



CABINET

7.30 pm	Wednesday 13 December 2017	Council Chamber - Town Hall
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Members 9: Quorum 3

Councillor Roger Ramsey (Leader of the Council), Chairman

Cabinet Member responsibility:

Councillor Damian White

Housing

Councillor Robert Benham

Children & Learning

Councillor Wendy Brice-Thompson

Adult Social Services and Health

Councillor Osman Dervish

Environment and Community Safety

Councillor Melvin Wallace

Culture and Community Engagement

Councillor Clarence Barrett

Financial Management, Transformation & IT

Councillor Ron Ower

Housing Development Company and
OneSource Management

Councillor Joshua Chapman

Deputy Cabinet Member for Housing

Councillor Jason Frost

Deputy Cabinet Member for Environment,
Regulatory Services & Community Safety

Andrew Beesley
Head of Democratic Services

For information about the meeting please contact:

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Webcast

**Please note that this meeting will be webcast.
Members of the public who do not wish to appear
in the webcast will be able to sit in the balcony,
which is not in camera range.**

Protocol for members of the public wishing to report on meetings of the London Borough of Havering

Members of the public are entitled to report on meetings of Council, Committees and Cabinet, except in circumstances where the public have been excluded as permitted by law.

Reporting means:-

- filming, photographing or making an audio recording of the proceedings of the meeting;
- using any other means for enabling persons not present to see or hear proceedings at a meeting as it takes place or later; or
- reporting or providing commentary on proceedings at a meeting, orally or in writing, so that the report or commentary is available as the meeting takes place or later if the person is not present.

Anyone present at a meeting as it takes place is not permitted to carry out an oral commentary or report. This is to prevent the business of the meeting being disrupted.

Anyone attending a meeting is asked to advise Democratic Services staff on 01708 433076 that they wish to report on the meeting and how they wish to do so. This is to enable employees to guide anyone choosing to report on proceedings to an appropriate place from which to be able to report effectively.

Members of the public are asked to remain seated throughout the meeting as standing up and walking around could distract from the business in hand.

DECLARING INTERESTS FLOWCHART – QUESTIONS TO ASK YOURSELF



AGENDA

1 ANNOUNCEMENTS

On behalf of the Chairman, there will be an announcement about the arrangements in case of fire or other events that might require the meeting room or building's evacuation.

2 APOLOGIES FOR ABSENCE

(if any) - receive

3 DISCLOSURES OF INTEREST

Members are invited to disclose any interests in any of the items on the agenda at this point of the meeting. Members may still disclose an interest in an item at any time prior to the consideration of the matter.

4 MINUTES (Pages 1 - 8)

To approve as a correct record the minutes of the meeting held on 15 November, 2017, and to authorise the Chairman to sign them.

5 UPDATE ON THE COUNCIL'S MTFS AND BUDGET FOR 2018/19 (Pages 9 - 46)

6 PUBLICATION OF THE LONDON BOROUGH OF HAVERING'S AIR QUALITY ACTION PLAN 2018-2023 SUBJECT TO CONSULTATION (Pages 47 - 102)

7 QUARTER 2 CORPORATE PERFORMANCE REPORT (2017/18) (Pages 103 - 124)

8 JOINT COMMISSIONING STRATEGY (Pages 125 - 150)

9 OUTCOME OF CONSULTATION ON THE DRAFT ADULT SOCIAL CARE & SUPPORT PLANNING POLICY FOR APPROVAL (Pages 151 - 232)

10 EXCLUSION OF THE PRESS AND PUBLIC

To consider whether the press and public should now be excluded from the remainder of the meeting on the grounds that it is likely that, in view of the nature of the business to be transacted or the nature of the proceedings, if members of the press and public were present during those items there would be disclosure to them of exempt information within the meaning of paragraph 1 of Schedule 12A to the Local Government Act 1972; and, if it is decided to exclude the public on those grounds, the Committee to resolve accordingly on the motion of the Chairman.

11 RAINHAM AND BEAM PARK HOUSING ZONE - APPOINTMENT OF A JOINT VENTURE DEVELOPMENT PARTNER. (Pages 233 - 408)

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MINUTES OF A CABINET MEETING
Council Chamber - Town Hall
Wednesday, 15 November 2017
(7.30 - 8.30 pm)

Present:

Councillor Roger Ramsey (Leader of the Council), Chairman

Councillor Damian White

Councillor Robert Benham

Councillor Wendy Brice-Thompson

Councillor Osman Dervish

Councillor Melvin Wallace

Councillor Clarence Barrett

Councillor Ron Ower

Councillor Joshua Chapman

Councillor Jason Frost

Cabinet Member responsibility:

Housing

Children & Learning

Adult Social Services and Health

Environment and Community Safety

Culture and Community
Engagement

Financial Management,
Transformation & IT

Housing Development Company
and OneSource Management

Deputy Cabinet Member for Housing

Deputy Cabinet Member for
Environment, Regulatory Services &
Community Safety

1 APOLOGIES FOR ABSENCE

There were no apologies for absence.

2 DISCLOSURES OF INTEREST

There were no declarations of interest.

3 HOUSING REVENUE ACCOUNT (HRA) BUSINESS PLAN UPDATE

The Cabinet Lead Member for Housing, Councillor Damien White presented the HRA Business Plan Review to Cabinet.

The report detailed the mid-year review of the HRA Business Plan and the impact of the provision of new affordable homes through regeneration

schemes in Havering. It took account of the clarified position on rent setting which had been announced recently, that rents can increase by CPI plus 1% for the five years after the four years of 1% reduction from 2020/21. This will increase income to the HRA by £15 million over ten years from the position considered in the February Budget Setting Report.

The report identified the budget provisions available to support the provision of truly affordable homes for Havering residents. Resources are available to build and/or acquire new affordable homes over the next 15 years.

Provision has been made for the 12 Estates Regeneration Scheme of around £145 million to provide more affordable homes managed by the Council on existing estates. The aspiration is to increase the level of affordable properties available for rent by over 30% on the new developments. It is anticipated that more than 300 low cost home ownership properties will be delivered on those estates which will affect a 50% increase in the number of affordable homes in those areas. These homes will be at rent and shared ownership levels that local people can afford on local wages.

£55 million has been identified for delivering affordable housing for other regeneration projects in the Borough thus increasing local provision for residents even further.

Further allocations will form the subject of future Cabinet reports.

It was further proposed to allocate RTB receipts to the regeneration buyback programme as this has been significantly oversubscribed by people wishing to sell their properties back to the Council.

Following discussion,

Cabinet:

1. **Approved** the update of the Housing Revenue Account Business Plan as detailed in Appendix 3a of the report.
2. **Noted** the implications of the housing estate regeneration and other regeneration opportunities on the HRA Business Plan.
3. **Approved** the allocation of £3.360 million of HRA 1-4-1 Right to Buy receipts to fund the estates renewal buyback programme. This will be used to accelerate the estates buyback programme whilst maintaining a neutral effect on the HRA.
4. **Instructed** officers to report back to Cabinet, within twelve months, with a review of the Allocations Policy and Local Lettings Plan, including eligibility criteria for affordable low cost home ownership properties and rent levels for affordable rent properties.

4 **MERCURY LAND HOLDING BUSINESS PLAN UPDATE**

The Cabinet Lead Member for the Housing Development Company and oneSource Management, Councillor Ron Ower, introduced the report to Cabinet. Thanks were given to officers for their hard work on what has amounted to a huge project producing the MLH Business Plan for 2017.

MLH aims to provide a long term revenue stream as a return on investment to the Council. Since the inception of the property company a 65 unit scheme, Cathedral Court, has generated significant revenue for Havering. The objectives for the company remain the same and will ensure a mix of housing provision best suited to the needs of Havering.

It was noted that this was a very encouraging report and following general discussion,

Cabinet:

1. **Agreed** that the Leader of the Council after consultation with the Cabinet Member for Housing Company Development & oneSource Management, Director of Legal and Governance, the s151 Officer and the Director of Neighbourhoods and following completion of all due diligence will review and approve the detailed business plan and viability assessments relating to individual schemes within the business plan to enable them to proceed.
2. **Agreed** in principle to provide further capital funding to MLH up to a maximum of £58.45m in respect of North Street and Quarles projects through a combination of equity investment and state aid compliant loans. This expenditure to be met from the capital budget for Regeneration and Development within the Approved Capital Programme to be funded from prudential borrowing.
3. **Noted** the estimated gross income, capital financing costs and net income to be generated for the Council in relation to delivery of the MLH business plan as set out in section 7 of this report; and that subject to completion of due diligence, these sums will be used to update the MTFs prior to 2018/19 budget setting in February 2018.
4. **Agreed** that the Leader of the Council after consultation with the Cabinet Member for Housing Company Development & oneSource Management, the Director of Legal and Governance and the s151 Officer will agree the Heads of Terms of all loan agreements.
5. **Agreed** that the negotiation and finalisation of the loan agreements, provided they are broadly consistent with the Heads of Terms, and the decision to release funding subject to satisfactory financial due diligence,

be delegated to the Section 151 officer in consultation with the Director of Legal and Governance.

6. **Agreed** in principle to the disposal of assets (land/buildings) to MLH for best consideration except where it is possible for the Council to accept less than best consideration in which case the sum to be paid will be not less than market rate and delegate to the Director of Neighbourhoods, following consultation with the Director of Asset Management, the Director of Legal and Governance, and the Section 151 officer, authority to determine the principles and processes by which the said assets shall be disposed of and the terms of disposal.

7. **Delegated** to the Leader of the Council following after consultation with Cabinet Member for Housing Development Company & oneSource Management after consultation with Director of Neighbourhoods and the s151 Officer, the exercising of the Council's rights as shareholder to give effect to the above recommendations.

8. **Agreed** that the Council as a shareholder of MLH to the following changes to MLH's Board so it consists of the following Council officers, as well as an external unconnected individual who has relevant experience in the house building sector, alongside MLH's own staff:

- a. Mercury Land Holdings Development Manager
- b. Mercury Land Holdings Project Manager
- c. Mercury Land Holdings Finance Officer
- d. Chief Executive London Borough of Havering (Managing Director of MLH)
- e. Head of Property Services, oneSource.
- f. Independent expert with experience in the sector

5 **BRIDGE CLOSE - BUSINESS PLAN AND JOINT VENTURE PARTNERSHIP AGREEMENT**

The report before Cabinet introduced by the Leader, Councillor Roger Ramsey detailed the regeneration of Bridge Close and the approval sought to establish a Limited Liability Partnership to deliver the scheme which will include a school, health centre and affordable housing.

The objective is to secure comprehensive regeneration in an area which currently consists of poor, dated housing and light industrial units. The site is bordered by the River Rom to the east and the railway to the north. The ring road is on both other sides and this has created an island effect. The east west link in particular, will benefit the regeneration of the whole of west Romford.

A number of options for the regeneration had been considered. The proposed JV LLP will be set up for the specific purpose of developing the Bridge Close site to meet the Council's regeneration objectives. The London Borough of Havering and First Base BCR will each have a 50% membership with the Council retaining the freehold of the entire site.

It is anticipated that a planning application will be submitted mid-2018. The key outcomes based on current modelling are envisaged to be:

- 1,070 new homes (including at least 30% affordable homes);
- a 3 form entry primary school;
- a local health facility;
- commercial floor space, likely to be flexible workspace and small retail/ leisure;
- a new pedestrian and cycle bridge from Bridge Close to near Romford station;
- environmental improvements to the River Rom; and
- a site of religious worship (on or off-site).
- Support to the provision of ambulance service facilities to serve the Havering area.

This will form an important part of the masterplan to regenerate central Romford and generate much needed housing.

As well as being an investor, First Base Limited will provide project and developmental management services to the JV LLP via the Development Management Agreement.

The business will be brought to Cabinet for approval each year and Saville's will provide a guarantee in respect of First Base. Compulsory purchase will be invoked and will give rise to a very generous compensation package and officers will now move to finalise this.

The legal and financial framework will go to Council in February, 2018.

Following discussion,

Cabinet:

1. **Approved** the inclusion of the scheme with a budget of £75.1m within the proposed capital programme that will be considered by Cabinet in December 2017 and recommended to Council for final approval in February 2018.
2. **Noted** that a further report addressing the governance framework and staff resources required to develop and deliver the Bridge Close scheme and other economic development schemes will be presented for consideration and approval by Cabinet in December 2017.
3. **Authorised** the Head of Procurement to publish a Voluntary Ex Ante Transparency notice in the Official Journal of the European Union in

respect of the appointment of First Base Bridge Close Regeneration LLP as development partner

4. **Agreed** to waive the Contract Procedure Rules and Contract Standing orders to the extent necessary to give effect to these decisions.

Subject to the approval of the required budget and funding at recommendation 1 above, that Cabinet:

5. **Agreed** to establish a Limited Liability Partnership for the purpose of meeting the Council's regeneration objectives for Bridge Close by entering into a Members' Agreement with First Base Bridge Close Regeneration LLP (company registration number OC413480 (and called FB BCR LLP)) on the basis of the appended Business Case and the Legal Summary appended to the exempt agenda report.
6. **Delegated** to the Leader, after consultation with the Deputy Leader and Director of Neighbourhoods, the authority to agree the name of the JV LLP, negotiate the final detailed terms of the agreements being entered into, and authority to agree that the Council enter into the following agreements:
 - Members' Agreement;
 - Land Agreement;
 - CPO Indemnity Agreement;
 - Any ancillary agreements or documents necessary to give effect to the setting up of the JV LLP in accordance with this Report and its appendices (all as described in the Legal Summary appended to the exempt agenda report).
7. **Authorised** the JV LLP to enter into the Development Management Agreement with First Base Ltd (company registration number 04541136) when in agreed form.
8. **Delegated** to the Leader, after consultation with the Director of Neighbourhoods, authority to agree the terms of the Development Management Agreement referred to in recommendation 7 on behalf of the Council as Member of the JV LLP established in accordance with recommendation 5.
9. **Delegated** to the Leader, after consultation with the Director of Neighbourhoods, authority to approve the first Business Plan of the JV LLP on behalf of the Council.
10. **Delegated** to the Deputy Leader, after consultation with the Director of Neighbourhoods, authority to approve the consultation and communication plans for the regeneration of Bridge Close.

6 **UPDATE ON THE SPORT & LEISURE MANAGEMENT LTD (SLM) CONTRACT AND FINANCIAL IMPLICATIONS.**

Councillor Melvin Wallace, Cabinet Lead Member for Culture and Community Engagement detailed the report to Cabinet. In 2016, Cabinet agreed to award the Council's Sports and Leisure Management Contract for a period of 20 years, from 1st October, 2016, to Sport and Leisure Management Ltd.

This award of contract included investment in new health and fitness facilities at Central Park Leisure centre, the building of a new Hornchurch Sports Centre the operation of the new Sapphire Ice and Leisure and delegated responsibilities to Officers to negotiate a variation to the contract for the operation of Chafford Sports Complex subject to the costs to the Council being mitigated as far as possible. This also included future investment in the Noak Hill Sports centre as a part of the overall contract.

The contract was awarded following a full competitive tendering process. The new state of the art provision will generate a profit to the benefit of Havering Council Tax payers.

The report before Cabinet updated Members of the progress made during the first year of this contract and the resulting financial implications. The budget report will be before Cabinet again as an update in December, 2017 and approval will be sought at Council next week.

Cabinet:

1. **Noted** the progress made under the new contract with SLM;
2. **Noted** the updated revenue financial implications, for inclusion in the Medium Term Financial Strategy;
3. **Noted** that whilst the capital investment is planned to be financed from borrowing, the capital financing costs will be met in full from the net savings to be realised across the lifespan of the contract within the leisure service budget;
4. **Approved** a contribution of £2.111m from the Business Risk Reserve to set up an earmarked Leisure Contract Reserve that will be utilised to support the financial performance of the service until business maturity is achieved in 2023/24;
5. **Agreed** that all budget virements to and from Leisure Services budgets will be subject to approval by the s151 Officer or their representative for the duration of the contract to ensure the integrity of the overall financial model is maintained.

6. **Will recommend** to Council that the capital expenditure and proposed financing as set out within the Exempt Appendix Financial Implications in Table 5 in the report, is approved for inclusion within the Approved Capital Programme.

7 **SOCIAL CARE CASE MANAGEMENT SYSTEM PROCUREMENT**

The Cabinet Lead Member for Adult Social Care, Councillor Wendy Brice-Thompson presented the report to Cabinet, detailing the proposed replacement Social Care System. This will underpin improved social care practice, operational processes and case management. The current supplier announced it would be leaving the market by 2020 and a new award is Ofsted critical. The background to the current position was outlined. The existing system had been heavily criticised by Ofsted in an inspection of Children's Services and as the contract was due to expire a full tendering exercise was required which is detailed fully within the report presented.

Cabinet agreed an amendment to the recommendations represented in paragraph 4 below to give the correct title to the Cabinet Member **and:**

1. **Approved** the project implementation revenue budget of £3.348m (including supplier costs), to be financed from the Transformation Reserve.
2. **Approved** the award of contract for the supply and operation of an adults and children's social care case management system to the successful tenderer for a period of five years plus an option to extend for a further two years from 1st December 2017 at a total cost of £1.803m.
3. **Noted** that the Council will incur contracted annual costs of operation totalling £0.725m over the period of the contract in respect of maintenance and hosting. These costs will be met from social services base budgets
4. **Delegated** to the Chief Operating officer, in consultation with the Lead Member for Financial Management, Transformation and IT, the authority to enter into a contract with Supplier A for the provision of a fully hosted case management system.

Chairman

Cabinet

Subject Heading:

The Council's Medium Term Financial Strategy

Cabinet Member:

Councillor Roger Ramsey

SLT Lead:

Debbie Middleton
Chief Finance Officer (Section 151) officer

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Policy context:

The Council is required to approve an annual budget and Medium Term Financial Strategy and this report is the second in a series of reports within that process that will conclude with the Budget and Council Tax setting Council in February 2018.

Financial summary:

This report provides an update on assumptions within the Medium Term Financial Strategy approved by Cabinet in October. It sets out further budget proposals to achieve a balanced budget for 2018/19 and the proposed 5 year Capital Programme for approval to progress to consultation and scrutiny. The report also provides an overview of the proposed Business Rates Pilot Pool with effect from 2018/19 and the amendments to the Council Tax Discretionary Support Scheme Policy to support care leavers

Is this a Key Decision?

Yes

Is this a Strategic Decision? Yes

When should this matter be reviewed? January 2018

Reviewing OSC: Overview & Scrutiny Board

The subject matter of this report deals with the following Council Objectives

Communities making Havering	[X]
Places making Havering	[X]
Opportunities making Havering	[X]
Connections making Havering	[X]

SUMMARY

Cabinet approved the Council's Medium Term Financial Strategy (MTFS) and initial proposals for balancing the 2018/19 budget to go to consultation where necessary at its meeting on 20 October 2017.

This report:

- Provides an update on the policy and strategic context and assumptions within the MTFS, the forecast budget gap and in year performance; (section 1 & 2)
- Budget Risks (section 5)
- Provides an overview of the proposed London Business Rate Pilot Pool in advance of a further report in January that will seek Cabinet approval for LB Havering to join the Pool with effect from 2018/19 for a period of up to two years following finalisation of the deal with Government; (section 3)
- Presents for consideration and approval, further proposals for balancing the 2018/19 revenue budget (section 6);
- Presents for consideration and approval the proposed 5 year Capital Programme together with an assessment of the Treasury Management position. (section 8)
- Presents for approval amendments to the Council Tax Discretionary Policy to support care leavers on low incomes discharge their council tax liability (section 4).

Subject to Cabinet approval, the further revenue budget proposals and proposed Capital Programme will progress to Scrutiny and consultation as required prior to inclusion in the final proposals to be considered for approval by Council in February 2018.

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The Council is required by statute to set a balanced budget for 2018/19 and to have a robust plan in place to achieve financial balance over the medium term. The revised assessment of the medium term financial forecast is based upon the best information available at this time. Assumptions will be continually reviewed and refined as work progresses in the period to final budget setting in February 2018. Table 1 sets out the updated budget gap over the period.

Table 1 - Forecast Budget Gap.

Table 1 Breakdown of Movement	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m	2022/23 £m	5 Year Plan
Gap at October Cabinet	5.594	6.396	14.274	2.524	3.577	32.364
Further Savings December	(0.588)	(0.802)	0.000	0.000	0.000	(1.390)
Growth Proposal December	1.080	0.000	0.000	0.000	0.000	1.080
Adjustment - December	(2.096)	0.942	0.013	0.013	0.014	(1.114)
Movement October to December	(1.604)	0.140	0.013	0.013	0.014	(1.424)

The £1.424m (£1.604m in 2018/19) movement in the budget gap since the October cabinet figure is due to further savings proposals of £1.390m over the period of which £0.588m relate to 2018/19; growth proposals to address service demand pressures total £1.080m all relating to 2018/19; and other net adjustments of £1.114m of which £1.604m relate to 2018/19.

No alternative budget proposals from the Overview and Scrutiny Board or Opposition Groups were received by the Chief Finance Officer or Principal Democratic Services Officer by the deadline of 3 November 2017 to enable their consideration within this report prior to approval to progress to scrutiny and consultation through the remainder of the budget process.

At period six the forecast outturn position for service directorates and oneSource is £135.500m resulting in a forecast overspend of £4.357m (3.32%), as set out in section 2 below. The uncommitted Corporate Risk Budget and Corporate Contingency budgets stand at £6.500m to enable the overall outturn to be achieved within the approved budget for 2017/18. However, in light of the forecast reduction in these corporately held budgets in 2018/19, it is essential for financial sustainability over the medium term, that service directorates manage their ongoing expenditure within approved budgets.

The Senior Leadership Team continues to focus upon delivering mitigating action plans and previously agreed savings plans and exercising restraint on non essential expenditure. A further update will be provided to Cabinet in January.

The Capital Programme is presented in section 8 and lays the foundations for longer term investment in the delivery of the Council's corporate objectives and the achievement of financial balance over the Medium Term.

The report provides the overview of the proposal to join the London Business Rate Pilot Pool from 1 April 2018 for a period of up to 2 years. Based upon current forecasts, LB Havering will potentially benefit from the pool by between £0.900m to

£2.500m in relation to 2018/19 business rate growth which will be confirmed in October 2019. Further details are set out in section 3.

The report presents for Cabinet approval, proposed amendments to the Council Tax Discretionary Policy to support care leavers on low incomes to discharge their council tax liability. Through the Council Tax Support Scheme, the Council is assisting approximately 50 care leavers who live independently but on low incomes discharge up to 85% of their Council Tax liability.

RECOMMENDATIONS

That Cabinet is asked to:

1. **Note** the updated national financial context for local government, in year financial performance and the projected budget gap over the period 2018/19 to 2022/23 as set out in section 1 and the period 6 forecast position set out in section 2.
2. **Note** the assumptions which underpin the forecast and that further updates will be provided as further information becomes available in the build up to the budget setting in February 2018.
3. **Note** the update on the proposed London Business Rate Pool Pilot and that this will be presented to Cabinet for a decision in January 2018.
4. **Approve** additional savings proposals of £1.390m of which £0.588m relate to 2018/19 for consultation where necessary as set out in section 6 and Appendix B.
5. **Approve** growth proposals of £1.080m, all of which relate to 2018/19 for consultation where necessary as set out in section 6 and Appendix B.
6. **Approve** the proposed 5 year Capital Programme for consultation and scrutiny as required as set out in section 8
7. **Note** the updated Treasury Management position arising from the proposed Capital programme and that an updated Treasury Management Strategy will be presented in January (section 8)
8. **Approve** the amendment to the Council Tax Discretionary Policy to include supporting care leavers set out in section 4.
9. **Note** the timetable and process for developing, reporting and considering the 2018/19 budget and MTFs as set out in section 7 which will include consideration and approval of the Council Tax Support Scheme in January 2018.

REPORT DETAIL

1. Policy and Strategic context

1.1 This report provides an update on the policy and strategic context and assumptions, in year financial performance and budget gap within the MTFS approved by Cabinet in October.

1.2 The Chancellor delivered the Autumn Budget on the 22 November 2017. In addition to the usual updates on the performance of the economy and the state of the public finances, the Chancellor made a number of key policy announcements relating to local government, namely; London business rates retention pilot, Business Rates RPI to CPI indexation, Business rates revaluations, Council Tax, Housing investment, HRA borrowing cap, Grenfell Tower and NHS. Further details provided in section 1 below.

At this stage, it is too early to confirm what the exact impact on local government will be. An update will be provided to Cabinet at the meeting on 13 December. In January, Cabinet will be presented with a further update report following the publishing of the Provisional Local Government Finance Settlement which is due before the end of December.

1.3 There are consultations out at the moment from the DCLG and CIPFA proposing changes to the prudential framework for capital finance, local government investments and statutory guidance on the Minimum Revenue Provision which is associated with capital expenditure financed by borrowing. These proposed changes could impact on the Council's use of borrowing via the Public Works Loans Board (PWLB), which would impact on our future capital investment plans including both regeneration and commercially driven investment.

1.4 The October Cabinet report indicated that a number of the Council's funding streams were subject to further review. These included:

- Business Rates
- Impact of the London Business Rates Pool Pilot
- Council Tax Base and Level
- Better Care Fund and Improved Better Care Fund
- New Homes Bonus
- Education Services Grant
- External Borrowing

1.5 The update on these areas are set out below and are reflected where relevant in the revised forecast:

Business Rates

1.6 The future direction for national business rates policy remains uncertain. However, the Chancellor announced that;

- Government has agreed a pilot of 100% business rates retention in London in 2018-19. The Greater London Authority (GLA) and London boroughs will come together to form a pool and invest revenue growth strategically on a pan-London basis.
- The autumn budget confirmed the planned switch from RPI to CPI inflation will be brought forward to April 2018 (2 years earlier than planned). Nationally, this will cost £770m and £2.3bn over the first 2 and 5 years respectively. Local government will be “fully compensated” for the loss of income.
- Furthermore, the Chancellor confirmed, the £1,000 business rates discount for public houses will be extended by one year to March 2019. Local government will be “fully compensated” for the loss of income.
- The frequency of revaluations will move to three years following the next revaluation, currently due in 2022. A consultation on implementation is due in the spring.

Further clarity on the national business rates policy may be included in the Provisional Local Government Settlement expected in December.

The London Pilot and the impact of the pilot

- 1.7 At the London Council’s Leaders’ Committee in October the establishment of a London Business Rates Pilot Pool for 2018/19 was agreed in principle. It was agreed that all authorities would receive at least as much from the pool as they would have under the existing 50% retention scheme. Further details are set out in section 3.

Council Tax

The Autumn budget confirmed the power to raise empty homes premium will be doubled from 50% to 100% from April 2018. Based on current data, a further 50% premium is expected to generate additional £0.120m. This additional income has therefore been incorporated into the forecast budget figures.

Council Tax Base

- 1.8 The Council tax base growth assumptions of £0.980m (0.89%) increase remains as predicted at the October Cabinet. The review of properties to come into rating indicates that there is no scope to increase this estimate further for 2018/19. Further due diligence review is underway to ensure the assumption remains realistic so there is still a risk associated with achieving the current assumed levels.

Council tax level

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- 1.9 The Council tax level will be reviewed as part of the budget report to February 2018 cabinet and council.

Better Care Fund and Adult Social Care Grant

- 1.10 No further update has been provided with regards the Better Care Fund and Adult Social Care Grant; pending the Local Government Finance Settlement. On the 16th October 2017, the Government announced that the Adult Social Care Green paper will now be published in summer 2018 and not autumn 2017 as had been initially announced. In the coming months, Government will engage with Local Government and the NHS, voluntary sector and care providers as well as service users to develop the Green Paper which will then be subject to full public consultation.

New Homes Bonus

- 1.11 Further financial modelling is being carried out by officers on income projections receivable by the Council over the medium term period to take consideration of the local delivery plan expectations, the regeneration schemes underway along with planning permissions granted. There is also the risk to new homes bonus if planning applications are granted on appeal. No growth potential over and above current estimates has been included in the budget calculations, pending the Local Government Finance Settlement. Further updates will be provided in the January and February Cabinet reports.

Housing Investment

- 1.12 In the Autumn Budget, the Chancellor announced an additional £15.3 billion of new financial support will be made available creating a total of at least £44 billion of capital funding over the next five years (including grant, loans and guarantees) to support the target of 300,000 net additional homes per year by mid-2020s. Local authorities in areas of high demand will be invited to bid for increases in their HRA borrowing caps from 2019-20, up to a total of £1 billion by the end of 2021-22. It is unclear at this stage which local authorities are included in this category.
- 1.13 Other Housing investment announcement included in the Autumn Budget include;
- Local authorities are required to undertake essential fire safety works. Councils should contact DCLG if they cannot afford to undertake essential work.
 - Government will increase the Targeted Affordability Fund by £125 million (£40 million in 2018-19 and £85 million in 2019-20) in areas of greatest pressure.
 - Government will proceed with a £200 million largescale regional pilot of the Right to Buy for housing association tenants in the Midlands.
 - Government will provide £20 million of funding for schemes to support people at risk of homelessness to access and sustain tenancies in the private rented sector.

The impact of the above to LB Havering is yet to be known. Subject to its publication a verbal update will be provided to Cabinet at the meeting on 13 December with a further update report presented to Cabinet in January following the publishing of the Provisional Local Government Finance Settlement which is due around the middle of of December.

Education Services Grant (ESG)

- 1.14 The ESG general funding rate was reduced from an initial £116.46 per pupil in 2013/14, to £87 in 2015/16, £77 in 2016/17 and £66 per pupil for the period April 2017 to August 2017 and then it ceased from September 2017. An additional £15 per pupil is allocated to LAs for retained duties regardless of whether the pupils are on the roll of a school or an academy and this has now been moved into the Dedicated Schools Grant (DSG).
- 1.15 The Schools Funding Forum has recognised that some of the costs of the education services relate to services provided to LA maintained school (e.g. accounting and audit services) and have therefore agreed to a contribution of £19.89 per pupil from their delegated budgets for financial year 2018/19. This will amount to £0.322m. In addition, the Forum has agreed that the £0.589m that is now funded from the DSG rather than the ESG may be retained by the LB Havering to meet the costs of its statutory duties.
- 1.16 In financial year 2018/19 the shortfall in funding after taking into account the contribution from schools is £0.835m. This is calculated as follows:

Table 2 – Shortfall in funding	£m
Service costs after £590k saving in 2017/18	1.746
DSG for LA central duties	(0.589)
Contribution from schools	(0.322)
Shortfall	0.835

- 1.17 The intention is to manage the shortfall in funding as part of the ongoing transformational review of the service. The service will come forward with longer-term proposals for implementation from September 2018, aimed at minimising the future funding gap. In the meantime, a contribution from the reserves held to support the investment in education traded services will be used to supplement the funding already earmarked corporately to cover the shortfall shown above

2. 2017/18 Financial Monitoring

- 2.1 The 2017/18 original net budget as agreed by Full Council in February 2017 was £156.369m. At period six after adjusting for grant re-allocation and in-year inter-directorate budget virements, the revised net controllable budget is £165.037m.

This total net controllable budget reflects the combination of corporate budgets and service expenditure budgets. Within this sum, the Service Directorate and oneSource budgets reflect the core operational spend of the Council. The

forecast outturn position on these budgets is £135.500m resulting in a forecast overspend of £4.357m (3.32%), as set out in table 3 below.

Table 3 - Forecast outturn and variances at Period 6	Original Budget	Revised Budget	Forecast Outturn	Forecast Outturn Variance	
	£m	£m	£m	£m	%
Public Health	(0.300)	(0.308)	(0.308)	0.000	0.00
Children's Services	32.502	35.683	37.496	1.814	5.08
Adult Services	55.021	52.797	52.797	0.000	0.00
Neighbourhoods	12.394	14.249	14.646	0.397	2.78
Housing	1.356	2.658	4.225	1.567	58.96
oneSource Non-Shared	0.735	1.797	1.831	0.034	1.89
Chief Operating Officer	7.154	6.865	7.069	0.204	2.98
SLT	1.019	1.307	1.307	0.000	0.00
oneSource shared	14.788	16.096	16.436	0.341	2.12
Service Total	124.669	131.143	135.500	4.357	3.32

2.2 The uncommitted Corporate Risk Budget and Corporate Contingency budgets stand at £6.500m to enable the overall outturn to be achieved within the approved budget for 2017/18. However, in light of the forecast reduction in these corporately held budgets in 2018/19, it is essential for financial sustainability over the medium term, that service directorates manage their ongoing expenditure within approved budget.

2.3 The principal variances underlying the period six forecast rest in the Children's, Neighbourhood and Housing Services. Due to continued demand pressures in Children's, Housing Demand in relation to Private Sector Leased (PSL) properties and Homelessness. SLT are focussed upon the delivery of mitigation and savings plans and general restraint on non essential expenditure to manage the outturn within budget by the end of the financial year. A further update will be provided in January together with updated mitigation plans from service directorates where relevant.

2.4 The material forecast variances at period six relate to:

Neighbourhoods - £0.397m forecast overspend

Neighbourhoods is experiencing financial pressure within year due to a number of delayed savings and other in year pressures which are being mitigated by the generation of additional income being generated in excess of budget.

Housing Services - £1.567m forecast overspend

The financial pressure in the Housing services predominantly in the homelessness demand pressures. Cost of prevention options are being used to minimise pressure.

Children's Services - £1.814m forecast overspend

Children's Service is experiencing in year one off overspends on placements for looked after children, permanent placement allowances, fostering and asylum seekers adoption costs and agency staff costs. In addition there are base budget pressures on SEN Home to School transport, SEND costs and placements for children with disabilities.

These are offset by underspends in fostering staffing cost and an inflation provision allocation for Children's Social Services. There are some financial pressures in relation to a number of delayed savings for which alternatives are being sought, alongside the ongoing transformation work.

Children's Directorate is currently reviewing the Financial Recovery Plan with a view that the service will return to overall budget balance in 2018/19, assisted by the demographic growth money already included within the MTFS. A further update will be provided in January.

3. London Business Rate Pool Pilot

- 3.1 The overview of the proposed pilot for London was reported to Cabinet in October. On 10 October 2017, the Leaders' Committee for London agreed in principle to go forward with establishing a pan-London Business Rates Pool to pilot 100% retention of business rates growth in 2018-19 for a period of up to two years.
- 3.2 The Committee considered a number of options for distribution and agreed to delegate the task of finalising a proposition (including the basis for redistribution of any net financial benefit of business rate growth) to the Chief Executive in consultation with London Councils' elected officers, for negotiation and agreement with the Mayor and with Government.
- 3.3 Final agreements to enter a pilot pool, and the way in which it would operate, will be subject to formal decisions by each individual authority. It is proposed to present to Cabinet in January the agreement for the London Borough of Havering's participation in the London Pilot on the basis of the scheme agreed by the Elected Officers of London Leaders, following confirmation of agreement with Government. It remains the case that unanimous support will be required for the pilot to proceed.
- 3.4 The Government's policy intentions with regard to 100% retention of business rates still remain unclear following the General Election.
 - a) The Pool principles are set out in the draft prospectus circulated in September and reported to Leaders' Committee in October remains the same. These principles are summarised below;
 - I. The pool would be voluntary, but include all London authorities;
 - II. London would retain a greater share of business rates in exchange for Revenue Support Grant;
 - III. a "no detriment guarantee" would ensure that the pool could not be worse off than the participating authorities would have been collectively if they had not entered the pilot pool;

- IV. No “new burdens” would be transferred to London and participation in the pilot would not affect the development or implementation of the Fair Funding review (currently anticipated in 2020/21).
 - V. Public Health and Improved Better Care Fund grants would not be rolled in initially, but there are plans to include them if all parties were to agree to continue a pilot into 2019/20.
- b) Modelling of the pooling scenarios – the Elected Officers of London Leaders agreed a proposal based upon the distribution of business rates growth using four drivers for distribution, weighted as follows:
- **Incentivising growth** (by allowing those boroughs where growth occurs to keep some proportion of the additional resources retained as a result of the pool) (15%)
 - **Recognising the contribution of all boroughs** through a per capita population allocation (35%)
 - **recognising need** through the needs assessment formula (35%) and
 - **Facilitating collective investment** through an investment pot designed to promote economic growth and lever additional investment funding from other sources (15%).
- c) Governance of the strategic investment pot: The pot would be dedicated to projects that contribute to the sustainable growth of London’s economy, and which attract match funding from other private or public sources. Following legal advice, decisions would be taken formally by a lead authority in consultation with all member authorities. These decisions are expected to be taken bi-annually.
- 3.5 The Minister for Local Government has indicated that the investment pot should constitute a substantial proportion (c50%) of the growth distribution. This proposal is predicated on the assumptions that the Government will view the share that goes to the GLA as contributing towards the investment pot.
- 3.6 London Councils have developed their modelling to illustrate the impact of the distribution methodology on individual Boroughs. It is based upon a survey of London Boroughs’ expected growth undertaken in the summer of 2017 which forecasts aggregate growth for London at 6.1%, thus generating a ‘growth pot’ of circa 240m – this is the growth pot to be distributed. However, it is important to recognise that actual growth may vary and could be more or less. For example, if growth in 2018/19 followed a trajectory based upon actual aggregate growth in London between 2013/14 and 2017/18 at 2.2%, the size of the growth pot may be circa £87.5m
- 3.7 Table 4 below, summarises the estimate range of the potential growth pot, the potential share for the London Borough of Havering, together with the overall allocation of to London Boroughs, the GLA and the Investment Pot.

Table 4 - Assumptions used		Range of forecast	
Estimated LB Havering Growth		3.40%	6.80%
Expected London Growth		2.20%	6.10%
Assumed growth distribution pot		£88m	£240m
Distribution Pot	Distribution Ratio	LBH Share	LBH Share
	%	£m	£m
Incentives	15	0.10	0.19
SFA	35	0.30	0.74
Population	35	0.60	1.52
Investments	15		
Net benefit to LB Havering		0.90	2.46
From London Council modelling		£m	£m
Minimum borough gain (£m)		0.60	1.70
Maximum borough gain (£m)		2.60	8.20
Spread over boroughs (£m)		2.00	6.50
London Boroughs - Total		47.50	130.30
GLA		26.90	73.90
London subtotal		74.40	204.30
Investment pot		13.12	36.00
London Total incl. Investment Pot		87.50	240.30

- 3.8 Havering's share of growth in 2018/19 may range between £0.9m and £2.5m based upon these assumed levels of growth. The administrators of the pool will use annual Business Rate Returns (the NNDR 1 and NNDR3 returns) to establish the schedule of payments to be made and the actual reconciliation of the amounts due. The final reconciliation and confirmation of the distribution of growth due to all Boroughs will be after the accounts and returns for the financial year have been audited i.e. October 2019 in relation to 2018/19.
- 3.9 Therefore, whilst the London Business Rate Pool Pilot is expected to generate an additional revenue funding stream through a share of growth for Havering in relation to 2018/19, this will not be known with sufficient certainty to enable this growth to be incorporated prudently into the base budget for 2018/19. Following confirmation of the growth around October 2019 (i.e. 2019/20), this funding will be fed into the development of the MTFs for 2020/21, with one off funding potentially available in 2019/20.
- 3.10 For Boroughs in an existing pool, DCLG have indicated that the basis of comparison would include the income due from that pool. London authorities in an existing pool include Barking & Dagenham, Havering and Croydon. London Borough of Havering is currently in a pool with Thurrock unitary, Basildon district, and the London Borough of Barking and Dagenham since 2014.
- 3.11 Impact of Government changes this year means that we are not able to remain in existing pool for 2018/19 due to the drive for the London Pilot Pool with

London Boroughs being restricted to the London Pilot as their first option for a pooling arrangement. Estimated growth for 2016/17 and 2017/18 on winding up the existing pool, currently estimated at £0.500m for 2016/17 and 2017/18, will be brought into 18/19 budget on a one off basis. Under the “no worse off” agreement enshrined in the London Pool pilot, it is assumed that this benefit will continue into the year of the pilot, so this assumption has been continued with £0.500m being included for the financial year 2018/19 pool.

4. Local Authority Care leavers and Council Tax

- 4.1 The Council is seeking to create a culture of corporate parenting to enable care leavers to experience the stability and support they need to progress confidently into independent lives. This approach follows the Department for Education’s cross-government care leaver strategy, Keep on Caring. The Council are supporting approximately 130 care leavers.
- 4.2 Through the Council Tax Support Scheme, the Council is assisting approximately 50 care leavers who live independently but on low incomes discharge up to 85% of their Council Tax.
- 4.3 Further financial assistance to care leavers up to the age of 25 years, to cover the remaining 15% of the council tax liability, could be provided through the Council Tax Discretionary Reduction Policy.
- 4.4 Subject to Cabinet approval of this report, it is intended to implement the proposals by the 1st January 2018. The estimated cost to Collection Fund of discretionary payment to care leavers for up to 7 years is shown below
- 4.5 The table sets out the potential impact on the Collection Fund using the maximum increase in council tax as an illustration of the maximum increase. I.e. Council Tax (1.99% and 2% ASC precept in each year. The actual cost will depend upon future decisions on the level of council tax and ASC precept.
- 4.6 The starting point is a £220 cost to the Collection Fund per annum in Year 1 per care leaver assuming 50 carer leavers per year. The approximate additional cost to the Collection Fund would increase by year seven to £0.097m and stabilise at that figure assuming the number of care leavers living independently remained at 50 each year.

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8
Number of Carer Leavers	50	100	150	200	250	300	350	350
Cost per care leaver (£)	220	228.78	237.91	247.4	257.27	267.53	278.21	278.21
Cumulative Cost (£m)	0.011	0.023	0.036	0.049	0.064	0.080	0.097	0.097
Incremental Cost (£m)	0.011	0.012	0.013	0.014	0.015	0.016	0.017	0.000

- 4.7 Members are asked to note the financial impact on the Collection Fund and approve the changes to the Council Tax Discretionary Policy attached at Appendix D.

5. Budget Risk

- 5.1 The DCLG is currently consulting on proposed changes to the prudential code for capital finance, including consideration of statutory guidance on local authority investments and the minimum revenue provision required. The scope of this review covers aspect of the Council's Capital Programme and the impact of borrowing and investments on the Councils MTFS. The closing date for the consultation is 22 December 2017 and could lead to changes to the prudential code, the way the impacts of borrowing and investments are calculated within the MTFS and the way the council finances its capital programme. The potential impacts cannot yet be quantified but the results of the consultation will be assessed as we move forward with the budget process. However, the outcomes may not be fully understood by the time the Provisional Local Government Finance Settlement is announced in December.

- 5.2 The risk from the challenge facing the council from Homelessness Reduction Act and the in year budget pressures being managed was highlighted in the October cabinet report. The work on the regeneration of the housing estates over the forthcoming MTFS period is being carried out within this context and being carefully managed to ensure the best transition for tenants and the most efficient, cost effective way for the council. This work is also considering the impact on the temporary accommodation and private sector leasing within the borough.

6. Further Proposals for Savings and Growth

- 6.1 Tables 6 and 7 show the impact of further growth and savings proposals and other adjustments since the October report.
- 6.2 Table 6 shows the cumulative budget gap before any 2017/18 proposals as reported in October was 41.996m. This will reduce to £41.962m over the period and £8.132m in 2018/19, if December growth proposals are approved and due to other movements in the forecast. Subject to both October and all December savings proposals being approved, the budget gap over the period to 2022/23 is forecast to be £30.940m, of which £3.990m relates to 2018/19.

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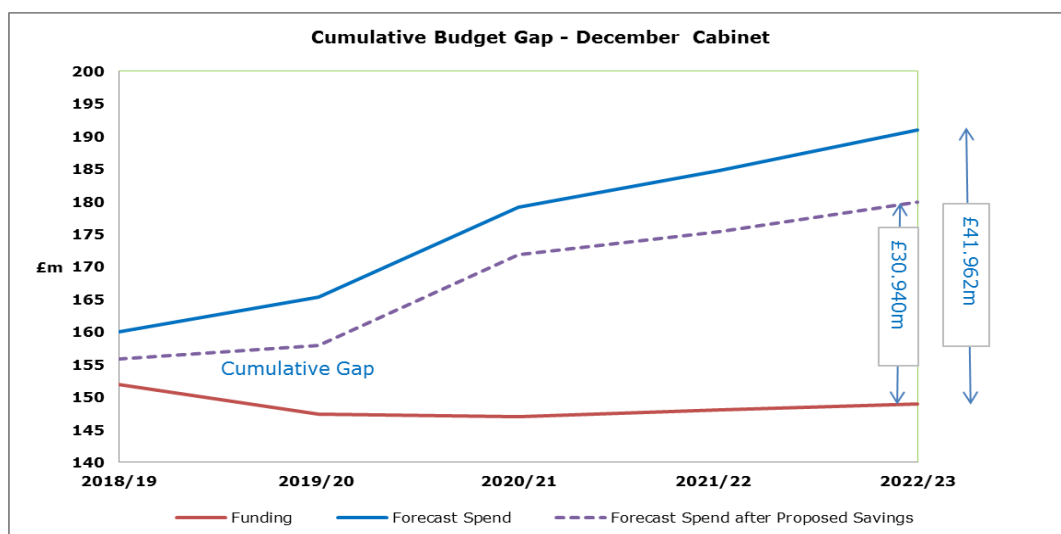
Table 6 – Movement in Forecast spend October to December	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m	2022/23 £m	5 Year Plan
Budget Gap October before Savings	9.148	8.848	14.177	4.657	5.166	41.996
New Growth Proposal December	1.080	0.000	0.000	0.000	0.000	1.080
Adjustment December	(2.096)	0.942	0.013	0.013	0.014	(1.114)
Forecast Spend - December	8.132	9.789	14.190	4.670	5.180	41.962
October Savings Proposal	(3.554)	(2.451)	0.097	(2.135)	(1.589)	(9.632)
Further Savings - December	(0.588)	(0.802)	0.000	0.000	0.000	(1.390)
Forecast Budget Gap - December	3.990	6.536	14.287	2.536	3.591	30.940

6.3 Table 7 shows the net savings after taking account of growth proposals and other adjustments of £1.424m over the period of which £1.604m relates to 2018/19.

Breakdown of Movement	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m	2022/23 £m	5 Year Plan
Further Savings December	(0.588)	(0.802)	0.000	0.000	0.000	(1.390)
Growth Proposal December	1.080	0.000	0.000	0.000	0.000	1.080
Adjustment - December	(2.096)	0.942	0.013	0.013	0.014	(1.114)
Total Movement	(1.604)	0.140	0.013	0.013	0.014	(1.424)

6.4 Figure 1 below illustrates the revised forecast cumulative budget gap over the 5 year period to 2022/23 based upon the assumptions set out in the remainder of the report in relation to expenditure pressures and future funding streams:

Figure 1- Cumulative Budget Gap – December



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- 6.5 The forecast is based upon a number of key assumptions as reported in October cabinet report and updated to take account of rebasing on all inflation assumptions.
- 6.6 Cabinet approved total savings of £9.632m including £3.554m in 2018/19 at its meeting in October. These are summarised in appendix A. Further net savings proposals totalling £1.390m of which £0.588m relates to 2018/19 are presented in Appendix B.
- 6.7 Table 8 summarises the total of all December growth and saving proposals by directorate.

Directorate	2018/19	2019/20	2020/21	2021/22	2022/23	Total
	£m	£m	£m	£m	£m	£m
Neighbourhoods	0.150	0.000	0.000	0.000	0.000	0.150
Chief Operating Officer	(0.288)	(0.102)	0.000	0.000	0.000	(0.390)
oneSource	0.630	(0.700)	0.000	0.000	0.000	(0.070)
Corporate	0.000	0.000	0.000	0.000	0.000	0.000
Children's Services	0.000	0.000	0.000	0.000	0.000	0.000
Total	0.492	(0.802)	0.000	0.000	0.000	(0.310)

- 6.8 Table 9 below summarises all December growth and saving Proposals by Type over the period 2018/19 to 2022/23.

Type of Proposal	2018/19	2019/20	2020/21	2021/22	2022/23	Total
	£m	£m	£m	£m	£m	£m
Savings	(0.588)	(0.802)	0.000	0.000	0.000	(1.390)
Growth	1.080	0.000	0.000	0.000	0.000	1.080
Total	0.492	(0.802)	0.000	0.000	0.000	(0.310)

- 6.9 The Government recognised the undue financial pressure that the new system for distributing the national reductions to Revenue Support Grant across local authorities placed on a number of local authorities. LB Havering has received Transition Grant in 2016/17 and 2017/18 to address the perverse reduction in its RSG following Government changes to the distribution of RSG in 2016/17. Given the delay in implementing the Fair Funding Review and progress on implementing 100% Business Rate Retention, Officers have responded on the technical consultation on the LG Finance Settlement 2018/19 to request that this funding continues in 2018/19 and 2019/20 until the new national funding arrangements are in place. It is expected that the position on Transition grant will be clarified as part of the forthcoming Local Government Finance Settlement in respect to all funding matters.

7 Timetable and approach for Budget Setting

SLT are continuing to work to develop further budget proposals for consideration by Cabinet as follows

- January Cabinet:
 - Update on financial assumptions following the Provisional Local Government Finance Settlement
 - Further consideration of measures to balance the budget
 - Consideration and approval of the proposal for Havering to join the London Business Rate Pool Pilot from 2018/19
 - Consideration and approval of the Council Tax Support Scheme for 2018/19.
- January Scrutiny Board
 - Review and Challenge of Cabinet approved proposals
 - Further update on financial assumptions
- February Cabinet
 - Final budget and council tax proposals and results of consultation considered and approved to recommend to Council
 - Final consideration of Capital Programme including Housing Capital Programme and recommendation to Council
 - Final consideration of the Treasury Management Strategy and approved to recommend to Council
 - Consideration and approval of the Housing Revenue Account
- February Council
 - Council Tax Setting Report
 - Consideration and approval of reports recommended by February Cabinet

8 5 year Capital programme and Treasury strategy

- 8.1 The October Cabinet report referred to the review of the capital strategy and programme. The review has produced a profiled existing capital programme over the period to 2022/23 and confirmed that funding is available for that programme. Table 10 below includes a summary of the existing approved capital programme following that review.

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Table 10 - Summary of the existing approved capital programme by Service	2017/18 £m	2018/19 £m	2019/20 £m	2020/21 £m	Total £m
Children's Services		0.118			0.118
Learning & Achievement Service	0.477	0.060	0.020		0.557
Children's Services	0.477	0.178	0.020		0.675
Adults Services	1.417		0.181		1.598
Adults Services	1.417		0.181		1.598
Development	7.435	1.126	0.580	0.003	9.144
Environment	6.181	1.146	0.371		7.698
Regulatory Services	0.723				0.723
Neighbourhoods	14.339	2.272	0.950	0.003	17.565
Housing Services	0.889	0.573			1.462
HRA	45.745	8.457			54.202
Housing Services	46.634	9.029			55.664
Asset Management	45.611	27.115	17.762	0.464	90.951
ICT Services	1.215	0.500			1.715
oneSource	46.826	27.615	17.762	0.464	92.666
Bereavement Services - Cems & Cems	0.222	0.170	0.068		0.460
Culture & Customer Access	0.292	0.135	0.060		0.487
Policy & Performance Management		0.035			0.035
Chief Operating Officer	0.514	0.340	0.127		0.981
Contingency	0.716				0.716
Contingency	0.716				0.716
Efficiency Programme	6.465				6.465
Efficiency Programme	6.465				6.465
TOTAL CAPITAL PROGRAMME	117.388	39.434	19.040	0.467	176.329
Capital Receipts	30.968	11.894	1.254	0.003	44.119
Revenue and Reserve Contribution	44.471	4.375	0.020		48.866
Grants	32.087	22.102	17.073	0.464	71.727
Section 106	0.865	1.062	0.693		2.621
Prudential Borrowing	8.997				8.997
TOTAL FUNDING	117.388	39.434	19.040	0.467	176.329

8.2 There has also been a review of the future capital requirements undertaken across the business. A shortlist of proposals were considered by Capital Asset Management Group (CAMG), an officer level group established to give oversight and management of key processes around the capital programme and approvals. The schemes that have progressed through this officer level challenge are being consolidated into the draft capital programme to be presented for consideration as part of the budget process.

Table 11	CAPITAL EXPENDITURE						
Schemes with funding plans	2017/18 £m	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m	2022/23 £m	Total Capital Spend £m
- ECONOMIC DEVELOPMENT	10.172	10.473	75.419	43.717	24.925	12.541	177.247
- SLM	7.509	4.670	11.706	5.664	0.854	0.485	30.888
Externally funded bids	0.000	5.923	5.780	5.652	0.030	0.030	17.415
Provision within existing capital programme							
Efficiency Programme	0.000	1.715	1.950	2.800	0.000	0.000	6.465
Additional Funding	0.000	0.085	0.000	0.000	0.000	0.000	0.085
Total Efficiency Programme Bids	0.000	1.800	1.950	2.800	0.000	0.000	6.550
New Bids outside existing approved funded capital programme							
ICT BIDS - to link with IT strategy	0.000	1.000	1.000	0.620	0.620	0.620	3.860
CAMG ENDORSED PROJECTS and NEW PROJECTS	0.000	15.405	23.145	6.450	2.000	2.000	49.000
	17.681	39.271	119.000	64.903	28.429	15.676	284.960

Table 12	FUNDING					
Schemes with funding plans	Capital Receipts £m	Revenue and Reserve Contribution £m	Grants £m	Section 106 £m	Prudential Borrowing £m	Total £m
- ECONOMIC DEVELOPMENT	0.000	0.000	45.200	11.620	120.427	177.247
- SLM	0.000	0.000	0.000	0.000	30.888	30.888
Externally funded bids	0.000	0.000	17.415	0.000	0.000	17.415
Provision within existing capital programme						
Efficiency Programme	6.465	0.000	0.000	0.000	0.000	6.465
Additional Funding	0.085	0.000	0.000	0.000	0.000	0.085
Total Efficiency Programme Bids	6.550	0.000	0.000	0.000	0.000	6.550
New Bids outside existing approved funded capital programme						
ICT BIDS - to link with IT strategy	0.000	0.000	0.000	0.000	3.860	3.860
CAMG ENDORSED PROJECTS and NEW PROJECTS	1.345	0.126	31.800	0.285	15.444	49.000
	7.895	0.126	94.415	11.905	170.534	284.960

8.3 The schemes are split into 4 groupings

Schemes with funding plans

8.4 These schemes are proceeding through parallel funding approval routes, and are included in this report as part of the formal inclusion in the capital programme. The capital financing costs are included in the business cases which will be factored in their entirety into the MTFS. These include

a) Economic Development schemes

i) Bridge Close Regeneration

This scheme was approved for progression at Cabinet on 15 November 2017. The report included the corporate investments required in progressing the scheme, and identified the financing costs and funding streams to cover them. Inclusion in this programme ensures that the capital approvals are in place and the revenue impact is included in the MTFS. This includes the commitment to cover the shortfall of some £1.6m in the first 5 years of the programme from the Business Risk Reserve, with income generated for the GF over the later years of the scheme.

ii) Mercury Land Holdings business plan schemes

These proposals reflect the business plan intentions approved at Cabinet on 15 November 2017. Project business cases will be subject to Cabinet or delegated approval as set out in the report.

iii) Rainham – Beam Park Regeneration

This report is considered elsewhere on this December Cabinet. The inclusion in the capital programme going forward will be dependent upon the approval of these proposals by Cabinet.

b) SLM

i) This represents the inclusion of the contractual arrangements considered and approved by Cabinet on 15 November 2017. This includes the commitment to cover the shortfall of some £2.11m in the first 5 years of the contract from the business risk reserve, with these sums being paid back in later years of the contract. The revenue impact of the SLM contract will be included in the overall MTFS position of the council

Externally funded schemes

8.5 These represent the Highways and Local Infrastructure Plan schemes where funding is provided by Transport for London (TfL)

Provision within the existing capital programme

8.6 As part of the 2017/18 budget report to Council a sum of £5m was included in an Efficiency Pot to cover capital financing for invest to save schemes that generated significant revenue savings to the council. This was combined with the remaining invest to save capital provision and £6.465m is included in the existing capital programme as yet unallocated. The proposal is to allocate

these sums to fund the establishment of residential or semi independent living schemes within Children's and Adults services. This will support the service transformation work and enables innovative service delivery and is an essential enabling investment for revenue expenditure savings and/or reduction in service cost pressures as approved within the October Cabinet report.

New bids outside the existing approved capital programme

- 8.7 The final section of the proposed addition to the capital programme is the inclusion of new bids for capital funding. These schemes have been identified and considered in terms of a prioritisation including links to the corporate priorities, which will be developed within the capital strategy, ongoing asset maintenance requirements, ongoing programmes health and safety and statutory considerations. The summary expenditure proposals and the associated funding proposal can be seen in tables 12 and 13 and the details of the schemes by service can be seen in Appendix C.
- 8.8 The schemes are grouped into 2 categories;
- a) ICT – infrastructure, improvement and resilience- funding required to manage and sustain the council's ICT infrastructure.
 - b) CAMG endorsed core capital programme requirements and new schemes. These schemes can be seen in Table 12 and 13 and in detail in Appendix C summarised across each directorate.
- 8.9 The significant schemes by Directorate and relevant assumptions are outlined below;
- a) Children's – Schools expansion programme
It is assumed that this will be funded from the basic needs or other grant funding made available to the council. The potential use of s106 funding is also to be scrutinised to ensure best use
 - b) Neighbourhoods – Footway and Carriageway Resurfacing
This is the ongoing programme of capital repairs and includes an additional sum in 2018/19 for repairs to street lighting. Going forward this will be funded from borrowing.
 - c) Schools capital maintenance programme
This is assumed to be funded from grant funding and is not planned to impact on prudential borrowing.
- 8.10 In allocating funding to these proposals the principle of borrowing as a last resort was used. The use of external funding sources will be maximised, pulling together the co-ordination of grant funding, s106 and any CIL payments and the use of capital receipts, revenue and reserves under the review of CAMG. The use of prudential borrowing will be considered as the final option, once all alternative funding sources have been considered. This principle will be enshrined in the revised capital strategy and inform the revision of the Treasury Management strategy for the medium to long term. The return on the investment after meeting the revenue costs of borrowing expected from such borrowing will need to be considered within business cases in order to establish a financially sustainable plan and the capital strategy going forward will incorporate this.

8.11 Table 13 below summarises the potential impact on the MTFS of the funding arrangements proposed for the ICT bids and new capital bids. As can be seen from table 11 above, alternative funding sources are to be used where available. If prudential borrowing is required, this will result in revenue capital financing costs over the profile of the schemes as shown below. Whilst these costs are factored into the MTFS for prudent financial planning purposes, alternative funding sources will be used where possible to mitigate these costs.

Table 13	ADDITIONAL REQUIREMENT - MRP & INTEREST					
	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m	2022/23 £m	Total £m
ICT BIDS - to link with IT strategy	0.030	0.230	0.219	0.143	0.143	0.764
CAMG ENDORSED PROJECTS and NEW PROJECTS	0.139	0.221	0.209	0.170	0.140	0.879
	0.169	0.451	0.428	0.313	0.283	1.643

8.12 The Capital Strategy is under development as part of this budget process and will be presented for consideration and approval by Cabinet in February. The existing capital programme is largely funded from the use of capital receipts however going forward it is acknowledged that the capital ambition of the council will exceed the potential capital receipts available and will therefore require the Council to plan for the inclusion of prudential borrowing. The £100m included in the existing capital programme to cover the activities of the MLH commitments is to be funded from planned prudential borrowing. The significant regeneration and development schemes within the revised programme have business cases which require capital borrowing. The capital financing requirements and financial return to the Council to meet fiduciary responsibilities. It is essential that the business cases underpinning these programmes ensure adequate financial returns on these investments. This framework and the expected returns on investment will be included in the revised capital strategy.

8.13 As referred to in section 4, it should be noted that there are currently consultations underway from the DCLG on proposed changes to the prudential code for capital finance, including consideration of statutory guidance on local authority investments and the minimum revenue provision required to provide for the repayment of borrowing. In addition, in this context the due diligence work on the Regeneration schemes is continuing, to establish the potential impacts of the consultations and the proposals. This means that the work on the Mercury Land Holdings, Bridge Close and Rainham –Beam Park business cases cannot be finalised until this due diligence is complete. Therefore, even though the capital scheme numbers are included in the capital programme, the full impact on the MTFS of the proposals cannot yet be incorporated in to the budget. The approval for implementation of these schemes will therefore be dependent upon completion of all due diligence under the delegations set out in each Cabinet report.

