentage is as follows:

a) Single Person Discount	-	25%
b) Single Disregard	-	25%
c) Double Disregard	-	25% x 2 (50%)
d) Class A Discount	-	0%
e) Class B Discount	-	0%
f) Class BE Discount	-	50%
g) Class C Discount 1	-	100%
h) Class C Discount 2	-	25%
i) Class C Discount 3	-	0%
j) Class D Discount	-	25%
k) Class E Discount	-	50%
l) Class F Discount	-	0%

The relevant percentage for items a) to c) above, is calculated in accordance with Section 11 Local Government Finance Act 1992. The relevant percentage for item d) to f) is calculated in accordance with the Council Tax (Prescribed Classes of Dwellings) (England) Regulations 2003, and Section 11A of the Local Government Finance Act 1992. The relevant percentage for items g) to l) is calculated in accordance with the Council Tax (Prescribed Classes of Dwellings) (England) Regulations 2012, Section 11A of the Local Government Finance Act 1992 and the Local Government Finance Act 2012.

Item E - the amount of any additional premium charged on all long term empty properties which have remained unoccupied for a period of greater than 2 years. The amount of the premium is 50% of the amount of the Council Tax charge for that property. This means that properties are charged at a 150% rate.

Item J - the amount of any adjustment in respect of this item is equal to an estimate of dwellings not listed in H above but which will be listed during part or all of the year less an estimate of the number of dwellings listed in H above but which will not be listed for all or part of the year.

Item Z - the amount of support provided under the Council Tax reduction scheme. This is the scheme that has replaced Council Tax benefit. The support is shown as a discount and the reduction in the base is equivalent to the level of Council Tax that will not be collected because of awards made under the Council Tax reduction scheme

Item F - the relevant prescribed proportions for each band are set out in Section 5 of the Local Government Finance Act 1992 as follows:

Band	(A)	A	B	C	D	E	F	G	H
Proportion	5	6	7	8	9	11	13	15	18

Item G - the relevant prescribed proportion for Band D is 9 (as above).

c) The calculation $((H - Q + E + J) - Z) \times (F/G)$

The results of these calculations are shown below.

1.3 Tax Base Calculation $((H - Q + E + J) - Z) \times (F/G)$

	Disabled Band(A)	Band A	Band B	Band C	Band D	Band E	Band F	Band G	Band H
Item H	179	77305	17406	16053	8249	3006	1022	619	17
Item Q	11.25	9321.75	1417	1055.75	396.25	131.75	48.75	46.25	3.75
Item E	0	193.50	24.50	17.50	6	3	1.50	2.50	0.50
Item J	0	-42	222	228	133	45	2	2	0
Item Z	44.10	21260.77	1885.42	838.18	209.97	57.18	14.97	6.51	0
Item F	5	6	7	8	9	11	13	15	18
Item G	9	9	9	9	9	9	9	9	9

1.4 Applying the figures in section 1.3 to the calculation $((H - Q + E + J) - Z) \times (F/G)$ produces a relevant amount for each Valuation Band - Item A in Regulation 3 of the Local Authorities (Calculation of Council Tax Base) Regulations 2012 as follows:

BAND	RELEVANT AMOUNT
	'A'
	£ p
Disabled (A)	68.69
A	31,249.32
B	11,161.17
C	12,804.06
D	7,781.78
E	3,501.75
F	1,389.24
G	951.23
H	27.50
	<u>68,934.74</u>

Council Tax Base - City of Sunderland Council / Hetton Town Council

a) Council Tax Base - City of Sunderland Council

Band	Item 'A'	Item 'B'	Tax Base
	£ p		'A' x 'B'
(A)	68.69	98	67.32
A	31,249.32	98	30,624.33
B	11,161.17	98	10,937.95
C	12,804.06	98	12,547.98
D	7,781.78	98	7,626.14
E	3,501.75	98	3,431.71
F	1,389.24	98	1,361.46
G	951.23	98	932.21
H	27.50	98	26.95
	<u>68,934.74</u>		<u>67,556.05</u>

b) Council Tax Base - Hetton Town Council

(A)	5.12	98	5.02
A	1,947.05	98	1,908.11
B	691.90	98	678.06
C	450.59	98	441.58
D	245.22	98	240.31
E	97.17	98	95.23
F	51.64	98	50.61
G	31.25	98	30.62
H	1.00	98	0.98
	<u>3,520.94</u>		<u>3,450.52</u>

Calculation of the Council Tax Base for Hetton Town Council - Local Precept

1.1. The rules for calculating the Council Tax Base for any part of a Billing Authority's area (e.g. Local Parish) are the same as the rules contained in Appendix 1 except that chargeable dwellings and discounts are to be taken for only those dwellings and discounts relating to the area for which the Council Tax Base is to be calculated.

1.2. As in Appendix 1 the rules require the calculations of items 'A' and 'B'.

Item A is calculated by the formula:

$$((H - Q + E + J) - Z) \times (F/G)$$

1.3. The calculations detailed above have been carried out in respect of the Hetton Town Council for each relevant band and the result of the calculations is shown below:

1.4. Tax Base Calculation - Hetton $((H - Q + E + J) - Z) \times (F/G)$

	Disabled Band (A)	Band A	Band B	Band C	Band D	Band E	Band F	Band G	Band H
Item H	14	4745	998	501	241	88	39	19	1
Item Q	1	559.50	68.75	31.50	11.50	5.50	3.25	2.25	0.50
Item E	0	20	3	0	1	0.50	0	0	0
Item J	0	-11	23	50	22	0	0	2	0
Item Z	3.78	1273.93	65.66	12.59	7.28	3.50	0	0	0
Item F	5	6	7	8	9	11	13	15	18
Item G	9	9	9	9	9	9	9	9	9

1.5 Applying the figures in section 1.4 to the calculation $((H - Q + E + J) - Z) \times (F/G)$ produces a relevant amount for each Valuation Band - Item A in Regulation 3 of the Local Authorities (Calculation of Council Tax Base) Regulations 2003 as follows:

BAND RELEVANT AMOUNT

	'A'
	£ p
Disabled (A)	5.12
A	1,947.05
B	691.90
C	450.59
D	245.22
E	97.17
F	51.64
G	31.25
H	1.00
	<u>3,520.94</u>

CABINET MEETING – 13 JANUARY 2016 EXECUTIVE SUMMARY SHEET – PART I
Title of Report: Business Rates Income Forecast 2016/2017 and Projected Business Rates Income Outturn 2015/2016
Author(s): Director of Finance
Purpose of Report: This report details the arrangements for estimating; <ul style="list-style-type: none"> • the forecast outturn for business rates income for 2015/2016 and • the business rates income for 2016/2017 to be included in the NNDR1 return which must be submitted to Government by 31 st January 2016 in accordance with the Non Domestic Rating (Rates Retention) Regulations 2013
Description of Decision: Cabinet is recommended to note the draft NNDR1 form (to be circulated separately as Appendix A) which sets out <ul style="list-style-type: none"> • the forecast outturn for business rates income for 2015/2016 • total estimated business rates income before transitional arrangements for the year 2016/2017 <p>Cabinet is asked to provide delegated authority to the Director of Finance, in consultation with the Leader of the Council and Cabinet Secretary, to approve the final version of the NNDR1 form to be submitted to DCLG by 31st January 2016 in accordance with regulations, and which will form the basis of the necessary apportionment of the estimated total business rate income for 2016/2017 in the following proportions:</p> <ul style="list-style-type: none"> • 50% to the Government • 1% to the Tyne and Wear Fire and Rescue Authority • 49% to the Council •
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 comply with Government requirement to submit the NNDR1 return containing the estimated Business Rate Income for 2016/2017 by 31st January 2016 to both the Government who receive 50% of the total figure and also to the Tyne and Wear Fire and Rescue Authority who receives 1% of the total. The Council will retain the remaining 49%

Alternative options to be considered and recommended to be rejected:

There are no alternative options recommended for approval.

Impacts analysed:

Equality ☒ Privacy ☒ Sustainability ☒ Crime and Disorder ☒

Is the Decision consistent with the Council's co-operative values? Yes

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

Is it included in the 28 day Notice of Decisions? Yes

BUSINESS RATES INCOME FORECAST 2016/17 AND PROJECTED BUSINESS RATES INCOME OUTTURN 2015/16

Report of the Interim Head of Paid Service and Director of Finance

1. Purpose of Report

1.1 This report details the arrangements for estimating

- the forecast outturn for business rates income for 2015/2016 and
- the business rates income for 2016/2017

to be included in the NNDR1 return which must be submitted to Government by 31st January 2016 in accordance with the Non Domestic Rating (Rates Retention) Regulations 2013.

2. Description of Decision:

2.1 Cabinet is recommended to note the draft NNDR1 form (to be circulated separately as Appendix A) which sets out:

- the forecast outturn for business rates income for 2015/2016;
- total estimated business rates income before transitional arrangements for the year 2016/2017.

Cabinet is asked to provide delegated authority to the Director of Finance, in consultation with the Leader of the Council and Cabinet Secretary, to approve the final version of the NNDR1 form to be submitted to DCLG by 31st January 2016 in accordance with regulations, and which will form the basis of the necessary apportionment of the estimated total business rate income for 2016/2017 in the following proportions:

- 50% to the Government
- 1% to the Tyne and Wear Fire and Rescue Authority
- 49% to the Council

3. Introduction and Background Information

3.1 The Non Domestic Rating (Rates Retention) Regulations 2013 set out the regulations in relation to the Business Rates Retention Scheme (BRRS) introduced from 1 April 2013. Under the regulations, 50% of Non-Domestic Rates (more commonly known as Business Rates) will be retained locally by billing authorities and 2% of this total will be shared with the Tyne and Wear Fire and Rescue Authority.

- 3.2 Councils must submit a return known as the NNDR1 form to the Department for Communities and Local Government (DCLG). This form provides the local tax base for business properties in the area for the forthcoming year and determines the value of income from Non Domestic rates between central government, the council and the Tyne and Wear Fire Authority. As such the NNDR1 form is a key document in the budget setting process.
- 3.3 In addition to estimating the rates position for 2016/2017, the NNDR1 form requires the Council to confirm their best estimate of the NDR collection fund position as at 31 March 2016 i.e. to the end of the prior financial year 2015/2016. This is required in order to demonstrate whether a surplus or deficit on the Collection Fund in relation to NDR is anticipated at that date. Where a deficit is anticipated, payment will be required from central government and the Fire Authority, conversely where a surplus is anticipated payment will be required to be made by the Council to central government and the Fire Authority. These payments are required to be included in the Councils budget position for 2016/2017.
- 3.4 The NNDR1 figures must be reported to the DCLG and to any relevant precepting authorities. In the case of the Council it must formally notify the Tyne and Wear Fire and Rescue Authority of their proportionate share of the Councils total estimated business rates income for 2016/2017, and the forecast outturn position for 2015/2016.
- 3.5 The NNDR1 form must be certified by the Section 151 Officer and returned to the DCLG no later than 31 January 2016. The final NNDR1 implications on the 2016/2017 Budget will be incorporated into the Revenue Budget and proposed Council Tax for 2016/2017 report which will be reported to Cabinet in February 2016.

4. Autumn Statement and Spending Review Announcements

- 4.1 The Autumn Statement delivered on the 25th November 2015, set out two measures that will impact on Business Rates Retention for 2016/2017. These include:
- extending the doubling of Small Business Rate Relief for a further year (2016/2017);
 - removing the temporary £1,500 discount for shops, pubs and restaurants with rateable values below £50,000 for 2016/2017

The Council will continue to be refunded by way of Section 31 grant for the loss in business rates receipts as a result of extending the small Business Rate Relief measures. This grant will be payable through the General Revenue Fund (rather than the Collection Fund).

The removal of the retail discount will reduce the Section 31 grant received by the council, but this should be compensated on a like for like basis by increased rates income through the Collection Fund.

- 4.2 The government confirmed previous announcements around proposals to change the way local government is funded through 100% retention for local government and the ending of uniform business rates, including through powers for elected mayors to raise Business rates for investment and infrastructure. The Government is to consult on the detail in early 2016.
- 4.3 In addition the government confirmed that the review of the future structure of business rates will be reported on as part of the Budget 2016.

5. NNDR1 Form

The Draft NNDR1 return will be circulated separately as Appendix A. This sets out:

5.1 Forecast Outturn 2015/2016

- 5.1.1 The most significant variable impacting on the Business Rates position continues to be the position with regard to appeals. The council took a prudent approach to setting aside a provision in the 2014/2015 collection fund which accounted for appeals lodged during 2014/2015. However, due to the restriction on appeals introduced in the 2014 Autumn Statement there was a significant increase in appeals lodged late 2014/2015. Due to the numbers of appeals there remain a significant number of appeals lodged that require attention by the VOA, so increasing the uncertainty around the final outturn position. The position is being kept under close review and the VOA is providing quarterly updates.
- 5.1.2 A further variable relates to empty property rates. There is an increasing issue with property owners trying to by-pass payment of rates through a number of avoidance tactics which is a national issue. The government has recently undertaken a Business rates review consultation which included reference to this issue. Pending any government action on this issue, the Council continues to forecast on a prudent basis.

5.2 Forecast Business Rates Income 2016/2017

- 5.2.1 The Forecast position for 2016/2017 included in the NNDR1 includes the
- best estimate of the appeals position based on VOA data and with reference to the existing provision position.
 - the impact of announcements made by the government as part of the autumn statement detailed above.

6. Reason for Decision

- 6.1 To comply with the Government requirement to submit the NNDR1 return containing the estimated Business Rates Income for 2016/2017 by 31st January 2016 to both the Government who receives 50% of the total figure and also to the Tyne and Wear Fire and Rescue Authority who receives 1% of the total. The Council will retain the remaining 49%.

7. Alternative Options

7.1 No alternative options are proposed.

8. Background Papers

None

CABINET MEETING – 13 JANUARY 2016 EXECUTIVE SUMMARY SHEET – PART I	
Title of Report: Local Council Tax Support Scheme	
Author(s): Director of Finance	
Purpose of Report: To provide Cabinet with an update on the consultation results for the Local Council Tax Support Scheme and to recommend that the Local Council Tax Support Scheme set out in paragraph 5 and Appendix B be implemented with effect from 1 April 2016.	
Description of Decision: To recommend Council to: <ul style="list-style-type: none"> (i) Consider feedback received during the consultation period from the public; (ii) Approve the council's Local Council Tax Support Scheme as set out in paragraph 6 and Appendix B for the financial year 2016/17, which is unchanged from the current scheme; and (iii) Authorise the publication of the approved Scheme on the council's website and in any additional manner determined by the Director of Finance in consultation with the Leader of the Council and Cabinet Secretary. 	
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: <ul style="list-style-type: none"> (i) The council must have its Local Council Tax Support Scheme approved by 31 January 2016; and (ii) The proposed scheme as set out in paragraph 5 and at Appendix B reflects the experience of the impact of the scheme to date and the outcome of the consultations undertaken. Impacts of the scheme will continue to be closely monitored following the scheme's introduction in April 2016. 	
Alternative options to be considered and recommended to be rejected: The alternative option is to amend the scheme which would not be consistent with the consultation responses received.	
Impacts analysed; <div style="display: flex; justify-content: space-between; align-items: center;"> Equality <input checked="" type="checkbox"/> Privacy <input checked="" type="checkbox"/> Sustainability <input checked="" type="checkbox"/> Crime and Disorder <input checked="" type="checkbox"/> </div>	
Is the Decision consistent with the Council's co-operative values? Yes	
Is this a "Key Decision" as defined in the Constitution? Yes	
Is it included in the 28 day Notice of Decisions? Yes	

CABINET MEETING – 13 JANUARY 2016

LOCAL COUNCIL TAX SUPPORT SCHEME

REPORT OF THE DIRECTOR OF FINANCE

1. Purpose of the Report

- 1.1 To provide Cabinet with an update on the consultation results for the Local Council Tax Support Scheme and to recommend that the Local Council Tax Support Scheme set out in paragraph 6 and Appendix B be implemented with effect from 1 April 2016.

2. Description of Decision (Recommendations)

- 2.1 To recommend Council to:-
- (i) consider feedback received during the consultation period from the public;
 - (ii) approve the council's Local Council Tax Support Scheme as set out in paragraph 6 and Appendix B for the financial year 2016/17 which is unchanged from the current scheme; and
 - (iii) authorise the publication of the approved Scheme on the council's website and in any additional manner determined by the Director of Finance in consultation with the Leader of the Council and Cabinet Secretary.

3. Background

- 3.1 The Welfare Reform Act 2012 abolished the Council Tax Benefit system and replaced it under the Local Government Finance Act 2012 with the Local Council Tax Support scheme from 1st April 2013, thereby transferring responsibility from central to local government. The Local Government Finance Act 2012 also legislated that pensioners must receive protection, in that they must receive the same levels of entitlement under the new local Council Tax Support scheme as they had received under the old Council Tax Benefit scheme.
- 3.2 Following the implementation of the scheme in April 2013 and further evaluation of the feedback from consultation some minor amendments were made to the scheme for 2015/2016 and the council adopted an updated scheme which was based upon the government's default scheme and included a small number of modifications effective from 1st April 2015.

4. Current Position

- 4.1 Following approval and implementation of the current scheme, a review has been undertaken which considered the early potential impacts of changes to universal credits and consultation to gauge citizens' views on either leaving the scheme as is, or increasing the minimum amount all working aged claimants should pay. The consultation was undertaken as part of the wider budget consultation carried out by the council, in order to inform whether any changes in the scheme would be proposed.

- 4.2 On 2nd December 2015 DCLG announced that it is to undertake a review of the localisation of council tax support taking into account the impact of the proposed reform of local government finance and consider whether further reforms should be made to include payments within Universal Credit. Under the terms of reference for the review, views are being sought about the effectiveness, efficiency, fairness, and transparency of the change. Evidence is also being sought from a range of stakeholders on the local experience of designing, implementing, or receiving support, and what the main challenges have been. The review is scheduled to conclude in early 2016 with a report to the Secretary of State for Local Government by the end of March 2016. Any outcomes of this will be taken into account when considering changes (if any) to the support scheme for 2017/18 and will be subject to further consultation at that time.

