

## Executive

Tuesday 23 March 2010  
7.00 pm  
Town Hall, Peckham Road, London SE5 8UB

### Membership

Councillor Nick Stanton  
Councillor Kim Humphreys  
Councillor Paul Kyriacou  
Councillor Linda Manchester  
Councillor Tim McNally  
Councillor Adele Morris  
Councillor David Noakes  
Councillor Paul Noblet  
Councillor Lisa Rajan  
Councillor Lewis Robinson

### Portfolio

Leader of the Council  
Deputy Leader and Housing  
Environment  
Community Safety  
Resources  
Citizenship, Equalities and Communities  
Executive Member for Health and Adult Care  
Regeneration  
Children's Services  
Culture, Leisure and Sport

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### Contact

Everton Roberts on 020 7525 7221 or Paula Thornton on 020 7525 4395 or email: [everton.roberts@southwark.gov.uk](mailto:everton.roberts@southwark.gov.uk); [paula.thornton@southwark.gov.uk](mailto:paula.thornton@southwark.gov.uk)  
Webpage: <http://www.southwark.gov.uk>

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Members of the committee are summoned to attend this meeting

### Councillor Nick Stanton

Leader of the Council  
Date: 15 March 2010



# Executive

Tuesday 23 March 2010  
7.00 pm  
Town Hall, Peckham Road, London SE5 8UB

## Order of Business

Item No.	Title	Page No.
	<b>PART A - OPEN BUSINESS</b>	
	<b>MOBILE PHONES</b>	
	Mobile phones should be turned off or put on silent during the course of the meeting.	
<b>1.</b>	<b>APOLOGIES</b>	
	To receive any apologies for absence.	
<b>2.</b>	<b>NOTIFICATION OF ANY ITEMS OF BUSINESS WHICH THE CHAIR DEEMS URGENT</b>	
	In special circumstances, an item of business may be added to an agenda within five clear working days of the meeting.	
<b>3.</b>	<b>DISCLOSURE OF INTERESTS AND DISPENSATIONS</b>	
	Members to declare any personal interests and dispensation in respect of any item of business to be considered at this meeting.	
<b>4.</b>	<b>PUBLIC QUESTION TIME (15 MINUTES)</b>	
	To receive questions from members of the public which have been submitted in advance of the meeting in accordance with the executive procedure rules.	
<b>5.</b>	<b>MINUTES</b>	1 - 12
	To approve as a correct record the Minutes of the open section of the meetings held on 9 and 15 February 2010.	

<b>Item No.</b>	<b>Title</b>	<b>Page No.</b>
<b>6.</b>	<b>DEPUTATION REQUESTS</b>	13 - 14
	To consider a deputation request from the Dulwich Park Friends Group in respect of a park manager re-organisation.	
<b>7.</b>	<b>ADMISSION ARRANGEMENTS FOR COMMUNITY PRIMARY SCHOOLS, NURSERY SCHOOLS AND CLASSES - SEPTEMBER 2011</b>	15 - 27
	To agree the primary community schools, nursery schools and nursery classes admissions criteria for 2011 and to note the improvements to the school admissions process.	
<b>8.</b>	<b>SOUTHWARK SECONDARY, PRIMARY AND IN YEAR ADMISSION SCHEMES 2011</b>	28 - 67
	To agree the secondary, primary and in year coordinated admissions schemes for 2011.	
<b>9.</b>	<b>REVENUE MONITORING 2009-10 - QUARTER 3</b>	68 - 90
	To note the updated quarter three revenue monitoring report for the general fund and housing revenue account as at 31 January 2010 and to also note that ongoing and unavoidable cost pressures have been addressed through the 2010-11 budget process.	
<b>10.</b>	<b>LOCAL AREA AGREEMENT REFRESH</b>	91 - 98
	To agree the proposed changes to the Local Area Agreement resulting from negotiations between officers and civil servants.	
<b>11.</b>	<b>SOUTHWARK'S ALCOHOL STRATEGY 2009-2012</b>	99 - 144
	To consider the priorities and recommendations set out in the proposed Safer Southwark Partnership Alcohol Strategy 2010/12.	
<b>12.</b>	<b>SOUTHWARK CIRCLE - A BRIEF UPDATE - SCRUTINY REVIEW (HEALTH AND ADULT CARE SCRUTINY SUB-COMMITTEE)</b>	145 - 155
	To consider a report from the health and adult care scrutiny sub-committee in relation to a scrutiny review on Southwark Circle.	
<b>13.</b>	<b>GATEWAY 1 - TO PROVIDE CARE AND SUPPORT SERVICES IN EXTRA CARE SHELTERED HOUSING</b>	156 - 168
	To approve the procurement strategy to provide care and support services in extra care sheltered housing in Southwark.	

<b>Item No.</b>	<b>Title</b>	<b>Page No.</b>
<b>14.</b>	<b>NEW AYLESBURY TRUST</b>	169 - 171
	To agree to the winding up of the Aylesbury Regeneration Steering Group and to consider making 3 appointments to the New Aylesbury Trust Limited.	
<b>15.</b>	<b>MOTIONS REFERRED FROM COUNCIL ASSEMBLY 27 JANUARY 2010</b>	172 - 178
	To consider motions referred from council assembly on the following:	
	<ul style="list-style-type: none"> <li>• Social Care in Southwark</li> <li>• Local Rail Services</li> <li>• Improving Public Transport on the River</li> </ul>	
<b>16.</b>	<b>SOUTHWARK SCHOOLS FOR THE FUTURE: BSF PHASE 3</b>	179 - 193
	To approve the submission of the phase 3 Stage 0 submission to Partnerships for Schools and associated issues.	
<b>17.</b>	<b>GATEWAY 2 - CONTRACTS AWARD APPROVAL - HOUSING MAJOR WORKS CONTRACTS</b>	194 - 213
	To approve the contracts award for housing major works contracts.	
<b>18.</b>	<b>ELEPHANT AND CASTLE REGENERATION AGREEMENT - UPDATE REPORT</b>	214 - 217
	To note the progress made in connection with the Elephant and Castle Regeneration Project.	

**DISCUSSION OF ANY OTHER OPEN ITEMS AS NOTIFIED AT THE START OF THE MEETING.**

**EXCLUSION OF PRESS AND PUBLIC**

The following items are included on the closed section of the agenda. The Proper Officer has decided that the papers should not be circulated to the press and public since they reveal confidential or exempt information as specified in paragraphs 1 – 7, Access to Information Procedure Rules of the Constitution. The specific paragraph is indicated in the case of exempt information.

The following motion should be moved, seconded and approved if the executive wishes to exclude the press and public to deal with reports revealing exempt information:

**Item No.**

**Title**

**Page No.**

“That the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in paragraphs 1 – 7, Access to Information Procedure Rules of the Constitution.”

**PART B - CLOSED BUSINESS**

**19. MINUTES**

To approve as a correct record the Minutes of the closed section of the meetings held on 9 and 15 February 2010.

**20. SOUTHWARK SCHOOLS FOR THE FUTURE - BSF PHASE 3**

**21. GATEWAY 2 - CONTRACTS AWARD APPROVAL - HOUSING MAJOR WORKS CONTRACTS**

**22. ELEPHANT AND CASTLE REGENERATION AGREEMENT - UPDATE REPORT**

Date: 15 March 2010



## Executive

MINUTES of the OPEN section of the Executive held on Tuesday 9 February 2010 at 7.00 pm at Town Hall, Peckham Road, London SE5 8UB

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**PRESENT:** Councillor Nick Stanton (Chair)  
Councillor Kim Humphreys  
Councillor Paul Kyriacou  
Councillor Linda Manchester  
Councillor Tim McNally  
Councillor Adele Morris  
Councillor David Noakes  
Councillor Paul Noblet  
Councillor Lisa Rajan  
Councillor Lewis Robinson

### 1. APOLOGIES

All members were present.

### 2. NOTIFICATION OF ANY ITEMS OF BUSINESS WHICH THE CHAIR DEEMS URGENT

The chair gave notice that the following late item would be considered for reasons of urgency, to be specified in the relevant minute:

- Outcome of the consultation process on the proposed permanent enlargement of Sacred Heart School and provision of a special needs unit.

### 3. DISCLOSURE OF INTERESTS AND DISPENSATIONS

Councillor Kim Humphreys declared a personal non-prejudicial interest in item 13, Draft Bankside, Borough and London Bridge Opportunity Area Supplementary Planning Document as he had a registered interest in a property within the area.

### 4. PUBLIC QUESTION TIME (15 MINUTES)

There were no public questions.

## 5. MINUTES

### RESOLVED:

That the open minutes of the meeting held on 26 January 2010 be agreed as a correct record and signed by the Chair.

## 6. PROPOSED CHILDREN AND YOUNG PEOPLE'S PLAN 2010-13

### RESOLVED:

1. That the proposed new Children and Young People's Plan (CYPP) for 2010 to 2013 and its implications for the council be noted.
2. That it be noted that this proposed Children and Young People's Plan will be subject to final partner and public consultation, as set out in paragraphs 28 and 29 of the report, with publication by April 2010.
3. That it be noted that the Children and Young People's Plan will be subject to new statutory guidance, expected later this year, which may require revisions to these proposals.
4. That council assembly be recommended following completion of partner and public consultation to formally adopt the proposed CYPP as Southwark Council's key policy framework document for children and young people.

**NOTE:** In accordance with the budget and policy framework this recommendation will be referred to council assembly for decision.

## 7. HEALTH INEQUALITIES STRATEGY

### RESOLVED:

That the strategy for reducing health inequalities in Southwark as set out in the report and appendix be approved.

## 8. SOUTHWARK CCTV STRATEGY

### RESOLVED:

1. That the Southwark CCTV Strategy (appendix 1 to the report) and the following key recommendations be agreed:
  - To establish improved measures to monitor performance and the cost effectiveness of CCTV in Southwark.
  - To work with other public space CCTV schemes to improve co-ordination and

explore potential for sharing costs.

- To seek external capital investment to provide a more effective Southwark CCTV system which will reduce revenue costs, improve performance and be able to respond more flexibly to intelligence led deployment.
- To establish independent auditing of the CCTV monitoring suite.
- To develop a CCTV communications plan to support the CCTV Strategy. This will be incorporated within the Community Safety communications plan for 2010/11.

## **9. GATEWAY 1: ARCHITECT AND LEAD CONSULTANT FRAMEWORK AGREEMENT**

### **RESOLVED:**

That the procurement strategy outlined in the report for the procurement of the Architect and Lead Consultant Framework Agreement be approved.

## **10. REVENUE FINAL OUTTURN REPORT 2008/9**

### **RESOLVED:**

1. That the following be noted:

- the favourable General Fund outturn for 2008/09 and the net contribution to reserves;
- the Housing Revenue Account's (HRA) outturn for 2008/09 being in line with budget;
- achievements of budgeted targets for the year for growth, commitments and savings; and
- the Collection Fund's year-end surplus balance.

## **11. POLICY AND RESOURCES STRATEGY 2010/11 TO 2012/13 -THE 2010/11 REVENUE BUDGET (THE BUDGET AND POLICY FRAMEWORK) AND MEDIUM TERM RESOURCES STRATEGY**

### **RESOLVED:**

1. That a balanced budget for 2010/11 for recommendation to council assembly on 23 February 2010 as set out in paragraph 18 and appendices A to D of the report, based on a council tax increase of 0%, which is in line with local policy priorities be agreed.
2. That the updated Medium Term Resources Strategy (MTRS) as set out in Appendix E of the report be agreed.
3. That in view of the current economic climate and uncertainty with regards future grant settlements, the finance director and other chief officers be instructed to closely monitor and review business and budget plans and processes.



**NOTE:** In accordance with the budget and policy framework recommendation 1 will be referred to council assembly for decision.

## **12. CAPITAL PROGRAMME MONITORING REPORT AND REFRESH - 10 YEAR CAPITAL PROGRAMME**

### **RESOLVED:**

1. That the current monitoring position for the capital programme 2009/10 – 2015/16 for both the General Fund (as at September 2009) and Housing Investment Programme (as at November 2009) be noted. See appendices A and B of the report respectively.
2. That the current situation with the updated primary school programme as described within paragraphs 26-35 of the report be noted.
3. That for the General Fund, the level of forecast capital resources projected for the period 2009-18 (£593m) compared to the current estimated cost of the existing programme (£490m), an increase of £103m in new resources be noted.
4. That the value of the new capital bids under review (£174m, General Fund only), see appendix C of the report be noted.
5. That the list of contractual obligations, health and safety pressures and identified high priorities including invest to save schemes (appendix C items 1-14 costing £58.2m) be funded from new capital reserves.
6. That the finance director provide more detailed options analysis and financial appraisals on the remaining bids received (items 15-34 costing £115m) for future consideration by the executive in the context of resources available and considering any additional resources which can be identified.
7. That the current position regarding the Elephant and Castle regeneration scheme and the signing of the Heads of Terms paper with the partner organisation Lend Lease be noted.
8. That the finance director submit quarterly monitoring reports to the executive in line with revenue monitoring to include regular updates on resource planning and availability to fund the programme and emerging priorities.
9. That the analysis of the overall position regarding resources and commitments be noted (see appendix D of the report) and that it also be noted that work is in progress to fully justify the position and will form part of the follow-up report in conjunction with point 6 above.
10. That the increased funding pressures for the Housing Investment Programme (outlined in paragraph 58 of the report) which have resulted in slippage to the programme in the short-term be noted and that efforts will be made to correct the slippage in the light of the longer term resourcing strategy.

### 13. DRAFT BANKSIDE, BOROUGH AND LONDON BRIDGE OPPORTUNITY AREA SUPPLEMENTARY PLANNING DOCUMENT

An addendum report was circulated in respect of this item.

#### RESOLVED:

1. That the draft Bankside, Borough and London Bridge Supplementary Planning Document (BBLB SPD) (Appendix A); and the following listed documents be noted:
  - Consultation Plan and Consultation Report (Appendix B)
  - Sustainability Appraisal (Appendix C)
  - Equalities Impact Assessment (EqIA) (Appendix D)
  
2. That the comments of the planning committee on the consultation report (Appendix B) be noted and the suggested changes set out in table 1 of the report and addendum be agreed with the following exceptions:
  - **Not agreed.** Recommendation to include Southwark Cathedral and environs as a priority for public realm improvements (reference page 41, 4.2.7 and page 77, 6.4.2).
  - **Not agreed.** Add at end of 1<sup>st</sup> paragraph: “and near Bankside Gallery” (reference page 31, 4.1.8).
  - **Amend.** Reconnect Upper Ground to Hopton Street/Holland Street allowing direct cycle link. Delete reference to cycle link and it be noted that this change cannot happen until development takes places (reference page 37, 4.2.3).
  
3. That the draft Bankside, Borough London Bridge Supplementary Planning Document be approved for consultation.

### 14. HEYGATE REHOUSING: COMPULSORY PURCHASE ORDERS

Appendix 4 containing additional advice was circulated in respect of this item.

#### RESOLVED:

1. That two compulsory purchase orders be made under section 226 (1) of the Town & Country Planning Act 1990 (as amended by section 99 of the Planning and Compulsory Purchase Act 2004) and section 13 of the Local Government (Miscellaneous Provisions) Act 1976 for the acquisition of the land and new rights within the areas edged red and shown as sites one and two on the plan at appendix one of the report for the purpose of securing the regeneration of the Heygate Estate in accordance with the provisions of the Southwark Plan.
  
2. That the head of property be authorised to:

- a) take all necessary steps to secure the making, confirmation and implementation of the compulsory purchase orders including the publication and service of all notices and the presentation of the Council's case at Public Inquiry should one be called.
  - b) to acquire all interests in land within the compulsory purchase order areas either by agreement or compulsorily.
  - c) approve agreements with land owners setting out the terms for the withdrawal of objections to the Orders, including where appropriate seeking exclusion of land from the Orders and
  - d) amend the boundaries of the Sites shown edged red on the plan at Appendix One should the need arise.
3. That the resolution passed by major projects board on 30 July 2007 to make a compulsory purchase order covering a wider area be withdrawn.

## 15. AYLESBURY PHASE 1 COMPULSORY PURCHASE ORDERS

### RESOLVED:

1. That three or more compulsory purchase orders be made ("Order[s]") under section 226 (1) of the Town & Country Planning Act 1990 and section 13 of the Local Government (Miscellaneous Provisions) Act 1976 for the acquisition of the land and new rights within the areas edged red on the plan at appendix one of the report for the purpose of securing the regeneration of the Aylesbury Estate in accordance with the provisions of the Aylesbury Area Action Plan.
2. That the head of property be authorised to:
  - a) determine and implement the optimum number of Order[s] to deliver the overall regeneration aspiration.
  - b) take all necessary steps to secure the making, confirmation and implementation of the Order[s] including the publication and service of all notices and the presentation of the council's case at Public Inquiry should one be called.
  - c) acquire interests in land within the Order[s] areas either by agreement or compulsorily.
  - d) approve agreements with land owners setting out the terms for the withdrawal of objections to the Order[s], including where appropriate seeking exclusion of from the Order[s].
  - e) amend the boundaries of the area shown edged red on the plan at appendix one of the report.

**16. AUTHORITY TO PURCHASE LEASEHOLD INTERESTS IN LAKANAL HOUSE, SCEAUX GARDENS, CAMBERWELL**

**RESOLVED:**

1. That the acquisition by agreement of all residential leaseholds in Lakanal House Camberwell be authorised.
2. That the head of property agree terms for the purchase of the individual properties.

**17. APPOINTMENT OF DEVELOPMENT PARTNER AND DISPOSAL OF COUNCIL LAND AT WOODDENE SE15**

**RESOLVED:**

1. That the disposal of the Wooddene site on the main terms and conditions that are set out in the closed report be approved.
2. That the head of property be authorised to agree any variations to these terms that may be necessary to achieve the successful regeneration of the Wooddene Site.
3. That in the unlikely event that this proposed sale to the recommended developer does not proceed to exchange, the head of property be authorised to agree the terms of a sale with the under-bidders set out in the closed report or failing such to re-market the site within such further timetable as deemed necessary, provided that such terms conform with the council's legal obligation to achieve the best consideration reasonably obtainable.
4. That the capital receipt from the sale of the property be recycled into the council's housing investment programme.

**18. ABBEYFIELD ESTATE - OPTIONS FOR INVESTMENT REPORT**

It was agreed to consider this item at a reconvened meeting of the executive on Monday 15 February 2010 at 5pm to be held at 160 Tooley Street, London SE1 2TZ.

**19. DISPOSAL OF THE COUNCIL'S FREEHOLD INTEREST IN SITES ELMINGTON A AND B, EDMUND STREET, CAMBERWELL, LONDON SE5**

**RESOLVED:**

1. That the disposal of Elmington sites A and B on the main terms and conditions that are set out in the closed report be approved.
2. That the head of property be authorised to agree any variations to these terms that may be necessary to achieve the successful regeneration of Elmington sites A and B.

3. That in the unlikely event that this recommended sale does not proceed to exchange, the head of property be authorised to agree the terms of a sale with any one or combination of the under bidders set out in the closed report and/or any other third party, provided that these terms conform with the council's legal obligation to achieve the best consideration reasonably obtainable.
4. That the capital receipt from the sale of the property be recycled into the council's Housing Investment Programme.

**20. OUTCOME OF THE CONSULTATION PROCESS ON THE PROPOSED PERMANENT ENLARGEMENT OF SACRED HEART SCHOOL AND PROVISION OF A SPECIAL NEEDS UNIT**

This item had not been circulated 5 clear days in advance of the meeting. The chair agreed to accept the item as urgent because the statutory notice needed to be determined before two months from the end of the notice period i.e. 25 February 2010 or the decision would be passed to the Adjudicator.

**RESOLVED:**

1. That the proposal to permanently enlarge Sacred Heart RC Secondary school from four to five forms of entry by an increase in its admission number from 120 to 150 from 1 September 2013 be agreed.
2. That the proposal to provide a 25 place Special Education Needs (SEN) resourced unit at Sacred Heart RC Secondary school from 1 September 2013 be agreed.

**21. ELEPHANT AND CASTLE REGENERATION AGREEMENT - UPDATE REPORT**

**RESOLVED:**

That the progress made in connection with the Elephant and Castle Regeneration Project be noted.

**EXCLUSION OF PRESS AND PUBLIC**

It was moved, seconded and

**RESOLVED:**

That the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in category 1,2, 3, & 5 of paragraph 10.4 of the Access to Information Procedure Rules of the Southwark Constitution.

The following is a summary of the decisions taken in the closed section of the meeting.

## 22. MINUTES

The closed minutes of the meeting held on 26 January 2010 were agreed as a correct and signed by the Chair.

## 23. AUTHORITY TO PURCHASE LEASEHOLD INTERESTS IN LAKANAL HOUSE, SCEAUX GARDENS, CAMBERWELL

The executive considered closed information in respect of this item. The open decision is set out in item 16 above.

## 24. APPOINTMENT OF DEVELOPMENT PARTNER AND DISPOSAL OF COUNCIL LAND AT WOODDENE PECKHAM HIGH ST / QUEENS ROAD PECKHAM SE15

The executive considered the closed information relating to this item. See item 17 above.

## 25. ABBEYFIELD ESTATE - OPTIONS FOR INVESTMENT

It was agreed to consider this item at a reconvened meeting of the executive on Monday 15 February 2010 at 5.00pm to be held at 160 Tooley Street, London SE1 2TZ.

## 26. DISPOSAL OF THE COUNCIL'S FREEHOLD INTEREST IN SITES ELMINGTON A AND B, EDMUND STREET, CAMBERWELL, LONDON SE5

The executive considered the closed information relating to this item. See item 19 above for decision.

**CHAIR:**

**DATED:**

The meeting ended at 9.10pm

**DEADLINE FOR NOTIFICATION OF CALL-IN UNDER SECTION 21 OF THE OVERVIEW AND SCRUTINY PROCEDURE RULES IS MIDNIGHT, 17 FEBRUARY 2010.**

**THE ABOVE DECISIONS WILL NOT BE IMPLEMENTABLE UNTIL AFTER THAT DATE. SHOULD A DECISION OF THE EXECUTIVE BE CALLED-IN FOR SCRUTINY, THEN THE RELEVANT DECISION WILL BE HELD IN ABEYANCE PENDING THE OUTCOME OF SCRUTINY CONSIDERATION.**



## Executive

MINUTES of the OPEN section of the Executive meeting held on Monday 15 February 2010 at 5.00pm at 160 Tooley Street, SE1 2TZ (reconvened from the meeting held on 9 February 2010).

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**PRESENT:** Councillor Nick Stanton (Chair)  
Councillor Kim Humphreys  
Councillor Paul Kyriacou  
Councillor Linda Manchester  
Councillor Tim McNally  
Councillor Adele Morris

### 1. APOLOGIES

Apologies for absence were received from Councillors David Noakes, Paul Noblet, Lisa Rajan and Lewis Robinson.

### 2. NOTIFICATION OF ANY ITEMS OF BUSINESS WHICH THE CHAIR DEEMS URGENT

There were no additional late items.

### 3. DISCLOSURE OF INTERESTS AND DISPENSATIONS

There were no disclosures of interests or dispensations.

### 4. ABBEYFIELD ESTATE - OPTIONS FOR INVESTMENT REPORT

An addendum report containing revised recommendations was circulated at the meeting.

The executive agreed to hear a deputation from some of the residents of Maydew House, Abbeyfield Estate. The deputation spokesperson Ms Patricia Cordosa outlined the concerns of the residents in respect of the consultation process, and the Council's proposal to rehouse the residents and to market for sale and refurbish Maydew House.

Following the deputation, the members asked questions of the deputation and officers. The Chair also allowed questions/statements from residents.

**RESOLVED:**

That officers:

- 1 Provide an information pack on all considered options to Maydew residents, together with individual consultation of residents on their housing preferences.
- 2 Carry out further feasibility work and report back on investment and regeneration options for the wider Abbeyfield Estate.
- 3 Report back to executive in June 2010 on the outcome of 1 and 2 above.
- 4 Investigate further the possibility of early moves for those who have already registered for housing transfer.

**EXCLUSION OF PRESS AND PUBLIC**

It was moved, seconded and

**RESOLVED:**

That the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in category 3 of paragraph 10.4 of the Access to Information Procedure Rules of the Southwark Constitution.

The following is a summary of the decisions taken in the closed section of the meeting.

**5. ABBEYFIELD ESTATE - OPTIONS FOR INVESTMENT REPORT**

The executive noted the information contained in the closed report.

The meeting ended at 6.05pm

**CHAIR:**

**DATED:**



**DEADLINE FOR NOTIFICATION OF CALL-IN UNDER SECTION 21 OF THE OVERVIEW AND SCRUTINY PROCEDURE RULES IS MIDNIGHT, TUESDAY 23 FEBRUARY 2010.**

**THE ABOVE DECISIONS WILL NOT BE IMPLEMENTABLE UNTIL AFTER THAT DATE. SHOULD A DECISION OF THE EXECUTIVE BE CALLED-IN FOR SCRUTINY, THEN THE RELEVANT DECISION WILL BE HELD IN ABEYANCE PENDING THE OUTCOME OF SCRUTINY CONSIDERATION.**

<b>Item No.</b>	<b>Classification:</b> Open	<b>Date:</b> 23 March 2010	<b>Meeting Name:</b> Executive
<b>Report title:</b>		Deputation Requests	
<b>Ward(s) or groups affected:</b>		All	
<b>From:</b>		Strategic Director of Communities, Law & Governance	

## RECOMMENDATIONS

1. That the executive consider whether or not to hear a deputation from the Dulwich Park Friends in respect of a park manager re-organisation.

## BACKGROUND INFORMATION

2. When considering whether to hear the deputation request, executive can decide to
  - Receive the deputation at this meeting or a future meeting; *or*
  - That the deputation not be received; *or*
  - Refer the deputation to the most appropriate committee/sub-committee.
3. A deputation shall consist of no more than six people, including its spokesperson. Only one member of the deputation shall be allowed to address the meeting for no longer than 5 minutes. After this time members may ask questions of the deputation for up to 5 minutes. At the conclusion of the questions, the deputation will be shown to the public gallery where they may listen to the remainder of the open section of the meeting.
4. Any relevant resource or community impact issues will be contained in the comments of the strategic director.

## KEY ISSUES FOR CONSIDERATION

### Dulwich Park Friends – Parks Manager Re-organisation

5. A deputation request has been received from the Chair of Dulwich Park Friends in respect of a park manager re-organisation.
6. The group wish to seek the executive’s assurance that Dulwich Park will continue to have a dedicated Park Manager with responsibility for the Dulwich Park area only.

## SUPPLEMENTARY ADVICE FROM OTHER OFFICERS

### Comments from the Strategic Director of Environment and Housing

7. The Council intends to retain a permanent presence in Dulwich Park and its other three tier one parks.

8. The initial proposals will be further consulted upon by the Parks and Open Spaces Manager with staff, Friends and other users over the summer months.