8.14 The impact of the additional borrowing and the potential impacts of the consultations that are underway will also need to be considered as part of the review of the Treasury Management Strategy in order to ensure that the capital investment is financially sustainable and affordable and within the Prudential Code of Practice and the Treasury Code of Practice. The Treasury Management Strategy will be included for approval in the February Cabinet report.

IMPLICATIONS & RISKS

Financial Implications and Risks

The financial implications of the Councils MTFs are the subject of this report and are therefore set out in the body of this report.

Legal Implications and Risks

The Council is subject to a number of financial duties, for instance, the Council is under a duty to "make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness." s 3 Local Government Finance Act 1999. The Council is also required to set a balanced budget, taking into account a range of factors, including consultation feedback and decisions must also be taken in accordance with the Council's duties under the Equality Act 2010.

With regards the proposed changes to the Council Tax Discretionary Policy, the Local Government Finance Act 1972 Section 13A gives councils a power to reduce liability in cases where they think fit. This is separate from the Council Tax Support Scheme.

Human Resource Implications and Risks

The Council continues to work closely with its staff and with Trades Unions to ensure that the effects on staff of the savings required have been managed in an efficient and compassionate manner. All savings proposals or changes to the funding regime that impact on staff numbers, will be managed in accordance with both statutory requirements and the Council's Managing Organisational Change & Redundancy policy and associated guidance

Equalities and Social Inclusion Implications and Risks

Under Section 149 of the Equality Act 2010 the Council has a duty, in the exercise of its functions, to have due regard to the need to

- Eliminate unlawful discrimination, harassment and victimisation and other conduct that is prohibited by the 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.

Cabinet 13 December 2017

The “protected characteristics” are: age, disability, race, religion or belief, sex, sexual orientation, pregnancy and maternity, and gender reassignment. Marriage and civil partnership are also a protected characteristic for the purposes of the duty to eliminate discrimination.

The preparation of the budget is a Council function. All proposals are being evaluated during the budget process to understand their impact and detailed equality impact assessments will be undertaken when any final decisions are taken in relation to specific proposals, with mitigating actions identified to minimise any adverse impact identified where possible. However, the Council also faces significant challenges in achieving a balanced budget, not only in terms of funding reductions, but also in terms of the rising demand for services, and budgetary constraints are a legitimate consideration in making decisions.

Concerning the proposal to amend the Council Tax Discretionary Policy in relation to care leavers, this seeks to advance the equality of opportunity of young people leaving care by providing them with the possibility of some financial support.

BACKGROUND PAPERS

None

HAVERING 2018/19 REVENUE BUDGET PROPOSALS SUMMARY																
Ref No.	Directorate	Specific Service Area	Type of Proposal:	Proposal Title	Proposal Description	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m	2022/23 £m	Total £m	FTEs in service	Headcount in service	FTEs Reduction	Currently Vacant posts	RAG Risk (deliverability)
			S - Savings I - Invest to Save G - Growth													
NEI 3	Neighbourhoods	Public Realm	S	Review Cleansing and Grounds Maintenance to drive efficiencies	Public Realm services are under review and using best practice gained from other Local Authorities and the private sector will be redesigned to reduce operational costs whilst maintaining or improving service standards. Delivering this saving will require a fundamental review of how each of the component services are currently delivered and could be delivered in the future. The process will involve reviewing operational resources including staff, vehicles and plant. As the review is mid-term it is not possible at this stage to conclude the actual FTE reduction. It should be noted that the saving includes a replacement saving for CL9 and SC5 which were previously agreed savings and will now be delivered.	(0.100)	(0.450)	0.000	0.000	0.000	(0.550)	171.0	234.0	37.1	40.0	L
NEI8	Neighbourhoods	Public Realm	S	Outsourcing of Public Realm Services	Following the efficiency saving review (NEI3), it is proposed that a market testing exercise to identify an improved value for money model of service delivery is carried out. Officers believe could save up to £0.5m a year.			(0.500)	0.000	0.000	(0.500)	171	234	9.3	40	M
NEI11	Neighbourhoods	Public Realm	S	Yellow box junctions.	Introducing enforcement of yellow box junctions, will improve the safety of the road network. Evidence from the introduction of the wider MTC programme suggests that non compliance of Yellow box junctions will be high and therefore penalty notices could total £0.250m per annum.	(0.250)					(0.250)					H
Total Neighbourhoods Directorate						(0.350)	(0.450)	(0.500)	0.000	0.000	(1.300)	342.0	468.0	46.4	80.0	
COO7	COO	Communications	S	Christmas trees and lighting	Alternative funding sources for Christmas trees and illuminations would be sought from sponsorship.	(0.091)	0.000	0.000	0.000	0.000	(0.091)					L
COO8	COO	Communications	S	Havering Show	This proposal is to increase revenue for the Havering Show so that the event becomes self financing for the council. Additional revenue options will be considered.	(0.040)	0.000	0.000	0.000	0.000	(0.040)					L
COO9	COO	Communications	S	Living in Havering Magazine	This proposal would phase out the production of Living In Havering magazine in printed format over a two year period, saving the base budget £0.037m per year. Living in Havering would be produced more frequently as an electronic bulletin and distributed via email. The Council already successfully produces e-newsletters and has a distribution data base of 135,000 subscribers.	(0.018)	(0.019)	0.000	0.000	0.000	(0.037)					L
Total Chief Operating Officer Directorate						(0.149)	(0.019)	0.000	0.000	0.000	(0.168)	0.0	0.0	0.0	0.0	
Page 33 ONE1	oneSource	IT	S	Wireless and mobile infrastructure	Over the last three to four years local authorities have increasingly started to become aware of assets and infrastructure that they own and manage and have embarked upon, in most cases successfully developing strategies which have sought ways in which assets and infrastructure could be both commercialised and also leverage wider social, economic and community benefit. This saving will be achieved by leasing council assets to communications providers to use to support wireless and mobile infrastructure. The first example is that the market will be asked to bid for the opportunity to rent street furniture e.g. lampposts to create a public Wi-Fi network via a min-tender from an existing framework.	(0.050)	(0.100)				(0.150)					M
					Other projects will need to follow to reach this target but based on the Soft Market Testing Exercise undertaken as part of this initial due diligence phase there does exist a genuine and real interest in the market to engage with the London Borough of Havering in utilising Infrastructure owned by the Borough to support and enable the delivery of commercial wireless services including the provision of free Wi-Fi. Specifically:- - Real interest from in working with the Council and other partners within Havering to deliver a strategy which would attract greater interest and investment from the mobile operators through the deployment of Small Cell. - To build on the current initiatives being pursued by Asset Management in respect to the use of council owned rooftop sites and actively promote and utilise Council owned rooftop assets to enable the provision of Superfast Business Broadband Connectivity into local businesses and business parks as well enhancing mobile coverage within the Borough. To be realised through direct engagement with the market and securing site by site leases to occupy specified rooftops on a non-exclusive basis. - Tangible interest from various sections of the market in engaging with the London Borough of Havering to understand how through the application of social value the Council working with the private sector could leverage a more socially focused approach towards delivering Wi-Fi within the Borough and realise the wider council aspirations for Borough wide Wi-Fi.											
ONE2	oneSource	Crosscutting	S	Mail room Transformation	Current activities are delivered in house and these are: post, print, scan and handling inbound and outbound mail. The detailed proposed new model in relation to the inbound and outbound mail is: Inbound All incoming post is redirected, using a PO Box redirect, to an external supplier. The post is then opened and indexed using a unique barcode identifier. Any post that cannot be redirected will be picked up by daily courier and taken to the external supplier. Post is then scanned directly into whatever IT system is specified e.g.: 1Oracle or Academy. Where no IT systems exists, a cloud based email box is provided so that users can see what post they have received and decide what to do with it, download, delete forward etc. Original hard copies are either returned to the customer, archived or shredded. Any cheques are scanned and paid directly into any designated bank account. Daily management information and reconciliations are provided. Scanning SLA's to be agreed but range from 2 hours to 24 hours. Outbound A print driver is installed on LBH servers which, when clicked, sends the outbound print to the external company. This is then barcoded, printed and enveloped. Post is then franked and sent out via Royal mail Downstream Access. The barcode on outbound post allows for routing of subsequent inbound post to the correct customer, reference number etc. The savings would be achieved by a combination of FTE number reduction and the reduction of posting, printing, scanning costs. Only oneSource FTE have been included. There may be further savings elsewhere within Havering.	(0.145)					(0.145)	17		4.0	0	M

HAVERING 2018/19 REVENUE BUDGET PROPOSALS SUMMARY																
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			S - Savings I - Invest to Save G - Growth													
ONE4	oneSource	Crosscutting	I2S	Sale of oneSource services	oneSource is currently working with Red Quadrant to establish if there is a business case for moving into a separate trading entity, however the business is case is considering the current model and six other delivery models. Regardless of whether oneSource does this, the oneSource Management Team are focussed at developing the external client base in order to generate further income which will be distributed to the three Partner Councils. Red Quadrant are helping oneSource establish if this could go further if it was a separate trading entity. The business case has been completed and has been presented to the oneSource Joint Committee. The next step is to take the recommendations to each Council's Cabinet. There are no staffing implications identified at this time as this is about generating extra income, not reducing staff. The current growth and saving values currently identified are broad estimates at this stage. The growth represents investment that will be required by the Council to transition oneSource into a wholly owned subsidiary which is followed by subsequent potential increased income levels. However, these are broad estimates and can not be confirmed until the business case has been completed and the direction of travel has been agreed by the three Partner Councils.	0.139	(0.064)	(0.064)	(0.279)	(0.214)	(0.482)					M
ONE4a	Corporate	Transformation	I2S	Sale of oneSource services	Implementation cost to be funded from Transformation reserves.	(0.139)					(0.139)					L
Total One Source Directorate						(0.194)	(0.164)	(0.064)	(0.279)	(0.214)	(0.916)	17.0	0.0	4.0	-	
AS5	Adult Services	Learning Disabilities commissioning	S	Improved market management	Through the recommissioning of existing contracts, especially residential care and block contracts for LD clients - increased focus on Outcome based models, expansion of Direct Payments and sourcing more Community based provision. Links in with increased Supported living Provision in AS11. Additional opportunities from an Integrated Commissioning model being proposed by the JCU, whereby savings can be generated from a single provider delivering support on behalf of multiple agencies.		(1.000)	(0.100)	(0.100)	(0.100)	(1.300)					M
AS6	Adult Services	Community Team commissioning	S	Front door changes	The Front Door staffing establishment is being restructured in 2017/18 both in terms of skill mix - with qualified staff to now support the management of incoming referrals, and to establish a more effective triage of referrals, to reduce the number that are passported to the rest of the service, the revised structure does not initially aim to make any headcount reductions, but could be considered following review. The revised structure is being supported with the introduction of a Transformation Programme, which will be embedded over the next 12-18 months, that will support all ASC staff who have contact with residents in reframing the 'conversation' with those residents, focussing more on the individual's strengths and assets and these will help them maintain independence rather than assessing deficits and setting up services to meet these. The saving is currently profiled for 2020/21, to allow sufficient time for the transformation changes in processes in initial client contact to properly embed. This is also supported by the proposed introduction of a new Care & Support Policy.		0.000	(0.200)	0.000	0.000	(0.200)					M
AS8	Adult Services	Disabilities	S	Day Care Services Review	Consolidating in-house provision to other existing provision, clients will either be given personal budgets to purchase services addressing any identified unmet needs in the community or will be offered the opportunity to use other in-house services as appropriate. The proposal does not aim to make any initial headcount savings, existing staff will look to be utilised in alternative in house services.		(0.043)	(0.100)			(0.143)					L
AS10	Adult Services	Community Team commissioning	S	Intermediate care tier, including Discharge to Assess	Empirical evidence from nationwide research suggest substantial benefits from discharging people into the community to be looked after improves their recovery and wellbeing, whilst also reducing their need for ongoing care/support.	(0.125)	(0.250)	(0.250)	(0.250)	(0.250)	(1.125)					H
AS11 & AS12	Adult Services	Community Team commissioning	S	Managed Transitions from Children Social Care into Adults	Reduced demand through work of PFA, also work on existing cases to review provision, consider extent cases can be jointly funded and wherever possible relocate out of borough provision into future supported living / Extra-care schemes within the borough	(0.100)	(0.100)	(0.100)	(0.100)	(0.100)	(0.500)					M
AS13	Adult Services	Learning Disabilities commissioning	S	Move clients in Out of borough Residential Homes into in borough supported living schemes	Working with Housing and Regeneration colleagues to identify needs around developing Supported Living Schemes within the borough				(0.500)	(0.500)	(1.000)					M
AS14	Adult Services	Mental health commissioning	S	Improved market management	Targeted Management of local care market, aim to work more collaboratively around outcomes for clients and opportunities for greater shared procurement in conjunction with Health. Setting achievable targets around step down and move on. Consideration of internally provided services for closure/outourcing		(0.050)	(0.050)	(0.050)	(0.050)	(0.200)					M
AS15	Adult Services	Staffing	S	New System implementation	The implementation of a new case Management System should support the delivery of efficiencies especially in some back office functions (across Brokerage, Direct Payments and Business/admin support) - these will be further reviewed as a result of the implementing. This should also drive workflow efficiencies and deliver improved management information for better decision making around demand management and commissioning strategies. The go-live date for implementation is October 2018, and will require some bedding down within the services. It is anticipated that process efficiencies will be realised from 2020/21.			(0.050)	(0.150)		(0.200)	31	39	5.0	7	L
Total Adults Directorate						(0.225)	(1.443)	(0.850)	(1.150)	(1.000)	(4.668)	31.0	39.0	5.0	7.0	
CH2	Children's Services	Business Support	S	Revised delivery model for the Business Support Service	A review and restructure of the service will take place. The review will determine what the primary business support needs are for the Social Care service. This will lead to a range of delivery models developed, with an appropriate model selected for consultation. A reduction in headcount will achieve the identified savings. Consultation will commence as soon as possible after October Cabinet with a view to full implementation by 1 April 2018. The saving achieves a reduction in the cost base by 2018-19 which is then sustained in future years.	(0.300)	0.000	0.000	-	-	(0.300)	61	69	9.0	5	L

HAVERING 2018/19 REVENUE BUDGET PROPOSALS SUMMARY

Ref No.	Directorate	Specific Service Area	Type of Proposal:	Proposal Title	Proposal Description	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m	2022/23 £m	Total £m	FTEs in service	Headcount in service	FTEs Reduction	Currently Vacant posts	RAG Risk (deliverability)	
			S - Savings I - Invest to Save G - Growth														
CH3	Children's Services	Social Care	S	Revised delivery model for intervention support service.	The saving will be achieved by reviewing the Family Support element within the service. Analysis shows that the functions are no longer required due to a duplication with Early Help and do not deliver value for money. Posts will be deleted, contributing to the MTFS saving. Reduced agency costs will contribute to the identified savings. Consultation will commence as soon as possible after October Cabinet with a view to full implementation by 1 April 2018. The saving achieves a reduction in the cost base by 2018-19 which is sustained in future years.	(0.300)	0.000	-	-	-	(0.300)	84	85	8.0	2	L	
CH5	Children's Services	Placements	12S	Creation of additional in borough placements for Looked After Children	There is scope to improve the offer that we make for looked after children to ensure we can provide suitable accommodation in borough where appropriate. This business case proposes that the council considers building and/ or using any current facilities that are available and meet requirements. With the benefit of having purpose built in borough provision the council will have the flexibility to tender out the required support care. The support care could be tendered either as a stand-alone single borough or as part of the sub-region residential care project. The savings potential (caveated by assumptions of possible costs, ongoing increasing demand and constraints around comparator information) is circa £250k pa based upon a 6 bed residential facility. A key assumption is that the new facility will be a transitional stage in the move away from residential care, and that throughput of occupants should occur on an annual basis. The ambition is, over the course of four years, to see a significant reduction in the population in residential care and a reduction in the cost base of £1m. Further detailed work will be required on costings but an indicative model is as follows. The estimated saving is based on the cost of 6 high cost placements less the assumed running costs of the new facility. This generates an estimated saving of £250,000 in the first full year of operation. In the second year, the initial cohort of children and young people are able to move out of residential care into family-based settings sustaining the cost saving for this cohort. This saving is subject to the preparation and approval of a business case to secure the required capital investment from the £5m invest to save capital budget.		(0.250)	(0.250)	(0.250)	(0.250)	(1.000)						M
CH6	Children's Services	Innovation	12S	Scale and spread of Pathways Innovation Programme in Children's Social Care	By placing children closer to home, using specialist foster carers, we are less reliant on residential placements and independent fostering agencies. The difference in costs between residential and a specialist in-house carer, is circa £2,250 per week. We can save money by placing children who are currently in high cost placements, and bringing them into in-house provision. The intention would be to keep children in a specialist fostering placement for 6 months, the turnover allows for more children to be supported but subsequently increases the savings potential. Foster carers will need to be recruited and also existing foster carers 'converted' to enhanced foster carers. They will receive support from qualified practitioners so they have the necessary support to maintain resilience and the best pathway to succeed.		(0.175)	(0.175)	(0.125)	(0.125)	(0.600)						M
CH8	Children's Services	Social Care	12S	Invest to save proposal to build local SEND care provision	We need local overnight short breaks provision, its part of the need to support families with children with ever increasing complex and challenging needs. This will complement our new special free school. With these 2 provisions in place we will be able to maintain children at home and avoid out of borough expensive school placements and family breakdown which are the 2 reasons we send children to expensive residential schools. There is a current lack of provision in this area and we pay very high rates, despite a new provider providing more competitive rates, there is still a significant pressure. A 6 bed residential home for children with moderate to severe disabilities with or without challenging behaviours, would also be of benefit, as we have a number of children with disabilities who end up in care and we find it difficult to find local foster carers, they end up going out of borough, leaving local schools, making the whole process more disruptive for children. This ultimately significantly raises costs for Havering. Building new provision will require capital investment but early analysis shows long-term revenue savings. A range of assumptions on building/running costs and comparator data have been made in order to calculate potential savings. The highest cost placements can cost Havering £250k per year. This saving is subject to preparation and approval of a business case to secure the required capital investment from the £5m invest to save capital budget.				(0.330)		(0.330)						M
CH9	Children's Services	Social Care	S	Charging model for children accommodated under Section 20 of the Children's Act 1989.	This policy is aimed at operating in partnership with parents and legal guardians to promote best outcomes for children in care under Section 20 arrangements and further ensure that where possible parents and legal guardians financially contribute towards the care of their child. The policy is not intended to leave families in financial hardship as a financial assessment will be undertaken. However, parental responsibility for any child in care should, where feasible, encompass some financial contribution. Whilst the introduction of the Policy may generate some income towards maintenance costs, the main purpose of the proposal is to act as an alert to parents of the cost of the service they are requesting and allow them to reconsider other forms of family support that provides alternatives to care.	(0.050)	0.000	0.000	0.000	0.000	(0.050)						M
Total Children Services Directorate						(0.650)	(0.425)	(0.425)	(0.705)	(0.375)	(2.580)	145.0	154.0	17.0	7.0		
GRAND TOTAL						(1.568)	(2.501)	(1.839)	(2.134)	(1.589)	(9.632)	535.0	661.0	72.4	94.0		

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HAVERING 2018/19 REVENUE BUDGET PROPOSALS SUMMARY																
Ref No.	Directorate	Specific Service Area	Type of Proposal:	Proposal Title	Proposal Description	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m	2022/23 £m	Total £m	FTEs in service	Headcount in service	FTEs Reduction	Currently Vacant posts	RAG Risk (deliverability)
			S - Savings I - Invest to Save G - Growth													
NEI10	Neighbourhoods	HT&P	G	PSPO (schools)	Public Space Protection Order (PSPO) project is not currently corporately funded and is currently absorbed by the Service (Highways Traffic and Parking Group). Growth proposal of £0.150m required to ensure continued delivery of the project into 2018/19 and beyond, drastically improving road safety outside selected borough schools. Funding required to maintain equipment and resource / administer the scheme.	0.150					0.150	N/A	N/A	N/A	N/A	L
Total Neighbourhoods Directorate						0.150	0.000	0.000	0.000	0.000	0.150	0.0	0.0	0.0	0.0	
COO15	COO	Culture & Customer Access	S	Restructure of the Youth Service in the context of Children's Early Help and Intervention	Youth workers work with young people in their communities to support them to achieve their potential, helps them make decisions about their own lives and supports them to develop confidence and resilience through relationships of trust and support. Havering Youth Service works with young people aged 8-19 and up to 25 if they have special educational needs or disability. The youth work programme currently includes open access youth sessions, providing information & advice services, delivering outreach projects, targeted work with young people with special educational needs and additional mild to moderate learning or physical disabilities, promoting the voice & positive image of young people, facilitating accreditation programmes such as Duke of Edinburgh and working with a range of partners in developing young people's personal assets. The Outreach Programme using the Youth Bus and detached workers continues to be an integral part of the youth offer in Havering. Youth workers engage with young people in their own communities to address anti-social behaviour, provide information, guidance and advice; and promote other services to them, such as youth activity, C Card scheme and community events.		(0.050)				(0.050)		27	7.3	2	H
COO16	COO	Registration	S	Non Statutory Registration Fees and charges.	The Registration Service is based at Langtons House and has a responsibility to register all births, deaths and marriages that occur within Havering. It is currently the busiest Register Office in London for deaths and the third busiest for births, performing in total around 12,000 registrations per year. Langtons House is an approved wedding venue and hosts around 750 weddings per year. In addition there are other approved premises across Havering including golf clubs, hotels and manor houses to which registrars attend and perform weddings. The service also performs other ceremonies including citizenships, naming and renewal of vows ceremonies. In addition Langtons has a function hall available to hire for wedding receptions and other functions and social lettings. The service also provides, in addition to statutory services, a variety of non-statutory services including a fast track service for urgent copy certificates and a nationality checking and passport service.	(0.060)					(0.060)	N/A	N/A	N/A	N/A	L
COO18	COO	Policy, Performance & Community	S	Reorganisation	The Community Safety and Development team plays a pivotal role in encouraging and facilitating social cohesion and inclusion, in order to foster an environment where families look after themselves and each other wherever possible. The service also works to ensure a clean, safe environment for all, both by managing high risk offenders and victims and by developing and implementing programmes to tackle high volume and high harm crimes. This is achieved both through direct work and by coordinating strategic partnership working across a wide range of public, private and voluntary sector agencies represented on the Havering Community Safety Partnership (HCSP) and Safer Neighbourhoods Board. Current programmes of work relate to anti-social behaviour (ASB), domestic abuse and violence against women and girls (VAWG), Integrated Offender Management (IOM), counter-terrorism and location based crime. The service also works closely with the Communications team to ensure that perceptions of crime and community safety in the borough match reality. Finally, the Community Safety and Development team manages and oversees implementation of the corporate performance, policy and strategy development frameworks for equality and diversity, and for commissioning the annual staff training programme for equality and diversity.	(0.153)	(0.052)				(0.205)	18	18	4	0	M

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Ref No.	Directorate	Specific Service Area	Type of Proposal:	Proposal Title	Proposal Description	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m	2022/23 £m	Total £m	FTEs in service	Headcount in service	FTEs Reduction	Currently Vacant posts	RAG Risk (deliverability)	
			S - Savings I - Invest to Save G - Growth														
COO19	COO	Bereavement Services	S	Fee increase	Bereavement Services provides cremation and burial facilities for the Borough, there are four Cemeteries sited at Upminster, Hornchurch, Rainham and Romford whilst the Crematorium is situated in South Ockendon. The service is responsible for the grounds maintenance across these sites which totals approx 75 acres. Collectively the service carries out in excess of 3000 cremations every year and over 300 burials and is one of the busiest in the country. The service also provides an extensive range of memorial options for the bereaved and deals with a wide range of face to face and telephone enquiries from customers and other stakeholders including Funeral Directors and stonemasons and also deals with a wide range of complex queries including grave ownership, probate and other legal issues that can arise following a funeral. The service is in direct competition with neighbouring providers of crematoria and burial facilities, either privately run or under LA control. There are significant pressures to ensure fees remain competitive and that the quality of the services provided remains high, so that the reputation of the service is not compromised and it remains a popular choice for families as a venue for cremation or burial - cheaper alternatives are increasingly becoming attractive as funeral poverty becomes a real issue.	(0.075)						(0.075)	N/A	N/A	N/A	N/A	M
Total Chief Operating Officer Directorate						(0.288)	(0.102)	0.000	0.000	0.000	(0.390)	18.0	45.0	11.3	2.0		
ONE5	ALL	Crosscutting	s	Spans and Layers	A review of all Havering service areas will be undertaken to ascertain whether the agreed organisational design principles have been followed. This includes, but is not limited to, whether any management, supervisory levels are below 1:6, whether layers of management can be reduced and whether cross cutting positions of similar roles can reduce duplication. Note: Savings are exclusive of Revenue Costs: Revenue Costs to be funded from the Transformation Reserve		(0.500)				(0.500)			15		L	
ONE6	ALL	IT	G	IT underlying pressures	To support the council's critical systems CRM and Data Warehouse and security of the infrastructure.	0.930					0.930	N/A	N/A	N/A	N/A		
ONE7	oneSource	Crosscutting	S	Business Support	There will be a review of all business support roles across the services to reduce work duplication. The Terms & Conditions review highlighted a number of posts which have been created, that could be placed into a joint administration team where overall staffing numbers would reduce. Note: The review will be led by one HRBP who will also lead the Spans & Layers Review - the associated Revenue Costs (to be funded from the Transformation Reserve) are detailed in the Spans & Layers R2 form	0.000	(0.200)				(0.200)			8		L	
ONE8	ALL	Crosscutting	S	Agency Review	Review of all agency workers including length of tenure, categorisation of role and reduction in reliance on agency workers to have a more robust approach to workforce planning and to reduce expenditure.	(0.300)					(0.300)					L	
Total One Source Directorate						0.630	(0.700)	0.000	0.000	0.000	(0.070)	0.0	0.0	23.0	0.0		
Total R1 - December						0.492	(0.802)	0.000	0.000	0.000	(0.310)	18.0	45.0	34.3	2.0		

				APPENDIX C												
Ref	Directorate	Service	Project	CAPITAL EXPENDITURE							FUNDING					
				2017/18 £m	2018/19 £m	2019/20 £m	2020/21 £m	2021/22 £m	2022/23 £m	Total £m	Capital Receipts £m	Revenue and Reserve Contribution £m	Grants £m	Section 106 £m	Prudential Borrowing £m	Total £m
APPROVED BIDS - Development																
	Neighbourhoods	Development	Bridge Close Redevelopment	3.674	1.838	32.653	19.718	4.676	12.541	75.100				11.620	63.480	75.100
	Neighbourhoods	Development	MLH	6.498	6.590	14.811	8.999	5.249		42.147					42.147	42.147
	Neighbourhoods	Development	Rainham and Beam Park Housing Zone		2.045	27.955	15.000	15.000		60.000			45.200		14.800	60.000
				10.172	10.473	75.419	43.717	24.925	12.541	177.247			45.200	11.620	120.427	177.247
APPROVED BIDS - SLM																
	COO	Culture & Customer Access	SLM	7.509	4.670	11.706	5.664	0.854	0.485	30.888					30.888	30.888
				7.509	4.670	11.706	5.664	0.854	0.485	30.888					30.888	30.888
EXTERNALLY FUNDED BIDS																
NH5	Neighbourhoods	Highways	2018/19 Local Implementation Plan (TfL Funding)		2.193					2.193			2.193			2.193
NH6	Neighbourhoods	Highways	2018/19 TfL Funded Programmes		3.730	5.780	5.652	0.030	0.030	15.222			15.222			15.222
				5.923	5.780	5.652	0.030	0.030	17.415			17.415			17.415	17.415
EFFICIENCY PROGRAMME FUNDED BIDS - provision in existing capital programme																
CH8	Children's services	Children's Services	Children with SEND Residential provision		0.350	1.000				1.350	1.350					1.350
CH5	Children's services	Children's Services	Children's Residential and Attached Semi Independent Provision Home -		0.950	0.950				1.900	1.900					1.900
AH13	Adults and Health	Adult Social Care	Adults Learning Disabilities provision build				2.800			2.800	2.800					2.800
CH5a	Children's services	Children's Services	Children's Semi Independent Provisions and/ or Residential Care Homes		0.500					0.500	0.500					0.500
				1.800	1.950	2.800				6.550	6.550					6.550
ICT BIDS																
OS1	OneSource	ICT	Infrastructure Improvement and Resilience		1.000	1.000	0.620	0.620	0.620	3.860					3.860	3.860
				1.000	1.000	0.620	0.620	0.620	3.860					3.860	3.860	3.860
SLT and CAMG Endorsed Projects																
CH13	Children's services	Children's Services	School Expansion Programme		7.425	19.225	2.950			29.600			29.600			29.600
NH21	Neighbourhoods	Public Realm	Upminster Windmill Ground Contamination		0.066					0.066				0.066		0.066
NH2	Neighbourhoods	Highways	Initial Three Year Footway and Carriageway Resurfacing Programme		3.000	2.000	2.000	2.000	2.000	11.000	1.430				9.570	11.000
NH10	Neighbourhoods	Public Realm	Bedford Park Play Area		0.050					0.050			0.050			0.050
NH11	Neighbourhoods	Public Realm	Langtons House and Orangery Improvement Scheme		0.075					0.075				0.075		0.075
NH15	Neighbourhoods	Public Realm	Play and recreation facilities improvements		0.235					0.235			0.235			0.235
OS6	OneSource	Asset Management	Health & Safety Works		0.200					0.200				0.200		0.200
OS4	OneSource	Asset Management	Schools Maintenance (Capital) Programme 18/19 - Schools		1.500	0.700				2.200			2.200			2.200
OS5	OneSource	Asset Management	Central Depot Expansion		0.535					0.535				0.535		0.535
CO9	COO	Bereavement Services	Cemetery Pathway Repairs		0.020					0.020			0.020			0.020
CO17	COO	Bereavement Services	Replacement Programmable Logic Controllers & Analysers for Cremators		0.091					0.091			0.091			0.091
CO18	COO	Bereavement Services	Replacement Drainage System		0.015					0.015			0.015			0.015
CO20	COO	Culture & Customer Access	Queens Theatre - addressing items identified through a condition survey		0.193	0.220				0.413				0.413		0.413
CO16	COO	Bereavement Services	Cemetery Extension Phases 2 & 3			1.000	1.500			2.500				2.500		2.500
CO16	Corporate		Invest to Save - Capital		2.000					2.000				2.000		2.000
				15.405	23.145	6.450	2.000	2.000		49.000	1.430	0.126	31.800	0.285	15.359	49.000

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oneSource Directorate
Exchequer & Transactional Services
Council Tax & Benefits



Havering
LONDON BOROUGH

Council Tax Discretionary Reduction Policy

Last Update : October 2017 C Henry

Introduction

Under section 13A of the Local Government Finance Act 1992 (LGFA 1992), the Council has discretion to reduce the amount of Council Tax payable that is not covered by statutory discounts and exemptions. This discretion can be exercised in relation to particular classes of case or by determining an individual case. The reduction can be for a specific period of time and the liability can be reduced by any amount the Council thinks fit.

In particular, the Council has the discretion to reduce the amount of Council Tax an individual person is liable to pay by any amount ranging from nil to 100% and for any period.

Under the Act, there is no right of appeal against the Council's use of discretionary powers; however, the Council will accept a customer's request for a further review of its decision as outlined further below in this document.

There are financial implications in that the cost of any reduction will be a direct cost to the Council. The cost of any local council tax reduction will, therefore, have to be met by the rest of the council tax payers in the borough.

Whilst each claim will be looked at individually, prudence should also be exercised and the impact of acceptance should be determined. For example, if one customer's case is accepted in a given situation, it may cause a 'snowball effect', which would mean that the Council must consider all such cases as this would affect the budget and other council tax payers.

Purpose

The purpose of this policy is to specify how this Council will operate the scheme and to indicate the factors that will be considered when deciding if a council tax reduction can be made. The aim is to treat all claimants equally when administering the scheme.

How to claim a Council Tax Reduction

Requests for reductions in Council Tax liability will be required in writing from the taxpayer, their advocate/appointee or a recognised third party acting on their behalf. A request can initially be made verbally but should be followed up in writing. The request should specify the reasons the customer requires a reduction.

In considering whether a reduction should be made, the Council Tax & Benefits Service may request reasonable evidence to verify the information on which the request is based. Information regarding financial, personal or property status may also be provided as supporting evidence to the request.

Where further information is required, it will be reasonable to allow 14 days for its return, and collection or recovery proceedings may be suspended during this time.

Where it is appropriate, customers may also be advised to seek budgeting advice and assistance from Money Advice or other equivalent online service providers, the Citizens Advice Bureau, Welfare Rights Agencies and our own Customer Services in order to help gain evidence to support their request.

The Council Tax & Benefits Service may in any circumstances verify information or evidence provided by the customer by contacting third parties or other organisations.

Guidance

The Council will consider using its powers to reduce council tax liability for any case or class of case and treat all applications on their individual merit.

Ordinarily, the Council would expect there to be exceptional circumstances to justify a reduction and that the reduction would normally only be intended as short term assistance and should not be considered as a way of reducing council tax liability indefinitely.

The following guidance will be considered:

- There must be evidence of financial hardship or personal circumstances, which are exceptional and justify a reduction in council tax liability.
- The Council must be satisfied that the customer has taken reasonable steps to resolve their situation prior to the application for a reduction.
- The Council's finances will allow for a reduction to be made.
- The customer's eligibility for Council Tax Support has been considered and maximised.
- The customer's eligibility for welfare benefit has been considered and they have claimed all the benefits they are entitled to.
- All other eligible discounts, exemptions and reliefs have been awarded.
- The amount of council tax outstanding must not be the result of deliberate non-payment or negligence.
- It is reasonable to award a reduction having regard to the interests of other local council tax payers.
- The customer does not have access to other assets that could be used to pay the council tax.

- The customer has shown effort to discharge the council tax liability
- In order to target support effectively the focus may be on certain disadvantaged groups such as young people up to the age of 25 years leaving care in the transition to adult life, people with disabilities or mental health issues.

This guidance is not an exhaustive list. Instances where a customer is in a situation not noted within these guidelines will not mean their application should be dismissed. Each application will be evaluated upon its own merit and individual circumstances.

The Effect of a Council Tax Reduction

In making a council tax reduction, consideration will be given to achieving the following:

- Protecting the public purse and maintaining financial budgets
- Helping customers to help themselves
- No increase in council tax for resident taxpayers

The Amount and Period of the Council Tax Reduction

The amount of the reduction should not normally exceed a 12-month period or the end of the current financial year in which the request is made. The customer should make another application if they require a further reduction in their council tax.

The amount of council tax reduction at one time does not guarantee that a further reduction will be made later even if the customer's circumstances remain the same. The Council will not fetter its discretion in making one decision on an application with regard to a later claim by the same customer.

The value of the reduction should not exceed the value of the council tax owed.

The period of the council tax reduction should not be retrospective unless significant evidence or information is provided to warrant backdating a reduction.

If after awarding a council tax discretionary reduction there is a reduction in liability arising from a council tax band reduction or council tax support for example, the level of payment under S13A(1)(c) LGFA 1992 shall be reduced accordingly.

Making and challenging decisions for a Council Tax Reduction

The procedure for determining individual applications will require the Principal Officer (fourth tier officer or above) in the Council Tax & Benefits Service, to review the application and make a recommendation to the Head of Council Tax & Benefits.

The report will record the effect on other taxpayers, financial or otherwise, and will include whether:

- It will be likely that the majority of local residents will, on the balance of probabilities, agree with the decision.
- The Council's finances will allow for the reduction to be made

The Head of Council Tax & Benefits will determine whether a payment will be made and the amount of the reduction. The Council will notify a customer of its decision in writing within one month of the date the application is received.

Whilst under the Local Government Finance Act 1992, there is no right of appeal against the Council's use of discretionary powers; the Council will accept a request from a customer to review its decision within one calendar month of the date of the letter informing the customer of the decision.

The review will be undertaken by the Director of Exchequer & Transactional Services and the decision given in writing within one month of the date on which the request is received.

There is no entitlement to withhold the payment of Council Tax pending the determination of an application for a reduction or request for a review. Receipt of an application for relief will not negate the taxpayer's obligation to pay the council tax.

In the event the customer is still aggrieved following the Head of Service review, the third stage of the Corporate Complaints' Procedure will be invoked.

Where a council tax support claimant is still aggrieved following a decision to refuse a further council tax reduction, the claimant may be referred to the Valuation Tribunal.

Fraud

The Council is committed to challenging fraud in all its forms. Any applicant who tries to fraudulently claim a council tax reduction by falsely declaring their circumstances, providing a false statement or evidence in support of their application, may have committed an offence under the Theft Act 1968.

Any cases where the Council suspects that this has occurred will be investigated and subject to the actions available within the Council's Anti Fraud policy, this may lead to the commencement of criminal proceedings against suspected fraudsters.

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CABINET

13th December 2017

Subject Heading:

Draft Air Quality Action Plan

Cabinet Member:

Councillor Osman Dervish
(Cabinet Member for the Environment)

SLT Lead:

Steve Moore
Director of Neighbourhoods

Report Author and contact details:

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Environmental Protection and Housing
Manager
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Tel. 01708 432649

Policy context:

To improve Havering’s Air Quality in order to protect the health & wellbeing of residents, commuters and workers within the Borough. To reduce the burden on the NHS by reducing air quality attributed illness and deaths. To meet the statutory requirements set out within Part IV of the Environment Act 1995.

Financial summary:

There are financial implications and risks associated with consulting on the draft AQAP. However the financial impacts that Havering may receive for continuing to breach Air Quality limits as a result of not adopting an AQAP is currently unknown.

Is this a Key Decision?

(a) Significant effect on two or more wards.

When should this matter be reviewed?

2018 following statutory consultation to finalise AQAP

Reviewing OSC:

Environment Overview & Scrutiny

The subject matter of this report deals with the following Council Objectives

Communities making Havering	[x]
Places making Havering	[x]
Opportunities making Havering	[]
Connections making Havering	[x]

SUMMARY

The Air Quality Action Plan (AQAP) for Havering (2018 – 2023) outlines the actions Havering Council will take to improve local air quality. Our priority is to reduce concentrations of the key pollutants, Nitrogen Dioxide (NO₂) and Particulate Matter (PM₁₀ and PM_{2.5}). In Havering these pollutants are primarily produced by road traffic but there are other contributors such as construction, domestic gas use and industry.

The purpose of this report is to enable members to make the decision to issue the AQAP for formal consultation.

In September 2006 the entire Borough was designated as an Air Quality Management Area (AQMA) for NO₂ and PM₁₀. Whilst we are meeting long and short term objectives for PM₁₀ and PM_{2.5}, there is still work to be undertaken to meet the national long term objective for NO₂.

The AQAP will be subject to a review and appraisal of progress and reporting to the Greater London Authority (GLA) and the Department of Environment, Food and Rural Affairs (DEFRA). Progress each year will be reported in Annual Status Reports produced by Havering Council, as part of our statutory London Local Air Quality Management (LLAQM) duties.

The AQAP has been produced to comply with Part IV of the Environment Act 1995. The Plan has regard to the London Local Air Quality Management Policy Guidance (LLAQM) 2016 on air quality issued by the Greater London Authority (GLA). It also outlines the action we will take to improve air quality in Havering between 2018 and 2023.

The AQAP consists of a variety of information explaining air pollution, its effects on human health, and the current status of air quality in Havering. Further it includes sources of pollution in Havering and current Council practices, policies, vision and priorities with regards to improving air quality across the entire Borough.

Funding: As part of the 2018/19 indicative LiP allocation (£2.247m) it has been proposed that £0.125m be allocated to the delivery of the Air Quality Action Plan. Funding for future years is anticipated from the TfL LIP fund subject to successful submissions. Additional funding may be achieved from the Mayors Air Quality Fund (MAQF), Mayors Air Quality Business Fund (MAQBF) and Defra's Air Quality Grant. Havering will take the opportunity to bid for additional funding as and when it becomes available.

Should the Member decision be to go ahead with the formal consultation it is intended to being for a period of 10 weeks commencing in December 2017. Consultees will include the public i.e. local residents and key stakeholders such as the Mayor of London, DEFRA and the Secretary of State who will each, in turn, provide a response. This response must be carefully considered together with the full feedback from the consultation. Following this, Members can then consider the decision to officially adopt the AQAP.

RECOMMENDATIONS

- 1.1 **Members agree and approve the draft Air Quality Action Plan appended as appendix 1, which is to be published for the purposes of public consultation as set out in section 10.4 of this report.**

REPORT DETAIL

2. Background

- 2.1 The Environment Act 1995 requires the UK Government to produce a National Air Quality Strategy setting out specific objectives for improving air quality. The first strategy was implemented in 1997.
- 2.2 The government is obliged to achieve the requirements of European Air Quality directives and the Government's 2010 strategy which is being revised again. However the strategy sets out health based long, medium and long term objectives and UK national strategies have identified actions at a local, national and international level to improve air quality.
- 2.3 Part IV of the Environment Act 1995 created the Local Air Quality Management (LAQM) framework which gave local authorities in England LAQM duties to improve on the service they already provided in tackling poor air quality.
- 2.4 Areas within Greater London are currently failing to meet relevant standards for Nitrogen Dioxide (NO₂), largely due to pollution from road traffic. Defra predicts that those standards will not be met until 2025 in Greater London. In May 2016 DEFRA agreed that London Boroughs should refer to the Greater London Authority air quality management policy and technical guidance, the London Air Quality and Management Framework (LLAQMF) which is designed to tackle serious public health problems caused by poor air quality in London and to change the emphasis from monitoring to effective action to reduce pollutant levels.
- 2.5 Under the London Local Air Quality Management (LLAQM) introduced in 2016, every local authority that has an active AQMA are required under Part IV of the Environment Act 1995 to produce, publish and adopt an Air Quality Action Plan to address the areas of poor air quality that have been identified and to comply with their duties under UK Air Quality Law and Legislation. The emphasis within AQAP's are two-fold; to develop measures that will provide the necessary emissions reductions to achieve the air quality objectives within specified timescales; and act as a live document which is continually reviewed and developed, to ensure current measures are progressing and new measures are brought forward.

- 2.6 On 11th September 2006, under the LAQM the entire Borough was declared an Air Quality Management Area (AQMA) for both Nitrogen Dioxide (NO₂) and Particulate Matter (PM₁₀).
- 2.7 In April 2013 Cabinet approved Havering signing up to become a “Cleaner Air Borough”. To continue its status as a “Cleaner Air Borough” the Council must submit an AQAP alongside annual reporting to the GLA.
- 2.8 The Action Plan sets out the projects, policies and initiatives Havering Council and its partners propose to take over the next 5 years in order to improve local air quality. This will reduce Nitrogen Dioxide and Particulate Matter concentrations from the key emission sources i.e. road transport, new development and gas boilers. Likewise, the plan aims to increase awareness, knowledge and understanding of air quality and help everyone who lives, commutes or works in Havering to reduce their own exposure as well as to improve local air quality. Poor air quality has a direct impact on the health and wellbeing of our residents, workers, commuters and visitors, therefore improving Havering’s air quality is a high priority. Poor air quality is not just an issue in Havering, but London wide.
- 2.9 Client Earth continues to take the UK to court over its inadequate Air Quality Action Plan. If the UK continues to breach air quality limits within the next few of years a lump sum fine, penalty payment, daily five-figure fines or a combination of these will be issued to the UK.

3. The overarching aims of the Plan are to;

- 3.1 Continue to meet EU Objectives for 1, 3-Butadiene, Benzene, Carbon Monoxide, Lead, PM10 and short term NO₂.
- 3.2 Continue to reduce concentrations of PM₁₀ and PM_{2.5} with prioritisation on Air Quality Focus Areas.
- 3.3 Continue to reduce concentrations of NO₂ to meet the long term EU Objective for NO₂ with prioritisation on Air Quality Focus Areas.
- 3.4 To comply with the legislation, GLA’s London Local Air Quality Management Framework supporting their and Public Health’s air quality objectives.

4. The actions have been grouped into the following four action policies;

Action Policy 1: Air Quality Monitoring and Modelling and management of air quality

Action Policy 2: Public Health and Awareness Raising to encourage Smarter Travel

Action Policy 3: Reducing Emissions from Buildings and Developments

Action Policy 4: Reducing Emissions from Transport

The Council must demonstrate what action will be taken to tackle air pollution and provide detailed timescales for action including quantifying the impact of each action. Each Section has a number of aims, objectives, actions and targets that will work towards improving air quality. The AQAP is set out in Appendix 1 of this report.

5. The Action Policies aim to;

- 5.1 Communicate the issue of poor air quality, improve local knowledge and understanding of what poor air quality, pollution and its effects are and facilitate the engagement of Havering's population with measures to improve air quality.
- 5.2 Maximise investment by complementing and enhancing existing air quality programmes.
- 5.3 Provide a clear understanding of the impact of different measures through robust monitoring and modelling.
- 5.4 Evaluate innovative measures through trials and investigations, share lessons learnt amongst other boroughs and more widely at a regional and national level.
- 5.5 Help adhere to Havering's aspirations of being a more environmentally friendly Borough for its population to live, reside and work in.

6. Why this is important to Havering;

- 6.1 Havering has a high percentage of residents over the age of 65 and many young families. These groups (the elderly and children) are particularly susceptible to the effects of poor air quality.
- 6.2 The effects range from cardiovascular disease and asthma, respiratory disorders and over a prolonged period have been linked to some cancers.
- 6.3 In 2012 the World Health Organisation (WHO) classified diesel as being carcinogenic to humans⁶. Additionally, air pollution particularly affects the most vulnerable in society: children (including unborn) and older people, and those with existing heart and lung conditions. There is often a strong correlation with areas of deprivation having the poorest air quality.
- 6.4 Research has shown that those living in more deprived areas are exposed to higher concentrations of air pollution, often because homes and residences of these groups are situated next to roads with higher concentrations of emissions. Deprived communities also generally suffer greater burdens from air-pollution-related death and sickness. In 2008 there were 11 deaths attributable to exposure to PM_{2.5} in Gooshays Ward, 9 in Heaton and 10 in South Hornchurch.
- 6.5 The health impacts of air pollution should not be underestimated. More people in London are harmed by air pollution attributed to road transport than by road collisions and incidents. In London in 2010, 4,267 deaths per annum were shown to be directly attributable to the effects of air pollution; outer London boroughs accounted for 6.3% of all deaths.

- 6.6 Since September 2006 the entire London Borough of Havering has been designated an Air Quality Management Area (AQMA) for NO₂ and PM₁₀ though the Plan has an action to reduce this to key “hot spots” in the borough. Whilst we are meeting the short term objectives for PM₁₀ and PM_{2.5}, research has shown that this pollutant is damaging to health at any level and as such remains a pollutant of concern.
- 6.7 Havering still needs to meet the national long term objective for NO₂. The priority is to reduce these key pollutants

7. Consultation Process

- 7.1 The draft AQAP must be subject to a public and internal consultation which will commence from mid December 2017 for a period of 10 weeks.
- 7.2 The authority will consult: internal services of the Authority who will deliver the actions which are the following teams: Transport Planning, Planning, Housing and Regeneration, Director of Public Health, Economic Development, Energy Strategy Parking and Parks and Public Realm.
- 7.3 Statutory consultees who the Authority has a legal duty to consult under The Environment Act 1995 and LLAQMF which include; The Secretary of State/DEFRA to ensure the council’s air quality strategy is compliant with the national air quality strategy, The Environment Agency as they are involved in emissions control, The Mayor of London who must approve the London Local Authorities Air Quality Action Plans prior to publication , Transport for London who provide a joint response with Mayor of London, Neighbouring boroughs to ensure any actions proposed by one authority complement each other, and other public authorities as considered appropriate, and in addition Friends of the Earth, , District and County Councils and any bodies representing local business interests and other individuals / organisations as appropriate.3) The public – due to their significant public interest in local air quality this will be local residents and the wider public where advertising will be on social media such as Facebook posts / twitter posts.
- 7.4 The Authority will advertise the consultation through local and internal publications including publicised sessions in the borough’s libraries and will also hold meetings with key stakeholders.
- 7.5 All feedback and responses received from the consultation will be carefully considered and used to finalise the final action plan. It is proposed the AQAP will be launched in April 2018.

REASONS AND OPTIONS

8. Reasons for the decision:

- 8.1 The draft AQAP has been produced to comply with statutory duty under Part IV of the Environment Act 1995. The Plan has had regard to guidance on air quality issued by the Greater London Authority (GLA). Therefore the authority has a legal requirement to work towards achieving the air quality objectives as set out in the action plan attached as appendix 1.

IMPLICATIONS AND RISKS

9. Financial implications and risks:

- 9.1 Funding: As part of the 2018/19 indicative LiP allocation (£2.247m) it has been proposed that £0.125m be allocated to a number of prioritised actions (and possible officer post) from the Air Quality Action Plan for the 2018-2019 period.
- 9.2 Actions will be prioritised to align with the GLA and Councils aims for the 18/19 period. The AQAP will be updated and prioritised actions will be allocated a funding budget. Actions requiring external consultancy work will be part of a tender process to ensure suitable appointment and cost, but overall will not exceed the £0.125m funding allocation. Any underspends will be allocated to other actions within the AQAP which weren't priority.
- 9.3 Mitigation: If the LiP funding allocation is unsuccessful other options will be considered to fund all or part of the project as follows;
- Defra Air Quality Fund by submitting an appropriate bid;
 - Mayor's Air Quality Fund Round III (MAQF III) by submitting an appropriate bid; and
 - Within the directorate where possible.
 - It is possible to submit bids for the above funding even if 2018/19 LiP funding is obtained.
- 9.4 Funding for future years anticipated from the TfL LiP fund subject to successful submissions.
- 9.5 The implication of not receiving adequate funding to deliver the programme are the works would not be carried out and would leave the Central Government at risk of legal action from Client Earth. As a result of Client Earth's historical and current legal action against the UK, a fine of up to £1m

could be disseminated from Central Government to each Local Authority found to be breaching the Air Quality Standards.

10. Legal implications and risks:

- 10.1 The air quality strategy for England, Scotland, Wales and Northern Ireland sets out the way forward for work and planning on air quality issues such as setting the standards and objectives to be achieved. Under Part IV of the Environmental Act 1995 (the Act) local authorities are required to review and assess current and likely future air quality in their areas and where the required standards and objectives are not being met, or are not likely to be met within a relevant period they must declare that area an Air Quality Management Area (AQMA) which will cover the area where problem is arising or expected. Local authorities must take action with other organisations and agencies to work towards meeting the air quality objectives in the AQMA.
- 10.2 The Act places a legal duty on local authorities to undertake periodic assessments and reviews of current and future air quality in their borough and to produce an Air Quality Action Plan once an Air Quality Management Area has been declared within a Local Authority's boundaries.
- 10.3 Under the London Local Air Quality Management Framework boroughs are required to; manage and improve air quality at a local level, annually review and assess air quality in their area, declare air quality management locations where air quality objectives will not be met and produce action plans setting out how they will work towards meeting air quality objectives in those declared areas and consult the Mayor of London on air quality issues. The Mayor of London is legally required to review all air quality reports produced by London Boroughs. The Mayor considers the quality of the report and has powers of direction to boroughs when work or reports are not completed satisfactorily. The plan must include relevant points from the Mayor's Air Quality Strategy for London within their action plans.
- 10.4 A public consultation must be undertaken in respect of the plan in accordance with the requirements of the Environmental Act 1995.

11. Human Resources implications and risks:

- 11.1 There are no HR implications arising from this report. Teams have been consulted prior to the AQAP being published and have signed up to help support or lead on the actions within. A dedicated 3-day a week Environmental Protection Officer will be funded through the LiP to work solely on managing the AQAP and its projects.

12. Equalities implications and risks:

- 12.1 Any projects delivered as a result of this decision are expected to have beneficial impacts on protected equality groups within Havering. Young and old residents are disproportionately impacted by poor air quality, as are

certain disabilities groups and action to improve air quality in the borough will be of particular benefit to these groups.

- 12.2 Any project awarded funding in Havering will be subject to separate equalities analysis prior to implementation where appropriate, to ensure compliance with the Public Sector Equality Duty.
- 12.3 An Equality Impact Assessment has been produced. A positive impact has been identified on the grounds of this protected characteristic. The Air Quality Action Plan applies equally to all residents of Havering irrespective of ethnicity / race.

BACKGROUND PAPERS

None.

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jAppendix 1

Draft London Borough of Havering Air Quality Action Plan 2018- 2023

DRAFT

EXECUTIVE SUMMARY

Poor air quality has a direct impact on the health and wellbeing of our residents, workers, commuters and visitors, therefore improving Havering’s air quality is high priority. Poor air quality is not just an issue in Havering, but London wide.

This document contains the Air Quality Action Plan (AQAP) for Havering for the years 2018 – 2023 and outlines the actions Havering Council will take to improve local air quality. Our priority is to reduce key pollutants, Nitrogen Dioxide (NO₂) and Particulate Matter (PM₁₀ and PM_{2.5}). In Havering these pollutants are primarily produced by road traffic but there are other contributors such as construction, domestic gas use and industry.

Since September 2006 the entire London Borough of Havering has been designated an Air Quality Management Area (AQMA) for NO₂ and PM₁₀. Whilst we are meeting long and short term objectives for PM₁₀ and PM_{2.5}, Havering, like many other London Boroughs is failing to meet the national long term objective for NO₂.

This AQAP will be subject to review, appraisal of progress and reporting to the Greater London Authority (GLA) and the Department of Environment, Food and Rural Affairs (Defra). Progress each year will be reported in the Annual Status Reports reproduced by Havering Council, as part of our statutory London Local Air Quality Management duties.

Signed

.....

Cllr. Osman Dervish

.....

Director of Public Health

.....

Director of Neighbourhoods

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DRAFT

1.0 About Havering

The London Borough of Havering is the 3rd largest borough in London and encompasses some 43 miles, divided over 18 electoral wards. Havering is mainly characterised by its suburban development and large areas of protected open space (almost 50% of the borough is green belt), especially towards the east of the borough. Havering is currently one of the top London borough's for clean air; however in some locations we are still breaching the NO₂ limit.

The estimated population of Havering is 252,783¹ however, it has the highest percentage of residents aged 65+ (18.4%) out of all the London boroughs (11.5%) and a greater percentage than the England average (17.7%)². Havering also has a growing population which has experienced a year on year increase since 2002 – an overall increase of 12.3%. Growth is particularly high in the 0-4 year old age group, which comprises 6.7% of the population compared to 7.2% in London and 6.2% in England³.

The borough includes Romford, an important Metropolitan Town Centre for North-East London, known for its major retail development, successful night time economy and densely populated residential areas. In addition to this there are significant smaller District Centres at Collier Row, Elm Park, Harold Hill, Hornchurch, Rainham and Upminster.

The south side of Havering is located within the London Riverside section of the Thames Gateway redevelopment and will be key area of increasing development and population change over the next few years.

Havering is a relatively affluent local authority; however there are zones of deprivation to the north (Gooshays and Heaton wards) and south (South Hornchurch) of the borough¹.

The key transport routes of the M25, A12, A13 and A127 are major sources of motor vehicle tailpipe emissions which contribute to air pollution concentrations within the Borough. In addition to these routes there are others sources such as industrial/commercial point sources, the industrial estates in Hornchurch, Rainham and Romford and Havering Crematorium in Upminster.

2.0 Purpose of this document

This AQAP has been produced to comply with Part IV of the Environment Act 1995. The Plan has regard to guidance on air quality issued by the Greater London Authority (GLA). This Plan outlines the action we will take to improve air quality in Havering between 2018 and 2023.

The new vision 'Havering - Making a Greater London' is about embracing the best of what Havering has to offer and how the borough can play an active role in the success of the whole of London. The new vision is focused around four cross-cutting priorities: Communities, Places, Opportunities and Connections and the Plan links to these priorities as follows:

- **Communities** - We want to help our residents to make positive lifestyle choices and ensure a good start for every child to reach their full potential and support our most vulnerable residents. The actions included in the Action Policy 2: Public Health and Awareness Raising to encourage Smarter Travel aim to keep the residents active and healthier and reduce local pollution levels, in and around schools in particular.
- **Places** - We will work to achieve a clean, safe environment for all and continue to invest in our town centres and work with residents to improve our award-winning parks. This AQAP includes a wide range of actions in order to contribute to a clean, safe environment for all, by improving local air quality and enhancing the borough's public spaces.
- **Opportunities** - We will provide first-class business opportunities by supporting the commercial development of companies within the borough, while ensuring environmental sustainability of the new developments. The actions included in the Action Policy 3: Reducing Emissions from Buildings and Developments aim to incorporate air quality into planning considerations, in order to ensure that any impacts of new developments on air quality are appropriately addressed.
- **Connections** - We want to capitalise on our location with fast and accessible transport links both to central London and within the borough. This AQAP includes actions aiming to promote better, cleaner transport infrastructure connections and sustainable transport options.

For more information on Havering's Vision please visit www.havering.gov.uk where you will find the latest version of Havering's Corporate Plan.

To assist with delivering its "Vision" the Council has several strategic transport aspirations for improving connectivity across the borough. These include:

- Improvement of public transport North/South connections to enable residents to travel between the two emerging Housing Zones in Romford and Rainham and Beam Park;
- reconfiguration of Gallows Corner to improve safety and reduce congestion at this key junction for the borough;
- reconfiguration of the Romford ring road to improve pedestrian accessibility into Romford town centre and to support growth.

Havering is working with relevant stakeholders, including senior officers at Transport for London, the Greater London Authority and the Mayor of London, to develop these aspirations.

2.1 London Air Quality Policy Context

2.1.1 The Draft London Environment Strategy

The AQAP has taken into account the objectives, policies and proposals set out in Chapter 3: Air Quality of the Draft London Environment Strategy. The Mayor of London aims for London to have the best air quality of any major world city by 2050. Shorter-term efforts focus on protecting public health and empowering people, particularly the most vulnerable to reduce their exposure to poor air quality. Longer-term efforts to tackle the sources of air pollution include, among others, mode shift to sustainable forms of transport, such as walking, cycling and public transport, switching to cleaner fuels, reducing emissions from non-transport sources, such as those from construction. The mayor also has a long term target of the whole of London being a zero emission road transport city by 2050, with shorter term aims for zero emission taxis electric single deck buses and bus charging infrastructure.

This AQAP includes a number of actions to improve the understanding of air quality impacts, so that the residents, particularly the most vulnerable such as schoolchildren, can reduce their exposure to poor air quality. A wide range of longer-term actions are also included to reduce the emissions from transport as well as from non-transport sources, with a particular focus on actions to reduce emissions from new buildings and developments.

2.1.2 Draft Mayor's Transport Strategy

On June 21 2017 Mayor of London, Sadiq Khan, published a draft of the Mayor's Transport Strategy. The document sets out the Mayor's policies and proposals to reshape transport in London over the next 25 years.

By using the Healthy Streets Approach to prioritise human health and experience in planning the city, the Mayor wants to change London's transport mix so the city works better for everyone.

Three key themes are at the heart of the strategy.

1. Healthy Streets and healthy people

Creating streets and street networks that encourage walking, cycling and public transport use will reduce car dependency and the health problems it creates.

2. A good public transport experience

Public transport is the most efficient way for people to travel over distances that are too long to walk or cycle, and a shift from private car to public transport could dramatically reduce the number of vehicles on London's streets.

3. New homes and jobs

More people than ever want to live and work in London. Planning the city around walking, cycling and public transport use will unlock growth in new areas and ensure that London grows in a way that benefits everyone.

3.0 Air Quality in Havering

3.1 Why is air quality important for Havering?

Although Havering is an “outer London” borough, known for its large areas of green space and close proximity to Essex, air quality is still a significant issue. Though welcome and beneficial for the borough, continued development and growth will inevitably have a detrimental impact on air quality unless action is taken to mitigate these impacts in order to protect those who live, work and visit Havering.

Havering was formally declared an Air Quality Management Area (AQMA) under the powers conferred upon it by Sections 82(1) and 83(1) of the Environment Act 1995, in September 2006 for both Nitrogen Dioxide (NO₂) and Particulate Matter (PM₁₀).

Havering is now meeting the current legal objectives for Particulate Matter (PM₁₀ and PM_{2.5}). However research has shown that this pollutant is damaging to health at any level and as such remains a pollutant of concern.