5. Results of Consultation on the Local Council Tax Support Scheme

- 5.1 Consultation was carried out with the public on the content of the scheme from 23rd October to 13th December 2015 via an online questionnaire which was available to all city residents, and distributed in hardcopy format at a number of budget consultation area based workshops
- 5.2 The results of the survey have been analysed. Overall there is support for the council's scheme and the key findings are summarised at Appendix A.

6. Proposed Local Council Tax Support Scheme

- 6.1 Following the successful implementation of the current scheme and evaluation of the feedback from consultation it is proposed that the council continues with the current scheme, the main features of which are set out in Appendix B.

7. Financial Implications

- 7.1 The operation of the proposed scheme is expected to be broadly neutral with the cost of the scheme factored into the council's budget planning.

8. Reasons for the Decision

- 8.1 The council must have its Local Council Tax Support Scheme approved by 31 January 2016.
- 8.2 The proposal to continue with the current scheme as set out in section 6 and at Appendix B reflects the experience of the impact of the scheme to date and the outcome of the consultation undertaken. Impacts of the scheme will continue to be closely monitored following the scheme's introduction in April 2016.

9. Alternative Options

- 9.1 The alternative option is to amend the scheme which would not be consistent with the consultation responses received.

10. Impact Analysis

(a) Equalities –

An Equality Impact Assessment has been undertaken, taking into account analysis of public consultation data and comments.

Work will continue to assess the impact of this scheme alongside the related impacts of any welfare and benefit reforms either already introduced or still being planned by Government.

11. Other Relevant Considerations / Consultations

(i) Legal Implications – The comments of the Head of Law and Governance have been taken into account in preparing this report.

(ii) Other Consultations – The comments of the Executive Director of People Services and the Director of Human Resources and Organisational Development have been taken into account in preparing this report.

(iii) The Public – The outcome of the public consultation is set out in the report and at Appendix A.

12. List of Appendices

Appendix A – Public Consultation Results Summary

Appendix B – Local Council Tax Support Scheme Main Features

13. Background Papers

Localised Council Tax Support Scheme Equality Analysis

Public Consultation Results Summary

- 1 Approximately 48.42% (215 respondents) of the 444 respondents are in overall agreement with continuing with Sunderland's Scheme, with some 30.18% (134 respondents) disagreeing and 21.40% (95 respondents) having no views either way / not responding. 61.6% of those respondents making a positive response agreed with continuing with the current scheme with 38.4% disagreeing.
- 2 Respondents were also asked if in the event that they disagreed with the council's current scheme whether the minimum payment should be raised to 10% or 12.5% from the current level of 8.5%. Of the 198 response, 38.19% (76 respondents) indicated that the minimum payment should be raised to 10% and 61.81% (123 respondents) indicated that the minimum payment should be raised to 12.5%.
- 3 General comments were also sought about a preferred council tax support scheme.

Consultation – Description	Respondents agreeing	Respondents not agreeing	Respondents with no views either way	No response
Do you agree that the council should continue with the current Council Tax Support Scheme	48.42%	30.18%	20.05%	1.35%
If you disagree with the council's preferred proposal to continue with the current Council Tax Support scheme, do you:				
Think that the minimum payment should be raised to 10%	38.19%			
Think that the minimum payment should be raised to 12.5%	61.81%			

In relation to general comments, the substantive responses ranged between respondents wanting those in receipt of council tax support to pay more / their fair share / not to receive council tax support and those who recognised the difficulties faced by those in receipt and the need to provide assistance.

Local Council Tax Support Scheme Main Features

1. Council tax support entitlement will be calculated and reduced by 8.5% for all working aged claimants.
2. Second Adult Rebate, which is a reduction of up to 25% of the Council Tax where a customer's income is too high to receive benefit but they have other adults living in the household whose income is low will continue to not apply.
3. The council will continue, within the limits of point 1 above, with applying an increase of £1 per week on non – dependant deductions for those in receipt of partial benefit.
4. Pensioners who are of pension age will be treated under pensioner rules even if they are available for work.
5. Those non-dependants serving in the forces on operations will continue to be disregarded from the calculation.
6. Information held in respect of Housing Benefit or Universal credit can be used to calculate Council Tax support where appropriate.

EQUALITY ANALYSIS

Please refer to Part 2 of the Equality Analysis Guidance

Name of Policy/Decision/Project/Activity:

Localised Council Tax Support Scheme

Equality Analysis completed by:

Name / Job Title
Sharon Holden
Acting Council Tax & Business
Rates Manager

Date: Dec 2015

Responsible Officer:

Name /Job Title:
Paul S Wilson
Assistant Head of Financial
Resources

Date: Dec 2015

Is this a: Policy (☒) Strategy () Function ()
Service () Project () Other ()

Is it: New/Proposed ()
Changing/Being Reviewed (☒) Other ()

1. Purpose and Scope

Purpose

In this section outline briefly what the policy, decision or activity is, what the intended outcomes/benefits (linked to the Corporate Outcomes Framework) are and over what period of time will the outcomes be achieved. Why does it need to be implemented or revised?

In 2012 the Welfare Reform Act, which received Royal Assent on 8 March 2012, set out some of the most significant proposed changes to the welfare system in decades. A key change in the Act was the Government decision to abolish the national Council Tax Benefit system and replace it with the Local Council Tax Support scheme from 1 April 2013. Responsibility for the scheme was transferred from central to local government and at the same time the government cut the level of grant support to local authorities by an average of 10 % nationally in 2013. The main change was that CTB was to be treated as a discount.

The Government's two underlying principles are that localised schemes should:

- provide support for the most vulnerable, including protecting pensioners by legislating that they should be no worse off under the new local scheme; and
- assist with lifting the poorest people off benefits and supporting them into work in line with the principles set out under Universal Credit i.e. incentivising people to move from benefit into work.

Although the change in responsibility and reduced budget has been dictated by Government, the aims are considered to link with Corporate Outcomes Framework (COF) 'Organisational Philosophy' in the areas of:

- reduction in the total resources needed to run services (while retaining quality);
- percentage of residents who consider the council to give good value for money; and
- increasing trust, reputation & satisfaction with the council

The scheme has been considered for 2016/17 only. DCLG are undertaking a review of the localisation of Council Tax Support in early 2017 and any outcomes from this will be taken into account when considering future changes to the scheme from 2017/18 onwards including the impact of any changes to welfare benefits e.g. tax credits.

Scope

In this section consider who or where the target for the policy or activity is, this could be specific groups of people or organisations, individual wards, neighbourhoods or communities or the entire city. Links to, and overlap with, wider, local, sub-regional, regional or national priorities or activities should also be considered.

The target group is all of the City's residents that are liable for Council Tax.

Financial support for low income council tax households has become fully integrated into the council tax system, with support being offered as reductions on council tax bills rather than benefit awarded against their full council tax liability. This means that local decisions, about which vulnerable groups should qualify for council tax support, including the reduction on income grounds, need to be taken as part of the council tax-setting process.

Intelligence and Information

What sources of information have been used to inform this assessment/analysis? This should include but is not limited to consultations, resident/service user feedback and statistical data and intelligence.

Statistical data used in the design of the proposed scheme has been taken from CT records.

It should be noted that as Government has legislated that pensioners must not be adversely affected by the changes, any assessment will be regarding **working age recipients only**

The Sunderland scheme for 2015/16 was:

- To continue with a reduction in Council Tax Support (CTS) by 8.5% for all working age claimants** (e.g working age on lowest income paid £1.10 per week (single people), and £1.47 per week (couples/families), whilst also taking into account the changes detailed below
- No second adult rebate (SAR).** This was a reduction of up to 25% of the Council Tax liability for customers who were ineligible to claim single person discount because of the presence of other adults in the household or because their income was too high. They may have qualified for SAR if the non-dependants were not working or in receipt of a low income. Like many councils Sunderland abolished this discount.
- A further reduction (up to £1) in council tax support for non-dependants** A non-dependant is an adult who lives with a council tax payer who is not their partner but can typically be grown up children, friends or relatives. If a council tax payer is in receipt of CTS and has a non-dependant living with them, weekly deductions are made from CTS for each non-dependant. The amount of the deduction depends upon the income of the non-dependant. There is no non-dependant deduction made for those non dependants on a very

low income. In the scheme, all non-dependant charges were increased by up to £1. This change helped to spread the cost of the cuts.

iv) **Information held in respect of Housing Benefit was used to calculate Council Tax Support.** This reduced the need for additional applications to be submitted by the customer.

v) **In line with Housing Benefit Regulations non-dependants serving in the Armed Forces on operations were disregarded.**

vi) **Pensioners who were of pension age were treat under pensioner rules even if they were available for work**

Last year neighbouring authorities implemented the following schemes:

South Tyneside – reduced council tax support by 30% for working aged claimants

Newcastle – reduced council tax support by 20% for working aged claimants

Gateshead – reduced council tax support by 8.5% for working aged claimants

North Tyneside – reduced council tax support by 7% for working aged claimants

Consultation process

An online consultation on the scheme for 2016/17 ran from 23rd October 2015 to 13th December 2015 and included the following:

- an on-line questionnaire accessed via the council's webpage, with supporting information
- workshops with the public across the city inviting people to share their views

The aim of the formal consultation was to ensure that all of the City's residents had the opportunity to comment on the proposed scheme by completing the on-line questionnaire themselves or with support. The consultation period was considered to allow enough time for feedback and review, prior to finalisation of the scheme, whilst still meeting the 31 Jan 2016 deadline for approval.

Headline results of the consultation are as follows:

There were 444 respondents to the survey, which included people across the protected characteristic groups (those who did not wish to disclose/no response are not included).

<i>Gender:</i>	<i>Sexuality:</i>	<i>Race/Ethnicity:</i>	<i>Age:</i>
Male 42%	Heterosexual 78%	White British 88%	16-24 1%
Female 45%	Gay/Lesbian 3%	Other 3%	25-34 9%
			35-44 24%
			45-54 26%
<i>Religion/Belief:</i>			55-64 18%
Christian 55%			65-74 9%
Other 3%			75+ 8%
No religion 26%			

The responses to the specific changes to the scheme, and additional comments made by respondents, were analysed to see if there may be any unfair and unintended impact upon any particular group.

Results of the consultation exercise are shown below:

Of the current scheme 48% agreed that the council tax support scheme should remain the same and 30% disagreed with 21% either not responding or having no views either way. Respondents were also asked in the event that they disagreed with the current scheme whether the minimum payment should be raised to 10% or 12.5%. Of the 198 responses, 38.19% indicated that the minimum payment should be raised to 10% and 61.81% indicated that it should be raised to 12.5%

Conclusion

The results of the consultation would indicate the following key messages:

The majority of the respondents agreed with the main proposal to keep the scheme in place for 2016/2017.

Where respondents had indicated that a change in the scheme was their preferred option, the majority supported an increase in the minimum payment to 12.5%.

DCLG are undertaking a review of the localisation of Council Tax Support in early 2017 and any outcomes from this will be taken into account when reviewing the scheme during 2016/17 including the impact of any changes to welfare benefits e.g. tax credits.

2. Analysis of Impact on People

This section offers an opportunity to assess the intended and potential impact of the policy, decision or activity on the people of Sunderland. This includes specific consideration of the impact on individuals, groups with protected characteristics and communities of interest within the city. Please briefly outline any positive, negative or neutral impacts on the specific groups below. In this assessment it is important to remember the Council is required to give due regard to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Equality Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

Characteristic	List of Impacts		
	Positive	Neutral	Negative
The scheme aims to spread the impact as fairly as possible, whilst also protecting pensioners and other vulnerable groups as legislated by government. Therefore there is the potential for negative impacts to be felt by a range of people within all the following groups, by virtue of them being residents of Sunderland and currently in receipt of council tax benefit but not directly nor deliberately as a consequence of any particular characteristic. Feedback from the consultation exercise and the effect of the current scheme for 2015/16 are noted below:			
Age		<p>Older people: The Government wants to ensure that low income pensioners, who would struggle to pay council tax without additional support, and whom the government does not expect to work to increase their income, will continue to receive the same level of support against their council tax bills. The current CTS caseload shows that just under 50% of CTS is paid to pensioners</p> <p>Working Age: An extra £1.6m was raised from those previously receiving 100% council tax benefit. To date 85.21% has been collected.</p>	
Disability		There is no known information from which to provide an opinion on impact but people in the group have been impacted upon in the same way as all of working age or pensioners.	
Gender/sex		There is no known information from which to provide an opinion on impact but people in the group have been impacted upon in the same way as all of working age or pensioners.	
Marriage and Civil Partnership		There is no known information from which to provide an opinion on impact but people in the group have been impacted upon in the same way as all of working age or pensioners.	
Pregnancy and maternity		As above	
Race/Ethnicity		As above	
Religion/belief		As above	
Sexual Orientation		As above	

Other individuals or groups impacted on:

The policy or action may also have an impact on other groups or individuals which are not covered by the statutory requirements. Please outline any additional individuals or groups which have not already been covered. This could include socio-economic groups, voluntary and community sector, carers or specific communities which face additional challenges (such as former coal mining areas or areas of high deprivation)

The change impacts on all of the City's residents, in particular those that are or could be eligible for CTS. The Council already has clearly defined responsibilities in relation to, and awareness of, the most vulnerable groups and individuals other than pensioners in their areas' for example through responsibilities under the following Acts:

- Child Poverty Act 2010;
- Disabled Persons (Services, Consultation and Representation) Act 1986 and Chronically Sick and Disabled persons Act 1970;
- Housing Act 1996, which gives Local Authorities a duty to prevent homelessness with special regard to vulnerable groups.

Gaps in intelligence and information:

Having undertaken the analysis are there any areas of intelligence or information which need to be improved? Please outline any areas where the current information is not complete enough to take a decision. Addressing this gap should be covered in the action plan.

The consultation process did not provide information with regard to specific impacts on those within the protected characteristic groups.

The scheme will be subject to an annual review. Any unintended consequences of the scheme will be dealt with on a case by case basis and monitored to ensure they are remedied for 2017/18.

Policy/Decision/Project/Activity Title:

Responsible Officer: Paul Wilson

3. Summary of Impacts and Response to Analysis

Please provide a summary of the overarching impacts that have been highlighted through the analysis process through the three questions below. It is important to recognise that individuals may belong to one or more of these characteristic groups and the combined impact could be greater than any single impact.

Who will the policy/decision/project/activity impact on and who will benefit?

As it is proposed to leave the scheme unchanged for a further year and not raise the minimum payment, any impact on the protected groups is negated because the change is non-discriminatory, as it purely relates to applying for benefit and is not directly linked to any of the protected characteristics.

Who will not benefit and why not?

Sunderland's scheme has been designed to spread the impact across all of the City's residents that currently claim council tax support as fairly as possible. As the majority of consultation respondents agree with the scheme this is an indication of its fairness.

Who should be expected to benefit and why don't they?

Please see comments in the section above.

4. Response to Analysis, Action Plan and Monitoring,

In this section please outline what actions you propose to take to minimise the negative, and maximise the positive, impacts that have been identified through the analysis. By considering and implementing these actions the policy or action can be refined to make sure that the greatest benefits are achieved for the people of Sunderland. The performance monitoring process should also be set out to explain how ongoing progress is going to be followed to make sure that the aims are met.

From the analysis four broad approaches can be taken, (No major change, continue with the policy/action despite negative implications, adjust the policy/decision/action or stop the policy/action). Please indicate, using the list below, which is proposed.

- | | |
|---|-----|
| No Major Change | (✓) |
| Continue Despite Negative Implications | () |
| Adjust the Policy/Decision/Project/Activity | () |
| Stop | () |

Action Plan

ACTION	WHO	WHEN	MONITORING ARRANGEMENTS
Monitoring and review of 'unintended consequences' to be fed into annual review of scheme.	Acting Council Tax and Business Rates Manager	Ongoing	
Consultation exercise / workshops with the residents of Sunderland	Acting Council Tax and Business Rates Manager	Oct – Dec 2016	
Review of Equality Analysis in light of the above data	Acting Council Tax and Business Rates Manager	Dec 2016	
Review of Council Tax Support Scheme	Assistant Head of Financial Resources/Acting Council Tax and Business Rates Manager	Dec 2016	

REFERENCE FROM CABINET – 13 JANUARY 2016

CAPITAL PROGRAMME - THIRD CAPITAL REVIEW 2015/2016, PROVISIONAL RESOURCES 2016/2017 AND TREASURY MANAGEMENT REVIEW 2015/2016

Report of the Head of Law and Governance

1. Purpose of the Report

- 1.1 To advise the Committee of the approval by Cabinet of variations to the capital programme with an estimated cost variance of £250,000 or more, which will also be reported to Council for information.

2. Background and Current Position

- 2.1 The Cabinet, at its meeting held on 13 January 2016, gave consideration to a report of the Director of Finance. The report sets out the:-

- re-profiling of projects since the Second Capital Review for 2015/2016 was approved in October 2015;
- the inclusion of additional schemes and revisions to costs and resourcing for 2015/2016 since the Second Capital Review was reported;
- the allocation of capital resources for 2016/2017, subject to any adjustments required when final resource announcements are made;
- the progress in implementing the Treasury Management Strategy for 2015/2016.

- 2.2 The Cabinet was asked

- In respect of the third capital review for 2015/2016, to approve the inclusion of additional schemes or variations to existing schemes for 2015/2016 detailed at Appendix A of the report, as a variation to the Capital Programme which would be reported to Scrutiny and Council for information where necessary;
- In relation to the Capital Programme for 2016/2017, Cabinet was asked to note
 - that the allocation of resources as set out will be subject to final resource announcements;
 - that Cabinet Members will consider proposals for new starts based on resource allocations to be confirmed in due course in order to incorporate proposed new starts in the Capital Programme to be presented to Cabinet in February 2016.
- In relation to the Treasury Management Strategy and Prudential Indicators, Cabinet is asked to note the positive progress made in implementing the strategy for 2015/2016.