### BACKGROUND DOCUMENTS

Background Papers	Held At	Contact
Correspondence from the Chair of Dulwich Park Friends	160 Tooley Street London SE1	Everton Roberts 020 7525 7221 / Paula Thornton 020 7525 4395

### AUDIT TRAIL

<b>Lead Officer</b>	Ian Millichap, Constitutional Team Manager	
<b>Report Author</b>	Everton Roberts, Constitutional Officer	
<b>Version</b>	Final	
<b>Dated</b>	12 March 2010	
<b>Key Decision?</b>	No	
<b>CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / EXECUTIVE MEMBER</b>		
<b>Officer Title</b>	<b>Comments Sought</b>	<b>Comments included</b>
Strategic Director of Communities, Law & Governance	No	No
Finance Director	No	No
Strategic Director of Environment and Housing	Yes	To follow
<b>Executive Member</b>	No	No
<b>Date final report sent to Constitutional/Community Council/Scrutiny Team</b>	15 March 2010	

<b>Item No.</b>	<b>Classification:</b> Open	<b>Date:</b> 23 March 2010	<b>Meeting Name:</b> Executive
<b>Report title:</b>		Admission Arrangements for Primary Schools, nursery schools and classes - September 2011	
<b>Ward(s) or groups affected:</b>		All	
<b>From:</b>		Strategic Director of Children's Services	

## RECOMMENDATIONS

1. That the Executive agrees the primary community schools, nursery schools and nursery classes admissions criteria for 2011 attached as Appendix 1. Executive is also asked to note the improvements to the school admissions process summarised at paragraph 3 of this report.

These changes:

- Continue to reduce the complexity of the local scheme making it more easily understood by parents and carers;
- Meet all requirements of the required statutory frameworks; and,
- Bring admission arrangements across local boroughs in-line with one another.

## BACKGROUND

2. This paper describes changes to the admissions scheme that are required as a result of the move to a single admissions process for London. As part of this process, amendments made to our local scheme ten years ago when education was outsourced now needs to be changed as the criterion implies that we can reserve places at Southwark community schools for Southwark children: this is not the case. Further, the system as presently described is unnecessarily complex, making it difficult for parents to understand and hard for officers to apply. Finally, by removing one unnecessary distance criterion, the cost of applying our scheme will be significantly reduced.
3. A total of 3,292 primary school applications to Southwark were received by the 29<sup>th</sup> January closing date this year, this represents an increase of over 200 additional applications received on time when compared with last year. A comprehensive publicity campaign to raise parents and carers awareness of the need to apply for a primary school place involving media, schools, community organisations and Diocesan boards which has helped to achieve this result, with additional one to one support through our School Preference Adviser service available across the borough. The campaign also encouraged families to submit their applications online which saw an increase from 727 last year to 1,160 online applications this year, an increase of 62%. The school admissions team has been increased by five officer posts to deal directly with the day to day process which enables greater efficiency and availability of information to families as they progress through the school admissions process for their child.

4. The Council is the admission authority for community primary schools, nursery schools and nursery classes within the London Borough of Southwark.
5. Nursery schools and classes have admission arrangements which are completely separate from the coordinated admission arrangements in place for primary schools. Applications for places at nursery schools and classes are made to each school, assessed against the agreed admissions criteria and allocated directly to parents and carers for their children.
6. An amended School Admissions Code of Practice (the Code) came into force on 10th February 2010, it applies to all maintained schools and academies. Admission authorities are required to act in accordance with all mandatory provisions contained in the Code.
7. Admission arrangements must also adhere to the requirements of the School Standards and Framework Act 1998, The Education (Determination of Admission Arrangements) Regulations.
8. Admission authorities are required to consult on their admission arrangements every three years unless a significant change to arrangements are proposed. Southwark did consult on its community primary school arrangements for 2010 admissions but is proposing changes for 2011 and therefore must consult this year.
9. Consultation on admission arrangements must run for a period of at least eight weeks and be completed by 1<sup>st</sup> March in the year preceding the year the change is to be effected (e.g. in March 2010 for admissions in 2011). Final admission arrangements must be confirmed by April 15 2010 for September 2011 admissions.
10. The 2011 admission arrangements for Southwark community primary schools, nursery schools and classes have been consulted on between 18<sup>th</sup> December 2009 and 12<sup>th</sup> February 2010 in line with the Code and are attached as Appendix 1. These criteria will be determined by 15<sup>th</sup> April and published by the local authority in its Starting Primary booklet for September 2011 along with the admissions criteria for all Southwark primary schools which is a statutory requirement. Many parents/carers will use this publication as a main source of information when selecting a nursery school, nursery class or primary school.

#### **KEY ISSUES FOR CONSIDERATION ON ADMISSION ARRANGEMENTS**

11. The oversubscription criteria for schools must be clear, fair and objective. The Code provides guidance on what are and are not acceptable criteria to use in setting admission arrangements and prescribes which are mandatory or recommended as good practice.
12. Children in public care (Looked After Children) must be given top priority in their over-subscription criteria. This is one of the means by which Elected Members can fulfil their responsibilities as Corporate Parents, and ensure compliance with the statutory Guidance on the Education of Young People in Public Care. The Code makes it very clear that this group of children is especially disadvantaged, with 'low average levels of attainment' not least as a result of 'frequent changes of school because their care placements change'.

13. Specific consultation took place on Southwark's oversubscription criteria relating to distance. The current arrangements have two methods for prioritising applicants which represent the 4<sup>th</sup> and 5<sup>th</sup> oversubscription criteria:

- Children for whom it is their nearest Southwark community school measured by straight line route from home to main school gate
- Children living nearest the school measured by straight line route from home to main school gate

*The consultation put forward a proposal to change to a single distance criterion:*

- Children living nearest the school measured by straight line route from home to main school gate.

14. It is proposed to change to a single distance criterion that measures the distance from home to the main school gate using a straight line route for all applicants for admission in 2011. The main reasons for proposing this change to arrangements are:

#### **Access to closest Southwark community school**

15. The current distance criterion 4) was established several years ago in Southwark and aimed to provide families with a higher priority to their local community school. Southwark has 42 community primary schools spread across the borough which enables most families to apply to a local school. Admissions legislation has changed significantly since then focussing largely on parents' and carers' right to express their preference for a school which may or may not be their closest school. There is no evidence to suggest that parents/carers will always prefer their child to attend their closest school, nor that applying this current system to a school that is oversubscribed is any fairer than a single distance measurement would be and tests on data using both systems have not provided any evidence that this change would lead to more parents being unsuccessful in receiving their school of preference. Admission authorities must apply their criteria equitably to both residents and non residents therefore, the 4th criterion is also applied to out borough residents which may not have been the original intention when it was first introduced.

#### **Clarifying admission arrangements for parents and carers**

16. The Code of practice states that arrangements must be fair but also, able to be clearly understood by parents/carers. The use of the two distance criteria has increased the complexity of the admissions administration process and often proves difficult for parents/carers to understand. There has been a significant increase in the number of appeals made to community schools, a large number have been based on matters related to distance. It has proved difficult for panels and appellants to understand the use of two distance criteria and in some circumstances, appeals have been lost as a result of this. Moving to a single distance measure will be much simpler to explain and to understand by key stakeholders.

#### **Coordinated primary admissions 2011**

17. This proposed change would apply to 2011 admissions which will be the first pan London coordinated admissions round for primary schools. As families will now be able to apply to boroughs seamlessly through the co-ordinated process and receive a single offer, it is more important than ever to have the same criteria as our neighbouring boroughs to support a fair and equitable process.

The admission criteria proposed is identical to that in place for neighbouring Lewisham and Lambeth, introducing a single distance measurement will bring all three boroughs in line and reduce complexity for parents.

### **Reduced administration**

18. A significant amount of additional administration is required to implement two distance criteria as every applicant to a community school has to be measured to all schools within a set radius to determine which is closest to the family home before determining whether or not applicants should be placed in the 4<sup>th</sup> or 5<sup>th</sup> criterion and the process requires specialist software to carry out the task. Moving to a single distance criterion will enable the department to improve efficiency and reduce administration costs.
19. Other changes proposed in the primary community school admission arrangements for 2011 include; reduction in the number of places available at Gloucester primary school to 60 places and confirmation to reflect current legislation that states all admissions to reception class must be offered to commence in September unless a parent wishes to defer their child's admission until later in the school year or when their child reaches 5 years of age which is the compulsory school age.
20. The fifth year of primary co-ordinated admissions is under-way. The closing date for 2010/11 applications was 29th January 2010. Offer letters will be sent to parents and carers on 10<sup>th</sup> May 2010. A total of 3,292 on-time primary school applications have been received. Of this number, 1,160 applications were made online. Parents and carers were able to express up to four school preferences on their application forms.
21. Local authorities have a duty to confirm the determined admission arrangements of all admission authorities within the relevant area (within the Southwark borough boundary) to the Secretary of State each year and also, to publish a notice in a local newspaper confirming all admission arrangements in their area. This will be carried out in April and May respectively.
22. Publicity and information about the primary co-ordinated admissions arrangements has been made available to parents and carers living in Southwark informing of the deadline to submit applications and that it is important not to miss it. Support from many schools and outreach work by the Council's School Preference Adviser has also helped to raise parent/carer awareness of the need to apply for a school place.

### **Community Impact Statement**

23. The co-ordinated process for primary admissions is designed to produce fair and equitable access to school places for all children. Allocation of places is delivered through strict application of admissions and oversubscription criteria of each school across Southwark through a central computer.

### **Resource Implications**

24. All costs associated with the admissions process are chargeable to the Schools Budget and, are, therefore, met from Dedicated Schools Grant (DSG).

### **SUPPLEMENTARY ADVICE FROM OTHER OFFICERS**

#### **Strategic Director of Communities Law & Governance**

25. The Executive is asked to agree the Admissions Criteria for 2011 for Primary Community and Nursery schools and Nursery Classes and to note the benefits of introducing such a scheme.

26. The Executive is advised that all school admissions arrangements are governed by the School Standards and Framework Act 1998, The Education (Determination of Admission Arrangements) Regulations 1999 and the School Admissions Code of Practice as stated within the body of the document.
27. Having reviewed the document, the Strategic Director of Communities, Law & Governance is of the opinion that no legal issues arises and the proposed Criteria meets the Local Authority's statutory obligations in relation to the relevant legislation.

## BACKGROUND DOCUMENTS

Background Papers	Held At	Contact
The School Standards and Framework Act 1998	Tooley St DCSF	Glenn Garcia
The Education (Determination of Admission Arrangements) Regulations	Tooley St DCSF	Glenn Garcia
The School Admissions Code of Practice 2010	Tooley St DCSF	Glenn Garcia

## APPENDICES

Number	Title
Appendix 1	Southwark Community Primary Schools, Nursery Schools and Classes Admission Arrangements for September 2011

## AUDIT TRAIL

<b>Lead Officer</b>	Romi Bowen, Strategic Director of Children's Services	
<b>Report Author</b>	Glenn Garcia, Head of Pupil Access	
<b>Version</b>	Final	
<b>Dated</b>	9 <sup>th</sup> March 2010	
<b>Key Decision?</b>	Yes	
<b>CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / EXECUTIVE MEMBER</b>		
<b>Officer Title</b>	<b>Comments Sought</b>	<b>Comments included</b>
Strategic Director of Communities, Law and Governance	Yes	Yes
Finance Director	Yes	None required
<b>Executive Member</b>	Yes	Yes
<b>Date final report sent to Constitutional Support Services</b>	15 March 2010	



## Appendix 1

## Southwark Community Primary Schools, Nursery Schools and Classes: Oversubscription Criteria for September 2011

### 1. Southwark Community Primary Schools (Reception Year)

**Admission Number:** see attached list

**A child with a statement of special educational needs whose statement names the school must be admitted to the school in accordance with section 324 of the Education Act 1996. This is a separate process from the coordinated admission arrangements.**

#### 1.1 Over-subscription Criteria (for all years except nursery):

In the event of there being more applications than places available, places will be allocated in the following order of priority:

- (i) Children in public care (Looked After Children) [see note (a)];
- (ii) Children who will have brothers or sisters attending the school at their time of entry [see note (b)];
- (iii) Where professional evidence indicates that there are particular psychological, medical or social needs which the LA and Headteacher agree can best be addressed at the school [see note (c)];
- (iv) Children living nearest the school measured by straight line route from home to main school gate [see note (d)]

#### Notes

- (a) A child in public care (looked after child) means a person under the age of 18 years who is provided by social services with accommodation by agreement with their parents/carers (Section 20 of the Children Act 1989) or who is the subject of a care order under Part IV of the Act. Children who are looked after under an agreed series of short-term placements (such as respite) are excluded.
- (b) Brothers and sisters include half brothers and sisters and step brothers and sisters who share the same home. It also includes adopted and foster brothers and sisters who share the same home.
- (c) Evidence of psychological, medical or social needs and reason why a particular school would best meet those needs must be substantiated by written evidence from relevant qualified professionals e.g. a child or educational psychologist, a child psychiatrist, a general practitioner, an orthopaedic consultant or social worker.
- (d) The LA determines the distance using the computerised Geographical Information System (GIS). This system measures the distance from each applicant's home to the designated main entrance of the school by the shortest straight line route in metres. A centroid (centre point), supplied by Ordnance Survey (OS), determines the start point of the home address. If a child lives in a block of flats where a communal entrance is used, the centroid for the block and not the individual flat is used for calculation purposes. When dealing with multiple applications from a block of flats to the same community school, lower door numbers will take priority.

- (e) Where a school becomes oversubscribed within a single criterion, places will be offered to children who live nearest the school. If oversubscription still exists, lots will be drawn. The process will be overseen by a person independent of the process.
- (f) The home address is the address where the child resides. Where a child spends time with both parents/carers in separate homes and both have parental responsibility, the school will need to establish where the majority of school nights (Sunday to Thursday) are spent and treat that as the home address.
- (g) A child's attendance at a co-located nursery class does not guarantee admission to the school for primary education a separate application must be made for transfer from nursery to primary school.
- (h) Multiple births – if only one place is available at the school and the next child who qualifies for a place is one of multiple birth siblings, we will ask community schools to go over their published admission number to support the family when possible to do so.

### **1.2 Proof of Address**

When offered a place at a school, the offer will be conditional until proof of address has been given. Original copies of the following documentation will be required:

- child benefit documentation
- council tax bill
- one other from bank statement, TV licence, credit card or store card statement

Proof of address must be supplied within 15 days of the date of the offer of a place.

Occasionally we have reason to suspect that a family does not live at the address stated. If this is the case, we will carry out an investigation. Should we discover that a parent is making a fraudulent claim the offer of a place will be withdrawn.

### **1.3 Dates of entry**

All children within the reception year group will be offered a place in a primary school for September 2011. Parents may request that their child's entry be deferred until later in the same school year or until the child reaches compulsory school age. Where entry is deferred, the school place offered will be held and will not be offered to any other child. Parents however will not be able to defer a child's entry beyond the beginning of the term after the child's fifth birthday, nor beyond the academic year for which the original application was accepted.

**1.4 Waiting Lists**

Parents/carers can apply to have their child placed on the waiting list for any oversubscribed community school in Southwark.

The LA will hold waiting lists for all oversubscribed community schools up until the 31<sup>st</sup> August. Waiting lists will then be handed over to oversubscribed community schools.

Names will be placed in oversubscription priority order

Any parent/carer has the right to be informed of their ranking on the waiting list and the criteria that applies to them should they request this information.

**1.5 Capacity of Primary School places**

We will constantly review our position in order to identify areas of need. Places will then be allocated in accordance with the oversubscription criteria.

<b>1.6 Community Primary Schools – September 2011 Intake</b>
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<b>SCHOOL</b>	<b>PRIMARY ADMISSION LIMIT</b>
Albion (JI)	30
Alfred Salter (JI)	60
Alma (JI)	30
Bellenden (JI)	30
Bessemer Grange (JI)	60
Brunswick Park (JI)	75
Camelot (JI)	75
Charles Dickens (JI)	45
Cobourg (JI)	60
Comber Grove (JI)	45
Crampton (JI)	30
Crawford (JI)	60
Dog Kennel Hill (JI)	60
Dulwich Hamlet (J)	90
Eveline Lowe (JI)	60
Gloucester (JI)	60
Goodrich (JI)	90
Goose Green (JI)	60
Grange (JI)	45
Heber (JI)	60
Hollydale (JI)	45
Ilderton (JI)	60
Ivydale (JI)	60
John Donne (JI)	60
John Ruskin (JI)	58
Keyworth (JI)	45
Langbourne (JI)	30
Lyndhurst (JI)	45
Michael Faraday (JI)	60
Oliver Goldsmith (JI)	60
Peckham Park (JI)	75
Pilgrims Way (JI)	30
Redriff (JI)	60
Riverside (JI)	45
Robert Browning (JI)	45
Rye Oak (JI)	60
Rotherhithe (JI)	60
Snowsfields (JI)	30
Southwark Park (JI)	60
Tower Bridge (JI)	30
Townsend (JI)	45
Victory (JI)	30

John Ruskin: In addition to the 58 places, 2 places are allocated to children accessing the specialist support provided.

**1.7 Academy Primary School September 2011 Intake\*\***

Globe Academy	60
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**1.8 Voluntary Aided Primary Schools – September 2011 Intake\*\***

SCHOOL	PRIMARY ADMISSION LIMIT
Boutcher C of E	30
Dulwich Village C of E	90
English Martyrs RC	60
Peter Hills with St Mary's & St Paul's C of E	30
Saint Joseph's Catholic, Borough	30
St Anthony's RC	45
St Francesca Cabrini RC	60
St Francis RC	60
St George's C of E	30
St George's Cathedral RC	60
St James' C of E	30
St James the Great RC	30
St John's C of E	30
St John's RC	30
St John's & St Clement's C of E	60
St Joseph's RC, George Row	45
St Joseph's RC, Gomm Road	30
St Joseph's RC Infants	60
St Joseph's RC Juniors*	60
St Jude's C of E	30
St Mary Magdalene C of E	30
St Paul's C of E	45
St Peter's C of E	30
The Cathedral School of St Saviour & St Mary Overie	30

**1.9 Foundation Primary Schools – September 2011 Intake\*\***

SCHOOL	PRIMARY ADMISSION LIMIT
Charlotte Sharman	60
Friars	30
Surrey Square Infants	60
Surrey Square Juniors *	60

**\*Admission Limit for Year 3**

**\*\*Please note that Academies, Voluntary Aided and Foundation schools may consult separately on their admission number for 2011/12 which will supersede the information above.**

## 2. Southwark Community Schools Nursery Classes

### 2.1 Over-subscription Criteria for Nursery Classes

- (i) Children in public care (looked after children);
- (ii) Children with educational, medical or social needs where professional advice indicates that placement would be beneficial; this includes children with a statement of special educational needs which names the nursery class;
- (iii) Children who will have a brother or sister attending the school at the time of entry;
- (iv) Children for whom it is their nearest maintained nursery class or nursery school.

#### **Note**

Schools close to the Southwark border may, if they wish, delete reference to Southwark residents if they normally and regularly admit children to the nursery class who live in neighbouring boroughs.

Where children are cared for by a local authority registered childminder, parents/carers can opt to have the childminder's address as the point from which distance is measured. However, some schools have opted not to include this in their admissions criteria.

In both of the above instances parents/carers should request further information from the school(s).

**NOTE: THESE EXCEPTIONS DO NOT APPLY FOR APPLICATIONS TO INFANT/JUNIOR CLASSES**

### 3. Southwark Nursery Schools

#### **3.1 Admission Number**

Dulwich Wood	80 full time equivalent
The Grove	60 full time equivalent
Kintore Way	120 full time equivalent
Nell Gwynn	140 full time equivalent
Ann Bernadt	80 full time equivalent

#### **3.2 Oversubscription Criteria**

In the event of there being more applications than places available, priority will be given to children who are living in Southwark. Of these children places will be allocated in the following order: -

- (i) Children in public care (looked after children)
- (ii) Children with educational, medical or social need where a professional review indicates that placement would be beneficial
- (iii) Children who will have a brother or sister attending the nursery at the time of entry
- (iv) Children for whom it is their nearest maintained nursery class or nursery school
- (v) Age – in order to maintain a balance of 3+ and 4+ children

For children who are cared for by a local authority registered child minder, families can opt to have the distance between the childminder's home and the school measured, rather than the home address if they prefer.

Where places remain available after all Southwark applicants have been allocated places, the above criteria are applied, in the same order, to out-borough applications.

#### **3.3 Proof of Address**

When offered a place at a school, the offer will be conditional until proof of address has been given. Original copies of the following documentation will be required:

- child benefit documentation
- council tax bill
- one other from bank statement, TV licence, credit card or store card statement

Proof of address must be supplied within 15 days of the date of the offer of a place.

Occasionally we have reason to suspect that a family does not live at the address stated. If this is the case, we will carry out an investigation. Should we discover that a parent is making a fraudulent claim the offer of a place may be withdrawn.

**3.4 Application Lists**

- Each Nursery School maintains application lists
- Places are allocated for admissions in September and January of each year – in line with the admission criteria.
- As vacancies arise during the course of the year, places are allocated from those applications remaining in line with the admission criteria.

**3.5 Application Procedures and Timescales**

- Applications for a nursery place can be made at anytime after the child's second birthday
- Children whose third birthday falls between 1<sup>st</sup> March and 31<sup>st</sup> August, who can be offered a place, will receive the offer in June for a September start date.
- Children whose third birthday falls between 1<sup>st</sup> September and 28<sup>th</sup> (or 29<sup>th</sup>) February, who can be offered a place, will receive the offer in November for a January start date.
- Every child starts at nursery school on a part time basis.



<b>Item No.</b>	<b>Classification:</b> Open	<b>Date:</b> 23 March 2010	<b>Meeting Name:</b> Executive
<b>Report title:</b>		Southwark Secondary, Primary and In Year Admission Schemes 2011	
<b>Ward(s) or groups affected:</b>		All	
<b>From:</b>		Strategic Director of Children's Services	

### RECOMMENDATION

1. That the Executive agrees the Secondary, Primary and In Year coordinated admissions schemes for 2011 attached as Appendices 1, 2 and 3. These changes:
  - Reduce the complexity of the local scheme making it more accessible to parents and carers and thereby leading to fewer appeals;
  - Meet all requirements of the required statutory frameworks; and,
  - Bring admission arrangements across local boroughs in-line with one another.

### BACKGROUND ON ADMISSION ARRANGEMENTS

2. Until 2010, schools were responsible for administering any application to them outside of the annual admissions round. This type of admission is termed an 'in-year admission.' In practice, this often left parents having to contact several schools to secure a place: it also meant that there was a lack of transparency in the admissions process as there was inevitably a lag between places being taken up and the Local Authority being aware of this fact. Finally, by Local Authorities assuming responsibility for this work, it offers significant savings across the wider education system due to the economies of scale brought by centralisation.
3. An amended School Admissions Code of Practice (the Code) came into force on February 10, 2010, it applies to all maintained schools and academies. Admission authorities are required to act in accordance with all mandatory provisions contained in the Code.
4. Admission arrangements must adhere to the requirements of the School Standards and Framework Act 1998, The Education (Determination of Admission Arrangements) Regulations 1999 (as amended), the Education (Co-ordinated Admissions Arrangements) (Secondary Schools) Regulations 2002 and the School Admissions Code of Practice 2010.
5. The local authority is responsible for coordinating school applications and admissions for all pupils applying to Southwark secondary maintained schools and academies as part of a pan London process agreed with other London local authorities. In-year (formerly casual) admissions to all maintained secondary schools are also managed locally by the local authority.
6. School admissions to all primary maintained schools in Southwark have been coordinated and managed by the local authority for the last 4 years under an agreed local arrangement. Individual schools currently manage the in-year admission of children directly it is not a function carried out by the local authority.

7. With effect from September 2010, local authorities are required to manage all admissions to both primary and secondary maintained schools this includes all in year admissions. Each scheme must also be coordinated across boroughs so there is a single agreed system in place with cooperation in terms of dates, timescales and policy to enable all admissions to be managed effectively. Residents will be required to complete a common application form (CAF) and must be allowed to apply to a minimum of three schools of preference anywhere in England and in any year group through their home local authority.
8. Local authorities like all other admission authorities must determine their final arrangements by April 15 2010 for 2011 normal point of entry admissions but also for primary in-year admissions from September 2010. Local authorities have a duty to confirm admission arrangements for all admission authorities with the Secretary of State and to publish a notice in a local newspaper confirming details of all admission arrangements for their area.

### **KEY ISSUES FOR CONSIDERATION ON COORDINATED ADMISSION SCHEME**

9. The School Admissions Codes of Practice sets out requirements for local authorities to provide a system to enable the efficient admission of pupils to schools at normal point of entry (Reception Year, Year 3 and Year 7) and also, for all in-year admissions to maintained schools, primary and secondary. A coordinated admissions scheme for 2011 admissions must be in place with details of how this will operate within each local authority.
10. Coordinated admissions schemes must enable parents in a home local authority to apply to any school in England and therefore, must set out how information will be received, processed and transferred between the LA, applicants, schools and neighbouring boroughs for secondary primary and in-year admissions. Any offer of a school place must be made by the local authority.
11. Coordinated admission arrangements provide a fairer and more efficient school admissions process, and will almost entirely eliminate multiple offers being made to individual families.
12. Local authority officers across London have developed the key principles including a mix of mandatory and optional clauses for each for co-ordinated scheme to be considered and implemented by individual local authorities. Coordinated admission schemes for secondary, primary and in-year are attached respectively as appendices 1, 2 and 3 of this report for ease of reference, the three parts form Southwark's single coordinated admissions scheme for 2011 admissions.
13. Consultation on Southwark's co-ordinated schemes took place between 18<sup>th</sup> December 2009 and 12<sup>th</sup> February 2010 and was sent to Governing bodies, Headteachers, community organisations and neighbouring authorities and other key stakeholders.
14. Comments were received from the RC Diocesan board in respect in-year coordinated admissions and the role of governing bodies in the scheme. These points have been incorporated into the scheme and an in-year admissions process procedure. No other comments were received from the consultation.

### **In Year admissions**

15. In year admissions for secondary schools has been carried out by the local authority for some considerable time and this will extend to all maintained primary schools from September 2010. Decisions on whether or not a place can be offered to an applicant will be made by the relevant admissions authority (i.e. the local authority for community schools and the governing body for all other schools), but offers of a place must only be made by the local authority. The School Admissions Code of Practice requires all applicants to be offered or refused a place within 20 days of making an application. A tight application process and cooperation between schools and the local authority will be required in order to meet achieve these timescales for all applications.
16. Southwark Admissions Forum requested that a working group which included appropriate schools representatives and officers be established to develop an operational procedure document that will support co-ordinated in-year admissions scheme and for views and any additional feedback from schools to be made available to Executive. A copy of the draft procedure currently being consulted on with schools and academies is attached as appendix 4 of this report.

### **In Year Fair Access protocol**

17. As required by the Code, an In Year Fair Access protocol has been established and agreed by the Admissions Forum and the Southwark Association of Secondary Heads. It provides a process and agreement for the fair placement of children who are hard to place amongst all secondary schools in the local authority. Academies, voluntary aided and foundation schools are included in the protocol, a version of which has been running in the borough for some time reflecting the commitment of local schools to minimise exclusions and ensure all children have an appropriate place. The pattern of placements is to be monitored and reported to the Admission Forum and Southwark Association of secondary Headteachers on a regular basis.