NO₂ levels are exceeding the UK National Air Quality Objectives and European Directive Limit⁴ and Target Values for the protection of Human Health of 40 micrograms per cubic metre.

On a positive note there are areas of Havering that are not exceeding the National Objective for NO₂ and there are some wonderful green spaces and parks where everyone can enjoy good air quality. There are however a significant number of “hotspots” of poor air quality in Havering which need to be addressed.

3.2 What is Nitrogen Dioxide (NO₂) and Particulate Matter (PM)?

Nitrogen Dioxide: NO₂

All combustion processes produce oxides of nitrogen (NO_x). In Havering, road transport and heating systems are the main sources of these emissions. NO_x is primarily made up of two pollutants - Nitric Oxide (NO) and Nitrogen Dioxide (NO₂). NO₂ is of most concern due to its impact on health. However NO_x easily converts to NO₂ in the air - so to reduce concentrations of NO₂ it is essential to control emissions of NO_x⁵.

Particulate Matter: PM₁₀ and PM_{2.5}

Particulate matter (PM₁₀ and PM_{2.5}) is a complex mixture of non-gaseous particles of varied physical and chemical composition. It is categorised by the size of the particle (for example PM₁₀ are particles with a diameter of less than 10 microns). Most PM emissions in Havering are caused by road traffic, in Central London this is as much as 80%, with exhaust emission and wear, tyre and brake wear and dust from road surfaces being the main sources. Construction sites, with high volumes of dust and emissions from machinery are also major sources of local PM pollution, along with accidental fires and burning of waste⁵.

3.3 What does Air Quality look like in Havering?

Figures 1 - 3 depict the annual mean concentrations of NO₂, PM₁₀ and PM_{2.5} for Havering in 2013. The maps have been produced by the Greater London Authority using the latest London Atmospheric Emissions Inventory data and can be downloaded from: <https://data.london.gov.uk/dataset/london-atmospheric-emissions-inventory-2013>.

Figure 1: LAEI 2013 Havering Annual Mean NO₂

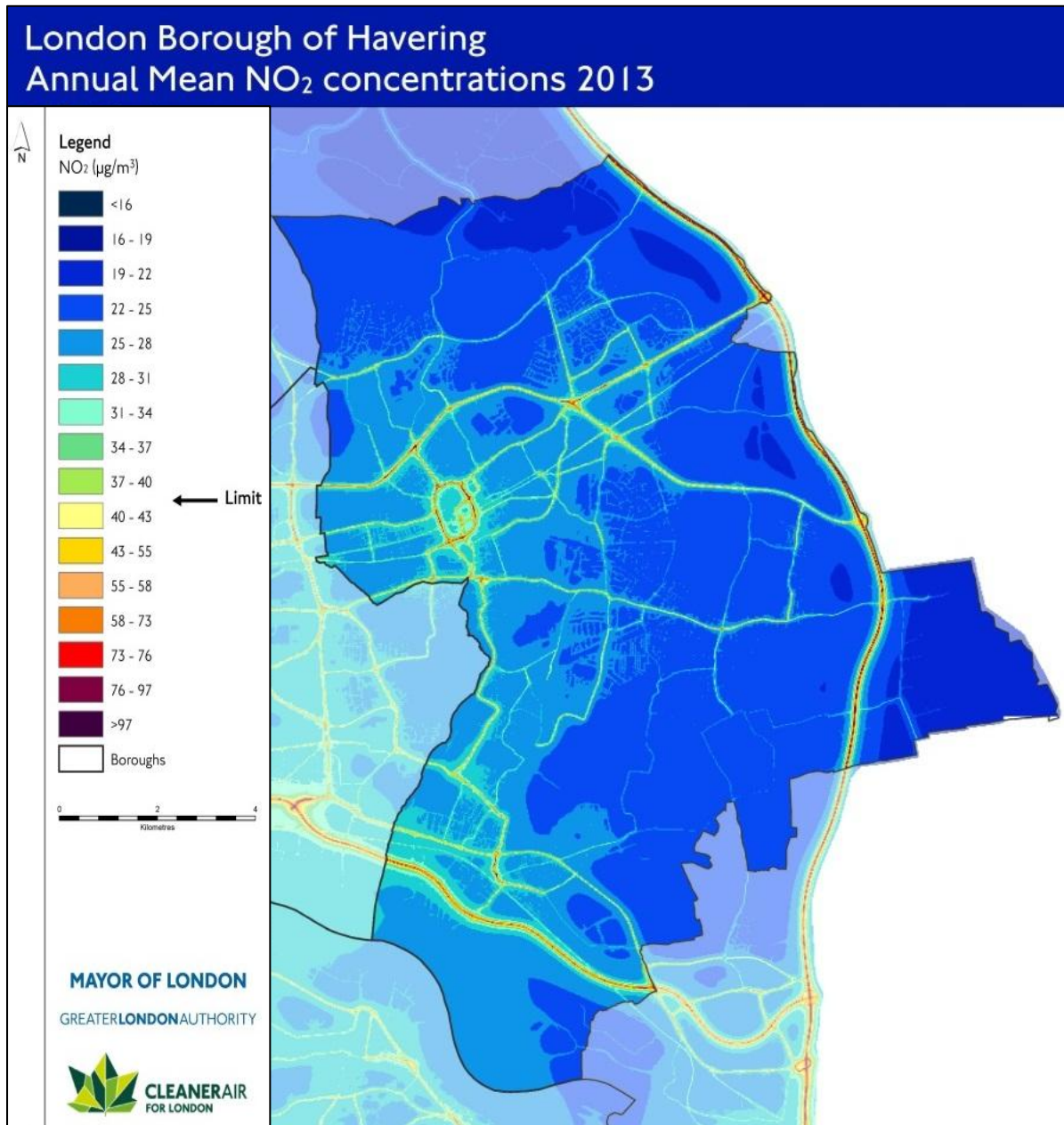


Figure 1 indicates that the majority of Havering in 2013 met the National Air Quality Objective of $40\mu\text{g}/\text{m}^3$ for Nitrogen Dioxide. There were exceedances of this objective at locations along key transport routes (A13, A12, M25, Romford Ring Road and the A1306), which have been linked to emissions from motor vehicles (bus, HGV's and cars).

Figure 2: LAEI 2013 Havering Annual Mean PM₁₀

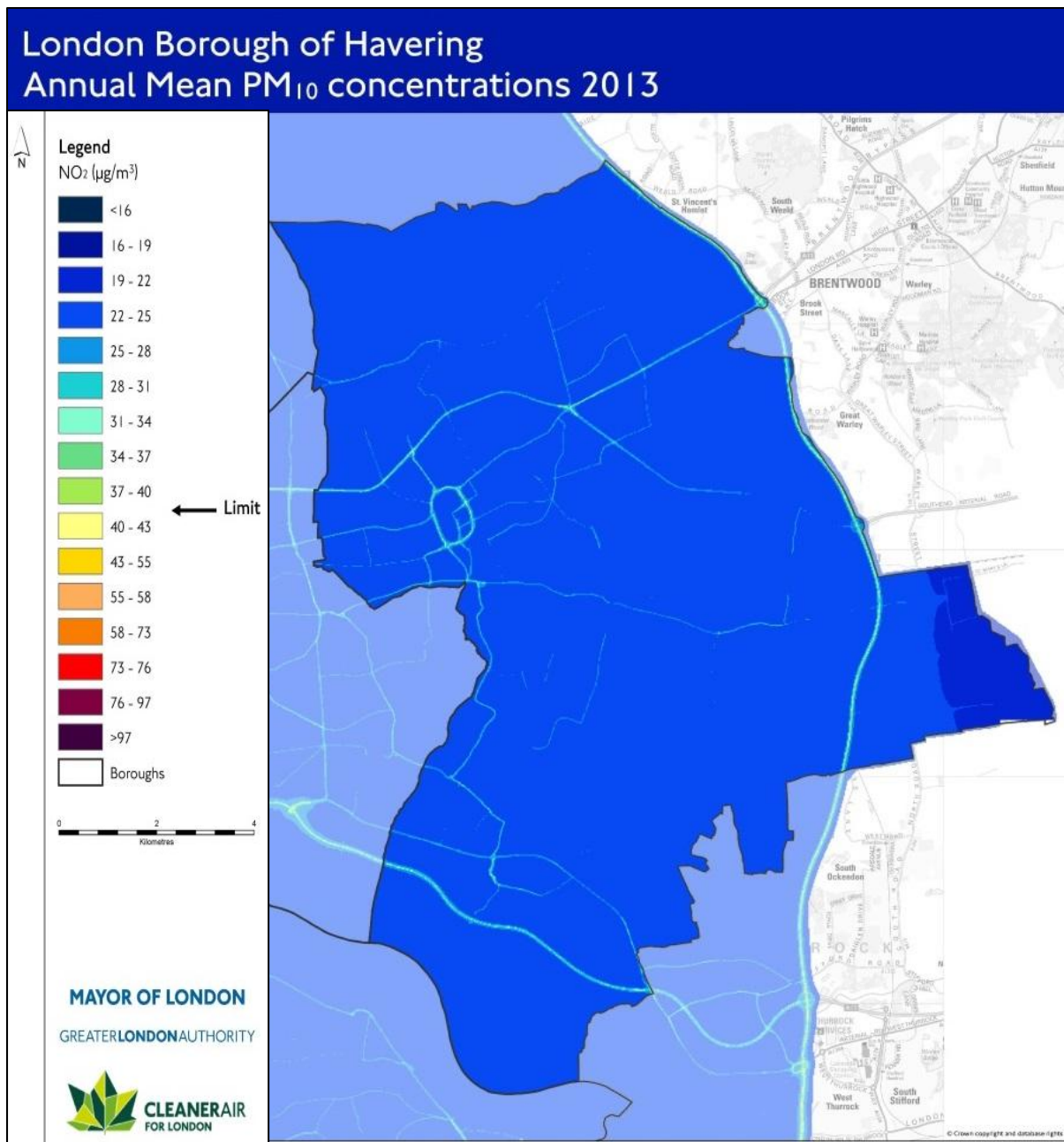
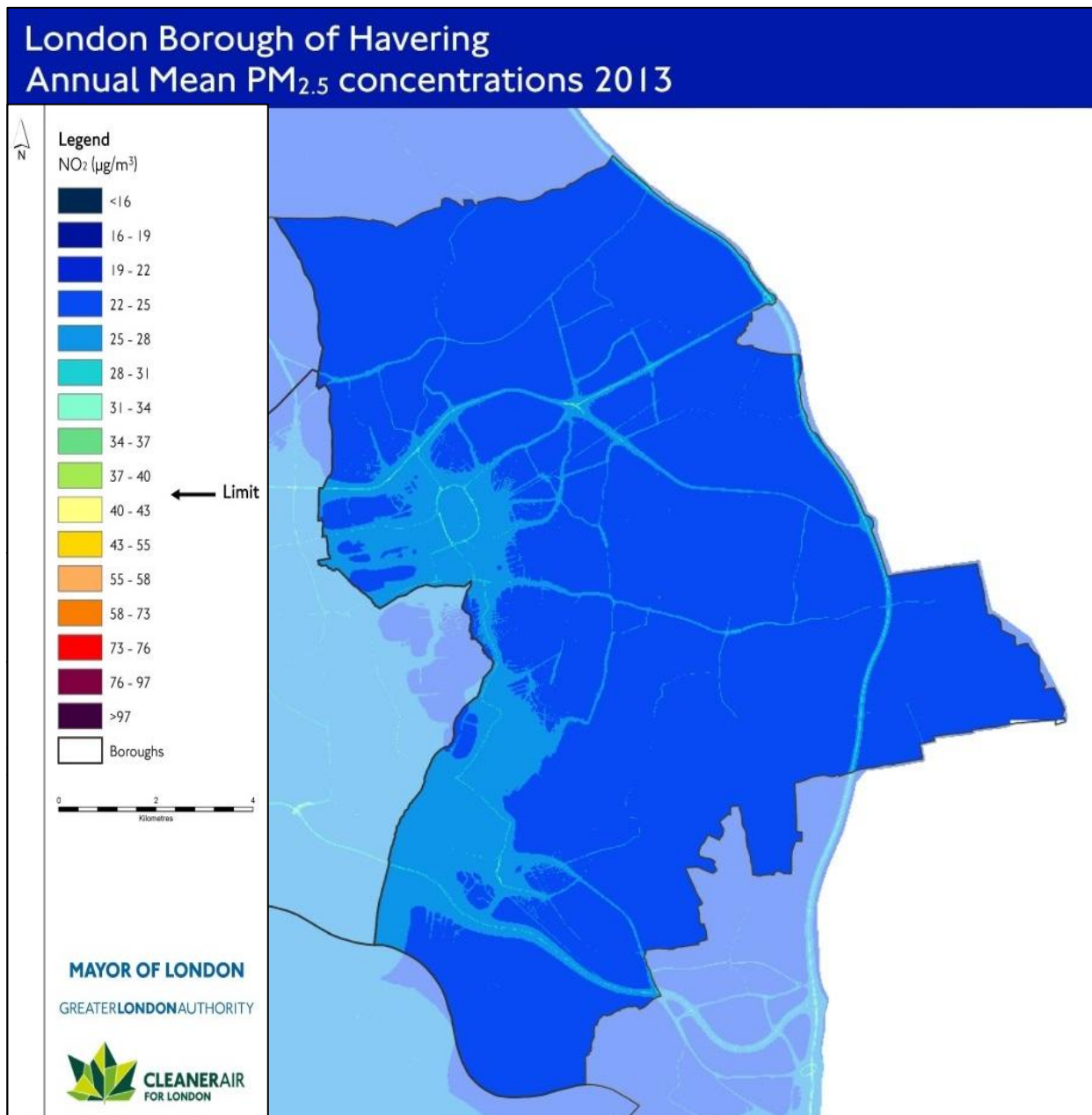


Figure 2 indicates that the majority of Havering in 2013 met the National Air Quality Objective of $40\mu\text{g}/\text{m}^3$ for PM₁₀. There were exceedances of this objective at locations along key transport routes (A13, A12, M25, Romford Ring Road and the A1306), which been linked to emissions from motor vehicles (bus, HGV's and cars).

Figure 3: LAEI 2013 Havering Annual Mean PM_{2.5}



There is currently no National Air Quality Objective for Particulate Matter (PM_{2.5}). London Boroughs are not required to carry out any additional local review and assessment (which includes monitoring) but are expected to work towards reducing emissions and concentrations of PM_{2.5} in their areas. The above map indicates that the majority of Havering has low concentrations of Particulate Matter (PM_{2.5}), but there are higher concentrations located along key transport routes, such as the M25, A12, A13 and A127. These higher concentrations are linked to transport emissions from motor vehicles.

As part of its statutory duty under the London Local Air Quality Management (LLAQM) Havering is required to monitor the local air quality within its boundaries. Currently Havering has an extensive monitoring network of 61 diffusion tubes, two continuous monitoring stations and two AQ Mesh Pods providing monthly, daily and real time air quality data. Figure 4 below shows Havering’s 2016 diffusion tube data against the EU limit value for comparison.

Figure 4: LBH Monitoring Locations vs. EU Limit Value

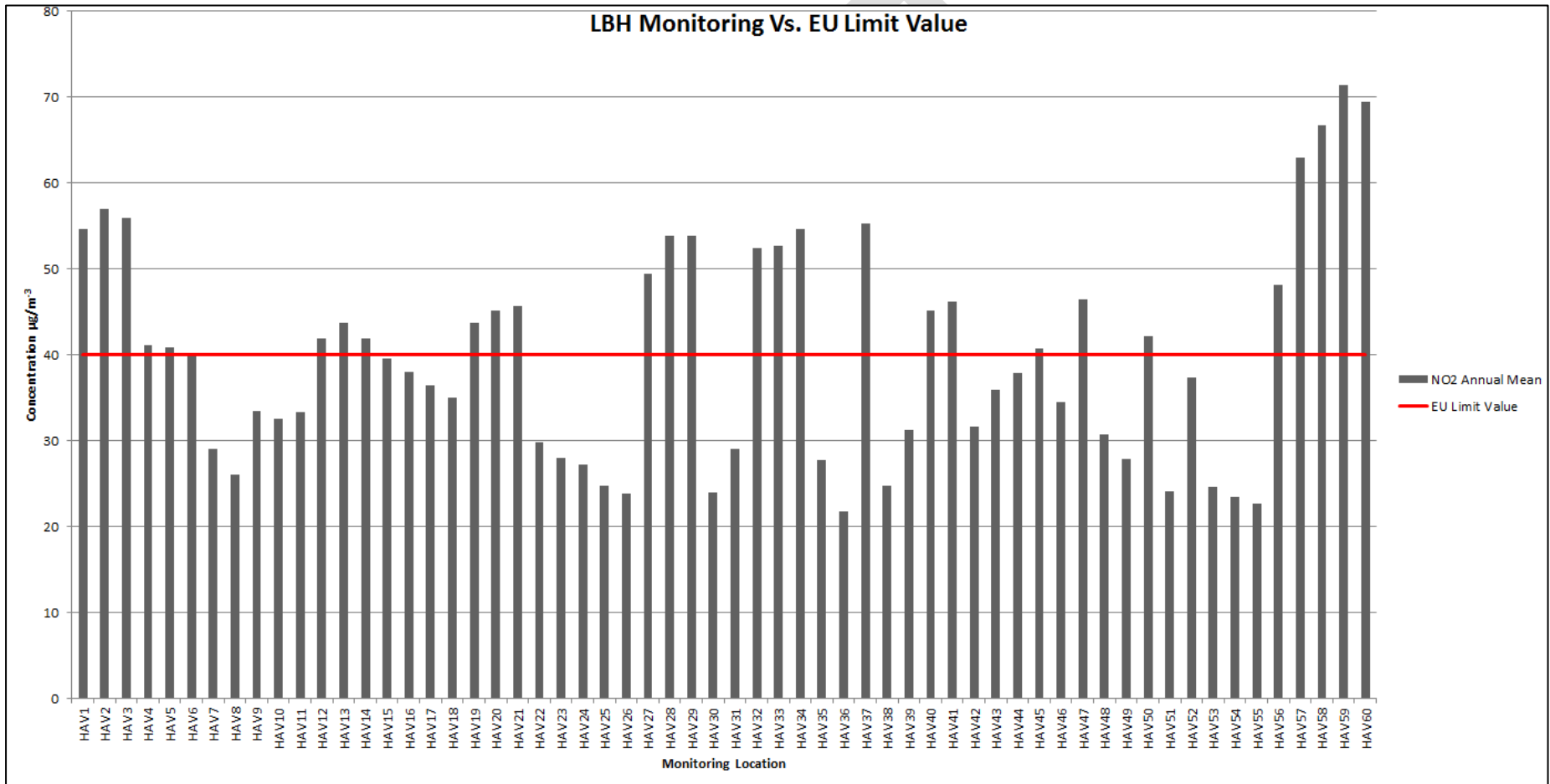


Figure 6: LBH Monitoring Locations (1)

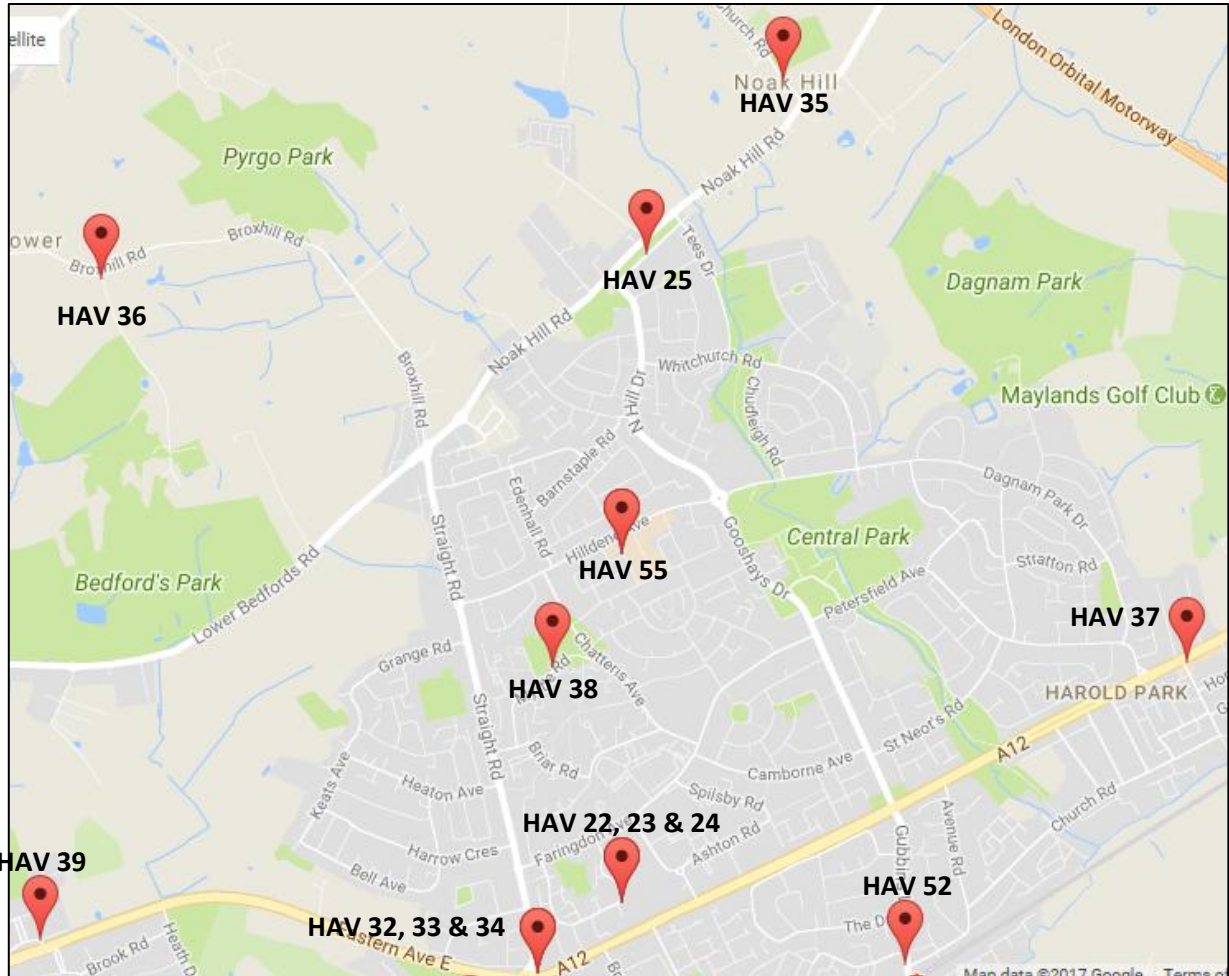


Figure 7: LBH Monitoring Locations (2)

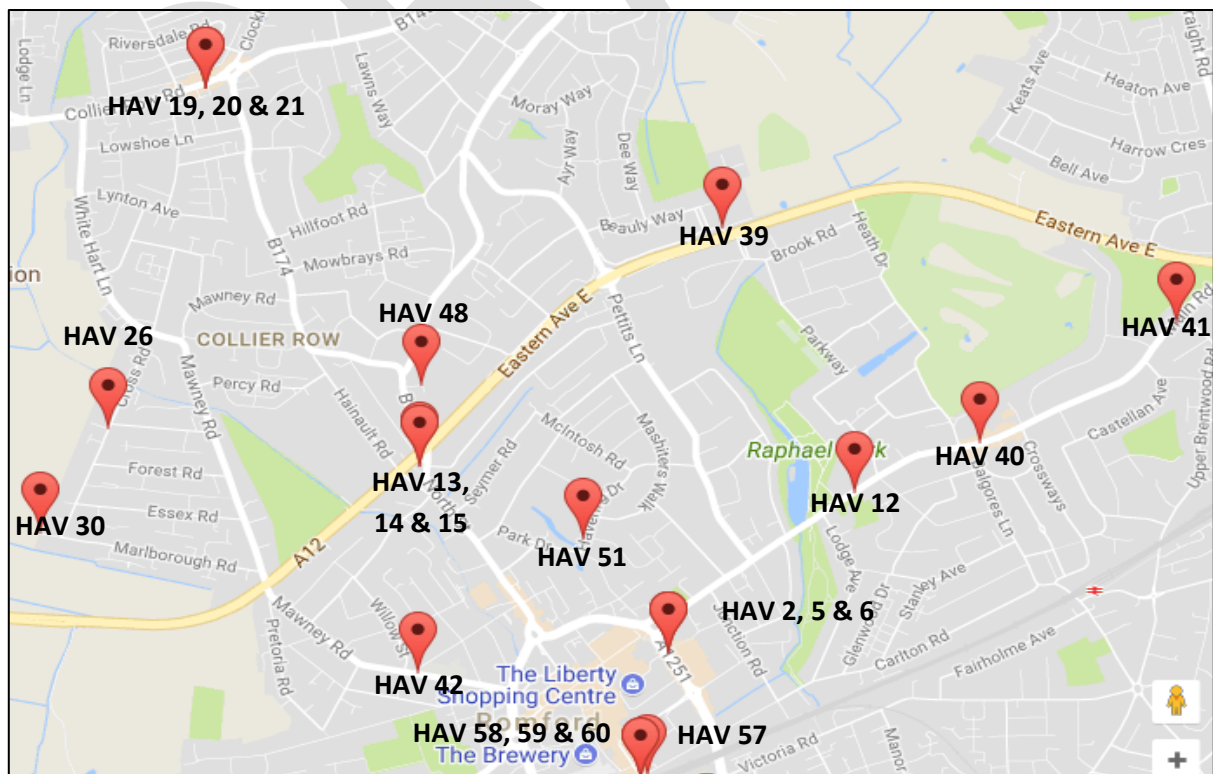


Figure 8: LBH Monitoring Locations (3)

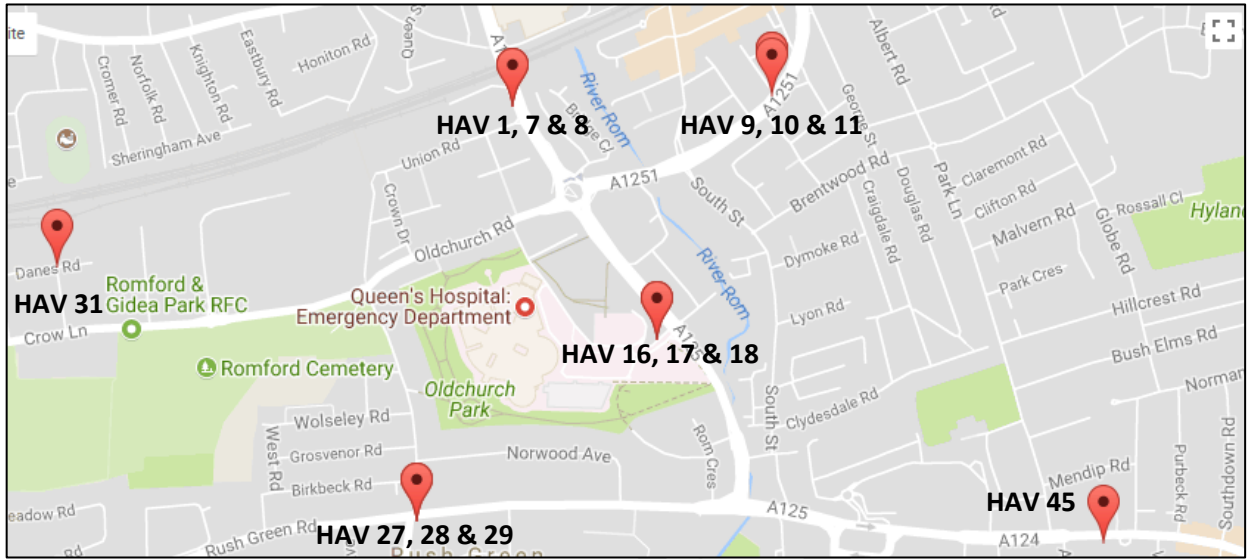


Figure 9: LBH Monitoring Locations (4)



Figure 10: LBH Monitoring Locations (5)

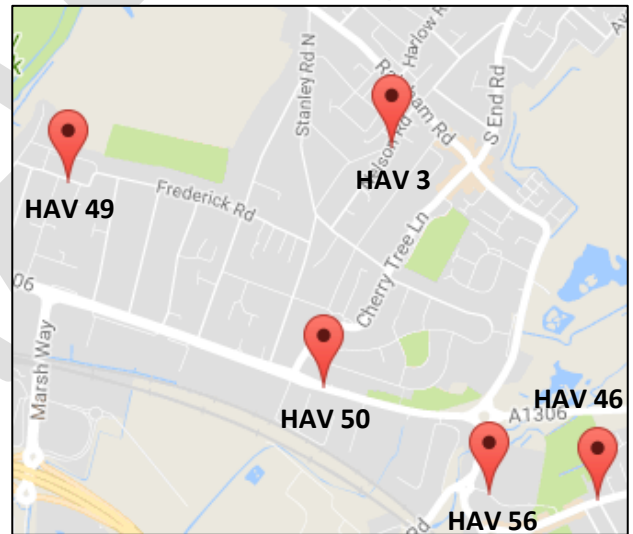
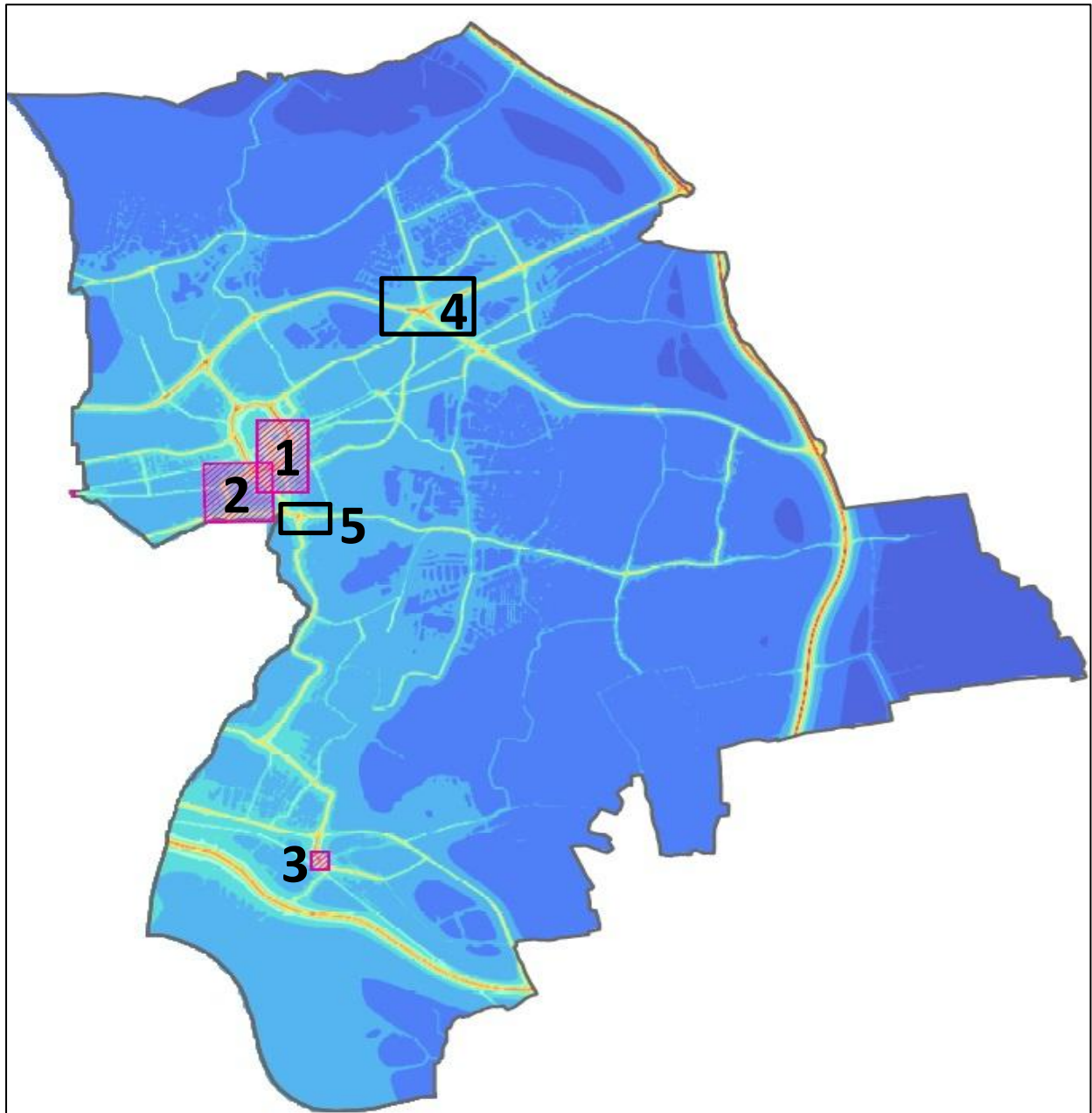


Figure 11: LBH Monitoring Locations (6)



Figure 12: Local 'Hotspots' in Havering



KEY

1. Romford Town Centre – Thurloe Gardens (77% bus & 11% cars). Nearest receptor: 5 m (residential properties)
2. Romford/Rush Green A124 Rush Green Road and Rom Valley Way (36% Bus & 37% HGV). Nearest receptor: 8 m (residential properties)
3. Rainham – Broadway (41% HGV & 31% Bus). Nearest receptor: 3 m (residential properties)
4. Gallows Corner. Nearest receptor: 20 m + (residential properties)
5. Roneo Corner. Nearest receptor: 5 m (residential properties)

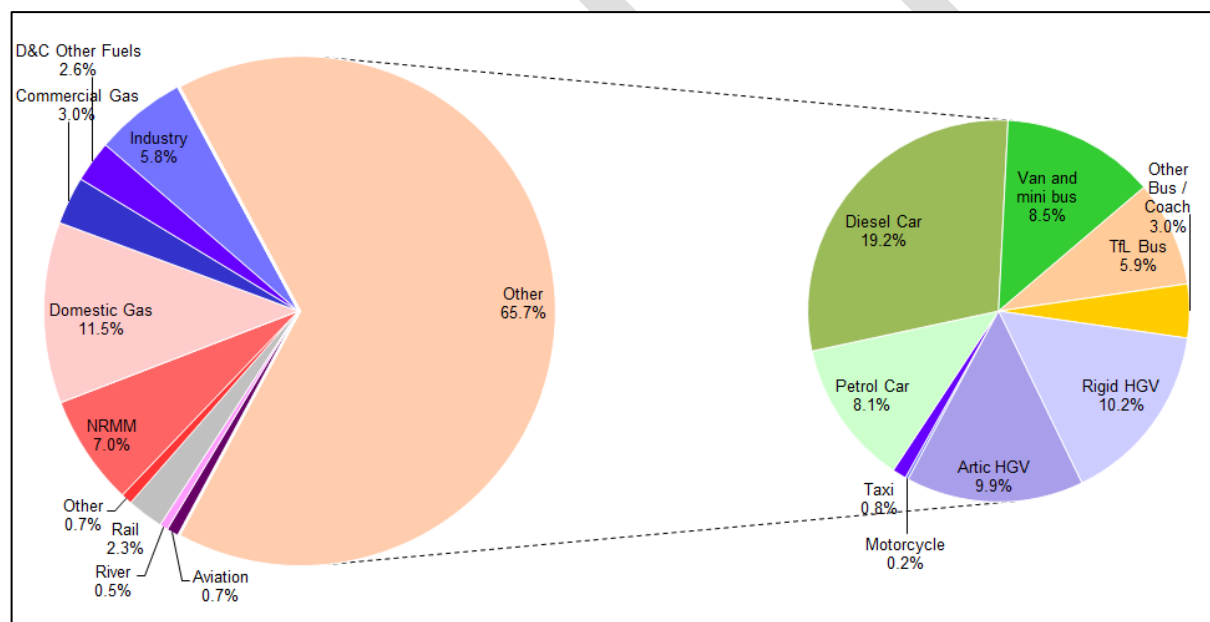
3.4 What are the sources of Air Pollution in Havering?

Pollution in Havering comes from a variety of sources, some of which are located outside of the Borough. In the case of Particulate Matter, a significant proportion comes from outside of London and even the UK.

The key transport routes of the M25, A12, A13 and A127 are major sources of motor vehicle tailpipe emissions which are the main source of pollution within the Borough. The M25 is operated and maintained by Highways England whilst the A12, A13 and A127 within Havering fall under the responsibility of Transport for London (TfL). In addition to these routes there are other sources such as the Thames Water’s Riverside Sewage Treatment Works in Rainham and the industrial estates in Hornchurch, Rainham and Romford and Havering Crematorium in Upminster.

Trans-boundary sources include the Riverside Resource Recovery Incinerator (locally known as the Belvedere Incinerator) in Bexley; annual sub-Saharan dust deposits brought to the Borough on the prevailing winds and previously (until its closure in 2014) the Barking Power Station in the London Borough of Barking & Dagenham.

Figure 13: NO_x Emissions by Source and Vehicle Type (from the LAEI 2013)



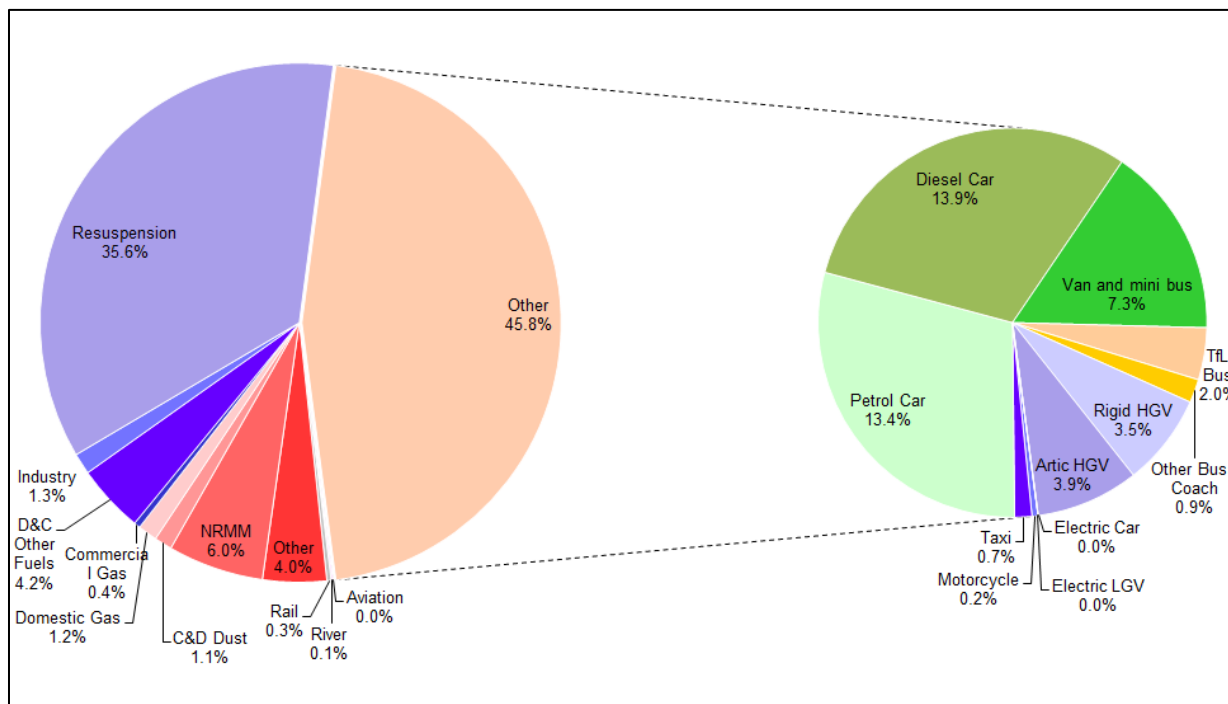
Motor vehicle tailpipe emissions have been identified as the main contributor to pollution in Havering and this is represented in the pie chart above.

The NO_x emissions produced in Havering originate from motor vehicles (65.7%), followed by Domestic Gas (11.5%), Non-Road Mobile Machinery (NRMM) (7.0%), Industry (5.8%), Commercial Gas (3.0%), D&C Other Fuels (2.6%), Rail (2.3%), Other (0.7%), Aviation (0.7%) and River (0.5%), as shown by the pie chart above.

The greatest contributor to NO_x emissions from motor vehicles is Diesel Cars (19.2%), followed by Rigid HGV (10.2%), Artic HGV (9.9%), Van and Mini Bus (8.5%), Petrol Car (8.1%), TfL Bus (5.9%), Other Bus/Coach (3.0%), Taxi (0.8%) and Motorcycle (0.2%).

Correspondence was received from TfL on 9th June 2016 updating the Council on the London Bus Emissions Reduction, which over the period of 2008 – 2013 reduced emissions from the bus fleet in Havering from 137.5 tonnes per year to 101.5 tonnes per year, with a prediction of a continuing reduction till 2030. TfL are currently undertaking a review of bus service provision along the Crossrail route.

Figure 14: PM₁₀ Emissions by Source and Vehicle Type (from the LAEI 2013)

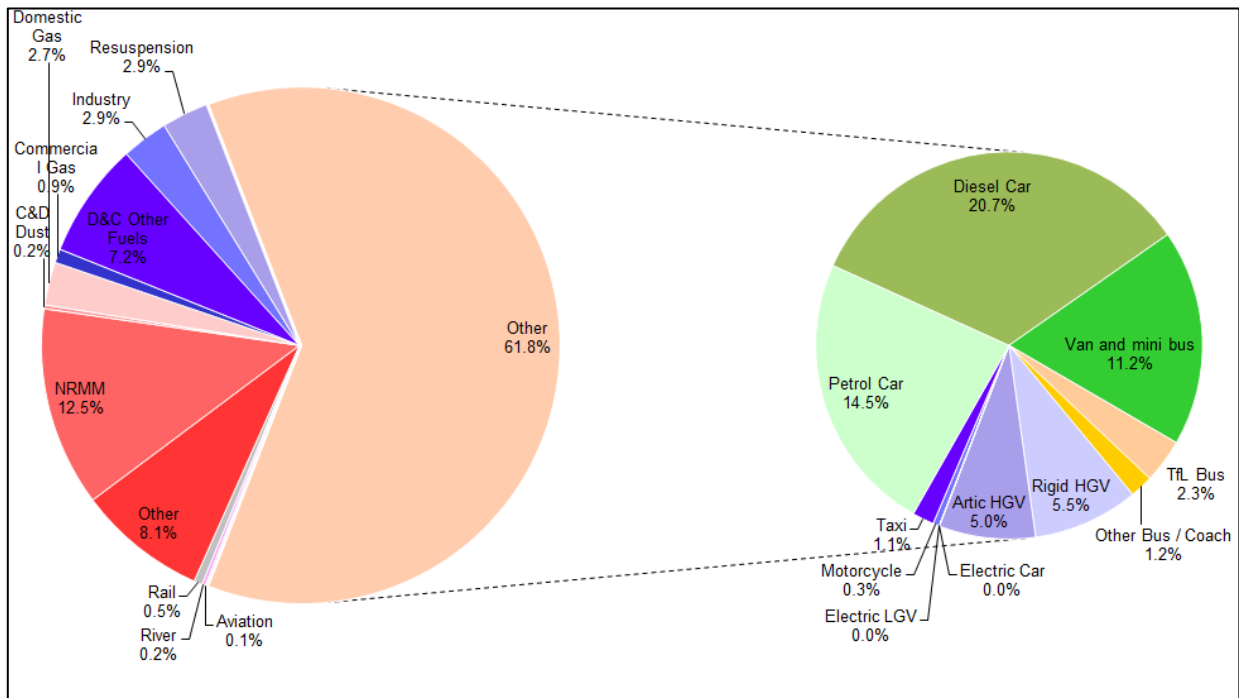


The majority of PM₁₀ emissions produced in Havering originate from motor vehicles and this is represented in the pie chart above.

The PM₁₀ emissions produced in Havering originate from motor vehicles (45.8%), followed by Resuspension (35.6%), NRMM (6.0%), D&C Other Fuels (4.2%), Other (4%), Industry (1.3%), Domestic Gas (1.2%), C&D Dust (1.1%), Commercial Gas (0.4%), Rail (0.3%), River (0.1%) and Aviation (0.0%).

The greatest contributor to PM₁₀ emissions from motor vehicles is Diesel Cars (13.9%), followed by Petrol Cars (13.4%), Van and Mini Bus (7.3%), Artic HGV (3.9%), Rigid HGV (3.5%), TfL Bus (2.0%), Other Bus/Coach (0.9%), Taxi (0.7%), Motorcycle (0.2%) and Electric Car/LGV (0.0%).

Figure 15: PM_{2.5} Emissions by Source and Vehicle Type (from the LAEI 2013)



The majority of PM_{2.5} emissions produced in Havering originates from motor vehicles and this is represented in the pie chart above.

The PM_{2.5} emissions produced in Havering originate from motor vehicles (61.8%), NRMM (12.5%), other (8.1%), D&C Other Fuels (7.2%), Resuspension (2.9%), Industry (2.9%), Domestic Gas (2.7%), Commercial Gas (0.9%), Rail (0.5%), C&D Dust (0.2%), River (0.2%) and Aviation (0.1%).

The greatest contributor to PM_{2.5} emissions from motor vehicles is Diesel Cars (20.7%), followed by Petrol Cars (14.5%), Van and Mini Bus (11.2%), Rigid HGV (5.5%), Artic HGV (5.0%), TfL Bus (2.3%), Other Bus/Coach (1.2%), Taxi (1.1%), Motorcycle (0.3%) and Electric Car/LGV (0.0%).

4.0 Effects of Poor Air Quality in Havering

Short Term NO₂ Exposure

- A respiratory impact particularly in Asthma sufferers.
- Increase in airway allergens and inflammatory reactions.
- Increased hospital admissions.
- Increased mortality.

Long Term NO₂ Exposure

- Reduction in lung function.
- Increased respiratory symptoms.

Short Term PM Exposure

- Lung inflammatory reactions.
- Respiratory symptoms.
- Adverse effect on the cardiovascular system.
- Increased usage of medication.
- Increased hospital admissions.
- Increased mortality.

Long Term PM Exposure

- Increase in lower respiratory symptoms.
- Reduced lung function in children.
- Increase in COPD.
- Reduction in lung function in adults.
- Reduction in life expectancy mainly owing to cardio pulmonary mortality and probably cancer.

Havering has a high percentage of residents over the age of 65 and many young families. These groups (the elderly and children) are particularly susceptible to the effects of poor air quality.

The effects range from cardiovascular disease and asthma, respiratory disorders and over a prolonged period have been linked to some cancers.

In 2012 the World Health Organisation (WHO) classified diesel as being carcinogenic to humans⁶. Additionally, air pollution particularly affects the most vulnerable in society: children (including unborn) and older people, and those with existing heart and lung conditions. There is often a strong correlation with areas of deprivation having the poorest air quality.

Research has shown that those living in more deprived areas are exposed to higher concentrations of air pollution, often because homes and residences of these groups are situated next to roads with higher concentrations of emissions. Deprived communities also generally suffer greater burdens from air-pollution-related death and sickness. In 2008 there were 11 deaths attributable to exposure to PM_{2.5} in Gooshays Ward, 9 in Heaton and 10 in South Hornchurch⁵.

The health impacts of air pollution should not be underestimated. More people in London are harmed by air pollution attributed to road transport than by road collisions and incidents⁷. In London in 2010, 4,267 deaths per annum were shown to be directly attributable to the effects of air pollution; outer London boroughs accounted for 6.3% of all deaths⁸.

Exposure to the principle vehicle pollutants affecting Havering (NO, PM_{2.5} and PM₁₀) can have both short and long-term effects, ranging from respiratory inflammation, particularly in asthma sufferers, and increased used of medication, to reduced lung function, cancers and reduction in life expectancy.

Air pollution particularly affects the most vulnerable in society, namely children and older people. As well as the highest population of people aged 65 and over out of all the London Boroughs, and a relatively high percentage of 0-4 year old, Havering's prevalence of Asthma (4.8%) is significantly worse than London (4.6%). In addition, Havering has 61.7 per 100,000 deaths from Chronic

Obstructive Pulmonary Disease (COPD), which is significantly higher than both London (49.9 per 100,000) and England (52.6 per 100,000). (RCPCH 2016)⁹

Havering like all boroughs and district councils has a statutory obligation to review and assess air quality levels within its area against objectives set out in the UK Air Quality Strategy (AQS). As part of this review and assessment process, known as London Local Air Quality Management (LLAQM) the Council has undertaken various assessments which have determined that Havering will not meet the objectives for Nitrogen Dioxide (NO₂) and particulate matter (PM₁₀), without significant intervention measures.

4.1 Havering Compared to other London Boroughs

It is difficult to compare Havering's air quality to that of other London Boroughs due to a range of influencing variables and the fact that each borough is so different in comparison to the next. Monitoring sites are often located with different monitoring objectives and do not necessarily provide a general representative of the Boroughs overall air quality. They do however; provide an indication of the local air quality at that location. For more information visit the London Air website at:

<https://www.londonair.org.uk/LondonAir/guide/WorstPlace.aspx>

Figures released in 2013¹⁰, showed that Havering's roads are one of the cleanest in London with "just" over 57% of them exceeding the European and National Limit for NO₂, with only Harrow (56%) and Bromley's (45%) roads performing better. However this should not be misinterpreted to mean that Havering has good air quality and no action should be taken, as London remains one of the most polluted areas of the country.

4.2 What is Havering doing already to improve air quality?

Havering is committed to improving its Air Quality for all, and over the past couple of years has completed/continuing the following projects;

- The adoption of Public Space Protection Orders (PSPO) around 4 schools: Wykeham Primary School (Rainsford Way Hornchurch) James Oglethorpe Primary School, (Ashvale Gardens Upminster) Parsonage Farm Primary School (Farm Road Rainham) and Rainham & Engayne Primary School, (Severn Drive Upminster). Previous to the adoption of the PSPO the schools experienced dangerous and illegal parking on or around the grounds during pick up/drop off times. Now if cars park illegally a fine known as a Fixed Penalty Notice (FPN) is issued for £100. This has resulted in the reduction of car use around the school grounds and made the area safer and air cleaner for pupils and staff during drop off/pick up.
- The creation of an extensive Air Quality Monitoring Network through the use of 61 NO₂ Diffusion Tubes, 2 continuous monitoring stations and 2 AQ Mesh Pods.
- Promotion of the free AirTEXT pollution forecast app. This tool provides air quality alerts by SMS text message, email and voicemail and 3-day forecasts of air quality, pollen, UV and temperature or the information can be found on the airTEXT website. The information provided is specific to Havering and allows the public to reduce their exposure to poor air quality.
- The delivery of Air Quality initiatives in schools. This programme was initially carried out in four primary schools which taught Year 5 students, parents and staff about air quality, how

they can improve their own air quality, how to reduce their exposure and improve the schools sustainable travel options.

- A borough wide Air Quality Awareness and Behaviour Change Campaign which has so far seen our Air Quality Champion 'Miles the Mole' visit 36 primary schools in the Borough alongside a Theatre Company and Air Quality lesson plans.
- The inclusion of Air Quality projects within the Youth Travel Ambassador Scheme with secondary schools, colleges and institutes of higher education.
- 'Clean Up' of Havering's own fleet vehicles, this included the upgrade of all lease cars to Euro V low emission vehicles, which will again be upgraded to Euro VI when they are up for renewal (if sufficient mileage/usage has occurred). Electric Vehicles are currently utilised by our Parks Department, however the purchase of electric buses or hybrids is currently prohibited by the cost and the heavy loads they are expected to handle. The buses are currently being transitioned over to diesel Euro VI to make them cleaner; however we will continue to look into alternatively fuelled models as the industry develops.
- The move from essential car use allowance system and the introduction of working from home initiatives has helped with the reduction in staff trips/mileage and associated emissions.
- The training of approximately 20 vocational drivers on Eco-driving and urban driving courses and the fitting of the ECO Packs to the For Transit & Connect vans which prompt drivers to change gear at the correct engine revs to aide with reducing fuel consumption.
- The review of planning applications to include (where necessary) air quality conditions to help mitigate against developments having a detrimental impact on local air quality.
- The production of the Air Quality Factsheet in conjunction with Public Health to give residents more information on how they can reduce their own exposure to poor air quality and how they can help improve the air quality in Havering.

5.0 What we want to deliver and improve in the future –The Action Plan

This Action Plan sets out the projects, policies and initiatives Havering Council and its partners propose to take over the next 5 years in order to improve air quality within its Borough by reducing Nitrogen Dioxide and Particulate Matter concentrations from the key emission sources i.e. road transport, new development and gas boilers. Likewise, the plan aims to increase awareness, knowledge and understanding of air quality and help everyone who lives, commutes or works in Havering to reduce their own exposure as well as to improve air quality.

The overarching aims of the Plan are to;

1. Continue to meet EU Objectives for 1,3-Butadiene, Benzene, Carbon Monoxide, Lead, PM₁₀ and short term NO₂.
2. Continue to reduce concentrations of PM₁₀ and PM_{2.5}
3. Continue to reduce concentrations of NO₂ to meet the long term EU Objective for NO₂.

The actions have been grouped into the following four action policies;

Action Policy 1: Air Quality Monitoring and Modelling

Action Policy 2: Public Health and Awareness Raising to encourage Smarter Travel

Action Policy 3: Reducing Emissions from Buildings and Developments

Action Policy 4: Reducing Emissions from Transport

Progress against this Plan will be reviewed annually, and this Plan has been reviewed and approved by xxxxx.

5.1 Funding

There is a budget of £125,000 allocated to Havering from the TfL Local Implementation Plan (LiP) funding stream, for 2018-19 which helps London boroughs deliver the Mayor's Transport Strategy at a local level, this includes work around air quality. Funding for future years expected from the TfL LiP fund subject to successful submissions. Additional funding may be achieved from the Mayors Air Quality Fund (MAQF), Mayors Air Quality Business Fund (MAQBF), Defra Air Quality Grant and other funds that become available. Havering will take the opportunity to bid for additional funding as and when it becomes available.

Action Policy One: Air Quality Monitoring and Modelling

Why do we monitor and model Air Quality in Havering?

Air Quality is monitored in Havering as part of the Council's statutory duties to review and assess the present and likely future air quality within its area. By monitoring the air quality around the borough, we can assess our compliance with air quality objectives, evaluate the effectiveness of policies and projects, and also help provide information and alerts to Havering's residents, workers and visitors when pollution levels are moderate or high.

By carrying out extensive monitoring, information can be gathered on long term trends in pollution levels at many locations in the Borough. We are then able to publish this data through our annual reporting to the GLA, keeping our residents up to date on Air Quality in Havering and the progress being made to improve the situation. These reports can be downloaded from Havering's Air Quality webpage at; https://www.havering.gov.uk/info/20085/air_quality/441/air_quality and the monitoring data can be accessed either from the London Air website or the Defra Diffusion Tube Datacentre.

What Monitoring & Modelling has already been done?

Havering has an extensive monitoring network after recently expanding from 4 to 39 locations. 61 Diffusion Tubes measure monthly average NO₂ concentrations and two continuous monitoring stations provide real time NO₂ and PM concentrations which are used for annual reporting to the GLA. The AQ Mesh Pods are used for local monitoring projects and provide real time NO₂ measurements, but are not currently a standardised method for reporting. The continuous monitoring stations provide real time information on air pollution levels in Havering to the London Air website and airTEXT, where information, alerts and advice for the public can be found.

In 2012 Havering commissioned KCL to produce a series of air quality maps for Havering showing baseline conditions for the year 2012 and predicted future conditions for 2015 and 2020. These were used to help determine areas of previously unknown poor air quality and help focus air quality projects in the areas that required those most.

Action No.	Action Description	Lead	Time Frame and Monitoring of Action	Funding	Benefits
1.1	Undertake detailed computer modelling of air quality in Havering. Produce a series of borough maps depicting the annual mean concentration levels of NO ₂ , PM ₁₀ and PM _{2.5} for a base year of 2015 and future years (2020 & 2025).	Public Protection using and external expert consultancy.	Timeframe: 2018/2019	2018-19 LIP	<ul style="list-style-type: none"> • Provide evidence for planning decisions • Support major strategic transport and infrastructure projects for the Council.
			Monitoring of Action: N/A		
			Review Date: Jan 2019		
1.2	Use AQ Mesh Pods to provide real time air quality measurements for schools to use as part of air quality publicity campaigns and to encourage walking to school.	Public Protection	Timeframe: 2018 onwards	2019-20 LIP	<ul style="list-style-type: none"> • Identify areas of poor air quality outside of schools that were previously unknown. • Keep the public up-to-date on the latest pollution trends and air quality data. • Raise awareness and knowledge of the local air quality allowing the public to reduce their exposure to poor air quality.
			Monitoring of Action: Number of schools with AQ Mesh Pod. Review of air quality data provided by the AQ Mesh Pod		
			Review Date: After each individual monitoring project		
1.3	Re-assess the status of the whole of Havering being declared an Air Quality Management Area (AQMA) and focus on key “hot spots” and major routes in the borough.	Public Protection	Timeframe: 2018	2018-19 LIP	<ul style="list-style-type: none"> • Focus actions on key hotspots and major routes in the borough to achieve better outcomes. • Supports a key aim of the Mayor of London to reduce the size and number of AQMA’s.
			Monitoring of Action: N/A		
			Review Date: Jan 2019		

Action No.	Action Description	Lead	Time Frame and Monitoring of Action	Funding	Benefits
1.4	Undertake feasibility study into the location and start-up of a new permanent continuous monitoring location.	Public Protection,	Timeframe: Early 2018	2018 MAQBF 2018-19 LiP	<ul style="list-style-type: none"> • Greater detail available for reporting and planning in the area. • Keep the public up-to-date on the latest pollution trends and air quality data and increases knowledge of the local air quality.
			Monitoring of Action: N/A		
			Review Date: 2019		
1.5	Expand the current Diffusion Tube Network. Install further diffusion tubes for monitoring of NO ₂ as part of match funding for the London Riverside Bid.	Public Protection	Timeframe: October 2017 – December 2018	2018 MAQBF 2018-19 LiP	<ul style="list-style-type: none"> • Greater detail available for reporting and planning in the area. • Identify and assess areas of poor air quality that were previously unknown
			Monitoring of Action: Number of additional diffusion tubes		
			Review Date: February 2019		
1.6	Model likely air quality impact of planned major strategic schemes.	Public Protection	Timeframe: Nov 2017 – Jan 2018	2018-19 LiP	Support major strategic transport and infrastructure projects for the Council and assess their impacts on air quality, to ensure environmental sustainability.
			Monitoring of Action: Number of modelled major schemes.		
			Review Date: March 2018		

Action Policy Two: Public Health and Awareness Raising to encourage Smarter Travel

Why is this important in Havering?

Poor air quality has a direct impact on the health and wellbeing of our residents, workers, commuters and visitors but it particularly affects the most vulnerable of our society; children, the elderly and those with pre-existing medical conditions such as asthma and Chronic Obstructive Pulmonary Disease (COPD). This is of particular concern in Havering as we have one of the largest over 65's population in London (23% of residents = 40,000 people) and between the years of 2010 and 2015 the Borough experienced the largest net inflow of children across all of London.

Informing, educating and raising public awareness about the local air quality and the effects it can have, is one of the ways to protect the most vulnerable of society and those particularly sensitive to the health impacts of air pollution. This information can provide people with the necessary tools to help reduce their exposure to poor air quality and promote a change in lifestyle, which in turn can help improve air quality

What has been done?

Havering has actively promoted airTEXT in past Air Quality Campaigns. AirTEXT is a free service which provides users with a SMS, email or voicemail alert when pollution levels are forecast to be high.

Presently the Borough has almost 90 schools with approved School Travel Plans (STP's), and over 55 schools use their STP's very actively. Havering is one of the leading London Boroughs in promoting active and sustainable travel with high numbers of Havering schools participated in the TfL STARS scheme. We currently have 55 accredited schools, 20 schools at Bronze level, 4 schools at Silver level and 31 schools at Gold level and are hoping to increase these numbers.

The Environmental Protection Team have partnered with Public Health which is especially important with promoting awareness of the subject as health professionals are a trusted voice on these issues.