- 2.3 Copies of the 13 January 2016, Cabinet Agenda have been made available to all Members of the Council.

- 2.4 In accordance with the Council's Financial Procedure Rules, Cabinet may authorise variations to the Capital Programme provided such variations are within available resources and consistent with Council policy.

The attached Appendix A sets out the relevant extracts from the Cabinet Report, which outlines the variations to the capital programme with an estimated cost variance of £250,000 or more in 2015/2016.

3. Recommendation

- 3.1 The Scrutiny Committee is invited to note the proposed variation to the Capital Programme for 2015/2016 with an estimated cost variance of £250,000 or more.

4. Background Papers

- 4.1 Cabinet Agenda, 13 January 2016.

- 4.2 A copy of the Agenda is available for inspection from the Head of Law and Governance or can be viewed on-line at:-

<http://www.sunderland.gov.uk/committees/cm5/Meetings/tabid/73/ctl/ViewMeetingPublic/mid/410/Meeting/8596/Committee/1890/Default.aspx>

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**Capital Programme - Third Capital Review 2015/2016, Provisional Resources
2016/2017 And Treasury Management Review 2015/2016**

Cabinet meeting 13 January 2016

Extract of Report

2015/2016 Additional Schemes and Variations to Existing Schemes of £250,000 or more - Fully Funded	£000
Leader	
<p>Vaux Phase 1 -. The project is the first phase of development on the Vaux site to provide 5,481m² (c.59,000 sq ft) of lettable business space along with strategic infrastructure including roads, utilities, parking, landscaping, public realm and external works. The total cost of the scheme is estimated at £25.4m.</p> <p>As part of North East Growth Deal announced in January 2015, the Vaux Phase 1 project was granted an indicative Local Growth Fund allocation of £10.8m. In addition a full application has been submitted for ERDF funding of £4m. Formal confirmation in relation to both external funding streams is anticipated by February 2016.</p> <p>The balance not funded externally is to be funded through available council resources. Funding to meet this cost was approved in November 2013 as part of the proposals considered for the establishment of Siglion, and is provided for within the Council's budget planning framework.</p> <p>Siglion will undertake the development of the building, with construction commencing in 2016 and completion by the end of 2017. The estimated spend in 2015/2016 is £1.592m, with £12.916m in 2016/2017 and £10.905m in 2017/2018.</p>	1,592
City Services	
<p>Sunderland City Centre Cycle Permeability Scheme – approved by Cabinet 16th December 2015, The project is to deliver a network of high quality shared surfaced routes into Sunderland's city centre for cyclists and walkers. It will include operational enhancements and safety improvements at all road crossings and junctions.</p> <p>The total project cost of £0.880m is to be funded by £0.800m Local Sustainability Transport Fund grant from the NECA, with a 10% local contribution from the Local Transport Programme grant of £0.080m. This is to be spent by March 2017.</p>	392

Item 7

SCRUTINY COMMITTEE

14 JANUARY 2016

REFERENCE FROM CABINET – 13 JANUARY 2016

SOUTH SUNDERLAND GROWTH AREA DRAFT SUPPLEMENTARY PLANNING DOCUMENT AND THE SOUTH SUNDERLAND GROWTH AREA INFRASTRUCTURE DELIVERY PLAN

Report of the Head of Law and Governance

1. Purpose of this Report

- 1.1 To set out for advice and consideration of this Committee a report which will be considered by Cabinet on the 13 January 2016 to seek approval of the South Sunderland Growth Area (SSGA) Draft Supplementary Planning Document (SPD) and supporting documents and the SSGA Infrastructure Delivery Plan for formal public consultation.

2. Background and Current Position

- 2.1 The Cabinet, at its meeting held on 13 January 2016, will give consideration to a report of the Executive Director of Commercial Development to seek Cabinet approval of the South Sunderland Growth Area (SSGA) Draft Supplementary Planning Document (SPD) and supporting documents and the SSGA Infrastructure Delivery Plan for formal public consultation.
- 2.2 The Cabinet is recommended to:-
- a) Approve the SSGA Draft SPD and supporting documents (including Sustainability Appraisal and Habitat Regulations Assessment) and the SSGA Infrastructure Delivery Plan for the purposes of public consultation and as material considerations in assessing planning applications, pending their finalisation and the adoption of the SPD.
 - b) Authorise the Executive Director Of Commercial Development to make any required minor amendments to the attached SSGA Draft SPD (including the Sustainability Appraisal, Habitat Regulations Assessment and the SSGA Infrastructure Delivery Plan as necessary prior to their publication for public consultation.
- 2.3 Copies of the 13 January 2016 Cabinet agenda have been circulated to all Members of the Council. The decisions and recommendations of the Cabinet will be reported orally to the Scrutiny Committee. The report has also been forwarded to the Planning and Highways Committee for advice and consideration.

3. Conclusion

- 3.1 The report is referred to this Committee for advice and consideration. The comments of this Committee will be reported to the Cabinet meeting on 10 February 2016.

4. Recommendation

- 4.1 The Scrutiny Committee is invited to give advice and consideration on the attached report of the Executive Director of Commercial Development.

5. Background Papers

- 5.1 Cabinet Agenda, 13 January 2016.
- 5.2 A copy of the Agenda is available for inspection from the Head of Law and Governance or can be viewed on-line at:-

<http://www.sunderland.gov.uk/committees/cm5/Meetings/tabid/73/ctl/ViewMeetingPublic/mid/410/Meeting/8596/Committee/1890/Default.aspx>

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CABINET MEETING – 13 JANUARY 2016

EXECUTIVE SUMMARY SHEET – PART I

Title of Report:

South Sunderland Growth Area (SSGA) Draft Supplementary Planning Document (SPD) and SSGA Infrastructure Delivery Study

Author(s):

Executive Director of Commercial Development

Purpose of Report:

The purpose of this report is to seek Cabinet approval to commence formal public consultation on the South Sunderland Growth Area (SSGA) Draft Supplementary Planning Document (SPD) (and supporting documents) and the SSGA Infrastructure Delivery Study.

Description of Decision:

Cabinet is recommended to:

- a) Approve the attached SSGA Draft SPD (and supporting documents (including Sustainability Appraisal and Habitat Regulations Assessment) and the SSGA Infrastructure Delivery Study for the purpose of public consultation;.
- b) Authorise the Executive Director Of Commercial Development to make any required minor amendments to the attached SSGA Draft SPD (including the Sustainability Appraisal, Habitat Regulations Assessment) and the SSGA Infrastructure Delivery Study as necessary prior to their publication for public consultation; and
- c) To agree to receive a further report in due course regarding the outcome of the public consultation process and the proposed next steps in respect of the adoption of the SPD in parallel with the draft Core Strategy.

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 SSGA is identified in the emerging Core Strategy as a major new growth area for housing development within the City and a Location for Major Development (LMD). Given the land ownership within the proposed SSGA it is expected that there will be development pressure on individual sites within SSGA between now and the adoption of the proposed Core Strategy. It is therefore considered necessary to publish a draft SPD and an Infrastructure Delivery Study in parallel with the emerging Core Strategy to provide further draft guidance and key evidence base material to support the emerging Core Strategy and to help to inform the formulation and assessment by the Local Planning Authority of individual proposals for development within the SSGA.

Alternative options to be considered and recommended to be rejected:

The alternative option would be to not publish the draft SSGA SPD and Infrastructure Delivery Study for the purpose of carrying out public consultation. However, this would mean that detailed draft guidance and key evidence base material to support the emerging Core Strategy policies for the SSGA and to help to inform the formulation and assessment of individual proposals for development within the SSGA would not be available. There are significant concerns surrounding this approach, in that sites could otherwise come forward as individual piecemeal schemes, without a full appreciation of the cumulative effects of the development of such large scale sites and consequently without the appropriate level of infrastructure or necessary joined up approach. Therefore this option is not recommended.

Impacts analysed;

Equality Privacy Sustainability Crime and Disorder

Is the Decision consistent with the Council's co-operative values? Yes

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

Is it included in the 28 day Notice of Decisions? Yes

SOUTH SUNDERLAND GROWTH AREA DRAFT SUPPLEMENTARY PLANNING DOCUMENT AND THE SOUTH SUNDERLAND GROWTH AREA INFRASTRUCTURE DELIVERY PLAN

REPORT OF THE EXECUTIVE DIRECTOR OF COMMERCIAL DEVELOPMENT

1.0 Purpose of Report

- 1.1 The purpose of this report is to seek Cabinet approval to commence the public consultation process for the South Sunderland Growth Area (SSGA) Draft Supplementary Planning Document (SPD) (and supporting documents) and the SSGA Infrastructure Delivery Study.

2.0 Description of Decision

- 2.1 Cabinet is recommended to:

- a) Approve the attached Draft SSGA SPD (and supporting documents (including Sustainability Appraisal and Habitat Regulations Assessment)) and the SSGA Infrastructure Delivery Study for the purpose of public consultation;
- b) Authorise the Executive Director of Commercial Development to make any required minor amendments to the SSGA Draft SPD (including the Sustainability Appraisal and Habitat Regulations Assessment) and the SSGA Infrastructure Delivery Study as necessary prior to their publication for public consultation; and
- c) To agree to receive a further report in due course regarding the outcome of the public consultation process and the proposed next steps in respect of the adoption of the SPD in parallel with the draft Core Strategy.

3.0 Background

- 3.1 The saved policies of the Unitary Development Plan (UDP) 1998 comprise the current local plan for Sunderland which allocates land uses across the city. In line with government policy, the UDP is to be replaced in due course by a new up to date Local Plan. The Council is in the process of preparing an updated draft of the Core Strategy, namely the Core Strategy and Development Management Policies which forms part of the emerging new Local Plan. It is anticipated that the new Local Plan will be submitted to the Secretary of State in 2017. The emerging Core Strategy contains the City's spatial visions and objectives up to 2032, along with city-wide strategic policies that will guide future development and change in the City.

3.2 The emerging Core Strategy proposes a new growth area known as South Sunderland Growth Area (SSGA) which comprises 277ha of land in the Ryhope and Doxford Park wards. The SSGA is identified as a major new growth area for housing development within the City and a Location for Major Development (LMD). The SSGA takes forward two unimplemented extant residential allocations (Chapelgarth and Cherry Knowles) from the current UDP and groups them together along with an unimplemented employment allocation (South Ryhope) and a site currently allocated as Settlement Break (Land North of Burdon Lane) which are now both recommended for release for housing development in the emerging Core Strategy. The four key sites are described in more detail below:

- Chapelgarth- a 45 ha greenfield site. The site has a strategic role to play in meeting the City's need for a diversified housing stock, having been identified in the Unitary Development Plan as suitable for executive housing. The site is currently owned by the Council but is subject to a development agreement with Siglion Developments LLP. Siglion has been established to undertake the City's planned redevelopment programme that will see the redevelopment of key Council sites across the City. Chapelgarth has been identified as one of these key sites.
- Land to the North of Burdon Lane - a 84ha greenfield site, currently identified as Settlement Break within the UDP. The emerging Core Strategy proposes to release this area for residential development and supporting infrastructure. The area is in the ownership of a number of land owners. A consortium of developers has been established to deliver the future development of the area and has the benefit of option agreements in respect of the area.
- Cherry Knowle Hospital - a mixed brownfield/ greenfield site, currently in the ownership of the Homes and Communities Agency (HCA). The HCA site extends to approximately 47 ha, which includes an area of Green Belt, open countryside as well as a developable area of 24 ha. Barratts/ David Wilson have been identified by the HCA as the preferred developer to take forward the site.

The site is allocated in the current UDP for residential development and a new hospital. Development of the hospital is complete

- Land at South Ryhope - South Ryhope is a 36ha greenfield site on the edge of the growth area. The site is in the ownership of the Church Commissioners.

The site is allocated in the UDP for employment purposes. The emerging Core Strategy proposes it be released for residential development as the employment allocation is no longer considered appropriate.

The above approach to the identification of the SSGA and the proposed release of the relevant sites for major housing development through the emerging Core Strategy first endorsed by Cabinet in March 2013.

- 3.3 The SSGA has the potential to provide approximately 3000 new homes, meeting 20% of the City's future housing need and, in particular, provide significant numbers of much needed executive and larger family homes. This scale of development will result in the creation of a new residential community. Consequently, there will be the need to ensure provision of the supporting infrastructure essential to the creation of a sustainable community.
- 3.4 It is considered that the delivery of SSGA will contribute to achieving the strategic aims of the Council's Sunderland Strategy (2008 – 2025) and Economic Masterplan (2010) to encourage the retention of graduates and attract new households by improving housing choice and providing a greater proportion of higher value housing.

4.0 Current Position

- 4.1 As explained above, not all the sites within SSGA are currently allocated for residential development within the existing UDP, and it is not the purpose of the SSGA Draft SPD to allocate land for alternative uses (that will be the role of the emerging Core Strategy as the new Local Plan). It is envisaged that between now and the adoption of the proposed Core Strategy there will be development pressure on individual sites within SSGA, in particular given that three of the four sites are either owned by or under option to housing developers. In advance of the adoption of the Core Strategy, each development proposal will need to be considered against the provisions of the UDP and all other material planning considerations.
- 4.2 In this regard, it has been considered necessary to publish a draft SPD and an Infrastructure Delivery Study in parallel with the draft Core Strategy to provide further draft guidance and key evidence base material to support the emerging Core Strategy and to help to inform the formulation and assessment of individual proposals for development within the SSGA. In particular, it is important that in the case of each development proposal within the SSGA the cumulative impacts of the development proposal are considered, including in relation to overall infrastructure provision and environmental protection requirements. In addition, the draft SPD seeks to coordinate potential development proposals to ensure the creation of a sustainable community, in a good quality built and natural environment, with accessible local services that reflect the community's needs and support its health and well-being.

4.3 Extensive survey work and evidence collating has been undertaken to inform the draft SPD and the Infrastructure Delivery Study. The draft SPD is intended to;

- Form part of the evidence base for the emerging Sunderland Local Plan: Core Strategy and Development Management Policies, to support the South Sunderland Growth Area proposals, to meet housing needs by demonstrating the sites suitability and deliverability;
- Provide a draft masterplan framework, incorporating design parameters and principles to ensure a high standard of design and sustainability;
- Demonstrate that the Growth Area will not have 'Likely Significant Effects' on the European Designations at the coast and accord with the terms of the Habitat Directives.

The Infrastructure Delivery Study is intended to:

- Identify the overall infrastructure requirements for the SSGA and provide a broad strategy to deliver necessary infrastructure within SSGA.

Public Consultation

4.4 In July 2015 two informal pre-consultation events were held to raise the local community's awareness of the Council's intentions for SSGA and to provide residents with an opportunity to air their views about both the overall policy and more detailed matters. Both events were well attended. Approximately 125 residents attended the Ryhope drop-in and 110 attended the event in Doxford Park. 60 residents also attended a 2.5 hour evening presentation and question and answer session. 40 individuals completed comment sheets, either at the events or subsequently.

4.5 Full details of the responses received during this informal consultation can be found in Appendix 1. Below provides a summary of the responses received and the Council's response to them. Many of these issues discussed will be addressed further through the Core Strategy process and Examination In Public.

- ***Brownfield V Greenfield-why not brownfield sites first?***

The re-use of brownfield land remains a priority for the Council and over recent years over 95% of all our housing completions have been on such sites. However, there is only a finite supply of this type of land in sustainable locations. Whilst there remains a number of major brownfield sites across the city a number of these sites are not available in the short term as a result of various physical constraints and the costs of bringing them back into use, meaning they are not profitable for development (they have a negative land value).

All brownfield sites appropriate for residential development have been accounted for and are included in the city's list of housing sites, the Strategic Housing Land Availability Assessment (SHLAA). The SHLAA includes land for approximately 16,000 dwellings of which 63% are on brownfield land, 37% on greenfield land.

Officers are in discussions with the landowners of many of the large brownfield sites including Vaux, Groves, Philadelphia and the Gentoo sites of Pennywell, Ford and Doxford Park, to support these sites are brought forward. All these site feature in the SHLAA.

- ***Quantum's of housing-why so much housing?***

The City continues to lose population, particularly young family forming households, to its adjacent authorities and yet commute back into the city to work. This is not a sustainable option. One of the key reasons for this population loss is the lack of suitable housing in the right location. The City needs to deliver sites which have high quality environments to encourage the development of larger family homes / executive properties. Few such sites currently exist in the City.

The amount of housing required in the city over the next 15-20 years is based on a number of factors including; Census data, Population Projections, Household Projections, vacancy rates, growth aspirations, and, job creation.

- ***Why release the Settlement Break?***

Settlement Breaks are a local designation and do not afford the same level of protection as national designations such as Green Belt.

The Council is seeking to retain some settlement breaks, but as identified in the Settlement Break Review some are considered to be suitable to accommodate a proportion of development. The Settlement Break at Land North of Burdon Lane was allocated to prevent the merging of Doxford Park, Ryhope and Tunstall. The Masterplan will retain some settlement break to ensure the areas do not merge.

The Inspector who oversaw the City's inquiry into the Unitary Development Plan in 1997 commented on the Settlement Break at Burdon Lane

"I have concluded in para. 10.4.18 of the report that the area of unallocated land between the proposed Green Belt to the south of Sunderland and the edge of the built-up area would provide future decision-makers with sufficient flexibility when assessing the need for further development in this area beyond the Plan period...."

18 years on we now have to consider this area for development.

- ***Too much/ too little infrastructure provision***

The Infrastructure requirements set out in the SPD and the Infrastructure Delivery Study have been informed by an up-to-date evidence base and detailed evidence of needs. The infrastructure requirements will continue to be monitored over the lifetime of the plan to ensure they remain fit for purpose.