### **The Coordination of Applications for Looked After Children**

18. Looked after children remain the highest priority on the admissions criteria for all Southwark Schools in line with the School Admissions Code of Practice. In January of each year, officers meet to identify applications received for looked after children and track the progress of these applications throughout the primary and secondary co-ordinated processes. This year, seven applications for admission to secondary schools were received for Looked After Children in Southwark, all have been allocated a place at the school of highest preference. By prioritising places for looked after children the local authority is able to provide important support to children in its care and contribute towards their educational achievement.

### **The Coordination of Applications for Pupils with Statements of SEN**

19. Applications for a secondary school place for pupils with a Statement of special educational needs are processed completely separately from the main co-ordinated admission arrangements. By the deadline date of 15<sup>th</sup> February 2010 the SEN Division considered secondary transfer applications for 126 pupils with statements.
20. Additional DCSF funding is given to the local authority to provide a Choice Adviser Service for parents/carers in the borough who may require additional help to select and apply to their preferred schools. An officer based within the Parent Partnership team has been appointed to carry out this role and offer outreach, group and individual support to parents/carers. Interpreter support for parents/carers who have

difficulty communicating in English is made available at our One Stop Shops. This service is explained the Starting Secondary booklet in seven community languages identified as the most commonly spoken in Southwark. Support is made available to parents/carers at primary schools for children who are transferring to Year 7 and a face to face advice surgery facility is provided each year (after secondary and primary school admission offers are made) for any families who were not able to be offered one of their school preferences for their child.

### **Community Impact Statement**

21. The Co-ordinated Admissions process is designed to produce fair and equitable access to school places for all children. Allocation of places is delivered through the strict application of admissions and oversubscription criteria of each school through a central pan London computer. Even greater emphasis is now placed on admissions authorities to achieve equity and fair access for all pupils through their admission arrangements through the Code. Additional support is made available to parents who may need support in understanding the application process and selecting schools of their preference through a School Preference Adviser who offers information and advice through outreach work delivered at schools and community centres. Support is also made available on a one to one basis on request and through referrals from schools and other agencies.

### **Resource Implications**

27. All costs associated with the admissions process are chargeable to the Schools Budget and, are, therefore, met from Dedicated Schools Grant (DSG).

### **SUPPLEMENTARY ADVICE FROM OTHER OFFICERS**

#### **Strategic Director of Communities, Law & Governance**

28. The Executive is asked to agree the Secondary, Primary and In Year Co-ordinated Admissions Schemes for 2011.
29. The document has been reviewed and no legal issues arise from it. Notwithstanding that fact, the Executive is advised to ensure that it is satisfied that the comments received from the RC Diocesan have been properly addressed prior to agreeing the document.
30. The Strategic Director of Communities, Law & Governance is of the opinion that the document is legally compliant with the Local Authority's Admissions Authority duties.

**BACKGROUND DOCUMENTS**

<b>Background Papers</b>	<b>Held At</b>	<b>Contact</b>
The School Admissions Code of Practice 2010	Tooley St. HQ DCSF website	Glenn Garcia
The School Standards and Framework Act 1998	Tooley St. HQ DCSF website	Glenn Garcia
The Education (Determination of Admission Arrangements) Regulations 1999 (as amended)	Tooley St. HQ DCSF website	Glenn Garcia
The Education (Coordinated Admission Arrangements) (secondary schools) Regulations 2002	Tooley St. HQ DCSF website	Glenn Garcia

**APPENDICES**

<b>Number</b>	<b>Title</b>
Appendix 1	Pan London Coordinated Admission System. Southwark LA Scheme for Admission to Secondary School in September 2011
Appendix 2	Pan London Coordinated Admission System. Southwark LA Scheme for Admission to Primary School in September 2011
Appendix 3	Pan London Coordinated Admission System. Southwark LA Scheme for In-Year Admissions Secondary School from September 2010
Appendix 4	Southwark in-year admissions – procedure (draft)

**AUDIT TRAIL**

<b>Lead Officer</b>	Romi Bowen, Strategic Director of Children's Services	
<b>Report Author</b>	Glenn Garcia, Head of Pupil Access	
<b>Version</b>	Final	
<b>Dated</b>	5 <sup>th</sup> March 2010	
<b>Key Decision?</b>	Yes	
<b>CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / EXECUTIVE MEMBER</b>		
<b>Officer Title</b>	<b>Comments Sought</b>	<b>Comments included</b>
Strategic Director of Communities, Law and Governance	Yes	Yes
Finance Director	Yes	None required
<b>Executive Member</b>	Yes	Yes
<b>Date final report sent to Constitutional Support Services</b>	15.03.2010	

**PAN-LONDON CO-ORDINATED ADMISSION SYSTEM****Southwark LA Scheme for Admission to Secondary School  
in September 2011****SECONDARY**

Revised November 2009

**PAN-LONDON CO-ORDINATED ADMISSION SYSTEM**

**Southwark LA Scheme for Co-ordination of Admissions to  
secondary school in September 2011**

**Definitions used in the template schemes**

“the Application Year”	the academic year in which the parent makes an application ie. in relation to the academic year of entry, the academic year preceding it
“the Board”	the Pan-London Admissions Executive Board, which is responsible for the Scheme
“the Business User Guide (BUG)”	the document issued annually to participating LAs setting out the operational procedures of the Scheme
“the Common Application Form”	this is the form that each authority must have under the Regulations for parents to use to express their preferences, set out in rank order
“the London E-Admissions Portal”	the common online application system used by the 33 London LAs and Surrey County Council
“the Equal Preference System”	the model whereby all preferences listed by parents on the Common Application Form are considered under the over-subscription criteria for each school without reference to parental rankings. Where a pupil is eligible to be offered a place at more than one school within an LA, or across more than one participating LA, the rankings are used to determine the single offer by selecting the school ranked highest of those which can offer a place
“the Highly Recommended Elements”	the elements of the Template Scheme that are not mandatory but to which subscription is strongly recommended in order to maximise co-ordination and thereby simplify the application process as far as possible
“the Home LA”	the LA in which the applicant/parent/carer is resident

## Appendix 1

“the Local Admission System (LAS)”	the IT module for administering admissions in each LA and for determining the highest offer both within and between participating LAs
“the Maintaining LA”	the LA which maintains a school to which an applicant/parent/carer has applied
“the Mandatory Elements”	those elements of the Template Scheme to which authorities <b>must</b> subscribe in order to be considered as ‘Participating Authorities’ and to benefit from use of the Pan-London Register
“the Notification Letter”	the agreed form of letter sent to applicants on the Prescribed Day which communicates any determination granting or refusing admission to a secondary school, which is attached as Schedule 2
“the Prescribed Day”	the day on which outcome letters are posted to parents/carers. For secondary schools: 1st March in the year following the relevant determination year except that , in any year in which that day is not a working day, the prescribed day shall be the next working day.
“the Pan-London Register (PLR)”	the database which will sort and transmit application and outcome data between the LAS of each participating LA
“the Pan-London Timetable”	the framework for processing of application and outcome data, which is attached as Schedule 3
“the Participating LA”	any LA that has indicated in the Memorandum of Agreement that they are willing to incorporate, at a minimum, the mandatory elements of the Template LA Scheme presented here.
“the Qualifying Scheme”	the scheme which each LA is required to formulate in accordance with the School Admissions (Co-ordination of Admission Arrangements) Regulations 2008 for co-ordinating arrangements for the admission of children to maintained secondary schools and academies.



**PAN LONDON CO-ORDINATED ADMISSIONS SYSTEM****Southwark Scheme for Co-ordination of Admissions to Year 7  
in September 2011**

*All the numbered sections contained in this scheme are mandatory, except those marked with an\* which are highly desirable.*

*Any changes from the previous year have been highlighted in yellow for your ease of reference.*

**Applications**

1. \*Southwark LA will advise home LAs of their resident pupils on the roll of this LA's maintained primary schools and academies who are eligible to transfer to secondary school in the forthcoming academic year.
2. Applications from residents of Southwark will be made on this LA's Common Application Form, which will be available and able to be submitted on-line. This will include all the fields and information specified in Schedule 1 to this Southwark Scheme. These will be supplemented by any additional fields and information which are deemed necessary by Southwark to enable the admission authorities in the LA area to apply their published oversubscription criteria.
3. \*Southwark LA will take all reasonable steps to ensure that every parent/carer who is resident in Southwark and has a child in their last year of primary education within a maintained school, either in Southwark or any other maintaining LA, receives a copy of Southwark's admissions booklet and Common Application Form, including details of how to apply online. The admissions booklet will also be available to parents/carers who do not live in Southwark, and will include information on how they can access their home LA's Common Application Form.
4. The admission authorities within Southwark will not use supplementary information forms except where the information available through the Common Application Form is insufficient for consideration of the application against the published oversubscription criteria. Where supplementary information forms are used by the admissions authorities within Southwark, the LA will seek to ensure that these only collect information which is required by the published oversubscription criteria, in accordance with paragraph 1.83 of the School Admissions Code.
5. Where supplementary information forms are used by admission authorities in Southwark, they will be available on Southwark's website. Such forms will advise parents and carers that they must also complete their home LA's Common Application Form. Southwark LA's admission booklet and website will indicate which schools in Southwark require supplementary forms to be completed and where they can be obtained.

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6. Where an admission authority in Southwark receives a supplementary information form, Southwark LA will not consider it to be a valid application unless the parent/carer has also listed the school on their home LA's Common Application Form, in accordance with paragraph 3.7 of the School Admissions Code.
7. \*Applicants will be able to express a preference for six maintained secondary schools or Academies within and/or outside the Home LA (and any City Technology College that has agreed to participate in their LA's Qualifying Scheme).
8. The order of preference given on the Common Application Form will not be revealed to a school within the area of Southwark in accordance with paragraph 1.76 of the School Admissions Code. However, where a parent /carer resident in Southwark expresses a preference for schools in the area of another LA, the order of preference for that LA's schools will be revealed to that LA in order that it can determine the highest ranked preference in cases where an applicant is eligible for a place at more than one school in that LA's area.
9. Southwark LA undertakes to carry out the address verification process set out in its entry in the Business User Guide. This will in all cases include validation of resident applicants against Southwark LA's primary school data and the further investigation of any discrepancy. Where Southwark LA is not satisfied as to the validity of an address of an applicant whose preference has been sent to a maintaining LA, it will advise the maintaining LA no later than **10 December 2010**.
10. Southwark LA will confirm the status of any resident child for whom it receives a Common Application Form stating s/he is a 'Child Looked After' and will provide evidence to the maintaining LA in respect of a preference for a school in its area by **15 November 2010**.
11. Southwark LA will advise a maintaining LA of the reason for any preference expressed for a school in its area, in respect of a resident child born outside of the correct age cohort, and will forward any supporting documentation to the maintaining LA by **15 November 2010**.

### Processing

12. Applicants resident within Southwark LA must return the Common Application Form, which will be available and able to be submitted on-line, to this LA by **22 October 2010**.  
(If the Regulations remain unchanged, this date will be substituted for **31 October 2010** and the following additional sentence added: 'However, Southwark LA will publish information which encourages applicants to submit their application by **22 October 2010 (i.e. the Friday before half term)**, to allow it sufficient time to process and check all applications before the mandatory date when data must be sent to the PLR').

13. Application data relating to preferences for schools in other participating LAs will be up-loaded to the PLR by **15 November 2010**. Supplementary information provided with the Common Application Form will be sent to maintaining LAs by the same date.
14. All preferences for schools within Southwark LA will be considered by the relevant admission authorities without reference to rank order in accordance with the School Admissions Code. When the admission authorities within this LA have provided a list of applicants in criteria order to Southwark LA, this LA shall, for each applicant to its schools for whom more than one potential offer is available use the highest ranked preference to decide which single potential offer to make. This is the 'Equal Preference System'.
15. \*Southwark LA will accept late applications only if they are late for a good reason. *Examples of what will be considered as good reason include: when a single parent/carer has been ill for some time, or has been dealing with the death of a close relative; a family has just moved into the area or is returning from abroad (proof of ownership or tenancy of a property within this LA will be required in these cases).* Other circumstances will be considered and each case decided on its own merits.
16. Where such applications contain preferences for schools in other LAs, Southwark LA will forward the details to maintaining LAs via the PLR as they are received. Southwark LA will accept late applications which are considered to be on time within the terms of the home LA's scheme.
17. The latest date for the upload to the PLR of late applications which are considered to be on-time within the terms of the home LA's scheme is **10 December 2010**.
18. Where an applicant moves from one participating home LA to another after submitting an on-time application under the terms of the former home LA's scheme, the new home LA will accept the application as on-time up to **10 December 2010**, on the basis that an on-time application already exists within the Pan-London system.
19. Southwark LA will participate in the application data checking exercise scheduled between **13 December 2010 and 4 January 2011** in the Pan-London timetable in Schedule 3A.
20. All preferences for schools within Southwark LA will be considered by the relevant admission authorities without reference to rank order in accordance with paragraphs 1.76 and 2.16 of the School Admissions Code. When the admission authorities within Southwark LA have

## Appendix 1

provided a list of applicants in criteria order to Southwark LA, this LA shall, for each applicant to its schools for whom more than one potential offer is available, use the highest ranked preference to decide which single potential offer to make. [This is the 'Equal Preference System'.]

21. Southwark LA will carry out all reasonable checks to ensure that pupil rankings are correctly held in its LAS before uploading data to the PLR.
22. Southwark LA will upload the highest potential offer available to an applicant for a maintained school or academy in this LA to the PLR by **3 February 2011**. The PLR will transmit the highest potential offer specified by the Maintaining LA to the Home LA.
23. The LAS of Southwark local authority will eliminate, as a Home LA, all but the highest ranked offer where an applicant has more than one potential offer across Maintaining LAs submitting information within deadline to the PLR. This will involve exchanges of preference outcomes between the LAS and the PLR (in accordance with the iterative timetable published in the Business User Guide) which will continue until notification that a steady state has been achieved, or until **15 February 2011** if this is sooner.
24. Southwark LA will not make an additional offer between the end of the iterative process and 1 March 2011 which may impact on an offer being made by another participating LA.
25. Notwithstanding paragraph 24, if an error is identified within the allocation of places at one of this LA's schools, this LA will attempt to manually resolve the allocation to correct the error. Where this impacts on another LA (either as a home or maintaining LA) Southwark LA will liaise with that LA to attempt to resolve the correct offer and any multiple offers which might occur. However, if another LA is unable to resolve a multiple offer, or if the impact is too far reaching, Southwark LA will accept that the applicant(s) affected might receive a multiple offer.
26. Southwark LA will participate in the offer data checking exercise scheduled between **16 and 23 February 2011** in the Pan-London timetable in Schedule 3A.
27. Southwark LA will send a file to the E-Admissions portal with outcomes for all resident applicants who have applied online no later than **23 February 2011**. (33 London LAs & Surrey only).

### Offers

28. Southwark LA will ensure, so far as is reasonably practical, that each resident applicant who cannot be offered a preference expressed on the Common Application Form, receives the offer of an alternative school place. The result of applications will be posted out first class on 1

## Appendix 1

March 2011. Applicants who did not qualify for any of the schools named on their CAF will be:

- Notified of the outcome of their application
  - Advised on the right of appeal for those schools
  - Advised where possible how to apply for their child's name to be added to the waiting list/s of those schools
  - Offered a place at a school with a vacancy in Southwark Council  
Advised of contact details for neighbouring authorities where alternative vacancies may be available.
29. Southwark LA will inform all resident applicants of their highest offer of a school place and, where relevant, the reasons why higher preferences were not offered, whether they were for schools in the Home LA or in other participating LAs.
30. Southwark LA's outcome letter will include the information set out in Schedule 2.
31. **On 1 March 2011**, Southwark LA will send by first class post notification of the outcome to resident applicants.
32. \*Southwark LA will provide primary schools with destination data of its resident applicants by the end of the Summer term **2011**.

### Post Offer

33. Southwark LA will request that resident applicants accept or decline the offer of a place by **16 March 2011**, or within two weeks of the date of any subsequent offer.
34. \*Where an applicant resident in Southwark LA accepts or declines a place in a school maintained by another LA by **16 March 2011**, Southwark LA will forward the information to the maintaining LA by **23 March 2011**. Where such information is received from applicants after **16 March**, Southwark LA will pass it to the maintaining LA as it is received.
35. Southwark LA will inform the home LA, where different, of an offer for a maintained school or Academy in Southwark LA's area which can be made to an applicant resident in the home LA's area, in order that the home LA can offer the place.
36. When acting as a maintaining LA, Southwark LA will not inform an applicant resident in another LA that a place be offered. Admissions authorities within this LA will not inform any applicant that a place can be offered in advance of such notification being sent to the applicant by Southwark LA.

**Appendix 1**

37. Southwark LA will offer a place at a maintained school or Academy in the area of another LA to an applicant resident in its area, provided that the school is ranked higher on the Common Application Form than any school already offered.
38. Where Southwark LA is informed by a maintaining LA of an offer which can be made to an applicant resident in this LA's area which is ranked lower on the Common Application Form than any school already offered, it will inform the maintaining LA that the offer will not be made.
39. Where Southwark LA, acting as a home LA, has agreed to a change of preference order for good reason, it must inform any maintaining LA affected by the change. In such cases, paragraphs 36 and 37 shall apply to the revised order of preferences.
40. \* Southwark LA will inform the home LA, where different, of any change to an applicant's offer status as soon as it occurs.
41. Southwark LA will accept new applications (including additional preferences) from home LAs for maintained schools and academies in its area.
42. Waiting lists for all secondary schools in Southwark will be held by this LA until the **31 August 2010**, after this date any existing waiting lists will then be returned to our schools.

**PAN-LONDON CO-ORDINATED ADMISSIONS SCHEME  
SCHEDULE 1**

**Minimum Content of Common Application Form for  
Admissions to Year 7 in September 2011**

**Child's details:**

Surname  
Forename(s)  
Middle name(s)  
Date of Birth  
Gender  
Home address  
Name of current school  
Address of current school (if outside home LA)

**Parent's details:**

Title  
Surname  
Forename  
Address (if different to child's address)  
Telephone Number (Home, Daytime, Mobile)  
Email address  
Relationship to child

**Preference details (x 6 recommended):**

Name of school  
Address of school  
Preference ranking  
Local authority in which the school is based

**Additional information:**

Reasons for Preferences (including any medical or social reasons)  
Does the child have a statement of SEN? Y/N\*  
Is the child a 'Child Looked After'? Y/N  
If yes, name of responsible local authority  
Surname of sibling  
Forename of sibling  
DOB of sibling  
Gender of sibling  
Name of school sibling attends

**Other:**

Signature of parent or guardian  
Date of signature

\* Where an LA decides not to request this information on the CAF, it must guarantee that no statemented pupil details will be sent via the PLR.

## PAN-LONDON CO-ORDINATED ADMISSIONS SCHEME

## SCHEDULE 2

## Template Outcome Letter for Admissions to Year 7 and in September 2011

From: Home LA

Date: **1 March 2011**

Dear Parent/carer

Application for a Secondary School

*I am writing to let you know the outcome of your application for a secondary school. Your child has been offered a place at X School. The school will write to you with further details.*

I am sorry that it was not possible for your child to be offered a place at any of the schools which you listed as a higher preference on your application form. For each of these schools there were more applications than places, and other applicants has a higher priority than your child under the school's published admission criteria.

*Offers which could have been made for any schools which you placed lower in your preference list, were automatically withdrawn under the co-ordinated admission arrangements, as a higher preference has been offered.*

If you would like more information about the reason that your child was not offered a place at any school, you should contact the admissions section that is responsible for admissions to the school within the next few days, for Southwark schools please contact the school directly. Details of the different admission authorities for schools in the borough of X are attached to this letter. If the school is outside the borough of X, the admission authority will either be the borough in which the school is situated, or the school itself.

You have the right of appeal under the School Standards & Framework Act 1998 against the refusal of a place at any of the schools for which you have applied. If you wish to appeal, you must contact the admission authority for the school within the next few days to obtain the procedure and the date by which an appeal must be received by them.

*Please would you confirm that you wish to accept the place at X School by completing the reply slip below. If you do not wish to accept the place, you will need to let me know what alternative arrangements you are making for your child's education.*

If you wish to apply for any school other school, in this borough or elsewhere, you must obtain an application form from this office.

Your child will automatically be added to Southwark secondary school waiting lists.

*Please return the reply slip to me by **16 March 2011**.. If you have any questions about this letter, please contact me on \_\_\_\_\_.*

Yours sincerely

*(First preference offer letters should include the paragraphs in italics only)*



**PAN-LONDON CO-ORDINATED ADMISSIONS SCHEME  
SCHEDULE 3A**

**Timetable for Admissions to Year 7 in September 2011**

<b>Fri 22 Oct 2010</b>	Published closing date (Friday before half-term)
<b>Sun 31 Oct 2010</b>	Statutory deadline for receipt of applications
<b>Mon 15 Nov 2010</b>	Deadline for the transfer of application information by the Home LA to the PLR (ADT file).
<b>Fri 11 Dec 2010</b>	Deadline for the upload of late applications to the PLR.
<b>Mon 13 Dec 2010 – Tuesday 4 Jan 2011</b>	Checking of application data
<b>Thurs 3 Feb 2011</b>	Deadline for the transfer of potential offer information from Maintaining LAs to the PLR (ALT file)
<b>Tues 15 Feb 2011</b>	Final ALT file to PLR
<b>Wed 16-Wed 23 Feb 2011</b>	Checking of offer data
<b>Wed 23 Feb 2011</b>	Deadline for on-line ALT file to portal
<b>Tues 1 Mar 2011</b>	Offer letters posted.
<b>Wed 16 Mar 2011</b>	Deadline for return of acceptances
<b>Wed 23 Mar 2011</b>	Deadline for transfer of acceptances to maintaining LAs

## APPENDIX 1

*\* Statutory date*

**SOUTHWARK TIMETABLE FOR CO-ORDINATED ADMISSIONS  
SEPTEMBER 2011**

<p align="center"><b>Closing date for applications *</b></p> <p align="center">Friday 22 October 2010 published closing date (Friday before half-term) Sunday 31 October 2010 (Statutory deadline for receipt of applications)</p>
<p align="center"><b>Home LA sends applications to voluntary aided, foundation schools and academies</b> <b>24 November 2010</b></p>
<p align="center"><b>Voluntary aided, foundation schools and academies return applications in ranked order according to published admissions criteria</b> <b>5 January 2011</b></p>
<p align="center"><b>PAN London iteration process to resolve offers</b> <b>January – February 2011 *</b></p>
<p align="center"><b>Southwark secondary schools receive information of who has been allocated places</b> <b>27 February 2011</b></p>
<p align="center"><b>Manual allocation of places to those Southwark children who do not have a secondary school</b> <b>February – March 2011</b></p>
<p align="center"><b>Offers made to parents/carers by LA of residence</b> <b>1 March 2011 *</b></p>
<p align="center"><b>All offers to be accepted by parents/carers</b> <b>16 March 2011 *</b></p>

**Admission authorities included within the Southwark Co-ordinated Admissions Scheme:**

**Voluntary Aided Schools**

Notre Dame RC Girls' School  
Sacred Heart RC School  
St Michael's RC School  
St Saviour's & St Olave's CE School  
The St Thomas the Apostle College

**Academies**

The Harris Academy at Peckham  
Harris Academy Bermondsey  
Harris Girls' Academy East Dulwich  
The City of London Academy  
Bacon's College  
Walworth Academy  
Globe Academy  
St Michael's & All Angel's Academy  
Harris Boys' Academy East Dulwich

**Foundation Schools**

Kingsdale Foundation School  
The Charter School

**PAN-LONDON CO-ORDINATED ADMISSION SYSTEM****Southwark LA Schemes for Co-ordination of Admissions to  
Reception in September 2011****PRIMARY**

Updated November 2009

**PAN-LONDON CO-ORDINATED ADMISSION SYSTEM**

**Southwark LA Scheme for Co-ordination of Admissions to  
Reception in September 2011**

**Definitions used in the template schemes**

“The Application Year”	the academic year in which the parent makes an application ie. in relation to the academic year of entry, the academic year preceding it
“the Board”	the Pan-London Admissions Executive Board, which is responsible for the Scheme
“the Business User Guide (BUG)”	the document issued annually to participating LAs setting out the operational procedures of the Scheme
“the Common Application Form”	this is the form that each authority must have under the Regulations for parents/carers to use to express their preferences, set out in rank order
“the London E-Admissions Portal”	the common online application system used by the 33 London LAs and Surrey County Council
“the Equal Preference System”	the model whereby all preferences listed by parents on the Common Application Form are considered under the over-subscription criteria for each school without reference to parental rankings. Where a pupil is eligible to be offered a place at more than one school within an LA, or across more than one participating LA, the rankings are used to determine the single offer by selecting the school ranked highest of those which can offer a place
“the Highly Recommended Elements”	the elements of the Template Scheme that are not mandatory but to which subscription is strongly recommended in order to maximise co-ordination and thereby simplify the application process as far as possible
“the Home LA”	the LA in which the applicant/parent/carer is resident
“the Local Admission System	the IT module for administering admissions in

## Appendix 2

“(LAS)”	each LA and for determining the highest offer both within and between participating LAs
“the Maintaining LA”	the LA which maintains a school to which an applicant/parent/carer has applied
“the Mandatory Elements”	those elements of the Template Scheme to which authorities <b>must</b> subscribe in order to be considered as ‘Participating Authorities’ and to benefit from use of the Pan-London Register
“the Notification Letter”	the agreed form of letter sent to applicants on the Prescribed Day which communicates any determination granting or refusing admission to a primary school, which is attached as Schedule 2
“the Prescribed Day”	the day on which outcome letters are posted to parents/carers. For primary schools: A date determined annually by the Board.
“the Pan-London Register (PLR)”	the database which will sort and transmit application and outcome data between the LAS of each participating LA
“the Pan-London Timetable”	the framework for processing of application and outcome data, which is attached as Schedule 3
“the Participating LA”	any LA that has indicated in the Memorandum of Agreement that they are willing to incorporate, at a minimum, the mandatory elements of the Template LA Scheme presented here.
“the Qualifying Scheme”	the scheme which each LA is required to formulate in accordance with the School Admissions (Co-ordination of Admission Arrangements) Regulations 2008 for co-ordinating arrangements for the admission of children to maintained primary schools and academies.