The new Clean Air Campaign saw the creation of an Air Quality Champion for Havering – Miles the Mole, who features in his own informational video available to view on the Havering Air Quality webpage or the Council YouTube Channel. Miles has been promoting 5 small changes people can make to reduce their contribution to air pollution and reduce their exposure. These are;

- Switch off your engine whenever possible to reduce pollution;
- Walk and cycle more to improve your health and the environment;
- Get into greening; plant and grow more trees and flowers;
- Enjoy the outdoors in Havering's beautiful parks and open spaces; and
- Sign up for air alerts from airTEXT.

Miles has also been visiting schools as part of the Air Quality Education Programme launched by the Mayor of Havering.

Action No.	Action Description	Lead	Time Frame and Monitoring of Action	Funding	Benefits
2.1	Promote walking. Engage with over 50's forum to form a walking club.	Transport Planning	Timeframe: Summer 2018	2018-19 LiP 2018-19 Coms	<ul style="list-style-type: none"> • Increase in the number of residents using sustainable travel methods. • Reduction in the number of vehicles using Havering's roads. • Health benefits for those swapping from using the car to walking. • Strengthened community.
			Monitoring of Action: No. of members who join the walking club		
			Review Date: Summer 2019		
2.2	Continue to use Miles the Mole as an air quality champion and educational prop. Our Air Quality Champion will continue to visit schools across the Borough to deliver the Air Quality Education Programme.	Communications	Timeframe: December 2017 – December 2018	2017-19 LiP	<ul style="list-style-type: none"> • Increase in number of children/staff/parents using sustainable travel methods to travel to and from school. • Reduction in number of idling vehicles in and around school - Less congestion outside schools and in surrounding local roads. • Increased awareness and knowledge of children/staff/parents around air quality • Safer streets for public to use. • Improve local air quality in and around the school. • Reduction in exposure
			Monitoring of Action: No. of schools visited		
			Review Date: January/February 2019		
2.3	Support the London Riverside Business improvement District (BID) in an application for funding to provide a shuttle bus service in the Rainham riverside area.	Transport Planning	Timeframe: October 2017	2017-19 LiP	<ul style="list-style-type: none"> • Business Development & Engagement. • Reduced car number and mileage. • Increased work access availability. • Supports Havering's new Local Plan.
			Monitoring of Action: N/A		
			Review Date: January 2018		

Action No.	Action Description	Lead	Time Frame and Monitoring of Action	Funding	Benefits
2.4	Promote use of public transport.	Transport Planning	Timeframe: 2018-2019	2018-19 LiP	<ul style="list-style-type: none"> • Increase in the number of residents using sustainable travel methods. • Reduction in the number of vehicles using Havering's roads.
			Monitoring of Action: No. of people using buses Annual Traffic Counts		
			Review Date: 2020		
2.5	Public Health Input into delivery of AQAP. Director of Public Health to have responsibility for ensuring their Joint Strategic Needs Assessment (JSNA) includes information on Air Quality impacts on the population.	Public Health	Timeframe: 2019	Public Health Staffing Budget	<ul style="list-style-type: none"> • Ensure that air quality is prioritised and that work on this agenda is recognised and rewarded within public health teams. • Ensure that public health outcomes are met.
			Monitoring of Action: N/A		
			Review Date: 2020		
2.6	Continue to promote the TfL STARS accredited travel planning programme with schools to reduce car use on school run.	Transport Planning	Timeframe: 2018 - 2022	2018-2022 LiP Smarter Travel Budget	<ul style="list-style-type: none"> • Increased active travel within schools. • Healthier pupils, improved attendance and academic success • Fewer cars, less congestion and improved local air quality in and around the school. • Reduction in public exposure to poor air quality. • Raises awareness of air quality as an issue and can increase support for measures to improve air quality and public health, e.g. smarter travel and reduced idling.
			Monitoring of Action: Increase in numbers of schools signed up & achieved accredited status		
			Review Date: Annually		

Action No.	Action Description	Lead	Time Frame and Monitoring of Action	Funding	Benefits
2.7	Promote Smarter Travel initiatives with businesses and encourage local business to adopt workplace travel plans.	Transport Planning	Timeframe: 2019 - 2020	2019-20 LiP Smarter Travel Budget	<ul style="list-style-type: none"> Reduction in the number of vehicles using Havering's roads. Healthier staff, improved attendance and reduction in staff sickness. Reduction in outgoings/costs for businesses. Improved local air quality.
			Monitoring of Action: No. of businesses which have adopted travel plans		
			Review Date: 2021		
2.8	Continue to promote airTEXT to make sure vulnerable residents are aware of the tool and how to use it.	Communications	Timeframe: 2019 - 2022	LiP	<ul style="list-style-type: none"> Minimal cost to boroughs as can use existing commercial channels. Exposure Reduction. With different messaging, schemes such as <i>air</i>TEXT have the potential to reduce emissions. Greater awareness on low pollution route travelling.
			Monitoring of Action: No. of users		
			Review Date: Annually		
2.9	Investigate the feasibility of car Clubs in Havering.	Transport Planning	Timeframe: 2019-2020	LIP	<ul style="list-style-type: none"> Access to vehicles for those that may not have previously had access. Reduction in the number of private vehicles at new developments. Reduction in local pollution generation. Reduced number of single occupancy vehicles. Reduced ownership costs of residents as car is not owned.
			Monitoring of Action: No. of available car club cars		
			Review Date: 2021		
2.10	Support the LiP cycle training budget to promote "bike	Transport Planning	Timeframe: 2018 - 2022	TfL Cycling Grants	<ul style="list-style-type: none"> Increase in the number of residents using sustainable travel methods.

Action No.	Action Description	Lead	Time Frame and Monitoring of Action	Funding	Benefits
	ability” in primary schools and also to adults and families and offer free cycle maintenance workshops.		Monitoring of Action: Number of relevant workshops Review Date: Annually	LIP	<ul style="list-style-type: none"> Reduction in the number of vehicles using Havering’s roads. Health benefits for those swapping from using the car to walking.
2.11	Encourage greater use of staff travelling to work sustainably through adequate provision of cycle infrastructure at Council buildings.	Transport Planning	Timeframe: 2018 - 2022 Monitoring of Action: No. of employees using sustainable travel methods Review Date: Annually	Cycle 2 Work scheme and LIP	<ul style="list-style-type: none"> Greater number of employees travelling to work via sustainable travel methods Exposure reduction for staff as well as emissions reductions. Provides an opportunity to engage with businesses about the development and implementation of their Delivery and Servicing Management Plan. Reduction in Council emissions. Supports the Mayor of London’s targets on the number of people travelling sustainably to work.
2.12	Deliver schemes that provide options for people to travel sustainably and encourage modal shift away from the car.	Transport Planning	Timeframe: 2018 - 2022 Monitoring of Action: No. of employees using sustainable travel methods Review Date: Annually	LIP Funding	<ul style="list-style-type: none"> Improved local air quality Improved local travel Employment opportunities Reduction in the number of private vehicles driven during the day and provide reliable transport for those who do not have access to a car Supports the Mayor of London’s targets in increasing the number of people travelling sustainably.
2.13	Offer workplace grants to businesses for infrastructure (e.g. cycle parking, lockers)	Transport Planning	Timeframe: 2017 - 2022	Smarter Travel/Transport Planning	<ul style="list-style-type: none"> Health benefits for employees Reduction in transport costs

Action No.	Action Description	Lead	Time Frame and Monitoring of Action	Funding	Benefits
	and showering facilities) that will encourage staff to walk, cycle, and use public transport.		Monitoring of Action: No. of Grants offered No. of businesses which receive grant	Sustainable Travel Grants	<ul style="list-style-type: none"> • Improvement in local air quality • Reduction of vehicle miles • Supporting major strategic transport and infrastructure projects for the Council. • Supports the Mayor of London’s targets on the number of people travelling sustainably to work.
			Review Date: Annually		

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Action Policy Three: Reducing Emissions from Buildings and Developments

Why are these Emissions important?

Domestic and Commercial Heating (gas) is the second biggest contributor to NO_x and CO₂ emissions as well as a significant source of PM₁₀ in Havering. A reduction in emissions from residential boilers can be achieved by a reduction in gas consumption and by improving the energy efficiency within homes and buildings.

The third and fourth biggest contributors to NO_x emissions as well as a significant source of PM₁₀ in Havering are Industry and NRMM respectively. Smaller industrial processes are permitted under the Council's statutory duty in accordance with the Environmental Permitting Regulations. This legislation requires site operators to implement the best emission control practices available in order to prevent any detrimental impact to the local air quality.

The construction/demolition phase of a development, along with the associated NRMM and equipment can produce high intensity NO_x and PM concentrations on a local geographical level. Impacts from these works on the local area are highly dependent on size, duration and location of the development. The planning system plays a crucial role in managing and mitigating the short and long term environmental impacts of new developments on the local air quality.

There are a number of developments which fall outside the boundaries of the normal planning process, such as Crossrail and the Rainham & Beam Park Development in which Havering has a key role in making sure emissions are kept to a minimum. Developments such as Crossrail and the Rainham & Beam Reach redevelopment are examples of high profile sites with significant timeframes and the potential to cause a detrimental impact on local air quality if not managed correctly.

What has been done?

Previously the Council has accessed over £6 million in external grants for Havering residents to provide insulation, heating and other energy efficiency measures. Delivery of the Decent Homes programme by Homes in Havering has allocated over £5 million per year for double glazing, boiler replacements and insulation to improve housing for Council tenants.

The Havering Local Development Framework Sustainable Design and Construction Supplementary Planning Document were adopted in 2009 and work is currently underway to produce a new Local Plan which will replace the key documents within the current Local Development Framework. Initial consultation on the Local Plan took place in February/March 2015 and the Council is now preparing its proposed submission version with further consultation in 2017. The policies in the new Local Plan are required to be in conformity with the NPPF and the London Plan.

What has the Council done to reduce its own footprint?

Havering through its 3 year Climate Change Action Plan has successfully made efforts to reduce its energy use, NO_x emissions and carbon footprint. Some key achievements since 2009 have been;

- Generating £1,059,000 cumulative savings from energy efficiency projects since 2009;

- Transforming street lighting and office lighting in Havering to LEDs, reducing energy use by 60-75%;
- Upholding standards of energy efficiency in new development and refurbishment;
- Five Council buildings and seven schools are now benefitting from renewable energy; and
- Undertaken a Local Climate Impacts Profile to identify key climate risks in Havering.
- Havering fleet comprises 210 vehicles powered by Ultra-Low Sulphur Diesel with a 7% bio mix across the fleet and 5 John Deere Gator Electric Utility Vehicles that are utilised by the Parks Department.

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Action No.	Action Description	Lead	Time frame and Monitoring of Action	Funding	Benefits
3.1	Creation of Air Quality Supplementary Planning Guidance.	Planning	Timeframe: 2018	N/A (No direct funding required only staff time)	<ul style="list-style-type: none"> • Support development, while ensuring environmental sustainability of major developments. • Minimise the exposure of workers, nearby residents and future residents of new developments to poor air quality. • Co-benefits such as climate change adaption, sustainable urban drainage, reduction of urban heat island effect, increased biodiversity and quality of life. • Support the environmental and development goals of the new Local Plan. • Generation of possible income for development specific air quality projects.
	This will provide guidance for developers to assess and reduce or mitigate the impact of emissions from new developments in Havering.		Monitoring of Action: N/A		
	This will also provide guidance for developers on London's Low Emission Zone for Non Road Mobile Machinery (NRMM)		Review Date: Annually		
3.2	Review current planning conditions, in relation to air quality, to ensure they are fit for purpose.	Public Protection	Timeframe: 2018	N/A (No direct funding required only staff time)	<ul style="list-style-type: none"> • Support development, while ensuring environmental sustainability of major developments. • Ensure that new developments will not have an unacceptable negative impact on air quality (both during construction and operational phase). • Minimise the exposure of workers, nearby residents and future residents of new development to poor air quality conditions. • Support the environmental and development goals of the new Local Plan.
			Monitoring of Action: N/A		
			Review Date: Annually		

Action No.	Action Description	Lead	Time frame and Monitoring of Action	Funding	Benefits
3.3	Adopt and implement planning controls on combined heat and power (CHP) or biomass systems.	Planning	Timeframe: 2018	N/A (No direct funding required only staff time)	<ul style="list-style-type: none"> • Reduction in emissions from CHP or biomass systems in new developments. • Prevent onsite energy generation from becoming a major new source of emission in London. • Support the environmental and development goals of the new Local Plan. • Improved local air quality. • Reduction in exposure of new and existing residents to poor air quality. • Supports aims of the Mayor of London's London Plan to reduce emissions from new developments.
			Monitoring of Action: Annual number of planning applications with condition applied.		
			Review Date: Annually (April during production of Annual Status Report Report)		
3.4	<p>Adopt, implement and enforce planning controls on air quality neutral development.</p> <p>New major developments will be required to be air quality neutral as a minimum.</p>	Planning	Timeframe: 2018	N/A (No direct funding required only staff time)	<ul style="list-style-type: none"> • Support development, while ensuring environmental sustainability of major developments. • Ensure that new developments will not have an unacceptable negative impact on air quality. • Prevent onsite energy generation from becoming a major new source of emission in London. • Improved local air quality. • Reduction in exposure of new and existing residents to poor air quality. • Supports aims of the Mayor of London's London Plan to reduce emissions from new developments.
			Monitoring of Action: Annual number of planning applications with condition applied.		
			Review Date: Annually (April during production of Annual Status Report Report)		

Action No.	Action Description	Lead	Time frame and Monitoring of Action	Funding	Benefits
3.5	<p>To ensure that new Housing Estate Regeneration Programme for LBH housing developments obtain the commitment from developers to a strategy of future reduction of reduced carbon foot print and minimal impact on air quality.</p> <p>Use of planting and trees to assist with AQ in the Short term immediate effect, but with longer term, neutral positive ambitions.</p>	Housing	Timeframe: 2018	N/A (No direct funding required only staff time)	<ul style="list-style-type: none"> • Ensure that the Council's 12 housing regeneration sites will not have a negative impact on air quality. • Support development, while ensuring environmental sustainability of major developments. • Improved local air quality. • Reduction in exposure of new and existing residents to poor air quality. • Supports aims of the Mayor of London's London Plan to reduce emissions from new developments.
			Monitoring of Action: N/A		
3.6	<p>Adopt and implement planning controls for innovative green space and planting in new developments. Planning to work with grounds maintenance and parks at design stage for advice on</p>	Planning	Timeframe: 2018	N/A (No direct funding required only staff time)	<ul style="list-style-type: none"> • Reduction in exposure of population to poor air quality. • Promotion of Healthy Living, Green Spaces and Sustainable Travel. • Co-benefits such as climate change adaption, sustainable urban drainage, reduction of urban heat island effect, increased biodiversity and quality of life.
			Monitoring of Action: N/A		

Action No.	Action Description	Lead	Time frame and Monitoring of Action	Funding	Benefits
	greening and planting		Review Date: 2019		<ul style="list-style-type: none"> Supports aims of the Mayor of London's London Plan to reduce emissions from new developments & the Healthy Streets 10 year plan. This will ensure that new developments will have sufficient greenery and open space to help improve local air quality
3.7	Promote and enforce the Smoke Control Areas to reduce the amount of unlicensed burning.	Public Protection	Timeframe: 2018 - 2022 Monitoring of Action: No. of complaints No. of bonfire visits/letters Review Date: Annually	LiP Funding	<ul style="list-style-type: none"> Minimise incidents of unlicensed burning and the release of pollutants into the local area. Improved local air quality. Reduced public exposure to poor air quality.
3.8	Monitoring and implementation of Non Road Mobile Machinery (NRMM)	Public Protection	Timeframe: 2018 - 2022 Monitoring of Action: Number of Inspection Number of development registered on NRMM site Review Date:	Public Protection Staffing	<ul style="list-style-type: none"> Keep amounts of particulate matter and oxides of nitrogen produced by NRMM to a minimum.
3.9	Promote public sector landlords (homes and	Housing	Timeframe: 2018 - 2020	Housing Staffing	<ul style="list-style-type: none"> Reduction in local CO₂ production. Energy savings and cost savings related with

Action No.	Action Description	Lead	Time frame and Monitoring of Action	Funding	Benefits
	public buildings) to take air quality and energy efficiency advice before refits, via the GLA RE:NEW and RE:FIT Programmes.		Monitoring of Action: No. of landlords requesting advice		updating boiler efficiency. <ul style="list-style-type: none"> Direct funding schemes where consumers don't have to weigh up several years of repayments and are not restricted in the measures to implement due to the financial package being offered, would accelerate action.
			Review Date: Annually		
3.10	Deliver infrastructure to ensure that Romford, Rainham and Beam Park Housing Zones are accessible by means other than the car and that residents are provided with options to travel sustainably (Including a new station)	Economic Development	Timeframe: 2019 - 2020	LiP Funding	<ul style="list-style-type: none"> Support development, while ensuring environmental sustainability of major developments. Minimise the amount of vehicles and pollution emissions. Increased accessibility for those who do not have access to a car. Support the environmental and development goals of the new Local Plan. Reduction in exposure of population to poor air quality. Promotion of Healthy Living, Green Spaces and Sustainable Travel. Co-benefits such as climate change adaption, sustainable urban drainage, reduction of urban heat island effect, increased biodiversity and quality of life. Supports aims of the Mayor of London's London Plan to reduce emissions from new developments & the Healthy Streets 10 year plan.
			Monitoring of Action: Alternative means of transport available		
			Review Date: TBC Development Completion		
3.11	A1306 Redesign	Economic	Timeframe:	LiP Funding	<ul style="list-style-type: none"> Same as 3.10.

Action No.	Action Description	Lead	Time frame and Monitoring of Action	Funding	Benefits
		Development	TBC Monitoring of Action: N/A Review Date: TBC Development Completion		
3.12	Identify previously unknown and new premises that require permitting under PPC. Determine these properties that require permitting for Pollution Prevention Control (PPC).	Public Protection	Timeframe: TBC Monitoring: Increase in number of PPC premises Review Date: Annually	Self-funding as charge for PPC license	<ul style="list-style-type: none"> Prevent air pollution caused by unlicensed activities.
3.13	Signpost business contact and residents to the appropriate boiler scrappage schemes and energy efficiency grants; Promote businesses and residents to take air quality and energy efficiency advice; embed this practice as part of business as usual activity of the department	Energy Strategy	Timeframe: TBC Monitoring: Number of relevant audits Review Date: Annually	Energy Strategy Staffing	<ul style="list-style-type: none"> Reduced NOx emissions from commercial premises. Improved efficiency and cost savings for businesses.

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Action Policy Four: Reducing Emissions from Transport

Why is this important in Havering?

Road Transport is the greatest contributor to NO_x emissions in Havering, accounting for 65.7% alone. The key transport routes of the M25, A12, A13 and A127 and particular junctions, such as Gallows Corner are major sources of motor vehicle tailpipe emissions which contribute to air pollution concentrations within the Borough.

Havering actively supports and encourages business growth. Accommodating to development plans and commercially inclined, the borough is genuinely interested in helping businesses achieve their goals. However, with the main contributor to Havering's poor air quality being road transport it is important to ensure that businesses have the right support and information regarding air quality and the options open for them.

Poor air quality continues to be a problem in London and compliance with regulatory measures such as the Low Emission Zone (LEZ) is an important issue for fleet operators.

What has been done?

In partnership with the London Borough of Hackney, Havering produced a 'Sustainable Travel for Business Pack' which can be used by any type and size of business. This pack is designed to help advise businesses on the Borough on topics such as clean environments, sustainable travel options and gives an explanation of how they can use these environmental approaches to benefit their business and potentially save money. The pack contains information cards on 'Sustainable Travel', 'airTEXT', 'Electric Vehicles', 'Ultra Low Emission Vehicles', 'TfL Cycling Workplaces', 'Cycling' and 'Waste and Recycling'. The pack was successfully launched at the Leaders Business Network Event in 2015 and distributed to over 30 businesses in attendance. The Smarter Travel Team are continuing the work with this pack and it is available on the Council website free to download.

Advice available to support the efficient management of business freight operations includes the Delivery and Servicing Plans guide and the Freight Operators Recognition Scheme.

Action No.	Action Description	Lead	Time frame and Monitoring of Action	Funding	Benefits
4.1	Include requirement for suppliers of large council contracts that they have attained silver or gold FORS accreditation for their organisation and vehicles.te	OneSource	Timeframe: 2018	Staff Time	<ul style="list-style-type: none"> Reduction in NO₂ emissions from the Council's contractors.
			Monitoring of Action: Update procurement policies / rules		
			Review Date: Annually		
4.2	Introduction of dedicated drop off zones outside all schools for buses & coaches.	Asset Management			<ul style="list-style-type: none">
4.3	Renewal of Taxi Framework, with suppliers complying to the ULEZ & exploring ZEC (Zero Emission Capable) Standards	Asset Management	Timeframe: 2018-2019 Review Date: Annually		<ul style="list-style-type: none">
4.3	Provide Smarter Driver Training for all vocational drivers of the Council's fleet vehicles. Delivered by CPC training and FTA Van excellence accreditation	Asset Management	Timeframe: 2018-2019	Asset Management	<ul style="list-style-type: none"> Reduction in the NO₂ emissions from the Council's fleet vehicles.
			Monitoring of Action: Number of drivers trained		
			Review Date: Annually		
4.4	Provide adequate electric car charging infrastructure	Transport Planning	Timeframe: 2018 - 2022	LiP	<ul style="list-style-type: none"> Increase in electric vehicle take up.

Action No.	Action Description	Lead	Time frame and Monitoring of Action	Funding	Benefits
	as per the Mayor's Draft Transport and Plan and Environmental Strategy This is a long term action		Monitoring of Action: Number of electric car charging points		<ul style="list-style-type: none"> Reduction in polluting vehicles
			Review Date: 2020 after evidence gathering to assess interest, and demand and feasibility.		
4.5	Review parking charges policy (controlled parking zones)	Parking	Timeframe: 2019	TBC/self-funding	<ul style="list-style-type: none"> Reduction in polluting vehicles and NO₂ emissions.
			Monitoring of Action: N/A		
			Review Date: Annually		
4.6	Engage with businesses in the borough to discuss the options for upgrading/retrofitting.	Transport Planning	Timeframe:	Staff Time	<ul style="list-style-type: none"> Reduction in polluting vehicles and NO₂ emissions on Havering's roads Business engagement & partnership
			Monitoring of Action: N/A		
			Review Date:		
4.6	Plant greenery and trees (e.g. hedgerows and trees such as ash, common alder, field maple, larch, Norway maple, scots pine and silver birch) along main roads and town centres, which	Public Realm	Timeframe: 2018 - 2022	Streetcare & LiP Funding	<ul style="list-style-type: none"> Enhanced public space for sustainable travel, such as walking and cycling and associated health benefits including mental health. Reduction in flood risk as part of sustainable urban drainage
			Monitoring of Action: N/A		

Action No.	Action Description	Lead	Time frame and Monitoring of Action	Funding	Benefits
	can lead to an improvement in air quality based on available evidence		Review Date: Annually		systems. <ul style="list-style-type: none"> • Amelioration of high summer temperatures caused by the urban heat island effect and climate change. • Biodiversity benefits.
			Monitoring of Action: N/A		
			Review Date: TBC		
4.8	Develop Local Implementation Plan to support improvements in local air quality; together with working with TfL to ensure pollution sources outside of local control i.e. buses and commuter traffic are dealt with.	Transport Planning	Timeframe: TBC		<ul style="list-style-type: none"> • Make Havering's streets greener, safer and encourage more people to sustainably travel around the borough • Lobby the Mayor and TfL to ensure regional policies support local air quality improvements i.e. cleaner buses. • Support complimentary benefits highlighted in local and regional policies such as improving mental health, combating social inclusion and reducing noise pollution from roads.
			Monitoring of Action: N/A		
			Review Date: Annually	TBC	

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CABINET

13 DECEMBER 2017

Subject Heading:

Quarter 2 Corporate Performance Report (2017/18)

Cabinet Member:

Councillor Clarence Barrett

SLT Lead:

Sarah Homer, Interim Chief Operating Officer

Report Author and contact details:

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Policy context:

The report sets out Quarter 2 performance against each of the strategic goals set out in the Corporate Plan

Financial summary:

There are no direct financial implications arising from this report. However adverse performance against some corporate performance indicators may have financial implications for the Council.

All service directorates are required to achieve their performance targets within approved budgets. The Senior Leadership Team (SLT) is actively monitoring and managing resources to remain within budgets, although several service areas continue to experience financial pressure from demand led services.

Is this a Key Decision?

No

Cabinet, 13 December 2017

Is this a Strategic Decision?

No

When should this matter be reviewed?

The Corporate Performance Report will be brought to Cabinet at the end of each quarter, with an annual report brought at the end of Quarter 4.

Reviewing OSC:

The six overview and scrutiny sub-committees (Children and Learning, Crime and Disorder, Environment, Health, Individuals, Towns and Communities) have each selected a basket of indicators that they will track throughout the year. Progress against these indicators will be reported to the Overview and Scrutiny Board on a quarterly basis. Many of these will either duplicate or be “feeder” indicators for the PIs featured in the Corporate Performance Report.

The subject matter of this report deals with the following Council Objectives

Communities making Havering	[X]
Places making Havering	[X]
Opportunities making Havering	[X]
Connections making Havering	[X]

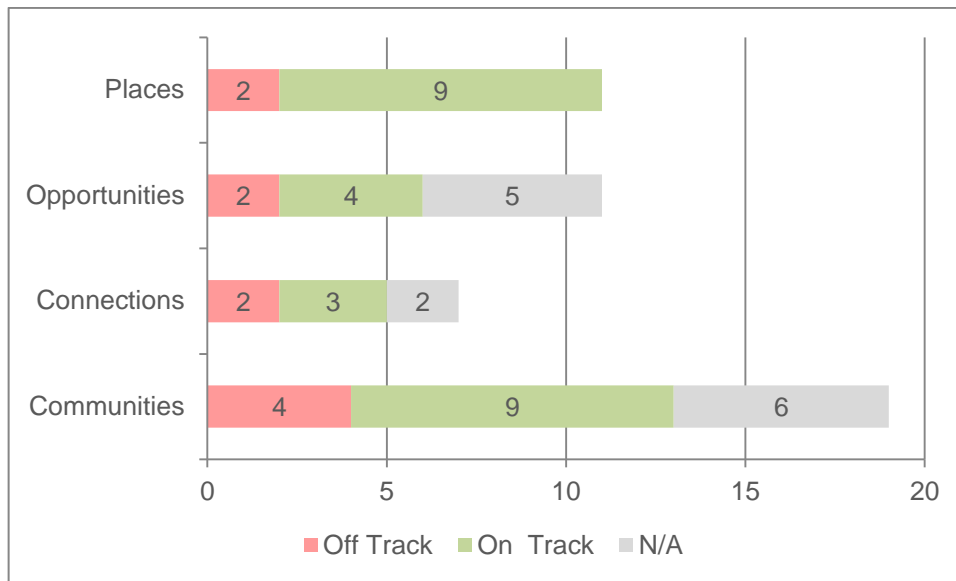
SUMMARY

1. The Corporate Performance Report provides an overview of the Council's performance for each of the strategic goals. The report highlights areas of strong performance and potential areas for improvement.
2. The report identifies where the Council is performing well (**Green**) and not so well (**Red**). The definitions applied to the report are as follows:
 - **Red** = outside of the quarterly target, or 'off track'
 - **Green** = on or better than the quarterly target, or 'on track'
3. Where performance is rated as '**Red**', '**Corrective Action**' is included in the report. This highlights what action the Council will take to improve performance.
4. Also included in the report are Direction of Travel (DoT) columns, which compare:
 - Short-term performance – with the previous quarter (Quarter 1 2017/18)

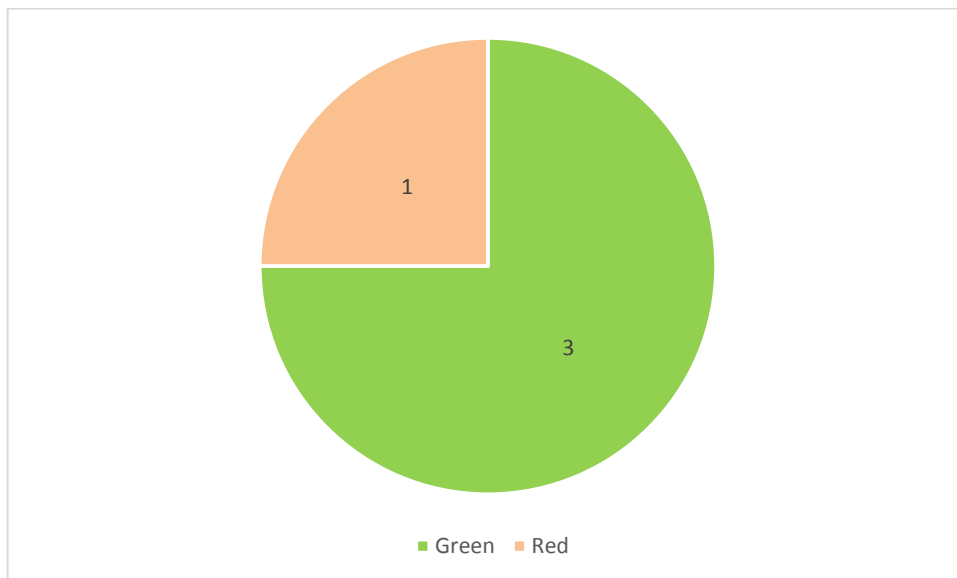
Cabinet, 13 December 2017

- Long-term performance – with the same time the previous year (Quarter 2 2016/17)
5. A green arrow (↑) means performance is better and a red arrow (↓) means performance is worse. An amber arrow (→) means that performance has remained the same.
 6. For Quarter 2, data or narrative has been gathered for 35 of the 48 Corporate Performance Indicators and four of the 18 perception / engagement indicators, as set out at **Appendix 1**.

Quarter 2 Summary – Corporate Performance Indicators



Quarter 2 Summary – Perception / Engagement Indicators



7. In summary, of those PIs classified as either on track or off track:
 - **25 (71%)** of the Corporate Performance Indicators have a **Green** (on track) status

Cabinet, 13 December 2017

- **10** (29%) of the Corporate Performance Indicators have a **Red** (off track) status
- **3** (75%) of the reported perception / engagement indicators have a **Green** (on track) status
- **1** (25%) of the reported perception / engagement indicators has a **Red** (off track) status

This is an improvement in performance on the position at the end of Quarter 1 2017/18, when 63% of indicators were rated **Green** and 37% were rated **Red**.

8. The current levels of performance need to be interpreted in the context of increasing demand on services across the Council. Also attached to the report (as **Appendix 2**) is a Demand Pressure Dashboard that illustrates the growing demands on Council services and the context that the performance levels set out in this report have been achieved within. This shows that the borough has seen a 5% increase in new Housing Benefit / Council Tax Support claims in Quarter 2, after experiencing a steady decline in new claims over the past year. The number of homelessness decisions and acceptances has continued to rise as well, with the number of decisions made in Quarter 2 of this year being substantially higher than in Quarter 2 of the previous year. This gives some indication as to how the circumstances of those living in the borough – and therefore the needs that the Council has to respond to - are changing.
9. Quarter 2 has also seen a further increase in school applications across both sectors. Many of the applications received this quarter have been for pupils who are either new to the country or moving into Havering from elsewhere in the UK.
10. In line with the continued inflow of children and young people into the borough, Havering is continuing to experience an increasing volume of contacts to Children's Services, with the Quarter 2 outturn being 83.5% higher than during Quarter 2 last year. This in turn is generating a greater number of referrals to Children's Social Care and resulting in more assessments being completed by the service. Despite this increase in activity at "the front end", however, there has been an overall reduction in the number of children on Child Protection Plans, indicating that issues and concerns are being identified and addressed at an earlier stage.
11. Also on a more positive note, the volume of online transactions with the Council has increased compared with the same time last year, indicating some success in shifting customers online.

RECOMMENDATIONS

That the Cabinet:

1. **Reviews** the performance set out in **Appendix 1** and the corrective action that is being taken.

2. **Notes** the content of the Demand Pressures Dashboard attached as **Appendix 2**.

REPORT DETAIL

COMMUNITIES MAKING HAVERING

1. The Council's progress in delivering this theme of the Corporate Plan has been positive, with performance against 69% (9 of 13) indicators being rated Green or "On Track".

1.1 Highlights:

- (PI 6) The proportion of looked after children who cease to be looked after as a result of permanency (Adoption or Special Guardianship Order) continues to improve and is currently above target. However, it should be noted that this will have consequential impacts on the service's budget position.
- (PI 7) As at the end of Quarter 2, 84% of pupils were in good or outstanding schools. This figure has improved since Quarter 1 and is now exceeding the target. During Quarter 2, two schools were inspected, both of which were judged to be Good. One of these was a school coming out of special measures.
- (PI 8) Following work undertaken by Havering's secondary schools with the Regional Schools Commissioner to improve results, pupil progress in eight subjects between the end of primary school and the end of secondary school has improved to fall in line with national levels.
- (PI 11) Volunteering and community participation remain strong in the borough. The number of volunteers supporting Council services has exceeded the annual target in Quarter 2, with participation in volunteering initiatives led by Housing Services being particularly high.
- (PI 14) The proportion of repeat victims of domestic abuse has dropped below target (where lower is better) in Quarter 2. The support available to professionals to help them identify domestic abuse and access support for victims was strongly promoted during the borough's recent Safeguarding Week as part of continued efforts across the multi-agency partnership to lower this level still further.
- (PI 16) There has been a huge reduction (of some 39%) compared to last financial year in the number of older people (aged 65+) permanently admitted to residential and nursing care.

1.2 Improvements required:

- (PI 10) The number of carers receiving a needs assessment or review and a specific carer's service, or advice and information, is behind target. Work is ongoing within the service to improve performance against this indicator. It is felt that the current level of performance is at least partially attributable to recording issues, which are being explored and addressed. A joint carers assessment form has also been developed and is being rolled out to the service to be inputted onto the Adults Information System (AIS).
- (PI 13) The percentage of care leavers in both education, employment or training and suitable accommodation is significantly below target (at 55.2% against a target of 75%) and has fallen since Quarter 1. The Leaving Care

Service as a whole is being reviewed and strengthened as part of the Face-to-Face Pathways Programme. Six Pathway Co-ordinators have been recruited who will work directly with young people and care leavers to help them plan their transition into adulthood, including their education / employment route and accommodation arrangements. The introduction of these roles will allow such planning to commence at an earlier stage.

CONNECTIONS MAKING HAVERING

2. The Council's progress in delivering this theme of the Corporate Plan has been broadly positive, with performance against 60% (3 of 5) indicators being rated Green or "On Track".

2.1 Highlights:

- (PI 25) There has been a 41.5% increase in the number of adults in contact with secondary mental health services who are in paid employment. As at September 2017 there were 58 people in employment compared to 41 in September 2016.

2.2 Improvements required:

- (PI 22) The anticipated date for completion of Governance for Railway Investment Projects (GRIP) stage 3 for Beam Park station has slipped from November 2017 to February 2018. A gas pipeline that is intruding into the platform area of the site is the source of the delay. The preferred mitigation option of decommissioning the pipeline is being taken forward to the gas company (Cadent's) Board for approval in December 2017.

OPPORTUNITIES MAKING HAVERING

3. The Council's progress in delivering this theme of the Corporate Plan has been positive, with performance against 67% (4 of 6) indicators being rated Green or "On Track".

3.1 Highlights:

- (PI 30) 3.6% of 16-18 year olds are known not to be in education, employment or training (NEET) which is better than both the national (6%) and London (5.3%) averages. As well as commissioning targeted support from Prospects, Havering has continued to deliver its annual Raising the Participation Age (RPA) transitions event to support post-16 learners into positive destinations. This year the event was attended by over 200 learners and 600 parents / carers.
- (PI 34) The new Romford Leisure Centre is on track to be opened by Spring 2018 and work is nearing completion. The ice rink structure is now complete and will have a capacity for more than 1,200 skaters. The two pools are also nearing completion, with facilities also including a fitness suite and large dance and spinning studios.

3.2 Improvements required:

- (PI 33) Progress on delivering the new Hornchurch Sports Centre remains behind schedule. SLM (which manages Havering's sport centres) has now opened up the tender for build costs, and submitted a programme for the development. Public engagement has taken place and, subject to a successful

planning application, construction should commence by May 2018. The new centre would then open in December 2019.

- (PI 35) The number of businesses expressing an interest in relocating to the Borough which have a turnover of £10m+ or international recognition is considerably below target, at 11 against a Quarter 2 target of 75. The Development service is working on branding for the borough that can be used in large business engagement.

PLACES MAKING HAVERING

4. The Council's progress in delivering this theme of the Corporate Plan is strong, with performance against 82% (9 of 11) indicators being rated Green or "On Track".

4.1 Highlights:

- (PI 40) The number of anti-social behaviour (ASB) offences committed in the first half of the year is below target (where lower is better). As the summer months tend to generate the highest volume of ASB complaints, officers are hopeful of a positive year end outturn. Havering is also the only London borough to have experienced a reduction (of some 27%) in moped-enabled crime. In line with this, the proportion of residents worried about ASB is on target, and better than the London average, though slightly higher than the previous two years' outturns.
- (PI 42) The number of non-domestic violence with injury offences committed during the first half of the year is over 250 offences below target (where lower is better). Romford Town Centre has been identified as the ward responsible for the majority of non-domestic violence with injury, so targeted work to tackle this crime continue in collaboration with the police and other partners within the night-time economy.
- (PI 43) The percentage of cases in which adults fully or partially achieved their desired outcomes from the safeguarding process improved in Quarter 2 compared with both the previous quarter and the same time last year. Performance is currently above target against this indicator.

4.2 Improvements required:

- (PI 39) The number of burglary offences committed in Quarter 2 was lower than in Quarter 1 but remains above target. Targeted action is planned in "hotspot" areas, including additional police patrols and further roll out of the Met Trace property marking scheme. The usual police and partnership awareness raising campaigns will also be delivered in the run-up to Christmas.
- Despite reducing trends in a number of crime types, the percentage of residents worried about crime in the area is above target; higher than the London average, and slightly increased on the previous two years' outturns. Both the Council and the Metropolitan Police Service have developed community safety communications plans and are working collaboratively to implement these where appropriate. There has been positive press coverage during Quarter 2 about the activity undertaken by the Havering Community Safety Partnership to address crime and anti-social behaviour in the borough. A tri-borough Confidence and Satisfaction Board has also been established which met for the first time in November and will be developing an action plan to improve public perceptions. It is hoped that these activities will improve these figures going forward.

5. The full Corporate Performance Report is attached as **Appendix 1**.

REASONS AND OPTIONS

Reasons for the decision: To provide Cabinet Members with an update on the Council's performance for each of the strategic goals set out in the Corporate Plan

Other options considered: N/A

IMPLICATIONS AND RISKS

Financial implications and risks:

There are no direct financial implications arising from this report. However adverse performance against some Corporate Performance Indicators may have financial implications for the Council.

All service directorates are required to achieve their performance targets within approved budgets. The Senior Leadership Team (SLT) is actively monitoring and managing resources to remain within budgets, although several service areas continue to experience significant financial pressures in relation to a number of demand led services such as housing and children's and adults' social care. SLT officers are focused upon controlling expenditure within approved directorate budgets and within the total General Fund budget through delivery of savings plans and mitigation plans to address new pressures that are arising within the year.

Further information on the financial performance of the Council has been reported as part of the Medium Term Financial Strategy (MTFS) report to Cabinet in October.

Human Resources implications and risks:

There are not any implications arising directly from this report that impact on the Council's workforce.

Legal implications and risks:

Whilst reporting on performance is not a statutory requirement, it is considered best practice to review the Council's progress against the Corporate Plan and Service Plans on a regular basis.

Equalities implications and risks:

The following Corporate Performance Indicators currently rated as “Red” could potentially have equality and social inclusion implications for a number of different social groups if performance does not improve:

- (PI 4) Percentage of looked after children who are in long term foster placements (lasting 18 months +)
- (PI 5) School readiness - % of children achieving a good or better level of development at age 5 (EYFSP)
- (PI 10) Carers receiving a needs assessment or review and a specific carer’s service, or advice and information
- (PI 13) Percentage of care leavers in both education, employment or training and suitable accommodation
- (PI 39) Number of burglary offences

The commentary for each indicator provides further detail on steps that will be taken to improve performance and mitigate these potential inequalities.

BACKGROUND PAPERS

None

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RAG Rating		Direction of Travel (DOT)	
GREEN	On or better than target On track	↑	Short Term: Performance is better than the previous quarter Long Term: Performance is better than at the same point last year
		→	Short Term: Performance is the same as the previous quarter Long Term: Performance is the same as at the same point last year
RED	Worse than target Off track	↓	Short Term: Performance is worse than the previous quarter Long Term: Performance is worse than at the same point last year

Description	
Outturns reported cumulatively	(C)
Outturns reported as a snapshot	(S)
Outturns reported as a rolling year	(R)

Line.no	Indicator and Description	Value	2017/18 Annual Target	2017/18 Q2 Target	2017/18 Q2 Performance	Short Term DOT against 2017/18 (Q1)	Long Term DOT against Q2 2016/17	Comments	Service & Supporting Service		
Communities: Healthy and Active Lives											
1	The number of people who die from preventable causes like deprivation, accidents, and air quality – but not related to clinical care, per 100,000 population (R)	Smaller is better	Better than England (Annual 3-year rolling period)	Better than England (Annual 3-year rolling period)	157 per 100,000 population (2013-2015) GREEN	→	157 per 100,000 population	-	NEW	The latest available data relates to the period 2013 - 2015. For this period, Havering's mortality rate from preventable causes was significantly lower than the London (169/100,000) and England (184/100,000) averages.	Public Health • Environment • Adult Services • Children's Services
2	Rates of reoffending for those individual offenders completing drug and alcohol treatment referrals (measured through a follow-up 6 months after completion)	Smaller is better	14% (Alcohol) 38% (Drugs)	14% (Alcohol) 38% (Drugs)	N/A	-	NEW	-	NEW	This corporate PI is available on an annual basis. The Drug Intervention Panel (DIP) meets monthly to monitor those individuals with drug and alcohol problems and associated offending behaviour. There are currently 11 offenders with drugs issues and 10 offenders with alcohol issues being monitored. At the end of Quarter 2, there have been 18 Drug Rehabilitation Requirements (DRR) starts and 12 Alcohol Treatment Requirements (ATR) starts. During the same period, we have achieved 17 DRR completions and 11 ATR completions, against annual targets of 17 DRR completions and 16 ATR completions, thus demonstrating the Havering Community Safety Partnership's ability to address harmful substance misuse.	Policy, Performance & Community • Public Health
3	% of people (aged 65 and over) who were still at home 91 days after discharge from hospital into reablement / rehabilitation services	Bigger is better	87%	N/A	N/A	-	N/A	-	N/A	This indicator is not measured until Q4	Adult Services
Communities: A good start for every child to reach their full potential											
4	% of LAC who are in long term foster placements (18 months+)	Bigger is better	65%	65%	64.4% RED	↑	62.3%	-	NEW	There are currently 87/135 Looked After Children who have been in their placement for at least 18 months. Corrective Action: At 64.4%, this is only just below the target of 65%. There are a number of LAC who have been in their placement for just short of 18 months so it is expected that there will be improvements against this indicator in the upcoming months.	Children's Services
5	School readiness - % of children achieving a good or better level of development at age 5 (EYFSP)	Bigger is better	73%	73%	72% RED	-	N/A	↑	71% (15/16 Results)	Results are currently provisional. Verified results are expected in December / January. Good or better levels of development at age 5 improved again this year and remain above national levels (currently 71%), but did not quite reach the local target. Corrective Action: The LA has applied to the Strategic School Improvement Fund (SSIF) to help improve pupil judgements. From the first round of funding, a bid for a joint venture with Redden Court and Royal Liberty was successful. The second round of applications for funding shut at the end of October with outcome of these bids expected to be published at the end of 2017.	Learning & Achievement • Children's Services
6	% of looked after children who ceased to be looked after as a result of permanency (Adoption and Special Guardianship Order)	Bigger is better	20%	20%	21.3% GREEN	↑	14.8%	↑	20.3%	So far in 2017/18 we have seen 3 children cease to be looked after due to the granting of an adoption order and 9 children cease to be looked after due to the granting of a special guardianship order, which gives a year to date outturn of 21.3%. This is a great improvement on the 16/17 outturn of 14.7%, and is now above the 17/18 target of 20%.	Children's Services
7	% of children in good or outstanding schools	Bigger is better	83%	83%	84% GREEN	↑	80%	↑	75%	Due to the school holidays there has been only two inspections since last quarter. Both schools were judged Good, one being an academy's first inspection and the other a school coming out of special measures.	Learning & Achievement • Children's Services

Line.no	Indicator and Description	Value	2017/18 Annual Target	2017/18 Q2 Target	2017/18 Q2 Performance	Short Term DOT against 2017/18 (Q1)	Long Term DOT against Q2 2016/17	Comments	Service & Supporting Service	
8	Pupil progress in 8 subjects, from the end of primary school to the end of secondary school ("Progress 8" score)	Bigger is better	-0.1	N/A	-0.04 GREEN	-	N/A	↑ -0.14 (15/16 Results)	"Progress 8" was a new indicator introduced by the DfE in 2016. Results are currently provisional. Based on these, the local Progress 8 score has improved to be in line with national (State-Funded) levels.	Learning & Achievement • Children's Services
9	% of parents receiving an offer of their first choice school	Bigger is better	85% primary 80% secondary	N/A	N/A	-	NEW	- NEW	Data is available on an annual basis and will be available in the Q4 report	Learning & Achievement • Children's Services
Communities: Families and communities look after themselves and each other										
10	Carers receiving a needs assessment or review and a specific carer's service, or advice and information	Bigger is better	620	280.9	140 RED	↑	97	↓ 234	To date 276 carers have been assessed, of whom 140 (50.7%) have received a specific service, advice or information. At the same stage last year there had been 456 assessments or reviews, resulting in 234 (51.3%) carers receiving a specific response. Corrective Action: Work is currently ongoing within the assessment process to improve the outturn against this indicator. A joint carers assessment form has been developed and is being rolled out to the service to be inputted onto the Adults Information System (AIS). It is believed that current performance is also at least partially attributable to recording issues (e.g. carers' assessments being recorded with clients' assessments), which are being investigated and addressed.	Adult Services
11	Number of volunteers supporting Council services	Bigger is better	1,135	1,042	1,226 GREEN	↑	1,129	- NEW	Performance is very strong and the year end target has been exceeded in Quarter 2. The strong performance can particularly be attributed to the success of volunteering initiatives within Housing Services.	Policy, Performance and Community • Culture and Customer Access • Housing • Children's Services • Environment
12	Placeholder: Reported outcomes for residents delivered by the community and voluntary sector	Bigger is better	TBC (Annual)	N/A	N/A	-	N/A	- N/A	This indicator is currently in development by the Joint Commissioning Unit and will be co-produced with newly commissioned providers. The start of the new contracts has been delayed from September to February, hence the delay in confirming the target and outturns associated with this indicator.	Adult Services • JCU
Communities: Supporting vulnerable residents in our communities										
13	% of care leavers in both education, employment or training and suitable accommodation	Bigger is better	75%	75%	55.2% RED	↓	60.9%	- NEW	At the end of September, there were 80/145 care leavers in both education, employment or training and suitable accommodation. Corrective Action: The Leaving Care Service as a whole is being reviewed and strengthened as part of the Face-to-Face Pathways Programme. Six Pathway Co-ordinators have been recruited who will work directly with young people and care leavers to help them plan their transitions into adulthood. We expect these roles to support our care leavers in identifying their education/employment route and ensuring they have access to suitable accommodation. The introduction of these roles will also enable planning for adulthood to commence as soon as young people become eligible for leaving care services at age 15 years and 9 months.	Children's Services • Policy, Performance and Community
14	The proportion of repeat victims of domestic abuse (C)	Smaller is better	27%	27%	25.8% GREEN	↑	29.7%	↑ 29.1%	Improved performance in Quarter 2 has reduced the outturn to 25.8% (where lower is better). There will always be an uncontrollable element in the previous history of victims reporting DA, however efforts continue to lower this rate further through raising awareness amongst professionals to complete referrals to multi-agency risk assessment conferences, and ensuring that support is offered through Independent DV Advocates (IDVAs) and other partners. Particular emphasis was placed on these services during LBH's recent Safeguarding Week, with the VAWG Officer presenting to colleagues in various departments.	Policy, Performance and Community • Adult Services • Children's Services
15	Number of families assisted in finding their own housing solution/prevented from becoming homeless per month	Bigger is better	40%	40%	69.4% (177/255) GREEN	→	69.4%	- NEW	The number of new households placed into temporary accommodation and accepted as homeless remains low due to successful early intervention/prevention outcomes.	Housing

Line.no	Indicator and Description	Value	2017/18 Annual Target	2017/18 Q2 Target	2017/18 Q2 Performance	Short Term DOT against 2017/18 (Q1)	Long Term DOT against Q2 2016/17	Comments	Service & Supporting Service		
16	Rate of permanent admissions to residential and nursing care homes per 100,000 population (aged 65+)	Smaller is better	660	310	209.8 GREEN	↓	108.1	↑	344.5	To the end of quarter 2, there had been 97 older people newly admitted into long term residential or nursing care. At the same stage last year there had been 158. As with previous quarters the majority of new admissions are over the age of 85.	Adult Services
17	Number of adults and older people who can choose how their support is provided to meet agreed health and social care outcomes in the year (self-directed support)	Bigger is better	86%	86%	86.5% GREEN	↓	86.7%	↑	84.6%	There has been a slight decrease in the number of people who receive their care via self directed support from quarter 1 to quarter 2. There has, however, been an increase in the percentage of people who receive this service from September 2016 to September 2017. As at the end of September 2017 there were 1,739 people receiving their service in this way.	Adult Services
18	The number of instances where an adult patient is ready leave hospital for home or move to a less acute stage of care but is prevented from doing so, per 100,000 population (delayed transfers of care)	Smaller is better	TBC	TBC	N/A	-	N/A	-	N/A	The number of patients delayed on the snapshot night has no longer been collected since April 2017. A new measure has been published on the DTOC website looking at the average number of days delayed in the month and we are currently awaiting clarification that this is to become the new ASCOF measure 2C. Once clarification has been received, a local target can be set accordingly.	Adult Services
19	Placeholder: Residents reporting good outcomes from their community service (home care service)	Bigger is better	TBC	TBC	N/A	-	NEW	-	NEW	This indicator is currently in development by the Joint Commissioning Unit. The service has collected initial data, which appears largely positive, but is awaiting independent verification of these results from Healthwatch before reporting this.	Adult Services • JCU
Connections: A digitally enabled borough											
Page 115	Improved Socitm score for the www.havering.gov.uk website	Bigger is better	3	N/A	3 GREEN	→	3	↑	2	The Council has been awarded 3 out of 4 stars in a review of its website and how it provides quick and easy 'customer journeys'. The Better Connected survey was carried out on 416 council websites by The Society of IT Managers in the Public Sector (Socitm). As well as performance in tasks, the survey looks at the quality of a website's search function and its accessibility for mobile devices and for people with disabilities. The result puts Havering in the 'providing a good service' category and recognises the improvements taking place as part of our Customer Experience Programme to improve the way we do business with our customers. A web review project was started in the wake of the web project ending to further improve the customer user experience and start the more detailed page rewrites to eliminate any customer confusion as they transacted with us. The Socitm report highlighted Adult Social Care as being in need of an improved journey and as such a dedicated working group has formed to bring Carepoint content onto the Havering website whilst overhauling the entire ASC offering on the site.	Culture and Customer Access / Transformation • OneSource (ICT)
21	Avoidable customer contact for Customer Services	Smaller is better	25%	25%	23.23% GREEN	↓	21.9%	-	NEW	The amount of avoidable contact recorded in Q2 was slightly up on Q1, but within the target of 25%. There are a number of reasons being recorded for contact being avoidable, with the highest proportion being that customers have to telephone the Council because they were expecting a call back or visit from the relevant service / department. Other reasons include customers chasing a service request / application yet to be completed; difficulties surrounding an online/digital transaction and customers seeking clarity around letters being issued. In total the Contact Centre handled 81,600 telephone calls in Q2. If 23.23% of these were avoidable that equates to 18,769 customers unnecessarily contacting us. This call volume takes the equivalent of approximately 3.7 FTE to handle.	Culture and Customer Access / Transformation • OneSource (ICT)
Connections: Capitalising on our location and connectivity											
22	Completion of Governance for Railway Investment Projects (GRIP) stage 3 at Beam Park station by November 2017	N/A	GRIP stage 3 achieved	N/A	Off Track	↓	On Track	-	NEW	Programme slippage to February 2018 for GRIP stage 3 completion. Corrective Action: There has been intrusion of a gas pipeline onto the platform area. The mitigation option may have a programme impact and is currently being assessed. A meeting with the gas company (Cadent) has taken place and it has been agreed that decommissioning of the pipeline is the preferred option. Cadent is preparing a report to its Board for December 2017, recommending asset decommissioning.	Development

Line.no	Indicator and Description	Value	2017/18 Annual Target	2017/18 Q2 Target	2017/18 Q2 Performance	Short Term DOT against 2017/18 (Q1)	Long Term DOT against Q2 2016/17	Comments	Service & Supporting Service		
23	Delivery of public realm improvements at the borough's three Crossrail stations	N/A	Improvements delivered	N/A	Off Track	→	Off Track	-	NEW	Gidea Park and Romford Crossrail supplementary works are on track and progressing well. The Harold Wood scheme is not on track due to a slipped programme from a Crossrail contractor, over which Havering has no direct control. Corrective Action: It has been agreed with TFL to carry forward funding to 2018/19 to achieve full spend and deliver works. Consequently the end date has now changed to accommodate the delay.	Development
Connections: Fast and accessible transport links											
24	Improve air quality in the borough by reducing the level of NO2	Smaller is better	40 µgm-3	N/A	N/A	-	NEW	-	NEW	In Havering there are 60 NO2 monitoring sites using diffusion tubes. The mean average levels of NO2 in 2016/17 had a range of between 31 µgm3 at the lowest at Bedford Park Visitor Centre, and 91 µgm3 at the highest at Romford Battis. A 2013 study by Kings College London found Havering to be the London Borough with the fifth cleanest air. The Miles the Mole Communication programme has been positively received locally and by the London Mayor's office. The Air Quality Action Plan is currently being finalised for Lead Member consideration. The action plan will have 40 critical measures which will improve air quality in the borough with NO2 being one of the major pollutants being targeted.	Environment • Development
Connections: Access to jobs and opportunities											
25	Proportion of adults in contact with secondary mental health services in paid employment	Bigger is better	7.2%	7.2%	10.9% GREEN	-	N/A	↑	7.2%	There has been an increase in the number of service users with Mental Health needs who are in paid employment. As at September 2017 there were 58 people in employment compared to 41 in September 2016.	Adult Services • Policy, Performance and Community
26	Proportion of adults with learning disabilities in paid employment	Bigger is better	8.3%	N/A	N/A	-	N/A	-	N/A	Performance against this indicator is not measured until Q3	Adult Services • Policy, Performance and Community
Opportunities: First class business opportunities											
27	Number of jobs created and safeguarded through Economic Development's London Riverside Programmes	Bigger is better	10	0	0 GREEN	→	0	-	NEW	Jobs are being created and safeguarded via the Delivery Agreement with CEME (Driving Growth in the London Riverside Opportunity Area Project). No new jobs fall into the cohort reported here until they have been sustained for 26 weeks. A slight slippage is expected in Q3 due to staffing issues within CEME. Officers are working with CEME to address these issues.	Development • Policy, Performance and Community
28	Number of investment enquiries to the Borough converted into a new business or expansion	Bigger is better	50	25	28 GREEN	↑	20	-	NEW	8 inward investment enquiries have been converted into a new business for the borough in Q2. The remainder reported here are expansions and businesses safeguarded.	Development • Communications
29	Total number of planning applications approved for new or extended commercial floor space, providing at least or greater than 100sq of floor space.	Bigger is better	75	N/A	N/A	-	NEW	-	NEW	This indicator is only available on an annual basis. An early, provisional, year to date figure should be available next quarter	Development
Opportunities: High-quality skills and careers											
30	% of 16-18 year olds who are known not to be in education, employment or training	Smaller is better	4.3%	4.3%	3.6% GREEN	-	N/A	-	NEW	Performance for Havering is below the annual target of 4.3% (where lower is better). This is also below the national (6%) and London (5.3%) averages. The delivery of targeted Information, Advice and Guidance (IAG) services via Prospects has seen a significant decrease in the number of NEETs through an increased focus on moving NEETs into education, employment or training. LBH has continued to deliver the Havering Raising the Participation Age (RPA) transitions event to support post-16 learners into positive destinations. This year the event was attended by over 200 learners and 600 parents.	Learning & Achievement • Policy, Performance and Community

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Line.no	Indicator and Description	Value	2017/18 Annual Target	2017/18 Q2 Target	2017/18 Q2 Performance	Short Term DOT against 2017/18 (Q1)		Long Term DOT against Q2 2016/17		Comments	Service & Supporting Service
31	Number of apprentices (aged 16-18) recruited in the borough	Bigger is better	770	331	N/A	-	N/A	-	450	Apprenticeship data is not available from the DfE's apprenticeship data library for quarter 2, however the DfE's quarterly participation data for Quarter 1 indicates the number of young people progressing onto apprenticeships at 16-18 in Havering is at 9.5%, which is above the London average (4.5%) and above the national average (6.7%). The outturn for the academic year 2016/17 is expected to be released at Christmas. LBH has continued to deliver the annual parent and learner apprenticeship event as part of National Apprenticeship Week to raise the profile of apprenticeships and pathways into higher apprenticeship routes. We had over 400 attendees at this year's event, with local employers Neopost, Kingston Smith and national employers TFL & Willmot Dixon attending.	Learning & Achievement • Policy, Performance and Community
32	Number of apprentices (aged 19+) recruited in the borough	Bigger is better	1330	758	N/A	-	N/A	-	NEW	Apprenticeship data is not available from DfE apprenticeship data library for quarter 2. The outturn for the academic year 2016/17 is expected to be released at Christmas.	Learning & Achievement • Policy, Performance and Community
Opportunities: Dynamic development and infrastructure											
33	New Hornchurch Sports Centre planning application approved and contract given to build the new centre	N/A	Timescale achieved	N/A	Off Track	→	Off Track	-	NEW	Members provided a steer to progress the 25m pool option for the new build Hornchurch Sports Centre on 30 May 2017. SLM has now gone to tender for build costs and submitted a programme for the development. Public engagement took place at the Havering Show and letters were sent to 4,500 residents within half a mile catchment of the Hornchurch Sports Centre notifying them of further public engagement sessions in early October 2017, of which approximately 200 residents attended. Corrective Action: Project progressing as Members requested following the decision to progress a new Hornchurch Sports Centre with a 25m swimming pool. Construction is due to commence by May 2018 (subject to a successful planning outcome). The new Centre would then open in December 2019, with demolition of the existing centre complete and a new car park created by June 2020.	Culture and Customer Access
34	New Romford Leisure Centre opened by Spring 2018	N/A	Facility opened	N/A	On Track	→	On Track	-	NEW	Romford Leisure Centre is on target to open early next year. Work is nearing completion at the leisure development. The ice rink structure is now complete and will have capacity for more than 1,200 skaters. The two pools are also nearing completion at the centre, with facilities including a fitness suite, and large dance and spinning studios.	OneSource (Asset Management) • Culture and Customer Access
Opportunities: A thriving local economy											
35	The number of businesses expressing an interest to relocate to the Borough with a turnover of £10m+ or international recognition.	Bigger is better	150 (Annual)	75	11 RED	↑	5	-	NEW	6 businesses with a turnover of £10m+ or international recognition have expressed an interest to relocate to the borough in quarter 2. 5 of those businesses have moved into premises in the borough. Corrective Action: The service is working on branding for the borough that can be used in large business engagement.	Development • Communications
36	Proportion of businesses showing employment growth	Bigger is better	78,780	N/A	N/A	-	N/A	-	78,000	This indicator will be reported at year end as data is only available annually and there is a time lag in it being published. The direction of travel is expected to be positive at this stage, given the number of new businesses and expansions reported. A new Inward Investment Delivery Plan is being developed, which aims to outline a number of new, proactive activities to support business growth and new investments into the Borough.	Development
37	Developments approved with an obligation requiring a Skills and Training Plan	Bigger is better	100%	N/A	N/A	-	NEW	-	NEW	This indicator stems from the work underway on the Planning Advice Note on Employment, Skills and Training. Data is only available on an annual basis with collection beginning once the Employment, Skills and Training Planning Advice Note, which will set out a basis for when a skills and training plan is needed, has been published	Development • Policy, Performance and Community
Places: A clean, safe environment for all											