The infrastructure requirements are not intended to be detrimental to the future of existing infrastructure facilities/services and as such have been phased and/or restricted in size to prevent this from occurring. For example, the existing nearby schools are already nearing maximum capacity and are unlikely to be able to accommodate any more pupils. As such, developers will be expected to contribute towards the expansion of two existing primary schools, in the short term and the development of a new school within SSGA, in the medium to long-term. School capacities will continue to be monitored before any new school is built. It has not yet been determined which schools will be expanded.

- ***Development will further exacerbate the flooding issues.***

It is recognised that there are surface flooding issues in parts of SSGA, these must be addressed as part of any planning application, through the use of Sustainable Urban Drainage Systems (ponds, swales etc). Development of this area will not heighten surface water flooding issues for the existing community and may in fact address any current issues as water is stopped from flowing northwards towards Lodgeside Meadows and Burdon Road. Policies are in place to ensure of this.

- ***SSGA will result in increased levels of traffic***

A transport model has been undertaken to inform the SPD. The model highlights sections of the existing road network and junctions where there may be implications as a consequence of development at SSGA. Where this is the case mitigation will be sought from developments, through the use of S106s or S278 legal agreements. The model also reaffirms the need for the completion of the Ryhope Doxford Link Road (RDLR), which will be requested through the SPD.

Alternative modes of transport are being promoted at SSGA, with requirements for cycle lanes, direct pedestrian routes, subsidised bus provision and promotion of potential metro extensions to Ryhope and/ or Doxford Park- these measures should assist in alleviating traffic levels in the area.

- ***RDLR- Why has the RDLR been realigned.***

The UDP and Ryhope Tunstall Periphery Guidance identified a potential alignment for the RDLR. The original alignment is no longer considered suitable as it is technically inappropriate to take a 5th arm off the Doxford Park Way/ B1286 Roundabout.

At the July consultation events an alternative route was proposed that saw traffic directed further up the B1286 (Burdon Road) and a roundabout introduced opposite Ruswarp Drive. Significant concerns were raised regarding this approach at the consultation events. Officers have reviewed these comments and worked with highway engineers to come up with an alternative, as set out in the SPD.

- ***Buffers- Can open space buffers be placed alongside all the existing housing rather than having houses back to back?***

Following consultation, the location of buffers and open space has been considered further and it has been determined that where practical buffers should be provided to screen the existing houses from future development, through the use of open space buffers, this is reflected in the SPD.

- ***Loss of wildlife***

A number of ecological and habitat studies have been undertaken. The council are aware of the different wildlife species present. Every effort is being made to ensure adequate mitigation is in place and as much habitat for the wildlife is retained as possible. In addition, planning applications for each of the sites will have to detail how they intend to mitigate for the presence for any wildlife or habitat on their site.

Developers will be requested to financially contribute towards wardens and ongoing habitat maintenance within the area.

- ***Loss of Greenspace***

Agricultural land is not meant to be for public use, unless there are designated footpaths, which there are few of in SSGA.

There will be over 50ha of greenspace provided as part of the development of SSGA, the majority of which will be informal naturalised greenspace, including meadows, ponds and woodlands for use by the public, dog walkers, and children. In addition to this there will be play parks, wheeled sports facilities, sports pitches, localised pockets of greenspace and a number of green corridors linking all the areas of greenspace.

The majority of trees and hedges are to be retained.

- ***Communication/ Consultation Events***

Concerns were raised regarding the way in which the local community were contacted regarding the pre-consultation events. 5,000 leaflets were sent out and addressed to 'The Occupier', consequently some householders assumed the leaflets were 'junk mail' and did not open. In response, we will review how we communicate with the local community for future consultation events.

A concern was raised that the venues used for consultation events did not have suitable disabled access, disabled parking was unavailable and there was no assistance available. The Virgin Health and Racquet Club was chosen as a venue because it does have suitable disabled access and appropriate parking facilities. No requests were made for assistance or support in advance of the consultation events or during the consultation events.

For future consultation events we will endeavour to ensure there are sufficient disabled parking facilities available and request that if assistance is required the council are informed in advance.

- 4.6 The final adoption of the draft SPD will be subject to the outcome of the public consultation process and the adoption of the new Local Plan.

5.0 Reasons for the Decision

- 5.1 The SSGA is identified in the emerging Core Strategy as a major new growth area for housing development within the City and a Location for Major Development (LMD). Given the land ownership within the proposed SSGA it is expected that there will be development pressure on individual sites within SSGA between now and the adoption of the proposed Core Strategy. It is therefore considered necessary to publish a draft SPD and an Infrastructure Delivery Study in parallel with the emerging Core Strategy to provide further draft guidance and key evidence base material to support the emerging Core Strategy and to help to inform the formulation and assessment by the Local Planning Authority of individual proposals for development within the SSGA.

6.0 Alternative Options

- 6.1 The alternative option would be to not publish the draft SSGA SPD and Infrastructure Delivery Study for the purpose of carrying out public consultation. However, this would mean that detailed draft guidance and key evidence base material to support the emerging Core Strategy policies for the SSGA and to help to inform the formulation and assessment of individual proposals for development within the SSGA would not be available. There are significant concerns surrounding this approach, in that sites could otherwise come forward as individual piecemeal schemes, without a full appreciation of the cumulative effects of the development of such large scale sites and consequently without the appropriate level of infrastructure or necessary joined up approach. Therefore this option is not recommended.

7.0 Impact Analysis

a) Equalities

An Equality Impact Analysis has been undertaken which concluded that no major change was required to the SSGA Draft SPD or Infrastructure Delivery Study with regards equality.

b) Sustainability

A Sustainability Appraisal (SA) has been undertaken for the SSGA Draft SPD. This fulfils the requirements of the SEA Directive, but will also ensure that the social and economic impacts of the Draft SPD are fully understood. The SA Report will be published for consultation alongside the Draft SPD.

Sunderland has a number of European Designations within its boundary; as such it is necessary to take into account the Habitat Directive during the plan making process. The Habitat Regulations Assessment (HRA) is in response to the Habitat Directive and requires plans and projects to undertake an assessment of whether proposals are likely to result in 'Likely Significant Effects' (LSEs) on the designations.

The HRA has informed the approach being taken forward in the Draft SPD and consequently, the HRA can conclude that if the proposed mitigation measures are implemented then the development of SSGA will not have LSEs on the nearby SPA and SAC.

8.0 Relevant Considerations/ Consultations

(i) Financial Implications

With the exception of the costs associated with the consultation process, the SPD and the Infrastructure Delivery Study will not involve any direct costs to the Council. The consultation costs can be met from existing revenue budgets.

Full financial implications of proposed developments will be assessed and reported as these develop and further details emerge.

(ii) Legal Implications

The Head of Law and Governance has been consulted on the proposal and her comments have been included in this report.

(iii) Policy Implications

The Draft SPD and Infrastructure Delivery Study support the emerging Core Strategy and are in line with the objectives of the Sunderland Strategy and Economic Masterplan.

(v) Implications for Other Services

Development of SSGA will have implications for Education, Sport & Leisure, and Highways. Extensive consultation has been undertaken with these service areas.

9.0 List of Appendices

- July 2015- Consultation Responses

10.0 Background Papers

A copy of the SSGA Draft SPD, Habitat Regulation Assessment, Sustainability Appraisal and the Infrastructure Delivery Study are all available in the Members' room.

Sunderland City Council LDF: Core Strategy Revised Preferred Options-
Approved by Cabinet 13 March 2013

COMMERCIAL DEVELOPMENT DIRECTORATE

LAW & GOVERNANCE

Annual Report

Complaints & Feedback Team

For the period 2014 - 2015

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Introduction

The complaint function for the council is provided by a single team based within Commercial Development Directorate. The Complaint & Feedback Team, made up of six staff, sits within the Law & Governance function of the council.

This report is the third joint report of the Team and covers all complaints and representations made to the council under the three processes: Health and Social Care Complaints Procedure, the Children's Services Complaints Procedure and the Corporate Complaints Procedure. It covers the period April 2014 – March 2015.

We publish this report to keep people informed about the procedures and the sort of complaints and compliments we receive. We also publish the report to inform people about how the process works and to report on how we use the information we get from complaints and other comments to make improvements to services.

Our aim is to resolve complaints as quickly as possible, and to peoples' satisfaction wherever this is possible. However, council staff are increasingly involved in difficult areas of work and at times people do not welcome our involvement in their lives. There are also situations in which we cannot provide people with the resolution they want. Sometimes the council may simply get things wrong. In light of this it is therefore inevitable that we receive complaints. Like all other organisations, we would always want to get things 'right first time'. When this does not happen we want to feel that we have an accessible, open and fair way of dealing with peoples' concerns.

One important aspect of complaints is making sure that any lessons learned are transferred into service planning and from there into service improvements. Increasingly, we are able to identify where improvements have occurred entirely or partly as a result of complaints. The report also includes how we use our complaints to identify and implement service improvements across a range of our activities.

We also provide information on the compliments that have been received by the council. Complimentary comments are not only good for staff morale and motivation, they also tell us a lot about what people like best about the service they get and what works well for them. We can use this information to build those features into our services where possible and so improve the levels of satisfaction of our customers.

We are always pleased to hear comments about any aspect of our work, including the format and presentation of this report. We hope it is interesting and informative and thank you for taking the time to read it.

PART ONE

THE COMPLAINTS AND FEEDBACK TEAM

Management and Operation of the System

The Complaints & Feedback Team is responsible for the co-ordination and management of the three main complaints processes within the council:

- Adult's Health & Social Care Statutory Process
- Children's Statutory Process
- Corporate Process

The team maintains the council's log, recording all investigations. It monitors quality and speed of performance in responding to complaints, and makes sure that, lessons learned from feedback and complaints investigations are systematically captured, analysed with the findings reported to Directorates and senior management.

The Complaints and Feedback Team Manager has overall responsibility for the progressing of any complaint and can intervene at any stage including determining in exceptional cases that the complaint be referred immediately to her for investigation.

Local Authorities are required to designate an officer to assist in the co-ordination of all aspects of statutory social care complaints. The Complaints Manager – Adult Services and the Complaints Manager – Children's Services undertake these roles in Sunderland. These managers have responsibility for the implementation and operation of the statutory complaints procedure on a day to day basis.

Whilst officers within the team have traditionally dealt with complaints within a single area of expertise, the new arrangements give us the ability to expand officers' knowledge base and deal with complaints for all service areas. Not only does this enhance officers' capability, the single team also allows us to provide a better service ensuring someone is always available to speak to complainants in person or on the telephone.

Working with Partners

- **Northern Regional Complaint Managers Group**

Sunderland Council is an active member of the Northern Regional Complaints Officers Group. The aim of the regional group, which meets quarterly, is to provide a forum, where peer professionals can discuss and learn about regional and national issues in respect of statutory adult and children's complaints.

- **Joint Health and Social Care Networking Group**

Links have also been made between Adult Services and Health colleagues to ensure that joint working can be readily progressed. A joint protocol has been drawn up to formalise this arrangement. This protocol covers the handling of complaints that impact on more than one Health and Social Care organisation in the South of Tyne area. The group meets on an ad hoc basis to help support the protocol, develop working relations and to share good practice in respect of complaints made about adult health and social care.

- **Safeguarding Boards**

The Adult Services and Childrens Services Complaint Managers also work in close liaison with the Sunderland Safeguarding Adults and Childrens Boards which involves multi-agency partnership working with colleagues in Police, Probation, Health, Education, and voluntary bodies.

Publicity

The Health and Social Care Complaints Procedure is publicised in all adult services information for service users. Our leaflet "*Something to say about Adult Social Care*" asks our customers to give their views; let us know when they are pleased with what we have done and also who to contact if they are unhappy and want to make a complaint.

In respect of the statutory Children's Complaints Procedure, leaflets are made available to all carers, providers and service users. They are also displayed in all Children's Services (social care) reception areas. All Looked After Children and children classed as being in need are informed of their right to make a complaint and are given a copy of the recently updated age specific young person's complaints leaflet at the onset of service provision.

The Corporate Complaints Procedure is publicised on the council's website with appropriate links, including contact information such as web forms and telephone numbers for complaints and compliments.

Accessibility

We promote accessibility to our complaint procedures by ensuring that complaints can be received in a number of ways, including:-

- By approaching staff responsible for the provision of a service
- By contacting the Complaint and Feedback Team by telephone, letter or email
- By completing a web form on the Sunderland.gov.uk web site
- Via Councillors
- Via Customer Services Advocates working in the Customer Services Network
- Children and young people in need or those who are being Looked After can complete a young person's complaint form
- Through Independent Reviewing Officers as part of the statutory review process
- Through an independent advocacy service
- An accessible pictorial complaint form is available for those with a learning disability.

Advocacy and Special Needs

Whilst advocacy support is not a statutory requirement of the Adults Health and Social Care Procedure, we do support vulnerable complainants to have advocacy support if they wish. Where appropriate, Adult Services will meet the financial costs of an advocate.

Voiceability Consortia is contracted by the council to provide independent, individual advocacy support and representation to service users from all client groups including those subject to detention under the Mental Health Act.

The take up of official advocacy help is low for adult services complaints, but there has been a slight decrease on the previous year with 2% being made by an Age UK. However it is significant that 96% of complaints were made by someone other than the service user, usually by a family member or close friend a significant rise from last years 66%.

Children and young people, who are looked after, or classed as children in need have a statutory right to advocacy. We inform children and young people of their right to independent advocacy support to help them make a complaint or representation.

Advocacy for children and young people has been commissioned as part of a consortium arrangement with Gateshead, Newcastle, South Tyneside, Hartlepool, Stockton on Tees, Middlesbrough, Darlington, North Tyneside, Redcar & Cleveland Councils from North Yorks Advocacy Service (NYAS).

In 2014-15 there were six requests for advocacy support from NYAS. This compares to 17 requested in 2013-14 and six requests in 2012-13.

It should be noted that not all advocacy referrals result in formal complaints being submitted as the advocacy service will often aim for informal resolution with the relevant service area in the first instance.

Learning from Complaints

Across all three procedures the team is well aware that resolving a complaint is not the end of the process. It is vital that as a council we learn from complaints and ensure that any mistakes do not recur.

We use information from complaints in a number of ways;

- It helps us provide feedback about the services we commission
- It can influence services and help shape how they are formed in the future
- Intelligence acquired by the council in its work with service providers is collated to identify themes and trends.
- The Complaint & Feedback Team uses this information to promote improvements relating to key issues identified

Processes are in place to ensure that lessons learned from all complaints are used to identify gaps in services, highlight poor practice/procedure or recurrent problems and identify staff training requirements.

Contacts:

For all queries relating to the Adult's Health and Social Care Complaint Procedure

Marie Johnston, Complaints Manager – Adult Services

Complaints & Feedback Team, Civic Centre, Burdon Road, Sunderland, SR2 7DN

Tel: 0191 561 1078

Marie.johnston@sunderland.gov.uk

For all queries relating to the Children's Statutory Complaints Procedure

Karen Taylor, Complaints Manager – Children's Services

Complaints & Feedback Team, Civic Centre, Burdon Road, Sunderland, SR2 7DN

Tel: 0191 561 1941

Karen.taylor@sunderland.gov.uk

For all queries relating to operation of the team, the Corporate Complaints Procedure, any issue in respect of complaints made to the Ombudsman

Margaret Douglas, Complaint & Feedback Team Manager

Complaints & Feedback Team, Civic Centre, Burdon Road, Sunderland, SR2 7DN

Tel: 0191 561 1065

Margaret.douglas@sunderland.gov.uk

PART TWO

THE HEALTH AND SOCIAL CARE COMPLAINT PROCEDURE

Legislation & Regulations

The Local Authority Social Services and National Health Service Complaints (England) Regulations 2009 provides for a single complaints process for all health and local authority **adult social care services** in England.

How the Procedure works

One Stage - Local Resolution by the council

Local resolution is about the council trying to resolve complaints quickly and as close to the source as possible. We acknowledge complaints within three working days and make arrangements for an appropriate manager to consider the issues and provide a response to the complainant.

Local Government Ombudsman

Most complaints can be dealt with and resolved satisfactorily at local resolution. However, if this is not the case, any unresolved concerns can be referred to the Local Government Ombudsman.

Complaints about a Commissioned Service

The council recognises its responsibility as a commissioner of services to the public and we want to hear people's comments and feedback about the service they receive, whether it is positive or negative. The regulations effectively allow for the council to investigate complaints about the services it has commissioned.

Safeguarding Adults Concerns

When dealing with complaints, situations often arise that may indicate issues of potential harm or neglect. These issues are shared with colleagues from the Safeguarding Adults Team. Once the elements relating to safeguarding are concluded, any outstanding issues of complaint can then be addressed through the complaints process.

General Issues – Adult Services

During 2014-15 14,269 requests for support from new customers were actioned. This number does not include those already in receipt of a service and so does not truly reflect the number of contacts undertaken on a daily basis with service users.

Given the high number of contacts, adult services received a total of 115 statutory complaints. The figure is down on last year which is a continuing trend.

Below is a table showing complaint numbers over a number of years.

Year	Number of Statutory Adult complaints
2014-15	115
2013-14	133
2012-13	176
2011-12	171
2010-11	125

It is important to note that the complaints process is not simply about numbers received. It is about effectively resolving concerns, learning lessons from those concerns and taking action to ensure the same complaints do not re-occur. The numbers do not reflect the high level of complexity presented with complaints having multiple elements or health involvement which require a greater level of liaison on behalf of the complainant

The continuing drop in figures could be attributed to the fact that staff do continue to successfully resolve complaints on an informal basis. Nevertheless, we must therefore ensure that complaints are properly recorded so that themes and trends can be identified. This message will be reinforced with staff over the coming year.

In last year's report we discussed the rise in complaints about financial issues and identified that this is directly related to the council's introduction of a new contributions policy in April 2012. This year 11 complaints in respect of financial issues were received which equates to 9% of all complaints received and is a significant drop on last year's 22%.

Timescales/Performance Measures

We aim to acknowledge complaints within three working days of receipt. However, there will be some times where this is not possible and for the period 2014-15 we achieved a rate of 91% slightly down on last year's 92%.