**PAN LONDON CO-ORDINATED ADMISSIONS SYSTEM****Southwark Scheme for Co-ordination of Admissions to Reception in September 2011**

*All the numbered sections contained in this scheme are mandatory, except those marked with an\* which are highly desirable.*

**Applications**

1. Applications from residents of Southwark will be made on this LA's Common Application Form, which will be available and able to be submitted on-line. This will include all the fields and information specified in Schedule 1 to this Southwark Scheme. These will be supplemented by any additional fields and information which are deemed necessary by Southwark to enable the admission authorities in the LA area to apply their published oversubscription criteria.
2. \*Southwark LA will take all reasonable steps to ensure that every parent/carer who is resident in Southwark and has a child in a nursery class within a maintained school, either in Southwark or any other maintaining LA, receives a copy of Southwark's admissions booklet and Common Application Form, including details of how to apply online. The admissions booklet will also be available to parents/carers who do not live in Southwark, and will include information on how they can access their home LA's Common Application Form.
3. The admission authorities within Southwark will not use supplementary information forms except where the information available through the Common Application Form is insufficient for consideration of the application against the published oversubscription criteria. Where supplementary information forms are used by the admissions authorities within Southwark, the LA will seek to ensure that these only collect information which is required by the published oversubscription criteria, in accordance with paragraph 1.83 of the School Admissions Code.
4. Where supplementary information forms are used by admission authorities in Southwark, they will be available on Southwark's website. Such forms will advise parents and carers that they must also complete their home LA's Common Application Form. Southwark LA's admission booklet and website will indicate which schools in Southwark require supplementary forms to be completed and where they can be obtained.
5. Where an admission authority in Southwark receives a supplementary information form, Southwark LA will not consider it to be a valid application unless the parent/carer has also listed the school on their



## Appendix 2

home LA's Common Application Form, in accordance with paragraph 3.7 of the School Admissions Code.

6. \*Applicants will be able to express a preference for six maintained primary schools or Academies within and/or outside the Home LA
7. The order of preference given on the Common Application Form will not be revealed to a school within the area of Southwark in accordance with paragraph 1.76 of the School Admissions Code. However, where a parent /carer resident in Southwark expresses a preference for schools in the area of another LA, the order of preference for that LA's schools will be revealed to that LA in order that it can determine the highest ranked preference in cases where an applicant is eligible for a place at more than one school in that LA's area.
8. Southwark LA undertakes to carry out the address verification process set out in its entry in the Business User Guide. This will in all cases include validation of resident applicants against Southwark LA's nursery and primary school data and the further investigation of any discrepancy. Where Southwark LA is not satisfied as to the validity of an address of an applicant whose preference has been sent to a maintaining LA, it will advise the maintaining LA no later than **18 February 2011**.
9. Southwark LA will confirm the status of any resident child for whom it receives a Common Application Form stating s/he is a 'Child Looked After' and will provide evidence to the maintaining LA in respect of a preference for a school in its area by **28 January 2011**.
10. Southwark LA will advise a maintaining LA of the reason for any preference expressed for a school in its area, in respect of a resident child born outside of the correct age cohort, and will forward any supporting documentation to the maintaining LA by **28 January 2011**.

### Processing

11. Applicants resident within Southwark LA must return the Common Application Form, which will be available and able to be submitted on-line, to this LA by **Saturday 15 January 2011**.
12. Application data relating to preferences for schools in other participating LAs will be up-loaded to the PLR by **18 February 2011**. Supplementary information provided with the Common Application Form will be sent to maintaining LAs by the same date.
13. All preferences for schools within Southwark LA will be considered by the relevant admission authorities without reference to rank order in accordance with the School Admissions Code. When the admission authorities within this LA have provided a list of applicants in criteria order to Southwark LA, this LA shall, for each applicant to its schools for whom more than one potential offer is available use the highest ranked

## Appendix 2

preference to decide which single potential offer to make. This is the 'Equal Preference System'.

14. \*Southwark LA will accept late applications only if they are late for a good reason. *Examples of what will be considered as good reason include: when a single parent/carer has been ill for some time, or has been dealing with the death of a close relative; a family has just moved into the area or is returning from abroad (proof of ownership or tenancy of a property within this LA will be required in these cases).* Other circumstances will be considered and each case decided on its own merits.
15. Where such applications contain preferences for schools in other LAs, Southwark LA will forward the details to maintaining LAs via the PLR as they are received. Southwark LA will accept late applications which are considered to be on time within the terms of the home LA's scheme.
16. The latest date for the upload to the PLR of late applications which are considered to be on-time within the terms of the home LA's scheme is **18 February 2011**.
17. Where an applicant moves from one participating home LA to another after submitting an on-time application under the terms of the former home LA's scheme, the new home LA will accept the application as on-time up to **28 February 2011**, on the basis that an on-time application already exists within the Pan-London system.
18. Southwark LA will participate in the application data checking exercise scheduled between **21 and 28 February 2011**.
19. All preferences for schools within Southwark LA will be considered by the relevant admission authorities without reference to rank order in accordance with paragraphs 1.76 and 2.16 of the School Admissions Code. When the admission authorities within Southwark LA have provided a list of applicants in criteria order to Southwark LA, this LA shall, for each applicant to its schools for whom more than one potential offer is available, use the highest ranked preference to decide which single potential offer to make. [This is the 'Equal Preference System'.]
20. Southwark LA will carry out all reasonable checks to ensure that pupil rankings are correctly held in its LAS before uploading data to the PLR.
21. Southwark LA will upload the highest potential offer available to an applicant for a maintained school or academy in this LA to the PLR by **16 March 2011**. The PLR will transmit the highest potential offer specified by the Maintaining LA to the Home LA.
22. The LAS of Southwark local authority will eliminate, as a Home LA, all but the highest ranked offer where an applicant has more than one potential offer across Maintaining LAs submitting information within

## Appendix 2

deadline to the PLR. This will involve exchanges of preference outcomes between the LAS and the PLR (in accordance with the iterative timetable published in the Business User Guide) which will continue until notification that a steady state has been achieved or until **18 March 2011** if this is sooner.

23. Southwark LA will not make an additional offer between the end of the iterative process and 4 April 2011 which may impact on an offer being made by another participating LA.
24. Notwithstanding paragraph 23, if an error is identified within the allocation of places at one of this LA's schools, this LA will attempt to manually resolve the allocation to correct the error. Where this impacts on another LA (either as a home or maintaining LA) Southwark LA will liaise with that LA to attempt to resolve the correct offer and any multiple offers which might occur. However, if another LA is unable to resolve a multiple offer, or if the impact is too far reaching, Southwark LA will accept that the applicant(s) affected might receive a multiple offer.
25. Southwark LA will participate in the offer data checking exercise scheduled between **21-28 March 2011** in the Pan-London timetable in Schedule 3A.
26. Southwark LA will send a file to the E-Admissions portal with outcomes for all resident applicants who have applied online no later than **28 March 2011**. (33 London LAs & Surrey only).

### Offers

27. Southwark LA will ensure, so far as is reasonably practical, that each resident applicant who cannot be offered a preference expressed on the Common Application Form receives the offer of an alternative school place. This offer will be at the nearest appropriate school with capacity based on home to school distance (as a straight line measurement). The result of applications will be posted out first class on **4 April 2011**. Applicants who did not qualify for any of the schools named on their CAF will be:
  - Notified of the outcome of their application
  - Advised on the right of appeal for those schools
  - Advised where possible how to apply for their child's name to be added to the waiting list/s of those schools
  - Offered a place at a school with a vacancy in Southwark Council
  - Advised of contact details for neighbouring authorities where alternative vacancies may be available.
28. Southwark LA will inform all resident applicants of their highest offer of a school place and, where relevant, the reasons why higher preferences were not offered, whether they were for schools in the Home LA or in other participating LAs.

**Appendix 2**

29. Southwark LA's outcome letter will include the information set out in Schedule 2.
30. **On 4 April 2011**, Southwark LA will send by first class post notification of the outcome to resident applicants.
31. \*Southwark LA will provide nursery and primary schools with destination data of its resident applicants by the end of the Summer term **2011**.

**Post Offer**

32. Southwark LA will request that resident applicants accept or decline the offer of a place by **19 April 2011**, or within two weeks of the date of any subsequent offer.
33. \*Where an applicant resident in Southwark LA accepts or declines a place in a school maintained by another LA by **19 April 2011**, Southwark LA will forward the information to the maintaining LA by **26 April 2011**. Where such information is received from applicants after **19 March**, Southwark LA will pass it to the maintaining LA as it is received.
34. Southwark LA will inform the home LA, where different, of an offer for a maintained school or Academy in Southwark LA's area which can be made to an applicant resident in the home LA's area, in order that the home LA can offer the place.
35. When acting as a maintaining LA, Southwark LA will not inform an applicant resident in another LA that a place can be offered. Admission authorities within this LA will not inform any applicant that a place can be offered in advance of such notification being sent to the applicant by Southwark LA.
36. Southwark LA will offer a place at a maintained school or Academy in the area of another LA to an applicant resident in its area, provided that the school is ranked higher on the Common Application Form than any school already offered.
37. Where Southwark LA is informed by a maintaining LA of an offer which can be made to an applicant resident in this LA's area which is ranked lower on the Common Application Form than any school already offered, it will inform the maintaining LA that the offer will not be made.
38. Where Southwark LA, acting as a home LA, has agreed to a change of preference order for good reason, it must inform any maintaining LA affected by the change. In such cases, paragraphs 36 and 37 shall apply to the revised order of preferences.
39. \* Southwark LA will inform the home LA, where different, of any change to an applicant's offer status as soon as it occurs.

**Appendix 2**

40. Southwark LA will accept new applications (including additional preferences) from home LAs for maintained schools and academies in its area.
42. Waiting lists for all primary schools in Southwark will be held by this LA until the **31 August 2010**, after this date any existing waiting lists will then be returned to our schools.

**PAN-LONDON CO-ORDINATED ADMISSIONS SCHEME  
SCHEDULE 1**

**Minimum Content of Common Application Form for  
Admissions to Reception in September 2011**

**Child's details:**

Surname  
Forename(s)  
Middle name(s)  
Date of Birth  
Gender  
Home address  
Name of current school  
Address of current school (if outside home LA)

**Parent's details:**

Title  
Surname  
Forename  
Address (if different to child's address)  
Telephone Number (Home, Daytime, Mobile)  
Email address  
Relationship to child

**Preference details (x 6 recommended):**

Name of school  
Address of school  
Preference ranking  
Local authority in which the school is based

**Additional information:**

Reasons for Preferences (including any medical or social reasons)  
Does the child have a statement of SEN? Y/N\*  
Is the child a 'Child Looked After'? Y/N  
If yes, name of responsible local authority  
Surname of sibling  
Forename of sibling  
DOB of sibling  
Gender of sibling  
Name of school sibling attends

**Other:**

Signature of parent or guardian  
Date of signature

\* Where an LA decides not to request this information on the CAF, it must guarantee that no statemented pupil details will be sent via the PLR.

## PAN-LONDON CO-ORDINATED ADMISSIONS SCHEME

## SCHEDULE 2

## Template Outcome Letter for Admissions to Year 7 and Reception in September 2011

From: Home LA

Date: **4 April 2011**

Dear Parent/carer

Application for a Primary School

*I am writing to let you know the outcome of your application for a primary school. Your child has been offered a place at X School. The school will write to you with further details.*

I am sorry that it was not possible for your child to be offered a place at any of the schools which you listed as a higher preference on your application form. For each of these schools there were more applications than places and other applicants has a higher priority than your child under the school's published admission criteria.

*Offers which could have been made for any schools which you placed lower in your preference list, were automatically withdrawn under the co-ordinated admission arrangements, as a higher preference has been offered.*

If you would like more information about the reason that your child was not offered a place at any school, you should contact the admission authority that is responsible for admissions to the school within the next few days. Details of the different admission authorities for schools in the borough of X are attached to this letter. If the school is outside the borough of X, the admission authority will either be the borough in which the school is situated, or the school itself.

You have the right of appeal under the School Standards & Framework Act 1998 against the refusal of a place at any of the schools for which you have applied. If you wish to appeal, you must contact the admission authority for the school within the next few days to obtain the procedure and the date by which an appeal must be received by them.

*Please would you confirm that you wish to accept the place at X School by completing the reply slip below. If you do not wish to accept the place, you will need to let me know what alternative arrangements you are making for your child's education.*

If you wish to apply for any school other school, in this borough or elsewhere, you must obtain an application form from this office.

Your child will automatically be placed upon Southwark primary school waiting lists.

*Please return the reply slip to me by **9 April 2011**. If you have any questions about this letter, please contact me on \_\_\_\_\_.*

Yours sincerely

*(First preference offer letters should include the paragraphs in italics only)*

**PAN-LONDON CO-ORDINATED ADMISSIONS SCHEME  
SCHEDULE 3B**

**Timetable for Admissions to Reception in September 2011**

<b>Sat 15 Jan 2011</b>	Statutory deadline for receipt of applications
<b>Fri 28 Jan 2011</b>	Deadline for the transfer of application information by the Home LA to the PLR (ADT file)
<b>Fri 18 Feb 2011</b>	Deadline for the upload of late applications to the PLR
<b>Mon 21 - Fri 25 Feb 2011</b>	Checking of application data
<b>Wed 16 Mar 2011</b>	Deadline for the transfer of potential offer information from the Maintaining LAs to the PLR (ALT file).
<b>Fri 18 Mar 2011</b>	Final ALT file to PLR
<b>Mon 21- Fri 27 Mar 2011</b>	Checking of offer data
<b>Mon 28 Mar 2011</b>	Deadline for on-line ALT file to portal
<b>Mon 4 April 2011</b>	Offer letters posted.
<b>Tues 19 April 2011</b>	Deadline for receipt of acceptances
<b>Tues 26 April 2011</b>	Deadline for transfer of acceptances to maintaining LAs



**PAN-LONDON CO-ORDINATED ADMISSION SYSTEM**

**Southwark LA Schemes for Co-ordination of In Year  
Admissions for 2010/2011**

**IN-YEAR**

Updated November 2009

**PAN-LONDON CO-ORDINATED ADMISSION SYSTEM**

**Southwark LA Scheme for Co-ordination of In Year  
Admissions for 2010/2011**

**Definitions**

‘the Home LA’	the LA in which the child is resident
‘the Maintaining LA’	the LA which maintains a school to which an applicant applied

**Section 1: Applications**

1. Applications for children resident in this LA will be made on this LA’s Common Application Form. This will include all the fields and information specified in Schedule 1 to this Protocol. These will be supplemented by any additional fields and information which are deemed necessary by Southwark LA to enable the admission authorities in the LA area to apply their published oversubscription criteria.
2. Southwark LA will allow parents and carers to submit an on line enquiry through the LA website to express an interest in applying for a school place in-year.
3. All Admission Authorities within Southwark LA will be expected to provide details of their vacancies in each year group on a regular basis as determined by the LA.
4. The admission authorities within Southwark LA will not use Supplementary forms except where the information available through the Common Application Form is insufficient for consideration of the application against the published oversubscription criteria. Where supplementary forms are used by the admissions authorities within Southwark LA. The LA will seek to ensure that these only collect information which is required by the published oversubscription criteria, in accordance with paragraph 1.83 of the School Admissions Code.
5. Where supplementary forms are used they will be available from the school concerned and available on the LA’s website. Any supplementary forms must advise parents and carers that they must also complete their home LA’s Common Application Form. Southwark LA’s admission booklet and website will indicate which of this LA’s schools require supplementary forms to be completed and where they can be obtained.

**Appendix 3**

6. Where an admission authority in Southwark LA receives a supplementary form, it will not consider it to be a valid application until the parent/carer has also listed the school on their Home LA's Common Application form in accordance with paragraph 3.7 of the School Admissions Code.
7. Applicants will be able to express a preference for a maximum of six maintained primary, secondary schools or Academies within and/or outside of the home LA (and any CTC that has agreed to participate in their LA's scheme). Southwark LA will accept any preference received from a home LA for a maintained school or academy in its area.
8. The order of preference given on the Common Application Form will not be revealed to a school within the area of Southwark LA in accordance with paragraph 1.76 of the School Admissions Code. However, where a parent or carer of a child resident in Southwark LA expresses a preference for schools in the area of another LA, the order of preference for that LA's schools will be revealed to that LA in order that it can determine the highest ranked preference in cases where a child is eligible for a place at more than one school in that LA's area.
9. Southwark LA undertakes to carry out address verification for each application made by a resident within Southwark LA. Where Southwark LA is not satisfied as to the validity of an address of an applicant whose preference has been sent to a maintaining LA, it will advise the maintaining LA as soon as it becomes apparent.
10. Southwark LA will check the status of any applicant who is a 'Looked After' child and provide evidence to the maintaining LA in respect of a preference for a school not in this LA's area as soon as it is received.
11. Southwark LA will advise a maintaining LA of the reason for any preference expressed for a school not in Southwark LA's area, in respect of a resident child, and will forward any supporting documentation to the maintaining LA as soon as it is received.

**Section 2: Processing**

12. Applicants with children resident within Southwark LA must complete and return the Common Application Form to Southwark LA.
13. An application for a child resident outside of Southwark LA will not be considered until a Common Application Form has been completed and returned to the Home LA.

### Appendix 3

14. Applications to non community schools will be sent on the day of receipt to the named admissions contact person at each school in order for Governing bodies to consider against their admissions criteria within **10 working days**.
15. Application data relating to preferences for schools in another LA, we will aim to share with that LA within **5 working days** of the application being received. Supplementary information received with the Common Application Form will be sent to maintaining LA's by the same date.
16. Where the LA has access to the Pan London Support Site, application data will be exchanged through the document exchange. Alternative arrangements will be made to forward data and supporting information to LAs that do not have access to this site.
17. Where it is the policy of this maintaining LA to request background from a previous school before a place is offered, acting as a home LA, it will pass any information so obtained to a maintaining LA with whom it has shared application data, as soon as this is received.

#### Section 3: Offers

18. Southwark LA will aim to share the outcome of an application for one of its schools with the Home LA within **10 school days** of receiving the data. (Where it is clear to Southwark LA that no vacancy exists for the child, Southwark LA will inform the home LA as soon as possible after receipt of the application data). If it has not been possible to make a decision within **10 school days**, Southwark LA undertakes to send details of the outcome of an application for one of its schools to the Home LA as soon as the decision is made but within at least **20 working days** of receiving the application data.
19. Where it has not been possible to share the outcome of an application within **10 school days** of receiving the data, Southwark LA understands that the Home LA may send an outcome letter advising the parent/carer that a decision has not yet been made in respect of Southwark LA's school.
19. Acting as Home LA, Southwark LA will eliminate all but the highest ranked offer where an applicant has more than one potential offer across Maintaining LAs submitting information within **10 school days**, and where it has been informed by a maintaining LA that a place is available, will advise that LA whether the place is required.
20. Acting as the Home LA, Southwark LA will inform each applicant within its area of their highest offer of a school place and where relevant, the reasons why higher preferences were not offered, including, if outcomes are not yet known, whether they were for schools in the Home LA or in other LAs within **20 working days** of receipt of the application.

### Appendix 3

21. Where it has not received an outcome for a school within another LA which is a higher preference than the school offered, Southwark LA will case manage that application until an outcome can be sent in respect of each such school named on the Common Application Form.
22. Where a parent/carer moves from one Home LA to another after submitting an application, the previous Home LA will not pass responsibility to the new Home LA until an outcome has been sent for each of the preferences made.
23. Once an outcome has been sent for each of the preferences made, the new Home LA will accept the application from the date of the move, once they are satisfied that the family has moved.

#### **Section 4: Post-offer**

24. Southwark LA will request that resident parents and carers accept or decline the offer of a place within two weeks.
25. Where a parent/carer does not respond within this timeframe and the application is for an out-borough school, Southwark LA will make every reasonable effort to contact the parent/carer to find out whether or not they wish to accept the place, and if necessary, will liaise with the maintaining LA. Only where the parent/carer fails to respond and Southwark LA can demonstrate that every reasonable effort has been made to contact the parent/carer, will the offer of a place be withdrawn.
26. Where a parent/carer resident in this LA accepts or declines a place in a school maintained by another LA, Southwark LA will forward the information to the maintaining LA as soon as it is received.
27. Southwark LA will inform the home LA whether the child offered a place at a school in its area has been admitted to the school within **5 school days** of the start date.

#### **Section 5: Waiting Lists**

28. Where a place is available to be offered from the waiting list to a child resident in another LA, Southwark LA will advise the Home LA so that they might formally offer the place.
29. Where Southwark LA is informed that another LA is able to offer a place from the waiting list to one of its residents, it will send the outcome letter to the applicant.



## Appendix 4

## Southwark In-year Admissions Process from September 2010

From September 2010 local authorities are required to co-ordinate and manage all in-year admission applications to both primary and secondary schools/academies and must have an agreed in-year co-ordinated admission scheme. The procedure note below sets out the process and timeframe to be followed for in-year admissions in line with Southwark's In-Year Admissions Co-ordinated scheme.

**Southwark School Admissions team will:**

- Co-ordinate and process all in-year admissions to primary and secondary schools;
- Provide a common application form (CAF) and access to any supplementary information forms;
- Ensure in-year admissions are processed within 20 working days

**Schools will be required to:**

- Provide vacancy numbers of school places to the local authority (LA);
- Provide the LA with Supplementary Information forms (SIF) where applicable;
- Provide a named contact for admissions to their schools and notify the LA of any changes to their contact details immediately.
- Refer any in-year applicant queries to the Southwark admissions team  
020 7525 5337

**The process:**

1. Southwark parent/carers to apply to Southwark admissions team for a school place.
2. During the registration process the parent/carer will be given/sent an In-year Common Application form (CAF) to complete with supplementary forms required for selected schools. Applications will not be considered until a CAF has been completed.
3. The CAF and SIF can be downloaded by schools/applicants and a hard copy can be obtained from a Southwark One Stop Shop or by telephone 0207 525 5337.
4. The completed CAF and SIF should be returned to the LA. If information given by the applicant requires further details an in-year admissions officer will contact the parent or carer to arrange a registration meeting at a Southwark office. The parent/carer will also be advised of any additional documentation to bring with them.
5. Interviews **must not** be used to form part of the selection process by any admissions authority before an offer is made.
6. Community schools – the LA will process the CAF, ranking community school preferences according to Southwark's oversubscription criteria. All applications will be checked to ensure that all required documentation has been completed and all relevant checks have been made within **5-10 working days** and school notified of admissions details.

7. VA, Foundation school and Academies – LA to contact VA, Foundation school or Academies to notify them that an application has been made for their school and is waiting electronically on the LA's Statistics Module database. This is to ensure that the governing body has time to respond upon receipt. The governing body/admissions authority may request that any application details be faxed to the school.
8. Out borough schools – Applications from a child living within Southwark applying to a school within another borough. Southwark will aim to share completed application data and any supplementary information with the LA the school is based in (maintaining LA) within **5 working days** of the application being fully completed.
9. LA to process community school applications **within 5-10 working days** and schools notified.
10. Where the school is its own admission authority and also requires a supplementary form they will consider applications at this stage and notify the LA whether a school place can be offered **within 10 working days**.
  - Where a school place has been offered in Southwark VA, Foundation school or Academy, the admissions authority/governing body will notify the LA of the start date;
  - Where a place has not been offered in a Southwark VA, Foundation school or Academy, the admissions authority/governing body will notify the LA of the reason for refusal;
  - If a place has not been offered at the school of preference, the LA will advise parents/carers of their right to an appeal hearing and be placed on the school's waiting list;
  - LA will pursue an alternative offer for the child.
11. The LA will notify the parent/carer in writing on behalf of the admissions authority of whether or not a school place has been offered. The letter will state the start date if a school place has been offered or the reason for refusal **within 5 working days**.
12. All offers made by Southwark LA will be conditional until original documentation has been provided by the parent/carer and checked by the school where the offer of a place has been made. Documentation will be required to prove the child's date of birth and their home address such as a birth certificate, passport, Council Tax or utility bills. If a fraudulent application is discovered the LA will withdraw the offer of a place and offer to the next child on the school's waiting list.
13. The parent/carer will have a two week period to either accept or refuse the offer of the school place. If no response is received, the LA will do everything possible to contact the parent/carer.
14. If the child is not offered a school place after **10 working days** the child will be placed on Southwark's Children out of School list.
15. If a child is deemed to be in one or several categories of the In-Year Fair Access Protocol at the point of application, the in-year admissions process WILL NOT be used. These applications will be processed by the LA under the In-Year Fair Access Protocol - schools, parents/carers will be notified in writing accordingly.



<b>Item No.</b>	<b>Classification:</b> Open	<b>Date:</b> 23 March 2010	<b>Meeting Name:</b> Executive
<b>Report title:</b>		Revenue Monitoring 2009/10 – Quarter 3	
<b>Ward(s) or groups affected:</b>		All Wards	
<b>From:</b>		Finance Director	

## RECOMMENDATIONS

1. The Executive notes the updated quarter three revenue monitoring report for the General Fund and Housing Revenue Account (HRA) as at 31 January 2010.
2. The Executive note that ongoing and unavoidable cost pressures have been addressed through the 2010/11 budget process.

## BACKGROUND INFORMATION

3. The report provides detail on the position on the council's 2009/10 outturn forecast for the General Fund, HRA and Collection Fund based on the information available at the end of January 2010. Explanations for key variances are presented along with the action planned or being taken by managers to address these variances.
4. The report also identifies any key variances in the council's savings plans for 2009/10.

## KEY ISSUES FOR CONSIDERATION

### General Fund Overall Position

5. In total, the general fund faces net service pressures of some £0.8m over the base budget for 2009/10. This represents approximately 0.27% of the total net general fund budget. Further management action will continue with the objective to reduce this adverse variation by the end of the financial year.
6. The main area of pressure on costs of service is within Children's Services (£1.7m), this however is £0.2m lower than the position reported for quarter 2. This budget pressure consists of a number of underlying issues and is considered unavoidable in the circumstances. The reported variation comes after significant management action across service areas to minimise the financial impact of the various factors influencing expenditure.
7. This situation is largely due to a significant increase in costs with regard to specialist children's services. There has been an increase in the number of children requiring care and support and the cases continue to become more complex. These pressures are emerging at the same time as additional rigour and scrutiny is being applied by external regulation and inspection regimes, particularly with regard to safeguarding.
8. The impact of all of these changes has a collective consequence of driving up cost within the social care system. This is a situation compounded by the need to retain and recruit high quality staff. These issues are being experienced on a national scale, not least within London.
9. In line with expected project based activity across the council, there are a number of expected calls on earmarked reserves in 2009/10, in particular in relation to the modernisation and regeneration and development programmes. In total, these commitments are currently forecast

at approximately £3.7m. They include support to enable the delivery of a number of critical efficiency targets such as the delivery of shared services. They also include calls in relation to the regeneration and development agendas, including support for the Bermondsey Spa, Elephant and Castle, Canada Water and Aylesbury projects.

10. Table 1 below shows the current forecast outturn position for quarter 3 by service.

**Table 1: Estimated projection of General Fund outturn position for 2009/10 as at Quarter 3 (M10)**

<b>General Fund</b>	<b>Full Year Budget £'000</b>	<b>Full Year Forecast £'000</b>	<b>Variance + / Under spend (-) £'000</b>
Children's Services	99,348	101,096	1,748
Health and Community Services	100,823	101,375	552
Environment and Housing	75,678	76,112	434
Regeneration and Neighbourhoods	27,156	27,119	(37)
Major Projects	4,446	4,446	0
Deputy Chief Executive	47,225	47,249	24
Communities, Law & Governance	13,758	13,558	(200)
Financial Management and IS	35,210	35,210	0
Strategic and Corporate	(58,797)	(60,543)	(1,746)
<b>Total General Fund before appropriations</b>	<b>344,847</b>	<b>345,622</b>	<b>775</b>
Appropriations to/(from) reserves	(3,677)	(3,677)	0
<b>General Fund Total</b>	<b>341,170</b>	<b>341,945</b>	<b>775</b>
Area based grant	(26,018)	(26,018)	0
<b>Net total</b>	<b>315,152</b>	<b>315,927</b>	<b>775</b>
Schools Budget	1,115	658	(457)
Appropriation to/(from) DSG reserves	(1,115)	(658)	457
<b>Total</b>	<b>315,152</b>	<b>315,927</b>	<b>775</b>

11. As part of the same General Fund budget approval, the council agreed an ambitious programme of savings and efficiencies in excess of £17.3m for 2009/10. The current position reflects the expected delivery of these targets. Currently there is a potential shortfall of some £0.7m projected for the year. However management actions continue with the objective of meeting the target by the end of the year as closely as possible and meeting the target in full for 2010/11. This is explored in more detail in paragraphs 32 to 36 below.