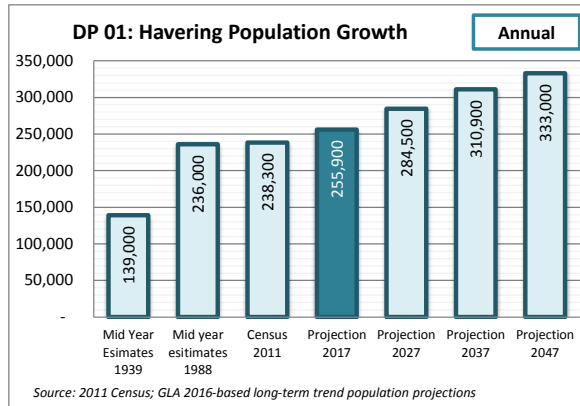
Line.no	Indicator and Description	Value	2017/18 Annual Target	2017/18 Q2 Target	2017/18 Q2 Performance	Short Term DOT against 2017/18 (Q1)	Long Term DOT against Q2 2016/17	Comments	Service & Supporting Service		
38	The level of waste per head of population presented to the East London Waste Authority (ELWA)	Smaller is better	441.01 kg per head	220.50 kg per head	235.65 kg per head (Provisional) RED	↓	118.4kg per head (Provisional)	-	NEW	<p>This PI measures the total waste delivered to the ELWA. This includes collected household waste, waste from the reuse and recycling centre and municipal waste from Highways and Parks management activities. If tonnages continue at this level throughout the year we would outturn above target, however tonnages are projected to decrease through the winter months as the amount of garden waste reduces .</p> <p>Corrective Action: Various waste prevention campaigns focusing on home composting, reuse, and Love Food Hate Waste, particularly through the Sainsbury's funded food waste reduction activities and through the Rewards and Incentives Scheme's Food Waste Challenge, are in place to help achieve the target. We are also reviewing operations in Highways and Grounds Maintenance to reduce waste and, with ELWA, are considering strengthening policies targeting potential commercial waste entering the domestic waste stream at the household reuse and recycling centre.</p>	<p>Environment</p> <ul style="list-style-type: none"> • Communications
39	The number of burglary offences (C)	Smaller is better	1,812	906	1,070 RED	↑	555	↓	917	<p>The combined figure for Q1 and Q2 this financial year is 1,070 offences. This is 153 offences higher than the 917 offences seen at the end of Q2 2016/17. When looking at Q2 in isolation, we have seen 515 offences, compared to the 404 offences seen in Q2 last year.</p> <p>There were 164 more offences during the first half of the year than the target. There is a however a positive in that the 515 offences in Q2 17/18 is lower than the 555 offences seen in Q1.</p> <p>Corrective Action: A review of burglary levels was presented to the HCSP on 18th October. This showed that only two wards in Havering are currently showing an increase in Burglary levels compared to 2016. These are Hylands and Romford Town Centre. Targeted action is planned by the police in these areas. The Metropolitan Police (MPS) is planning to repeat a seasonal initiative in the run-up to Christmas to tackle the increase in burglaries which longer hours of darkness brings, with additional patrols in targeted areas and further roll out of the Met Trace property marking scheme. The MPS has also launched its BESAFE campaign, which will be supported by the Safer Havering Campaign over the autumn and winter period. .</p>	<p>Policy, Performance and Community</p>
40	The number of anti-social behaviour (ASB) offences (C)	Smaller is better	6,100	3,605	3,037 GREEN	↓	1,050	↑	3,488	<p>Q1 and Q2 combined have seen 3,037 offences, compared to 3,488 during Q1 and Q2 of 2016/17. The summer months traditionally count for a significant proportion of anti-social behaviour, so having a below-target figure at this point in the year suggests we will achieve our annual target.</p> <p>Work to reduce ongoing causes of ASB complaints continues with the evolution of the Tasking Enforcement Group (TEG) process to co-ordinate action against problem premises, and work to tackle vehicle nuisance in the Rainham BID area. Work to tackle moped-enabled crime continues under 'Operation Venice', with Havering the only London borough to have witnessed a reduction (by 27%) against levels seen last year.</p>	<p>Policy, Performance and Community</p> <ul style="list-style-type: none"> • Children's Services (YOS) • Culture and Customer Access (Youth Services)
41	Local Plan progressed and successfully adopted in accordance with the timeframe set out in the Local Development Scheme	N/A	Timescale achieved	N/A	On Track	→	On Track	-	NEW	<p>Currently on track. Consultation commenced on 7 August 2017 has now been completed. 130+ representations have started to be analysed.</p>	<p>Development</p>

Line.no	Indicator and Description	Value	2017/18 Annual Target	2017/18 Q2 Target	2017/18 Q2 Performance	Short Term DOT against 2017/18 (Q1)		Long Term DOT against Q2 2016/17		Comments	Service & Supporting Service
42	The number of non-domestic violence with injury offences (C)	Smaller is better	1,311	906	653 GREEN	↑	349	↑	664	Q1 and Q2 this financial year have seen a total figure of 653 offences, which is slightly less than the 664 seen up to the same point last year. Performance is currently over 250 offences under our target level (were lower is better) for this point in the year. We have also achieved a reduction against the 349 offences seen in Q1 17/18. Romford Town Centre has been identified as the ward responsible for the majority of non-domestic violence with injury, so targeted work to tackle this crime continues through partnerships with the police and other partners within the night-time economy. The Council and Safer Transport Police have been shortlisted for a Problem Orientated Policing (POP) award for their work to address violence in Romford town centre, with the final winner being decided in November.	Policy, Performance and Community • Children's Services (YOS) • Culture and Customer Access (Youth Services)
43	Making Safeguarding Personal: % of cases where desired outcomes were expressed and these were either partially or fully met	Bigger is better	90%	90%	93.6% GREEN	↑	90%	↑	92.9%	There has been an improvement in performance against this indicator when comparing Q1 to Q2. There has also been an increase in performance when comparing September 2017 to September 2016. As at the end of quarter 2, 141 service users who had gone through the safeguarding process had expressed their desired outcomes. This is compared with 128 at the same stage last year.	Adult Services
Places: High-quality homes											
44	Delivery partner selected for the HRA regeneration programme by March 2018	N/A	Delivery partner selected	N/A	On Track	→	On Track	-	NEW	Overall on track and progressing according to plan. The second stage of dialogue started on 11 October 2017 with 3 bidders	Housing
45	% of council homes that meet the decent homes standard which ensures standards of fitness, structure, energy efficiency and facilities in council properties.	Bigger is better	98%	98%	99.2% GREEN	→	99.2%	↓	99.8%	The number of council homes that meet the decent homes standard has remained at the same outturn since quarter 3 of 2016/17. During 2017/18 there has been an increase in the number of surveys of stock which has tightened up the programme by identifying works required and works not required under the decent homes standard. Due to the constant tightening up of the programme, the new builds being developed and the regeneration programme there should be a further increase in the number of decent homes by the end of December 2017.	Housing
Places: Award-winning parks and open spaces											
46	% of parks supported by a "Friends" group	Bigger is better	17%	17%	17% GREEN	→	17%	-	NEW	17 out of 100 parks and green spaces continue to be supported by a Friends Group	Environment • Policy, Performance and Community
47	Number of Green Flag Awards	Bigger is better	13	N/A	13 GREEN	→	13	↑	11	The Green Flag Award is the benchmark national standard for publicly accessible parks and green spaces. Havering has been awarded a further two awards from last year increasing the total to 13. The parks that currently hold the award are: Harrow Lodge Park, Haynes Park, Raphael Park, Bedfords Park, Cottons Park, Harold Wood Park, Hylands Park, Lawns Park, Lodge Farm Park, St. Andrew's Park, Upminster Park, Rise Park and Central Park.	Environment • Policy, Performance and Community
Places: A vibrant cultural and leisure destination											
48	Deliver the Romford Market Transformation Support Programme for 2017/18	N/A	Transformation support programme delivered	N/A	On Track	-	NEW	-	NEW	The Romford Market Transformation Support Programme is progressing. A revised action plan and business plan are being prepared setting out the short, medium and long term objectives.	Development
Perception / Engagement PIs											
Police public attitude survey	% of respondents worried about crime in the area (R)	Smaller is better	28%	28%	33% (Q4 16-17) RED	↓	32% (Q3 16-17)	↓	32% (Q4 15-16)	The survey results are published two quarters in arrears, therefore March 2017's is the most recent data available. Performance is worse than the London average (31% - where smaller is better) and is worse than both the previous quarter and the same period last year. Corrective Action: The police have developed a communications plan and monthly joint communications meetings are taking place between the police and the council. Havering Council has launched the Safer Havering Campaign and Feel Safe Friday twitter campaign. The MPS has worked closely with the Romford Recorder and there has been positive reporting on action taken to address crime and disorder in Romford town centre and moped-enabled crime.	Policy, Performance and Community
	% of respondents worried about ASB in the area (R)	Smaller is better	15%	15%	15% (Q4 16-17) GREEN	↓	14% (Q3 16-17)	↓	13% (Q4 15-16)	The survey results are published two quarters in arrears, therefore March 2017's is the most recent data available. Performance is better than the London average (21% - where smaller is better) but worse than the previous quarter and the same period last year	Policy, Performance and Community

Line.no	Indicator and Description	Value	2017/18 Annual Target	2017/18 Q2 Target	2017/18 Q2 Performance	Short Term DOT against 2017/18 (Q1)		Long Term DOT against Q2 2016/17		Comments	Service & Supporting Service
LCA / Populus Survey	Satisfaction with the way Havering Council runs things	Bigger is better	65%	N/A	N/A	-	N/A	-	61% (2016)	Performance against this PI is measured biennially. The last survey was completed in 2016. The next survey is scheduled to be carried out in 2018.	Communications
	Satisfaction with Havering as a place to live	Bigger is better	88%	N/A	N/A	-	N/A	-	88% (2016)		Communications
	Strength of belonging to the local area	Bigger is better	80%	N/A	N/A	-	N/A	-	79% (2016)		Communications
	Trust in Havering council	Bigger is better	70%	N/A	N/A	-	N/A	-	70% (2016)		Communications
Housing Status Survey	Satisfaction with the service provided by LBH Housing Services	Bigger is better	85%	N/A	N/A	-	NEW	-	NEW	The 2017/18 survey has been sent to residents and the responses are being collated and analysed. Results are expected to be available next quarter. No survey was completed in 2016/17. The outturns for 2015/16 were 85% and 73% respectively	Housing
	Satisfaction that LBH Housing Services listens to tenants' views and acts upon them	Bigger is better	75%	N/A	N/A	-	NEW	-	NEW		Housing
Adult Social Care Survey	% of respondents reporting control over their daily life?	Bigger is better	71%	N/A	N/A	-	N/A	-	75.5% (Annual 16-17)	The Adult Social Care Survey is completed annually. The 2017/18 survey will be distributed in January 2018 and provisional results should be available for Q4 17/18	Adult Services
	Overall satisfaction with the care and support services received	Bigger is better	61%	N/A	N/A	-	N/A	-	62.4% (Annual 16-17)		Adult Services
	% of respondents reporting feeling safe	Bigger is better	68%	N/A	N/A	-	N/A	-	69% (Annual 16-17)		Adult Services
Carers Survey	Overall carers' satisfaction with the support or services carers and service users have received from Social Services in the last 12 months	Bigger is better	35%	N/A	N/A	-	N/A	-	34.2% (Annual 16-17)	The Carers Survey is completed biennially. The last survey was completed last year, and is therefore not scheduled to be completed again until 2018/19.	Adult Services
	% carers reporting that, over the last 12 months, they have been involved or consulted as much as they wanted to be, in discussions about the support or services provided to the person they care for	Bigger is better	66%	N/A	N/A	-	N/A	-	71.4% (Annual 16-17)		Adult Services
	% carers reporting that, over the last 12 months, they have found it easy to find information and advice about support, services or benefits	Bigger is better	67%	N/A	N/A	-	N/A	-	66% (Annual 16-17)		Adult Services
Early Help Service	Proportion of families who show continued overall progress after their initial assessment.	Bigger is better	TBC	N/A	N/A	-	N/A	-	N/A	The Early Help Service Evaluation Questionnaire was piloted in 2016/17. Response rates were very low and currently there are no plans for a further survey this year. Work is ongoing to measure performance against this indicator through Outcome Star assessments. Data on these cannot be reported until staff have received training, which is expected imminently.	Children's Services
Public Health Outcomes Framework	Percentage of respondents scoring 0-4 in response to the question "Overall, how happy did you feel yesterday?"	Smaller is better	Better than England	N/A	7% (2015/16) GREEN	-	N/A	↑	9.8% (2014-15)	The most recent data available from Public Health England is for the period 2015-16. Havering's outturn of 7% is better than England's (8.8%, where smaller is better) and better than the year before.	Public Health
	Percentage of respondents scoring 6-10 in response to the question "Overall, how anxious did you feel yesterday?"	Smaller is better	Better than England	N/A	18% (2015/16) GREEN	-	N/A	↑	21% (2014/15)	The most recent data available from Public Health England is for the period 2015-16. Havering's outturn of 18% is better than England (19.4%, where smaller is better) and better than the year before.	Public Health
Annual Resident Survey	Questions to cover Environment services (TBC)	N/A	TBC	N/A	N/A	-	N/A	-	N/A	The Council has plans to undertake a full residents' survey which will include questions covering Environment services. The survey is planned for early 2018/19.	Environment & Communications

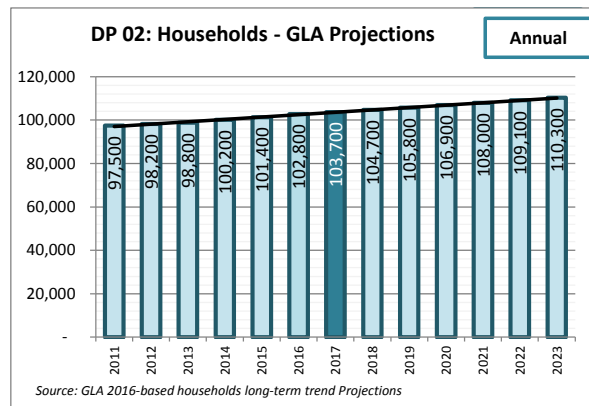
Appendix 2: Quarter 2 2017/18 Demand Pressure Dashboard

POPULATION



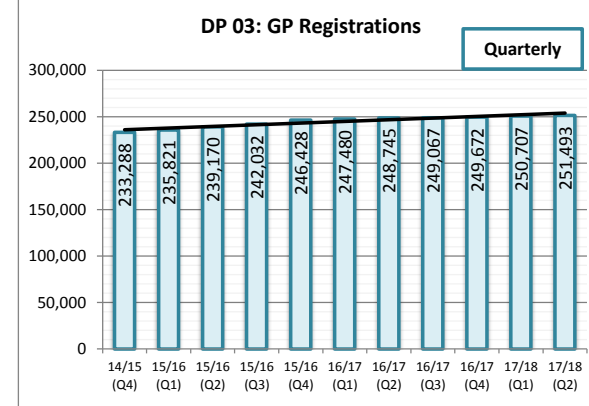
Population projections show that Havering's population has seen the second largest proportional increase in London from 1939-2016 (at 81%). Hillingdon has the highest increase (at 88%) and Hounslow saw the third highest proportional increase in London (at 39%). * Figures rounded to nearest 100

POPULATION



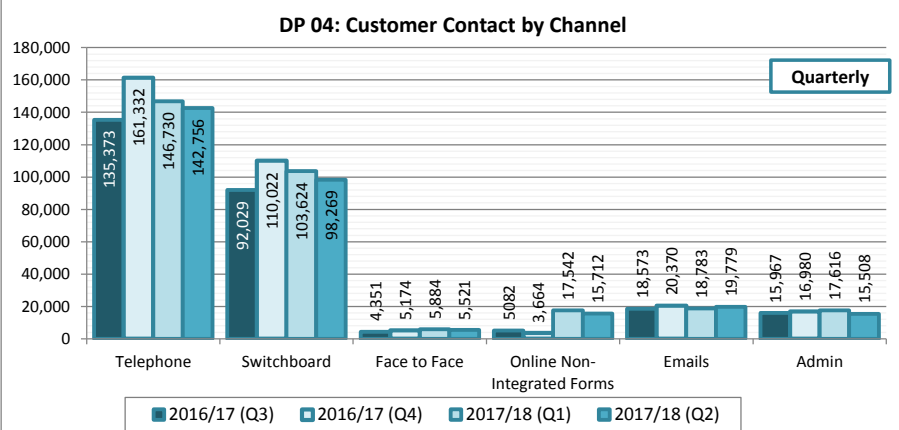
GLA estimates of the total number of households by borough indicate that the number of households in Havering has grown by 6,200 households from 2011 to 2017 and is projected to grow by a further 4,300 households by 2021. * Figures rounded to nearest 100

POPULATION



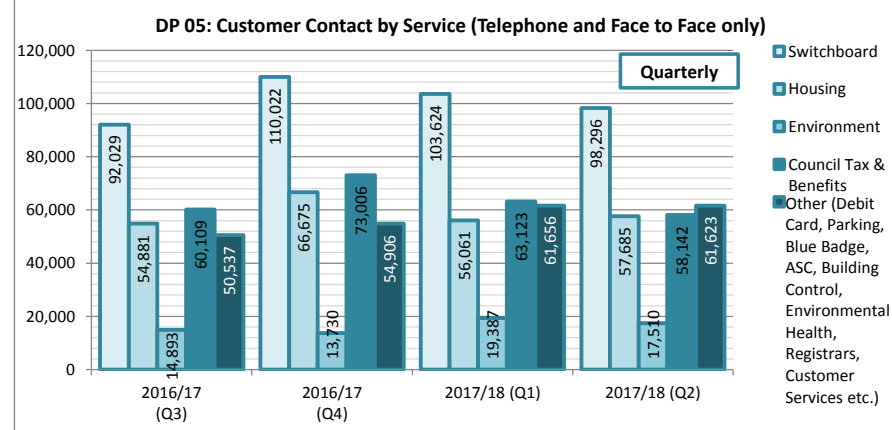
GP registrations are continuing to increase each quarter, with 786 additional registrations between Q1 2017/18 and Q2 2017/18

CUSTOMER SERVICES



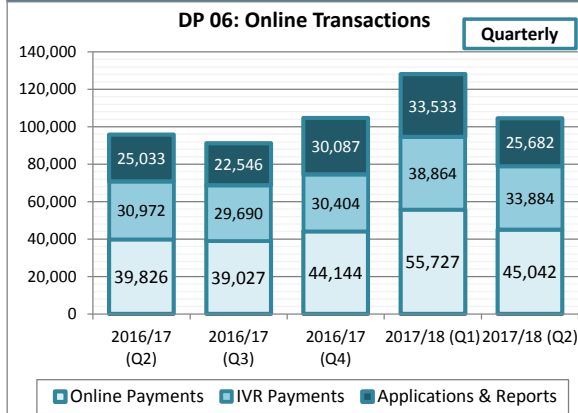
The planned introduction and promotion of further services available online will assist in the reduction of telephone contact, which continues to be the preferred method of customer contact. Online non-integrated structured web forms are preferred to email channels but still create a demand on Customer Services as the form requires processing by an agent. Online integrated forms are not handled by an agent and are directly sent to the appropriate service area.

CUSTOMER SERVICES



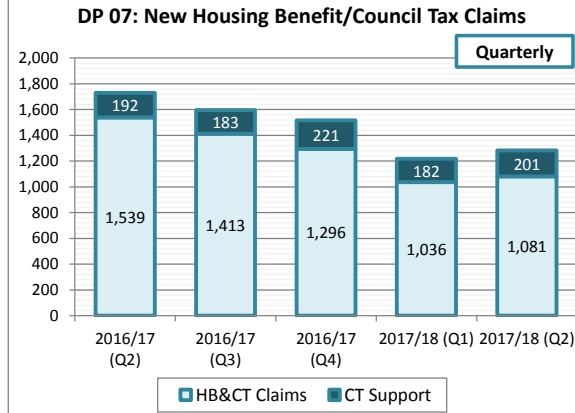
Council Tax, Benefits, Environment and Housing are the real pressures on service delivery due to the volume and complexity of enquiries. Services that are fully integrated with technology have been identified and work has begun to implement an online approach to move this demand to the most cost effective channels.

CUSTOMER SERVICES



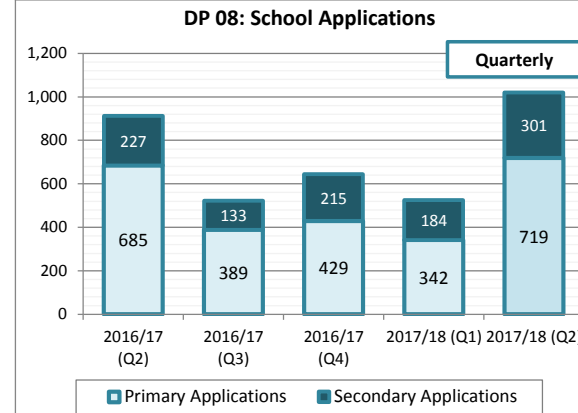
There have been a decrease during Q2 in online payments, IVR payments and service requests / applications. This was expected as the green waste renewal period ended. However online engagement is higher than at the same point last year, indicating some success in shifting customers online

HOUSING BENEFIT



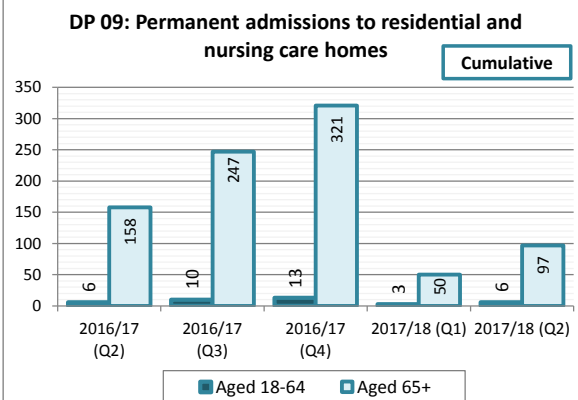
The total number of applications has increased by 5% from Q1 2017/18 to Q2 2017/18. The Universal Credit (UC) rollout did not significantly affect numbers of claims given that new customers will claim UC instead of Housing Benefit and UC is administered by the DWP.

SCHOOL APPLICATIONS



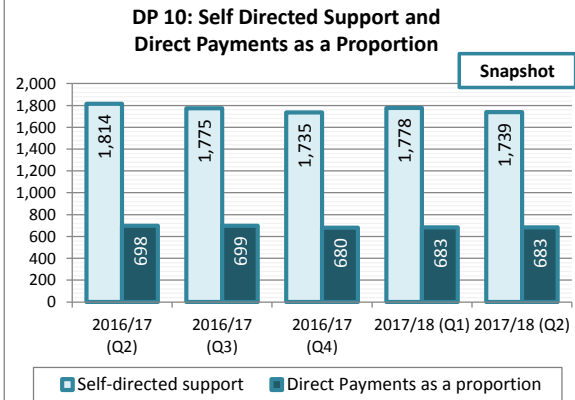
Compared to Q2 2016/17, the total number of applications has increased. We have experienced many applications this quarter where pupils are new to the country or moving into Havering from another part of the UK

ADULT SOCIAL CARE



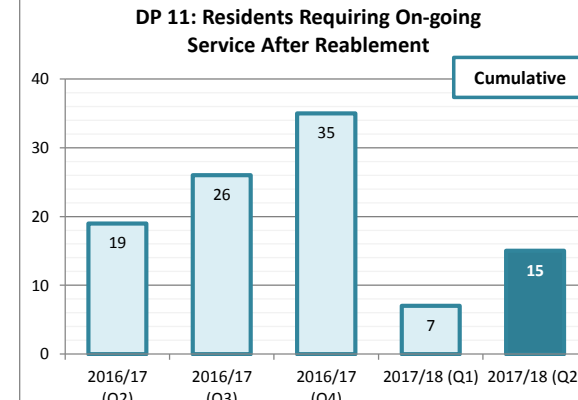
By the end of Q2, there had been 6 adults aged 18-64 in council-supported permanent admissions to residential and nursing care, which is the same as in Q1 in 16/17. There had been 97 adults aged over 65 in council-supported permanent admissions, representing a 39% decrease on the same period the previous year.

ADULT SOCIAL CARE

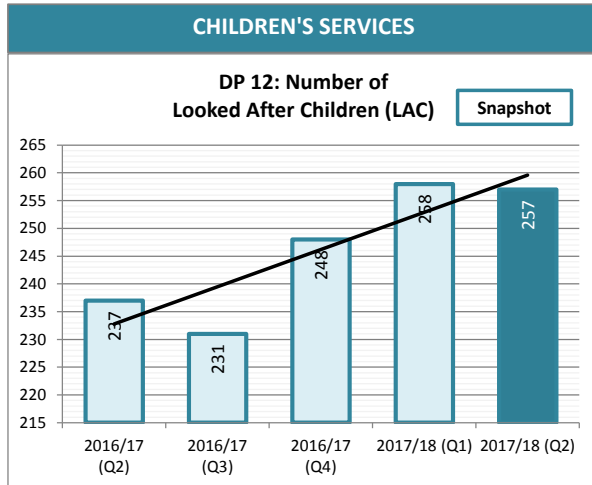


At the end of Q2, there were 1,739 service users receiving self directed support, compared to 1,814 at the same stage last year (representing a 4.1% reduction). There was also a 2.1% reduction in the take-up of direct payments from September 2016 compared to September 2017.

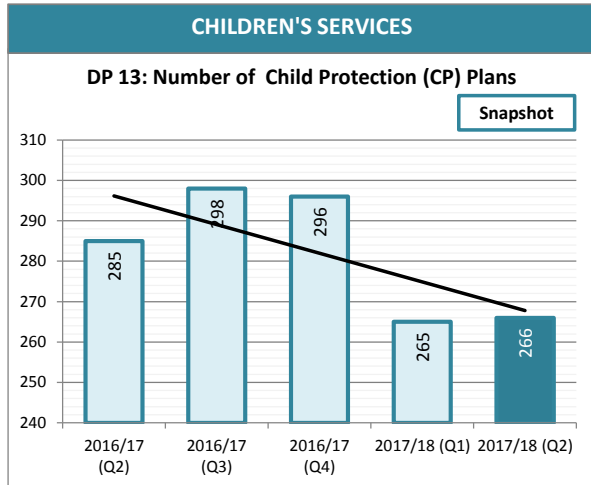
ADULT SOCIAL CARE



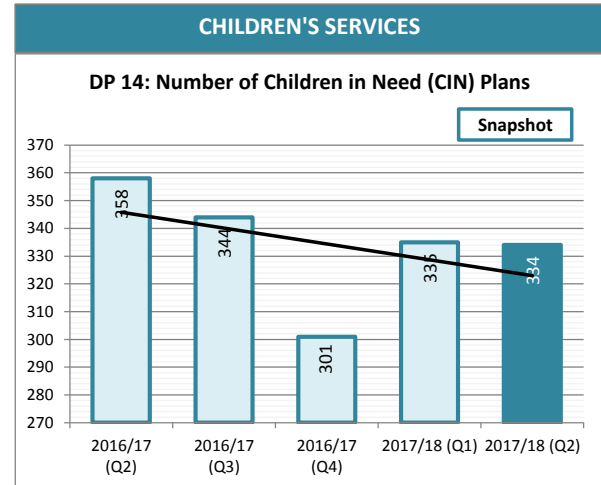
There has been a decrease in the number of service users requiring long term services after a successful reablement episode from 19 (50%) in September 2016 to 15 (25%) in September 2017.



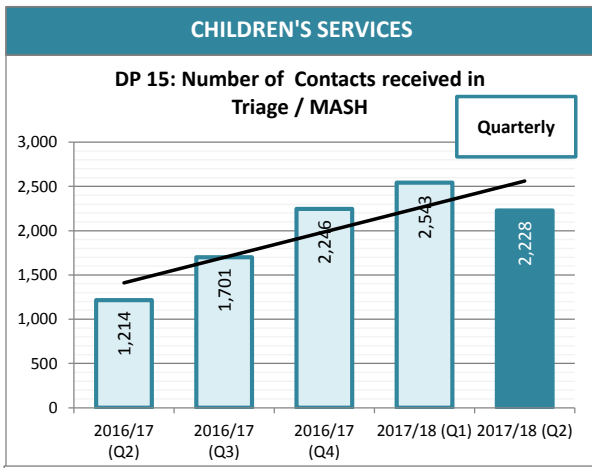
The number of looked after children in Q2 (at 257) is considerably higher than at the same point last year (an increase of 8.4%). However the size of the cohort has dropped very slightly since Quarter 1.



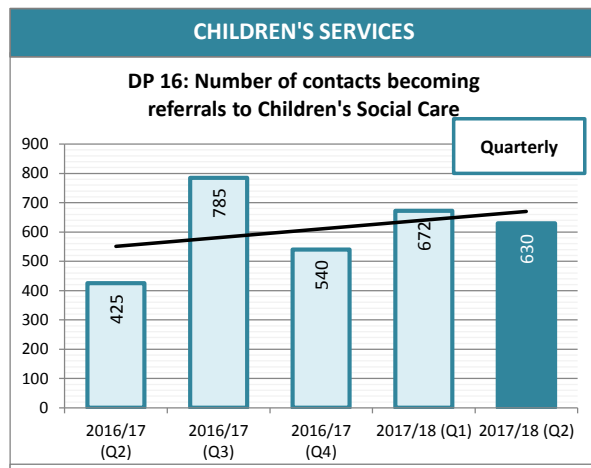
The number of CP cases (266) has decreased by 30 (-10.1%) compared to Q4 2016/17, and is currently lower than at this point last year.



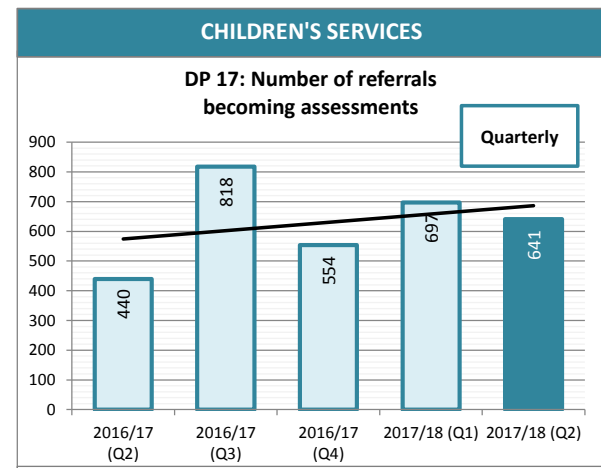
The number of CiN plans has now stabilised after the sharp increase that took place in Q1. This rise is likely to be linked to the changes in the number of CP Plans



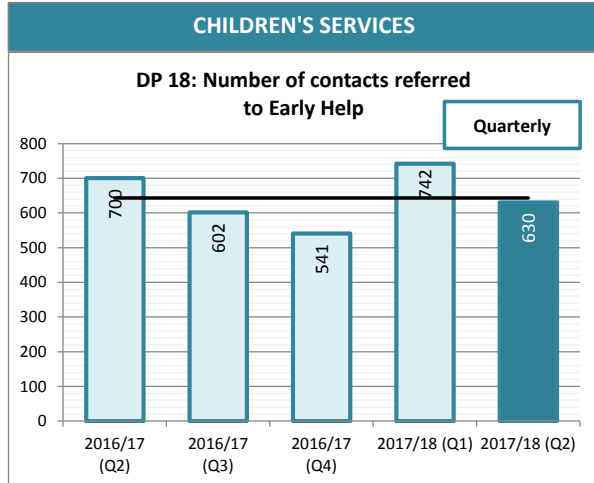
There were 2,228 contacts received in Triage / MASH in Q2 2017/18; a decrease of 315 (-12.4%) on Q1 but 1,014 (83.5%) greater than the same period last year. The dip was anticipated due to school holidays



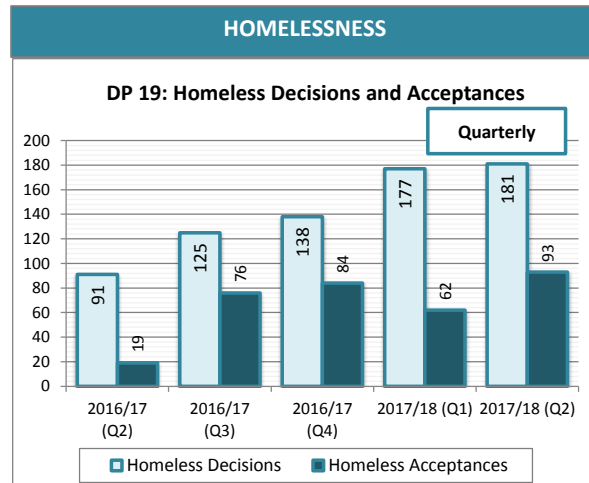
There were 630 contacts that became referrals in Q2 2017/18; a 48.2% increase on this point last year. Overall activity has increased compared with the previous year however there has been a slight decrease since the previous quarter



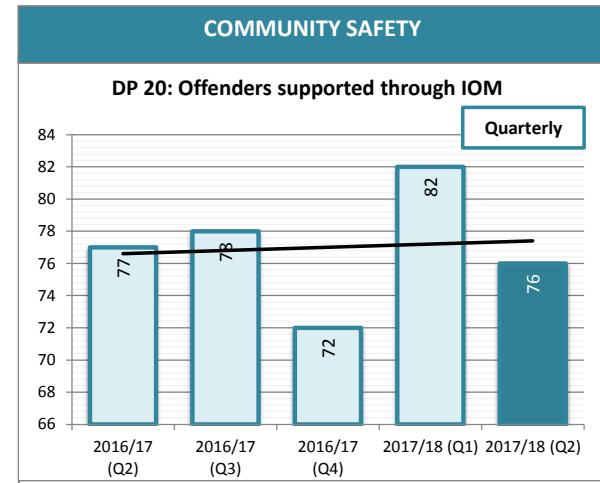
There were 641 referrals that became assessments in Q2 of 2017/18; a decrease of 8% on the previous quarter but an increase of 45.7% compared to the same period last year. This correlates with higher numbers of contacts and referrals.



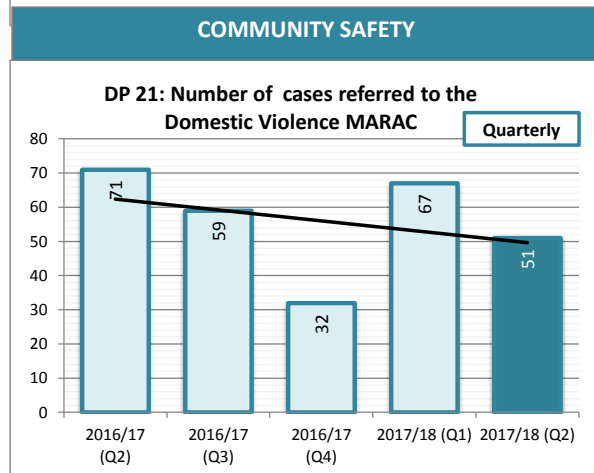
After Q1's sharp increase, the number of contacts referred to Early Help has reduced again to 630 contacts for Q2. Whilst this is not as high as last year's 700 outturn, it is more reassuring than the end of Q4 16/17 outturn of 541.



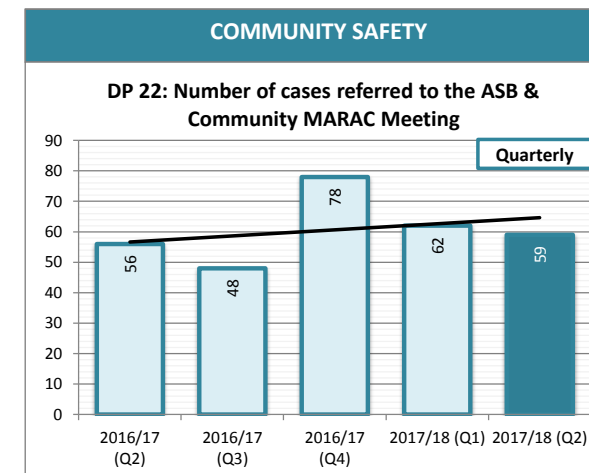
The number of homeless decisions and acceptances continue to increase. The number of homeless decisions have increased by 99% since Q2 16/17



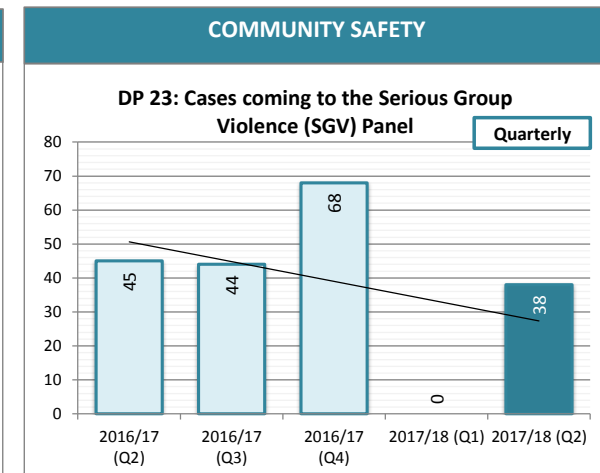
The ideal capacity of the group is 80 persons. Despite being lower than in Q1, a cohort of 76 persons at the end of Q2 demonstrates both that there is demand for the service, and that effective work can be carried out with current resources.



Referrals have decreased for Q2 however work to raise awareness of the process continues in an effort to ensure everyone who needs support is referred to the panel.



The ASB Panel and Community MARAC meetings were combined in January 2016 to reduce duplication of cases being represented at both panels. Q2 demonstrates a consistent level with Q1 and the same period last year.



SGV meetings were not held in Q1 due to a problem with receiving data from the Police. This has now been rectified, and monthly meetings have resumed, with an emphasis on quality discussion of risk subjects rather than quantity.

CABINET

13 December, 2017

Subject Heading:

Draft Joint Commissioning Strategy

Cabinet Member:

Councillor Wendy Brice-Thompson,
Cabinet member for Adult Services and Health

Councillor Robert Benham, Cabinet member for Children's Services

SLT Lead:

Sarah Homer

Report Author and contact details:

John Green 01708433018
john.green@havering.gov.uk

Policy context:

The Health and Wellbeing strategy is the overarching plan to improve the health and wellbeing of children and adults in our borough. In reference to the themes and priorities of the strategy the commitment is made that:

All of the above will need to be supported and facilitated by the continued development and delivery of integrated commissioning strategies and activities across the organisations represented on the (Health and Wellbeing) Board.

Financial summary:

There are no immediate financial implications associated with approval of the strategy. Its implementation will have significant financial implications and the expectation is that it will be delivered within budgetary provision available.

Is this a Key Decision?

This is a strategy that applies across the Council and as such will have a significant effect on two or more wards

When should this matter be reviewed?

October 2018

Reviewing OSC:

Individuals

The subject matter of this report deals with the following Council Objectives

Communities making Havering	[x]
Places making Havering	[x]
Opportunities making Havering	[x]
Connections making Havering	[]

SUMMARY

The report details a strategic approach to commissioning across Adults Social Care; Public Health and Children's services. It is proposed that this is approved by Cabinet prior to public consultation, which will inform a full equalities assessment. Once the consultation process is complete the strategy will return for final sign off to give a basis for commissioners to operate from within the London Borough of Havering.

RECOMMENDATIONS

The recommendation is that the draft strategy is approved prior to public consultation and development of a full equalities assessment before returning to Cabinet for final sign off. It will ultimately be the basis for operating for commissioners within the Joint Commissioning Unit, responsible for Adults Social Care, Children's and Public Health commissioning.

REPORT DETAIL

The report is the strategy as drafted. It is contained as Appendix 1.

REASONS AND OPTIONS

Reasons for the decision:

There is a need for commissioners to operate in a way that is understood, endorsed and approved by members

Other options considered:

To operate without a strategic document – rejected because the basis for commissioning and its approach needs to be understood and agreed.

IMPLICATIONS AND RISKS

Financial implications and risks:

There are no direct financial implications arising from approval of the strategy itself. The strategy is designed to be the framework for strategic priorities addressed by the Joint Commissioning Team when commissioning services.

The implementation of the strategy through the commissioning of services will have financial implications on the Council. Individual commissioning decisions will be subject to the Councils Contract Procedure Rules and financial scrutiny. The Joint Commissioning Team is required to stay within their allocated budgets and where this is not possible mitigations will need to be identified and managed.

The strategy focusses on prevention, personalisation and integration and partnerships. Notwithstanding this the Council needs to ensure it continues to meet its general Duty of Best Value to 'make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy efficiency and effectiveness'.

Legal implications and risks:

This report seeks approval of the draft Joint Commissioning Strategy, covering Adults' and Children's Services and Public Health.

Local authorities' statutory responsibilities for public health services are set out in the Health and Social Care Act 2012, including a duty to take such steps as they consider appropriate for improving the health of the people in their areas.

Further, S1 Care Act 2014 provides that the general duty of a local authority, in exercising a function under Part 1 of the Act, in the case of an individual, is to promote that individual's well-being.

The Joint Commissioning Strategy for which approval is sought facilitates delivery of the Council's Health and Wellbeing Strategy and compliance with the Council's statutory responsibilities which it covers.

Officers will need to ensure that they comply with the Council's Contract Procedure rules and relevant EU and UK procurement legislation when undertaking specific commissioning exercises.

Human Resources implications and risks:

There are no direct human resources implications arising from approval of the strategy itself. The strategy is designed to be the framework for strategic priorities addressed by the Joint Commissioning Team when commissioning services.

The implementation of the strategy through the commissioning of services may have human resource implications and these will be managed within council rules and procedures.

Equalities implications and risks:

Havering has an evolving and increasingly diverse demographic and community profile. Different community groups can and do experience particular health challenges, and our commitment to addressing these, together with any perceived or actual health inequalities is essential in delivering this strategy. Our goal is to ensure the provision of appropriate and accessible services for everyone in Havering; regardless of age, disability, ethnicity, religion, gender, sexuality, or socio-economic status. Practically, our commitment to equality for all will be reflected in the commissioning of culturally inclusive prevention, care, and treatment interventions. We will also endeavour to consult with all community groups, carers, and other appropriate stakeholders, to ensure that our commissioning intentions are informed by actual service user needs and experiences.

Prior to going out to public consultation this draft strategy is for consideration and approval by Cabinet. A full Equalities Assessment will be produced as part of wider public consultation and accompany the strategy when it is brought back to Cabinet for the final approval as the Joint Commissioning Strategy for Havering.

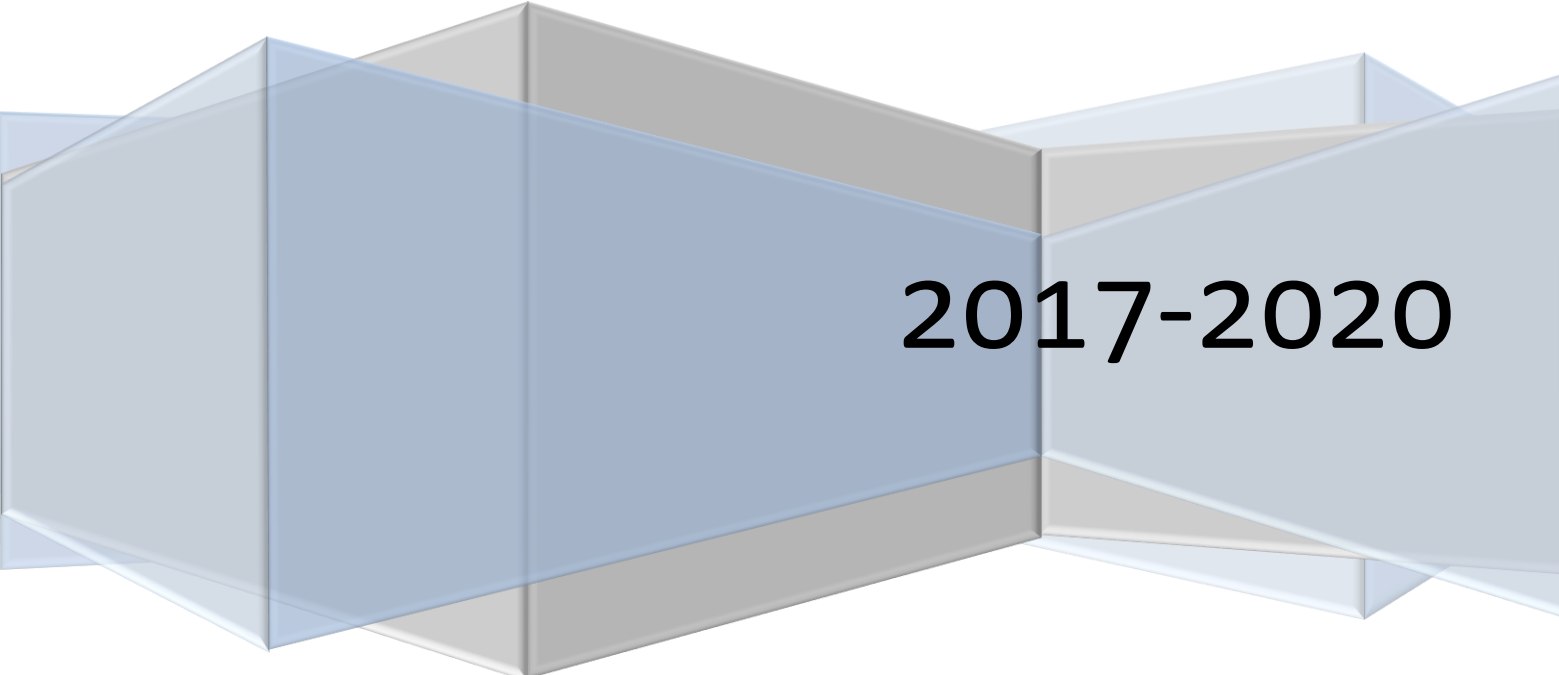
BACKGROUND PAPERS

None

Draft Joint Commissioning Strategy

Commissioning for Adults, Children and Public
Health

London Borough Of Havering



2017-2020

Joint Commissioning Strategy

Introduction:

The Joint Commissioning Strategy, covering Adults, Children's and Public Health, is compatible with and supports the goals of the Havering Health and Well-being strategy.

After consultation it will be a statement for stakeholders as to priorities and strategic commitments, providing the basis for commissioners to deliver change and meet our strategic goals. Behaviour, approach and delivery will be compatible with the commitments made.

It needs to be read in conjunction with:

- The JSNA (Joint Strategic Needs Assessment), including 'This is Havering' – Havering's single point of truth regarding demography and population projections. There are no separate statistics in this document but references will be made where such data is important and relevant to points being made.
- 'Havering's Market Position Statement 2016' – this strategy is compatible with and will cross reference to the MPS
- Children Looked After Sufficiency Statement 2016 -2019
- 'Strategic Procurement Strategy 2016- 2018'

The strategy will specify:

- The high level strategic goals that we want to achieve
- A set of non-negotiable conditions
- A set of commissioning principles that will be observed in all that is done

The strategy establishes the right approaches to achieve higher level strategic objectives. This means managing conflicting agendas and priorities, managing a market of providers and working with and designing cross organisational systems that interact and influence each other. By achieving an effective system design we will look to save money whilst protecting or enhancing services and ensuring markets are sustainable and of high quality.

Havering also has an evolving and increasingly diverse demographic and community profile. Different community groups can and do experience particular health challenges, and our commitment to addressing these, together with any perceived or actual health inequalities is essential in delivering this strategy. Our goal is to ensure the provision of appropriate and accessible services for everyone in Havering; regardless of age, disability, ethnicity, religion, gender, sexuality, or socio-economic status. Practically, our commitment to equality for all will be reflected in the commissioning of culturally inclusive prevention, care, and treatment interventions. We will also endeavour to consult with all community groups, carers, and other appropriate stakeholders, to ensure that our commissioning intentions are informed by actual service user needs and experiences.

Executive Summary

There are three high level strategic goals which Havering commissioning will be working to deliver:

- Prevention - to maximise independence or maintain it for as long as possible
- Increasing the scope and scale of personalisation
- Delivering Integrated services and working in partnerships to achieve improved outcomes

In addition we will have specific programmes that address particular groups, but recognise the same strategic goals apply

- Adults with Disabilities
- Children and Younger People

The Havering commissioning strategy is fundamentally about **Prevention**, managing demand for services by improving the health and well-being of people in the community. This applies to vulnerable groups but also, at a public health level, to the population as a whole, providing services that prevent future demand. This requires the commissioning of universal services as well as taking the opportunity to prompt people at an early stage to consider and take responsibility for their own health, taking all available steps to mitigate demand. To achieve community level health and well-being a whole system design has to interact effectively, no small ask when there are multiple providers, agencies and organisations with their own ideas, initiatives and priorities.

The strategy recognises this complexity and the factors to be taken into account to get the best outcomes for end users. Thus **working toward integrated services and working in partnership** is identified as a strategic goal in itself. Without cross organisational engagement in developing end to end processes that work for the end user, silo based solutions will mean poor experiences for people. This is why, for the future, the region is looking to Accountable Care Organisation or System (ACO or ACS) models as the way forward. In the meantime the best has to be made of current organisational structures and ways devised of making systems work for the end user.

It is the person requiring care, however, who is best placed to understand responses required to meet needs. For this reason, another, complementary, strategic goal is to increase the scope and scale of **personalisation** in Havering.

There has been progress in reaching the current personalisation offer but there is an opportunity to strengthen what is available. Implicit in this is the need for a conversation between service user, carer and commissioner, and the voice of the user is integral to the strategy and will be embedded within practice.

The goals to **support people with disabilities to maximise independence** and to **'support Havering's children and families to lead happy, healthy lives and to reach their full potential'**¹ recognises there will be a specialised response to their needs. This will include those in need because of family circumstances, those with learning disabilities, with dementia, with autism, with mental health conditions or with physical and sensory disabilities. The overarching goals of Prevention, Integration and Personalisation will, however, still apply.

These objectives are interdependent. Prevention is going to be more successful if we are working in partnership successfully with other organisations or services, so communication and a wide understanding of initiatives taking place in each area is essential.

¹ Havering Children's vision

Structure and Approach

Organisational structure needs to be supportive of strategy. The Joint Commissioning Unit has been designed in alignment with the strategic objectives. Programme Managers, with teams of commissioners and project managers, will be responsible for each of the strategic objectives. In addition teams related to quality, placements, financial control and development of personalisation will ensure that all aspects of this strategy are addressed actively. Workforce development, culture and performance management will be aligned with achieving strategic objectives.

Choices about what activities to undertake, what to prioritise, ideas to implement, services to commission and along what timelines, will be made through appropriate programme and change management, service improvement and design methodologies and approaches. This approach will feed into corporate reporting mechanisms allowing for transparency at different levels of detail depending on the audience.

There are also external demands on the service, most obviously legislative ones. The observance of the statutory requirements and guidance relevant is interwoven with this strategy.

Similarly commissioning practice will be apparent from the commitments and aspirations within the document. However our practice commits fully to:

- Outcome Based Commissioning – Specifying the requirements of services that we commission in terms of outcomes. Understanding we need both input and impact and outcome measures. Working actively and intelligently with providers acknowledging that specifications and contracts can describe a service but in real world situations flexibility and design has to be an ongoing process that requires high quality communication and dialogue to achieve beneficial outcomes.
- Ensuring Return on Investment – Ongoing monitoring of impact by ensuring that measures are in place and working with providers through active contract management. Taking necessary action to protect the council’s financial interests.
- Co-design and co-production of services – Working with providers and service users and their families and carers, to design shape and understand services that really meet needs.
- Innovation, Improvement and Change – A commitment to curiosity and experiment within the service so that outcomes for service users can be enhanced and the overall system improved. A continual outward look for creativity that can be applied and adapted to the Havering context. For example the successful application and implementation, over three years, of an Innovation bid for regional commissioning for children’s residential care, based on the Narey Report².

The Strategic Goals

1. Prevention

² ‘Residential Care in England’. Report of Sir Martin Narey’s independent review of children’s residential care; July 2016

Utilising all available assets is essential in ensuring that public services continue to support those most vulnerable in our communities. Almost every activity, engagement, communication and discussion between service users and their parents/ carers, potential service users and their parents/ carers and those who are part of the social care and health system should look to utilise and enhance available assets and abilities as, at least, an implicit aspect of the conversation. It is essential that front line social work, operational management, Public Health, council services like Housing and Culture and other partners work together to implement a preventative model based on conversations that encourage and promote independence. This is not a proxy for leaving people out of a system who need it. It is about empowering and supporting people to use all they have to maintain a healthy and independent life.

Prevention has been categorised as primary, secondary and tertiary³ depending at what point the intervention or 'nudge' to behaviour change takes place.

In regard to public health services primary prevention can include things like encouragement of breast feeding, improving health at the earliest of stages. Services will include Health Visiting and Sexual Health services, where behaviours can be influenced that prevent later demand.

Public Health statutory mandates include sexual health; health checks and health visiting. The NHS constitution applies to these services which mean a slightly different set of demands around commissioning and clinical governance, which is passed on to the provider. Commissioners need to be assured that services are of high quality and meet clinical standards.

Public Health services will be addressed and understood within the Prevention stream. It is recognised that these have a special intention and element to them which will be recognised in the treatment and commissioning of those services.

It is challenging to measure and monitor how successful preventative measures are and their direct impact on expenditure. As much as possible we will use data and establish systems that provide evidence to ensure an understanding of preventative models and to inform where future investment will be best placed. It is important that public health and commissioners work together where there are needs for data and evidence bases to support the delivery of improved health and well-being.

The prevention programme will look to improve our offer across a range of commissioned services. Whilst there are many different providers potentially delivering these services for different users (e.g. children looked after; children with disabilities; adults with learning disabilities, older frail adults, people with physical or sensory disabilities) the generic services include:

- Home Care – We have implemented the 'Active Homecare Framework', a dynamic purchasing system (not dependent on externally provided IT solutions) which enables providers to operate in Havering providing they meet quality criteria, which will be further developed over time. They will include service user feedback, leading to an outcomes based commissioning model. There is no price competition or payment by results, simply an understanding of outcomes and a commitment to continuous improvement. We are committed to ensuring home care workers benefit from a reasonable funding regime, not in pushing providers to the lowest possible cost model.

³ Care Act guidance chapter 2: Preventing, reducing or delaying needs

- Residential Care – The numbers of people going to residential and nursing care can be reflective of actions taken elsewhere in the system. If numbers of children going into residential care show disproportionate increases, for example, it may suggest there are opportunities for improvements in practice and preventative measures earlier in their pathway. The aim is to sustain people in the community where possible working closely with social care partners to understand models of care and response to need. It is important to share intelligence around trends, the market and expectations.

Nationally the market for placements for children, both for looked after children and for those with special educational needs and disabilities (SEND) is recognised as difficult. This is in terms of availability and cost. We are therefore looking at a regional response by partnering with other Councils through the successful Innovation bid for funding of a three year programme of change. We are also beginning to investigate property options for finding placements within Havering.

For adults with learning disabilities we are looking at the possibility of working with providers to change residential models and introducing more personalised models of care through Individual Service Funds (ISF). However we will not move away from residential care to supported living unless it is the correct thing to do for the residents.

Our residential care market for older adults is a large one and we continue to work with our providers to understand the pressures on the market. However we acknowledge that there is a need to get a greater understanding of the market and we have committed to undertake a full review of all provisions in the coming year.

- Voluntary Sector services – The voluntary and community sector is an important part of the market. Extensive engagement with both commissioned and non-commissioned voluntary sector services co-produced a set of outcomes important in the Havering context. The required outcomes include:
 - High quality information and advice – for adults this is a directly commissioned service, Care point, that provides scope for face to face and telephone contact. In addition there is a ‘Care Point’ website that is being constantly updated with information and advice for adults’ services. For children’s services the ‘Local Offer’ is the statutorily required website and this will be developed and opportunities identified for joining up these services.
 - Ensuring people are supported in their journey from hospital to home; ‘Help not Hospital’
 - Low level support in the community for vulnerable people that prevents escalation to statutory services; ‘Here to Help’
 - Low level support in the home, providing and installing equipment to support independence; ‘Havering Safe at Home service’.
 - Short breaks services - short breaks will contribute to the ongoing support of children and young people in their own homes as well as preparing young people for independence and adulthood. In particular, we are keen to work with providers to reduce reliance on centre-based services, and instead support young people to

maintain friendships out in the community e.g. meeting friends for swimming or to go to the cinema or just to meet for a coffee, with the right support.

However the process also identified three other outcomes that are particularly important in the Havering context:

- Social inclusion – informed by the identification of social isolation as a major driver for demand in Havering. Further explored through a social inclusion project, producing recommendations for change that have informed both the need for preventative services but also the idea of social reablement, integrating a social response to work with the support given from the new reablement service for older people. The approach to short breaks outlined above indicates the importance of building social cohesion and capacity at all ages.
- Carers, both young and old, supported in their role – informed by the demographic of Havering and the identification in the last census of 25000 carers within the borough. The Carers Strategy identifies more detailed outcomes for the voluntary sector to respond to.
- Development of self-sustaining peer support networks – responding to the need for the community to use all its assets to provide support to people.

A commissioning exercise has been launched for organisations to indicate what service design they propose to best deliver the outcome required. This will go live in 2018.

In regard to voluntary sector support for children with SEND, there is a need to ensure commissioned models meet the needs of service users. This will be addressed and the market developed to enable service users to access both commissioned services and other services through the use of direct payments. The Local Offer will be developed to reflect this choice allowing families to have more control over the services they choose.

Once commissioning exercises are complete we will work with providers to ensure outcomes are delivered. We will look to integrate the services with the wider system where necessary.

- Extra Care Housing – We have aligned our 3 Extra Housing schemes and will re-commission the services from 18/19. We will review the offer during 17/18, with a view to improving the service, maximising benefits and applying lessons to any new schemes identified. There is a case for potential increase in provision over coming years and these will be developed in partnership with Housing, using lessons learnt from our current provisions.
- Shared lives – we have introduced a new shared lives service and will develop this, making connections with the community and delivering cost efficiencies.
- Housing provision for young adults – looking to develop and improve our offer to assist young adults move from semi-independent provision to responsible and equipped members of the community
- Drug and Alcohol services – These are important in managing demand with implications across public services, for health, police, housing, childrens and adults services and community safety if drug and alcohol misuse escalates. We will continue to review impact through our current contract but understand wider implications with public health colleagues.

2. Personalisation

The definition of personalised service involves the concept of choice and control for those who require support. In some cases that is giving the ability, for those with capacity to do so, the choice of what they want to use the money that they need (as defined with social workers) in the way they want to, to meet that need. It is also a wider definition regarding all interactions with service users and their parents/ carers and, potentially, their families that respects them as the best people to make choices about what is required to meet needs. Services need to recognise this and be able to respond and flex to individual need as far as possible – delivering a service around a child/ adult rather than expecting the service user to fit in with how the service is delivered.

Our strategy in Havering is committed to increasing the scope and scale of personalisation and the infrastructure that supports it. There are many issues to be understood, solutions identified and implemented through a programme of change in partnership with service users and their parents/ carers.

Measures will include numbers of particular types of personalised accounts (direct payments; managed accounts; ISFs) but success will be measured in the real change that is delivered to people's lives as a result of increasing choice and control. Measuring this is more complex but is the reason why we are looking to improve our offer.

To build a solid infrastructure for a sustainable system, the activities and approaches needed include:

- Engagement and inclusion of those who are current recipients of self-directed support so that they can shape the model moving forward
- Engagement with those who are potential recipients of self-directed support.
- Clear and specific commitment at a leadership level
- Engagement with the market – outlining the drive toward personalisation and the implications, which will include:
 - The opportunities for developing services designed to meet the needs of individual budget holders.
 - Micro commissioning and the need for growth in personal assistants and/or micro commissioned services that meet particular needs
 - Review of levels of payment to direct payment budget holders
 - Emphasis that once direct payments are in place that costs of services are a matter for the provider to communicate to the DP holders and not the Council
- A culture developed (within and outside the organisation) that understands and appreciates the power of personalisation, promoting the thinking that is needed to move from the perception of dependent service users and their parents/ carers to empowered ones
- Use of external information and learning to promote ways of developing personalised services
- Committing to making processes as easy as possible to access and purchase services
- A proportionate and explicit approach to risk around safeguarding and quality within the context of directly commissioned services

- Draw on cross borough initiatives where they are supportive of market development, quality etc.
- Develop the approach to support planning to ensure full alignment with the goals of personalisation
- Communicate and work with providers to develop the range of services and the support needed to respond to the demand generated for such services
- Have a clear and documented policy framework as the basis for design and decision making
- Clear set of outcome based measures ensuring movement towards increasingly personalised services for users
- Commissioning services to allow them to be flexible and responsive to individual and family needs

Once the programme of change establishes an infrastructure for personalisation the scope for more imaginative and innovative approaches will be possible.