The regulations do not have prescriptive timescales; however we have set our own internal performance measures for adult statutory complaints. We aim to resolve complaints quickly and as close to the source of the complaint as possible. This is supported by regulations which highlight that complaints can be considered to be immediately resolved if they are done so within two working days.

For the period 2014-15 we recorded 13% of complaints as immediately resolved, which is down on the 15% achieved last year.

60% of all complaints received were responded to within 15 working days, significantly short of our own performance target of 80% but a steadily improving position from last year's 54% and from the 49% achieved in 2012-13.

Sometimes it is not possible to offer a response to a complaint within 15 working days for a number of reasons, for example: the complaint involves several agencies; some matters are the subject of a concurrent investigation; the complaint is particularly complicated or a key witness is unavailable for part of the time. In these cases we aim to offer a response within 30 working days or in exceptional cases within 90 working days.

In all cases the investigation into the complaint will be proportionate to the circumstances of the case, taking into account the risk, seriousness, complexity or sensitivity of events and cost efficiency.

Formal Investigations

Whilst under the new procedure there are no defined stages, there are still those complaints that are more serious or complex, which warrant more formal investigation. Eight formal investigations were undertaken in 2014-15 which equates to 7% of all complaints received during this period.

The council operates an internal investigation procedure in respect of adult social care complaints. It is therefore important that we do all that we can to reassure people that their complaints are looked into openly, fairly and as independently as possible.

Our aim is to ensure that we have demonstrated a reasonable level of independence. We try to do this in a number of ways; experienced managers who have had no previous involvement with the case undertake the formal investigations. They are appropriately trained in complaint investigations. Consideration is given to appointing an advocate for complainants where there are significant concerns about the vulnerability of the complainant and/or the seriousness of the complaint; if necessary, we can appoint an independent investigator from outside the Local Authority.

PART THREE

CHILDREN'S SERVICES STATUTORY COMPLAINTS PROCEDURE

Legislation & Regulations

Statutory regulations were introduced by the Department for Education in 2006 entitled '*Getting the Best from Complaints – Social Care Complaints and Representations Procedure for Children and Young People*' to deal with complaints and representations made to Children's Services by children and young people. These regulations replaced the 1991 Representations Procedure (Children) in order to reflect the changes made by the Adoption and Children Act 2002 and the Health and Social Care Act 2003.

The regulations and guidance cover complaints and representations made by children and young people. They also apply to parents, foster carers and other adults making a complaint. These regulations aim to ensure that, regardless of the complexity of their complaint, vulnerable children and young people get the help they need at the right time and that lessons learned from such complaints lead to an improvement in service delivery. These complaints are usually referred to as 'statutory complaints'.

Separate procedures exist in relation to most school or academy complaints. Parents/carers must pursue these through the school or academy's published complaints procedure.

How the Procedure works

In accordance with DfE statutory requirements, Children's Services has adopted a three stage statutory complaints procedure that seeks to resolve dissatisfaction in respect of social care complaints. Any other non social care but Children's Services related complaint is dealt with in accordance with the two stage Corporate Complaints procedure.

Stage One

The emphasis of the first stage of the statutory procedure is on local problem solving. Most complaints should be resolved at this stage and are usually addressed by operational managers who hold direct responsibility for the service about which the complaint has been made.

At this stage complaints are acknowledged within three working days and resolved and responded to within 10 working days. Where necessary, and with the agreement of the complainant, this period can be extended by a further 10 working days. If the local authority fails to achieve this timescale the complainant has the right to request immediate progression to stage two of the complaints procedure.

Stage Two

If a complainant remains dissatisfied with the response made at stage one, or if there has been a delay, they can request progression to stage two of the complaints procedure. A stage two complaint investigation can be undertaken by a service manager who has had no prior involvement with the case or the complaint or by an external investigating officer.

Following previous resource issues with the use of service managers as in house investigators, stage two investigators are now commissioned externally.

There is a requirement to provide an Independent Person to oversee all stage two complaint investigations. Again these are commissioned externally.

Stage two complaint investigations must be completed within 25 working days of an Investigating Officer agreeing the elements of complaint to be investigated with the complainant, although an extension of up to 65 working days can be requested if necessary. The Head of Safeguarding adjudicates and responds to the outcome and recommendations of the investigation, which may include the offer of redress or compensation, in conjunction with the Complaints Manager.

Stage Three

The final stage of the complaints procedure is an Independent Review Panel. This is an opportunity for the complainant to have any areas of the complaint that remain unresolved heard before an Independent Panel, which comprises an independent chair and two independent persons with knowledge of social care policies and procedure. Also present will be the Stage two Investigating Officer and Independent Person, the Head of Safeguarding, the Complaints Manager along with the complainant(s) and chosen representatives. A panel must take place within 30 working days of receiving the request from the complainant.

After hearing the complaint and representations from panel attendees, the Panel will make their recommendations and, together with the Complaints Manager, will produce a panel report with their recommendations which again may include redress or compensation. The panel findings are then responded to by the Director of Children's Services, in consultation with the Head of Safeguarding and the Complaints Manager.

If a complainant still remains dissatisfied following a Stage Three Review Panel hearing they can request a further investigation by the Local Government Ombudsman.

Complaint outcomes

Stage One

In 2014-15 there were 225 stage one complaints, of which 202 (90%) were resolved at stage one. The table below shows how this compares to previous years:

Year	Number of Stage One Complaints	Number resolved at Stage One	Number made by children or young people
2014/15	225	202 (90%)	9 (4%)
2013/14	170	163 (96%)	14 (8%)
2012/13	117	112 (96%)	7 (6%)
2011/12	133	119 (89%)	19 (14%)
2010/11	127	118 (93%)	12 (9%)
2009/10	122	101 (83%)	22 (18%)

Only 83 (37%) of these 225 complaints were responded to within the statutory timescale of 10 working days.

Stage Two

In 2014-15 there were 23 requests for a Stage Two complaint investigation which represents a 229% increase on the previous year's figure of seven. There were five requests were made in 2012-13, 14 requests in 2011-12 and 19 requests in 2010-11.

The cost of commissioning independent Investigating Officers and Independent Persons for Stage Two complaints in 2014-15 has risen to £53,195.36. This compares to previous years as follows as set out in the table below.

Year	Cost of commissioning independent Investigating Officers and Independent Persons
2014/15	£53,195.36
2013/14	£17,480.26
2012/13	£35,705.91
2011/12	£5,740.89
2010/11	£41,912.41

The reason for the decrease in 2011-12 was as a result of an emphasis on the use of internal investigating officers rather than those appointed externally on a spot purchase basis. Unfortunately this was not sustainable due to workload capacity issues of the managers tasked to carry out investigations, concerns regarding the quality of some of the reports produced and concerns voiced by complainants alleging bias.

Stage Three

In 2014-15 there was one complaint which progressed to a Stage Three review Panel which cost a total of £2183.35 to administer (cost of Panel Chair, Panel Members and other attendance fees).

This compares to two complaints in 2013-14; three complaints in 2012-13; three complaints in 2011-12 and two in 2010-11.

Complaints about a Commissioned Service

Stage One complaints concerning independent service providers commissioned by Children's Services are investigated by the relevant independent provider. Stage Two and Stage Three complaints are managed by the Children's Services Complaints Manager. The Complaints Manager informs the relevant Head of Service if any complaint about a commissioned service is received and consideration is given to sharing information with other appropriate bodies, such as Ofsted for concerns relating to registration issues and so on.

The Complaints Manager will consider if information received through a complaint should more appropriately be investigated by the Sunderland Safeguarding Children Board; or if a complaint should actually be part of a service area appeals process.

PART FOUR

CORPORATE SERVICES COMPLAINT PROCEDURE

We try to make sure that all of the complaints we get are looked into under recognised and published procedures. The Corporate Complaints Procedure covers all other eligible complaints made to the council that fall outside the statutory Adults or Children's social care procedures.

Experience indicates that we should adopt a flexible approach based on the scale and complexity of the complaint, and aim to settle all areas of dissatisfaction quickly, comprehensively and smoothly. This is also the approach the Ombudsman wishes local authorities to take.

During this year the council changed the way it received corporate complaints.

From 14 July 2014 all new issues were channeled through the Customer Services Network. Refresher training was issued to advocates in how to identify a complaint. Consequently complaint numbers increased dramatically with matters previously simply addressed as a request for service now being correctly identified and dealt with as a complaint.

How the Corporate Procedure works

Stage One

These are dealt with by the Directorate. Most issues are straightforward and resolved promptly but where the complexity of the matter dictates an investigation is required, our aim is to address the complaint comprehensively at this stage through investigation by a trained complaints investigator within the service, whose role is to investigate and prepare a response.

Any investigation should be completed within 15 working days. If further time is required to prepare a satisfactory reply, the customer will be kept informed. All responses will advise the complainant that if he or she remains dissatisfied, they can refer their complaint back to the Complaints and Feedback Team for review.

In exceptional circumstances the Complaints and Feedback Team Manager may decide to remove the complaint investigation from the directorate and arrange for it to be undertaken by a member of the Complaints and Feedback team. Generally however if the complaint relates to more than one service area a suitable lead complaints investigator will be appointed to allow for a coordinated and comprehensive response. Lead responsibility will be allocated by the Complaints and Feedback Team.

During the year 2014-15 there were **4463** stage one complaints

Year	Stage 1 Corporate Complaints
2014-15	4463
2013-14	809
2012-13	854

Stage Two - Review

Where customers remain dissatisfied with the response to their stage one complaint they can request a **review** be undertaken by the Complaint and Feedback Team. On referral the Complaints Team Manager will consider what further action is to be taken. In most cases a review of the complaint is required and the Complaints Team will carry this out.

The aim is to finalise the review within 15 working days. If further time is required, the customer is kept informed. Complainants are advised in the final response that should they remain dissatisfied, they can ask the Ombudsman to look into their complaint

During 2014-15 there were 63 complaints received for review but only 32 were eligible compared to last year's total 29. Of these six were upheld, two were partially upheld and 24 were not upheld.

Themes & Trends

As last year, the services that reach all residents of the city receive the highest volume of complaints. Streetscene and refuse complaints remain relatively high but are resolved promptly and rarely escalate.

Leisure complaints were particularly high at the review stage. Almost one third of all completed reviews concerned Leisure with 10 customers requesting that their complaint be escalated. Five of these related to the closure of the 50m pool at the Aquatic Centre.

Complaints that covered two or more service areas continued to require close attention to ensure all aspects were addressed.

PART FIVE

COMPLAINTS MADE TO THE OMBUDSMAN

Introduction

The Local Government Ombudsman has a statutory responsibility for investigating complaints of maladministration about local councils. The Ombudsman will usually only consider a complaint after it has been through the council's complaints procedure and the customer remains unhappy.

Dissatisfied complainants can ask the Ombudsman to investigate further, and the Ombudsman's procedures will apply. While an Ombudsman can investigate complaints about how the council has done something, they cannot normally question what a council has done simply because someone does not agree with it.

The Picture in 2014-15

The Ombudsman *received* 51 complaints for Sunderland during 2014-15 a reduction on the 59 received last year.

The Ombudsman breaks these down into the following service areas:

Adult Care	Benefits & C/Tax	Corporate & other	Education & Children	Environmental Services & Public Protection	Highways & Transport	Housing	Planning & Development	Total
6	8	7	7	4	6	2	11	51

Ombudsman Decisions

The Ombudsman *considered* 24 complaints during 2014-15 and closed 18 after initial enquiries. Of the remaining six complaints, four were not upheld and two were upheld.

Of the two complaints upheld, the council had already upheld these itself but the Ombudsman recommended payments and in the case of one, additional actions.

In all other complaints the Ombudsman made no proposals for alternative outcomes or compensation to that made by the council during its own consideration of the complaints. This demonstrates an in-house procedure that is robust and largely in tune with the Ombudsman's own decision making.

PART SIX - COMPLIMENTS

Compliments tell us what people like best about the services they receive. They also allow us to use this information to build those features into our services where possible and this helps us to continually improve levels of customer satisfaction. Receiving compliments is also good for staff morale and motivation. Compliments are now logged centrally through the Complaints and Feedback Team.

Statutory Adult Services

51 compliments were made about statutory Adult Services in 2014-15 which is similar to last year's figure of 53.

Thank you for the excellent support given to our mother at a time when it was much needed. I would especially like to thank the worker for her understanding

Benefits and Assessments

Thank you for all your help and input given to us through a difficult time. I will never forget your kindness and very hard work you have put into looking after our dad. Once again many many thanks.

Palliative Care Team

It was a true delight to have your over-view. It has helped us immensely to figure out our path for my Dad. Thank you for helping us in what has been a very stressful situation. Your kind heart is evident even though you remained professional throughout.

Older Persons

Statutory Children's Services

37 compliments were made about statutory Children's Services in 2014-15. This compares to 52 compliments made in 2013-14.

I just want to say a great thanks and I will miss you working with me. You have changed my life and cheered me up. There should be more people like you out there in the world and it would be a much better place.

Leaving Care Service

Thank you for all the good times and happy memories I have had during my stay. I am really going to miss you all.

Sea View Road

The officer has demonstrated the best of social work and his professionalism and commitment has been exceptional, and I would like him commended for the amazing work he has done to get us to where we now are as a family.

Fostering Services

Corporate Services

368 compliments were made about the non-statutory services during 2014-15 compared to 292 the previous year.

I would like to extend my sincere thanks to your staff, for caring enough about your clients to provide such an excellent service'

Bereavement Services

Customer rang to say thank you to the brown bin collection crew (502 crew). Customer has had a fall and has a bad hip at the moment, the crew came in and took the bin out and returned it for her. She said they were very helpful.

Refuse Collection

I would like to express my gratitude and thanks to the 2 car park attendants who were so helpful to both me and my mother on our recent visit to Sunderland ...The 2 attendants were extremely helpful and considerate and should be both congratulated and thanked for their delivery of excellent customer service. It was extremely impressive and a very refreshing change to be advised by such courteous staff and I hope our thanks can be relayed to them....'

Parking Services

PART SEVEN - STATISTICAL INFORMATION

Table 1 – All complaints received by monthly breakdown

Month	Statutory Adult	Statutory Children (all stages)	Corporate (all stages)	Total
Apr	9	12	87	108
May	7	14	133	154
Jun	9	20	192	221
Jul	9	27	565	601
Aug	9	15	571	595
Sep	19	23	567	609
Oct	8	27	356	391
Nov	9	24	417	450
Dec	10	23	435	468
Jan	9	21	477	507
Feb	9	23	369	401
Mar	8	20	357	385
Total	115	249	4526	4890

Table 2 – How we received complaints

	Statutory Adult	Statutory Children (St 1 only)	Corporate (all stages)	Total
Email	28	24	174	226
Face to Face	-	12	2	14
Letter / Complaints Form	24	25	44	93
Telephone	33	97	3419	3549
Accessible Form	1	-	-	1
Customer Service Network	28	63	-	91
Online Form	1	4	887	892
	115	225	4526	4866

Table 3 – Outcome of statutory complaints

	Statutory Adult	Statutory Children (St 2's only – of 182 elements of complaint)
Upheld	29	57
Partially Upheld	30	45
Not Upheld	33	54
Not Eligible	3	2
Other	15	4
Unsubstantiated	-	15
Withdrawn	3	5
On-going	2	-
	115	182

Compensation Payments and Write Offs made during the period 2014-15

Date of Payment	Service Area	Costs/Value Of Works	Reason for payment/Works
May-14	Older Persons	£250.00	Considerable delay in providing a response to the complaint
Mar-15	Older Persons	£19,902.62	Direct Payments write off – lack of oversight and governance following DP payments
Mar-15	Older Persons	£1,315.80	Customer not informed of rise in care home costs; documentation sent out from council maintained lower price. Agreed the difference in the two prices for the period 20.02.14 to 01.02.15 [when customer was made aware of true costs] to be covered by the council
Total Adult Services		£21,468.42	
Jul - 14	Fostering & Adoption	£1392.08	Expenses incurred sustaining contact.
Jul - 14	Fostering & Adoption	£9000.00	Missed opportunities before children taken into care
Aug - 14	Child Protection	£500.00	Delay in risk assessment being carried out
Jan - 15	Child Protection	£3000.00	Emotional distress caused by Children's Services
Feb - 15	Child Protection	£4000.00	Emotional distress caused by Children's Services
Total Children's Services		£17,892.08	
Aug - 14	Blue Badge	£60	Refund of parking ticket
Sept - 14	Leisure	£96	Refund of room booking
Dec - 14	Planning	£3735	Refund of legal fees (previous year's complaint)
Feb - 15	Leisure	£363.75	Part refund of membership fees
Mar - 15	Planning	£200	Delay
Total Corporate Complaints		£ £4454.75	

Statistics – Adults Statutory Health & Social Care Procedure

Adults Table 1. How statutory adult complaints were handled			
	Stage 1		
	Informal Resolution	Formal Investigation	
Apr	5	4	9
May	6	1	7
Jun	8	1	9
Jul	9	-	9
Aug	8	1	9
Sep	19	-	19
Oct	7	1	8
Nov	9	-	9
Dec	10	-	10
Jan	9	-	9
Feb	9	-	9
Mar	8	-	8
	107	8	115

Adults Table 2. Distribution of complaints by Service Area		
Benefits & Assessments	4	3.47%
Commissioned Services	14	12.17%
Customer Property & Affairs Team	2	1.73%
Hospital SW Team	4	3.47%
Learning Disabilities Teams	12	10.43%
Mental Health Teams	1	0.86%
Occupational Therapy Service	25	21.73%
Older Person Teams	43	37.39%
Physical Disabilities Team	5	4.34%
Safeguarding Adults	5	4.34%
Total	115	99.93%

Adults Table 3. Distribution by nature of complaint		
Actions/Attitude of staff	45	39.13%
Assessment Issues	17	14.78%
Care Practice Issues	1	0.86%
Communication/not kept informed	9	7.82%
Delay	11	9.56%
Finance	11	9.56%
Lack of choice	2	1.73%
Quality Issues	18	15.65%
Taking wrong action	1	0.86%
Total	115	99.95%

Adults Table 4. Targets for resolving complaints											
	Target		No of complaints	Actual % for 2014-15		<i>Actual % for 2013-14</i>		<i>Actual % for 2012-13</i>		<i>Actual % for 2011-12</i>	
Immediately Resolved	35%	80%	15	13%	60%	15%	54%	15%	49%	33%	74%
< 15 days	45%		54	47%		39%		34%		41%	
< 30 days	15%		18	16%		28%		23%		9%	
< 90 days	5%		19	16%		13%		20%		11%	
Outside of timescale	0%		9	8%		5%		8%		6%	

Statistics – Children’s Services Statutory Complaints Procedure

	Childrens Table 1. How statutory children’s complaints were handled			
	Stage 1	Responded to within timescale	Stage 2	Stage 3
Apr	12	33%	-	
May	10	60%	4	
Jun	20	35%	-	
Jul	18	44%	9	
Aug	12	33%	3	
Sep	21	52%	2	
Oct	25	24%	2	
Nov	21	38%	2	1
Dec	23	43%	-	
Jan	20	40%	1	
Feb	23	22%	-	
Mar	20	30%	-	
	225	Average 37%	23	1

Statistics - Corporate Services Complaint Procedure

	Stage 1	Responded to within timescale	Stage 2 Review
Apr	87	91%	0
May	130	96%	3
Jun	187	96%	5
Jul	561	83%	4
Aug	568	83%	3
Sep	562	85%	5
Oct	345	53%	11
Nov	408	63%	9
Dec	423	70%	12
Jan	470	65%	7
Feb	368	69%	1
Mar	354	83%	3
	4463	67%	63

Corporate Table 2.