## **Key General Fund pressures**

### **Children's Services**

12. The main adverse budget variances relate to increases in spend in Specialist Children's Services and continuing increases in costs of the council's Home to School contract for the transport of pupils with SEN (Special Education Needs).
13. Specialist Children's Services has experienced significant increases in the number of high cost placements for looked after children over the last 18 months. In 2008/09, related costs were offset by a one-off 'windfall' of asylum seekers grant totalling some £1m. The department is currently projecting an adverse variance of some £1.2m on these placements during 2009/10. Further increases in costs of some £0.7m are projected on disability placements, direct payments and accommodation costs relating to families with no recourse to public funds.

14. The Assessment & Safeguarding unit is also experiencing considerable pressure as the volume of cases requiring assessment increases as a result of the Baby Peter case. In order to ensure proper management of the increased caseload in Children's Services, it has been necessary to take on additional staff on a short-term basis. Additionally, in order to retain and invest in existing staff, the service will be awarding market factor honoraria. A major recruitment campaign has also commenced to attract new permanent staff. Similar recruitment problems and attendant budget pressures have been experienced nationally across all Children's Services Departments, and impacted particularly in London.
15. Contingency budgets of £852k have been released to Children's Services in recognition of the increased costs relating to Specialist Guardianship Orders and to Mother & Baby placements. Demand for provision in the latter area, however, continues to rise.
16. Whilst an adverse variance is also still projected in respect of Home to School Transport, a number of measures to control the increasing costs were introduced from September following a review by KPMG in order to prevent costs escalating further.
17. At the same time, rigorous management action is being taken across the rest of Children's Services to identify opportunities for delaying or curtailing activities and recruitment in order to minimise the overall projected adverse variance for the department as a whole.
18. Through such action it has been possible to reduce the projected overall adverse variance for the department by some £200,000 since the quarter 2 position was reported to Executive. This means that it will now be possible to contain all budget pressures apart from those identified in Specialist Children's Services.

### **Health and Community Services**

19. Health and Community services are forecasting an adverse variance of £552k at 31st January 2010 for 2009/10. This is an improvement of £200k on that reported to Executive at quarter 2.
20. The main reason for the movement is ongoing management action to reduce the adverse variance towards a balanced budget position by year end. Management action consists of an extensive programme of efficiencies and savings in progress
21. The budget shortfall mainly relates to a small increase in the numbers of learning disabilities and physical disabilities clients and reflects the high cost of caring for people with disabilities and fewer people than anticipated leaving services through the eligibility process.

### **Environment and Housing**

22. Environment and Housing are projecting an adverse variance of £434k as at 31 January 2010. This is a reduction of £100k from that reported for quarter 2. The reduction is largely as a result of an increase in the one off underspend on waste management and management action.
23. The spend pressures centre around the continued costs of the leisure and culture units exceeding budgeted levels including project management costs for leisure management, and reduced income particularly within the public realm division.
24. However these pressures have been mitigated by a one-off underspend within the waste management contract due to a reduction in waste tonnage and performance deductions on the unitary charge by some £480k. It is anticipated that the management action currently being undertaken will reduce this overall variance further.

## Strategic & Corporate

25. There is a £1.7m favourable variance projected for strategic and corporate budgets. This is a £400k reduction on what had been reported at quarter 2. The council has faced increased costs due to recent severe weather conditions. It may be possible to mitigate these costs with a special grant from London councils and work is ongoing to progress this, however until this is finalised the costs are being held against the corporate budgets. There are £2.1m of favourable variances, including £1m due to the clawback of salary budgets following the pay award announcement and £1.1m of additional resources as a result of a number of 'windfall' elements including a one off increase in external receipts (e.g. rental income) and reductions in external payments (e.g. deferral of some of the increase in the LPFA Levy). Interest rates have failed to increase and pressures therefore remain on the council's targets for earnings on cash investments.
26. This favourable variance will be utilised to help meet the unavoidable spend pressures within the current budget. Ongoing pressures will be addressed through the business and budget setting process for 2010/11.

## Housing Revenue Account (HRA) Overall Position

27. The headline outturn position shows improvement of £1m between Q2 and Q3. This comprises a rebalancing of revenue support to the Investment Programme in line with movements in leaseholder major works billing and cost reductions across a range of operational budgets within Housing Management.
28. Management action continues to stabilise the position, through the implementation of consistent and robust procedures across responsive repairs, heating repairs and electrical and mechanical engineering services and enhanced inspection and QS scrutiny. A review of legal and other support costs is also currently underway, which will contribute to improved delivery and lower costs in the medium-term.
29. However, notwithstanding the progress made to date, there remains significant spending pressure across all services, together with other specific and exceptional factors that have a disproportionate effect on the budget this year. Table 2 below shows that the HRA is currently forecast to be £3.7m above the mainstream base budget.

**Table 2: Estimated projection of HRA outturn position for 2009/10 as at quarter 3**

	Full Year Budget £'000	Full Year Forecast £'000	Over + / Under (-) spend £'000
Housing Revenue Account	0	3,732	3,732
Appropriation to / (from) HRA reserves	0	(3,732)	(3,732)
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>

30. There are a number of pressures including higher than anticipated repairs and maintenance costs and a variance from the planned works programme, with a consequent reduction in the value of works billed to leaseholders this year. In 2008/09, the HRA was broadly neutral at year-end, but achieved this largely through an income windfall, there is no prospect of that being repeated in 2009/10. Any shortfall will be a first call against HRA reserves, which have seen a marked decline in recent years and continue to be under severe pressure.

31. There are other major cost pressures which are of an exceptional nature and are being accounted for separately from the mainstream HRA. Heygate re-housing and early activity on Aylesbury, generate significant additional costs for which base budget funding is limited. In addition, the council is currently in the process of addressing the impact of the incidents at Lakanal and Sumner Road specifically and the wider implications in terms of the extensive fire safety works programme arising from it. Costs falling to the council after insured losses will be met through a combination of HRA revenue, earmarked reserves and Housing investment programme resources.

### Savings and Efficiencies - 2009/10 budget - Quarter 3

32. For the General Fund and HRA combined, the council targeted savings and efficiencies of more than £29m in 2009/10. These savings are monitored closely throughout the year as their delivery is important to the achievement of the council's business plan and to support the delivery of critical services to residents and businesses. A summary of the current position is shown in Table 3 below.

**Table 3: Savings and Efficiencies as at Quarter 3**

	<b>Original Target Savings £'000</b>	<b>Forecast agreed savings £'000</b>	<b>Substituted Savings £'000</b>	<b>Total Forecast Savings £'000</b>	<b>Variance £'000</b>
Children's Services	(4,086)	(3,936)	0	(3,936)	150
Health and Community Services	(4,211)	(1,844)	(1,800)	(3,644)	567
Environment and Housing	(1,204)	(1,204)	0	(1,204)	0
Regeneration and Neighbourhoods	(1,030)	(1,030)	0	(1,030)	0
Major Projects	(178)	(178)	0	(178)	0
Finance and Resources	(1,460)	(1,460)	0	(1,460)	0
Deputy Chief Executive	(2,285)	(1,994)	(291)	(2,285)	0
Communities, Law and Governance	(788)	(788)	0	(788)	0
Corporate	(4,111)	(4,111)	0	(4,111)	0
<b>Total General Fund savings</b>	<b>(19,353)</b>	<b>(16,545)</b>	<b>(2,091)</b>	<b>(18,636)</b>	<b>717</b>
HRA	(9,674)	(8,828)	0	(8,828)	846
<b>Total Savings 2009/10</b>	<b>(29,027)</b>	<b>(25,373)</b>	<b>(2,091)</b>	<b>(27,464)</b>	<b>1,563</b>

33. In Children's services, Baby Peter case and the subsequent Laming review have placed severe pressure on budgets in the children looked after (CLA) service. The planned saving of £150k is not now feasible. Work is continuing to identify the likely level of projected overspend on CLA.
34. In Health & Community Services, there are several variances which have resulted in the adverse variance of £567k. These are:
- Policy and Service Reviews; where planned savings of £2.5m were based on a full year savings from raising the eligibility threshold from Moderate to Substantial. Savings of £1.642m have not been achieved because the savings projected by assuming that clients listed as of moderate needs would no longer receive a service, have not all materialised in the initial review. Alternative savings are being sought and a second, more robust, review is taking place.
  - Homecare Savings from retendering block contracts; where savings of £600k will not be achieved in 2009/10. Legal technicalities highlighted by the corporate legal team have led to unforeseen delays in the retendering exercise. Interim extensions have been put in place

that will achieve some savings, but the main exercise now will not be conducted until 2010. Alternative savings are being sought within the department, aimed at minimising the impact of adverse movements.

- Council-wide review of benefits advisory services; where savings of £125k will not be achieved in 2009/10. This is a corporate co-ordinated exercise and a review is being undertaken that will deliver some of the corporate target. Savings are being pursued in other areas with Older People budgets, e.g. agency staffing and other non-care budgets.

35. An additional saving of £1.8m has been made as a result of a series of management savings around non-care costs.

36. Of the original £2.3m planned savings in DCE, an adverse variance of £291k is projected. There are two main reasons for this variance which are as follows;

- Contract efficiency savings of £181k are not expected to be achieved due to the termination of the Liberata contract from April 2011.
- Efficiency savings related to service improvement associated with Housing Benefit overpayments were expected to be £150k. However, the levels of overpayment recovered have not increased as much as anticipated during the year, and as such the saving is now expected to be £40k.

However to offset this adverse variance, substitute savings have been found within revenues and benefits

37. In HRA, there are several variances leading to the adverse variance of £846k. These are:

- Agreed savings on legal fees; where the target of £100,000 is not expected to be met due to demand-led activity running above budget target, and this has meant the anticipated reduction in volumes has not materialised.
- Agreed savings resulting from recruitment drag; where the agreed target of £1,147k will have a shortfall of £613k due to the need for additional capacity and expertise within Estate Property Management to support key operational functions, e.g. major works, repairs and dealing with the effects of the tragic Lakanal fire.
- Agreed savings on parking income; where the agreed target of £240k will not be fully realised as activity is below the target on which the base budget assumptions were predicated, resulting in an adverse variance of £60k.
- Agreed savings on commercial rents; forecast has been reduced by £73k based on last year's actuals, rents in charge for this year, and potential voids due to the current economic climate.

### **Contingency**

38. As reported in quarter 2, £852k has been released from contingency to children's services.

### **Collection Fund**

39. As a billing authority, the council is required to maintain a collection fund account, which shows the transactions of the billing authority in relation to non-domestic rates and council tax, and demonstrates the way in which these have been distributed to preceptors and the general fund. The council must also take into account the estimated surplus or deficit on the Collection Fund balance when setting its council tax for the following year. At quarter 3, the council is

forecasting a surplus of £1.6m as at 31 March 2010, of which £1.2m is attributable to the council and £0.4m to the GLA.

40. The surplus is due mainly to higher than expected council tax billing in 2009/10, principally as a result of new developments being completed in the borough, and a reduction in discounts following a review of entitlements at the end of 2008/09.

### Reserves

41. The council retains a level of earmarked reserves and these are reported each year within the annual statement of accounts. These reserves are maintained so as to finance calls for expenditure for items that are difficult to predict and that are not included in revenue budgets or within the capital programme. They relate especially to invest to save opportunities that form part of the modernisation agenda and investment in regeneration and development where spend may be subject to unpredictable market and other influences.
42. The allocations to revenue budgets are reflected in Tables 1 and 2 and are subject to approval arrangements.

**Table 4: Summary of reserve movements as at Quarter 3 (M10)**

	<b>Opening balance</b>	<b>Change in reserves</b>	<b>Release of reserve for capital</b>	<b>Forecast closing balance</b>
<b>Reserve</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
General fund earmarked	(67,530)	3,677		(63,853)
DSG reserve	(4,082)	658	2,212	(1,212)
HRA earmarked	(18,176)	3,732		(14,444)
General Fund balances	(18,271)			(18,271)
<b>Total</b>	<b>(108,059)</b>	<b>8,067</b>	<b>2,212</b>	<b>(97,780)</b>

43. The change in earmarked reserves includes estimated future changes. The projected planned calls on general fund earmarked reserves include £2.0m for the modernisation and improvement programme, which includes £0.5m contribution for the Southwark Circle project from the financial risk reserve. £1.1m for regeneration projects Bermondsey Spa and Canada Water, Aylesbury and or Southwark Schools for the Future. In addition £0.85m in relation to the costs of transition to in-house provision of the revenues and benefits service.

### Community Impact Statement

44. This report monitors expenditure on council services, compared to the planned budget agreed in February 2009. Although this monitoring report has been judged to have no or a very small impact on local people and communities, future decisions to manage predicted adverse variances may require detailed consideration of the impact on local people and communities as appropriate including consultation where required.

**BACKGROUND DOCUMENTS**

<b>Background Papers</b>	<b>Held At</b>	<b>Contact</b>
Revenue Monitoring 2009-10	160 Tooley Street	Vernon Smith 020 7525 7355

**APPENDICES**

<b>Appendix</b>	<b>Title</b>
A	Detailed explanation of key forecast outturn variances from budget as at Quarter 3
B	Additional risks that may impact on the forecast outturn
C	General Fund and HRA 2009/10 year-end position as at quarter 2

<b>Lead Officer</b>	Duncan Whitfield, Finance Director		
<b>Report Author</b>	Jennifer Seeley, Deputy Finance Director		
<b>Version</b>	Final		
<b>Dated</b>	11 March 2010		
<b>Key Decision?</b>	Yes	<b>Date on Forward Plan</b>	
<b>CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / EXECUTIVE MEMBER</b>			
<b>Officer Title</b>	<b>Comments Sought</b>	<b>Comments included</b>	
Strategic Director of Communities, Law and Governance	No	No	
Finance Director	Yes	Yes	
<b>Executive Member</b>	Yes	Yes	
<b>Date final report sent to Constitutional/Community Council/Scrutiny Team</b>	11 March 2010		



Detailed explanation of key forecast outturn variances from budget as at quarter 3

Service and Division	Explanation
<b>Children's services</b>	
5-11 Services Budget £ 11,071k Forecast £ 11,818k Variance £ 747k	This projected adverse variance relates to continuing increased costs on the council's Home to Schools contract for the transport of pupils with SEN. The number of pupils transported is up by 22 to 408 but more significantly, there has been an increase in the number of rounds from 93 last year to 110 this year (additional 17 rounds). In advance of the retendering of the contract for the provision of this service from August 2011, consultancy support has been sought from KPMG to identify options for achieving shorter term savings within the existing contractual arrangements. As a result, a number of immediate measures to reduce costs were introduced from September. These include the use of the corporate taxi contract (rather than the Home To School contract) to transport pupils who do not need to be escorted and to negotiate a lower contract specification with regard to the age of vehicles and the provision of named drivers.
Other Children's services budgets Budget £ 38,572k Forecast £ 37,664k Variance ( £ 908k)	In order to contain the projected overspend on Home to School Transport, strong management action has been taken to reduce costs across all other non-frontline Education budgets. It has been possible to identify increased savings in the 0-5 service and from implementation of the new structure for integrated youth support. Further reductions in expenditure are being achieved through reduced use of agency cover and through the review of recruitment plans across the service. Strict expenditure controls have now been put in place for the remainder of the financial year and options continue to be explored to examine any flexibility to utilise specific grant to support core funded activities.

Detailed explanation of key forecast outturn variances from budget as at quarter 3

Service and Division	Explanation
<p>Specialist Children’s Services                      Budget £ 49,705k                      Forecast £ 51,614k                      Variance £ 1,909k</p>	<p>The service has experienced significant increases in the number of high cost placements for looked after children over the last 18 months. The additional costs arising from these placements during 2008-9, were offset by a one-off ‘windfall’ of asylum seekers grant totalling some £1m. We are currently projecting a total adverse variance of some £1.2m on these CLA placements during 2009/10. This includes increased costs of some £560k relating to an increase of 6.2 (or 21%) in high cost residential placements and £365k in respect of an increase of 10.5 (or 36%) in semi-independent placements.</p> <p>Further increases in costs of some £0.7m are projected on disability placements, direct payments and accommodation costs relating to families with no recourse to public funds.</p> <p>Management action has been taken throughout the year to seek to offset these spending pressures and reductions in costs totalling some £0.7M have already been built in to the projections. These have been achieved by more efficiently combining funding streams to commission services more effectively and by reducing agency staff and delaying recruitment in non-safeguarding areas. It is still anticipated that further such savings will be achievable in the remaining 2 months of the financial year.</p>

Detailed explanation of key forecast outturn variances from budget as at quarter 3

Health and Community Services	
<p>Summary</p> <p>Budget £ 100, 323k                      Forecast £ 101, 875k                      Variance £ 552k</p>	<p>Adult Social Care is forecasting an adverse variance of £552k at 31st January 2010 for 2009/10. This is an improvement on quarter 2 when the projected overspend was £752k. The main reason for the movement is ongoing management action to reduce the adverse variance to a balanced budget position by year end. Management action consists of an extensive programme of efficiencies and savings in progress amounting to approximately £4m, which reflects the budget shortfall caused mainly by fewer than expected clients leaving the service as a result of the eligibility review, plus emerging pressure on the LD and PD budgets, increased client numbers and the high cost of providing care for those clients.</p>
<p>Budget £ 23, 476k                      Forecast £ 24, 593k                      Variance £ 1,116k</p>	<p>Learning Disabilities</p> <p>There are continuing pressures in Residential Care placement costs. This reflects increased client numbers and the high cost of providing care for those clients.</p>
<p>Budget £ 24,872k                      Forecast £ 26,163k                      Variance £ 1,291k</p>	<p>Older People services and Intermediate Care Team</p> <p>Considerable efforts are underway to achieve efficiencies and savings to compensate for fewer than expected clients leaving the service as a result of the eligibility review</p>
<p>Budget £3,346k                      Forecast £2,678k                      Variance (£ 668k)</p>	<p>Central Finance</p> <p>Staff savings and budgets frozen to offset adverse variances.</p>

Detailed explanation of key forecast outturn variances from budget as at quarter 3

<p>Budget £48, 628  Forecast £47, 441  Variance (£ 1, 187)</p>	<p>Other HCS budgets and variance</p> <p>There are a number of other budget variances that include:</p> <p>Savings in Staffing and higher than budgeted efficiencies to third parties within supporting people.</p> <p>Over achievement of income targets through improved debt recovery processes.</p> <p>Planned shortfall in the spend relating to Learning Disabilities Non Pool Budgets.</p> <p>Other savings from management action including non care spend.</p>
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Detailed explanation of key forecast outturn variances from budget as at quarter 3

Environment and Housing	
<p>Summary</p> <p>Budget £75,678k Forecast £76,112k Variance £ 434k</p>	<p>Departmental budget pressures centre around the continued costs of the leisure and culture units exceeding budgeted levels, income run rate being below budgeted levels and residual costs of units proposed for closure or reorganisation to meet savings target.</p> <p>On the plus side there is one off underspend within the waste management contract which reduces the departmental pressure overall to £434k. It is anticipated that the management action currently being undertaken will reduce this variance further.</p>
<p>Public Realm</p> <p>Budget £10,568k Forecast £10,837k Variance £ 269k</p>	<p>The main adverse variance is in the Parks Business Unit and is due to projected shortfall in income within Cemeteries from failure to be able to increase fees and charges. As a result of a zero based budgeting exercise carried out to explore opportunities for reducing costs and increasing income, the previously reported adverse variance has decreased. There are also budget pressures in South Dock Marina due to a decrease in expected income of about £69k. There is a substantial risk that Parking income will underachieve by as much as £300k this year- this is not yet reflected in the figures as Parking income is notoriously difficult to predict. As soon as there is more certainty on the outcome, a figure will be included. The economic downturn and better compliance are possible reasons.</p>
<p>Community Safety</p> <p>Budget £14,163k Forecast £14,263k Variance £ 100k</p>	<p>The anticipated adverse variance of £100k reflects unbudgeted staff costs due to delays in implementing the revised structures within the division. It is anticipated that the recruitment freeze for the rest of the year and detailed review of the staffing structure will reduce the adverse variance for the division.</p>
<p>Waste Management and Transport</p> <p>Budget £27,926k Forecast £27,446k Variance (£ 480k)</p>	<p>The division is currently projecting a one off underspend of £480k mainly due to reduction in waste tonnage and performance deductions on the unitary charge on Waste PFI contract.</p>

Detailed explanation of key forecast outturn variances from budget as at quarter 3

<p>Culture, Libraries, Leisure and Learning</p> <p>Budget £12,757k  Forecast £13,301k  Variance £ 544k</p>	<p>Libraries are projecting an adverse variance of £80k, of which £40k is due to underachievement of income targets (Current IT network inadequate to cope with workload) and relocation of the Local History Library. Additional unplanned expenditure of £40k was incurred as a result of a break in in John Harvard Library. A strict moratorium on revenue spending has been in place within Libraries since 2007/08. A capital bid has been submitted as part of Capital Refresh to modernise IT systems, including network, in libraries.</p> <p>Leisure adverse variance mainly relates to the continued costs of the leisure investment programme with regard to the external consultancy costs (£222k) and additional costs due to delay in the start of the new Fusion contract (£145k) This is offset by savings of around £33k on facilities management and marketing to give a net adverse variance of £334k. The new agreement with Fusion was signed on 30th October 2009.</p> <p>Culture: Events is projecting an adverse variance of £90k from increased security and health &amp; safety requirements on larger events and change of venue for fireworks. Other budget pressures include £46k (net) incurred for Cuming Museum &amp; Collections Management for additional, storage and archiving costs as well as potential reduction in income (£24k) from the Film Service. The Head of Service is exploring ways of mitigating this by some tighter budgeting elsewhere in the division and as a result has reduced the total overspend by £30k compared to previous forecast.</p> <p>The Divisional Overheads is expected to generate a savings of (£30k) by delaying some of the non essential costs.</p>
<p><b>Major Projects</b></p>	
<p>Summary</p> <p>Budget £4,446k  Forecast £ 4,446k  Variance £ 0k</p>	<p>No variance from budget is projected.</p> <p>Note that budgets for 2009/10 are still under review in light of major reorganisation and consequent structural changes. Any additional budgetary requirement funded from regeneration reserves is subject to agreement and approval by the Finance Director.</p>

Detailed explanation of key forecast outturn variances from budget as at quarter 3

<b>Deputy Chief Executive</b>	
<p>Summary</p> <p>Budget £ 47,225k                      Forecast £ 47,249k                      Variance £ 24k</p>	<p>The adverse variance of £24k is within Client Services and has reduced significantly from previous months following a review of expenditure by the head of the service, which has resulted in a lower forecast for the level of expenditure on agency staff. In addition, new figures provided by Vangent show a lower volume of CSC calls and One Stop Shop visits than was previously forecast, and this has also contributed to the reduction in adverse variance.</p>
<b>Communities, Law &amp; Governance</b>	
<p>Summary</p> <p>Budget £13,758k                      Forecast £13,558k                      Variance (£ 200k)</p>	<p>There is a forecast underspend of £200k for the department. The reorganisations of legal support services and community engagement have been well managed and the prudent cost and savings estimates are both likely to show positive variances at year end.</p>
<b>Finance and resources</b>	
<p>Summary</p> <p>Budget £35,210k                      Forecast £35,210k                      Variance £ 0k</p>	<p>Although there are expected to be variances between certain areas, FMS is projected to be on budget for the year. Overspends on consultants and redundancy costs are offset by savings on external audit and salaries.</p>
<b>HRA</b>	
<p>Summary</p> <p>Net Budget £0                      Forecast £3,732k                      Variance £3,732k</p> <p>Reserves funding year end (£3,732k)                      Variance after reserves £0</p>	<p>Headline position shows c. £3.7m variance against budget at month 10, which represents an improvement over the position reported previously. There remains significant spending pressure in the system in relation to the day to day management and maintenance of the housing stock, together with other specific and extraordinary factors that have a disproportionate effect on the budget this year.</p> <p>Any shortfall will be a first call against HRA reserves, which have seen a marked decline in recent years and continue to be under severe pressure.</p>

Detailed explanation of key forecast outturn variances from budget as at quarter 3

<p>Strategic Services (HRA)</p> <p>Budget £105,298k  Forecast £102,169k  Variance (£ 3,129k)</p>	<p>This activity comprises all central overheads and non-operational functions within the HRA, specifically housing subsidy, debt charges and financing, CERA and central support charges and other shared service functions provided to the HRA.</p> <p>Interest receivable on cash balances is forecast to be c. £0.6m lower than budgeted. With LIBOR rates looking set to stay at a historically low average of around 0.5% for the year and balances brought forward (including the MRA Reserve) lower than expected due to the funding requirement for 2008/09 capital expenditure, the shortfall is acute in 2009/10 and has been factored into budget planning assumptions for 2010/11.</p> <p>The reduction in leaseholder major works billing referred to below is partially offset by a reduction in the contribution to the investment programme as this moves in proportion to the value of billing, currently estimated at £2.9m. This saving (£3.6m) needs to be considered alongside the negative income variance reported by HOU below, giving rise to an adverse impact of £1.9m net.</p> <p>However, this is likely to be further mitigated through the accounting treatment for major works income billed in previous years, but not recognised in the accounts until the current year (as required by the Audit Commission). It is not possible to accurately quantify the figure until year-end, but in the interim, a provisional estimate of £1m has been factored in.</p>
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Detailed explanation of key forecast outturn variances from budget as at quarter 3

HRA (continued)	
<p>Environment &amp; Housing (HRA) - Home Ownership Unit</p> <p>Budget (£30,556k) Forecast (£25,893k) Variance £ 4,663k</p>	<p>Headline position is distorted by virtue of the reduction in capital works billing referred to below, but the underlying position is an underspend comprising employees, running costs and Leaseholder Fund of circa £0.1m.</p> <p>Revenue Service Charges - £16.3m (net) has been billed at month 10 against a full year budget of £16.4m. Income collection performance shows £13.8m has been collected against a target of £15m. At this stage both collection and billing remain on target.</p> <p>Capital Service Charges – Net billing of £4.4m is assumed at month 10 against a full year budget of £10m, but this remains subject to further fluctuation as account adjustments continue to be processed over the remainder of the year. The extent of this year’s variance from budget occurs as programmed works assumed for budget planning purposes have been subject to alteration, postponement and cancellation. Notwithstanding the scale of the variation, it is substantially mitigated by a reduction in the level of revenue support to the Investment Programme of £3.6m, which is directly linked to the value of capital billing, thereby softening the effect on the I&amp;E (net £1.9m). In terms of income collection, £6.5m (including Major Works loans) has been collected against a target of £8m. It should be recognised that this represents solid performance (for both revenue and capital) against very challenging targets given the current economic conditions.</p> <p>Commercial Property – Net billing of £4.9m at month 10 and indications are that billing may undershoot the full year budget of £6.5m, as market activity is generally weaker than expected. Collection performance shows £4.2m has been collected to date, with a full year outturn estimated at £5.7m.</p>