The corollaries of personalised services, meeting holistic outcomes that support service users and their parents/ carers, are people and families more able to live independently, with reduced dependency.

3. Integration and Partnerships

In many cases integrating services for end users or ensuring that we utilise and align the capacity of partners to deliver strategic outcomes is beneficial. The existence of different priorities, agendas, budgets, contractual arrangements, management and governance structures as well as the reality of differing personal beliefs and agendas means that working in partnership, even across different departments let alone different organisations can be, in practice, difficult.

There is a commitment to take the opportunities available from closer partnership working and/ or integration for improving services. However this is not a passive process. We have to actively work on making partnerships work and change and adapt processes and wider systems to create the right environment.

Our commitment, from a commissioning perspective is to work effectively, where benefits for end users will accrue, with partners. There is a significant list of things that we want to develop and enhance that will be a key stream of work for commissioning as we move forward.

Some of the key partners, and an indication of things that we could work together on to enhance service user outcomes, are summarised below:

Social Care

Whilst this is a commissioning strategy it can only work if it is compatible with social care objectives, and vice versa. This is the crucial link to meeting the strategic objectives outlined.

It is essential that the objectives of this commissioning strategy are reflected in the day to day interactions between social workers and service users and their parent/ carers. This interaction will set the tone for expectations of the service users and their parent/ carers around the purpose of the service, the outcomes that are to be achieved and, where possible, the assets the individual can

access to support themselves. Introducing and understanding of personalisation also depends on social workers' explanation and promotion of the concept, whilst recognising a supportive infrastructure, built by commissioners, also needs to be in place.

If the connection to commissioned services or financing mechanisms is through social workers identifying need, and understanding what is available and appropriate in the market to meet that need, it follows that commissioning and social care has to communicate effectively and continuously.

To get this right the relationship at senior levels and in the day to day operational interface between social workers and the various elements of commissioning has to be positive and of high quality. Processes need to be supportive of achieving a flow from social work into commissioned services that are effective, controlled properly (financially and in terms of quality of provision) and are proportionate to need.

This strategy commits fully to building and maintaining high quality communication and management of flow at all levels.

Public health

The relationship with public health needs to be coordinated and consistent with the aims of the council in place shaping. There is an opportunity to institute and apply the principles of 'Making every Contact Count' within the JCU, establishing the approach to behaviour change that utilises the many day to day interactions that we have with stakeholders, including front line services and providers, to encourage changes in behaviour that have a positive effect on the health and wellbeing of individuals, communities and populations.

The understanding of wider health and wellbeing aspirations will mean that contracts we commission will have embedded within them commitments to wider health and wellbeing objectives. For example, pushing the idea of flu vaccination to care providers, reducing impact on staff but also reducing the possibility of infection being passed on to service users.

The 'nudge' concept will be understood, to ensure that all engagements shift behaviours in the right way to create resilience in the community. Anything we can do to embed this across the service will build a network of 'right messages' and ensure that health and wellbeing value is maximised in all contracts we commission.

Integrated Care Partnership

The Joint Health and Wellbeing strategy and many organisational cross overs and governance groups indicate an already established partnership approach between the London Borough of Havering and Havering Clinical Commissioning Group (CCG). However this basic partnership is extending to incorporate local authority partners and to reflect the changes to CCG structures.

An Integrated Care Partnership has formed that involves CCGs and Local Authorities across the three boroughs, Havering, Barking and Dagenham and Redbridge. As part of the governance structure a Joint Commissioning Board has been formed to take opportunities for joint commissioning. Many

initiatives and objectives are shared and delivered and the strategic goals of prevention, integration and partnerships and personalisation resonate across all organisations. The partnership has been in place in various forms over some time and, through lessons learned from the three authorities and through demographic and demand profiling, has developed a Localities Model for delivery of services.

The Localities Model

In Havering the localities have populations within them of a size that best suit population based initiatives. There are three such localities; North, Central and South, with largely equal populations though with potentially different needs. The approach is increasingly to look at population based solutions but this continues to be work in progress. Ultimately the move to a localities model has to be designed so that end users get better services. The concept means that the response to local needs will deliver more value for the residents in that area, because services are aligned with those local needs. Design and implementation of change will be a feature of the Integration and Partnerships agenda.

Better Care Fund

The Better Care Fund (BCF) continues to provide opportunities for joint working, ideas and initiatives in Adults Social Care and Health that will be delivered and developed until the local system graduates to a recognisably integrated service. A cross borough BCF, with Barking and Dagenham and Redbridge, will begin in 17/18 and be developed over the duration of the two year plan.

NELFT (community services provider)

The provider of community health services, commissioned largely by the CCG, is the North East London Foundation Trust. NELFT also provide public health commissioned services like Health Visiting, again operating in the community on a daily basis. It is therefore the case that whenever we want to integrate social services with health based community services it is often integration with NELFT that is the key to making services work on the ground. Where necessary then we will actively work with NELFT to ensure that service outcomes are achieved.

In relation to Adults services a Community Services Integration (CSI) programme (part of the overarching strategic objective of Integration and Partnerships) has been developed that is delivering changes to provision. There are three main streams to the programme:

1. Integration of Reablement and Rehabilitation
 2. Integrated 'front door' to services
 3. Integrated Localities
-
1. A local authority commissioned reablement service, provided through NELFT, will integrate as fully as possible with NELFT's rehabilitation service, commissioned by the CCG. The local authority commissioned service commenced on the 18th April 2017. Outcomes will be carefully monitored and the partnership fostered between commissioners and providers so that the service is continuously improved. This will provide a significant element of the hospital to

community process (see below), a pivotal aspect of managing demand, where a window of opportunity exists to encourage and guide people back to independence, using all assets available to them, avoiding a slow regression to dependency. It is recognised that the wider intermediate care pathway, a range of services designed to prevent people going into hospital and reabling and rehabilitating them when they come out, could benefit from being more connected. Options to achieve this range from creating a single entity made up of several currently disparate services from different organisations, commissioned as a whole, to more informal cross sector communication facilitated by commissioners. In any case it is acknowledged that this intermediate care pathway is important in preventing people from becoming dependent on care, where possible. This will be focused upon during 17/18 and is already part of the discussion at the Joint Commissioning Board (see above).

2. A redesign of the front door to Adults services is based on a set of principles. Fundamental to this is having expertise on the front line that is capable of understanding and responding to the queries that are brought to it. These will include trying to understand the issues presented as a whole and finding solutions rather than passing people on, providing increasing numbers of resolutions at first point of contact. Where failure of service is identified as a cause of the contact there will be a commitment to review and improve system conditions that reduce the quality of service to the customer. We will design against demand so that if queries are surfacing that cannot be answered appropriate skills or knowledge will be brought into the service to ensure that, increasingly, queries raised can be answered fully.

To extend and enhance this offer, making it increasingly capable of responding in an holistic way to queries brought to it, there is a commitment to work with NELFT to ultimately join up and provide a single point of access for community health and social care information.

3. The third stream is to create integrated localities based on GP hubs, where ASC and NELFT staff, such as social workers, district nurses and therapists, are co-located so that productive joint working is facilitated. This may extend to other services if the interests of the customer are served by doing so. The development of cultural, strategic, operational and information alignment is required to enable the full benefits of integration to be delivered. However it is recognised that achieving this has levels of complexity and will be carefully managed and introduced incrementally, so that the service slowly shifts to a fully integrated service. In the longer term it remains a possibility that Accountable Care Organisation level integration, exploring capitated budgets across different organisational boundaries, is considered.

BHRUT - Hospital to community for older people

The interface between hospital and the community is vitally important in the relationship between health and social care, both for the individual and for the organisations concerned.

Going into hospital and coming out with a new or on-going need for support demands a quick and effective response, putting in place all the necessary support mechanisms that will reable and rehabilitate the person back to independent living as soon as possible. We are committed to the principles of 'Discharge to Assess', the idea of getting people out of the acute setting as soon as they are medically fit, ideally back home, where prompt assessment of needs leads to support in place

quickly, in whatever form necessary, to enhance chances of rehabilitation and independence. There are a significant number of dependencies on this happening effectively.

- Understanding as soon as possible the point at which clinical need in an acute setting ends, so that the person is identified as ready to go home
- Once this point is understood the rapid transportation home of the person with required support in place (be that equipment or support from a therapist, care worker or an adjustment to the home environment)
- Getting the right assessment of need for the person, recognising that the assessment will be different if done:
 - At the point of crisis in hospital,
 - Immediately after the person gets home
 - After a period of reablement and/ or rehabilitation at home.
- Other influencing factors will be whether the assessment is a joint one, with multi-disciplinary input and whether there is a full understanding and application of the principles of personalisation, developing support plans that focus on outcomes.
- How quickly, from the point of return home, the application of high quality reablement and/ or rehabilitation is put in place
- The quality and intelligence applied in determining need for home care
- The messages that are given to the person concerned around dependency and the ability to get them back to independence
- The family response to the situation
- The ability of informal carers to take responsibility for meeting the needs of the person they are caring for
- The quality and appropriateness of the housing situation of the person concerned

All these dependencies, and others, play out in deciding whether or to what extent and how quickly the person might be capable of being fully independent. If the services do not coordinate, the likelihood of recovery being sustainable for the person concerned will be diminished.

Where commissioned services are part of this they need to be enabled to play their part in contributing to the desired outcome. This needs to be considered in the design of such services, ensuring that integration is designed as an end to end process and not as an individual, segregated service. Commissioners and providers from different organisations need to join up where possible to design across the end to end process, with the benefit to the end user in mind, and not in silos with the achievement of narrow targets as the measure of success. It is, for example, quite possible to achieve targets in getting people out of hospital quickly (thereby achieving success if seen as a worthwhile target in itself), whilst providing a poor service to the service user and building on-going problems if the required support at home is not in place as it should be.

The complexity in getting the process right consistently across organisations and on a day to day basis is considerable but, as a prerequisite of success, requires a joint commitment to making things

work to the benefit of the service user. Our design will align with the High Impact Change model⁴, ensuring people get home with all the support necessary to maintain independent lives.

Our strategic approach will look to approach things from this perspective and our system design will actively avoid the development of solutions in isolation of partners crucial to the design of an effective end to end process.

Housing and property

Housing, designed to meet needs of individuals and their parents/ carers will delay and prevent the need for care. It is essential, therefore, that the dialogue between Housing and commissioning is an active one to ensure provision is responsive to community needs.

Supported Living⁵ is a feature of how the needs of vulnerable people are being met, but with growing demand from the groups of people who may need such support in future, there needs to be a joined up strategic response that understands both the housing need and the care that is attached to it.

Social care for various groups requires a property element that is, however, more diverse than general housing. The designs vary depending on what service is being provided. A residential care home for children will differ from a supported living facility for people with learning disabilities and this will differ again from a residential home for older people. It is often the case that the market will provide properties and have care linked to the property that they own. Whilst this has advantages it also means it is difficult to change providers if similar property is not available. In other cases property is owned by different agencies from the care provider, creating complications with compatible timelines and strategic objectives of different organisations. Over a period of time, if the Council has none of these properties and do not control where they are based, it can cause problems with finding provisions and costs can escalate.

Where this has happened, or is happening, the issue will be articulated and possibilities around providing Council owned properties or working with other providers to ascertain interests in providing property assets needs to be brought to decision makers attention, jointly from Housing and Social Care.

Property as a means of responding to people's needs, with social care attached in some form, means the two are inextricably linked. This needs a joined up response formulated that both protects the financial interest of the council but also means people are in the right places and localities to meet their needs.

Similarly sheltered housing provides support that keeps people independent and prevents escalating demand. The recent improvement of the offer in Havering, whilst managed by Housing, has had an impact on residents who are either current or potential recipients of health and ASC services. The cross departmental communication that took place, and subsequent understanding of the

⁴ <https://www.local.gov.uk/our-support/our-improvement-offer/care-and-health-improvement/systems-resilience/high-impact-change-model>

⁵ Supported Living is the umbrella term for Housing that is designed with a particular use in mind, normally accompanied by some kind of housing related support and/ or care provision potentially commissioned separately.

implications of the process, is an example of the approach needed to ensure residents get the best possible support when change is implemented by the Council.

Culture and Leisure

The occupation of people in cultural or leisure activities is a powerful preventative measure against physical and mental deterioration. The initiatives in culture and leisure are therefore significant for the agendas outlined in this strategy and dialogue should ensure that opportunities are taken and impact is maximised where it makes sense to do so.

Other Councils

Partnership working between councils can yield significant benefits, particularly where similar issues are faced and where services that address those issues can be commissioned jointly. There are some significant examples where the weight of alliances has drawn significant benefits compared to local commissioning at much smaller scale. The strategic commitment is to identify those areas where this approach yields benefits and to work more actively with regional partners to deliver benefits.

The Joint Commissioning Board (with Barking and Dagenham, Redbridge and Havering) mentioned above will be the forum where commissioning opportunities across boroughs will be identified, along with possibilities around integrating commissioning functions.

Where specific opportunities for improvement arise, such as looking for a regional response to the need for an improved market for children's residential placements, we will actively look to build partnerships of mutual interest.

Placements & Providers

When vulnerable people need support it is often the case that there is an urgent need to find a place for them to reside, either in the short term or for longer periods, sometimes for life. This means that a good quality placement is essential to protect the interests of the individual. This might be a children's home providing semi-independent support, or a nursing home designed for older people or a supported housing scheme for people with learning disabilities. Where it is possible to plan for the eventuality then social work and placements teams in commissioning should be prepared to work with the market in advance.

Planning is not always possible when there is an urgent need for a placement. Where the market is limited, choice becomes a problem and costs escalate.

It is the aim of this strategy therefore to ensure that the relationships between social work, placements teams and providers enable the smoothest possible flow from identification of need to high quality, value for money, placement. The issue arises across a range of service user groups, including children in need, children with special educational needs and disabilities, older people coming from hospital needing home care or residential care, people with mental health issues, with learning disabilities etc. In practise this means commissioning will:

- Understand and build a market wherever there is need
- Manage relationships
- Understand flow in designing end to end processes

- Identify and resolve issues that will inevitably arise in such a multi stakeholder, cross organisational process.

At the end of these processes providers, on a day to day basis, provide services to vulnerable people. For the most part these services are provided with consideration and sensitivity, ensuring that the quality of service is sufficient to meet the needs of service users and their parents/ carers. The challenge in supporting people who have social, physical or mental health issues is significant and, as commissioners, we respect the work done. Supporting providers to deliver means clarity in commissioning, listening to issues and working together to resolve situations that arise. Financial challenges are well known by commissioners and providers alike but they can only be met where there is dialogue and appreciation of the limitations each other face.

This commissioning strategy commits overtly to a partnership approach where dialogue is valued and trust is built. There is not always an easy answer to problems faced but it will not be found in an adversarial situation, where each side becomes entrenched in negative assumptions and generalisations based on individual cases where things have not worked effectively.

We will actively work to identify issues and record the response we have to those issues, even where the identified problem cannot be resolved in the way that commissioners and providers would like.

We have established forums for dialogue and will welcome provider participation in those forums.

The interactions with different parts of the commissioning service will be consistent. They will be based on mutual respect and an initial assumption that we are both here to provide the best possible services to end users whilst looking to provide value for money. Where this assumption is proven not to be the case we will deal with such issues openly and understand them as individual cases not as representative of a wider provider market.

Our contract management will be based on the need to continually improve services and we will look to be flexible where possible and where it achieves positive outcomes.

Required conditions

There is an understanding that there are certain conditions, constraints or imperatives that need to be observed in what we do. They are not necessarily strategic objectives but do need to be recognised and accommodated within the strategy. They include:

- Saving money whilst protecting services
- Ensuring quality and safety for service users and their carers
- Ensuring a sustainable market

These conditions can set up conflicting priorities, thereby creating challenges that need to be constantly reviewed.

Saving Money whilst protecting services

Commissioning of services in the Social care and Health arena needs to look at the whole system and be generous in understanding that parochial interests can be detrimental to the whole. This

parochial interest can be driven where budgets are separate or targets are established, so that success can be seen very narrowly in protecting that budget or hitting that target.

Examples of this can be seen in many parts of the social care and health system. It is the strategic aim, therefore, to avoid, where possible, the consequences of this narrow, ultimately detrimental approach, on service users and their parents/ carers and on Council return on investment.

Although this may seem to be self-evident there are areas where it is challenging to acknowledge that targets achieved (sometimes from established practice or long term pieces of work) have not impacted beneficially on service users and their parents/ carers.

The drive will be to continually have integrity in wanting to improve services to end users and deliver savings as a result of successfully re-designing systems. This will be in preference to shunting cost or undermining long term sustainability for short term savings against a particular set of cost centres when the knock on effects are more detrimental to other budgets.

The approach that we will put in place will, therefore, be based on an understanding of the whole system and on-going dialogue with stakeholders who can help inform the proposals and designs that we come up with in future. An openness and ability to listen will be fundamental to this, as well as a developed approach to thinking and consideration around end goals.

There are improvements to be made to the current system that will have immediate budgetary impacts as well as less direct and measurable impacts on expenditure through management of demand. It is for commissioning to identify these opportunities and take all necessary actions, paying due regard to legalities and regulations, to make those improvements. Procuring services in that context is a means of getting to where you want to be, and ultimately secures a competitive, fair and quality protected market. However it is quite possible to be compliant with procurement requirements and regulations whilst building a dysfunctional system that does not work very well for stakeholders to that system. Doing the wrong things right is one way of putting it. It is for commissioners to influence a whole system design that interacts effectively and provides increasingly positive outcomes to service users and their carers whilst providing value for money.

In practice commissioning will work to a set of Medium Term Financial Savings (MTFS) opportunities and will monitor and manage the delivery of those savings carefully. There will be on-going consideration of opportunities for savings coming from the continuous improvement of system design. These will be added to the savings opportunities once they are clear and can be committed to. In this way corporate savings targets will be addressed whilst services to end users are protected or enhanced as much as possible.

It will also be the case that we will look for economies by working with local partners. The joint commissioning of sexual health services are an example of how opportunities to work with boroughs local to us and/or whole London solutions provide benefits in costs.

Improving Quality

The assessment of need for service users and their carers is delivered by social work teams employed by the LBH. The quality of these services is managed and regulated by operational management teams reporting to a Corporate Director.

Need for those not eligible for services is defined and responded to from within the community. Judgements are made by individuals sometimes influenced by their families, or through advice from a range of other sources.

Once need is assessed the large part of Havering's services are delivered through external providers. The responsibility for ensuring that services provided are safe and meet expectations around quality sits with the Council and, more particularly, within commissioning.

The means to do this sits with a dedicated team of quality officers who actively monitor the quality of provision within the borough.

The providers we have can vary in type:

- Voluntary sector providers (commissioned and non-commissioned) ranging from very small, one person offers, to very large organisations employing thousands of people
- Independent providers across a range of disciplines

The services also vary and can be building based or based in the community, for example:

- Residential care for older people, people with learning disabilities, people with mental health conditions and people with some or all three and/ or other conditions like dementia.
- Supported Housing for a range of service needs, similar to those above
- Services that deliver particular outcomes, like befriending, support home from hospital, care navigation, information and advice.
- Short breaks services
- Home care and reablement services that take place in people's homes

The services are sometimes differentiated as being 'registered' (subject to scrutiny by the Care Quality Commission or Ofsted) or unregistered. Either way the Quality team has to play a role in ensuring these services meet quality standards.

The vast range of services means that they cannot all be subject to a detailed visit or analysis.

Our strategy is therefore to take a proportionate approach which can vary from light touch, desk based analysis to intensive visits and detailed reports. Visibility of our approach will be crucial for those who may be held accountable for any deficiencies in quality and it will therefore be necessary to have what we are doing documented and approved.

The approach will to some extent be based around compliance with a set of standards and expectations about the care provided in buildings or at home. This is hugely important in relation to the quality of care provided and safety of service users and their carers.

However if the perceived quality of a service is prescribed by inputs the monitoring of quality can start to impinge on the outcomes of the service and the experience of service users and their parents/ carers. This can also be frustrating for providers. Our strategic approach is to move as far as possible (whilst we recognise that in most cases inputs need to be measured and reported upon) towards outcome based quality monitoring to support outcomes based commissioning.

In practice this means evaluating what service users and their parents/ carers report in terms of their experience rather than providing rules for providers based on numbers, targets around numbers or prescribed times. It should not be underestimated, however, how carefully these approaches need to be managed and introduced. For many of the commissioned services the regime in place at the moment is based on measuring inputs as a mean of ensuring a basic level of service. Our strategy is to retain these aspects where they are essential in ensuring quality but, where appropriate, to develop models where quality is defined by service users and their parents/ carers. The challenge for the Quality agenda in LBH commissioning is to design systems that facilitate this and to ensure that improved service user experience is the key measure and driver for what we commission.

There will also be an understanding and engagement with advice and guidance available from organisations like the Care Quality Commission; the National Institute for Health and Care Excellence; the Social Care Institute for Excellence and other organisations with specific input around quality and best practice. This is of particular relevance when high quality clinical care is required for health services commissioned through public health.

Ensuring sustainable markets

As stated above there is a wide and diverse market that is commissioned to provide services. Our duty is to ensure this market is sustainable. However there are currently many conflicting forces at play that limit the ways that markets behave as you would normally expect in relation to the laws of supply and demand.

In normal circumstances the lack of a commodity in terms of supply would mean that the cost of that commodity would rise.

Demand for services is predicted to continue to rise across almost all conditions and service user groups⁶

Demand for services (even though demand management initiatives will be introduced as much as possible – see section on Prevention) is therefore likely to rise. Care services are largely people based and it therefore follows that the number of people we will need to provide care in future is likely to increase. This is already manifesting itself in markets like the home care market where across the country the deficit in recruitment is causing shortages in provision. This has had a direct knock on effect on transfers of care from hospital and the challenges around ensuring quality of service. Normally this shortage would increase the cost of the commodity, in this case the rates of pay for professional carers, but because Council budgets are being constrained this modifying effect is not happening as it would in a true market. This is an example of the impact of treating different parts of an inter related system differently, apparently cutting costs in one area of the system but in fact making the whole, wider system less sustainable and raising costs overall. Recently the government has identified extra funding, through various mechanisms, to mitigate some of these risks.

Havering commissioning is responding to this by trying to ensure that investment in the system is targeted where it can make most impact. Savings will be delivered in the ways outlined above, by taking opportunities to re-design the overall system.

⁶ Havering Market Position Statement 2016

There are of course other aspects to maintaining a sustainable market. Dialogue with providers is a key element of the strategic approach in this area. The dialogue, through provider forums, through a web portal and through co-production exercises, will be a key factor in the overall strategic approach. It is not only engagement but the tenor of the discussions that are had that is important.

The commitment is to operate from an assumption that the Council and providers have a shared objective; to provide high quality services to vulnerable people in a cost effective way.

This will shape the dialogue as a positive one, with the idea that together we can identify and work on issues that are faced, to the benefits of the end user. If, in the event, it is clear that intentions or practice of providers is incompatible with this assumption the Council will deal with that as required with that particular provider as an exception.

Commissioning principles

To set a basis for understanding of expectations when we embark on commissioning exercises, programmes or projects we have identified a set of principles. These will be used as guides and tests to ensure that the pieces of work we are undertaking and the approaches we are using are compatible with the strategy above. Whilst there is work to do to ensure these principles are fully embedded there is already a commitment to these principles that is shaping Havering's commissioned services and our approach to them. The initial set of principles includes:

1. We will operate an evidence-based, 'intelligent commissioner' approach
2. We will develop and publish clear strategies, consistent with the Council's vision and service plans, for achieving our ambitions.
3. We will enable the purposeful involvement of stakeholders in all aspects of commissioning activity. We will ensure that citizens are part of governance arrangements where possible and engage in a variety of other ways to influence and feedback on the decisions we make and the delivery of the services we commission.
4. Commissioning activity will always be subject to rigorous yet proportionate governance arrangements.
5. Transformation will be a specific and planned part of commissioning practice. Project work arising from this will be robustly managed using established principles and practice.
6. Services will be designed using the principles of normalisation, enablement, reablement and the maximisation of support from natural networks and community resources. The broader principles of individual and community wellbeing will underpin all of our commissioning decisions.
7. Where services need to be procured, we will maximise the choice and control of the person using them and provide both choice and challenges to people to take responsibility for themselves and others.

8. To encourage and sign post residents as early as possible, for example through public health commissioned services, to take healthier choices leading to self-management, self-care and an understanding of the need to plan for the future.
9. All commissioned activity will be subject to positive and robust safeguarding practice and scrutiny, and ensure that safety and well-being are of paramount importance in the delivery of services.
10. Services will be commissioned to deliver outcomes.
11. Our commissioning activity will promote health and wellbeing, social value, equality and diversity.
12. We will design services against demand so that they are responsive to current and real need.
13. We will treat all providers equally. If new provider forms, such as Alliance and Accountable Lead Provider models, Consortia, Social Enterprises, Mutuals and User Led Organisations support better outcomes we will actively encourage the development of these.
14. We seek a diverse range of services and will encourage and support the development of niche providers to help fulfil this.
15. We will base decisions about cost effectiveness on the longer-term costs and outcomes of a service and work with providers to drive out costs and improve efficiencies.

Practical Implementation

This strategy represents high level goals, excluding detailed implementation plans. These sit as part of the programmes we have established that are aligned with the goals detailed. Within each of those programmes sit projects and commissioning exercises and benefit measures that will deliver continuous improvement to the system. The detail within each programme is available if required, from overall programme definition to project initiation and specific plans. In all cases we will endeavour to make them compatible with the commissioning principles, strategic goals and the system conditions described above.

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CABINET

Subject Heading:

13th December 2017

Outcome of consultation on the draft Adult Social Care & Support Planning policy for approval.

Cabinet Member:

Councillor Wendy Brice-Thompson, Cabinet Member for Adult Services & Health

SLT Lead:

Barbara Nicholls, Director of Adult Social Care & Health

Report Author and contact details:

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Policy context:

This report asks Members to approve the Adult Social Care & Support Planning policy in the light of consultation that took place between 17th July and 8th October 2017.

Financial summary:

There are no direct financial implications.

Is this a Key Decision?

Yes.

(a) The policy will have an impact on people who need Adult Social Care and their carers (now and in the future) in all Wards throughout Havering.

(b) The policy does not reflect a major change in our approach. However, it does clarify and organise the Council's existing duties under the Care Act 2014 and it will have a positive influence on practice and decision making within Adult Social Care Services.

When should this matter be reviewed?

December 2019

Reviewing OSC:

Individuals

The subject matter of this report deals with the following Council Objectives

Communities making Havering	[X]
Places making Havering	[]
Opportunities making Havering	[]
Connections making Havering	[X]

SUMMARY

A draft Adult Social Care and Support Planning policy was drafted earlier this year. This is not a new policy but it has been produced to clarify and organise best practice in line with the Council's existing duties under the Care Act 2014. It is designed to provide people in need of adult social care and support now and in the future, as well as staff within the Council and our partner agencies, with a helpful summary of the Care Act (and associated statutory guidance) to help people understand the Council's duties and responsibilities. This will increase accountability for the delivery of adult social care, help manage expectations, and ensure care and support is provided fairly to local people. A 12 week consultation was held (17th July – 8th October 2017) to ensure the policy is easy to understand and makes reference to the parts of the Care Act local stakeholders feel are important. This report summarises the outcome of the consultation and seeks Members decision to approve the Adult Social Care and Support Planning policy in the light of the outcome of the formal consultation.

RECOMMENDATIONS

That Cabinet:

1. Note and consider all of the comments and results of the formal consultation on the draft Adult Social Care & Support Planning policy.
2. Note the changes made to the policy in response to the comments and views expressed during consultation.
3. In accordance with part 3, Section 2.1 (d) of the Constitution to determine the Council's policy in relation to all Executive matters, approve the Adult Social Care and Support Planning policy, which has been amended to take account of the comments and views expressed during consultation.
4. Note in response to issues raised in the consultation Adult Services will prepare plans to re-draft the Easy Read version of the policy (in further consultation with local people with a learning disability) to make it more accessible, and to develop other ways of making the policy more accessible to people with sensory disabilities.

REPORT DETAIL

1. In spring and early summer this year Adult Social Care Services drafted an Adult Social Care and Support Planning policy, the policy is designed to ensure:

- the adult social care process in Havering is undertaken in a manner that is compliant with the Council's duties under the Care Act 2014;
 - there are equitable outcomes and fairness in the provision of funded care and support;
 - sufficient and appropriate regard is given to individual circumstances and personal preference, as well as the resources available to the Council, when determining the value of an individual's personal budget;
 - adult social care has a focus on prevention, improving and maintaining wellbeing, and equity;
 - assessments and care plans are integrated with healthcare services where people have health as well as social care needs.
2. It is important to note that the Adult Social Care & Support Planning policy does not reflect a major change in our approach. It is designed to clarify and organise best practice in line with the Council's existing duties under the Care Act 2014.
 3. The policy will, however, exert a positive influence on practice and decision making within the Council's Adult Social Care services, and because of this it was felt necessary to give people who receive adult social care (now and in the future), their carers, and advocates, as well as professionals and practitioners working in adult social care services, every opportunity to influence the final version of the policy and so a formal consultation was held between July and October this year.
 4. The purpose of the consultation was to ask people about the following aspects of the draft policy:
 - is the draft policy clear;
 - is the draft policy open and transparent;
 - is the draft policy sufficiently informative (i.e. does it provide people with enough information);
 - do people have any comments on the content of the policy?
 5. The process and outcome of the consultation is described in appendix 1,
 6. A number of changes have been made to the original draft of the policy to take account of the views expressed during consultation. The views expressed during consultation and comments/actions taken in response to these views are attached as addendum 2 to Appendix 1 which provides more detail about the outcome of the consultation.
 7. The revised policy is attached as Appendix 2 for approval.

REASONS AND OPTIONS

Reasons for the decision:

A local policy that summarises the core duties and responsibilities of the Council under the Care Act 2014 is required to provide the residents of Havering, and the professionals and practitioners in Adult Social Care services, with a guide to ensure individual assessments, support plans and reviews, and the general operations of adult social care, are undertaken in a consistent and transparent manner in line with the duties of the Council under the Act.

Other options considered:

The alternative to a local Adult Social Care & Support Planning policy is to direct people to the Care Act and Care Act Guidance when they need to understand the Council's policy on Adult Social Care. This has been rejected as the Act and Guidance are very long, complicated, with technical jargon, and is not easily accessible to many people.

IMPLICATIONS AND RISKS

Financial implications and risks:

There are no immediate financial implications or risks from the introduction of the Adult Social Care & Support Planning Policy. Any financial implications resulting from the development of best practice influenced by the policy will feed into financial modelling for future financial forecasts and will consider the impact of any material changes on both client contributions and cost of care in determining the Adult directorate's future budget requirements. This will ultimately feed into the Council's overall Medium Term Financial Strategy (MTFS).

Legal implications and risks:

The content of the policy is consistent with the Council's statutory duties. However, the decision was taken to keep the policy as concise as possible to aid accessibility and therefore not all of the detailed guidance provided by the Government in relation to the Care Act 2014 has been included. Staff from Adult Services will continue to need to refer to this policy in conjunction with the Care Act and associated national guidance when required.

The Policy has been the subject of an extensive consultation and the responses to that consultation should be fully considered before Members take a decision as to whether or not to adopt the policy either as it is or with any modifications they may recommend.

Human Resources implications and risks: (for approval/amendment by HR Business partner)

The recommendations made in this report do not give rise to any identifiable HR risks or implications that would affect either the Council or its workforce.

Equalities implications and risks:

As well as supporting the Council's duties under the Care Act 2014, the policy also upholds our responsibilities under the Equality Act 2010.

The Equality Impact Assessment in (EIA) relation to the Adult Social Care & Support Planning policy is attached as appendix 3.

No negative impacts on protected characteristics were identified by the EIA.

BACKGROUND PAPERS

Appendix 1: The consultation process and the outcome of consultation.

Appendix 2: Final draft of the Adult Social Care & Support Planning policy for approval following consultation.

Appendix 3: Equality Impact Assessment.

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ADULT SOCIAL CARE & SUPPORT PLANNING POLICY CONSULTATION PROCESS AND OUTCOME

Introduction.

The formal consultation on the draft Adult Social Care & Support Planning policy launched on 17th July 2017 and ran for 12 weeks ending on 8th October 2017.

The consultation process was publicised through Havering's communication channels, the processing of responses and the analysis of the data was completed by Council Officers.

THE CONSULTATION PROCESS.

The consultation took a number of forms:

Online

The online element of the consultation was hosted on the Havering Council website at www.havering.gov.uk/ASCPolicy . The consultation webpage contained:

- general information about the draft Adult Social Care & Support Planning policy and the consultation process;
- a copy of the draft Adult Social Care & Support Planning policy;
- a copy of the Easy Read version of the draft Adult Social Care & Support Planning policy;
- an on-line questionnaire about the policy;
- an on-line questionnaire about the Easy Read version of the policy;
- a PDF copy of the consultation questionnaire;
- a PDF copy of the Easy Read consultation questionnaire.

Information to key external stakeholders and consultation information events

Details about the draft Adult Social Care and support planning policy (and the Easy Read version) were distributed to 16 forums/organisations representing the broad range of local care and support agencies in Havering (see addendum 1).

Consultation information events were delivered to 12 of these community groups and forums collectively attended by over 300 people. These events were designed to ensure relevant local agencies and people were aware of the draft policy (and the Easy Read version) and the consultation taking place on these. For people not accustomed to using information technology people were provided with hard copies of the draft policy as well as consultation questionnaires and business reply envelopes to make it easy for people to make their views known. For those accustomed to using Information Technology people were signposted to the Council's consultation webpage. The events also gave people information on how to contribute to the consultation through participation in a Consultation Focus Group.

Information about the draft policy and consultation was also provided to key local health partners including Havering CCG, BHR CCG's, NELFT, and BHR Hospitals.

A small number of local residents requested a one to one meeting to find out more about the consultation, one person chose to provide feedback at one of these meetings

Internal consultation events

Professionals and practitioners working within adult social care and local health partner organisations were provided with a copy of the draft policy and information about the consultation (see addendum 1). Consultation information events were delivered to all integrated social care teams to make sure staff working in and with our Adult Social Care Services are aware of the development of the Adult Social Care & Support Planning policy, and had the opportunity to contribute their views to help shape the policy whilst it was still in draft form.

In total 9 consultation meetings were held with staff teams within in our Adult Social Care services during the consultation.

Focus Group

Participation in a Focus Group was offered to people who wanted to provide feedback about the draft policy without having to complete a questionnaire or the on-line survey. Uptake of this opportunity was limited and only 1 Focus Group was held representing 2 local care and support organisations.

PUBLICITY AND PROMOTION.

The Communications Team worked closely with Adult Social Services and the consultation was well supported with publicity including:

- a press release when the consultation was launched;
- on-line promotion through the Council's website;
- articles in LIVING and Sheltered Times;
- a poster campaign including posters in Libraries, Council buildings, satellite offices, and community notice boards;
- information sent out through Havering E-newsletter;
- information sent out though social media outputs.

The information provided included information about the draft policy, the Easy Read version of the policy, and how people could get involved in the consultation to make their views known.

RESPONSES TO THE CONSULTATION.

The consultation offered respondents the opportunity to provide their views about:

- the full draft Adult Social Care & Support Planning Policy:
- the Easy Read version of the draft Adult Social Care & Support Planning Policy.

This report summarises the responses received about the quantitative data collected about the draft policy, which focused on the level of detail respondents had read the full version of the draft policy as well as the Easy Read version, and respondent's views about the language used and the clarity of both documents.

This report also summarises the comments and views expressed about both draft documents, this includes comments and views about the content draft policy as well as the clarity of the documents.

OVERALL RESPONSE RATE.

The overall response rate was low compared to the scope of the consultation with a total of 36 responses. Responses were provided through hard copies of questionnaires, an on-line survey, written responses (mainly via email), a Focus Group and one individual meeting requested by a local resident.

Source	Total	Questionnaires total	Other responses total
Completed questionnaires about the full draft policy	9	27	
Completed questionnaires about the Easy Read version	1		
Completed on-line surveys about the full draft policy	11		
Completed on-line surveys about the Easy Read version	6		
Comments provided via email	6		9
Comments provided at a Focus Group	2		
Comments provided at an individual meeting	1		
TOTAL	36		

The 27 responses provided via questionnaires and the on-line survey provided quantitative data as well as comments and views about the policy. The other responses provided comments and views only and no statistical data for analysis.

ANALYSIS OF THE RESPONSES

Responses from staff and local residents

Responses were received from staff working within the Council and partner health agencies (e.g. NELFT, BHRUT) as well as local forums and residents. It cannot be assumed that staff from the Council and health partner agencies are local residents. The split between staff from the Council and partner organisations and local forums and residents is displayed below.

Responses from local forums/residents	Responses from Council and health partner staff	Unidentified	TOTAL
7	19	1	27
27%	73%		

Gender

The gender of respondents who provided statistical information is displayed below.

	Female	Male	Excluded
Council and health partner staff	14 (70%)	6 (30%)	
Local residents	6 (100%)	0 (0%)	1
TOTAL	20 (77%)	6 (23%)	

N.B. Local Forums excluded and assumed to be representative of both genders.

Whilst the sample is very small it is significant that all responses from local residents were from females and it can be concluded that female residents are over represented in the consultation with the residents of Havering.

Age profile of respondents

The age range of respondents of people who provided quantitative data is displayed in the table below:

Source	25-34	35-44	45-54	55-64	65-74	Prefer not to say/excluded
Council and health partner staff	4 (21%)	4 (21%)	4 (21%)	6 (31.6%)	1 (5.4%)	2
Local residents	0 (0%)	1 (20%)	1 (20%)	2 (40%)	1 (20%)	1
TOTAL	4	5	5	8	2	3

The small sample of respondents means it is not possible to make any firm conclusions about how well different age groups were represented during the consultation.

Post code data

Although respondents were given the opportunity to provide information about post codes insufficient information was provided to make any assumptions or conclusions about the participation of people from different areas of the Borough in the consultation process.

Ethnicity

Inadequate data was collected to draw any conclusions about the ethnicity of the respondents.

ANALYSIS OF THE COMMENTS AND VIEWS ABOUT THE FULL VERSION OF THE DRAFT POLICY

Quantitative data and written comments/views

A number of respondents provided data that can be quantified to gather broad views about the full version of the draft policy. In addition to this respondents provided written comments about the policy. What follows is a summary of the responses provided on the full version of the draft policy

People providing quantitative data about the full version of the draft policy

Source	Number
Questionnaires	9
On-line surveys	11
TOTAL	20

SUMMARY OF QUANTITATIVE RESPONSES

All 20 people providing quantitative data confirmed to what detail they had read all 7 sections providing a total of 140 ratings for all respondents for all sections. The results set out below indicate respondents had on average read the draft policy in quite a high level of detail.

SECTION	A lot of detail	In detail	In some detail	In little detail	In very little detail	Not stated
All	39	60	31	1	1	8
29.5% of responses						
75% of responses						
98.5% of responses						

A total of 98.5 % responses to questions about the level of detail in which respondents read sections of the policy indicate on average they read the sections at least in some detail. 75% of responses indicate respondents had read the sections in a slightly higher level of detail than that, whilst nearly 30% of responses indicate respondents had read all sections of the policy in a lot of detail.

Words or phrases people did not understand

Nearly all respondents who provided quantitative data (19) stated there were no words or phrases in the policy that they did not understand. Only 1 respondent indicated one word that they did not understand.

Clarity of the draft policy

The table below displays the ratings provided by respondents indicating how clear they felt the draft policy was (1 being completely unclear and 10 being completely clear).

1	2	3	4	5	6	7	8	9	10
	1				1	2	7	7	2
								45%	
							80%		
						90%			

45% of respondents scored the clarity of the draft policy as 9 or above indicating they felt it was extremely clear. A total of 80% of respondents scored the clarity of the draft policy 8 or above indicating they felt it was very clear or better. A further 3 respondents (12%) scored the policy above 6 indicating they felt it was reasonable clear. Only 1 respondent indicated the draft policy was not very clear giving a rating of 2.

OTHER COMMENTS AND VIEWS EXPRESSED ABOUT THE FULL VERSION OF THE DRAFT POLICY

Several respondents that provided other comments about the policy indicated they felt it was well presented, concise, easy to understand, reflects the key requirements of the Care Act 2014 in relation to Adult Social Care & Support planning, and is a useful document to have for local reference. However, a small number of concerns were raised about the presentation of the policy, in particular about the accessibility of the policy for people with sensory needs. In addition to this a number of comments were made about the content of the policy. What follows is a list of the key comments made during consultation, the full text of the comments provided by respondents will be made available for the Cabinet to review if needed.

Comments about the presentation of the policy:

Comments/views about the presentation of the policy include:

- concern about the presentation of the policy (font type and size for ease of reading) and about what arrangements are being made to enable people with a visual impairment to access the policy;
- a number of people commented that the policy needs to be made available to people who have a visual impairment;
- there were a small number of specific comments about the clarity of some sentences, words, and phrases used in the document.
- it was suggested that people reading the policy may benefit from illustrative examples to help them understand the finance sections of the policy;

Comments on the content of the policy:

Comments/views about the presentation of the policy include:

- a number of concerns were expressed about the requirement for some people to pay the full cost of any care and support services they or their relatives may need;
- there is no mention of Individual Service Fund arrangements in the policy and these are being made available for people in Havering who have care and support needs;
- a number of respondents requested more information about the timescales of the assessment and care planning process and timing of reviews etc;
- the section about the principles of assessment does not confirm that cultural needs must be taken into account during the assessment process;
- the section about the principles of assessment should include reference to the involvement of carers and/or significant others in assessments;
- the section about transition needs to clarify that young people with a disability extends to when the young person is 25 years old;
- there were a number of requests for reference to be made about ordinary resident issues and the Council's duties and responsibilities to asylum seekers;
- a request was made for improvements to the community for deaf people;
- a request was made to make reference to the advanced care planning process used by NELFT to anticipate and plan for the needs of people in their last year of life with a specific reference to young people in transition with a terminal illness;
- some comments made during the consultation related to operational matters, these were referred to the relevant operational managers for a response.
- greater clarity is required about "top up" issues;

Other comments made during the consultation

Concern was expressed that the consultation focussed more on the presentation of the policy rather than the policy itself.

THE EASY READ VERSION OF THE DRAFT ADULT SOCIAL CARE & SUPPORT PLANNING POLICY

Quantitative data and written comments/views

Seven respondents provided data that can be quantified to gather views about the Easy Read version of the draft policy. In addition to this respondents provided written comments about the policy. What follows is a summary of the responses provided on the Easy Read version of the draft policy

The number of people providing quantitative data about the Easy Read version of the draft policy

Source	Number
Easy Read Questionnaires	1
Easy Read On-line surveys	6
TOTAL	7

SUMMARY OF QUANTITATIVE RESPONSES

Quantitative data collected during the consultation confirms which sections of the Easy Read version of the policy respondents had a good look at. Respondents were asked to confirm if they had a good look at Sections 1 – 10 of the Easy Read version of the draft policy. A total of 6 of the 7 respondents answered this question. 5 of the respondents confirmed they had a good look at all 10 sections. The remaining respondent confirmed they had a good look at 7 of the 10 sections.

Section	1	2	3	4	5	6	7	8	9	10
Number of respondents	5	5	6	6	6	6	6	6	6	5

How easy did respondents find the draft policy to understand?

In summary 5 respondents that provided quantitative data about the Easy Read version indicated it was easy to understand. 1 respondent indicated it was neither easy nor difficult to understand, and one respondent indicated it was difficult to understand.

Words or phrases people did not understand

A total of 6 of the 7 respondents that had a good look at the Easy Read version confirmed that it did not contain any words or phrases that they did not understand, the results are set out in the table below. One person stated that there were words and phrases they did not understand throughout the document.

Response	Yes	No
Number of respondents	1	6

How clear is the policy?

As set out in the table below a total of 5 respondents indicated the Easy Read version of the policy is clear. One respondent was neutral on this question and one person indicated the policy was very unclear.

Level of clarity	Very clear	Quite clear	Neither	Not very clear	Very unclear
Number of respondents	3	2	1		1

OTHER COMMENTS AND VIEWS EXPRESSED ABOUT THE EASY READ VERSION OF THE DRAFT POLICY

In contrast to the quantitative data collected a number of concerns were expressed about the clarity of the Easy Read version of the policy, and its accessibility for the people it is targeted toward, i.e. people who have difficulty in reading such as people with learning disabilities. Responses indicate the Easy Read version may not even be up to a standard to enable people with mild to moderate learning disabilities to understand the policy and that further work is required to make the policy accessible for these people. In addition to this some comments were made about the content of the policy and the impact it has on people with disabilities. What follows is a list of the key comments made during consultation, the full text of the comments provided by respondents will be made available for the Cabinet to review if needed.

Comments about the presentation of the Easy Read version:

- the Easy Read version of the draft policy is very unclear and not understandable for people with learning disabilities and needs to be simplified;
- the policy is only accessible to people who have access to computers and the internet and more creative ways of informing people with learning disabilities should be arranged so that these people are not excluded (e.g.'s video, drama groups, a stall on the market);
- the Council should engage with the voluntary sector and people with learning disabilities to re-draft the Easy Read version to make sure it is easy for people with learning disabilities to understand;
- a number of suggestions to improve the wording and presentation of the Easy Read version were provided;

Comments on the content of the policy:

- people with moderate to mild learning disabilities are excluded from adult social care because of the eligibility criteria for social care. Other people get a lot of access to care, it should be more equal;
- people with mild learning disabilities are being pushed into independence. The current policy is not working and the criteria for access to social care are too tough;

- people with different needs e.g. people with mental health needs, severe learning disabilities, and people with physical disabilities, are being treated differently;
- concern was expressed that people with over £23,000 will get no help from the Council and this stops people accessing services.
- concern was expressed that the policy does not include time limits for the assessment and care planning processes;
- there is no mention of transport issues for people with dementia.

CONCLUSIONS ABOUT THE OUTCOME OF CONSULTATION AND RECOMMENDATIONS

The overall response to the consultation was low compared to the scope of the consultation process. A significant number of responses were received from staff that work either within the Council (mainly Adult Services) or partner health organisations, the proportion of these respondents who are local residents is not known. It is known that at least 27% of the responses were from local residents or representative bodies.

In general respondents indicated they had read the policy in detail and a number of these indicated they felt the policy was well presented, concise, easy to understand, reflective of the key aspects of the Care Act 2014, and is a useful document for local people who may need adult social care and social care practitioners. A significant proportion of respondents that provided data that can be quantified (45%) indicated the policy was extremely clear. 80% indicated the policy was very clear. Only 1 respondent indicated the policy was not very clear.

Although feedback about the clarity of the policy was on the whole positive, some feedback suggested the format of the policy was not clear enough for people with visual disabilities, and some people suggested the use of alternative media should be considered to make sure the policy is accessible for everyone, in particular the Easy Read version of the policy.

Respondents provided a number of comments about the content of the policy and made a number of suggestions on how the content could be improved. Some of these comments questioned fundamental requirements set out by the Care Act 2014 in relation to the provision of adult social care, e.g. the eligibility criteria for access to social care and the funding regulations. The Council cannot unilaterally change these requirements as they are set out in the Care Act and statutory guidance that the Council must follow. Where possible the policy has been amended in line with the views and comments made to make sure it is easily understood and reflects aspects of the requirements Care Act that local people feel are important.

In general the respondents who provided views and comments about the Easy Read version of the policy indicated they felt it was clear and useful. However, those that responded on behalf of people with learning disabilities, including mild learning disabilities, indicated the Easy Read version was far from being clear or

useful and needs to be re-drafted. In addition to this strong views were expressed to consider different approaches to present the policy instead of relying on a written version, even an Easy Read version.

Recommendations

- The changes outlined below have been made to the draft policy and it is recommended that the revised policy is approved.
- Adult services should prepare and deliver a plan to re-draft the Easy Read version of the policy in consultation with local people with learning disabilities, and to use other ways of making the core aspects of the policy accessible to people including people with sensory disabilities.

Changes made to the policy as a result of the responses to consultation

As a result of the consultation the following changes have been made to the draft policy for approval by Cabinet:

- the font used in the policy has been amended in line with recommendations made by the Sensory Trust.
- reference is provided to signpost readers to guidance on ordinary residence issues;
- statements have been made to confirm the Council's strong commitment to working in partnership with local healthcare agencies to ensure initiatives to improve and maintain the health and wellbeing of local residents are integrated appropriately with social care arrangements;
- statements have been added to emphasise the importance of ensuring assessments are proportionate to each individual's needs and are completed as quickly as possible to prevent needs escalating;
- a paragraph has been added to confirm there will normally be a proportionate review of the individual's care and support plan 6 weeks after their personal budget and plan have been signed off to ensure the care arrangements are appropriate;
- the principles of assessment have been updated to reflect the requirement to ensure religious and cultural needs are taken into account during individual assessments;
- the section on advocacy and participation support has been revised to provide examples of who an "appropriate person" may be;
- the frequency of annual reviews (normally annually) has been included in the section about Care & Support Plan reviews;
- a new paragraph has been added in the section on Transition to confirm that where a young person going through transition has complex healthcare needs the Council will work together with healthcare services to ensure the individual assessment and care planning process is holistic;
- a new paragraph has been added to clarify the Council's duties and responsibilities to meet the social care needs of adult asylum seekers if their needs for care and support do not derive from simple destitution;

- a paragraph has been added to the section on allocating funding to unmet eligible needs to signpost readers to additional sources of information and advice about funding to meet unmet eligible needs;
- the section on direct payments and third party managed accounts has been updated to signpost readers to more information and advice to help people manage their own care with direct payments;
- a whole new section has been added to confirm the Council's policy in relation to Individual Service Funds;
- words and phrases in the document that people felt may be difficult to understand have been made simpler.

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ADDENDUM 1
(page 1 of 2)

**ADULT SOCIAL CARE & SUPPORT PLANNING POLICY
CONSULTATION 17TH JULY – 8TH OCTOBER 2017
CONSULTATION EVENTS**

Information and consultation information events provided to key external groups/forums

- Learning Disabilities Partnership Board
- Mental Health Partnership Board
- Autism Partnership Board
- Havering Alzheimer's Society
- Havering Association for People with Disabilities
- HAVCARE
- Havering Direct Payments/Personal Budgets Support Group
- Havering Healthwatch
- Havering Carers Forum
- Havering Carers Voice
- Over 50's Forum
- Havering Mind Mental Health Carers Group
- VCS Forum (23 local care and support organisations are linked to the Forum)
- Residential and Nursing Care Providers Forum (all local residential and nursing home providers are linked to this forum)
- Learning Disabilities Provider Forum (all local services for people with learning disabilities are linked to this forum)
- Homecare Providers Forum (all local homecare providers are linked to this forum)
- Focus Group involving representatives from two local care and support agencies
- Information provided at individual meetings with two local residents

Information and consultation information events provided to key internal groups within Adult Services.

- Adult Team (Physical Disabilities/Older People) South
- Adult Team (Physical Disabilities/Older People) North
- Integrated Learning Disabilities Team (2 sessions)
- Joint Assessment and Discharge Team (King George's Hospital)
- Joint Assessment and Discharge Team (Queens Hospital)
- Preventative and Assessment Team and the Front Door Team
- The Sensory Team
- The Safeguarding Team
- Internal services to adults
- Mental Health Practitioners and professionals
- Commissioning Services

APPENDIX 1
ADDENDUM 1
(page 2 of 2)

Information provided to key health partners.

- Havering CCG
- BHR CCG's
- NELFT
- BHR Hospitals

The views expressed during consultation, and comments/actions taken as a result of these views.

This is a list of the views expressed in the text boxes of consultation questionnaires that are made in addition to the quantitative data collected about the draft policy, as well as general views provided via emails, letters, and other routes, and the comments/actions taken as a result of these views.

Reference Key:

- S = Survey questionnaire
- OL-S = On-line survey questionnaire
- ERS = Easy Read questionnaire
- EROL-S = Easy Read on-line questionnaire
- E/L = Views provided via email or letter
- FG = Views provided via a Focus Group
- IM = Views provided at an individual meeting/discussion

Source	Section	Views	Comments/Action	Ref
Survey Questionnaire.	8	There is no mention of ISFs, in particular section 8.2. There is not a step where the Provider will be drafting the Support Plan with the service user. Once this has been signed off by the Authority the support is funded, with the funds being managed by the local authority.	The policy has been amended to make reference Individual Service Funds.	S 1

Source	Section	Views	Comments/Action	Ref
Comments received via email.	General comments	Many thanks for sending this information. I have had a quick look through this and tested the links etc. concentrating on the Easy Read, which I think works really well. My question is looking at all the associated paperwork - has the most useful font family been used across all the documents so I am thinking about Comic Sans SM. Not everyone will need an easy read but would appreciate a font family and size which is more practical. Also what arrangements have been made for the visually impaired who also may need either the more traditional paper or the Easy Read?	The final policy will be formatted in accordance with guidance from the Sensory Trust. Adult Services will review the production of future policies and information for the public to incorporate this guidance in future publications.	E/L 1
Survey Questionnaire	6.8 (1)	Should cultural needs be included here?	Paragraph 7.6. (1) has been amended to confirm religious and cultural needs will be taken into account in assessments.	S2
	6.8 (3)	The involvement of carers and/or significant others should be included in this section.	The participation of an appropriate person, including an independent advocate if there is no appropriate person close to the individual, is included in 6.22. This section has been amended to provide some examples on who an appropriate person may be according to the individual's wishes and taking into account mental capacity issues.	
	General comment	The policy is concise and specific.	No further action/comment required.	

Source	Section	Views	Comments/Action	Ref
Survey Questionnaire (cont)	General comments	The policy appears well written in accordance with the National Guidelines & Local Authority responsibilities. Also following legislation and statutory guidance, plus involving the voluntary sector agencies. Most importantly it adheres to the Care Act 2014. I am impressed that an holistic approach will be offered in the assessment and care planning process, as most individuals needing care and support have components of physical mental, psychological, social and sensory needs.	No further action/comment required.	S 2 (cont)
Comments received via email.	5.4	I would like some clarification on what is meant by "COMPACT supports the implementation of Havering's Voluntary Sector.	This section has been reviewed to provide greater clarity.	EL 2
	6	Who will carry out these assessments particularly for those individuals experiencing mental health distress or a carers?	This is an operational issue and has been referred to Mental Health services to advise the respondent.	
	6.32	People experiencing mental health distress situations can change very rapidly, will this be accounted for in regards to when reviews happen?	This is an operational issue and has been referred to Mental Health services to advise the respondent.	
	9.6	In my experience there is very low take up/offer of personal budgets in mental health, how will this change?	This is an operational issue and has been referred to Mental Health services to advise the respondent.	

Source	Section	Views	Comments/Action	Ref
Comments received via email.	6.34	The paragraph on transition needs to clarify that young adults in transition with a learning disability or some other disadvantages goes up to 25.	This paragraph confirms the definition of a young person for whom a transition assessment must be arranged unless it is refused.	EL 3
	12.1	Reference to the Corporate Management Team (CMT) needs to be changed to Senior Leadership Team (SLT).	12.1 has been reviewed to reflect appropriate structures.	
	5.7	Where they refuse (the intervention) but continue to have unmet eligible needs for care and support the Council will offer the individual an assessment - Why does the duty to offer an assessment not kick in at an earlier stage - surely you can only adequately signpost if you have already done some assessment of need?	This paragraph has been amended to remove a typo. "proceed" should read "continue".	
	6.1	This paragraph can be construed as saying the Council will meet all unmet eligible needs, is this the true liability under the Act. Presumably part of this allows the Council to discharge its duty by signposting to another provider. Otherwise 6.1 contradicts 6.5.	This paragraph is an accurate reflection of the Council's duties in relation to unmet eligible needs. If an individual is signposted to another service and this meets their eligible need then the need is no longer unmet. With this in mind there is no conflict between 6.1 and 6.5.	

Source	Section	Views	Comments/Action	Ref
Comments received via email (cont)	6.6	This paragraph seems to have too many "unmet".	This paragraph has been amended to correct a typo.	EL 3 (cont)
	6.30	Can the cost incurred be recouped from the individual or the authority where the individual is ordinary resident?	The same financial assessment regulations apply to an individual in this scenario in the same way as everyone else requiring adult social care. If there is a dispute about care costs between Havering and another local authority this would be resolved through the use of the Care and Support (Disputes Between Local Authorities) Regulations 2014. This is a very rare event and is not a critical issue that needs to be included in the policy, which aims to summarise the key parts of the Care Act to make the day to day delivery of adult social care easy to understand.	
Comments received at an individual meeting.	General comments about the Easy Read version of the policy	The Easy Read version of the draft policy is not very understandable for people with learning disabilities and it needs to be simplified.	The Easy Read version of the policy will be reviewed and people with learning disabilities will be consulted further in this.	IM 1
	General comments	People with mild learning disabilities are being pushed into independence. The current policy is not working and the criteria for access to social care are too tough.	Promoting independence and wellbeing are key principles of the Care Act. The criteria for access to social care are set by the Care Act.	

Source	Section	Views	Comments/Action	Ref
Comments received at an individual meeting (cont)	General comment	People with different needs, e.g. people with mental health needs, severe learning disabilities, and people with physical disabilities, are being treated differently.	One of the key purposes of creating a local Adult Social Care & Support Planning policy is to ensure there is equitable treatment and fairness in the provision of funded care and support.	IM 1 (cont)
Survey questionnaire	General comment	Sometimes I had to re-read parts of the policy again but I am aware that you have an Easy Read version of the policy.	No reference was made to a specific part of the policy that could be reviewed/amended.	S3
	Section 6	Some general timescales might be appropriate in implementation of assessments etc.	General timescales added to the policy	
Easy Read Survey Questionnaire	General comments about access to the Easy Read version of the policy	The policy is only accessible to people who have access to computers and the internet and more creative ways of informing people with learning disabilities should be arranged so that these people are not excluded. A video about the policy would be a good way of presenting the policy to people with learning disabilities. Drama groups would be a good way to help people understand what is in the policy and getting the message out. Colleagues might be able to help educate people with learning disabilities about the	The Easy Read version of the policy will be re-drafted after the full version of the policy has been approved. Options for developing alternative media formats to help explain the policy to people with sensory disabilities will be explored.	ERS 1

Source	Section	Views	Comments/Action	Ref
Easy Read Survey Questionnaire (cont)	General comments about access to the Easy Read version of the policy	Care Act and the Council's policy. Also, the Council could set up a stall in the Market and use local radio to provide people with information about the policy.	Use of a regular market stall is not considered an effective way of providing people with information about the policy.	ERS 1 (cont)
	Ideas about how to re-draft the Easy Read version of the policy	The Council should work with the voluntary sector and people with learning disabilities to re-draft the policy to make sure the language is easy for people with learning disabilities to understand.	The Easy Read version of the policy will be re-drafted after the full version of the policy has been approved.	
	General comments about the contents of the policy	People with moderate to mild learning disabilities are excluded from adult social care. We don't meet the criteria so we are left to our own devices when we still need support. People with severe learning disabilities, autism, mental health needs etc. get a lot of access to social care compared to people with moderate/mild learning disabilities. It should be more equal and not divisive, people should not be split up into categories or sections.	The Council provides adult social care to people whose needs meet the national eligibility criteria set by the Care Act 2014. The national eligibility threshold provides more transparency on what level of need is eligible for adult social care and promotes fairness, the criteria are applied equally across all care groups.	