Distribution of corporate complaints by Directorate

Directorate	Stage 1	Stage 2 Review	Total
Commercial and Corporate Services	2907	16	2923
Office of the Chief Executive	1271	44	1315
People Services Directorate	233	2	235
Multi Directorate	52	1	53
Total	4463	63	4526

Appendix 1 Statutory Adult Complaints 2014-15

Details of complaints formally investigated

<p>A complaint regarding social work intervention and practice in connection. The themes of complaint were in the areas of social work intervention and practice, oppressive practice, inappropriate comments, poor communication and actions of social care staff.</p> <p>Outcome - Not Upheld x 4; Partly Upheld x 1; Unsubstantiated x 1</p>
<p>A complaint about the manner in which a Continuing Health Care [CHC] checklist assessment in respect of a relative had been undertaken.</p> <p>Outcome – Upheld x 2; Unsubstantiated x 1</p>
<p>Dissatisfaction about why the support plan had been stopped, together with dissatisfaction of the outcome of the re-assessment in respect of the Direct Payment [DP]. Also that there had been a lack of information from the worker.</p> <p>Outcome – Upheld x 11; Not Upheld x 5; Partly Upheld x 1; Unsubstantiated x 2</p>
<p>A complaint about the conduct of the Safeguarding Manager, and way the Safeguarding process itself was organised and undertaken.</p> <p>Outcome – Upheld x5; Not Upheld x 3; Partly Upheld x 3; Unsubstantiated x 5</p>
<p>A complaint in respect of an assessment disagreement following the decision to reduce the service provided to the complainant.</p> <p>Outcome – Upheld x 2; Not Upheld x 1; Unsubstantiated x 1</p>
<p>A complaint in relation to the care provided to a relative from the home support service commissioned by the council.</p> <p>Outcome – Partly Upheld x 4; Not Upheld x 1</p>
<p>A complaint in respect of an assessment disagreement following the decision to reduce the amount of care provision/Direct Payments.</p> <p>Outcome – Upheld x 1; Not Upheld x 2; Partly Upheld x 1; Unsubstantiated x 2</p>
<p>A complaint around the way transition from children services to an adult placement had been handled. Issues in respect of financial support and the proposed changes to the Shared Lives scheme and the impact this had on the family.</p> <p>Outcome – Upheld x 2; Not Upheld x 5; Partly Upheld x 4; Unsubstantiated x 1; No Finding x 3</p>

Appendix 2 – SUNDERLAND CARE AND SUPPORT

Introduction

Sunderland Care and Support is a local authority trading company, wholly owned by Sunderland City Council. The company has a board of directors appointed by the Council (as the shareholder of the holding company).

Sunderland Care and Support was formed on 1 December 2013 and this report covers the period April 2014 – March 2015. Sunderland Care and Support offers care and support 24/7 to more than 6,000 vulnerable customers across a wide range of services including:-

- Supported Living schemes.
- Day Services and short break care services.
- Intermediate Care and Reablement services.
- Sunderland Telecare.
- Community Equipment service and Home Improvement Agency.

Sunderland Care and Support's aims and objectives are:

- **A Customer focused and driven culture-** we will listen to our customers and offer genuine choice tailored to their individual needs. Our customers are at the heart of everything we do, we will put people first.
- **Quality Services-** to provide high quality innovative services that improve the lives of people we serve.
- **Respect -** We respect equality, diversity, and the beliefs and dignity of all of our customers and staff.
- **Transparency and Integrity-** we will inspire confidence and trust by operating an open, accountable and transparent culture across all levels of the company.
- **Create a skilled and passionate workforce-** we will recruit, develop, motivate and communicate with our staff and support them with the appropriate training and competencies to do the right thing, every time.
- **Continuous Development-** built on trust and empowerment with greater transparency to help the organisation learn and improve. Everyone will know what we want to achieve and how they contribute to the things that really matter.
- **Enjoyable and Rewarding-** we place emphasis on staff satisfaction and will create an environment which offers opportunity for personal and professional growth.

Statutory Complaints

Sunderland Care and Support received a total of 37 statutory complaints for the period April 2014 to March 2015.

Timescales/Performance Measures

The regulations do not have prescriptive timescales; however, we have set our own internal performance measures for adult statutory complaints. We aim to resolve complaints quickly and as close to the source of the complaint as possible. This is supported by regulations which highlight that complaints can be considered to be immediately resolved if they are done so within two working days.

35% of complaints as instantly resolved.

70% of all complaints received were responded to within 15 working days.

Formal Investigations

There were four formal investigations undertaken in the period April 2014 to March 2015.

Corporate Complaints

Stage One

During the period April 2014 – March 2015 there were 123 new stage one complaints.

These complaints were made in respect of the Community Equipment Service (CES). The issues were considered sufficiently straightforward enough for resolution to be attempted without a formal investigation being required. The complaints included issues to do with the collection and delivery of equipment.

Stage Two - Review

During the period April 2014 – March 2015 there were **no** complaints escalated to the review stage.

Compliments

37 compliments were made about Sunderland Care and Support during the period April 2014 - March 2015. We have included a small selection of the good things people have said about the service below:

very happy and grateful for the service I have had. If it was not for the ladies help I would not be so well today. I thank them all for the caring they have shown

Reablement at Home

A thank you to your staff for the care, dedication and support provided to me and my family during my illness. I want to compliment your staff on their hard work, dedication and professionalism at all times. They were always willing to go the extra mile.

Fulwell Community Resource

I cannot speak highly enough of all the staff for support while getting well, from the meals to the comfortable sitting room and support to get my fingers and legs moving again

Farmborough Court

Compensation Payments made during the period 2014/15

No compensation payments were made during the period April 2014 – March 2015.

STATISTICAL INFORMATION – Sunderland Care and Support

Distribution of Statutory Complaints by Service Area		
Reablement Service	1	3%
Day Centres	3	8%
Residential Establishments	9	24%
Farmborough Court	6	16%
Home Improvement Agency	1	3%
Telecare	16	43%
Shared Lived	1	3%
Total	37	100%

Nature of Statutory Complaints		
Actions of other resident	1	3%
Actions/Attitude of staff	20	54%
Assessment Issues	1	3%
Delay	4	10%
Finance	1	3%
Not kept informed/Communication Issues	2	6%
Quality Issues	8	21%
Total	37	100%

Outcome of complaints		
Upheld	13	34%
Partially Upheld	11	30%
Not Upheld	11	30%
Other	1	3%
Unsubstantiated	-	-
Withdrawn	1	3%
	37	100%

How we received complaints		
Email	3	8%
Face to Face	7	19%
Letter / Complaints Form	4	11%
Telephone	18	48%
Customer Service Network	5	14%
	37	100%

Timescales and Performance Measures					
	Target		No of complaints	Actual % for 2013-14	
Immediately Resolved	35%	80%	13	35%	70%
< 15 days	45%		13	35%	
< 30 days	15%		6	16%	
< 90 days	5%		14	5%	
Outside of timescale	0%		-	-	

Appendix 3 Children's Services Statutory Complaints 2014-15

Stage 2 Complaints Investigated 2014-15 and Outcomes of Elements

1. Inadequate post adoption support and issues with content of Section 7 Report
Outcome 1 X No Finding, 1 X Out of Scope
2. Issues with assessments, inappropriate information and contact when children became Looked After
Outcome 6 X Not Upheld, 1 X Upheld, 1 X Partially Upheld
3. Failure to assess, inform or involve in the care planning process
Outcome 2 X Partially Upheld, 4 X Upheld
4. Failures within the care planning process
Outcome 3 X Upheld
5. Issues surrounding a child protection investigation including delays and lack of information
Outcome 19 X Not Upheld, 3 X Upheld, 7 X Partially Upheld, 3 X Unsubstantiated, 2 X Out of Scope, 1 X Not Investigated
6. Failure to carry out an assessment of risk within timescale
Outcome 1 X Upheld
7. Social Workers actions and bias towards family, lack of guidance, oversight or action by the council
Outcome 8 X Not Upheld, 10 X Upheld, 16 X Partially Upheld, 10 X Unsubstantiated
8. Actions/decisions of Social Worker and failure to consult appropriately
Outcome 3 X Partially Upheld, 1 Upheld, 1 Unsubstantiated.
9. Information previously supplied could not be located, no assessment available
Outcome 4 X Upheld

10. Issues of child protection
Outcome Withdrawn
11. Failure to effectively manage the case and progress assessments. Inconsistent approach
Outcome Withdrawn
12. Delays, lack of information and refusal to provide adaptations
Outcome 5 X Upheld
13. Delays, inaccuracies and bias by Children's Services
Outcome 2 X Partially Upheld, 7 X Not Upheld, 2 X Upheld
14. Reliance on incorrect information and delays in risk assessments
Outcome 2 X Not upheld, 1 X Upheld
15. Delays, lack of information and inappropriate contact arrangements
Outcome 6 X Partially Upheld, 2 X Not Upheld, 4 X Upheld, 1 X Not Investigated, 1 X Not Substantiated
16. Failure to complete assessment of risk, inadequate communications and inaccurate information
2 X Partially Upheld, 3 X Upheld
17. Failure to follow guidance or take account of inconsistencies. Failure to carry out risk assessment
2 X Not Upheld, 2 X Upheld
18. Failure to follow guidance or take account of inconsistencies. Failure to carry out risk assessment
4 X Upheld
19. Issues with Social Worker's information and actions. Difficulties surrounding contact

2 X Partially Upheld, 1 X Not Upheld
20. Lack of support, false allegations and criticism
1 X Partially Upheld, 1 X Not Upheld, 2 X Upheld
21. Lack of support, information and delays
1 X Partially Upheld, 4 X Not Upheld, 2 X Upheld
22. Incorrect and incomplete assessments. Lack of information
1 X Partially Upheld, 3 X Upheld
23. Lack of support and contact
2 X Not Upheld, 2 X Upheld, 1 X Partial

Stage 3's (Review Panel Hearings) 2014-15

Details	Outcome
Failure to investigate complainants concerns refusal to consider evidence presented by complainant; attitude and actions of Social Workers; need for supervised contact and arrangements; alleged breach of confidentiality.	<p>Stage 2 findings - 15 separate elements of complaint – 5 x upheld, 2 x partially upheld, 4 x not upheld and 4 x not substantiated.</p> <p>The complainant subsequently requested a meeting with the Head of Safeguarding – as a result of this meeting outcomes were changed to 7 x upheld, 5 x partially upheld and 3 x not substantiated. Whilst the Review Panel Hearing accepted the changes made it was critical of the process that had been followed. Panel felt that challenges to the outcomes was something that should have been either referred back to the investigating officer at Stage 2 for consideration within their report or progressed to the Stage Three for consideration by the Review Panel. A recommendation was made by the Review Panel in respect of this as it was felt in this instance that the process had not been followed correctly and this had led to unnecessary complications.</p>

Appendix 4

Completed Ombudsman complaints 2014-2015

	Details of complaint	Ombudsman Decision
1.	Elections The complainant was unhappy that he had been excluded from the council's register of electors; however he had not completed the required annual canvas form provided by the council. The Ombudsman decided not to investigate as there was insufficient evidence of any fault by the council.	Not investigated
2.	Parking Services This concerned signs relating to a controlled parking zone where the complainant was issued with a PCN. The Ombudsman decided not to investigate as the complainant had a separate right of appeal and the controlled parking zone signs had not caused any injustice.	Closed after initial enquiries - Out of Jurisdiction
3.	Housing Benefit The council recovered a Housing Benefit overpayment which the complainant was unhappy about stating that he advised the council of changes of circumstances. The Ombudsman would not investigate as the complainant has a separate right of appeal.	Closed after initial enquiries - Out of Jurisdiction
4.	Governance The complainant complained that the council's Standards Committee failed to investigate his complaint about the conduct of a local councillor properly. The Ombudsman did not investigate as the complainant withdrew his complaint which was passed to the council for further consideration.	Closed after initial enquiries – no further action
5.	Planning The council gave incorrect pre-application advice to the complainants regarding the acceptability of a development they were planning to build. However the complainants did not build exactly what was proposed, nonetheless a subsequent guidance document issued by the Government showed that the council's interpretation of what was permitted development and what was not was flawed. The complainant agreed to close the complaint as the council were still considering a settlement.	Closed after initial enquiries – no further action
6.	Planning The council granted planning permission for a neighbour's extension which was then built higher than what was approved. The Ombudsman would not investigate this complaint because there was no evidence of maladministration by the council.	Closed after initial enquiries – no further action
7	Anti-Social Behaviour The complainant was unhappy about the actions of the council who, following a report that an alarm from her property was causing a nuisance, referred the matter to the police. The Ombudsman felt that there was no significant injustice caused to the complainant and decided not to investigate the complaint.	Closed after initial enquiries – no further action

8.	Multi Area The complainant stated that the council treated him unfairly and did not follow procedures by taking action over an issue concerning his business. The Ombudsman investigation revealed that the council did not act with fault in taking action and there was no evidence that the council had deliberately damaged his standing or business.	Not upheld – no maladministration
9.	Council Tax This complaint concerned bankruptcy proceedings taken by the council against the complainant some years previously. The Ombudsman did not investigate as this is outside the jurisdiction and the complainant could have challenged the bankruptcy order at the time.	Closed after initial enquiries – no further action
10.	Highways The complainant said the council charged too much for a footway crossing and stated builders would carry out the work for a lower price. The Ombudsman did not investigate as she thought it unlikely that she would find any evidence of fault.	Closed after initial enquiries – no further action
11.	Information This concerned the council's alleged failure to respond to a Freedom of Information request. The Ombudsman did not investigate as the complainant can refer the concerns to the Information Commissioner's Office.	Closed after initial enquiries – Out of Jurisdiction
12.	Business Rates The council allegedly misinformed the complainant about liability for business rates on an empty business property which she leased, and as a result received a summons for unpaid business rates. The Ombudsman did not investigate as this was subject to court proceedings.	Closed after initial enquiries – no further action
13.	Safeguarding The complainant was unhappy that their parent had fallen at the care home where they reside and the incident had not been properly investigated by the council. The Ombudsman did not investigate as the complainant did not have consent from the parent to make the complaint.	Closed after initial enquiries – no further action
14.	Housing Benefit This concerned the council recovering an overpayment of housing benefit from the complainant. The Ombudsman did not investigate as the complainant had appealed to a tribunal about the matter.	Closed after initial enquiries – no further action
15.	Personalisation The council suspended direct payment received for the complainant's parent's care incorrectly, then failed to reinstate the payments or make alternative arrangements to meet care needs after that. The Ombudsman found fault with the council's actions which caused the complainant and their parent injustice and recommended a remedy comprising a number of elements however despite efforts it has not been possible to implement these and the matter is now before the Court.	Upheld – maladministration and injustice
16.	Planning The council approved a planning application to increase the height of roofs of three properties near the complainant's home; however the complainant believed regard had not been had to policy and the development would likely cause loss of light from the increased roof height. The Ombudsman did not investigate as there was insufficient evidence of fault by the council.	Closed after initial enquiries – no further action
17.	Planning	Closed after initial enquiries –

	The council approved a planning application to increase the height of roofs of three properties near the complainant's home, which may affect the view from the complainant's sitting room window. The Ombudsman did not investigate as there was insufficient evidence of fault by the council.	no further action
18.	Procurement The complainant states that he lost business because of comments made by a council officer to the company he had tendered to do work for. The Ombudsman did not investigate as it could not be confirmed that the council's fault caused the complainant's claimed injustice.	Closed after initial enquiries – no further action
19.	Highways The complainants have requested the council replace the grass verge outside of their property with concrete, as cars park on the verge causing bare patches and rutting. The council declined because the work was not deemed necessary or a priority. The Ombudsman did not investigate as there was no evidence of fault in the way the council considered this.	Closed after initial enquiries – no further action
20.	Leisure The council failed to notify the complainant about her eligibility to a concessionary fee for a sports club membership and paid full rate for two years when she was entitled to a concessionary rate. The Ombudsman found evidence of fault, but was satisfied with the council's goodwill gesture to offer to refund the difference between the rate paid and the concessionary rate.	Not upheld – no maladministration
21.	Older Persons The council wanted to remove a lock the complainant placed on a bedroom in their parent's property where they store possessions. The Ombudsman did not uphold the complaint as the council was not at fault by requesting the removal of the lock.	Not upheld – no maladministration
22.	Safeguarding This concerned the process and outcome of a safeguarding investigation by the council relating to the care received for the complainant's late parent. The Ombudsman did not uphold the complaint as it considered the council acknowledged there were failings in the safeguarding process and were satisfied with their proposed actions.	Not upheld – no maladministration
23.	Planning The council took too long to take enforcement action against the complainant's neighbour who had installed decking in their garden without planning permission. The complainant stated that the council was biased in its treatment. It was recognised that there were delays in the council investigating and in starting formal action against the neighbour. The Ombudsman recommended the council pay £200.	Upheld – maladministration and injustice
24.	Housing Benefit Complainant was unhappy that the council refused his housing benefit claim because of lack of information provided. The Ombudsman did not investigate as the council has advised the complainant what he needs to do to make a claim.	Closed after initial enquiries – no further action

Item 9

SCRUTINY COMMITTEE

14 JANUARY 2016

COMPLAINTS TO THE LOCAL GOVERNMENT OMBUDSMAN

REPORT OF THE HEAD OF LAW AND GOVERNANCE

1. PURPOSE OF THE REPORT

- 1.1. To provide the Scrutiny Committee with information following the report to Cabinet last month on the Local Government Ombudsman's Annual Review letter for 2014-15.
- 1.2. Margaret Douglas, Complaints and Feedback Team Manager and the council's link officer for the Ombudsman will be in attendance at the meeting to provide Members with further information.