Detailed explanation of key forecast outturn variances from budget as at quarter 3

<p>Environment and Housing (HRA) - Housing Management</p> <p>Budget (£92,074k) Forecast (£88,625k) Variance £ 2,449k</p>	<p>The forecast at month 10 has been revised following further review and analysis and comprises:</p> <ul style="list-style-type: none"> <li>• Employee Costs +£1.045m. Arises within Estate Property Management where there is a continuing need for additional capacity and expertise to support key operational functions. To be addressed through changes in the organisational structure during 2010.</li> <li>• Consultant Services +£642k. Provision of external validation of the stock condition survey and undertaking additional specialist work to enhance the SCS. Implementation of a dedicated Fire Risk Assessment (FRA) management team.</li> <li>• R&amp;M Contract +£564m. High volumes/ values of reactive repairs, greater than the budget can realistically sustain. Management actions introduced to control expenditure have stabilised the position to some extent, but greater impetus is required to bring this back on track. As we move towards 2010/11, existing expenditure levels cannot be sustained and it is crucial that volumes and unit costs are controlled more effectively to ensure this service is managed within the resource base.</li> <li>• Other R&amp;M +£697k. Increased expenditure on dry-risers, lightning protection and the installation of fire signage. These works have been prioritised and condensed into a shorter timeframe than originally planned.</li> <li>• Compensation, Legal &amp; Professional Fees +£688k. Cost of legal services within Area Management - an action plan is in place to reduce expenditure, through more robust management controls on disbursement &amp; estimating the cost of actions prior to commencement. However, the effects of this are yet to impact on spend forecasts.</li> <li>• Area Estate Costs +£220k. The cost of electricity in communal areas is running ahead of budget. A project is underway to map all meters to ensure accurate and timely readings and improve operational and financial control, in conjunction with the council's energy team.</li> <li>• Heating Contract -£547k. Savings generated through the new contract remain above those originally expected.</li> <li>• Works Contracts -£793k. Implementation of tighter expenditure controls and improved contract management are delivering savings against a number of works contracts, i.e. door entry, estate lighting, etc.</li> </ul>
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Detailed explanation of key forecast outturn variances from budget as at quarter 3

<p>Other Environment and Housing services</p> <p>Budget £14,245k  Forecast £14,413k  Variance £ 168k</p>	<p>In addition to the mainstream HRA, there are other major cost pressures which are of an exceptional nature and therefore being accounted for outside the revenue monitor at this point. Re-housing of Heygate residents as part of the regeneration programme, together with early activity on Aylesbury has major cost implications for which mainstream funding is limited. In addition, costs specific to the Lakanal House fire and associated safety works across the stock are now gearing up. It is too early to accurately quantify the potential revenue impact, nor investment needs, as the full ramifications remain uncertain. Landlord costs falling to the council after insured losses will be met through a combination of HRA revenue, earmarked reserves and Housing Investment Programme resources.</p>
<p>Other HRA services/budgets</p> <p>Budget £3,087k  Forecast £2,668k  Variance (£ 419k)</p>	
<p>HRA Reserves</p> <p>Outturn Variance -£3.732m</p>	<p>The ring-fenced nature of the HRA allows balances to be carried forward year on year to meet budget variations, which can either be negative or positive, giving rise to fluctuations in the level of reserves. In the event that these cost pressures cannot be fully mitigated during 2009/10, this will represent a first call on reserves. This is currently estimated at c. £3.7m to meet the revenue deficit, but could be higher dependant on the extent of project expenditure to be funded.</p> <p>HRA reserves stood at £18.2m at 31.3.09, of which circa half was committed for specific purposes, the remainder being held against various financial risks. With the myriad of calls on these funds during this financial year, it is expected that uncommitted reserves will fall to between 1 and 2 percent of gross HRA turnover (£2.7m - £5.3m), which given the size of Southwark's HRA is not sustainable and represents an increasing risk moving forward.</p>

Additional risks that may impact on the forecast outturn

Service	Division	Additional risk identified
<b>Health and Community Services</b>	All	<p>The following assumptions have been used in preparing this statement:</p> <p>The programme of management action is targeted with achieving a balanced budget at year end. This is under constant review by SMT and the Modernisation Board. The forecast only includes savings that are deemed to be realistic and achievable.</p>
<b>Environment and Housing</b>	Leisure Management (High risk)	<p>Although Surrey Docks and Dulwich leisure centres are included in the current refurbishment programme, there is a risk of further loss on income claims during closure and unforeseen expenditure as a result of planning requirements. There is also uncertainty about the level of unscheduled R&amp;M costs that will be incurred for maintaining remaining leisure centres which are included in the wider regeneration programme where decisions have not yet been made. As part of the Capital Refresh project, bids have been submitted for refurbishing Seven Islands and Elephant &amp; Castle centres.</p>
	Public Realm (Parking) (High risk)	<p>Although we are currently still projecting the Parking income to be on budget, the latest run rate shows that the risk is quite high and that the target income for the year will not be achieved. Our assessment of the situation is that Parking income could underachieve by as much as £300k (worst case scenario). The economic downturn and better compliance are possible reasons.</p>

**Additional risks that may impact on the forecast outturn**

Service	Division	Additional risk identified
	Public Realm (Street Markets) (Medium risk)	As a result of a delay in implementing increased fees and charges proposed for Street Markets, and actions taken to strengthen the management of the unit, the planned reduction of deficit brought forward from previous years will not be implemented in time. The cumulative deficit of £523k at the start of the year in this ring fenced account will become a call on the General Fund if adequate actions are not taken to clear the deficit. The Head of Service is working on a number of measures to compile a formal 3 year recovery plan to reduce the deficit and put the accounts on a better footing.
<b>Regeneration and Neighbourhoods</b>	Property services	There is a risk of delayed disposals and increased voids due to current market conditions.
	Community Housing Services	Volatile Homelessness numbers; Bed and breakfast unavailability and increased rates; Potential cost over-runs due to delays in handing over properties to previous Landlords; Final redundancy costs could exceed current projections.
<b>Communities, Law and Governance</b>	Legal Services	There are no significant risks currently faced by the department.

Additional risks that may impact on the forecast outturn

Service	Division	Additional risk identified
<p><b>Deputy Chief Executive</b></p>	<p>All divisions</p>	<p>Client Services includes the Revenues and Benefits service. The outturn on the benefits paid and related subsidy received depends upon factors which can only be determined at the year end. In previous years this has resulted in a large credit on these accounts. Although there is no reason to expect a change to this pattern in 2009/2010, it cannot be guaranteed.</p> <p>An inquest is to be held by the Southwark Coroner’s Service into the deaths caused by the fire that occurred in Lakanal House on 3 July 2009. It is not known when the inquest will begin or how long it will last, but it is thought that it may not begin until 2011. The cost of the inquest is likely to be substantial and it is not yet known how it will be funded, and there may be some preliminary costs associated with it in the current financial year.</p> <p>There are a number of shared services reviews either in progress or scheduled which will impact significantly on the DCE. If the full savings built into these reviews are not achieved this would have an adverse effect on the department’s variance.</p>
<p><b>Finance &amp; resources</b></p>	<p>All divisions</p>	<p>The finance shared service review is ongoing and involves significant changes to the way the service is delivered.</p> <p>There is a risk around the use of further consultancy services</p>

**Estimated projection of General Fund outturn position for 2009/10 as at quarter 2**

<b>General Fund</b>	<b>Full Year Budget £'000</b>	<b>Full Year Forecast £'000</b>	<b>Over (+) Under (-) spend £'000</b>
Children's Services	98,560	100,508	1,948
Health and Community Services	101,110	101,862	752
Environment and Housing	75,463	75,998	535
Regeneration and Neighbourhoods	39,369	39,492	123
Major Projects	6,600	6,600	0
Deputy Chief Executive	48,079	48,134	55
Communities, Law & Governance	14,083	14,083	0
Financial Management and IS	22,462	22,470	8
Strategic and Corporate	(60,008)	(62,154)	(2,146)
<b>Total General Fund before appropriations</b>	<b>345,718</b>	<b>346,993</b>	<b>1,275</b>
Appropriations to/(from) reserves	(5,404)	(5,404)	0
<b>General Fund Total</b>	<b>340,314</b>	<b>341,589</b>	<b>1,275</b>
Area based grant	(25,162)	(25,162)	0
<b>Net total</b>	<b>315,152</b>	<b>316,427</b>	<b>1,275</b>
Schools Budget	1,115	920	(195)
Appropriation to/(from) DSG reserves	(1,115)	(920)	195
<b>Total</b>	<b>315,152</b>	<b>316,427</b>	<b>1,275</b>

**Estimated projection of HRA outturn position for 2009/10 as at quarter 2**

	<b>Full Year Budget £'000</b>	<b>Full Year Forecast £'000</b>	<b>Over (+) Under (-) spend £'000</b>
Housing Revenue Account	0	4,759	4,759
Appropriation to/(from) HRA reserves	0	(4,759)	(4,759)
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>

<b>Item No.</b>	<b>Classification:</b> Open	<b>Date:</b> 23 March 2010	<b>Meeting Name:</b> Executive
<b>Report title:</b>		Local Area Agreement Refresh	
<b>Ward(s) or groups affected:</b>		All	
<b>From:</b>		Deputy Chief Executive	

## RECOMMENDATION(S)

1. To agree the proposed changes to the Local Area Agreement resulting from negotiations between officers and civil servants, as set out in paragraphs 10, 14, 16, 21, 24, 28 and 29.

## BACKGROUND INFORMATION

2. During the LAA refresh process, in 2009, a number of issues were left unresolved, namely:
  - **NI 40 - Drug Users in effective treatment:** Following a disagreement between the borough and the Government Office for London (GOL) over the baseline for this indicator, no target was agreed for this indicator for 2010-11, and it was agreed to return to it in the 2009-10 refresh process.
  - **NI 112 - Teenage conceptions:** The Government Office for London (GOL) originally proposed a target for 2010-11 of 34.9 per thousand, which would have represented a 60% reduction from the 1998 baseline. This was regarded by the borough as unrealistic but the original proposed target then became an imposed target, contrary to the guidelines for agreeing a LAA. Following further representations by the Council, GOL invited the borough to leave the target for 2010-11 blank, and to negotiate a target during the 2009-10 refresh process. The Executive agreed this proposal.
  - **NI 146 - Adults with learning disabilities in employment and NI 150 Adults in contact with secondary mental health services in employment -** These were new indicators for which no baseline data was available. The borough committed to a statistically significant improvement calculated in accordance with the Target Negotiation Brief on data for the year 2008-09 as the target for 2010/11.
3. In addition, four indicators within the LAA were deemed by the Government to be particularly affected by the recession. At the invitation of GOL, the Executive agreed not to revise these targets in the 2008-09 refresh, but to do so in 2010 when the effects of the recession were clearer. The affected indicators are as follows:
  - **NI 152 - Working age people on out of work benefits**
  - **Local Indicator - Working age people on out of work benefits – in the worst areas**
  - **NI 154 Net additional homes provided**
  - **NI 155 Number of affordable homes delivered (gross)**



4. The present report makes a number of recommendations on amendments to the LAA, following discussions with GOL.

#### **NI 40 - Drug Users in effective treatment**

5. The 2008-11 Local Area Agreement (LAA) originally adopted the PCT Vital Signs targets for growth in numbers in effective treatment for substance misuse as follows.

<b>Baseline (2006/07 unless otherwise stated)</b>	<b>08/09</b>	<b>09/10</b>	<b>10/11</b>
07/08 baseline data not available until Aug 08	12% increase on 07/08 outturn	24% increase on 07/08 outturn	30% increase on 07/08 outturn

6. Following an unresolved disagreement between the borough and the Government Office for London (GOL) over the appropriate baseline figure for this indicator, no target was agreed for 2010-11, and it was agreed to return to it in the 2009-10 refresh process.
7. It became evident that, whichever baseline is used, the current LAA targets are unachievable. Agreement in principle has been reached with GOL to cease to include NI 40 within the LAA and to replace it with a local indicator. This would have the dual advantage of allowing the borough to set a target that is meaningful and removing an unattainable target from the LAA performance grant calculation, thereby ultimately benefiting the borough financially.
8. It is therefore proposed to replace NI 40 with an indicator used by the PCT as one of its 10 priority outcomes under the World Class Commissioning (WCC) framework, namely: the percentage of users in effective treatment (as measured by duration in treatment exceeding 12 weeks).
9. The reasons for this change can be summarised as follows:
- the percentage of service users in effective treatment is a better quality outcome measure than the absolute numbers in effective treatment .
  - the numbers in treatment measure is based on data that has proved to be highly volatile, and there have been difficulties obtaining stable baseline data from the NTA.
  - in the World Class Commissioning framework for 2009/10, the percentage of service users in effective treatment is a recognised national outcome measure, whereas the numbers in treatment is not.
10. The proposed targets, which align with the draft PCT Commissioning Strategy Plan as at January 2010, are as follows:

<i>Percentage of Drug Mis-Users Sustained in Effective Treatment (World Class Commissioning Outcome Ref. 43)</i>			
2008/09 (Baseline)	2010/11	2011/12	2012/13
87%	89%	89.5%	90%

11. Although the PCT will not be using the numbers in treatment as a WCC outcome, it will remain as a Vital Signs target. The PCT will be seeking to amend the numerical value of the target in the Vital Signs refresh process to reflect the data quality issue referred to above. Specifically the PCT will be adjusting the growth targets downwards to correspond to the changed baseline data so that the growth target remains consistent in proportional terms with initial intentions.

#### **NI 112 - Teenage conceptions**

12. The Government Office for London Target has advised the borough that:

“Areas which have not signed off Year 3 targets should be encouraged to agree to include their original Teenage Pregnancy Strategy 2010 target. If they do not agree Year 3 can remain blank. There should, however, be no agreement to lower targets.”

“Areas will be consulted on ambitious but realistic future three year targets beyond 2010/11. This consultation is likely to take place from the end of February 2010 when Ministers announce the next phase of the Teenage Pregnancy Strategy.”

13. The indicator will not be taken into account when setting Reward Grant in areas that do not set a target for year three.
14. The borough has consistently regarded the imposition of national teenage pregnancy strategy targets as an unrealistic imposition. Therefore, it is recommended that no target be set for 2010-11 within the LAA.

#### **NI 146 - Adults with learning disabilities in employment and NI 150 Adults in contact with secondary mental health services in employment**

15. These were new indicators for which no baseline data was available when the LAA was agreed. In the 2009 refresh, the borough committed to a 'statistically significant improvement' on data for the year 2008-09 as the target for 2010-11.
16. However, the data for 2008-09 is an estimate of the full year's data, based on Q2 to Q4 data only, as previous quarters' data has not been collected. GOL has agreed that the borough can set 2010-11 targets that are at least a statistically significant increase on 2009-10 data. However, this will not be available until later in 2010. The quality of 2009-10 data is likely to be considerably better than that for 2008-09. Therefore, it is recommended that target setting for these indicators be deferred until the 2009-10 data is available.

#### **NI 152 - Working age people on out of work benefits:**

17. The current May 2011 NI 152 target for the proportion of working age residents on out of work benefits in Southwark is 13.1%, indicating a need to move 2,786 working age residents into employment between May 2009 and May 2011.

18. NI 152 figures from quarter 4 of 2007-08 onwards have been recalculated to reflect the latest 2008 Office of National Statistics (ONS) population estimates<sup>1</sup>. The table below shows the overall reductions that Southwark and London have achieved between the May 2007 baseline and May 2009, the latest date for which figures are available. It can be seen that, over this period, Southwark achieved a reduction of 1.1% and London a reduction of 0.2%.

**Table 1: Working age people on out of work benefits**

	NI 152 Baseline (2007)	Latest NI 152 figure* (May 2009)	Actual May 2011 target
<b>Southwark</b>	<b>15.6%</b>	<b>14.5%</b>	<b>13.1%</b>
London	13.0%	12.8%	N/A

\*) These have been recalculated to reflect the latest population estimates

19. Jobseekers' Allowance (JSA) has been the main driver of increases in out-of-work benefits stocks, both for Southwark and London. However, in recent months, the position of Southwark relative to the rate for Greater London has worsened, as the recession deepened. (Between May and November 2009, for example, there was an increase of 4.8% in Southwark's JSA stock, while the London growth rate was 4.0%.) It is therefore difficult to predict how Southwark's economy will develop either absolutely or in relative terms over the final year of the LAA, which makes setting a target problematic.
20. To mitigate the effects of the uncertain state of the economy on target setting, GOL has proposed that the borough should set a comparative target, relative either to Greater London or England as a whole, rather than set an absolute target for the rate of worklessness. It is recommended that such a course of action be followed, and that Greater London be used as a comparator, as the London labour market is much more similar to that of Southwark than England's.
21. Table 2 shows how the gap between Southwark's worklessness rate and that of London has narrowed since the baseline year of 2007. In past recessions, Southwark is known to have performed worse than London as a whole. In view of this, it is not considered practicable to set a target for further narrowing of the Southwark/London gap. Instead, it is proposed to set a target for 2010-11 that would maintain the current gap (i.e. -1.7%). GOL has agreed this approach.

<sup>1</sup> This has had the effect of lowering the borough's NI 152 figures.

**Table 2: The proposed refresh target**

	NI 152 Baseline gap	Current gap	Proposed 2010-11 refresh target
Southwark/London Gap	-2.6%	-1.7%	By May 2011 (Q2) to narrow the gap to the London average to a maximum of -1.7 percentage points.

**Local Indicator - Working age people on out of work benefits – in the worst areas**

22. This indicator is derived from NI152. It gives the aggregate rate for all of the Lower Layer Super Output Areas (LSOAs) in the local authority area that had an Out of Work Benefit claimant rate of 25% or more. In Southwark, the LSOAs identified belong to the following wards; East Walworth, Camberwell Green, Nunhead, Peckham, Cathedrals, Livesey & Brunswick Park. The current target is to reduce the Southwark rate for these areas from 26.88% in May 2007 to 22.72% in 2010-11.
23. As with NI 152, this indicator has been adversely affected by the recession. It is proposed that targets be set on the same basis as for NI 152 (i.e. to maintain the current gap between the borough's rate and that of Greater London), which is currently 3.3%.
24. The following target is therefore proposed: 'By May 2011, to achieve a gap between Southwark and the London average of no more than 3.3 percentage points'.

**NI 154 Net additional homes provided**

**NI 155 Number of affordable homes delivered (gross)**

25. The economic downturn has had a significant impact on both of these indicators in Southwark. Revised, lower targets have been negotiated with GOL, as set out below. It is recommended that these be agreed.

NI154

26. The existing targets for NI 154 are based on the council's current London Plan target of 16,300 net additional dwellings over the life of the plan. This equates to an average of 1,630 homes completed per annum over the course of the plan. These figures are mirrored in the existing LAA targets of 1,630 per annum over the 3 years of the LAA.
27. In the year 2007-08, the borough completed 2,200 new homes. In 2008-09, provisional outturn data showed that this fell by 811, to 1389 (241 below the target). Between 2005 and 2008 the borough's ability to meet its annual target of 1,630 was aided by a buoyant property market. Prior to this, completion figures were much lower. The improvement in housing development is expected to lag behind any

general economic recovery for at least the next two years and the 1,630 target is not expected to be met during this period.

28. The following table shows the current and recommended revised targets for this indicator. The new targets are based on the number of net additional homes completed in 2008-09. In the current economic climate, the revised targets are considered to be challenging but achievable.

<b>NI 154</b>	<b>2008/9</b>	<b>2009/10</b>	<b>2010/11</b>	<b>3 Year Total</b>
Current Targets	1,630	1,630	1,630	4,890
Proposed Revised Targets	1,389 (provisional outturn)	880	1,492	3,761

#### NI 155

29. The targets for NI155 have been revised, as set out in the table below, to reflect delays in a number of programmed developments as a direct result of the recession. The revised targets have been produced in consultation with the Southwark Housing Strategic Partnership and with reference to a comprehensive local evidence base, including a Southwark housing requirements study, a recently developed in-house supply and demand model, the sub-regional Strategic Housing Market Assessment and other Southwark Council internal housing data. The targets are also consistent with the council's revised Housing Strategy, its emerging Local Development Framework and the South East London Housing Partnership Housing Strategy.

<b>NI 155</b>	<b>2008/9</b>	<b>2009/10</b>	<b>2010/11</b>	<b>3 Year Total</b>
Current Targets	500	900	815	2,215
Proposed Revised Targets	479 (provisional outturn)	650	802	1,931

#### **Community Impact Statement**

30. The Local Area Agreement drew on extensive consultation that took place in the development of Southwark 2016, the Sustainable Community Strategy. As such, it reflects the priorities established during that process. Key among these is the commitment to closing the gap by improving the life chances of Southwark's most deprived communities. Southwark 2016 and the borough's other key strategies that will deliver against the LAA priorities have been subject to Equality Impact Assessments. The proposed changes do not fundamentally change the LAA.

#### **Resource implications**

31. The LAA needs to be delivered within the existing resources of the council and its partner organisations. Any financial implications of specific decisions taken by the council regarding the delivery of the LAA will be part of the Council's broader policy and resources strategy and budget process.

#### **Consultation**

32. The LAA Refresh draws on the previous consultations on Southwark 2016 and Southwark's first LAA. There has also been a series of meetings with lead officers from relevant departments and thematic partnerships. External partners have been consulted on, and are in accord with, any proposals for which they will be responsible. As noted above, the Southwark Alliance Board has also considered the LAA Refresh proposals. Negotiations will continue with council departments, partners and the government over the coming weeks.
33. Under Section 113 of the Local Government and Public Involvement in Health Act 2007, there is a duty to publish information about local area agreements, and, in particular, the responsible local authority must publish a memorandum whenever an LAA is modified. This will be posted on the council and Southwark Alliance web sites.

### **SUPPLEMENTARY ADVICE FROM OTHER OFFICERS**

#### **Strategic Director of Communities Law & Governance**

34. Actions relating to the Local Area Agreement (LAA) are local choice functions, i.e. the Council can choose whether they are executive or non-executive functions. The Council Assembly has delegated the functions concerning the LSP and the formulation of the LAA to the executive.
35. Part V of the Local Government and Public Involvement in Health Act 2007 ("the 2007 Act") imposes new duties in connection with local improvement targets. Section 106 (2) of the 2007 Act requires the Council to do the following in preparing a Local Area Agreement (LAA):
- Consult with partner authorities and other such persons as seem appropriate;
  - Cooperate with partner authorities in determining local improvement targets relating to the partner authority;
  - Have regard for the Sustainable Community Strategy prepared under Section 4 of the Local Government Act 2000 and any guidance issued by the Secretary of State
36. There is no statutory provision for resolving disputes. However, the CLG document 'Negotiating New local Area Agreement' dated September 2007 states 'Nevertheless appropriate mechanisms for resolving conflict, will need to be agreed between the GO and central departments on the one hand, and the GO and local partnerships on the other as part of the opening of negotiations. If these were agreed this should be carried out before writing to the Secretary of State.'

#### **Finance Director**

37. The council's contribution to the LAA partnerships will be subject to the Council's existing financial and commissioning arrangements. The delivery of targets must be achieved within the constraints of the Council's broader policy and resources strategy and budget process.

**BACKGROUND DOCUMENTS**

<b>Background Papers</b>	<b>Held At</b>	<b>Contact</b>
Development of the new LAA framework - Operational Guidance 2007, HM Government	PO Box 64529 London SE1P 5LX	Steve Tennison 020 7525 7557 <a href="mailto:Lsp.co-ordinator@southwarke.gov.uk">Lsp.co-ordinator@southwarke.gov.uk</a>
2009/2010 LAA Review, Advice Note for Government Offices, HM Government	As above	As above

**AUDIT TRAIL**

<b>Lead Officer</b>	Eleanor Kelly, Deputy Chief Executive	
<b>Report Author</b>	Graeme Gordon & Steve Tennison	
<b>Version</b>	Final	
<b>Dated</b>	12 March 2010	
<b>Key Decision?</b>	Yes	
<b>CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / EXECUTIVE MEMBER</b>		
<b>Officer Title</b>	<b>Comments Sought</b>	<b>Comments included</b>
Strategic Director of Communities, Law & Governance	Yes	Yes
Finance Director	Yes	Yes
Executive Member	Yes	No
<b>Date final report sent to Constitutional/Community Council/Scrutiny Team</b>	12 March 2010	

<b>Item No.</b>	<b>Classification:</b> Open	<b>Date:</b> 23 March 2010	<b>Meeting Name:</b> Executive
<b>Report title:</b>		Southwark's Alcohol Strategy 2009-2012	
<b>Ward(s) or groups affected:</b>		All wards	
<b>From:</b>		Strategic Director of Environment and Housing	

## RECOMMENDATION

1. That the Executive considers the priorities and recommendations set out in the proposed Safer Southwark Partnership Alcohol Strategy 2010/12 (See Appendix 1).
2. The draft Alcohol Strategy proposes key priority areas as follows:
  - Children and Young People (CYP): Recommendations include: Young people having access to a specialist substance misuse service and raising the profile of substance misuse treatment, training and education.
  - Health and Social Care Recommendations include: Ensuring that Southwark's "Health and Inequalities Strategy 2009-20" and the Safer "Southwark Partnership Alcohol Strategy 2010-12" have a joined up approach to identify where alcohol has a significant impact on the health priorities for Southwark.
  - Crime and Community Safety: Recommendations include: Improving the information on the extent to which alcohol is a cause of crime and anti social behaviour and using the full range of new and existing powers to address alcohol related crime and anti social behaviour while ensuring that particular groups are not targeted inappropriately.

## BACKGROUND

### National Background

3. Most people in the UK who drink alcohol do so in moderation, without causing harm to themselves or others. However, we know that, when consumed in excess, alcohol can have a significant affect on individuals, families and the wider community. Alcohol misuse places a huge burden on health and social care services and the criminal justice system.
4. Over the last decade the affects of alcohol use on health, quality of life, social issues and crime have been well researched and documented. National statistics tell us that:
  - In 2006/07 it was estimated that the cost of alcohol related harm to the National Health Service in England was £2.6 billion
  - In 2007 6,541 deaths in England were directly related to alcohol consumption



- In 2007/08 there were 863,300 alcohol related hospital admissions an increase of 69% since 2002/03.
5. In June 2007 the Government published the next steps in the National Alcohol Strategy: '*Safe. Sensible. Social.*' This document reviewed progress since the publication of the Alcohol Harm Reduction Strategy for England (2004) and outlined further national and local actions to achieve long-term reductions in alcohol-related ill health and crime. For the first time the strategy makes it a priority to protect young people from alcohol related harm.
  6. The strategy also highlights the needs of eighteen-twenty four year old binge drinkers and young people under eighteen who drink alcohol and cause or experience harm to themselves their communities and their families. The strategy states clearly that it is essential that cultural attitudes towards binge drinking change and it identifies a number of ways to tackle the effects of alcohol-related crime.