Source	Section	Views	Comments/Action	Ref
Easy Read Survey Questionnaire (cont)	Section 2	There is a typo in the 8th bullet point (the work "for" is missing).	This will be amended when the Easy Read version of the policy is re-drafted.	ERS 1 (cont)
Comments received by email	General comment	I think the policy needs to make reference to ordinary residence and asylum seekers.	The policy has been amended to signpost readers to the relevant sections of the Care Act and statutory guidance in relation to ordinary residence issues (2.2). An additional paragraph has also been added to clarify the Council's policy in relation to asylum seekers who have social care needs (7.9).	E/L 4
	10.17	We have always been informed that "top ups" need to come from a 3rd party, so this needs to be explained in more detail.	Section 10.17 confirms that top-up's can be made by Third Parties. Further guidance for Social Work staff in relation to Top Up's is under consideration.	
Comments received by email	General comment	Can LBW improve the community for the BSL-users deaf people? There were always have news for others but nothing about deaf people. Thank you.	The adult social care and assessment/care planning processes for people with hearing difficulties are the same as all other people who need social care support.	E/L 5

Source	Section	Views	Comments/Action	Ref
Survey Questionnaire	General comment	I found the policy clear and easy to understand	No further action/comment required.	S4
	General comment	The policy is effective in the summary of the Care Act. It is a very useful document.	No further action/comment required.	
Survey Questionnaire	7.1	The word "pursuant" may not be understood by everyone.	This paragraph has been amended to replace the word "pursuant" and make the policy easier to understand (7.1).	S5
	General comment	The draft policy is clear enough and easy to understand	No further action/comment required.	
	General comment	The policy is concise and non-repetitive	No further action/comment required.	
Survey Questionnaire	All	No comments other than completing tick boxes	No further action/comment required.	S6
Survey Questionnaire	General comment	It is clear & not as jargon as the Care Act	No further action/comment required.	S7
	General comments	I feel some area's need to be addressed more: top up payments, asylum seekers/no recourse to public funds, ordinary residence.	See actions/comments in relation to E/L 3 and E/L 4.	
Comments received by email	General comment	I would recommend a section on advanced care planning, possibly highlighting the PEACE document as used in Havering and preferred place of care and preferred place of death, to be taken into consideration. These are seen as vital strands of care when supporting anyone near the end of life.	The PEACE advanced care planning process is the process used by NELFT to anticipate the care needs of patients discharged from Hospital to a care home who is in their last year of life. The policy has been amended to reflect the Council's commitment to working in partnership with local health services to ensure initiatives to improve and maintain the health and wellbeing of local residents are integrated appropriately with social care arrangements (3.8).	E/L 6

Source	Section	Views	Comments/Action	Ref
Comments received by email (cont)	Sections 6.33 & 6.34	You have mentioned transition in 6.33 and 6.34 maybe this could be expanded on to include the 'Transition' of young people with life threatening illnesses from children's services into adult services. Every young person with a life-limiting condition deserves a smooth transition to adult services, respecting their wishes while providing care and support. all young people approaching adulthood with life-limiting conditions will make the transition to adult services and live their lives as independently as possible according to their wishes, while receiving the care and support they and their families need. To achieve this there must be some building and strengthening of bridges between adult and children's services.	A new paragraph has been added to confirm the Council's commitment to work in partnership with local health services where a young person going through transition has complex healthcare needs to ensure the individual assessment and care planning process is holistic (6.36).	E/L 6 (cont)
FG comments on the Easy Read version	General comment on the Easy Read version of the policy	The participant confirmed they had read the entire Easy Read version of the draft policy in a lot of detail and had carefully considered the document in the light of their knowledge about the needs of people with learning disabilities (including people with mild to moderate learning disabilities as well as those with more severe disabilities).	The Easy Read version of the policy will be re-drafted when the policy is approved and people with learning disabilities will be consulted.	FG
	General comment on the Easy Read version of the policy	The participant felt that the Easy Read version of the policy was very unclear for people with learning disabilities and gave a number of detailed suggestions to improve some of the presentation and wording.		

Source	Section	Views	Comments/Action	Ref
FG comments on the Easy Read version (cont)	Front page of the easy Read version	The graphic on the front page will not be understood by people with learning disabilities and needs to be changed.		FG (cont)
FG comments on the Easy Read version (cont)	"Introduction" in the Easy Read version	Change "focuses on promoting" to "is about".	The Easy Read version of the policy will be re-drafted when the policy is approved and people with learning disabilities will be consulted.	FG (cont)
		The phrase "under the Care Act" is unclear and needs to be changed.		
		People with learning disabilities will not understand the term "eligibility" and this needs to be explained more so that people can understand who is eligible for support.		
	"Why Do We Need This Policy" section of the Easy Read version	People with learning disabilities will not understand the term "Prevention" and this will need more explanation.		
		Change "the Council looks at all the options available when deciding how to meet someone`s needs" to "the Council looks at all the possibilities and different ways when deciding how to meet someone`s needs".		
		Again an explanation is needed to define who is eligible.		
		What does "take responsibility" mean, this needs to be clarified.		
"The Council's General Responsibilities" section of the Easy Read version	This includes people who don't have eligible care needs, again this needs to be clarified to make it easily understood by people with learning disabilities.			

Source	Section	Views	Comments/Action	Ref
FG comments on the Easy Read version (cont)	"Eligibility" section of the Easy Read version	This section is not clear about what needs people must have to get funded support.	The Easy Read version of the policy will be re-drafted when the policy is approved and people with learning disabilities will be consulted.	FG (cont)
	"Personal Budgets" section	None of this is likely to be comprehensible to people with special needs.		
FG comments on the Full version	General comment	The participant confirmed they had read the Policy up to and including the Care & Support Planning section, but not the sections on Funding or Appeals and Disputes. The person confirmed they had read these sections in some detail.	No further action/comment required.	FG
	General comment	The participant thought the parts of the policy they had read was very clear and concise.	No further action/comment required.	
	General comment	The participant thought the content of the parts of the policy they had read was OK.	No further action/comment required.	
Survey Questionnaire	General	I feel the policy could have been shorter and more abridged	The draft policy has been reviewed to ensure there is no repetition.	S8
Comments made on the On-Line Survey about the full version of the draft policy	Section 9	We would pay full cost for all services having paid national insurance and taxes all our lives. This would also include my 91 year old mother in law who now relies on family support.	The charging framework for adult social care is set out in the Care Act Guidance and is based on a set of principles intended to ensure charging for care is fair and easy to understand. The overarching principle is that individuals should only be required to pay what they can afford. The overall framework is set nationally not locally, and local	OL-S

Source	Section	Views	Comments/Action	Ref
Comments made on the On-Line Survey about the full version of the draft policy (cont)	Section 9 (cont)		<p>arrangements for charging people for adult social care in Havering are set out in two Council policy documents: "Residential Care Charging Policy" and "Non Residential Care Charging Policy".</p> <p>General advice on charging arrangements for adult social care is also available to local people on the CarePoint information and advice webpages. An additional paragraph has been added to the policy to signpost readers to additional sources of information and advice on charging arrangements (9.29).</p>	OL-S (cont)
	General comment	The policy will have an impact across the social care economy - that after all is it's purpose.	The Council's policy on adult social care is determined by the Care Act and this will not change a result of producing a local summary of the Act focusing on adult social care and support planning. The purpose of producing a local written Adult Social Care & Support Planning policy document is to ensure the policy is accessible to local residents and all staff working within adult social care services. The Council's policy on adult social care is determined by the Care Act and this will not change.	

Source	Section	Views	Comments/Action	Ref
Comments made on the On-Line Survey about the full version of the draft policy (cont)	General comment	The policy needs to be made available to people who have sensory needs.	As a result of consultation the final policy will be produced in accordance with guidance from the Sensory Trust.	OL-S (cont)
	General comment	The policy will need to be made available for individuals who have a visual impairment.	As above	
	General comment	It is very disappointing that this questionnaire is designed more to test the readability of the content of the policy than to go into the detail about the intent of the content. While it is no doubt useful to know whether people find it easy to read and understand, it would have been more useful surely to use this as an opportunity to gauge what they thought about the content rather than the style.	The Council's policy on adult social care is determined by the Care Act 2014 and subsequent guidance, this cannot be changed unilaterally by the Council. The purpose of the consultation was to ensure the local interpretation of the requirements of the Act in relation to adult social care and support planning are accurate and easy for everyone to understand.	
	General comment	The policy is clear and easy to read without being too repetitive.	No further action/comment required.	
Comments made on the Easy Read Survey about the Easy Read version of the draft policy	Section 9	If we have over £23,000 we will get no help from the Council. This stops many who could do with receiving day care as it costs more than £60 per day.	As OL-S (comments on Section 9)	EROL-S
	General comment	Transport issues for dementia sufferers is not addressed.	The assessment and care planning processes for people with dementia are the same as all other people who need social care support. Transport needs will be taken into account during the assessment and care planning processes on an individual basis.	

Source	Section	Views	Comments/Action	Ref
	General comment	It (the policy) makes it sound good but only the few benefit. Many who have funds are left on their own to sort things out.	See actions/comments in relation to OL-S (comments on Section 9).	
Comments made on the Easy Read Survey about the Easy Read version of the draft policy (cont)	General comment	The policy does not include how long it takes to put things in place, there are no time limits.	Assessments and care plans need to be person centred and proportionate to the needs of each person as well as their personal circumstances, aspirations, and any fluctuating pattern of needs they may have. Because of these complex and variable factors neither the Care Act nor the Care Act Guidance dictate any firm timescales for the completion of these processes and it would be unwise for the Council to unilaterally set inflexible timescales for the same reason. However, the Act does recognise the importance of these processes being concluded in a timely manner. Responding quickly to the needs of people who may have social care needs is critical to preventing needs escalating and reducing/ delaying needs as much as possible. The draft policy has been amended to emphasise the need for assessments and care plans to be proportionate, as well as the need for the assessment and care planning processes to be completed in a timely manner (6.7, 6.32, and 8.2).	EROL-S (cont)
	Section 7 (Personal Budgets)	Those who declare funds below your limit get all. Those above get nothing but bills and worry, which does not help at such times. There are many in the community	As OL-S (comments on Section 9)	

Source	Section	Views	Comments/Action	Ref
Comments made on the Easy Read Survey about the Easy Read version of the draft policy (cont)	Section 7 (Personal Budgets) (cont)	who could benefit from services but will not apply as they are means tested.	As OL-S (comments on Section 9)	EROL-S (cont)
Survey Questionnaire	General comment	Sometimes I had to read parts of the policy again but I am aware you have an Easy Read version.	No further action/comment required.	S9
	General comment	Some general timescales might be appropriate in implementation of assessments etc.	As EROL-S	

Adult Social Care and Support Planning Policy



Havering Council

Adult Social Care and Support Planning Policy

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Version control:

Policy – Adult Social Care and Support Planning			
Version	Draft for Consultation	Approved by	Cabinet
Date last amended	14 th November 2017	Approval date	TBC
Lead	Alan Grierson	Review date	TBC
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1. Purpose

1.1 The purpose of this policy is to ensure:

- the tasks of adult social care assessment, care and support planning, and review are undertaken in a manner that is at all times compliant with the Council's duties under the Care Act 2014;
- equitable treatment and fairness in the provision of funded care and support;
- sufficient and appropriate regard is given to individual circumstances and personal preference, as well as the resources available to the Council, when determining the value of an individual's personal budget;
- adult social care and support is delivered with a focus on prevention, wellbeing and equity (not just the rationing of services to people deemed as eligible for them);
- assessments and care plans are integrated with healthcare services where the person has health and wellbeing as care and support needs.

1.2 This policy does not describe a major change in approach – it clarifies the policy of the Council in relation to the Council's duties under the Care Act and the requirements on the Council to work effectively with healthcare agencies to deliver an integrated approach to assessment and care planning.

2. Scope

2.1 Havering Council is responsible for the delivery of care and support for adults ordinarily resident in the area. The Council may under certain circumstances be additionally responsible for urgent non-resident cases and in cases where there is a cross border dispute with another authority. Adult' generally refers to individuals aged 18 or over. Individuals with eligible needs may include:

- older people 65 years of age and over
- people with a physical and/or sensory disability;
- people with a learning disability;
- people with a cognitive disability;
- people with a mental health problem;
- young people in transition;
- informal carers.

2.2 Further details about the Council's duties and responsibilities in relation to identifying people who have ordinary residence in Havering for the purposes of the provision of Adult Social Care can be found in Sections 39 – 41 of the Care Act, chapter 19 of the Care & Support Statutory Guidance, the Care & Support (Ordinary Residence) (Specified Accommodation) Regulations 2014, and The Care & Support (Disputes Between Local Authorities) Regulations 2014.

3. Policy Statement

- 3.1 The Care Act 2014 has changed the way in which social care support is arranged and provided. The main focus of the Act is to promote wellbeing. The wellbeing principle underpins the whole of the Act and its associated regulations and guidance. However, the Act does not specify a set approach to determining wellbeing and as such the Council will consider each person's case on its own merits, having regard to what the person wants and needs and how the Council's actions will affect their wellbeing. The Council's starting assumption is that individuals are best-placed to determine the wellbeing outcomes they want for themselves, both within their own homes and as members of their local community.
- 3.2 It is critical to the vision of the Care Act to ensure the care and support system actively promotes wellbeing and independence. Interventions for people coming into the care and support system will help them retain or regain their skills and confidence to avoid deterioration and unnecessary dependence on long term care and/or support for as long as possible.
- 3.3 When all possible options for helping people avoid long term care and/or support has been exhausted the Council will promote their wellbeing through the provision of services to meet eligible needs. The Care Act requires councils to allocate resources for the purpose of meeting the individual's unmet eligible needs, **(a need that is eligible for social care but where the individual is currently not receiving support for that need)**, through the provision of a personal budget, and these resources must be allocated in a manner that is timely, transparent, and sufficient.
- 3.4 In determining how to meet individual needs the Council will take into reasonable consideration its own finances and budgetary position, and must comply with its related public law duties. This includes the importance of ensuring that the funding available to the Council is sufficient to meet the needs of the entire local population. The Council will consider how to balance that requirement with the duty to meet the eligible needs of an individual in determining how (but not whether) an individual's needs should be met.
- 3.5 The Council will take decisions on a case-by-case basis that weigh up the total cost of different potential options for meeting needs, and include the cost as a relevant factor in deciding between suitable alternative options for meeting needs. This does not mean choosing the cheapest option; but the one that delivers the outcomes desired for the best value. The Council will impose no arbitrary ceiling on the value of personal budgets, nor will personal budgets be reduced in order to meet a defined level of expenditure.
- 3.6 In determining the value of an individual's personal budget, the Council will consider the circumstances of the individual and have regard for their views, wishes, feelings, and beliefs. Individual preference and circumstances, however, will not in and of themselves determine the personal budget value as the Council must balance its commitments and obligation to personalise care with the principle that financial constraints within public services are such that choice in funded care cannot be limitless.

- 3.7 The Council's aim is to enable individuals to take responsibility for organising and managing their need for personal social care or other support to the fullest extent possible given the circumstances of the individual.
- 3.8 Where a person has complex healthcare needs the Council will work together with healthcare services to ensure the individual assessment and care planning process is holistic and takes account of all the care and support the individual needs to improve and maintain their health and wellbeing to promote independence. The Council will work in partnership with local healthcare agencies to ensure initiatives to improve and maintain the health and wellbeing of local residents are integrated appropriately with social care arrangements.
- 3.9 Risk is a part of everyday life and inherent in everything that we do. The identification and management of risk within the context of adult social services requires a balanced approach between what is seen as acceptable or unacceptable and recognising that the concept of risk will vary from person to person. There may however be occasions when the Council's usual positive approach to risk must be balanced with its duty to have proper arrangements in place to protect individuals who are potentially vulnerable to abuse or exploitation. This is especially important if an individual's circumstances change and decisions need to be made as a result by the individual or others acting in their best interests. Whilst individuals should as far as possible exercise their right to choose the support they need to achieve their desired outcomes, they must also understand the consequences of those choices and take responsibility for them.

4. Context

- 4.1 This policy should be viewed within the context of Havering's Joint Health and Well-Being Strategy.
- 4.2 This policy should also be read in conjunction with the London Borough of Havering Safeguarding Adults Local Protocol, the Council's Non-Residential Care Charging Policy and Residential Care Charging Policy, and the Council's Customer Experience Strategy 2016 – 2022 which outlines the strategic vision to put customers at the heart of everything that the Council does.

5. General responsibilities and universal services

- 5.1 This section outlines the care and support functions that the Council will provide to all individuals that come into contact with the care and support system, regardless of whether they have needs assessed as eligible for Council support.

Promoting wellbeing

- 5.2 The Council will actively work to promote the wellbeing of the residents of Havering when assessing need, developing care and support plans, or undertaking reviews. The Council will consider how any actions it proposes may affect the individual in relation to:
- personal dignity (treating the individual with respect);
 - physical and mental health and emotional well-being;

- protection from abuse and neglect;
- control by the individual over day to day life (including over care and support);
- participation in work, education, training and recreation;
- social and economic well-being;
- domestic, family and personal relationships;
- suitability of living accommodation;
- the individual's contribution to society.

5.3 How the Council promotes an individual's wellbeing will vary depending on the circumstances, needs, goals and wishes of the individual. It is likely that some aspects of wellbeing will be more relevant to one individual than another. The wellbeing principle is intended to incorporate the key principles of living independently and being included in the community as expressed in [Article 19 of UN Convention on Rights of People with Disabilities](#). The Council will facilitate independent living wherever possible and appropriate.

Preventing, reducing or delaying unmet eligible needs

- 5.4 The Council collaborates with its partners through the COMPACT Steering Committee and service providers to develop services, facilities and resources that help prevent, delay or reduce people's unmet eligible need for care and support. The Council's strategy is aimed at strengthening the resilience of communities through support from an effective and sustainable voluntary and community sector. New Voluntary and Community Sector services have been commissioned that will focus on early help, early intervention, and prevention, to support Havering residents to live independent lives for as long as possible. A range of preventative services will continue to be available locally including but not limited to those which provide information and advice, those which support individuals to adopt more healthy behaviours and lifestyles, and those which provide housing related support.
- 5.5 Regardless of whether the individual is ultimately assessed as having any unmet eligible needs or not, when an individual comes into contact with the care and support system, they will be proactively directed towards, and supported to access, preventative interventions and information and advice wherever this is appropriate and might help prevent, delay or reduce the development of their needs.
- 5.6 When the Council provides an individual with, or supports them to access a preventative intervention, the Council will provide the individual with information in relation to the services offered or measure undertaken.
- 5.7 The individual must agree to the provision of any preventative intervention or other step proposed by the Council. Where they refuse but continue to have unmet eligible needs for care and support, the Council will continue to offer the individual an assessment.
- 5.8 The Council will always look to identify if reablement, (a short and intensive service designed to help people who have experienced deterioration in their health and/or have increased support needs to relearn the skills required to keep them safe and independent at home), is likely to be of benefit to an individual with unmet eligible care and support needs. Reablement is provided

for up to 6 weeks free of charge. If a potential need for further care is identified during reablement eligibility for Council support will be evaluated under the Care Act eligibility criteria.

- 5.9 Carers play a significant role in preventing the care and support needs of the individual they care for from escalating. The Council seeks to support carers to avoid them developing care and support needs themselves and carer support is a specific element of the Council's Carers Strategy.

Information and advice

- 5.10 Information and advice are fundamental to promoting wellbeing and enabling people to take control of, and make well-informed decisions about their care and support and can also help prevent and delay people's need for care and support. Information and advice will be available and offered to people in need of care and support irrespective of whether they have been assessed as having unmet eligible needs.

- 5.11 The Council will make available to all individuals information and advice on care and support and carers through a variety of channels and formats, this includes, but is not exclusive to, face-to-face, telephone, online and printed media. Any information and advice which people access, or are provided with, will be:

- clear, comprehensive and impartial;
- consistent, accurate and up-to-date;
- given at an early or appropriate stage;
- appropriate and proportionate;
- provided in an appropriate format;
- recorded within the appropriate section of the individual's needs assessment.

- 5.12 The Council has commissioned a service that provides information and advice to local residents about care and support. The vision for this service is: *"Supporting excellent outcomes for people of Havering by helping communities to help themselves and targeting resources and interventions to encourage independence"*. A holistic information and advice service is provided by Care Point, the website for Care Point can be found at www.haveringcarepoint.org. In addition a telephone and face to face service is provided by Family Mosaic.

6. Assessment and identifying unmet eligible needs

Assessment overview

- 6.1 Every case will be assessed individually and where a duty is established under [Section 18](#) of the Care Act 2014, arrangements will be made to meet assessed unmet eligible need.
- 6.2 If an individual or carer has unmet eligible care and support needs, an assessment will identify what support is required and whether the individual has an eligible need for Council support. The duty to offer or arrange an assessment applies regardless of any other concerns or queries, such as [ordinary residence](#).

- 6.3 The purpose of the assessment is to provide an appropriate and proportionate picture of the needs and outcomes that an adult wishes to achieve in their day-to-day life, whether or not those needs are eligible for care and support from the Council, and how provision of care and support may assist the adult in achieving their desired outcomes.
- 6.4 An assessment is a service in its own right, even if no other services or support are being provided to an individual.
- 6.5 Undertaking an assessment is not a commitment by the Council to provide or arrange adult social care services, but is a means of collecting the information required to make a decision as to what support an individual does require and whether they are eligible for support through the Council.
- 6.6 The assessment process takes the individual from initial contact through to supported self- assessment or face-to-face assessment, support planning and review. The assessment informs eligibility determination and the allocation of resources to meet unmet eligible needs.
- 6.7 Assessments will be proportionate to the person's needs and circumstances, and will be completed as quickly as possible with these factors in mind to prevent needs escalating.

Principles of assessment

- 6.8 In line with the Care Act, any assessment will abide by the following principles:

<p>1. Assessments must be appropriate</p> <p>Assessments must be carried out in a manner that has regard to the individual's situation, preferences and outcomes. This will include due regard to cultural and religious needs identified in the assessment.</p>
<p>2. Assessments must be proportionate</p> <p>Assessments should only be as intrusive as necessary to establish an accurate picture of the unmet eligible needs of the individual. This involves hearing and understanding the initial presenting problem, not taking this at face value and ensuring underlying needs are explored and understood.</p>
<p>3. Assessments must be person-centred</p> <p>The individual must be at the centre of the assessment process as the expert in their own life. Assessments should be collaborative, with the individual involved in the process as possible or as much as they wish.</p>

4. Assessments should use a strengths-based approach

Assessments should identify the strengths the individual has which could be mobilised to help them achieve their outcomes. A strengths-based approach recognises personal, family and community resources that individuals can make use of.

5. Assessments should use a 'whole family' approach

Assessments must take a holistic view of the person's needs in the context of their wider support network. This includes consideration of both how the adult, their support network, and the wider community can contribute towards meeting the outcomes they want to achieve, and whether or how the adult's needs for care and support impact on family members or others in their support network. Where a young carer is identified, the practitioner must make a referral for a young carer's assessment.

6. Assessments are a key element of the prevention approach

Assessments must consider whether the individual would benefit from available preventative interventions. Assessments can include a pause while the person receives such services.

7. Assessments should be outcomes-focused

Assessments should explore what the individual wants to achieve and how this might be done.

The supported self-assessment process

- 6.9 Supported self-assessment is an assessment led by the individual with appropriate help from a family member, friend, carer or advocate, and supported by the Council as required. The objective is to place the individual in control of the assessment process and enable them to lead as fully in the process as they wish to.
- 6.10 The Council will offer supported self-assessment as a form of assessment at the initial point of contact if the adult or carer is willing, able and has the capacity to undertake such an assessment. If the individual does not wish, or is unable to self-assess, then a face-to-face assessment will be undertaken.
- 6.11 As required by the Care Act, the Council will assure itself that the self-assessment is a complete and accurate reflection of the individual's needs.
- where possible, the process of verifying and obtaining supplementary information will not repeat the self-assessment process. However, where the supported self-assessment is incomplete or inaccurate, it may be necessary to repeat part or all of the assessment;
 - providing the individual gives their consent, the practitioner may consider it useful to seek the views of those who are in regular contact with the individual, such as their carer(s) or other appropriate people from their support network, and any professional involved in providing care (e.g. GP, district nurse, housing support officer).

- 6.12 The assessment process is flexible and can be adapted to best fit with the person's needs, wishes and goals. Where appropriate, the Council's preferred option is a supported self- assessment, however, individuals are not obliged to undertake a supported self-assessment and may prefer to be assessed by the Council using another format for example, a face to face assessment or joint assessment.
- 6.13 A case study illustrating good practice in completion of supported self- assessments may be found [here](#).

The face-to-face assessment process

- 6.14 An assessment should commence within a reasonable time of receiving the referral or initial contact. Individuals will be informed of indicative timescales over which the assessment will be conducted and be kept informed throughout the assessment process.
- 6.15 The assessor will work with the individual to establish clear expectations at the assessment or review stage regarding the purpose of the assessment.

Fluctuating unmet eligible needs

- 6.16 In establishing unmet eligible needs, the Council will consider the individual's care and support history over a suitable period of time to take account of potential fluctuation of needs.
- 6.17 Fluctuating unmet eligible needs refers to needs which may not be apparent at the time of assessment, but have been an issue in the past and are likely to arise again in the future. Care needs over a suitable period of time will be fully explored to establish as complete a picture of the range of fluctuation as possible.

Assessments for carers

- 6.18 Carers can be eligible for support in their own right where support is required to help them maintain their caring role or when the caring role is having a significant impact on their wellbeing. A carer's assessment may be undertaken individually or in combination with the assessment of the individual needing care and support, where both the individual and carer agree to this. The outcomes against which eligibility for support for carers is assessed are detailed more fully at Appendix 3.
- 6.19 If it is identified that carers may benefit from services, or if requested, a separate carer's assessment will be completed to specifically determine the extent to which they may have their own eligible unmet needs. Carers are entitled to an assessment even if the service user does not agree to undertake an assessment of their own need.

Safeguarding

6.20 Where the Council has reasonable cause to suspect that a person who has a need for care and support (regardless of whether or not the Council is meeting those needs) is experiencing or is at risk of abuse or neglect and as a result of those needs is unable to protect themselves against abuse or neglect or risk of it, the Council must make whatever enquiries it considers necessary to decide what further action, if any, should be taken. Further information regarding local adult safeguarding processes may be found in the London Borough of Havering Safeguarding Adults Local Protocol (Supplement to the London Safeguarding Adults Policy & Procedures). This Protocol can be found through the link below:

<https://www3.havering.gov.uk/Documents/Adults-and-older-people/Safeguarding/Safeguarding-Adults-Protocol.pdf>

6.21 Where the adult is newly in contact with the Council and a needs assessment is underway but not yet complete, the Council will continue to carry out a needs assessment and determine whether they have eligible needs, and if so, how these will be met. The assessment for care and support will run parallel to the safeguarding enquiry and the enquiry will not disrupt the assessment process or prevent the Council from meeting unmet eligible needs.

Advocacy and participation support

6.22 The Council must be confident at all times that the individual is able, or is fully supported, to be involved as far as possible in the assessment process. The Council will make any reasonable adjustments to the assessment process required to enable an individual to be fully involved. An appropriate person (such as the individual's next of kin or unpaid carer, although this may not be appropriate in all circumstances, with the consent of the individual paramount in deciding who will support that individual, with due regard given to mental capacity issues) or independent advocate will be engaged if the individual still has substantial difficulty in any of the following areas:

- Understanding relevant information
- Retaining information
- Using or weighing the information as part of engaging
- Communicating views, wishes and feelings

Assessing capacity

6.23 It must be assumed that an individual has mental capacity unless it has been established that they lack capacity. The practitioner will establish that the individual has the mental capacity to understand and be involved with the assessment by checking they understand the questions being asked, are capable of retaining and weighing the relevant information, understand the implications on their personal circumstances of the overall process and have the capacity to express their wishes and feelings.

6.24 Where an individual appears to lack the capacity to assess their own support needs, an assessment under the Mental Capacity Act (MCA) 2005 will be undertaken.

What happens after the assessment?

- 6.25 The practitioner will ensure the individual and those involved are in agreement with the content of the assessment. If agreement is not feasible, the assessment should reflect what is not agreed and what the relevant positions of those involved is on those disputed issues.
- 6.26 The individual will be provided with a written copy of their assessment. The assessment may also be shared with anyone else the individual requests it to be shared with. The Council will usually seek written consent from the individual to share their information, and consent may be sought more than once, depending on the nature of the information that is to be shared.
- 6.27 Where an independent advocate is involved in supporting the individual, the practitioner will keep the advocate informed so they can support the adult to understand the outcome of the assessment and its implications.

Refusal of assessment

- 6.28 The Council is not required to carry out an assessment where an individual with possible unmet eligible care and support needs or a carer feels they do not need care or do not want local authority support, unless, there is evidence to suggest that the individual concerned lacks the mental capacity to make this decision or is a vulnerable adult (i.e. (i) under constraint, (ii) subject to coercion or undue influence or (iii) some other reason preventing them from expressing real and genuine consent). Where this situation arises the practitioner must consult with Legal Services to seek advice on what legal remedies and powers are available.

Urgent unmet eligible need

- 6.29 The Care Act permits the Council to meet unmet eligible needs which appear to be urgent, without having first conducted a needs assessment, financial assessment or eligibility criteria determination. The Council will respond to urgent unmet eligible need wherever possible by undertaking an assessment, but in some urgent situations will proceed to meet unmet eligible need in order to provide a safe environment for the individual at risk.
- 6.30 The Council may meet urgent unmet eligible needs regardless of whether the adult is ordinarily resident in its area (ref: Care Act 2014, Section 19 (3), and Care & Support Act Statutory Guidance, Annex H: Ordinary Residence, paragraphs 1 – 7). The relevant Section of the Care Act and Care Act Statutory Guidance can be found using the links below:

www.gov.uk/government/publications/care-act-statutory-guidance/care-and-support-statutory-guidance

www.legislation.gov.uk/ukpga/2014/23/section/19/enacted

- 6.31 The Council's duty to meet unmet eligible needs will also arise when urgent needs arise as a result of service failure of a provider, including services that are not registered or regulated by the Care Quality Commission (i.e. day services, personal assistants).

Care and Support plan reviews

- 6.32 The Council has a statutory duty to carry out a regular and proportionate re-assessment or review of each individual's care and support plan. Reviews are undertaken using the same principles, processes, and criteria as those described above for the initial assessment. The review will be used to ensure that needs are being met and that support is appropriate. Frequency of reviews will be agreed and included in the support plan and will normally be at

least annually but may be undertaken more frequently as needed. Individuals and carers are entitled to request a review of their overall situation in the interim if their circumstances change.

- 6.33 Where no care and support plan was agreed for an individual with eligible needs, e.g. where their eligible needs were being met by a carer at the time of the initial or previous assessment, the Council continues to have a statutory duty to carry out regular and proportionate reviews to make sure the individual's eligible care needs continue to be met. The frequency of these reviews will be appropriate to the individual's needs and circumstances.

Transitions to adulthood

- 6.34 Effective person-centred transition planning is essential to help young people and their families prepare for adulthood. The Care Act identifies three particular groups in relation to transitions - young people approaching adulthood, carers of those young people, and young carers approaching adulthood. The Council must undertake a transition assessment of anyone in the three groups when there is significant benefit to the young person or carer in doing so by considering the circumstances of the young person or carer and whether it is an appropriate time to undertake the assessment as they prepare for adulthood.

- 6.35 A young person in this context is defined as an individual in their teenage years who will most likely be preparing for their adult life, although it can refer to anyone under the age of 18 years. A transition assessment is required for any young person who is likely to have a need for adult care and support after turning 18. The young person may already be receiving children's services, but not necessarily so.

- 6.36 Where a young person going through transition has complex healthcare needs (in addition to their social care needs) the Council will work together with healthcare services to ensure the individual assessment and care planning process is holistic.

7. Determining eligibility

The national eligibility criteria

- 7.1 The Care and Support (Eligibility Criteria) Regulations 2015 made in accordance with the Care Act 2014 sets out the eligibility criteria for provision of care and support. The eligibility criteria introduce a minimum eligible threshold establishing what level of needs must be met by local authorities.
- 7.2 The final decision on eligibility sits with the Council, regardless of the assessment type used. Following an assessment, the Council will determine whether the person is eligible for care and support, by applying the national threshold as outlined below:

National eligibility criteria for adults with unmet eligible care and support needs

An adult's needs meet the eligibility criteria if:

- a. The **adult's needs arises from, or are related to, a physical or mental impairment or illness** (includes conditions such as physical, mental, sensory, learning or cognitive disabilities or illness and brain injuries)

PLUS

- b. As a result of the adult's needs, the adult is **unable to achieve two or more of the outcomes** specified (see Appendix 2 of this policy)

PLUS

- c. As a consequence there is, or is likely to be, **a significant impact on the adult's wellbeing**

An adult's needs are only eligible when they meet all three of the conditions (a-c) above

- 7.3 In relation to 'c' above, the term 'significant' may only be understood to have its everyday meaning as it is not further defined within the Care Act, because the circumstances which create a significant impact on the wellbeing of one individual may not have the same effect on another, and the cumulative effect of the impact on a number of areas of wellbeing may have a significant impact on the individual's overall wellbeing. Making the eligibility determination, therefore, requires professional judgement of how the person's wellbeing is affected as a result of their needs on a case by case basis.
- 7.4 Determining eligibility for Council support may be undertaken at various stages of the assessment process depending on the individual's needs and will involve evaluation of all available assessment information.

- 7.5 In order to ensure that care and support services are delivered in a fair, equitable and transparent way, the Council will apply the national eligibility criteria to each individual to determine whether they are eligible for adult social care services.
- 7.6 The length of time required to complete the assessment will depend on the level and complexity of individual need in each case. The eligibility decision, however, will be made within an appropriate and reasonable time of the assessment being completed.
- 7.7 Individuals with unmet eligible needs who are offered a reablement service may receive a subsequent assessment that may establish that they no longer have unmet eligible needs.
- 7.8 The outcomes against which eligibility must be assessed are detailed more fully at Appendix 2.

People with no recourse to public funds (including asylum seekers)

- 7.9 The Care Act 2014 does not change the Council's duties toward adults who have no recourse to public funds including asylum seekers who have social care and support needs:
- for asylum seekers, the National Asylum Support Service will normally have a duty to provide accommodation and subsistence. However, the Council continues to have a duty to meet the social care needs of adult asylum seekers if their needs for care and support do not derive from simple destitution. Legal advice should be sought in all such cases:
 - for adults with no recourse to public funds the Council cannot provide services unless there will be a breach of their human rights if care and support is not provided. For that reason in these cases a full human rights assessment should be carried out and legal advice should be sought.

What happens if someone does meet the national criteria?

- 7.10 When it is clear to the assessor that the individual's needs are above the national eligibility threshold they will be offered help to find options to meet their assessed unmet eligible needs. The level of funding they may receive will be determined by the completion of a financial assessment. Further information about paying for care can be found on the Havering CarePoint website: www.haveringcarepoint.org/paying-for-care

What happens if someone does not meet the national criteria?

- 7.11 Individuals who do not satisfy the eligibility criteria requirements should be signposted to locally available universal services. Information about locally available services can be found on the Care Point website: www.haveringcarepoint.org.
- 7.12 Where following the assessment it is determined by the Council that it is not required to meet the individual's needs, the individual will be provided with a written explanation for this determination.

- 7.13 The Council may at its discretion choose to meet needs that do not meet the eligibility criteria. When doing so, the Council would also normally achieve this via signposting to universally available preventative services.

8. Care and support planning

- 8.1 Individuals will receive a care and support plan for the needs the Council is required to meet. The plan will set out how needs are to be met.
- 8.2 There will normally be a proportionate review of the care and support plan 6 weeks after the individuals' personal budget and plan have been signed off to ensure the care arrangements are appropriate. After this the plan will be regularly reviewed (normally at least annually) to determine progress against expected outcomes.
- 8.3 The plan will be both person-centred and person-led, and the Council will take all reasonable steps to involve and agree the plan with the person the plan is intended for, the carer (if there is one), and any other person requested by the individual to be involved.
- 8.4 The care and support plan must contain the following elements:
- the needs identified by the assessment;
 - whether, and to what extent, the needs meet the eligibility criteria;
 - the needs that the authority is going to meet, and how it intends to do so;
 - the outcomes which agreed care and support are designed to achieve;
 - for a carer, the outcomes the carer wishes to achieve, and their wishes around providing care, work, education, and recreation where support could be relevant
 - the personal budget value (see Section 9 below);
 - information and advice on what can be done to reduce the needs in question, and to prevent or delay the development of needs in the future;
 - where needs are being met through the use of a direct payment, the needs to be met and the amount and frequency of the payments will be included in the plan.
- 8.5 The Council will give a copy of the care and support plan to the person for whom the plan is intended, any other person they request to receive a copy and their independent advocate if they have one.

9. Allocating funding to unmet eligible needs (personal budget)

Overview

- 9.1 Everyone whose needs are met by the Council, whether those needs are eligible or if the Council has chosen to meet other needs, will receive a personal budget.
- 9.2 The personal budget gives the individual clear information regarding the money that has been allocated to meet needs identified in the assessment.

Whilst the assessment identifies all eligible needs, the Council is only required to provide support for assessed eligible needs that are not already being met. So, for instance, the Council is not required to meet any eligible needs which are being met by a carer (even though those needs have been recognised and recorded as eligible during the assessment process), though if there is a subsequent breakdown in the caring relationship, needs which have already been identified as eligible will then be met by the Council through the personal budget.

- 9.3 The personal budget will be an amount sufficient to meet the individual's identified unmet eligible care and support needs and will be broken down into:
- the amount the individual must pay (established following a financial assessment if unmet eligible needs are to be met through services which are charged for), and;
 - the amount the Council will pay.

- 9.4 Further information about the Council's duties and responsibilities relating to funding to meet unmet eligible needs can be found on a variety of websites on the internet including:

Havering CarePoint website: www.haveringcarepoint.org

Disability Rights UK website: www.disabilityrightsuk.org/personal-budget-the-right-social-care-support

The indicative budget

- 9.5 Following assessment, an indicative budget will give the individual an early estimate of how much money it is likely to cost to get the support required to meet their unmet eligible needs. The indicative budget value will be represented as a weekly cost of care.
- 9.6 The indicative budget will be shared with the individual at the start of support planning to allow them to make informed and appropriate decisions about how their unmet eligible needs are met. The individual must be made aware that the value of their indicative budget may decrease or increase depending on decisions made during development of the support plan. The final value of the individual's personal budget will be further affected when determining the actual cost of meeting the individual's needs with the Council's providers of care and support services, which may be higher or lower than average for a variety of reasons, (i.e. complexity of individual need, service user location, variations in the supply of and demand for different service types). When the final personal budget is known this will be included in the support plan alongside the original indicative budget.

The personal budget

- 9.7 The final, actual allocation (the personal budget) is agreed as part of the care and support planning process. When establishing the value of the personal budget, the Council is required to consider the cost of local quality provision to ensure that the personal budget reflects local market conditions and that care appropriate to the individual's needs can be obtained for the amount specified in the budget. To confirm the value, the practitioner must refer the individual's care and support plan via their senior practitioner or relevant funding panel to the Council's Brokerage Team. The Brokerage Team will 'market test' the cost

of meeting the needs detailed in the care and support plan and confirm the final value of the personal budget for the practitioner, who will then share this information with the individual. In certain circumstances the personal budget may be substantially different to the estimated amount in the indicative budget.

- 9.8 If the individual has capital or savings above the capital and savings threshold at the time the personal budget is set, or if the value that they are assessed as having to pay following a financial assessment exceeds their personal budget, then the individual will not receive any funding from the Council (details of the capital and savings threshold at the time the personal budget is set can be provided by the Council's Finance and Benefits Team).
- 9.9 If the individual or a third-party on their behalf is making a top-up payment in order to secure the care and support of their choice the top-up payment will not form part of the personal budget as the budget must reflect the costs to the Council of meeting the needs.
- 9.10 The support provided by a carer does not affect the eligibility determination for an individual with care and support needs. An assessment of the cared for person's eligible unmet need and the subsequent determination of the individual's personal budget value will however reflect the contribution made by carers in meeting the individual's needs.
- 9.11 Costs for reablement and intermediate care will not be included in the personal budget.
- 9.12 Further details about the financial assessment process may be found in the 'Paying for Care' section of the Care Point website:

www.haveringcarepoint.org/paying-for-care

Use of the personal budget

- 9.13 In normal circumstances the individual can choose how their personal budget is used. This may be through one (or a combination of), the following ways:

	Ways a personal budget can be used
The Council's first offer	A direct payment (For more information, please refer to the Care Point website).
If the person does not want a direct payment	A managed account held by a third party (known also as an Individual Service Fund or an ISF)
If the person does not want a direct payment or an ISF	A managed account held by the Council, with support required to meet unmet eligible need arranged by the Council

- 9.14 The manner in which the personal budget is used will be recorded within the care and support plan, and will be kept under review to ensure needs continue to be met. If an individual's unmet eligible needs change, a review of their needs will be undertaken and a new revised personal budget allocated as required.

Care and support arranged by the Council

9.15 In cases where an individual takes their personal budget as a managed account held by the Council, the care and support required to meet the needs outlined in the care and support plan (including any amendments to the package of care) must be arranged via the Council's Service Brokerage Team or Commissioner, rather than directly by practitioners themselves. This is done to:

- enable the Council to comply with its duty under the Care Act to ensure a sufficient and diverse supply of high quality care and support services;
- ensure best value in the cost of externally provided care and support;
- ensure consistency in the personal budget value calculation process.

Direct payments and third party managed accounts

9.16 The Council will offer direct payments to all individuals in receipt of a personal budget in the first instance so that she/he can purchase services that they are eligible to receive, unless the individual falls into one of the following categories:

- offenders on a community order, suspended sentence, or released from prison on license;
- people with a drug or alcohol dependency who are subject to community treatment orders;
- people who are receiving care and support from their spouse or partner or another family member living at the same address (it may be possible in some cases to allow this by authorisation of a Service Manager);
- there may be other circumstances in which it would be inappropriate to offer a direct payment, e.g. where there are concerns about the use of funds.

9.17 Payments can be made as single payments for a specific event or item or 'ongoing' for needs over a short or long period of time. People can have all or part of their needs met via direct payments, with the Council arranging the remainder as a 'mixed package' of care.

9.18 A request for needs to be met via a direct payment does not mean that there is no limit on the amount attributed to the personal budget. There may be cases where it is more appropriate to meet needs via care and support services purchased by the Council, rather than by making a direct payment. For instance, this may be the case where there is no local market for the particular type of care and support that the person wishes to use the direct payment for, except for services provided by the Council. It may also be the case where the costs of an alternate provider arranged via a direct payment would be more than the Council would be able to arrange the same support for, whilst achieving the same outcomes for the individual.

9.19 Where an individual has a third party managed account or support to facilitate administration of a direct payment, the additional charge for this will be included as part of the direct payment amount. The Council may also at its discretion pay someone (i.e. family or other household member) to provide administration and management support or services to a direct payment recipient, which may be appropriate in cases where the personal budget value is exceptionally high.

- 9.20 If it is necessary for a person lacking mental capacity a best interest decision making process will be used to determine whether the direct payment recipient should pay someone to provide administration and management support or services to them. This best interest decision will be reviewed at the individual's annual review
- 9.21 The direct payment recipient must agree to use the money only to secure services to meet their eligible needs and outcomes as determined by assessment and set out in their care and support plan. The Council, once satisfied that the person's assessed eligible needs will be met through the arrangements he or she makes using the direct payment, still retains a duty to ensure eligible needs are met.
- 9.22 The ability to meet needs by taking a direct payment will be clearly explained to the individual in a way that works best for them, so that they can make an informed decision about the level of choice and control they wish to take over their care and support.
- 9.23 The Council may from time to time undertake audits of direct payment arrangements to ensure compliance with this and other relevant Council policy. Non-compliance with Council processes and procedures may result in the Direct Payment being withdrawn with care & support being managed by the Council or a third party.
- 9.24 For more information about direct payments please refer to the Council's information and advice booklet "Managing your own care with direct payments" (Havering Council, March 2017).
- www.haveringcarepoint.org/wp-content/uploads/2016/10/D4977_Managing-your-own-care-Direct-payments.pdf

Individual Service Funds

- 9.25 As an alternative to having a direct payment, the Council can pay a care agency directly to manage the delivery of care to someone according to their individual needs and personal preferences. This is called an Individual Service Fund. In this arrangement the care agency will agree how they will support the individual with the person themselves, and the agency will also manage all payments for the service.
- 9.26 With an individual service fund:
- the care agency commits to only spend the money stated in the service users indicative budget;
 - the agency will be held to account for the care arrangement and the delivery of care;
 - the individual's support plan will be completed by the agency in agreement with the person themselves and this will show how the individual's support needs will be met on a weekly basis;
 - the agency is reimbursed for the cost of service provision through arrangements with the Council;
- 9.27 Requests for an Individual Service Fund should be made through the Council's Direct Payments Team.

Further information and advice

- 9.28 Arrangements for charging people for adult social care in Havering are set out in two Council policy documents: "Residential Care Charging Policy" and "Non Residential Care Charging Policy". General advice on charging arrangements for adult social care is also available to local people on the CarePoint information and advice webpages.

10. Meeting eligible unmet needs

Ways of meeting unmet eligible needs

- 10.1 Personal budgets enable creative approaches to be taken to meet an individual's unmet need and also reduce reliance on traditional services (e.g. use of personal assistants). The Council promotes wellbeing through a range of interventions, including preventative services and community resources, as well as through more formal support such as care services and services designed to support independent living and reablement.
- 10.2 The Council will ensure that other sources of funding (i.e. benefit entitlements) and support are always explored before the allocation of a personal budget.
- 10.3 Where unmet eligible needs are capable of being met in two or more ways, the Council will favour the most cost effective given the circumstances of the individual and with regard for their personal preferences
- 10.4 The Council will take decisions on a case-by-case basis which weigh up the total costs of different potential options for meeting needs, and include the cost as a relevant factor in deciding between suitable alternative options for meeting needs. This does not mean choosing the cheapest option; but the one which delivers the outcomes desired for the best value. This may mean that in some cases, the Council sets a personal budget which is lower than the cost of the option that a service user prefers, but in each case, the Council will carefully consider the individual's circumstances and their views, wishes and feelings before reaching a decision.
- 10.5 The Council will ensure that a person's entitlement to a personal budget is reviewed regularly to ensure that he/she is still eligible and that his/her outcomes are being met in the most cost- effective way. The Council recognises that the unmet eligible needs of individuals may both increase and decrease over time, and the packages of care being received by individuals are adjusted accordingly in line with these changes, which may include a change in the location and/or type of care provided.
- 10.6 The Council will ensure that at least one option is available and affordable within an individual's personal budget, and will try to ensure that there is more than one where possible.

Community services

- 10.7 Support to access community facilities will focus on developing independence and skills, training, paid work and volunteering opportunities unless the individual's assessment indicates that he/she would be unable to benefit from such services. The individual's care and support plan should specify the expected length of time required to achieve the desired outcome, and be reviewed at the end of the time period to determine if the need has been met or if the service is still required.
- 10.8 In cases where transport has been assessed as an unmet eligible need which cannot be met without support from the Council, the cost of getting individuals to and from a day service will be taken into account when determining the most cost effective means of providing day care for a service user. The method of transport should be appropriate to meeting the needs of the service user, be sustainable and represent value for money. This includes where appropriate assisting the service user in accessing public transport, and supporting individuals to increase their ability to travel independently.

Independent living

- 10.9 Where appropriate, individuals will be assessed and supported to apply for a Disabled Facilities Grant (DFG), or other Local Authority funding, where available, which may fund adaptations in owner occupied homes and in homes rented from a private landlord or registered provider of social housing (housing association). Adaptations are also available in homes rented from the council. An individual's unmet eligible needs will be reviewed on completion of the adaptation and the personal budget may be revised accordingly.
- 10.10 The Council is committed to the use of telecare solutions (e.g. alarms, monitors) as a means of promoting independence, keeping people safe, and preventing/ delaying the escalation of need for more intensive levels of care and support. The option of using technology as a means of meeting the unmet eligible needs of people living in their own home will be routinely considered as part of the care and support planning process.
- 10.11 There may be times when the Council cannot safely meet a person's needs in the current home. If there are very significant risks it may be that an alternative placement is the most appropriate way to meet that need. If appropriate, the Council will seek lawful authorisation from the Court of Protection where the Council believes it is in the best interests of the individual to be cared for in an alternative setting.

Housing with care

- 10.12 'Housing with care' (i.e. extra care, supported living) is a service model associated with a range of positive benefits, including:
- maintaining strengths and abilities for longer than if moved to a traditional care home;
 - less usage of health services, including fewer nursing consultations and hospital inpatient;
 - good quality of life and social wellbeing, including reduced social isolation and loneliness.

10.13 To ensure the Council complies with its duty under the Care Act to prevent and delay the development of need for care and support, and to promote independent living, the Council has adopted 'housing with care' as its preferred alternative to a care home in circumstances where an individual's unmet eligible needs can no longer be safely met in their current home.

Residential and nursing care

10.14 People living in 24-hour funded care should receive appropriate daytime activity, stimulation and access to community facilities as part of that 24-hour care.

10.15 Where the Council is responsible for meeting an individual's care and support needs and their needs are assessed as requiring a particular type of accommodation, the individual has the right to choose between different providers of that type of accommodation as long as the preferred accommodation would not cost the authority more than is in the person's personal budget for accommodation of that type. The Council's duties and responsibilities relating to choice of accommodation and top up arrangements in circumstances where an individual chooses more expensive accommodation can be found in the Care & Support & Aftercare (Choice of Accommodation) Regulations 2014 (regulation 2: Choice of Accommodation, regulation 3: Conditions for Provision of Preferred Accommodation, and regulation 5: the Additional Cost Condition), and further guidance on this matter can be found in Annex A (Choice of Accommodation and Additional Payments) of the Care & Support Statutory Guidance (paragraphs 5, 12, 20 & 21).

10.16 If an individual prefers to move to accommodation that costs more than is in their personal budget for accommodation of that type, this would be agreed provided that a top up payment is agreed to pay the difference between the value of the personal budget and the actual cost of the accommodation.

10.17 Should the third party payments cease or self-funder's assets drop below the relevant capital and savings threshold (see paragraph 9.8) there is no obligation on the Council to continue to maintain the resident in the more expensive accommodation and this will be made clear to all parties, including the care home service provider, from the outset.

10.18 Instances may arise where individuals, particularly those ready to be discharged from hospital, insist they will only accept a placement in a chosen care home. If a place is available in the preferred home, the individual can exercise their right to choose. If a place in the preferred home is not available, the individual will be required to choose an available alternative. The Council works in partnership with the Barking, Redbridge, and Havering University Trust and other in-patient setting to ensure timely discharges from hospital that meet individual needs, patients may not remain in hospital when they are fit for discharge to wait for a placement in a preferred home when a suitable alternative is available.

Services for carers

- 10.19 Services provided primarily for carers will be separately identified from any provision for the cared for person via a carer's assessment and carer's personal budget.
- 10.20 The Council commissions a range of services to meet eligible needs that support carer's health and wellbeing and enable them to continue in their caring role.
- 10.21 When assessing and meeting the unmet eligible needs of carers and individuals with care and support needs, the Council will adopt a "whole family" approach, which aims to respond to the needs of both the individual and carer equally.
- 10.22 The Care Act specifies that a carer's need for support can be met by providing care to the person they care for. Where a service is provided directly to the adult needing care, even though it is to meet the carer's eligible unmet needs (e.g. replacement care), the adult will be liable to pay any charge. It is important that the adult with needs agrees to receive that type of care and any subsequent charge.

Support and services not normally covered by personal budgets

- 10.23 Where an individual chooses to use their personal budget as a managed account held by the Council with support required to meet unmet eligible need arranged by the Council, the following services and/or activities would not normally be included within the individual's personal budget allocation:
- The Council would not usually expect to pay for leisure activities as these should mostly be met from the individual's income or benefits in the first instance;
 - Veterinary bills and costs for securing the property would not usually be paid by the Council. However, where the Council does incur costs for these when there are no other options available, the Council will look to recover the costs from the individual;
 - Costs for transport to an activity or service should usually be met by usage of Disability Living Allowance, Personal Independence Payments, Attendance Allowance or other sources of income of the individual. Freedom pass, taxi cards and other forms of support for transport to/from activities will also be considered. The Council would not expect to pay for transport to an activity or service unless it is established as a clear unmet need for individuals with assessed eligible needs and there are no alternative ways for the needs to be met;
 - The Council does not have responsibility for provision of NHS services such as patient transport.

Jointly funded care

- 10.24 Where an individual is in receipt of a care package that is jointly funded by the Council and an NHS Clinical Commissioning Group, the policy of the organisation funding the greatest share of the care package cost will usually have precedence in guiding the care planning process. Where the Council is the 'lead' funder for a jointly funded package of care, practitioners should also have regard for the care planning policy of the co-funding organisation.

11. Appeals/ disputes

- 11.1 The Council will take all reasonable steps to limit appeals or disputes regarding assessments, support planning, reviews and personal budget allocation, including:
- effective care and support planning
 - transparency in the personal budget allocation process
 - informing people in advance of the timescales that are likely to be involved in different stages of the adult social care business process
 - keeping people informed as to how their own case is progressing
 - providing adult social care services in a manner that is compliant with the Council's Customer Service Standards.
- 11.2 The Care Act enables regulations to be produced for permitting appeals against a number of adult social care decisions including personal budget setting. These regulations have not yet been produced, but when they have been the Council will put in place suitable arrangements for these appeals to be determined.
- 11.3 For individuals who lack mental capacity to make certain decisions the Council, the individual, family members and/or their representative can make an application to the Court of Protection to ask the Court to make a number of declarations and decisions. If there is a dispute about the personal budget setting it is possible for the Court of protection to be asked to make a best interests decision (e.g. to decide on the type and level of the care package). Further information on the Court of Protection can be found here:
www.gov.uk/courts-tribunals/court-of-protection
- 11.4 Individuals who remain dissatisfied with the Council's decision will be referred to the Council's complaints procedure and, ultimately, the Local Government Ombudsman. Further detail regarding the Council's complaints procedure can be found here:
www.havering.gov.uk/info/20047/consultations_complaints_and_feedback/208/complaints

12. Governance

- 12.1 The Council's nominated Director of Adult Social Services (DASS) is the lead officer accountable for ensuring that local adult social care practice is undertaken in a manner that is at all times compliant with this policy, and will ensure appropriate and effective measures are in place for monitoring the services' performance against the standards and terms outlined within the policy so as to provide adequate assurance to the Council's Senior Leadership Team. This includes provision of leadership, adequate staff training and supervision, development of any further practice guidance or procedures required, and production/ dissemination of any financial or activity-based management information.
- 12.2 This policy will be reviewed at least biennially.

Appendix 1: Legislation and Statutory Guidance

1. Relevant legislation and statutory guidance

- 1.1 Care Act 2014 www.legislation.gov.uk/ukpga/2014/23/contents/enacted
- 1.2 Care Act Statutory Guidance (2016 update)
<https://www.gov.uk/guidance/care-and-support-statutory-guidance>
- 1.3 Children Act 1989 www.legislation.gov.uk/ukpga/1989/41/contents
- 1.4 Children and Families Act 2014
www.legislation.gov.uk/ukpga/2014/6/contents/enacted
- 1.5 Data protection Act 1998 www.legislation.gov.uk/ukpga/1998/29/contents
- 1.6 Disabled persons (Employment) Act 1944
www.legislation.gov.uk/ukpga/Geo6/7-8/10
- 1.7 Freedom of Information Act 2000
www.legislation.gov.uk/ukpga/2000/36/contents
- 1.8 Health and Social Care Act 2012
[/www.legislation.gov.uk/ukpga/2012/7/contents/enacted](http://www.legislation.gov.uk/ukpga/2012/7/contents/enacted)
- 1.9 Mental Capacity Act 2005 www.legislation.gov.uk/ukpga/2005/9/contents
- 1.10 Mental Health Act 1983 [/www.legislation.gov.uk/ukpga/1983/20/contents](http://www.legislation.gov.uk/ukpga/1983/20/contents)
- 1.11 The Care and Support (Charging and Assessment of Resources) Regulations 2014
http://www.legislation.gov.uk/uksi/2014/2672/pdfs/uksi_20142672_en.pdf

Appendix 2: Specified outcomes for eligibility

For **adults with unmet eligible care and support needs**, the specified outcomes referred to in the national eligibility criteria, of which 2 or more must be unable to be achieved, are as follows:

Specified outcome	Examples of how the Council should consider each outcome <i>(not an exhaustive list)</i>
(a) Managing and maintaining nutrition	Does the adult have access to food & drink? Is the adult able to prepare and consume their food and drink?
(b) Maintaining personal hygiene	Is the adult able to bathe/wash themselves? Can they launder their clothes?
(c) Managing toilet needs	Can the adult access the toilet unaided? Can they manage their toilet needs?
(d) Being appropriately clothed	Can they dress themselves & be appropriately dressed? Are they able to dress appropriately for different weather conditions?
(e) Being able to make use of their home safely	Can the adult access their property & move around their home safely? E.g. are there steps up to property, can they use kitchen facilities, access the bathroom? Fire safety risks?
(f) Maintaining a habitable home environment	Is the home sufficiently clean and maintained to be safe? Do they need support to sustain their occupancy & maintain amenities such as water, electricity & gas?
(g) Developing or maintaining family or personal relationships	Is the adult lonely or isolated? Do their needs prevent them maintaining/developing personal relationships?
(h) Accessing and engaging in work training education or volunteering	Does the adult have the opportunity to apply themselves & contribute to society through work, training, education or volunteering? Can they physically access facility/support to participate?
(i) Making use of necessary facilities/services in the local community including public transport and recreational facilities or services.	Can they get around their community safely & use facilities such as public transport, shops or recreational facilities? Is support needed to attend healthcare appointments? (Note the Council is not responsible for provision of NHS services such as patient transport).
(i) Carrying out any caring responsibilities the adult has for a child.	Does the adult have any parenting or caring responsibilities?

An adult is to be regarded as being unable to achieve an outcome if the adult is:

- unable to achieve it without assistance;
- able to achieve it without assistance but doing so causes the adult significant pain, distress or anxiety;
- able to achieve it without assistance but doing so endangers or is likely to endanger the health or safety of the adult, or of others; or,
- able to achieve it without assistance but takes significantly longer than would normally be expected.

Appendix 3: Specified circumstances for carers eligibility

- 1.1 For Carers the specific circumstances referred to in the national eligibility criteria for carers are as follows.
- 1.2 The carer's physical or mental health is, or is at risk of, deteriorating.
- 1.3 The carer is unable to achieve any of the following outcomes:
 - carrying out any caring responsibilities the carer has for a child;
 - providing care to other persons for whom the carer provides care;
 - maintaining a habitable home environment in the carer's home (whether or not this is also the home of the adult needing care);
 - managing and maintaining nutrition;
 - developing and maintaining family or other personal relationships;
 - engaging in work, training, education or volunteering;
 - making use of necessary facilities or services in the local community, including recreational facilities or services; and,
 - engaging in recreational activities.
- 1.4 A carer is to be regarded as being unable to achieve an outcome if the carer is:
 - unable to achieve it without assistance;
 - able to achieve it without assistance but doing so causes the carer significant pain, distress or anxiety; or
 - able to achieve it without assistance but doing so endangers or is likely to endanger the health or safety of the carer, or of others.