2. BACKGROUND AND CURRENT POSITION

- 2.1. Each year the Ombudsman writes to councils within her jurisdiction setting out an annual summary of statistics of the complaints made to her office. Future annual letters will also include the outcomes and remedies of complaints.
- 2.2. The Ombudsman also explains that one of the purposes of the Annual Letter is to help ensure that learning from complaints informs scrutiny at the local level. Supporting local scrutiny is now one of the Ombudsman's key business plan objectives.
- 2.3. Amongst other matters the Ombudsman highlights the joint LGO/LGA workbook for Councillors to allow them to support local residents with their complaints. Two training sessions were delivered to Members in October, where the opportunity was taken to bring the Ombudsman's workbook to Member's attention.
- 2.4. The Ombudsman also recently jointly published "*My Expectations*" a very useful service standards framework applicable to all aspects of local authority complaint handling.

3. CONCLUSION

- 3.1 The report is referred to Scrutiny Committee for information and consideration.

4. RECOMMENDATION

- 4.1 The Scrutiny Committee is recommended to consider and comment on the information provided regarding the Ombudsman's Annual Review.

Contact Officer: Rhiannon Hood, Assistant Head of Law and Governance
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CABINET MEETING – 16 DECEMBER 2015

EXECUTIVE SUMMARY SHEET – PART I

Title of Report:

Ombudsman's Annual Review 2014 – 15

Author(s):

Interim Head of Paid Service and the Executive Director of Commercial Development

Purpose of Report:

To advise members of the number and outcome of complaints considered by the Local Government Ombudsman during 2014 - 15

Description of Decision:

Cabinet is invited to agree that the Local Government Ombudsman's Annual Review and continual absence of maladministration reports demonstrates a sound approach to complaint handling

Is the decision consistent with the Budget/Policy Framework? N/A

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

Suggested reason(s) for Decision:

It is relevant to note the findings in the context of the council's performance in dealing with complaints

Alternative options to be considered and recommended to be rejected:

There are no suitable alternative options.

Impacts analysed;

Equality Privacy Sustainability Crime and Disorder

Is the Decision consistent with the Council's co-operative values? Yes

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

Is it included in the 28 day Notice of Decisions? N/A

ANNUAL REVIEW AND COMPLAINTS TO OMBUDSMAN 2014 - 2015**Report of the Interim Head of Paid Service and the Executive Director of Commercial Development****1. Purpose of Report**

To advise Members of the number and outcome of complaints considered by the Local Government Ombudsman during 2014-15.

2. Description of Decision (Recommendations)

Cabinet is invited to agree that the Local Government Ombudsman's Annual Review and continual absence of maladministration report demonstrates a sound approach to complaint handling.

3. Introduction/Background

The Local Government Ombudsman has issued her 12th annual review to the council, see Appendix 1 attached.

4. Current Position

4.1 The Ombudsman reports that 51 complaints were *received* by her for Sunderland. The average for Metropolitan councils is 49.

4.2 The Ombudsman considered 24 complaints during the year and closed 18. After making initial enquiries of the remaining six complaints, four were not upheld and two were upheld. The council had already upheld them under its own processes. However the Ombudsman recommended a payment in one and payment and actions in the other.

In terms of comparisons with other Tyne & Wear Authorities, Sunderland had the lowest number of formal investigations at six and the lowest number of complaints upheld at two.

In the year 2014-15 the council again did not receive a maladministration report from the Ombudsman.

Breakdown of Complaints by Service Area

Adult Care	Benefits & C/Tax	Corporate & other	Education & Children	Environmental Services & Public Protection	Highways & Transport	Housing	Planning & Development	Total
6	8	7	7	4	6	2	11	51

5. Reasons for the Decision

It is relevant to note the findings in the context of the council's performance in dealing with complaints.

6. Alternative Options

There are no suitable alternative options.

7. Impact Analysis

N/A

10. List of Appendices

Local Government Ombudsman's Annual Letter 2014 – 15.

11. Background Papers

N/A

18 June 2015

By email

Mr Dave Smith
Chief Executive
Sunderland City Council

Dear Mr Smith

Annual Review Letter 2015

I am writing with our annual summary of statistics on the complaints made to the Local Government Ombudsman (LGO) about your authority for the year ended 31 March 2015. This year's statistics can be found in the table attached.

The data we have provided shows the complaints and enquiries we have recorded, along with the decisions we have made. We know that these numbers will not necessarily match the complaints data that your authority holds. For example, our numbers include people who we signpost back to the council but who may never contact you. I hope that this information, set alongside the data sets you hold about local complaints, will help you to assess your authority's performance.

We recognise that the total number of complaints will not, by itself, give a clear picture of how well those complaints are being responded to. Over the coming year we will be gathering more comprehensive information about the way complaints are being remedied so that in the future our annual letter focuses less on the total numbers and more on the outcomes of those complaints.

Supporting local scrutiny

One of the purposes of the annual letter to councils is to help ensure that learning from complaints informs scrutiny at the local level. Supporting local scrutiny is one of our key business plan objectives for this year and we will continue to work with elected members in all councils to help them understand how they can contribute to the complaints process.

We have recently worked in partnership with the Local Government Association to produce a workbook for councillors which explains how they can support local people with their complaints and identifies opportunities for using complaints data as part of their scrutiny tool kit. This can be found [here](#) and I would be grateful if you could encourage your elected members to make use of this helpful resource.

Last year we established a new Councillors Forum. This group, which meets three times a year, brings together councillors from across the political spectrum and from all types of local authorities. The aims of the Forum are to help us to better understand the needs of councillors when scrutinising local services and for members to act as champions for learning from complaints in their scrutiny roles. I value this direct engagement with elected members and believe it will further ensure LGO investigations have wider public value.

Encouraging effective local complaints handling

In November 2014, in partnership with the Parliamentary and Health Service Ombudsman and Healthwatch England, we published '*My Expectations*' a service standards framework document describing what good outcomes for people look like if complaints are handled well. Following extensive research with users of services, front line complaints handlers and other stakeholders, we have been able to articulate more clearly what people need and want when they raise a complaint.

This framework has been adopted by the Care Quality Commission and will be used as part of their inspection regime for both health and social care. Whilst they were written with those two sectors in mind, the principles of '*My Expectations*' are of relevance to all aspects of local authority complaints. We have shared them with link officers at a series of seminars earlier this year and would encourage chief executives and councillors to review their authority's approach to complaints against this user-led vision. A copy of the report can be found [here](#).

Future developments at LGO

My recent annual letters have highlighted the significant levels of change we have experienced at LGO over the last few years. Following the recent general election I expect further change.

Most significantly, the government published a review of public sector ombudsmen in March of this year. A copy of that report can be found [here](#). That review, along with a related consultation document, has proposed that a single ombudsman scheme should be created for all public services in England mirroring the position in the other nations of the United Kingdom. We are supportive of this proposal on the basis that it would provide the public with clearer routes to redress in an increasingly complex public service landscape. We will advise that such a scheme should recognise the unique roles and accountabilities of local authorities and should maintain the expertise and understanding of local government that exists at LGO. We will continue to work with government as they bring forward further proposals and would encourage local government to take a keen and active interest in this important area of reform in support of strong local accountability.

The Government has also recently consulted on a proposal to extend the jurisdiction of the LGO to some town and parish councils. We currently await the outcome of the consultation but we are pleased that the Government has recognised that there are some aspects of local service delivery that do not currently offer the public access to an independent ombudsman. We hope that these proposals will be the start of a wider debate about how we can all work together to ensure clear access to redress in an increasingly varied and complex system of local service delivery.

Yours sincerely



Dr Jane Martin
Local Government Ombudsman
Chair, Commission for Local Administration in England

Local authority report – Sunderland City Council

For the period ending – 31/03/2015

For further information on interpretation of statistics click on this link to go to <http://www.lgo.org.uk/publications/annual-report/note-interpretation-statistics/>

Complaints and enquiries received

Local Authority	Adult Care Services	Benefits and tax	Corporate and other services	Education and children's services	Environmental services and public protection	Highways and transport	Housing	Planning and development	Total
Sunderland City C	6	8	7	7	4	6	2	11	51

Decisions made

	Detailed investigations carried out		Advice given	Closed after initial enquiries	Incomplete/Invalid	Referred back for local resolution	Total
Local Authority	Upheld	Not Upheld					
Sunderland City C	2	4	0	18	3	20	47

SCRUTINY COMMITTEE

NOTICE OF KEY DECISIONS

REPORT OF THE HEAD OF SCRUTINY AND AREA ARRANGEMENTS

1. PURPOSE OF THE REPORT

- 1.1 To provide Members with an opportunity to consider the items on the Executive's Notice of Key Decisions for the 28 day period from 15 December 2015. Members should note that a further Notice will be issued on 12 January 2016 which will be made available at the Scrutiny Committee meeting.

2. BACKGROUND INFORMATION

- 2.1 Holding the Executive to account is one of the main functions of Scrutiny. One of the ways that this can be achieved is by considering the forthcoming decisions of the Executive (as outlined in the Notice of Key Decisions) and deciding whether Scrutiny can add value in advance of the decision being made. This does not negate Non-Executive Members ability to call-in a decision after it has been made.
- 2.2 To this end, the most recent version of the Executive's Notice of Key Decisions is included on the agenda of this Committee. The Notice of Key Decisions for the 28 day period from 15 December 2015 is attached marked **Appendix 1**.

3. CURRENT POSITION

- 3.1 In considering the Notice of Key Decisions, Members are asked to consider only those issues where the Scrutiny Committee or relevant Scrutiny Panel could make a contribution which would add value prior to the decision being taken.
- 3.2 In the event of Members having any queries that cannot be dealt with directly in the meeting, a response will be sought from the relevant Directorate.

4. RECOMMENDATION

- 4.1 To consider the Executive's Notice of Key Decisions for the 28 day period from 15 December 2015 and the most recent Notice for the 28 day period from 12 January 2016 at the Scrutiny Committee meeting.

5. BACKGROUND PAPERS

- Cabinet Agenda

Contact Officer : Nigel Cummings, Scrutiny Officer
0191 561 1006
Nigel.cummings@sunderland.gov.uk

The Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012

Notice is given of the following proposed Key Decisions (whether proposed to be taken in public or in private) and of Executive Decisions (including key decisions) intended to be considered in a private meeting:-

Item no.	Matter in respect of which a decision is to be made	Decision-maker (if individual, name and title, if body, its name and see below for list of members)	Key Decision Y/N	Anticipated date of decision/ period in which the decision is to be taken	Private meeting Y/N	Reasons for the meeting to be held in private	Documents submitted to the decision-maker in relation to the matter	Address to obtain further information
150608/05	<p>a) Approve the Draft SSGA SPD and supporting documents (including Sustainability Appraisal and Habitat Regulations Assessment) and the SSGA Infrastructure Delivery Plan for the purposes of public consultation and as material considerations in assessing planning applications, pending their finalisation and the adoption of the SPD.</p> <p>b) Authorise the Executive Director of Commercial Development to make any required minor amendments to the attached SSGA Draft SPD (including the Sustainability Appraisal and Habitat Regulations Assessment) and the SSGA Infrastructure Delivery Plan as necessary prior to their publication for public consultation.</p>	Cabinet	Y	13 January 2016	N	Not Applicable	<p>Cabinet Report</p> <p>SSGA SPD</p> <p>SSGA Interim Delivery Plan</p> <p>SSGA Interim Delivery Plan</p> <p>SSGA SPD Sustainability Appraisal</p> <p>SSGA SPD Habitat Regulations Assessment</p>	<p>Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN</p> <p>committees@sunderland.gov.uk</p>

Item no.	Matter in respect of which a decision is to be made	Decision-maker (if individual, name and title, if body, its name and see below for list of members)	Key Decision Y/N	Anticipated date of decision/ period in which the decision is to be taken	Private meeting Y/N	Reasons for the meeting to be held in private	Documents submitted to the decision-maker in relation to the matter	Address to obtain further information
150916/21	Cabinet to receive a report detailing the outcomes from a review of youth services and to agree associated recommendations	Cabinet	Y	13 January 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk
151111/25	To seek approval and adopt a strategic needs assessment for indoor sport	Cabinet	Y	13 January 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk
151111/26	To approve that consultation be undertaken on a proposal to introduce a parental contribution to the cost of travel from home to school or college for post 16 learners with Special Educational needs and Disability (SEND	Cabinet	Y	13 January 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk

Item no.	Matter in respect of which a decision is to be made	Decision-maker (if individual, name and title, if body, its name and see below for list of members)	Key Decision Y/N	Anticipated date of decision/ period in which the decision is to be taken	Private meeting Y/N	Reasons for the meeting to be held in private	Documents submitted to the decision-maker in relation to the matter	Address to obtain further information
151124/30	To approve regulatory planning processes and proposal for delivery vehicle for International Advanced Manufacturing Park	Cabinet	Y	13 January 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk
151203/36	To recommend for approval the Council Tax Base 2016/2017	Cabinet	Y	13 January 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk
151203/37	To agree delegated authority to approve Business Rates Income Forecast 2016/2017 and Projected Business Rates Income Outturn 2015/2016	Cabinet	Y	13 January 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk

Item no.	Matter in respect of which a decision is to be made	Decision-maker (if individual, name and title, if body, its name and see below for list of members)	Key Decision Y/N	Anticipated date of decision/ period in which the decision is to be taken	Private meeting Y/N	Reasons for the meeting to be held in private	Documents submitted to the decision-maker in relation to the matter	Address to obtain further information
151203/39	Capital Programme Third Review 2015/16, Provisional Resources 2016/2017 and Treasury Management Review 2015/16	Cabinet	Y	13 January 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk
151203/40	Revenue Budget 2016/2017 Proposals and Provisional Revenue Support Settlement 2016/2017	Cabinet	Y	13 January 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk
151203/35	To approve the Local Flood Risk Management Strategy for public consultation.	Cabinet	Y	13 January 2016	N	Not Applicable	Cabinet Report Draft Local Flood Risk Management Strategy	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk

Item no.	Matter in respect of which a decision is to be made	Decision-maker (if individual, name and title, if body, its name and see below for list of members)	Key Decision Y/N	Anticipated date of decision/ period in which the decision is to be taken	Private meeting Y/N	Reasons for the meeting to be held in private	Documents submitted to the decision-maker in relation to the matter	Address to obtain further information
151203/41	To recommend for approval the Local Council Tax Support Scheme	Cabinet	Y	13 January 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk
151210/45	To seek the agreement of Cabinet to procure and appoint works contractors to deliver the Hylton Castle Redevelopment Project (dependent on HLF funding announcement January 2016)	Cabinet	Y	13 January 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk
151118/31	Disposal of Unit E Colima Avenue, Sunderland Enterprise Park	Cabinet	Y	13 January 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk

Item no.	Matter in respect of which a decision is to be made	Decision-maker (if individual, name and title, if body, its name and see below for list of members)	Key Decision Y/N	Anticipated date of decision/ period in which the decision is to be taken	Private meeting Y/N	Reasons for the meeting to be held in private	Documents submitted to the decision-maker in relation to the matter	Address to obtain further information
151127/32	Disposal of Land at Nookside, Pennywell	Cabinet	Y	13 January 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk
151127/33	Disposal of Land off Birchwood, South Hylton	Cabinet	Y	13 January 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk
151203/42	Collection Fund 2015/2016	Cabinet	Y	10 February 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk

Item no.	Matter in respect of which a decision is to be made	Decision-maker (if individual, name and title, if body, its name and see below for list of members)	Key Decision Y/N	Anticipated date of decision/ period in which the decision is to be taken	Private meeting Y/N	Reasons for the meeting to be held in private	Documents submitted to the decision-maker in relation to the matter	Address to obtain further information
151203/43	Capital Programme 2016/2017 and Treasury Management Policy and Strategy 2016/2017 including Prudential Indicators for 2016/2017 to 2018/2019	Cabinet	Y	10 February 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk
151203/44	Revenue Budget and Proposed Council Tax for 2016/2017 and Medium Term Financial Strategy for 2016/2017 to 2018/2019	Cabinet	Y	10 February 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk
150916/20	To seek the agreement of Cabinet to a preferred option for future delivery for Concord Childcare Centre and to agree that the preferred option should be pursued.	Cabinet	Y	10 February 2016	N	Not Applicable	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk

Item no.	Matter in respect of which a decision is to be made	Decision-maker (if individual, name and title, if body, its name and see below for list of members)	Key Decision Y/N	Anticipated date of decision/ period in which the decision is to be taken	Private meeting Y/N	Reasons for the meeting to be held in private	Documents submitted to the decision-maker in relation to the matter	Address to obtain further information
151202/34	Report outlining the proposed way forward for realising commercial opportunities.	Cabinet	Y	During the period 13 January to 31 March 2016	Y	The report is one which relates to an item during the consideration of which by Cabinet the public are likely to be excluded under Paragraphs 3 and 5 of Schedule 12A of the Local Government Act 1972, as amended, as the report will contain information relating to the financial or business affairs of any particular person (including the authority holding that information) and information in respect of which a claim to legal professional privilege could be maintained in legal proceedings. In each case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk

Item no.	Matter in respect of which a decision is to be made	Decision-maker (if individual, name and title, if body, its name and see below for list of members)	Key Decision Y/N	Anticipated date of decision/ period in which the decision is to be taken	Private meeting Y/N	Reasons for the meeting to be held in private	Documents submitted to the decision-maker in relation to the matter	Address to obtain further information
150424/7	To seek approval of the business plan in respect of Bishopwearmouth Co-Operative Community Interest Company	Cabinet	N	10 February – 30 April 2016	Y	The report is one which relates to an item during the consideration of which by Cabinet the public are likely to be excluded under Paragraph 3 of Schedule 12A of the Local Government Act 1972, as amended, as the report will contain information relating to the financial or business affairs of any particular person (including the authority holding that information). The public interest in maintaining this exemption outweighs the public interest in disclosing the information.	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk

Item no.	Matter in respect of which a decision is to be made	Decision-maker (if individual, name and title, if body, its name and see below for list of members)	Key Decision Y/N	Anticipated date of decision/ period in which the decision is to be taken	Private meeting Y/N	Reasons for the meeting to be held in private	Documents submitted to the decision-maker in relation to the matter	Address to obtain further information
150424/8	To approval proposals in respect of Council staff supporting Beckwiths Community Interest Company	Cabinet	N	10 February – 30 April 2016	Y	The report is one which relates to an item during the consideration of which by Cabinet the public are likely to be excluded under Paragraph 3 of Schedule 12A of the Local Government Act 1972, as amended, as the report will contain information relating to the financial or business affairs of any particular person (including the authority holding that information). The public interest in maintaining this exemption outweighs the public interest in disclosing the information.	Cabinet Report	Governance Services Civic Centre PO BOX 100 Sunderland SR2 7DN committees@sunderland.gov.uk

Note; Some of the documents listed may not be available if they are subject to an exemption, prohibition or restriction on disclosure.