### **Local Background**

7. Recorded figures tell us that alcohol is having an impact on the health and well being of residents, young and old, families and communities in Southwark and this reflects the national trend of rising rates of alcohol-related hospital admissions. Southwark has the seventh highest rate of alcohol-related ambulance callouts in the UK. Also alcohol is linked to high levels of domestic violence and other violent crime in the borough as well as to anti-social behaviour including street drinking.
8. An alcohol "Harm Reduction Framework for Southwark" was written in 2006 to identify key priorities and the work strands for this new strategy.
9. The attached strategy was presented to the Safer Southwark Partnership, Southwark Alliance and Healthy Southwark during 2009 where feedback was received and incorporated into the development of the strategy.

### **KEY ISSUES FOR CONSIDERATION**

10. There is a statutory duty on Crime and Disorder Reduction Partnerships to have a strategy that addresses alcohol-related crime and disorder. Government guidance in line with the national alcohol strategy '*Safe. Sensible. Social.*', calls for strategies that go beyond a crime focus and also address health harms and the impact of alcohol on children and families.
11. The Safer Southwark Partnership Alcohol Strategy 2010/12 identified three priority areas:
  - Children and Young People
  - Health and Social Care
  - Crime and disorder.
12. A delivery action plan (Appendix 3) has been produced as part of the strategy. The action plan sets out the key areas of improvement for each of the above priorities with a specific focus on:
  - Data / information gathering

- Prevention /education
- Treatment
- Enforcement.

13. The action plan covers the following:

- Ensuring the use of the full range of new and existing legal powers while ensuring that particular groups are not targeted inappropriately
- Improving the collection of a wider range of data and intelligence on alcohol related crime and anti social behaviour in Southwark
- Raising awareness of the links between alcohol misuse and sexual offences
- Commissioning a new Young people's specialist substance misuse service
- Ensuring that the annual substance misuse needs assessment includes information relating to alcohol misuse
- Raising the profile of substance misuse treatment, training and education
  - a. Increasing user involvement in the planning and review or provision, including young people, carers and parents
  - b. Establishing a Health and Social Care working group that will look at expenditure and prevalence relating to alcohol misuse.

Initial consultation and research indicates that needs assessment data relating to alcohol misuse is currently very limited. However national research shows specific issues faced by particular equality groups when it comes to alcohol misuse.

14. Strengthening the collection of alcohol related information to identify areas of greatest inequality will be critical to the successful delivery of the Safer Southwark Partnership Alcohol Strategy.
15. The Safer Southwark Partnership has set up an alcohol strategy implementation group to performance manage delivery of the action plan and the recommendations from the Equality Impact Assessment.

### **Policy Implications**

16. The strategy is driven by government policy and legislation.
17. The strategy has been prepared under the Police and Justice Act 2006. This statutory framework required the responsible authorities in local areas to have formulated a strategy to tackle crime, disorder and Anti Social Behaviour (ASB), as well as a strategy to tackle substance misuse including alcohol by 2008. This is one of the key commitments of the programme of local partnership work outlined in the National Alcohol Strategy (Safe Sensible Social).
18. Alcohol misuse has an extensive impact across society. Consequently Southwark's alcohol strategy seeks to address all the equality, diversity and social cohesion areas impacted by alcohol and its misuse.

## Community Impact Statement

19. A full equalities impact assessment has been conducted as part of this strategy . The key findings from the equalities impact assessment are:
  - Specific financial support is not as clearly available for alcohol treatment services unlike substance misuse.
  - Data relating to the harm caused by alcohol is fairly poor across the borough but national research shows different specific attitudes across different cultures towards alcohol misuse.
  - The population of Southwark is growing by as much as 4,000 per year with a younger age structure and a diverse multi ethnic population.
20. The Equality Impact Assessment will be published along with the strategy once it has been approved
21. Within the strategy we will consider targeted and innovative partnership approaches required to respond to groups such as new migrant communities who have limited access to health care services and benefits.
22. The Council's alcohol strategy advocates the use of coordinated approach across all stakeholders and agencies including the police, health and social care authorities in order to adequately address local and national concerns on the effect of anti social behaviour and related crime connected with alcohol misuse. (A coordinated approach is necessary to effectively address local concerns around crime and anti-social behaviour and to reduce negative perceptions of anti-social behaviour including drunk or rowdy behaviour and to make communities safer.)
23. Action taken particularly in relation to enforcement will be lawful, legitimate, necessary, proportionate and within the ambits of Regulation of Investigatory Powers Act, Human Rights Act and Data Protection Legislation. This coordinated approach has been adopted to prevent crime and disorder.
24. This strategy is in accordance with the objectives in the Council's Equality and Human Rights Scheme as it aims to improve services for disadvantaged groups. The needs assessment being conducted over the next eighteen months will involve consulting with members of the Southwark community from the six equalities strands as well as travellers and refugees and asylum seekers to develop local knowledge of the impact of alcohol on these communities. We will also assess the impact of alcohol on both our older and vulnerable residents within our community.

## Resource implications

25. At this stage there are no funding implications for the action plan beyond officer time to undertake the development activity outlined in the action plan.
26. Further resources may be required as each of the areas for action identified in the plan move forward.

27. The implementation of the proposed strategy as outlined in the action plan will be contained within the existing resources of the Safer Southwark Partnership.
28. However if implementing any of the subsequent action plans requires additional resources a further report setting out costs and funding sources must be submitted before committing any Council resources.

### **Consultation**

29. The action plan and the strategy has been circulated to key statutory and voluntary sector partners including the following boards Safer Southwark Partnership, Southwark Alliance and Healthy Southwark.
30. A stakeholder's conference was held on February 24<sup>th</sup> after ongoing consultation with key statutory and voluntary sector partners.
31. Following the ongoing consultation with key stakeholders a public consultation was held during July on the PCT website.
32. All comments were taken into consideration and helped to shape the development of writing the 2010-12 alcohol strategy.
33. Irene Ahern, London Fire Brigade: "The Borough Commander Andrew Snazell and I were involved in consultations held with key stakeholders in the development of the Southwark Alcohol Strategy. As members of the steering group we were kept well informed of progress throughout and both attended a conference to launch the draft strategy in February 2009. We fully support the strategy and implementation plan."
34. Strategic Director of Health and Community Services and Chief Executive of NHS Southwark: "Southwark Health and Social Care have been involved in the development of this strategy and fully support the recommendations and implementation plan."
35. The MPS Southwark Borough Commander has been consulted and key officers have been involved in the development of this strategy

### **SUPPLEMENTARY ADVICE FROM OTHER OFFICERS**

#### **Strategic Director of Communities, Law & Governance (Env/GG/211209)**

36. Part 3 of the constitution delegates the agreement of policy in relation to the social, environmental and economic needs of the area. As this matter affects more than one portfolio it is a decision for the full executive.
37. The Council has a range of powers that may be applicable to this report such as the Police and Justice Act 2006 the Licensing Act 2003 [concerning harm to under 18's] and the Crime and Disorder Act 1998. In addition, under section 2 of the Local Government Act 2000 the council may do anything which it considers is likely to achieve the promotion or improvement of the economic, social and environmental well being of its area.
38. The Executive are asked to consider the recommendations contained in paragraph 1 & 2 of this report and in doing so, to have regard to the

objectives set within it and ensure that it supports the local and national targets in relation to alcohol harm reduction, community safety and protection of children from harm so as to increase the number of Children and young people on the path to success.

39. All measures taken must be adopted in accordance with the Human Rights Act 1998. Article 8 the right to respect for private and family life is a qualified right interference and can be justified if it is.
- (a) lawful ( i.e. there is legal basis for the action)
  - (b) legitimate ( for example the prevention of crime)
  - (c) proportionate)
  - (d) necessary
  - (e) non discriminatory.

It is our view that the measures proposed are a justified interference.

40. Under the Data Protection Act 1998 and relevant guidance in relation to information sharing the council must also demonstrate that as a public authority it is satisfied that information sharing and gathering is lawful, legitimate, reasonable and proportionate for the purpose of achieving the objectives set out in this report. It is our view that if carried out in accordance with the legislation, guidance and the council's own protocols the purpose would be lawful, legitimate, reasonable and proportionate for the purpose of achieving the objectives

#### **Finance Director (Env/ET/181209)**

41. The implementation of the proposed strategy mainly entails development activities, as outlined in the action plan, will be contained within the existing resources of the division. However, if implementing any of the subsequent action plans requires additional resources, a further report setting out costs and funding sources must be submitted, before committing any Council resources.

#### **BACKGROUND DOCUMENTS**

<b>Background Papers</b>	<b>Held At</b>	<b>Contact</b>
Full Alcohol Strategy EqIA report 2009 Southwark's alcohol misuse scoping review 2009-2012 Alcohol Strategy and Action Plan Minutes of the equalities and diversity panel	Community Safety Unit, 160 Tooley Street, London, SE1 2TZ	Dionne Cameron Alcohol Strategy Co-ordinator Tel: 020 7525 7101

**APPENDICES**

<b>No.</b>	<b>Title</b>
1	Safer Southwark Partnership Alcohol Strategy 2010/12
2	Safer Southwark Partnership Alcohol Strategy 2010/12 Implementation plan

**AUDIT TRAIL**

<b>Lead Officer</b>	Gill Davies, Strategic Director Environment and Housing	
<b>Report Author</b>	Jonathon Toy, Head of Community Safety and Enforcement	
<b>Version</b>	Final	
<b>Dated</b>	March 2010	
<b>Key Decision?</b>	Yes	
<b>CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / EXECUTIVE MEMBER</b>		
<b>Officer Title</b>	<b>Comments Sought</b>	<b>Comments included</b>
Strategic Director of Communities, Law & Governance	Yes	Yes
Finance Director	Yes	Yes
Chief Executive Southwark Primary Care Trust	Yes	Yes
<b>Executive Member</b>	Yes	Yes
<b>Date final report sent to Constitutional/Community Council/Scrutiny Team</b>	12 March 2010	

## Southwark's Alcohol Strategy 2009-2012

### Appendix 1

#### SAFER SOUTHWARK PARTNERSHIP ALCOHOL STRATEGY 2010-12

#### Executive Summary

Most people in the UK who drink alcohol do so in moderation, without causing harm to themselves and/or others. However we know that, when consumed in excess, alcohol can have a significant affect on individuals, families and the wider community. Alcohol misuse places a huge burden on health and social care services and the criminal justice system.

In Southwark, recorded figures tell us that alcohol is having an impact on the health and well being of families and communities in the borough; this reflects the national trend of rising rates of alcohol-related hospital admissions. Southwark has the seventh highest rate of alcohol-related ambulance callouts in the UK. Alcohol is also linked to high level of domestic violence and other violent crime in the borough, as well as high levels of anti-social behaviour such as street drinking.

Over £3m is also currently invested in specialist alcohol treatment services that offering interventions ranging from advice to in-patient detoxification and to residential rehabilitation.

Whilst it is difficult to quantify, true cost in dealing with the harm caused by alcohol in Southwark, in young people, the health impact and crime and disorder is estimated around £10m

There is a statutory duty on Crime and Disorder Reduction Partnerships to have a strategy that addresses alcohol related crime and disorder. Government guidance, in line with the national alcohol strategy '*Safe Sensible Social*', calls for strategies that go beyond a crime focus and also address health harms and the impact of alcohol on children and families.

The direction of the strategy has been determined by building on '*Tackling the impact of alcohol: Southwark priorities*<sup>1</sup>' and the '*Southwark's alcohol misuse scoping review 2008-2011*<sup>2</sup>' compiled by Ranzetta Consulting. Both of these documents have highlighted the need to address alcohol-related harm by improving our understanding of the issues, further developing the coordination of activity and developing new responses to problems.

The recommendations of the alcohol strategy will be implemented using current resources. However, a significant focus of the action plan is to increase the amount, and improve the quality of, the alcohol related needs assessment information that is currently gathered. We are, therefore, going to work with key partner agencies to ensure that we have robust data to inform and direct future priorities. This will enable a more ambitious 2010/12 strategy to be used as a platform for the 2012-2015 strategy.

The strategy sets out 3 priority areas, these are:

1. Children and young people

2. Health and social care
3. Crime and community safety

To identify the challenges within each of the three priority areas, we looked at four specific categories:

- Data / information gathering
- Prevention / intervention / education
- Treatment
- Enforcement

These categories are reflected in the strategy action plan.

Southwark's Public Health Strategy "to reduce health and inequalities within Southwark 2009-2020" has five priority themes to tackle health inequalities in Southwark. All five priorities have been chosen on the basis of their impact on health inequalities and their potential to create public health improvements. Alcohol is highlighted within the theme of 'Lifestyles'.

The alcohol strategy is linked to this wider public health strategy and public health services are represented on the Safer Southwark Partnership's (SSP) alcohol strategy implementation steering group.

The actions in the alcohol strategy involve many different people and agencies across all sectors of Southwark's community. The SSP alcohol strategy implementation steering group will be the multi agency mechanism to ensure effective implementation and ownership of the strategy.

The SSP is required to produce a three year rolling action plan. Each year the plan is reviewed through a strategic assessment using a combination of crime and anti social behaviour intelligence, as well as partnership information, consultation and community based information. Both the strategic assessment and SSP rolling action plan 2009-12 highlight tackling alcohol misuse as a key priority.



## **Introduction to Southwark**

Alongside the City of London, Southwark is one of the oldest areas of London, with a history stretching back to Roman times. Southwark's population reached 274,000 in 2007 and is believed to be growing by as much as 4,000 per year. The population has a young demographic profile and demonstrates rich ethnic and cultural diversity, with around one-third (90,600) of the population from black or ethnic minority communities. With this figure set to rise to 38% by 2011 Southwark is arguably one of the most diverse areas in the capital.

Southwark is made up of eight very distinctive urban neighbourhoods that extend along the river Thames and down into South East London. The borough also encompasses some of London's top attractions, creative hotspots, scenic villages and acclaimed green spaces.

Southwark has around 1,200 licensed premises and venues, which combine to provide a wide-range of leisure and cultural opportunities; and make a significant economic and employment contribution to the local community. These businesses have also contributed to making Southwark one of London's fastest growing tourist quarters and a thriving business location.

Alongside the borough's rich vibrancy, Southwark has its fair share of challenges. The Index of Multiple Deprivation (IMD) 2007 shows Southwark as the 27th most deprived local authority nationally and 60% of the borough's wards are among the 10% most deprived in the country. Consequently, the borough faces many challenges associated with meeting the complex health and social needs of an inner-city population, including a range of alcohol related harms.

To meet our challenges, Southwark has a large number of physical regeneration programmes across the borough, alongside a wide range of initiatives aimed at improving educational standards, reducing crime and improving health, housing, social care and the environment.

## Alcohol – National Picture

Over the last decade the affects of alcohol use on national health, quality of life, social issues and crime have been well researched and documented. National statistics<sup>3</sup> tell us that:

- In 2006/07 the cost of alcohol related harm to the National Health Service in England was £2.6 billion
- In 2007, 6,541 deaths in England were directly attributed to alcohol consumption
- In 2007/08 there were 863,300 alcohol related hospital admissions, a rise of 69% since 2002/03.

In June 2007, the Government published the next steps in the National Alcohol Strategy<sup>4</sup>: 'Safe Sensible Social. This reviewed progress since the publication of the Alcohol Harm Reduction Strategy for England (2004) and outlined further national and local actions to achieve long-term reductions in alcohol-related ill health and crime. For the first time the strategy made it a priority to protect young people from alcohol related harm. It also highlights the needs of 18-24 year old binge drinkers and of young people under 18 who drink alcohol and cause or experience harm to themselves, their communities and their families. The national strategy states clearly that cultural attitudes towards binge drinking must change. The strategy also identifies a number of ways of tackling the effects of alcohol-related crime.

There is also a new Public Service Agreement (PSA) for alcohol - PSA 25, which defines the need for local authorities "*to reduce the harm caused by alcohol and drugs*". Associated with this PSA is a new statutory duty for Crime and Disorder Reduction Partnerships to have a strategy for tackling alcohol-related crime and antisocial behaviour.

There are now a further range of national targets relating to tackling alcohol misuse, which are set out in the table that follows.

### Alcohol – Local Picture

Over £3m is also currently invested in specialist alcohol treatment services that offering interventions ranging from advice to in-patient detoxification and to residential rehabilitation.

Whilst it is difficult to quantify, true cost in dealing with the harm caused by alcohol in Southwark, in young people, the health impact and crime and disorder is estimated around £10m.

The Southwark Health and Social Care Strategy for the provision of treatment for drugs and alcohol misuse in Southwark states: “Whilst the national alcohol strategy for England does not provide additional funds for the management of alcohol related issues, Southwark’s Primary Care Trust spends approximately £650,000 (14%) of the substance misuse budget on alcohol services and Southwark’s Community Safety Department allocates a budget of £75,000”.

National Indicator	PSA	Measured/ Monitored
NI 20 Reducing assault with injury crime rate	PSA 25	Measured through crime reports
NI 39 Reducing alcohol-harm related hospital admission rates	PSA 25	Hospital Episodes Data
NI 41 Reducing perceptions of drunk or rowdy behaviour as a problem	PSA 25	LGUSS data; being replaced by the CLG Place Based Survey
NI 115 Reducing substance misuse by young people	PSA 14	Ofsted Tellus One data from Oct 2009

The North West Public Health Observatory (NWPHO) highlights that Southwark faces specific challenges around:

- Southwark has had 63 death from chronic liver disease in for the period 2005-07
- Alcohol related crime, including violent crimes and sexual offences

However Southwark is performing significantly better than the national average in relation to binge drinking, hazardous drinkers and alcohol related hospital admissions for under 18s.

A 2004 survey of Southwark pupils between the ages of 12 and 15 found that 19% had drunk alcohol in the previous seven days (22% of boys, 17% of girls).

Local agency data reflects national findings that show alcohol use as the second most common drug choice after cannabis and Southwark ranks 48th within the Home Office top 50 alcohol priority boroughs.

The 2008/9 strategic assessment for Southwark shows that approximately 5% (almost 1000 offences) of crime in the borough is alcohol related and of those alcohol related crimes, 50% are considered violent crime and a further 20% linked to theft and criminal damage offences.

Southwark also has high rates of alcohol related domestic violence incidents, which has been highlighted through monthly multi agency risk assessment conferences (MARAC). Between November 2008 and January 2010, MARAC discussed 85 victims and 53 perpetrators; 44 of these perpetrators were misusing alcohol.

In addition, Probation caseload information tells us that out of the 1698 offender assessments completed between October 2008 to September 2009, 538 (32%) offenders identified alcohol as a problem. Approximately 10% of the **prolific** and **priority offenders** (PPOs) in Southwark report a problem with alcohol. Also, the newly formed Diamond team, supporting offenders on short term sentences returning to the community, estimate that as many as 50% of the offenders they work with have misused alcohol.

Southwark, like its neighbouring inner city boroughs has high levels of street drinking.

Consequently, the overarching aim of the work undertaken in partnership by agencies in Southwark can be broadly described as:

*“To protect individuals, families and our communities from the harm caused by alcohol misuse”*

This strategy sets out how we intend to achieve this.

### **Aim of the 2010/12 SSP Alcohol Strategy**

Southwark’s 2010/12 alcohol strategy recognises the need to have a full understanding of how alcohol harm impacts across communities in Southwark. The strategy sets out how partner agencies can work better together to address the causes and impacts of alcohol misuse.

The alcohol strategy implementation group, with representation from all key statutory and voluntary sector partners, will oversee the completion of a comprehensive borough-wide alcohol needs assessment over the next 18 months. The steering group will have responsibility for positively ensuring services share knowledge and resources and identify ways resources can be combined for the maximum benefit of communities affected by alcohol misuse.

The 2010/12 Alcohol Strategy also explicitly focuses work and attention on long term planning in order to make best use of our resources. Our vision for the future aims to *effectively meet a broad range of alcohol-related health, social care and community safety needs across Southwark.*

### **Structure of the 2010/12 Strategy**

As previously described, the SSP alcohol strategy 2010/12 is split into the following priority areas:

- Children and young people
- Health and social care
- Crime and community safety

Each priority area then has a work plan which focuses on 4 key themes:

- Data / information gathering
- Prevention/intervention/ education
- Treatment
- Enforcement

The rest of this document outlines briefly the profile of alcohol need in the borough, current activity undertaken in each of the divisional work areas and describes the actions that will be taken to meet the objectives of the strategy.

## Children and Young People

### National Picture

Alcohol misuse regularly features in inter-family conflicts, domestic abuse and violence and can have particularly damaging effects on children<sup>5</sup>. National research also suggests that alcohol plays a part in around a quarter to a third of known cases of child abuse. In addition, it is estimated that between 780,000 and 1.3m children are broadly affected within the UK by parental alcohol problems. Key risks to children associated with parental alcohol misuse include<sup>6</sup>:

- Neglect of parental responsibilities, leading to physical, emotional or psychological harm;
- Exposing children to unsuitable care givers or visitors;
- Use of the family resources to finance the parents' drinking;
- Uninhibited behaviours of adults, parents and carers e.g. inappropriate display of sexual and/or aggressive behaviour and reduced parental vigilance;
- Unsafe storage of alcohol, giving children ease of access;
- Adverse impacts on the growth and development of unborn children.

Alcohol misuse by young people not only has a significantly negative impact on their health but is also strongly linked to a range of risk-taking behaviours. The 2008 Government '*Youth Alcohol Action Plan*' states that:

- Alcohol can contribute to unacceptable anti-social and criminal behaviour among young people, which can be a significant problem for families and communities.
- Drinking at an early age can cause serious short and long-term health problems. For example, new evidence demonstrates that drinking too much alcohol can impair adolescent brain development.
- Drinking too much alcohol is strongly associated with a wide range of other problems affecting the welfare of teenagers, including: unprotected sex, teenage pregnancy, educational under-achievement, disengagement, and can lead to alcohol and drug misuse.

Recent studies commissioned from the Department for Children, Schools and Families<sup>7</sup> have also shown that alcohol use amongst young people is rooted in complex societal issues. Therefore, robust, evidenced and well-thought out approaches must be adopted to ensure that young people are able to make safe informed decisions.

### Local Picture

Information from Young Southwark, Southwark Primary Care Trust, and a range of other key council and partners agencies, highlights that:

- The number of Southwark pupils excluded for drug or alcohol use has greatly reduced since 2005-06.
- However, ambulance data shows an increase of 7.6% in drug and alcohol calls for young people from 2007/8 to 2008/9, with females being over-represented in these figures.

In Southwark, agencies report that young people are not as concerned with the health risks of alcohol misuse but do make changes to behaviour to improve their personal safety. This reflects the issues that young people face in inner London boroughs, where the perceived risks of victimisation and crime are high. In addition, these issues increase the influence of other factors like low-self-esteem and peer pressure in shaping risk-taking behaviour of young people in Southwark.

### **Current activities**

Substance misuse interventions, including alcohol treatment, have traditionally been delivered through substance misuse workers in the Youth Offending Service; the Children Looked After (CLA) Social Services' team; the Child and Adolescent Mental Health Service; and the Community Drugs Education Project. However, this year Southwark decided to commission a young people's specialist substance misuse treatment service. The new service will open in early 2010 and offer drugs and alcohol education and treatment for young people in schools, youth services and a dedicated drop-in centre.

A training programme is also planned for professionals across children and young people's services, to ensure that they are able to identify, screen and refer on young people at risk of substance misuse problems.

Additionally, alcohol education is provided in schools as part of Personal Social & Health Education (PSHE) in the Healthy Schools Programme. Teenage pregnancy is a key priority for the borough and work to ensure the inclusion of drug and alcohol awareness as part of sexual health and teenage pregnancy prevention is currently being developed.

Trading Standards are responsible for the enforcement of under-age sales and carry out an annual programme of test-purchasing and a comprehensive 'age-check' scheme to support and monitor licensed premises to ensure they are acting within their responsibilities. Trading Standards also administers Southwark's PASS approved proof of age card (SPA Card) which is provided free through schools and by individual application to 16-25 year olds. This supports licensed premises in their efforts to remain compliant with the law.

Southwark's Safeguarding Children Board has produced a joint service protocol relating parents and carers who have substance misuse problems. In addition, adult substance misuse services across the borough train all workers in Safeguarding procedures.

### **National Recommendations**

There are a number of national recommendations around tackling issues around young problems and alcohol misuse including:

- Enforcing more strongly the existing rules on under-age drinking
- Providing useful, evidenced guidance for parents and young people
- Changing cultural attitudes towards binge drinking

The Department of Children, Schools and Families (DCSF) is planning a new social marketing campaign aimed at Young People and their parents. This campaign will

take account of responses to the recent *Young People and Alcohol Consultation*. The Chief Medical Officers *Guidance on Consumption of Alcohol by Children and Young People* forms part of this consultation and will be reflected in the DCSF's plans for the campaign.

**Local Recommendations for the 2010/12 Alcohol Strategy include:**

- Young people have access to a specialist substance misuse service
- Raising the profile of substance misuse treatment, training and education

**Actions for the Alcohol Strategy 2010/12 include:**

- The commissioning of a new young people's specialist substance misuse service
- Increasing the involvement of service users including young people, carers and parents to help shape our services
- Delivering a communications campaign for parents / carers and front line workers highlighting the risks associated with parental alcohol misuse.
- Assessing in greater detail the needs of young people in relation to alcohol misuse in Southwark.
- Providing health information in relation to alcohol and treatment services for young people, parents and carers.
- Training professionals working in children's services to identify, screen and refer on young people in need of interventions for alcohol misuse.
- Continuing to work with the licensed trade and enforcement agencies to prevent underage sales of alcohol.



## Health and Social Care

### National Picture

Alcohol leads to a range of public health problems. These can include acute conditions, such as alcohol poisoning, impacts of violence and accidents as well as the more chronic effects, such as alcohol-induced pancreatitis, chronic liver disease and stomach cancer.

The *Statistics on Alcohol: England 2009* document shows that:

- In 2008 there were over 134,000 prescription items for drugs for the treatment of alcohol misuse prescribed in primary care settings and NHS hospitals in England at a cost of over £2.4 million to the NHS
- In 2007, a quarter of adults aged 16 and over in England (24%) were classified as hazardous drinkers. Men were twice as likely as women to be hazardous drinkers (33% of men compared to 16% of women). Younger men and women were more likely to be hazardous drinkers than older adults. A similar pattern was seen for harmful drinking. 6% of men and 2% of women were classified as harmful drinkers and the proportions were lower in older age groups
- Overall, in 2007/08 there were around 863,300 hospital admissions where an alcohol-related disease, injury or condition was the primary reason for hospital admission or gave a secondary diagnosis. This represents a 69% increase since 2002/03 when the figure stood at 510,200.
- The most common primary diagnosis for alcohol-specific hospital admissions is mental and behavioural disorders
- In 2007, 6,541 deaths in England were directly related to alcohol consumption. This figure increased by 19% between 2001 and 2007. The main cause of this increase is liver disease, which has risen by 31% from 3,236 in 2001 to 4,249 in 2007.