Glossary

Term	Definition
The wellbeing principle.	<p>The guiding principle in the Care Act 2014 that puts wellbeing at the heart of care and support. Wellbeing in the Act relates to:</p> <ul style="list-style-type: none"> • personal dignity (including treating people with respect) • physical and mental health and emotional wellbeing • protection from abuse and neglect • control by the individual over day-to-day life (including over care and support provided and the way it is provided) • participation in work, education, training or recreation • social and economic wellbeing • domestic, family and personal • suitability of living accommodation • the individual’s contribution to society
Prevention.	<p>A key principle in the Care Act that aims to prevent or delay the development of support needs, and reduce needs that already exist, to enable people to live as independently as possible for as long as possible.</p>
Person centred approach.	<p>The approach to social care confirmed by Care Act guidance that empowers people to be involved in all aspects of the care and support they need from the beginning of the assessment of their needs onward, and puts the person in control of their care and support as much as possible.</p>
Care needs assessment.	<p>An assessment to establish someone’s care and support needs, help them understand their situation and the needs they have, help them understand their own strengths and capabilities, enable them to link into the support available in their personal networks as well as their local neighborhood and community to reduce or delay their needs, and to identify any unmet eligible care needs they may still have after all this has been done.</p>
Carer’s assessment.	<p>An assessment to establish a carer’s needs for support and the sustainability of the carer’s caring role taking account of: the carer’s ability and willingness to carry out their carer role, their current and future aspirations, and their potential future needs for support.</p>
National eligibility criteria.	<p>The criteria prescribed by the Care and Support (Eligibility Criteria) 2015 that sets out the minimum threshold for adult care and support needs and carer support needs that the Council must ensure are met.</p>

Glossary (continued)

Term	Definition
Eligible care needs.	Needs that are eligible for support from the Council. These may or may not be met in another way other than support arranged by the Council.
Unmet eligible care needs.	Needs that are eligible for support from the Council and are not being met in any way at the time of the assessment.
Care and support plan.	Care & Support Plan in this policy refers to the plan agreed between the Social Worker and the individual that sets out how their care and support needs will be met (N.B. a Service Provider may agree a care and/or support plan with the individual which outlines the detail of what care and support will be delivered by the provider).
Review.	A review of someone’s care and support plan to ensure their needs are being met and that the support they are getting is appropriate.
An outcomes approach	An outcomes approach to social care and support focusses on what the person wants and needs in their lives to maintain and improve their wellbeing and can be split into three types of outcome: Outcome Involving Change (e.g. improvements in mobility); Outcomes Involving Maintenance or Prevention (e.g. ensuring personal safety and security); Service Process Outcomes (e.g. feeling valued and respected).
An indicative personal budget.	An early estimate of the money that will be required to meet someone’s unmet eligible care and support needs following their care needs assessment, this will help people design the care and support they want to meet their unmet eligible care needs. The indicative budget may go up or down dependent on individual circumstances before the personal budget is finalised after the care and support plan is complete.
A personal budget.	A statement of the amount of money needed to meet someone’s unmet eligible care needs. People have choice in the way their personal budget will be used and the agreed use of the personal budget is recorded in their care and support plan.
Financial assessment.	A means test to determine how much someone must contribute to their personal budget to pay for the costs to meet their unmet eligible needs.
Direct payment.	A monetary payment made to someone who wants to receive one to meet some or all of their eligible care and support needs.
Universal services.	Services that are available to all people in the local population.

Glossary (continued)

Term	Definition
Intermediate care.	<p>Care that aims to:</p> <ul style="list-style-type: none"> • prevent unnecessary and avoidable hospital admission; • helps people to recover as quickly as possible following illness or injury; • facilitate safe and timely discharge from hospital; • maximise independent living.
Reablement.	<p>A short and intensive service (usually no more than 6 weeks) to help people whose health has deteriorated, and/or have increased care and support needs, to relearn the skills they need to help them keep safe and independent at home.</p>
Strengths based approach.	<p>The approach referred to the Care Act guidance that recognises people are the experts in charge of their own lives, enables people to understand how their own skills and resources can help maintain their independence, and how their personal resources, close relationships, and community resources can contribute toward this.</p>
Whole family approach.	<p>The approach outlined in Care Act guidance for local authorities to take a holistic view of the person’s needs and to identify how the adult’s needs for care and support impact on family members or others in their support network.</p>

APPENDIX 3

Equality Impact Assessment (EIA)

Document control

Title of activity:	Adult Social Care & Support Planning Policy
Type of activity:	Policy
Lead officer:	Alan Grierson, Interim Project Manager, Adult Services
Approved by:	Barbara Nicholls, Director of Adult Social Care & Health
Date completed:	November 2017
Scheduled date for review:	December 2019

The Corporate Policy & Diversity team requires **5 working days** to provide advice on EIAs.

Did you seek advice from the Corporate Policy & Diversity team?	Yes
Does the EIA contain any confidential or exempt information that would prevent you publishing it on the Council's website?	No

1. Equality Impact Assessment Checklist

The Equality Impact Assessment (EIA) is a tool to ensure that your activity meets the needs of individuals and groups that use your service. It also helps the Council to meet its legal obligation under the [Equality Act 2010 and the Public Sector Equality Duty](#).

Please complete the following checklist to determine whether or not you will need to complete an EIA. Please ensure you keep this section for your audit trail. If you have any questions, please contact the Corporate Policy and Diversity Team at diversity@havering.gov.uk

About your activity

1	Title of activity	Adult Social Care & Support Planning Policy
2	Type of activity	<p>The Adult Social Care & Support Planning Policy is designed to ensure:</p> <ul style="list-style-type: none"> • the tasks of adult social care assessment, care and support planning, and review are undertaken in a manner that is at all times compliant with the Council's duties under the Care Act 2014; • equitable treatment and fairness in the provision of funded care and support; • sufficient and appropriate regard is given to individual circumstances and personal preference, as well as the resources available to the Council, when determining the value of an individual's personal budget; • adult social care and support is delivered with a focus on prevention, wellbeing and equity (not just the rationing of services to people deemed as eligible for them); • assessments and care plans are integrated with healthcare services where the person has health and wellbeing as care and support needs
3	Scope of activity	<p>There are approximately 4,000 people in receipt of long term adult social care in Havering, with a total of just over 7,500 receiving support in one year. In addition to this there are over 800 people on the Council's Carers Register and 110 Carers receive a Direct Payment to help them maintain their wellbeing and continue their caring role.</p>

4a	Is the activity new or changing?	This policy does not describe a major change in approach, it clarifies the policy of the Council in relation to the Council's duties under the Care Act and the requirements on the Council to work effectively with healthcare agencies to deliver an integrated approach to assessment and care planning.
4b	Is the activity likely to have an impact on individuals or groups?	Although the policy does not describe a major change in approach it is likely that the policy will have an impact on people requiring social care and their carers because the new policy will increase accountability to local people and will provide more guidance for social care practitioners to ensure practice in social care is more consistent.
5	If you answered yes:	Please see EIA on the next page.
6	If you answered no:	Not applicable.

Completed by:	Alan Grierson, Project Manager, Adult Services.
Date:	14 th November 2017

2. Equality Impact Assessment

Background/context:

In early 2017 Adult Services produced a draft Adult Social Care & Support Planning policy. This is not a new policy, it summarises the key aspects of the Care Act 2014 and Care Act Guidance, and it provides local residents and staff with an accessible document that describes what the Council's key duties and responsibilities are in accordance with the Act. An accessible "Easy Read" version of the draft policy was also produced for people who experience difficulties in reading.

A consultation on the draft Adult Social Care & Support Planning policy and the Easy Read version was held between 17th July to 8th October 2017. The purpose of the consultation was to ask staff and local residents:

1. Is the draft policy clear?
2. Is the draft policy open and transparent?
3. Is the draft policy sufficiently informative (i.e. does it provide people with enough information)?
4. Do people have any comments on the content of the policy?

The draft policy has been amended in the light of consultation to ensure it can be easily understood by users of adult social care, carers, and representative bodies, and to take account of the comments made about the content of the draft during consultation to ensure the policy reflects all aspects of the Care Act felt to be important by local stakeholders. The final version of the policy will be considered by Cabinet on 13th December 2017 for approval.

As stated this is not a new policy. The purpose of the policy documents that have been produced is to provide a summary of the key aspects of the current policy as stipulated by the Care Act 2014 and subsequent statutory guidance so that all local stakeholders have a common understanding of the Council's core duties and responsibilities in relation to Adult Social Care and Support Planning. This is a continuation of the Council's care Act Programme, the Equalities Impact Assessment for the programme was produced at the start of the programme in 2015.

The purpose of this Equality Impact Assessment is to ensure the policy is clear and accessible to local stakeholders. In turn this is expected to have a positive impact on the future delivery of adult social care by ensuring:

- the tasks of adult social care assessment, care and support planning, and review are undertaken in a manner that is at all times compliant with the Council's duties under the Care Act 2014;
- equitable treatment and fairness in the provision of funded care and support;
- sufficient and appropriate regard is given to individual circumstances and personal preference, as well as the resources available to the Council, when determining the value of an individual's personal budget;
- adult social care and support is delivered with a focus on prevention, wellbeing and equity (not just the rationing of services to people deemed as eligible for them);
- assessments and care plans are integrated with healthcare services where the person has health and wellbeing as care and support needs.

Age: Consider the full range of age groups	
<i>Please tick (✓) the relevant box:</i>	
Positive	<input checked="" type="checkbox"/>
Neutral	<input type="checkbox"/>
Negative	<input type="checkbox"/>
<p>Overall impact:</p> <p>The policy relates to Social Care and Support Planning for adults (i.e. people over 18 years of age) who meet the eligibility criteria set by the Care Act 2014 and young people in transition.</p> <p>The overall impact of having a local summary of the core elements of the Care Act is expected to be positive by providing a useful summary of the core duties and responsibilities of Adult Services in relation to Social Care and Support Planning that is in a format that is accessible for local residents as well as staff that work within Adult Services. Providing a useful accessible summary of the Council's duties and responsibilities will help ensure local residents, and staff within Adult Services, have an improved understanding of the care and support the Council is required to deliver to ensure fairness and equity for all people who need support.</p> <p>Consultation on the draft Adult Social Care & Support Planning policy indicated the draft policy was, in the main, well presented, concise, easy to understand, an accurate reflection of the key requirements of the Care Act 2014 in relation to Adult Social Care & Support planning, and is a useful document to have for local reference.</p> <p>The consultation on the draft policy highlighted some areas of the draft policy that could be improved to make the policy clearer and easier to understand. It also highlighted areas that local stakeholders felt could be improved to reflect the Council's duties and responsibilities in relation to adult social care and support planning as set out by the Care Act. Changes have been made to the policy in the light of the comments and views of local people and professionals working with Adult Services. The policy will be presented to Cabinet in December for approval.</p>	
<p>Evidence:</p> <p>Havering has an over 65 population in excess of 46,000. This is one of the highest in London and is set to rise over coming years.</p> <p>There were approximately 4,000 adults in Havering who received long term care in 2016/17, and there were 110 carers in receipt of a Direct Payment.</p> <p>80% of the people responding to the consultation on the Adult Social Care & Support Planning policy indicated they felt the draft policy was very clear or extremely clear. The policy has been developed further to take account of the aspects of the policy local stakeholders felt could be improved.</p>	

Sources used:

London Borough of Havering Joint Strategic Needs Analysis (2017).

Current information from the Council's Social Care database.

Adult Social Care & Support Planning Consultation outcome report (November 2017).

Disability: Consider the full range of disabilities; including physical mental, sensory and progressive conditions

*Please tick (✓)
the relevant box:*

Positive

Neutral

Negative

Overall impact:

In line with the Care Act 2014, and current Council policy, the new policy document emphasises the importance of the wellbeing principle and the requirement for social care to be tailored to individual needs ensuring the individuals voice (and those of the people that are important to them where this is appropriate) is heard in the care and support planning processes. Whilst it is expected that this is already a reality for the majority of people who have a disability and need social care support, the new accessible policy will improve local understanding of the importance and significance of these principles and in turn improve the delivery of them.

The policy sets out the national eligibility criteria set by the Care Act so that local people who have disabilities can see these criteria themselves. Whilst the Council believes the eligibility criteria are being applied fairly already, better knowledge of the criteria for local people with disabilities will help them hold the Council to account for decisions made about eligibility for care.

The Council has a duty to ensure personal preferences are taking into account when planning care arrangements. However, the Council also has a duty to balance the wishes of people needing care arrangements with the needs of other people in need of care to ensure services are provided fairly and equitably, this process also helps to ensure care is provided in a cost effective way. The policy provides clarity about the Council's duties and responsibilities in relation to these issues and this will help people hold the Council to account to ensure fairness when social care arrangements are put in place.

Whilst the policy is clear and well presented, a number people responding to the consultation felt that the Easy Read version of the policy needs some improvement to make it more accessible for people with learning disabilities. Further work will be done to improve the Easy Read version of the policy and local people with learning disabilities will be consulted further before this is finalised.

Evidence:

According to ONS statistics 18% of working age people in Havering have a disability or long term illness, this is similar to the national proportion (19%)

The estimated number of people in Havering aged between 18–64 living with moderate physical disabilities is 11,870, which a rate of 7,865 per 100,000 population aged between 18-64 years. This rate is similar to the rate for England but is the fourth highest rate compared with other London Boroughs.

It is estimated that 3,506 people aged between 18-64 years have serious disabilities. The rate of people who have serious disabilities is similar to the national rate, but again it is one of the highest rates compared to other London Boroughs, with Havering having the third largest rate.

In 2015 was estimated that approximately 817 people between 18-54 years have moderate or severe learning disabilities and are likely to be in receipt of health and social care services.

Sources used:

ONS Annual Population Survey (Jan 2014-Dec 2014).

London Borough of Havering Joint Strategic Needs Analysis (2017).

Needs and Service Information System (PANSI 2017).

Mid-year population estimates (2016) (ONS); produced by Public Health Intelligence.

Needs and Service Information System (PANSI 2015).

Mid-year population estimates (2015) (ONS); produced by Public Health Intelligence.

Sex/gender: Consider both men and women

Please tick (✓) the relevant box:

Positive

✓

Overall impact:

63% of adults that use long term care services are women, 37% are men. This means that women in the Borough will benefit more from the positive impact of having an accessible policy. However, this will not negatively affect men that require long term care services.

Neutral

Negative

The policy emphasises the requirement to ensure services are tailored to individuals needs and are person centred, and the requirement to ensure each person's wellbeing is at the centre of decision making. Better understanding about these principles will have a positive impact for both genders and people on an individual basis.

The policy also emphasises the requirement for Adult Services to ensure adequate information and advice services are available to signpost people to appropriate universal services where this may help

	<p>individuals. Whilst it is believed information and advice services are currently adequate, the policy will help ensure these services remain a priority in the future for the benefit of all people that may need them, both men and women.</p> <p>71% of carers receiving support from the Council are women and 29% are men. The positive impact the policy will have will have a larger effect on affect women in the Borough both as carers and as service users (carers have rights to care and support in the same way as service users). There are not expected to be any negative impact on male carers.</p> <p>The policy re-enforces the message from the Care Act that carers are recognised in law in the same way as those they care for, including carers rights to assessments and support. This will have a positive impact on women compared to men, but the policy will help ensure all carers have the same rights on an equal basis.</p>
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Evidence:

An estimated 52% of the population (131,327) in Havering are female, 48% (131,327) are estimated to be male.

The larger percentage of females may be explained by the longer female life expectancy (84.1 for females and 80.2 for males).

63% of adults that use long term care services are women, 37% are men.

71% of carers in receipt of a Direct Payment are women and 29% are men.

Sources used:

Current information from the Council's Social Care database.

Life expectancy at birth, 2001-2003 to 2013-2015; Public Health Outcomes Framework (PHOF): produced by Public Health Intelligence.

London Borough of Havering Joint Strategic Needs Analysis (2017).

Ethnicity/race: Consider the impact on different ethnic groups and nationalities	
<i>Please tick (✓) the relevant box:</i>	
Positive	<input checked="" type="checkbox"/>
Neutral	<input type="checkbox"/>
Negative	<input type="checkbox"/>
<p>Overall impact:</p> <p>95% of people in receipt of long term care in Havering are white. White people in the Borough will be affected more by the positive impact of the new local Adult Social Care & Support Planning policy.</p> <p>Although only 5% of people in receipt of long term care in Havering are from an ethnic minority or mixed race background, these groups will also benefit from the positive impact of the policy.</p>	

	<p>83.3% of the population of Havering is White: English, which makes Havering one of the least ethnically diverse populations in London.</p> <p>The evidence seems to suggest there is a slight under-representation of people from an ethnic minority in receipt of long term care arrangements (83.3% of the population is white, 95% of people in receipt of long term care are white). This anomaly requires further clarification. However, increasing awareness of the Council's duties and responsibilities relation to adult social care and support planning by having a local policy that is more easily understood by local people will increase accountability for decision made about adult social care and will have a positive impact on this protected characteristic.</p>
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Evidence:

95% of people in receipt of long term care in Havering are white.

5% of people in receipt of long term care in Havering are from an ethnic minority or mixed race background.

83.3% of the population of Havering is White: English, which makes Havering one of the least ethnically diverse populations in London.

Sources used:

Current information from the Council's Social Care database.

Havering Data Intelligence Hub.

ONS Census 2011.

Religion/faith: Consider people from different religions or beliefs including those with no religion or belief

<i>Please tick (✓) the relevant box:</i>		Overall impact: The overall impact of having a policy that confirms and emphasises the Care Act requirement for the Council to ensure services must be tailored to the needs of individuals with wellbeing at the heart of decision making will be positive for this protected characteristic. The policy has been amended following comments from local people to ensure cultural needs are taken into account in the assessment process.
Positive	✓	
Neutral		
Negative		

Evidence:

In the 2011 Census 65.6% of the population in Havering declared themselves as Christian. 22.6% declared they have no religion and 6.7% declared they preferred not to state their religion. Other religions in the Borough include Muslim (2%) Hindu (1.2%) Sikh (0.8%), Jewish (0.5%), Buddhist (0.3%), and other (0.3%).

Sources used:

Havering Data Intelligence Hub.

ONS Census 2011.

Sexual orientation: Consider people who are heterosexual, lesbian, gay or bisexual		
<i>Please tick (✓) the relevant box:</i>		Overall impact: Although information on sexual orientation is insufficient to fully assess the impact on this protected characteristic the policy emphasises the requirement for assessments and care and support plans to be tailored to the individual needs and wishes of individuals. There is not expected to be any negative impact of having a local policy that increases accountability for the personalisation of social care.
Positive	<input type="checkbox"/>	
Neutral	<input checked="" type="checkbox"/>	
Negative	<input type="checkbox"/>	
Evidence: There is insufficient information on sexual orientation at national or local level to fully assess the impact on this protected characteristic. However, the policy aims to ensure services are based on individually assessed needs and that the service user and/or care have as much control as possible over the service they receive.		
Sources used: Insufficient information on sexual orientation at national or local level.		

Gender reassignment: Consider people who are seeking, undergoing or have received gender reassignment surgery, as well as people whose gender identity is different from their gender at birth		
<i>Please tick (✓) the relevant box:</i>		Overall impact: Although information on sexual orientation is insufficient to fully assess the impact on this protected characteristic the policy emphasises the requirement for assessments and care and support plans to be tailored to the individual needs and wishes of individuals. There is not expected to be any negative impact of having a local policy that increases accountability for the personalisation of social care.
Positive	<input type="checkbox"/>	
Neutral	<input checked="" type="checkbox"/>	
Negative	<input type="checkbox"/>	

<p>Evidence:</p> <p>There is insufficient information on gender reassignment at national or local level to fully assess the impact on this protected characteristic. However, the policy aims to ensure services are based on individually assessed needs and that the service user and/or care have as much control as possible over the service they receive.</p>
<p>Sources used:</p> <p>Insufficient information on sexual orientation at national or local level.</p>

Marriage/civil partnership: Consider people in a marriage or civil partnership	
<i>Please tick (✓) the relevant box:</i>	
Positive	<input checked="" type="checkbox"/>
Neutral	<input type="checkbox"/>
Negative	<input type="checkbox"/>
<p>Overall impact:</p> <p>The policy emphasises the requirement for assessments to be tailored to the individual needs of people, and the need to take account of individual circumstances and preferences when setting up care arrangements.</p> <p>Whilst the marriage/civil partnership status of local people is diverse, with married people being the largest group within this characteristic, the requirements emphasised by the policy to tailor assessments and care solutions to the needs of individual people and their individual circumstances, the policy will have a positive impact on all people.</p>	
<p>Evidence:</p> <p>An estimated 48.5% of Havering residents are married, 33% are single (never married or registered as in a same-sex civil partnership), 8% are divorced or formally in a same-sex civil partnership which is now legally dissolved, 8% are widowed or a surviving partner from a same-sex civil partnership, 2.4% are separated, and 0.1% is in a same sex civil partnership.</p>	
<p>Sources used:</p> <p>2011 Census.</p>	

Pregnancy, maternity and paternity: Consider those who are pregnant and those who are undertaking maternity or paternity leave	
<i>Please tick (✓) the relevant box:</i>	
Positive	<input type="checkbox"/>
Neutral	<input checked="" type="checkbox"/>
Negative	<input type="checkbox"/>
<p>Overall impact:</p> <p>The requirements to ensure the assessment and care planning processes are centred round the personal needs and circumstances of individual's when decisions are being made about care arrangements are enshrined in the Care Act and reflected in the policy. Better understanding of the policy will have a beneficial impact on all people who need care and support in all circumstances.</p>	

		However, there is insufficient data on this protected characteristic to fully assess the impact of the policy.
Evidence:		
The full impact on this protected characteristic cannot be fully assessed due to the lack of data. However, no negative impacts are expected for this characteristic.		
Sources used:		
Insufficient data.		

Socio-economic status: Consider those who are from low income or financially excluded backgrounds		
<i>Please tick (✓) the relevant box:</i>		Overall impact: The policy confirms the principles and processes required to ensure funding for social care is open, transparent, and fair for all people in Havering. Whilst it is felt that current systems and practice are fair having an accessible policy that local people can access and understand easier increases accountability and helps protect people's rights. This will help ensure an equitable approach to people with different economic status and will therefore have a positive impact.
Positive	<input checked="" type="checkbox"/>	
Neutral	<input type="checkbox"/>	
Negative	<input type="checkbox"/>	
Evidence:		
In the 2015 DCLG Deprivation Indices Havering ranks 91 out of 152 upper tier local authorities on average income (with a rank of 1 being most deprived).		
Despite low deprivation scores and high employment rates, the average gross household income in Havering (£44,430), as measured in 2012/13, is low in comparison to the London average of £51,770 and slightly higher than the England average of £39,557. It is in the lowest third of all London Boroughs.		
Sources used:		
Havering Intelligence Hub.		
The Index of Multiple Deprivation (IMD) 2015: DCLG.		
London Borough of Havering Joint Strategic Needs Assessment (2017)		
Household Income Estimates, GLA, 2012/13		

Action Plan

In this section you should list the specific actions that set out how you will address any negative equality impacts you have identified in this assessment.

No negative impacts have been identified by the Equality Impact Assessment.

Protected characteristic	Identified negative impact	Action taken to mitigate impact*	Outcomes and monitoring**	Timescale	Lead officer
Disability	No negative impacts have been identified. However, it has been identified that accessibility to the policy could be further improved by reviewing the Easy Read version of the policy once the overall policy has been approved.	The Easy Read version of the policy will be reviewed after the policy has been approved. People with learning disabilities will be consulted about the Easy Read version before it is finalised.	The further development of an Easy Read version of the policy will be monitored by Alan Grierson and reported to Adult Services OMG quarterly.	April 2018	Alan Grierson
Disability	It has also been identified that to maximise the benefit for everyone other ways of making the policy more accessible to people with sensory disabilities should be developed.	Adult Services will prepare plans to provide other methods of making the policy more accessible to people with sensory disabilities.	The development of other methods of making the policy more accessible to people with sensory disabilities will be monitored by Alan Grierson and reported to Adult Services OMG quarterly.	April 2018	Alan Grierson

Protected characteristic	Identified negative impact	Action taken to mitigate impact*	Outcomes and monitoring**	Timescale	Lead officer
Ethnicity	No negative impacts have been identified. However, it has been identified that there is a slight under representation of people from an ethnic minority in receipt of long term care arrangements. This is an anomaly that requires further clarification.	Research existing data to gain more insight into the pattern of use of social care services in Havering by people from an ethnic minority compared to white people. Consult local forum representing people from an ethnic minority to consider the reasons for differences.	The pattern of social care for people from an ethnic minority will be understood, potential reasons for differences will be identified, and actions to ensure equity developed if needed.	April 2018	Alan Grierson

Review

This Equality Impact Assessment will be reviewed in December 2019 by the Adults Services or sooner if there is any material change to the requirements of the Care Act 2014 or the associated statutory Care Act Guidance.

CABINET

13 December, 2017

Subject Heading:

**Rainham and Beam Park Housing Zone
- Appointment of a Joint Venture
Development Partner.**

Cabinet Member:

**Councillor Roger Ramsey, Leader of
the Council
Councillor Ron Ower
Cabinet Member for Housing
Company Development and
OneSource Management**

SLT Lead:

Steve Moore, Director of Neighbourhoods

Report Author and contact details:

Christopher Barter, Development
Programmes and Projects Manager

Policy context:

**Havering Housing Strategy,
Havering Economic Development
Strategy.
Rainham and Beam Park Housing Zone
submission.
Rainham and Beam Park Housing Zone
Overarching Borough Agreement.
Rainham and Beam Park Planning
Framework. 2016
Havering Proposed Submission Local
Plan 2017**

Financial summary:

The report seeks Cabinet approval in principle to invest capital into a Limited Liability Partnership to contribute to the delivery of the Rainham and Beam Park Housing Zone through the development of at least 774 new homes with 35% i.e. 270, affordable units. This investment is in excess of the available budget within the Approved Capital Programme and falls outside the approved Treasury

Management Strategy. It will therefore require consideration and approval by Full Council. Therefore, subject to Cabinet approval of the recommendations within this report, the scheme will be included in the proposed capital programme to be considered as part of the 2018/19 budget process and will be subject to approval of the Capital Programme and Treasury Management Strategy in February 2018.

A revenue surplus for the Council is forecast as a result of this regeneration scheme after meeting capital financing costs of borrowing.

The financial details are contained within the exempt agenda report.

Is this a Key Decision?

Yes

When should this matter be reviewed?

Autumn 2020

Reviewing OSC:

Towns and Communities OSC

The subject matter of this report deals with the following Council Objectives

Communities making Havering	[x]
Places making Havering	[x]
Opportunities making Havering	[x]
Connections making Havering	[x]

SUMMARY

This report seeks the Cabinet's approval to appoint Notting Hill Housing Group (NHHG) as the development partner to implement the Rainham and Beam Park Housing Zone, the A1306 Land Acquisition and Development Strategy to assemble key sites along the A1306 corridor, and to undertake the associated residential development schemes. NHHG operates through various companies and charitable entities. Approval is sought for the Council to enter into a joint venture Limited Liability Partnership (JVLLP) with Notting Hill Commercial Properties Ltd (NHCP), noting that the acquisition process will be implemented by Notting Hill Housing Trust (NHHT) and is to be supported by the making of a Compulsory Purchase Order (CPO) to enable the acquisition of the land interests that cannot be acquired by private treaty. The making of the CPO, as approved by Cabinet on February 2016, will be the subject of a separate report to Cabinet setting out further details in due course.

The acquisition of the A1306 sites will act as a catalyst to kick-start development activity and unlock development opportunities along the A1306 New Road and the wider Rainham and Beam Park Housing Zone. In parallel the Council is embarking on the ambitious HRA 12 Estates housing transformation programme which includes the major residential regeneration opportunity at New Plymouth and Napier houses on the A1306. Together these opportunities create a major opportunity to build a new strong sustainable community with its own identity based around the new station and local centre at Beam Park; integrating and improving connectivity between existing and proposed new residential neighbourhoods.

The Rainham and Beam Park Housing Zone will deliver 3,500 new homes supported by a new 3FE primary school, new health facilities, local retail provision, a new rail station served by bus services and extensive green and open space provision and the creation of a linear park along the A1306 corridor.

The need for new and affordable housing to meet increasing demand is recognised at national and regional level. The London Plan 2015 sets out an indicative capacity for new homes to be delivered in the London Riverside area, of which Rainham and Beam Park is a part, for the plan period to 2035. The policy establishes the strategy of managed release of surplus industrial land for housing and other complementary uses, and recognises the need for improved public transport capacity. Significant residential developments are underway on Barking Riverside and Barking Town Centre and demand is moving steadily eastwards. The extensive brownfield development sites along the A1306 are becoming available and are the last remaining sites where values, in relation to other areas, are able to deliver relatively affordable high quality housing.

This report sets out the rationale and justification for entering into the JVLLP. The business case to support entering into the JVLLP is contained within an exempt Part B report and is distinct from the scope and parameters of the proposed Overarching Business Plan for the JVLLP which are described in this report

Cabinet is asked to approve the Council's involvement in delivering the scheme noting the significant regeneration benefit for Rainham and the contribution towards Havering's target for housing delivery, and also the expected financial returns.

RECOMMENDATIONS

That Cabinet:

1. **Note** that Notting Hill Housing Trust will provide an indemnity for the Council's CPO costs of £50 million should it not be possible to acquire properties by negotiation. These costs whilst initially born by NHHT through the CPO indemnity, will need to be covered in full by the JVLLP when drawn down for development or at a longstop date;
2. **Approve** inclusion of this allocation within the proposed capital programme that will be considered by Cabinet on the same agenda in December 2017 and recommended to Council for final approval in February 2018.
3. **Approve** the inclusion of the scheme with a budget allocation a further £10 million to meet the Council's equity contribution within the proposed capital programme that will be considered by Cabinet on the same agenda in December 2017 and recommended to Council for final approval in February 2018.
4. **Note** that a further report addressing the governance framework and staff resources required to develop and deliver the Rainham scheme and other economic development schemes will be presented for consideration and approval by Cabinet in January.

Subject to the approval of the required budget and funding at recommendation 1 above, that Cabinet:

5. **Agree** to establish a Limited Liability Partnership for the purpose of meeting the Council's regeneration objectives for Rainham by entering into a Members' Agreement with Notting Hill Commercial Property ("NHCP") (company registration number 01523328) on the basis of the Business Case and the Legal Summary appended to the exempt agenda report.
6. **Agree** to delegate to the Leader, after consultation with the Director of Neighbourhoods, the authority to agree the name of the LLP, negotiate the final detailed terms of the agreements being entered into, and authority to agree that the Council enter into the following agreements:
 - Members' Agreement;
 - Strategic Land Agreement;
 - CPO Indemnity Agreement;
 - Any ancillary agreements or documents necessary to give effect to the setting up of the JV LLP in accordance with this Report and its appendices (all as described in the Legal Summary appended to the exempt agenda report).
7. **Authorise** the LLP to enter into the Development Management Agreement with Notting Hill Home Ownership, one of the Notting Hill group of companies, when in agreed form.

8. **Agree** to delegate to the Leader, after consultation with the Director of Neighbourhoods, authority to agree the terms of the Development Management Agreement referred to in recommendation 5 on behalf of the Council as Member of the LLP established in accordance with recommendations 3 and 4.
9. **Agree** to delegate to the Leader, after consultation with the Director of Neighbourhoods and the Section 151 Officer, authority to approve the first Overarching Business Plan of the LLP on behalf of the Council.
10. **Agree** to delegate to the Leader, after consultation with Cabinet Member for the Housing Company Development and OneSource Management and the Director of Neighbourhoods, authority to approve the consultation and communication plans for the regeneration of Rainham.
11. **Agree** to delegate to the Leader, after consultation with the Director of Neighbourhoods, the appointment of nominees to represent the Council on the JVLLP board and indemnify them under the Local Authorities (Indemnities for Members and Officers) Order 2004 once the JVLLP has been set up;
12. **Agree** that the primary purpose of the Councils participation in the JV LLP is to secure the regeneration of the Rainham and Beam Park Housing Zone.

REPORT DETAIL

1. Background

- 1.1. Following Cabinet approval on the 24th September 2014 the Rainham and Beam Park Housing Zone bid was submitted to the Greater London Authority (GLA). The submission was successful and Havering's status as a Housing Zone Borough was announced on the 25th June 2015. Cabinet approved the Overarching Borough Agreement authorising the Council's entry into the funding contract with the GLA on the 4th November 2015.
- 1.2. Further Cabinet approval was given on the 10th February 2016 for the Council to seek a development partner and to implement the Housing Zone A1306 Land Acquisition Strategy, including the principle of using the Council's CPO powers to acquire land, and to work to bring forward quality housing either on its own or in partnership with other developers on land acquired.
- 1.3. Within the Housing Zone there are major sites that will be brought forward for development by the market notably Beam Park, Somerfield and Mudlands. However, there are also sites that will require direct intervention from the Council to enable development that accords with the overall Housing Zone objectives. 9 sites have been identified for residential development and 1 site to provide access to the new station and these are shown at Appendix A.

- 1.4. Due to historically low values as well as other technical and economic constraints (including a pattern of disparate land ownership), previously only a limited number of residential schemes have come forward. These have been on a small scale piece meal basis, generally offering poor design and build quality with limited contribution to affordable housing provision, the environment and infrastructure provision.
- 1.5. Typical existing uses undertaken in the area include scrap yards, tyre warehouses, trade counters, MOT centres, and car repair and body workshop businesses. The businesses tend to face out onto the main road frontages and while a few are well presented many, in terms of their physical appearance and operations, detract from physical or environmental quality and long term economic viability of the area.
- 1.6. The Land Acquisition Strategy is intended to secure comprehensive residential development by organising sites currently in multiple, complex ownership into developable plots in single ownership. The sites will be acquired through private treaty or CPO, if necessary, and will be brought forward for comprehensive residential development by the JVLLP in partnership with NHHT.
- 1.7. The 9 residential sites, when aggregated, total 6Ha of developable land with the potential for the development of at least 774 new homes with a gross development value (GDV) of over £250m. Property Cost Estimates and valuations have been undertaken by advisors and these have been used as part of the analysis of the scheme described in the Business Case attached to Part B of this report (exempt Agenda) undertaken by Glenny in support of the proposed CPO indicate a total acquisition cost for all 10 sites (including RE01 which is being acquired to provide bus and pedestrian access to the proposed Beam Park Station), with a large proportion of these figures relating to compensation costs.
- 1.8. With such a significant level of investment required and a large scale of development proposed within a complex regeneration environment, it is apparent that the Council alone would not have the resources or capacity to finance development, bear risk and deliver development schemes alone. An experienced development partner is required.
- 1.9. Therefore, a joint venture arrangement would best enable the Council to:
 - i. Deliver its regeneration objectives for the Rainham and Beam Park Housing Zone;
 - ii. Acquire and assemble the Rainham and Beam Park development sites via private treaty, supported by the CPO process;
 - iii. Meet Council's costs of undertaking the CPO (and associated costs).
 - iv. Obtain satisfactory planning approvals for all 9 sites.
 - v. Generate returns commensurate with risks taken and enable reinvested in the acquisition and/or development of the future sites.
 - vi. Procure consultants, contractors and a supply chain to deliver the developments.
 - vii. Bring forward innovative proposals that will support the wider regeneration of the Rainham area, including employment and social infrastructure;

- 1.10. The proposed contractual arrangements to govern the relationship between the Council and NHCP, and provide for the arrangements described above, are described in the Legal Summary appended to the exempt agenda report.

2. Development Partner procurement.

- 2.1. A selection process commenced in March 2016 designed to ensure the development partnering offer was market focussed, appropriate and attractive to the market.
- 2.2. This was followed by a two stage process.
- 2.3. Stage 1 was assessed against:
 - i. Bidder Details
 - ii. Financial Capability
 - iii. Track record of the bidder (particularly within a regeneration and CPO environment)
 - iv. Development Partnership Scope and Approach
 - v. New Development Project Stage 1 - site NR09
- 2.4. Three bidders were shortlisted to proceed to Stage 2 – Countryside, Keepmoat and Notting Hill Housing Trust (NHHT).

Stage 2 tender

- 2.5. The Stage 2 process was designed to establish a robust and comprehensive understanding of the development partner and include both qualitative and quantitative requirements to give the selection team the ability to compare bidders utilising a consistent approach in terms of planning, risk appetite, approach to development management and market optimism.
- 2.6. This required bidders to set out their proposals for working with the Council by:
 - i. Developing viable business plans including designs and financial proposals for sample sites NR02/03;
 - ii. Setting out proposals for delivering the sample schemes and the remaining sites including development management, finance and risk management;
 - iii. Setting out proposals for an Overarching Business Plan for the joint venture addressing all the identified sites including proposals for development management, phasing, funding, cash flow and high level information on design and anticipated sales values;
 - iv. Setting out proposals for marketing and branding; and
 - v. Setting out proposals for managing and delivering the whole development of identified sites including performance management, fees and reporting.
- 2.7. Following the Stage 2 tender evaluation, officers recommended that NHHT should be selected as the Council's preferred development partner
- 2.8. Following a briefing of the Leader of the Council, Roger Ramsey, and Councillor Ron Ower (Portfolio Holder for the Rainham & Beam Park Housing Zone), this

approach was agreed and NHHT were confirmed as the Council's preferred development partner on 22nd December 2016.

3. Notting Hill Housing Trust

- 3.1. The Notting Hill Housing Group is made up of a number of organisations including Notting Hill Commercial Properties Ltd (NHCP) and Notting Hill Housing Trust. The focus of each business varies, from buying and developing land to selling homes, to managing tenancies and communities. NHHT is an exempt charity incorporated as a Registered Society under the Co-operative and Community Benefit Societies Act 2014. It is also registered with the Homes and Communities Agency (number L0035), and is one of the foremost providers of social housing in London. It has a significant track record in bringing forward successful housing developments and regeneration programmes of the scale proposed by the Council. NHHT has been creating and participating in successful joint ventures with a diverse range of partners for over a decade.
- 3.2. NHHT is a financially robust housing association with expertise far beyond traditional affordable housing provision, including residential development for sale, market rent, student accommodation and commercial premises.
- 3.3. NHCP is funded by NHHT and is established to deliver commercial developments in which NHHT participate to facilitate affordable housing delivery and operation NHHT funds projects through its balance sheet, cash reserves and loan facilities. Financial strength has been a key factor in the selection of NHHT to partner with the Council in the JVLLP. NHHT's strength is evidenced in the approach to delivering larger schemes which often have lifespans straddling economic cycles. The first phase of NHHT's scheme at Royal Docks was acquired prior to the 2008 economic downturn, the latter phase acquired and joint venture partnerships formed in 2012. The first phase completion of that scheme has completed and works on phase 2 are currently taking place. Strategic development of this scale and duration requires long-term vision and resilience.
- 3.4. NHHT's approach as a long-term owner and manager of property means that they are committed to building homes and communities that will last, as they will be maintaining and managing these developments for many years to come.
- 3.5. The JV LLP will be established with access to a strong team of in-house experts to deal with the required development, finance, project management and construction, and will also have access to a number of frameworks from which to source consultants to provide advice including design, planning, community engagement, site assembly, construction and facilities management.
- 3.6. Accordingly, the JVLLP will be well placed to undertake and deliver a scheme of this nature and scale.
- 3.7. Notting Hill has agreed in principle to form a new partnership with Genesis. The new organisation will be called Notting Hill Genesis. It will have circa 64,000 homes and 170,000 residents, and a stated turnover of about £700m with combined reserves of £3.1bn. This merger will not impact on the proposed JV LLP and the Notting Hill organisations mentioned are to remain in existence. Any later change in membership of the JV LLP (or in the identity of the

companies supporting it) would be from within the merged organisation and without diluting the Council's position.

4. Business Case

The Business Case will be attached to the Part B (Exempt Agenda) report.

4.1. Strategic Case

- 4.1.1. The vision for the Housing Zone is the transformation of a declining industrial area into a vibrant new residential community providing much needed new housing including family homes, plus social, physical and green infrastructure with access to public transport and employment opportunities.
- 4.1.2. The Rainham and Beam Park Housing Zone will deliver 3,500 new homes supported by a new 3FE primary school, new health facilities, local retail provision, a new rail station served by bus services and extensive green and open space provision and the creation of a linear park along the A1306 corridor.
- 4.1.3. The JVLLP intends to deliver at least 774 new homes including 35% affordable homes on 9 sites that the market is unlikely to be able to deliver comprehensive and high quality schemes. Without this intervention the existing low value commercial land uses would remain in place and infrastructure would not be improved. It will also not be possible to facilitate comprehensive residential development and any residential development that is brought forward is likely to be poor quality and piecemeal. It will fail to deliver the required mix, tenures or typology necessary to meet the objectives of the Housing Zone.
- 4.1.4. The 9 sites are currently in multiple, complex ownership and require assembly into developable plots in single ownership. To do this will require the support of a CPO to enable the acquisition of the land interests that cannot be acquired by private treaty. The making of the CPO will be the subject of a separate report to Cabinet in due course. It is vital that when making a CPO that there is robust evidence to confirm the deliverability of proposed schemes.
- 4.1.5. The primary purpose of the Council's participation in the JV is to secure the regeneration of the housing zone.
- 4.1.6. In the event that a proposed site does not achieve the minimum return to be agreed in the Overarching Business Case, the Council has the ability to consider reinvesting some or all of its share of the profit from the remainder of the scheme in order to secure that its overall regeneration objectives are met. This would be a decision to be made by the Council as a Member of the JV LLP (and not for the JV LLP Board); and would be entirely at the discretion of the Council.

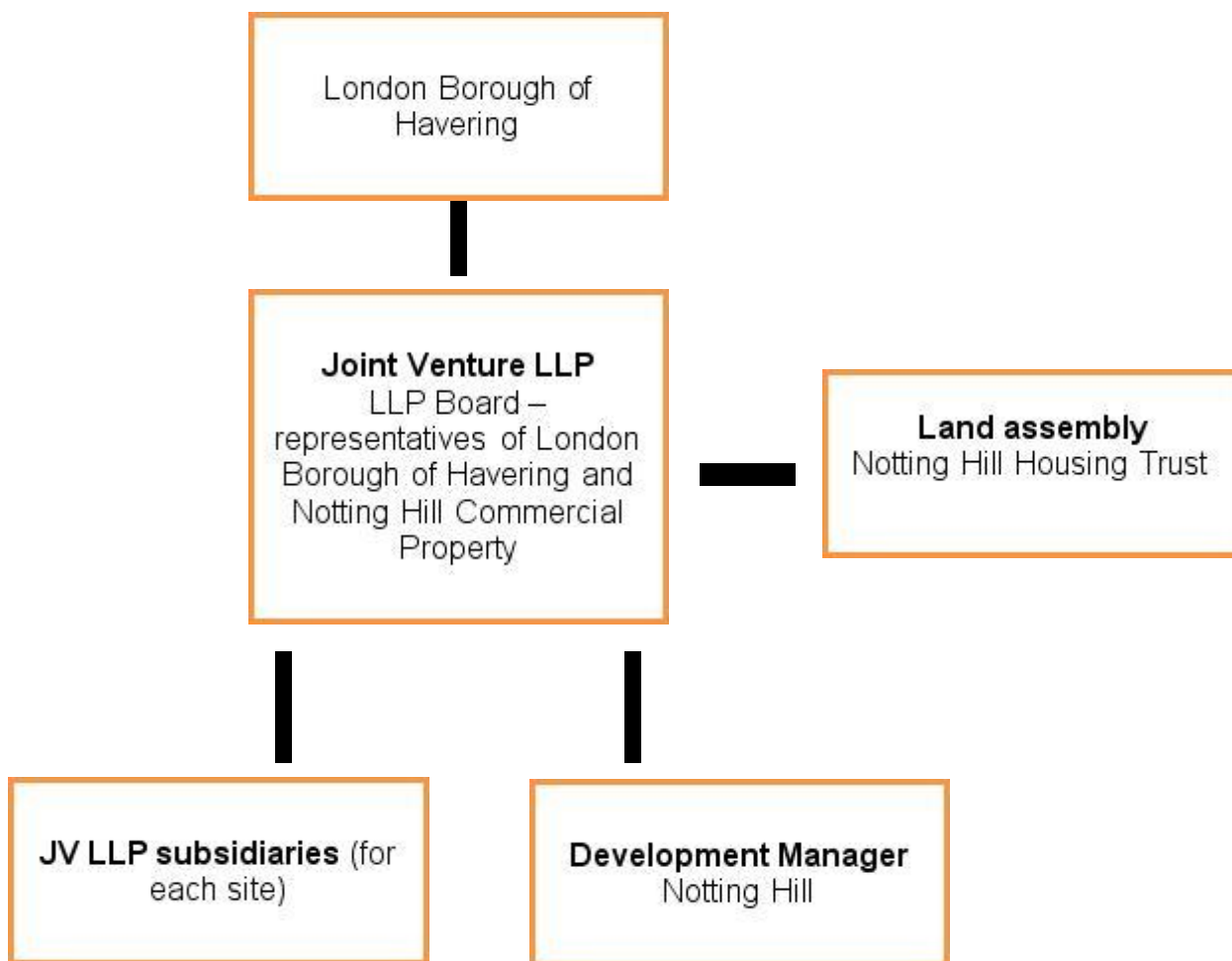
- 4.1.7. Based on current proposals the scheme is expected to deliver: more than 774 new homes, 35% of which will be affordable.
- 4.1.8. The total value of the scheme, including sales, is expected to be more than £250m. The schemes will generate local jobs and training opportunities, including 37 apprenticeships and 77 training places, during construction, new council tax income and s106 receipts.

4.2. Commercial Case

- 4.2.1. A viable procurement has been undertaken and a well-structured deal is being put in place
- 4.2.2. Following a procurement and selection exercise Notting Hill Housing Trust have been selected as preferred partner and it is proposed that the Council form a 50/50 joint venture with Notting Hill Commercial Properties, part of the Notting Hill Housing Trust Group (see section 3 above).
- 4.2.3. The objective of the JV will be to facilitate the delivery of schemes with the right mix, typology and quality to accord with the regeneration objectives of the Housing Zone, local, regional and national planning policy. The application of NHCP's experience in delivering both market and affordable homes will also improve the economic viability, amenity and visual appearance of the area.
- 4.2.4. It is proposed that Notting Hill Housing Trust conduct the necessary land assembly and that when complete this will be drawn down by the JV for development. Because NHHT is assisting with land assembly rather than taking development risk, all land assembled for the scheme will pass to the JV LLP, including where economic conditions have changed and/or a site may not meet the necessary conditions for development. Should this occur, the JV LLP will determine and implement the steps necessary to deal with the site.
- 4.2.5. NHCP and the Council will invest equally in the JV.

5. Proposed Joint Venture

- 5.1. The overall JV LLP structure and governance arrangements are represented in the diagram below and summarised in the Legal Summary appended to the exempt agenda report. Proposals for the Council's own governance arrangements across the regeneration programme will be made in a subsequent report to Cabinet.



5.2. This structure means that the JV LLP will be owned, funded, and managed on a 50/50 basis by the Council and Notting Hill (via its group member Notting Hill Commercial Property (“NHCP”). Decision-making will be by consensus and where there may be disagreement by escalation or reference to a suitable expert. The relationship between the two corporate members of the JV LLP (i.e. the Council and NHCP) will be regulated by a Members’ Agreement (equivalent to the Articles of a company). The Council and the JV LLP will also enter into an

agreement to regulate land assembly. The involvement of NHHT is beneficial from a tax point of view. The third key agreement is the Development Management agreement, under which Notting Hill will provide development management services to the JV LLP (against a specification of services and agreed payment terms). Finally, NHHT will indemnify the Council for its CPO costs under a CPO indemnity agreement; but with these costs ultimately being met by the JV LLP, and therefore 50% funded by the Council.

- 5.3. The legal agreements reflect how similar arrangements between councils and development partners have been structured and detailed. Both the parties to the JV LLP (the Council and NHCP) will be obliged to work together to pursue the regeneration objective for Rainham and Beam Park housing zone, supported by the development manager. The Members' Agreement ensures that conflicts of interest are declared and that neither member is able to deliberately frustrate the partnership. As private sector partner, NHCP are unable to sell their interest in the JV LLP to a third party without first offering that opportunity to the Council (and may not sell to persons unsatisfactory to the Council). The legal agreements all incentivise the partnership to operate in a manner designed to further the regeneration objectives of the Council.
- 5.4. The JV LLP will be acting as the developer of the scheme, funded by its two members (the Council and NHCP). As such, it will assume development risks, as well as sharing in any rewards. For example, the JV LLP will ultimately meet the CPO costs borne by NHHT under the CPO indemnity, and all land assembled for the scheme will transfer into the JV LLP (see paragraph 4.2.5 above). The land transfers will normally occur when a site is assembled and all the pre-conditions for development have been met. However, there will be "long-stop" dates by when land assembled must transfer into the JV LLP, irrespective of whether those conditions are met.

6. Over Arching Business Plan

- 6.1. The OABP governs the commercial approach required to deliver the programme. It sets the performance thresholds and expected returns resulting from the JV delivering the sites subject of this Business Case.
- 6.2. The OABP will be agreed annually. The scope of the first OABP will be consistent with the scope for land assembly required to provide the 10 sites referred to in this paper.
- 6.3. The OABP set out a financial strategy to assemble land and then deliver schemes within agreed financial tolerances, including surplus.
- 6.4. The JV once established will deliver schemes subject to the JV board agreeing viability.
- 6.5. Viability is determined through a Gateway process that will, amongst other matters, identify that schemes can deliver a minimum profitability on development value of market homes.
- 6.6. The financial strategy will also set out financial contributions required from Members and third parties.

- 6.7. Modelling of the proposed scope of the first OABP, has been undertaken based on a series of assumptions including the cost of land assembly, development costs including finance, and sales revenues. Each of these inputs has been subject to close review and it is determined, following professional advice, that these currently reflect figures representative of the current market or which are representative of uplift in land value and house prices achievable following a plan for comprehensive regeneration.
- 6.8. The modelling shows that development of each of the sites in accordance with the base case proposals is capable of achieving a positive return in accordance with the financial strategy.
- 6.9. The modelling is based on an assumed programme of site acquisition and whilst this might change the commercial targets will still need to be achieved.
- 6.10. The OABP, once agreed, will govern the ability of the DV to proceed with individual transactions; if proposals reach a Gateway stage and fall outside of the parameters set out and agreed within the OABP then the JV cannot proceed without further shareholder approval.
- 6.11. If the JV cannot proceed for any reason it will be obliged to mitigate any costs that arise until is capable of doing so.

REASONS AND OPTIONS

7. Reasons for the decision:

Supporting the Housing Zone:

- 7.1. By entering into a Joint Venture Limited Liability Partnership, the Council secures significant investment and specialism from the private sector whilst acquiring a degree of control over the scheme. The Council is therefore better placed to secure its regeneration objectives for the site than if it relied solely on its role as planning authority and its land assembly powers.
- 7.2. The Housing Zone Land Acquisition and Development Strategy supports a major component of the delivery of the Housing Zone objectives enabling the assembly of sites to catalyse and kick start comprehensive residential development. This will in turn encourage the market to come forward and participate in the delivery of high quality viable development schemes in the area. In order to deploy adequate financial and development resources necessary bring forward and implement the Land Acquisition and Development Strategy a Development Partner is required to work with the Council in a Joint Venture LLP.

Other options considered:

- 7.3. Not appointing a development partner to work with the Council to implement the Housing Zone Land Acquisition and Development Strategy, would not enable the Council to acquire the land necessary to promote comprehensive residential

development in the A1306 gateway. Without this intervention the existing low value commercial land uses would remain in place and infrastructure would not be improved. It would also not be possible to facilitate comprehensive residential development and any residential development brought forward would more likely be of poor quality and piecemeal. Alternative strategies would fail to deliver the required mix of tenures or typology necessary to meet the objectives of the Housing Zone. Working alone, the Council would not be able to adequately evidence the deliverability of these sites, and the risk of failure to confirm the CPO at inquiry would be high. A development partner is required that can assist with land assembly, scheme delivery, and the CPO process. The selected approach provides a robust delivery model supported by a partner with market knowledge and experience of delivering large scale housing programmes, including homes for market sale in a competitive environment.

IMPLICATIONS AND RISKS

8. Financial implications and risks:

- 8.1. The report seeks Cabinet approval in principle to invest capital into a Limited Liability Partnership to contribute to the delivery of the Rainham and Beam Park Housing Zone through the development of at least 774 new homes with 35%, at least 270, affordable units. This investment is in excess of the available budget within the Approved Capital Programme and falls outside the approved Treasury Management Strategy. It will therefore require consideration and approval by Full Council. Therefore, subject to Cabinet approval of the recommendations within this report, the scheme will be included in the proposed capital programme to be considered as part of the 2018/19 budget process and will be subject to approval of the Capital Programme and Treasury Management Strategy in February 2018.
- 8.2. A revenue surplus for the Council is forecast as a result of this regeneration scheme after meeting capital financing costs of borrowing.
- 8.3. The financial details are contained within the exempt agenda report.

9. Legal implications and risks:

- 9.1. The Council entered negotiations with Notting Hill after carrying out a competitive process, with a view to forming a limited liability partnership to carry out the comprehensive redevelopment of the Rainham and Beam Park housing zone. The Council is acting lawfully under the Public Contracts Regulations 2015 ("the PCR) in not adopting an OJEU procurement approach to select Notting Hill because the main object of the transaction is the assembly and transfer of land into the JVLLP for development, subject to planning. The object of the Council and the agreements to be entered into is not the carrying out of specified works through legally enforceable obligations to do so.
- 9.2. Where a council procures works and services above a threshold value, a competitive process under the PCR would normally be required, unless there

are lawful exceptions to that requirement under the PCR and case law. The sale or purchase of land by a local authority is not subject to the PCR. On legal advice, the Council may regard this transaction as being equivalent to a land transaction because there will be no binding obligations on the JVLLP to carry out specified works.

- 9.3. In the case of this project, any land transfers from the Council to the JVLLP will be for the purpose of the land assembly by the JVLLP, at full value, and without development agreement obligations to carry out specified works.
- 9.4. The JVLLP will not be a contracting authority for the purposes of the PCR because it will not meet the definition of a "body governed by public law". This means that the JVLLP will not itself be required to comply with the PCR in placing contracts for services or works; meaning that such contracts do not necessarily need to be procured by way of OJEU under the PCR. However, to give assurance that the redevelopment is conducted in a way which ensures value for money, the JVLLP will adopt a procurement policy with value for money objectives.
- 9.5. Under the Council's constitution, there is a general requirement to follow EU competitive tendering requirements. However, paragraph 14.6.5 of the Council's Contracts Procedure Rules exempts the Council from compliance where there is a specific exemption under EU law (as there is in this case).

Powers

- 9.6. Members are advised that the Council may rely upon the General Power of Competence ("general power") provided for in Section 1 of the Localism Act 2011 to pursue the proposed development scheme and related contractual structure with Notting Hill. Other statutory powers enable the making of the CPO. The general power is a wide power which allows the Council to do anything that an individual may do (subject to public law principles), but it is subject to certain statutory limitations.
- 9.7. Section 4 of the Localism Act 2011 provides that if the Council is exercising the general power for a commercial purpose then it must do so using a company. For this project the Council is proposing to enter into a joint venture arrangement with NHCP by way of the JVLLP. This approach is permissible because the Council's primary purposes in being a corporate member in the JVLLP are non-commercial and socio-economic in nature. The primary purpose behind the joint venture, and setting up of the JVLLP, is to deliver the Rainham and Beam Park Housing Zone project, by way of housing development (to include affordable housing).
- 9.8. There is no current case law on the parameters of section 4 and what amounts to a "commercial purpose" in the circumstances, although many other local authorities have, on legal advice (including by way of Counsel's opinion), established LLPs on the basis of a regeneration purpose. There is currently a legal challenge against another local authority on their use of an LLP, although the facts are not the same as this matter. The outcome of that case is awaited and any implications will be evaluated.

- 9.9. Sections 8 and 9 of the Housing Act 1985 impose a duty on local authorities to review housing needs in their district and provides them with related powers to provide housing accommodation by building and acquiring houses or by converting other buildings into houses. These powers can include provision via third parties.
- 9.10. Section 123 of the Local Government Act 1972 provides the Council with the power to dispose of non-housing land for best consideration. The Council will therefore need to demonstrate its compliance with section 123 when transferring, if any, land into the JVLLP. In order to demonstrate full compliance with section 123, the Council will need to take any necessary further independent valuation advice where necessary throughout the delivery of the project. However, the agreed position with Notting Hill is that land will transfer a full value and therefore in accordance with section 123.
- 9.11. The Members' Agreement will allow for the JVLLP to set up subsidiaries to undertake site developments, by the agreement of the JVLLP's members. This approach may be beneficial for the purposes of raising finance in a cost-efficient way. Any such subsidiary would be subject to prior approval of both JVLLP members (i.e. by the Council and NHCP). The establishment of subsidiaries will be lawful for both the Council and the JVLLP, where supported by a Business Plan in furtherance of the regeneration of Rainham and Beam Park Housing Zone and therefore the purpose for which the JVLLP is established.

State aid

- 9.12. State aid legal compliance will be managed on an ongoing basis. All land assembly will be funded on the basis that full value is paid so as to avoid a transaction being deemed to include the grant of state aid. Transfer at an open market value based on an independent valuation will comply with these guidelines.
- 9.13. The Council intends to invest on commercial terms that would be acceptable to a prudent private sector investor in the same circumstances. In doing so, the Council may rely upon the Market Economy Investor Principle and the proposed structure (contractual and investment) should be kept under review as the project progresses to make sure that the Council's investment (by way of either land or finance), is always State aid compliant.
- 9.14. GLA funding will be used to support the development, via an agreement made between Notting Hill and the GLA, and it will be for both NHCP and the JVLLP to ensure that (i) the GLA funding is only used in accordance with any specific requirements in the funding agreement (for example, to only apply the funding to any specified permitted costs), and (ii) that all such funding is State aid compliant (as required by the GLA).

General

- 9.15. The Council has taken external legal advice regarding its overall approach to the project and has been advised that the Council is acting lawfully, and that the legal structure is appropriate for the transaction. Public law constraints will apply to the project, including the Council's fiduciary duty to act prudently with public monies entrusted to it. The Council therefore must establish (and maintain a full

audit trail to support) that the project and its various components are 'intra vires' and that the decision to undertake the project is made after having given due and proper consideration to all relevant factors (disregarding irrelevant factors) and in accordance with normal public law considerations.

- 9.16. The JVLLP is a separate legal entity and as such has legal capacity to make planning applications and appeal adverse decisions. However, the Council will need to be mindful of the essential need to separate its decision-making (in its capacity as a member of the JVLLP) from its functions as a planning authority. This also has bearing on the appointment of nominees to the JVLLP's board.

Risks

- 9.17. The principle risks in the project are as follows:

- i. **Other forms of legal challenge** – It is always possible for third parties to make challenge under judicial review to attempt to halt progress with projects of this kind, and this risk cannot be ruled out entirely. However, the legal advice that the Council has obtained confirms the lawfulness of the proposed arrangement and the statutory powers being relied on.
- ii. **Commercial** – The project is structured as a joint venture and, as such, the Council should recognise that it will be acting as a stakeholder in the JVLLP, and taking a share of the development risk in the project. These risks would include the normal development risks, such as JVLLP or joint venture partner defaults or insolvency, market collapse, delay in land assembly, planning and CPO delay (including highways, stopping up, etc.). The Council's exposure to these types of risks will be limited to the extent of its investment in the JVLLP. Also, the decision making and business planning structure of the JVLLP enables the Council to participate in decisions at both board and corporate member level.

- 9.18. Any joint venture arrangement, especially where parties establish a joint venture vehicle, involves complex and detailed legal commitments, which are intended to last the duration of the development scheme. Were one of the Parties to withdraw or alter the arrangement without agreement this would have considerable complex legal consequences that would almost certainly involve irrecoverable costs.

- 9.19. The exempt agenda report contains a detailed legal summary on the JV LLP relationship that contains information that is of a commercial and financially sensitive basis.

10. Human Resources implications and risks:

- 10.1. The Rainham JVLLP project will require continued involvement of officers from the Development team and other Council services. The Rainham and Beam Park Housing Zone forms part of the Council's overall regeneration programme and a separate report setting out the Director of Neighbourhood Services' proposed arrangements will be presented to Cabinet in January 2017.

11. Equalities implications and risks:

- 11.1. The Rainham and Beam Park Housing Zone will unlock significant investment for housing – both market and affordable – and enable key infrastructure in South Hornchurch and Rainham and Wennington Wards which are among the most deprived in the Borough and London.
- 11.2. The allocation of affordable housing would be subject to the Council's Allocation Scheme and any local lettings policies that would be drawn up to promote Rainham and South Hornchurch residents' interests. Thus, delivery of affordable housing would benefit some of the borough's most disadvantaged residents. The new homes built would include a proportion of homes built to lifetime homes and disabled living standards.
- 11.3. Investment in new transport, schools and leisure facilities would ensure that those living in the south of the borough benefit from improvements in amenities without needing to travel to other parts of the borough, incurring costs and inconvenience.
- 11.4 The needs of disabled people and carers will be an integral feature of housing stock, allocation and lettings policies. No 'protected' group will be disadvantaged by the developments, however, where there is the possibility of a negative impact, a full Equality Impact Assessment will be carried out.

BACKGROUND PAPERS

Joint Venture Development Sites



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Joint Venture Development Sites



Scale: 1:4500
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