Further documents relevant to the matters to be decided can be submitted to the decision-maker. If you wish to request details of those documents (if any) as they become available, or to submit representations about a proposal to hold a meeting in private, you should contact Governance Services at the address below.

Subject to any prohibition or restriction on their disclosure, copies of documents submitted to the decision-maker can also be obtained from the Governance Services team PO Box 100, Civic Centre, Sunderland, or by email to committees@sunderland.gov.uk

Who will decide;

Cabinet; Councillor Paul Watson - Leader; Councillor Henry Trueman – Deputy Leader; Councillor Mel Speding – Cabinet Secretary; Councillor Pat Smith – Children’s Services; Councillor Graeme Miller – Health, Housing and Adult Services; Councillor John Kelly – Public Health, Wellness and Culture; Councillor Michael Mordey – City Services; Councillor Cecilia Gofton – Responsive Services and Customer Care

This is the membership of Cabinet as at the date of this notice. Any changes made by the Leader will be specified on a supplementary notice.

Elaine Waugh
Head of Law and Governance

15 December 2015

ANNUAL WORK PROGRAMME 2015/16

REPORT OF THE HEAD OF SCRUTINY AND AREA ARRANGEMENTS

1. PURPOSE OF THE REPORT

- 1.1 The report attaches, the work programme for the Committee's work during the 2015/16 council year.
- 1.2 In delivering its work programme, the Scrutiny Committee will support the council in achieving its Corporate Outcomes.

2. BACKGROUND

- 2.1 The work programme is a working document which the Committee can develop throughout the year. The work programme allows Members and officers to maintain an overview of work planned and undertaken during the Council year.

3. CURRENT POSITION

- 3.1 The work programme reflects discussions that took place at the Scrutiny Committee meeting held on 3 December 2016. The current work programme is attached as **Appendix 1**.

4. CONCLUSION

- 4.1 The work programme developed from the meeting will form a flexible mechanism for managing the work of the Committee in 2015/16.

5 RECOMMENDATION

- 5.1 That the Committee notes the information contained in the work programme and consider the inclusion of any proposals for the Committee into the work programme.

Contact Officer: Nigel Cummings, Scrutiny Officer
0191 561 1006 – Nigel.cummings@sunderland.gov.uk

REASON FOR INCLUSION	25 JUNE D/L 16.06.15	16 JULY D/L 07.07.15	10 SEPTEMBER D/L 01.09.15	8 OCTOBER D/L 29.09.15	5 NOVEMBER D/L 27.10.15	3 DECEMBER D/L 24.11.15	14 JANUARY D/L 05.01.16	11 FEBRUARY D/L 02.02.16	10 MARCH D/L 02.03.16	14 APRIL D/L 05.04.16
Cabinet Referrals and Responses	Youth Justice Plan 2015/16 Revenue Budget Outturn for 2014/2015 and First Revenue Review 2015/2016 Capital Programme Outturn 2014/2015 and First Capital Review 2015/2016 including Treasury Management	Portfolio Holder Response to Policy Reviews 2014/15	Portfolio Holder Response to Policy Reviews 2014/15		Proposal for Budget Consultation 2016/17 Budget Planning Framework 2016/2017 and Medium Term Financial Strategy 2016/2017 – 2018/2019 Capital Programme Second Review 2015/16 Revenue Budget Second Review 2015/2016 Gambling Act 2005 Licensing Act 2003		Annual Audit Letter Revenue Budget 2016/17 Proposals Revenue Budget Third Review 2015/16 Capital Programme - Third Capital Review 2015/2016, Provisional Resources 2016/2017 And Treasury Management Review 2015/2016 SSGA Draft Supplementary Planning Doc & SSGA Delivery Plan	Planning Framework Collection Fund 2015/16 Capital Programme 2016/2017 and Treasury Management Policy and Strategy 2016/2017 Revenue Budget and Proposed Council Tax for 2016/2017 and Medium Term Financial Strategy 2016/2017 to 2018/2019		
Scrutiny Business	Extra Care Housing Membership of Scrutiny Panels Commissioning the Annual Scrutiny Work Programme 2015/16 CIPS Annual Conference Feedback Notice of Key Decisions	Corporate Parenting Annual Report CCG Operational Plan 15/16 Commissioning the Scrutiny Panels 2015/16 Notice of Key Decisions Scrutiny Work Programme 2015/16	Sunderland Safeguarding Update CQC GP Practice Visits (CCG) CYP Community Services – Update (CCG) Notice of Key Decisions Scrutiny Work Programme 2015/16	Sunderland APMS Procurement (CCG) Care and Support - Annual Update Extra Care Housing Notice of Key Decisions Scrutiny Work Programme 2015/16	Notice of Key Decisions Scrutiny Work Programme 2015/16	Review of Scrutiny Safer Sunderland Partnership Annual Report CQC GP Practice Visits (CCG) Monitoring the Delivery of Scrutiny Recommendations Notice of Key Decisions Scrutiny Work Programme 2015/16 Scrutiny Member Development	Council Annual Complaints Report School Performance (Provisional Results) Breast Services Update (CCG) Notice of Key Decisions Scrutiny Work Programme 2015/16	Draft Final Policy Review Reports Notice of Key Decisions Scrutiny Work Programme 2015/16	Notice of Key Decisions Scrutiny Work Programme 2015/16	Annual Monitoring the Delivery of Agreed Scrutiny Recommendations Draft Final Policy Review Reports Scrutiny Annual Report Notice of Key Decisions Scrutiny Work Programme 2015/16
Lead Scrutiny Member Update		Lead Scrutiny Member Update	Lead Scrutiny Member Update	Lead Scrutiny Member Update	Lead Scrutiny Member Update	Lead Scrutiny Member Update	Lead Scrutiny Member Update	Lead Scrutiny Member Update	Lead Scrutiny Member Update	Lead Scrutiny Member Update
Substantial Variations to Service - Health										

CCFA/Members items/Petitions										
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Item 12

SCRUTINY COMMITTEE

14 JANUARY 2016

LEAD SCRUTINY MEMBER UPDATE: JANUARY 2016

JOINT REPORT OF THE LEAD SCRUTINY MEMBERS

1. PURPOSE OF THE REPORT

- 1.1 To provide an update to the Scrutiny Committee regarding the work of each of the six Lead Scrutiny Members and supporting Panels.

2. LEAD SCRUTINY MEMBER UPDATE

Scrutiny Chair and Vice Chair (Cllrs Norma Wright and Dianne Snowdon)

- 2.1 The Scrutiny Committee received at its last meeting a report on scrutiny arrangements and the next steps in developing a new scrutiny model and operating practices. It was agreed that the new model would exist in a shadow format from January 2016 with full implementation taking place in May 2016. These proposals will be put before full Council at its January 2016 meeting.

- 2.2 The Scrutiny Committee also in December met with the Leader, Deputy Leader, Cabinet Secretary and interim Head of Paid Service and Director of Finance as part of the budget consultation process. A full presentation was given to Members on the national funding outlook, the Council budget, the challenges and demand pressures and the Council/City response.

- 2.3 The Safeguarding Working Group also met in December 2015 and again looked at the continued journey of improvement in and around Children's Services in the City through the Improvement and learning Plan.

Children's Services (Cllr Darryl Dixon)

- 2.4 The Children's Services Scrutiny Panel met on 10th December 2015, continuing its policy work around children and young people's mental health.

- 2.5 The Children's Services Scrutiny Panel also discussed the new scrutiny structure and transition arrangements that would be implemented in January 2016. It was also noted that under the new arrangements the work of the Safeguarding Working Group will fall under the remit of the Children, Education and Skills Scrutiny Committee.

City Services (Cllr Lynda Scanlan)

- 2.6 At its last meeting and as part of its review into environmental enforcement, the Panel looked at the approach being taken with regards to the control of illegally tethered horses. David Gustard (Senior Surveyor) outlined the background to what was a growing issue for the city; including the respective powers and responsibilities of key players such as the Police, RSPCA, land owners and the Council.

- 2.7 It was noted that the Council does not have a statutory responsibility for either animal welfare or the danger posed to the community by animals as these were the responsibility of the RSPCA and Police respectively. The Council's duty was as a

landowner and involved managing any trespass on its land and issuing notices to inform owners that their animal should be removed. If this does not occur, further action could be taken though, in practice, this process is complicated and expensive. The Council therefore takes a risk based approach to when the enforcement powers are used for example where an animal poses an immediate nuisance to the public or where the trespass is repeated.

- 2.8 Members recognised that this was a very difficult area and discussed the range of options available to the Council given the very tight financial constraints under which it is operating. Reference was made to improving the procurement process with contractors in order that action could be taken more quickly and flexibly. The option of identifying specific grazing areas within the city was recognised as being costly; however it was felt that there was scope for developing relationships with other local authorities such as Durham who have better infrastructure for grazing. Members also felt that it would be useful to establish a clear policy and procedure within the Council on how to handle specific cases of illegal tethering of horses and look at the potential for improving signage and advice/guidance for owners.
- 2.9 The Panel also considered a report on the forthcoming changes to the arrangements for scrutiny. Members supported the proposals contained in the report.

Health, Housing and Adult Services (Cllr Jill Fletcher)

- 2.10 The HHAS Scrutiny Panel visited Portland Academy in December to continue its work around the transition from child to adult social services. Portland Academy provides education for students with a wide range of needs. The majority of students have severe, profound and multiple learning difficulties, with some pupils also having complex medical conditions. Members used the visit to understand how the school prepares their students for the transition into adulthood and adult social care.
- 2.11 Members also considered the report detailing the changes to the scrutiny structure and the interim transitional arrangements. Members were satisfied with the proposals within the report and supported them.

Public Health, Wellness and Culture (Cllr George Howe)

- 2.12 The Public Health, Wellness and Culture Scrutiny Panel held a meeting on the 8th December 2015. Karen Brown, Scrutiny Officer, updated the panel on the Scrutiny Review, giving background, current position, proposals and the structure and membership of the panels, including thematic membership and co-option. The Scrutiny Officer also detailed the work programmes moving forward and addressed queries from the panel in relation to declaring relationships and political balances. The panel queried involvement of young people within the panels, to which the Scrutiny Officer explained work had been previously done with School Councils and the Youth Parliament. The panel expressed an interest in young people being further involved in the future, but that young people find the formal environment intimidating. Lorraine Hughes, Public Health Lead, explained that there are youth inspectors that can be called in to give young people's views as an alternative to them attending.
- 2.13 The panel further discussed the draft sexual health report and made reference to the unsuitable seating plan in the hospital, the condition of the building and also that the first recommendation should be strengthened to read 'consider earnestly' the co-location of

the GUM and CASH services. It was also noted that the panel agreed there was a high quality of service but the 'tired' looking building lets the service down. The draft report was then agreed by the panel.

Skills, Economy and Regeneration (Cllr David Snowdon)

- 2.14 The Skills, Economy & Regeneration Panel met on 19 November to consider in more detail the two cities chosen as examples for learning among the Key Cities Group of local authorities (Coventry and Hull).
- 2.15 At the meeting, Andrew Perkin produced a matrix which highlighted the main initiatives and projects designed to encourage economic regeneration within the two cities, along with those being undertaken or planned for Sunderland. Members felt that the experiences of Coventry and Hull should be very useful in informing the development of regeneration in Sunderland in the years ahead.
- 2.16 The Panel agreed that it would be useful to invite representatives from Coventry City Council to a future meeting in order to discuss in more detail their plans and experiences.
- 2.17 A further meeting of the Panel was arranged for 14 December in order to consider the report on the proposed changes to the scrutiny structure. The proposals were supported by members. It was also felt that there would be value in continuing its work into the experiences of other Key Cities.

Responsive Services and Customer Care (Cllr Ronny Davison)

- 2.18 At its last meeting, the Panel received an update on the progress being made in implementing of the new powers contained in the Anti-Social Behaviour, Crime and Policing Act 2014.
- 2.19 Stuart Douglass (Lead Policy for Community Safety) was in attendance to provide details of the range of powers now available and the approach being taken by the Council and its partners. Members referred to the considerable potential of the new powers in relation to tackling problems such as anti- social behaviour in specific localities. They also referred to the importance of the Council making use of environmental enforcement powers issues such as litter and dog fouling were a clear priority for the people of the city.
- 2.20 As part of its review into customer services, individual members of the Panel have also invited to make arrangements to view at first at first-hand the operation of the Customer Services Network. Arrangements are currently being made for these visits.
- 2.21 The Panel also considered a report on the forthcoming changes to the arrangements for scrutiny. Members supported the proposals contained in the report.

3. MEMBERSHIPS AND ALIGNMENT OF WORK PROGRAMMES

- 3.1 It is proposed that the current six Lead Scrutiny Members will start immediately to deliver a phased approach into the new arrangements by working collaboratively towards the full adoption of a Scrutiny Committee Chair and Vice-Chair roles.

- 3.2 This proposal will require that the six Lead Scrutiny Members will oversee the introduction of the three thematic Scrutiny Committees by working in partnership to chair the 'shadow' committee which most closely aligns with their current remit (see **Appendix 1**). Panel Members will also be aligned to the 'shadow' committee closest to that panel which they have previously been a member of.

4. DEDICATED SCRUTINY BUDGET

- 4.1 A small budgetary provision of £15,000 per annum is available to the Scrutiny Committee and the supporting Panels to deliver the agreed Annual Scrutiny Committee Work Programme.
- 4.2 As of 4th January 2016 the breakdown of the budget stood as follows:-

Description	£
Scrutiny Development	£5,269
Member Development	£898
Policy Review Development	£0.00
Total Expenditure to Date	£6,167
Budget	£15,000
Remaining Budget	£8,833

5. RECOMMENDATIONS

- 5.1 It is recommended that the Scrutiny Committee;
- (a) notes and considers the update of the Lead Scrutiny Members and receives, where appropriate, a further verbal update at the meeting;
 - (b) notes the current expenditure and remaining scrutiny budget for 2015/16.

6. BACKGROUND PAPERS

- Scrutiny Committee Agenda and Papers – December 15

Contact Officer: Nigel Cummings, Scrutiny Officer
Nigel.Cumminigs@sunderland.gov.uk
0191 561 1006

Appendix 2 – Transition of current projects: Alignment of the current work programme (2015/16) to the new remits

New Scrutiny Committee	Existing Scrutiny Panels	Realigned Work Programme Topics for Remainder of 2015/16
Coordinating Scrutiny Committee	Scrutiny Committee	<ul style="list-style-type: none"> All Article 4 Policy Framework documents including budget setting and corporate plan Anti-Social Behaviour – new powers (not started)
Health & Wellbeing Scrutiny Committee	Public Health, Wellness & Culture Health, Housing & Adult Services	<ul style="list-style-type: none"> Sexual Health Policy Review (concludes end Dec 15) Transitions from Child to Adult Social Care Policy Review (on-going) Site visit to HMO (concludes end Nov 15) Substantial Variations to health services / Statutory health scrutiny role
Children, Education & Skills	Children's Services	<ul style="list-style-type: none"> Children's Mental Health Policy Review (on-going) Children's Safeguarding Working Group (on-going) Ofsted Improvement Plan / Monthly Performance Monitoring Report School Performance (Validated Results) – Feb 16 C&YP Community Services Annual Performance Update (Mar 16)
Economic Prosperity	Responsive Services & Customer Care Skills, Economy & Regeneration City Services	<ul style="list-style-type: none"> Council's Customer Services – Policy Review (concludes Dec 15) Key Cities Policy Review (on-going) Digital Skills Policy (not started) Environmental Enforcement – Policy Review (concludes end Dec 15) BID Annual Update (Feb16)