### Local Picture

While alcohol misuse is a concern in Southwark, it is clear that other factors affecting people's long term health, such as smoking and obesity, are also key priorities for improving the health and well being of local communities.

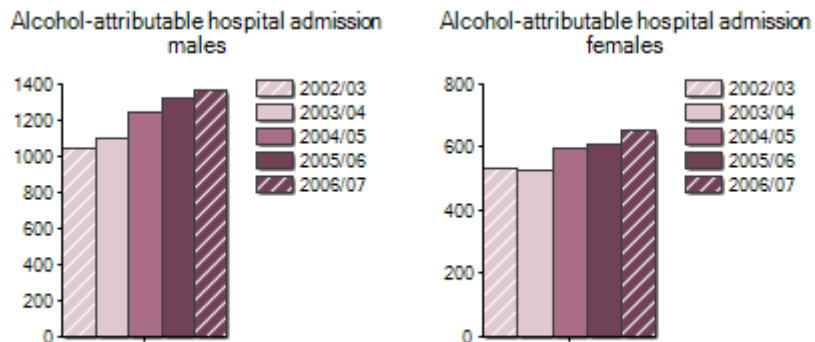
According to data collated by the North West Public Health Observatory (NWPHO) in 2009, Southwark is estimated to have 30,381 binge drinkers, 30,595 hazardous drinkers and 9,817 harmful drinkers.

<b>Definition of drinking levels:</b>
Binge drinking: 8 or more units of alcohol for men and 6 or more units for women on their heaviest drinking day in the past week.
Hazardous drinking: drinking above recognised 'sensible' levels but not yet experiencing harm.

Harmful drinking: drinking above sensible levels and experiencing harm
--

The NWPHO data also shows that Southwark has a significantly higher mortality rate for alcohol-attributable hospital admissions than the English average. Southwark also has high alcohol-specific hospital admission rates, particularly for males, with the borough ranking 28<sup>th</sup> highest nationally.

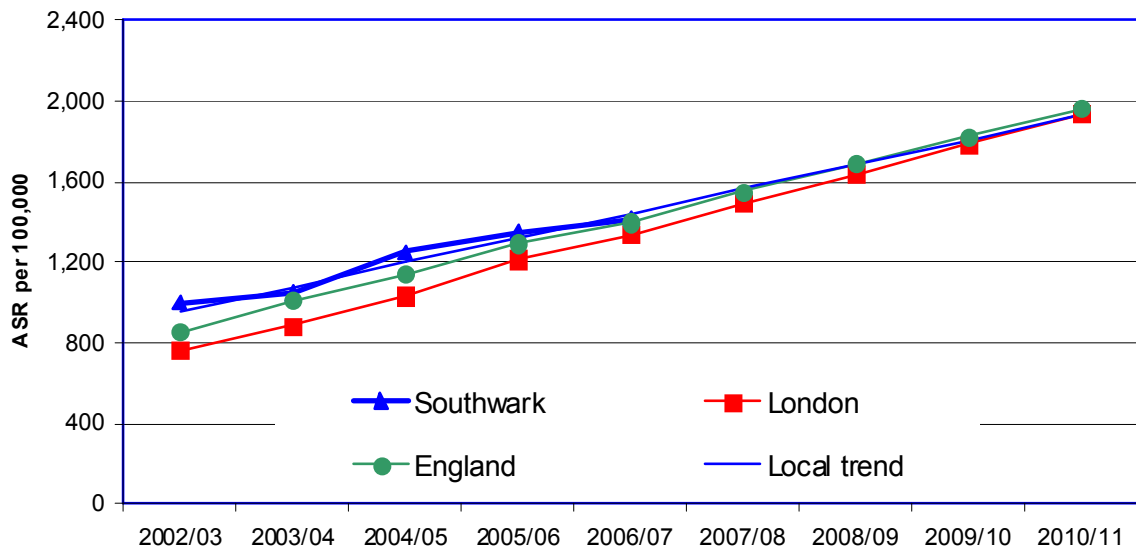
**Alcohol-attributable hospital admissions (source: NWPHO)**



Hospital admissions for alcohol-related conditions have more than doubled from 2002/03 to 2006/07 nationally.

The current rate of admissions for Southwark is higher than the average rate for London and the rest of England.

**Rate of alcohol-related admissions per 100,000 population (EASR):  
Southwark**



Source: NWPHO revised data Dec 2008.

Other key alcohol-related health harms in Southwark include:

- Southwark has had 63 death from chronic liver disease in for the period 2005-07
- Southwark has the seventh highest rate of alcohol-related ambulance call outs in the UK.
- Young women are more likely to require an ambulance service than young men.
- There is a concern amongst health providers in relation to alcohol consumption in some pats of our more elderly population, particularly vulnerable people living alone

**Current activities:**

Over £3m is also currently invested in specialist alcohol treatment services that offering interventions ranging from advice to in-patient detoxification and to residential rehabilitation.

The table in Annex 1 sets out the current alcohol services in Southwark.

Health advice relating to the use of alcohol has been included in many health promotions in the borough. Also, a GP scheme to screen newly registered patients for alcohol misuse began during 2008.

**National Recommendations**

*Safe Sensible Social* recommends a number of ways to tackle the problem of alcohol misuse, those for health include:

- Providing more help for people who want to drink less and those most at risk
- Putting a sensible drinking message on alcohol bottles

- Changing cultural attitudes towards binge drinking.
- Developing a medical training programme for undergraduates to help all new doctors identify and handle alcohol misuse problems.
- An e-learning programme for GPs who wish to offer 'brief interventions' for patients.
- Developing a new indicator for the NHS to measure change in the rate of hospital admissions for alcohol related conditions is currently being undertaken.

### **Local Recommendations for the 2010/12 Alcohol Strategy include:**

- Ensuring that Southwark's "Health and Inequalities Strategy 2009-20" and the SSP alcohol strategy 2010-12" work in a joined up way to meet health issues related to alcohol use.

### **Actions for the Alcohol Strategy 2010/12 include:**

- Establishing a health and social care working group to identify how we can make best use of treatment and support resources
- Establishing better ways of bringing together data to inform the future planning of prevention, treatment and support services
- Publishing information about local treatment and support services
- Delivering a targeted alcohol health campaign aimed at young people and adults
- Meeting the needs of continuing drinkers with disabilities and amongst the older population
- Increasing access to alcohol treatment services for the most problematic drinkers

### ***Crime and Community Safety***

### **National Picture**

The 'Statistics on Alcohol: England 2009<sup>8</sup>' estimated that the costs associated with alcohol-related crime and anti-social behaviour was £7.3 billion each year. The Cabinet Office Strategy Unit

<sup>ix</sup> identified these costs as including:

- £1.8bn criminal justice system (post arrest) costs
- £3.5bn costs as consequence of actual alcohol-related crime
- £1.5bn costs in anticipation of alcohol-related crime
- £0.5bn costs relating to drink driving

The 2008/09 British Crime Survey (BCS) shows that victims believed offender(s) to be under the influence of alcohol in nearly half (47%) of all violent incidents, similar to the level in the 2007/08 survey (46%).

Victims also believed the offender(s) to be under the influence of alcohol most frequently in incidents of stranger violence (62% of incidents). The 2008/09 BCS shows 973,000 violent incidents where the victim believed the offender(s) to be under the influence of alcohol.

While alcohol-related violent incidents are similar to the levels in 2007/08 (the apparent differences are not statistically significant), longer-term trends show there have been significant decreases since 1995 in the number of violent incidents believed by victims to involve offender(s) under the influence of either alcohol or drugs.

However, a number of other crime types are associated with alcohol use. For example, more than half of those arrested for breach of the peace and nearly half of those arrested for criminal damage are under the influence of alcohol. Much of this crime and disorder is highly concentrated in town and city centres.

## Local Picture

Recording alcohol related crime is difficult but approximately 12% (close to 1000 offences in 2008/9) of violence against the person offences in Southwark is considered alcohol related.

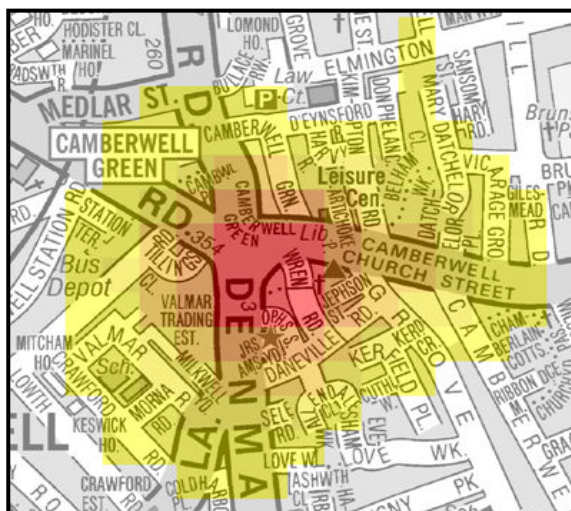
One third of our alcohol related crimes were flagged as being linked to domestic violence.

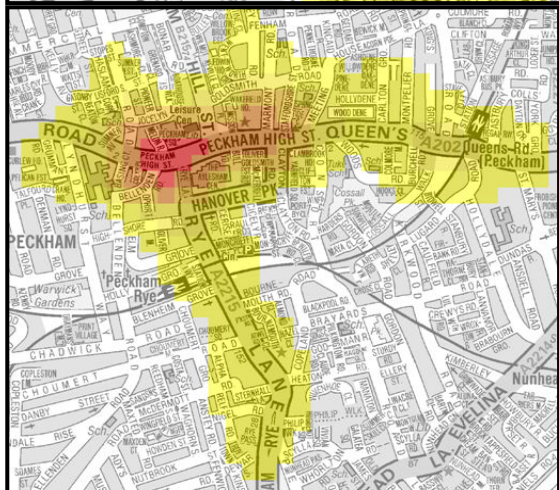
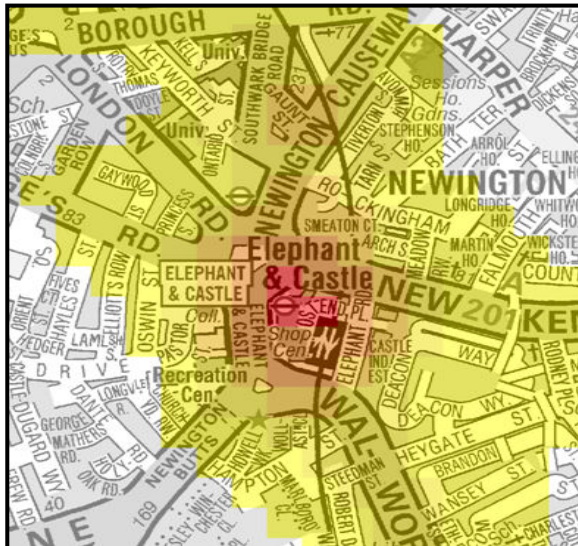
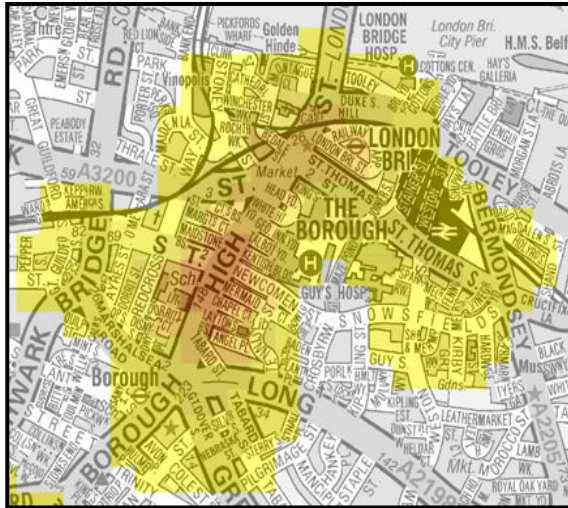
Using Home Office calculations relating to the costs of crime in 2008/9, local alcohol related violence cost somewhere in the region of £4m. This is calculated on the understanding that alcohol related violence accounts for approximately 12% of violent crime.

Over a third of alcohol related violent offences in Southwark are concerned with 'harassment' (typically public order offences), with a further third relating to 'assault with injury' (formerly ABH). 8% are related to serious wounding. However, many people, for differing reasons, opt not to report crime, especially violent crime.

As the maps on the following page show, most of the alcohol-related violence in the borough is located in and around Southwark's transport hubs and town centres, as well as the routes which link them.

These are recurrent 'hotspots' and have an abundance of bars/restaurants and nightclubs, all of which are traditional generators for alcohol related violence.





## Current Activities

The Police 'Safer Neighbourhood Teams' and Southwark's community wardens now work across almost all of the borough's wards to enforce a borough-wide 'alcohol control zone'. (East Dulwich, Village and College wards chose not to have an 'alcohol control zone').

'Alcohol control zones' have reduced levels of street drinking and associated anti-social behaviour by 27% (based on pre and post DPPO audits) since 2006. In addition, Southwark's community wardens obtained powers from the police to confiscate alcohol from individuals who are drinking in public and causing a nuisance. The powers were granted in April 2009 and to December 2009 the wardens have carried out 404 confiscations.

Southwark Anti-Social Behaviour Unit (SASBU) is a specialist team set up to tackle and reduce anti social behaviour, including ASB related to alcohol use. SASBU can use a range of legal powers, including anti social behaviour orders (ASBOs) and anti social behaviour contracts (ABCs) to address problems. However, there has been a significant reduction in ASBOs and ABCs issued this year because anti-social behaviour has lessened (see table below).

	2008/09		2009/10 (to 31/01/10)	
	Street drinking	Total	Street drinking	Total
ABCs	6	03	1	4
ASBOs		4		

Southwark Council's licensing team leads the way on the proactive use of legislation under the Licensing Act 2003. The team has also implemented two saturation policies in Camberwell and Peckham, to limit uncontrolled growth of licensed premises in those areas. In addition, the team has positively engaged with premises across the borough to develop best practice and social responsibility in licensing, through working with independent premises and most often residents to discuss issues identified.

Other proactive work in the borough that is being undertaken includes Southwark's assertive outreach service, who work with people who are street drinking. In 2008/09, the service worked with 80 clients to address a range of generic health and social care needs and to assist them to access treatment services, thereby assisting to address street drinking problems.

### **National Recommendations**

One of the key national priorities is to reduce public perceptions of drunk or rowdy behaviour. Reducing perceptions of drunk or rowdy behaviour is an important target because it is a quality of life measure, capturing the public's concern about alcohol related crime and antisocial behaviour (ASB)

*Safe Sensible Social* recommends a number of ways to crime and safety actions to tackle problems associated with alcohol misuse, including:

- Greater use of fixed penalty fines ABB / nuisance behaviour
- Changing cultural attitudes towards binge drinking
- Putting in place a mandatory code of practice to target the most irresponsible retail practices
- Powers to create mandatory national license conditions; these are expected to cover:
  - A ban on irresponsible drinks promotions

- Ensuring tap water is free
- Compulsory ID checks where purchaser appears under 18
- Ensuring establishments provide half pints and small measures.

All of these powers are now backed by law and will significantly assist with tackling alcohol-related crime and the anti-social aspects of excess drinking.

### **Local Recommendations for the 2010/12 Alcohol Strategy include:**

- Improving information on the extent to which alcohol is a cause of crime and anti social behaviour.
- Using the full range of new and existing powers to address alcohol related crime and anti social behaviour, while ensuring that particular groups are not targeted inappropriately
- Develop a central mechanism to collect data about alcohol-related domestic violence and sexual offences
- Continuing to work with the licensed trade to ensure compliance with the Licensing Act, to promote best practice and to implement the new Code of Practice for alcohol retailers when it becomes law

### **Actions for the Alcohol Strategy 2010/12 include:**

- Continuing to work with the licensed trade to ensure compliance with the Licensing Act and best practice, as well as to implement the new Code of Practice for alcohol retailers when it becomes law
  - Raising awareness of the links between alcohol misuse and sexual offences
  - Working with licensed premises to raise awareness of the links between the irresponsible supply / use of alcohol and sexual offences.
  - Working with key agencies and vulnerable people to raise awareness of alcohol-related fire
  - Developing mechanisms, processes and a database to enable the collection of a wide range of data and intelligence on alcohol related crime and anti social behaviour in Southwark
- 
- Working with our multi-agency operational groups to plan and monitor street drinking service responses.
  - Developing the assertive outreach service to effectively target, task and coordinate work with people who are street drinking
  - Developing protocols across domestic violence and substance misuse services to better inform work with domestic violence victims and perpetrators who misuse alcohol.

### **Financial implications**

The strategy will help to ensure that funding spent to reduce alcohol misuse is put to best use, thereby securing better value for money across services responding to alcohol related issues.



As part of strategy's implementation, we will review current services and use the resources at our disposal to deliver the recommendations. In addition, we will explore mainstream and external funding sources where there are significant service gaps with a view to addressing these in the 2112-15 strategy.

**ANNEX 1: Summary of alcohol support services in Southwark**

<b>Tier 1</b> Non, substance misuse specific services	Social Services	Universal
	GP / Primary Care / Community Mental Health Teams	Universal
	Housing / Employment	Universal
	Accident & Emergency Units	Universal
	Criminal Justice System	Universal
<b>Tier 2</b> Services offering drop, in harm reduction interventions	Foundation 66 Elephant & Castle Shop front	Primary Alcohol Users with or without any other substance use – including BAME Primary Alcohol Users
	Blenheim CDP Outreach Bus	Any drug user; poly/single use with or without Alcohol as non, primary drug
	St Mungos Outreach Service	Any DIP drug user (poly or single use including Alcohol) or any primary alcohol user (with or without any other substance use)
	Three Boroughs Drug & Alcohol Team	Blood borne virus test and vaccination for clients within drug alcohol services
<b>Tier 3</b> Services offering community, based specialised substance misuse assessment & treatment	SLaM Marina House Community Drug & Alcohol Team	Any drug user; poly or single use including Alcohol
	SLaM Blackfriars Community Drug & Alcohol Team	Any drug user; poly or single use including Alcohol
	SLaM Primary Care Community Liaison Service	Any drug user; poly or single use including Alcohol
	SLaM Dual Diagnosis Service	Any drug user with mental health, morbidity; poly or single use including Alcohol
	Blenheim CDP KAPPA Service	Any drug user; poly or single use including non, primary Alcohol
	Foundation 66 Day Programme	Primary Alcohol Users
	Blenheim CDP Rise Day Programme	Any drug user; poly or single use including Alcohol
	CRI REACH Day Programme	Drug users under a DRR order; poly or single use including Alcohol
	Blenheim CDP Evolve Crack Service	Any stimulant user; poly or single use including non, primary Alcohol
	Southwark Alcohol Direct Enhanced Service (DES) GPs	Alcohol users (with or without other drugs)
<b>Tier 4</b> Services offering residential substance misuse treatment	Equinox Brook Drive	Any drug user; poly or single use including Alcohol
	SLaM Inpatient Service	Any drug user; poly or single use including Alcohol
	Social Services Care Management Team	Any drug user; poly or single use including Alcohol
<b>Other Services</b>	Thames Reach Treatment Focussed Accommodation Based Service	Any drug user; poly or single use including Alcohol
	Service User Council	Any drug user with experience of the Treatment system
	CRI Peer Advocacy Service	Any drug user with experience of the Treatment system

**2010 – 2012 ALCOHOL STRATEGY IMPLEMENTATION PLAN**

**WORKING TOWARDS THE 2012/15 ALCOHOL STRATEGY**

	Action	Target Group	Critical Success Measures	Outcomes	Evaluation Methods	Timescales	Lead Officer	Supporting Officers
1.	Ensure that the Alcohol Steering Group is a fully representative, senior strategic group spanning Police, Health, Social Care and Enforcement and that the group is able to effectively lead the development and implementation of both this Alcohol Strategy and the 2012-2015 Strategy.		Full partnership agreement and support of an Alcohol Strategy Steering Group.	Fully functioning strategic steering partnership group	Attendance and compliance against the ToRs of the steering group	Jan – Mar 2010	Steering Group	Alcohol Coordinator
2.	Establish Alcohol Needs Assessment plan and working party to ensure that all necessary needs assessment information is gathered over the next 12 months to inform the 2012-2015 Alcohol Strategy.		Partner's agreement and support of the Needs Assessment plan and the working party	Local knowledge of the impact of alcohol on these communities.  A plan that meets all the needs of all equality strands across Southwark		Jan – Mar 2010	Steering Group	Alcohol Coordinator
3.	Ensure that Needs Assessment process and the detail of the 2012-2015 Alcohol Strategy are informed by and fully compliant with Southwark's Equalities Impact Assessment Framework (Stage 2 + 3).	All the Equality Strands:	Improving individual life chances for all  Promoting equality of opportunity  Eliminating unlawful discrimination  Promoting good relations between members of different groups	Stronger Communities where people are involved, engaged and play a part in making local decisions  <i>This can be monitored via performance on the following NI's:</i>	Sign off of the EqIA	Apr – Jun 2010	Alcohol Coordinator	EQIA leads

	Action	Target Group	Critical Success Measures	Outcomes	Evaluation Methods	Timescales	Lead Officer	Supporting Officers
			<p>Making Southwark a better place for all people</p> <p>Delivering high quality public services for all</p>	<p>NI2 % of people who feel that they belong to their neighbourhood</p> <p>NI3 Civic participation in the local area</p> <p>NI4 % of people who feel they can influence decisions in their locality</p>				
4.	Ensure that a comprehensive and fully informed Alcohol Strategy is written for 2012-2015 and that all necessary statutory partners are committed to meeting resource challenges associated with implementing that Strategy.	<p>General Public</p> <p>Stakeholders</p>	<p>Promoting equality of opportunity</p> <p>Eliminating unlawful discrimination</p> <p>Promoting good relations between members of different groups</p> <p>Delivering high quality public services for all</p> <p>Improving individual life chances for all</p>	<p>Stronger Communities where people are involved, engaged and play a part in making local decisions</p> <p>NI2 % of people who feel that they belong to their neighbourhood</p> <p>NI3 Civic participation in the local area</p> <p>NI4 % of people who feel they can influence decisions in their locality</p>	Completed 2012-2015 Alcohol Strategy	Jan – Mar 2012	Steering Group	Alcohol Coordinator
5.	Ensure that the 2012-2015 Alcohol Strategy is aligned with all other strategies in the borough	Steering Group	Making Southwark a better place for all people	NI23 Make communities safer	Completed 2012-2015 Alcohol Strategy	Jan – Mar 2012	Steering Group	
6.	Invite the Department of Health		Reduction in adverse	NI23 Make	Completed	Ongoing	PCT	(SMCT)

	Action	Target Group	Critical Success Measures	Outcomes	Evaluation Methods	Timescales	Lead Officer	Supporting Officers
	National Support Team for Health Inequalities to work with and advise the Alcohol Steering Group around the 2010-2012 strategy and the forthcoming 2012-2015 strategy.		outcomes	communities safer	Alcohol Strategies			
7.	Identify designated Alcohol Strategy champions (senior clinicians, primary and acute care, elected members or/and senior officers) to help raise the profile of Alcohol Strategy work.		Appointing a Alcohol Champion	Help to raise the profile of the need to address Alcohol Misuse within the borough, which will in turn help positively contribute to NIs relating to alcohol misuse		Apr – Jun 2010	Steering Group	

## CHILDREN & YOUNG PEOPLE

### Information Gathering:

	Action	Target Group	Critical Success Measures	Outcomes	Evaluation Methods	Timescales	Lead Officer	Supporting Officers
8.	Ensure that the Young Persons Substance Misuse (YPSM) Needs Assessment process for 2009 effectively gathers information about alcohol use among young people and that this information is fed into both the Southwark Alcohol Needs Assessment 2010 and Children's Services Strategic Needs Assessment.	Young People	Needs assessment completed and submitted to the National Treatment Agency (NTA)	NI115 Substance misuse by young people  Gaps and target groups identified, priority groups established for new service	NTA feedback and sign off	Jan – Mar 2010	Y.P Subs Mis Coordinator	Alcohol Coordinator YPSMJCG
9.	Ensure that Young People are consulted for the writing of both the YPSM Needs Assessment and the Alcohol Strategy 2012-2015.	Young People	At least 1 stakeholder event regarding substance misuse, including alcohol, to be held each year.  Promoting good relations between	NI115 Substance misuse by young people  Stronger Communities where people are involved,	Sign off of the Needs Assessment	Oct – Dec 2010	Y.P Subs Mis Coordinator	Alcohol Coordinator

			<p>members of different groups</p> <p>Delivering high quality public services for all</p> <p>Improving individual life chances for all</p>	<p>engaged and play a part in making local decisions</p> <p>NI2 % of people who feel that they belong to their neighbourhood</p> <p>NI3 Civic participation in the local area</p> <p>NI4 % of people who feel they can influence decisions in their locality</p>				
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**Prevention / Education:**

	<b>Action</b>	<b>Target Group</b>	<b>Critical Success Measures</b>	<b>Outcomes</b>	<b>Evaluation Methods</b>	<b>Timescales</b>	<b>Lead Officer</b>	<b>Supporting Officers</b>
10.	Plan and deliver a communications campaign for parents / carers and front line workers highlighting the risks associated with parental alcohol misuse.	Parents Frontline Staff Carers	Improving individual life chances for all	Improved Health outcomes  NI115 Substance misuse by young people	Campaign evaluation	Jul- Dec 2010	Steering group	Alcohol Coordinator + Parenting Board
11.	Plan and deliver Health campaign (using social marketing principles) programme around young people and alcohol use – to include messages for young people and messages for parents / carers in schools and non-school settings	Young People in Schools and non school settings  Parents  Carers  PSHE curriculum	Improving individual life chances for all  X schools deliver lessons during alcohol awareness week	Improved Health outcomes  Improved chances for vulnerable individuals and families  NI115 Substance misuse by young people	Campaign evaluation	Jul- Dec 2010	Steering Group	Public Health + PSHE Coordinator
12.	Ensure young people have easy access to a well	Young People	Improving individual life chances for all	Improved Health outcomes	Service evaluation forms	Ongoing	YPSMJC Group	

	advertised specialist young person's substance misuse service that can deliver targeted harm minimisation education around alcohol use.			NI115 Substance misuse by young people	Performance monitoring (NDTMS)			
13.	Devise and implement a training programme to ensure that professionals across universal and targeted young people's services are able to identify, screen and refer on young people in need of a specialist intervention for alcohol use.		Deliver training to identified key group in YPSM treatment plan	Improved Health outcomes  Referrals/Use of DUST  Improved chances for vulnerable individuals and families  NI115 Substance misuse by young people	Training evaluation  NTDMS	Apr - Jun 2010	YPSMJC Group	Keith Bootle
14.	Carry out a programme of education for licensed businesses to improve compliance with licensing laws including 'Think 25' , 'Age Check' due diligence measures and SPA proof of age.	Licensed premises	X retailers visited  X retailers signed up to 'Think 25'	Target compliance X%		Ongoing	Trading Standards	
15.	Ensure all licensed alcohol retailers have a range of materials relating to 'Think 25', 'Age Check' and SPA proof of age	Licensed premises	X retailers visited  X retailers signed up to 'Think 25'	Target compliance X%  Increase in retailers requesting proof of age before selling – base line to be established in 09/10		Ongoing	Trading Standards	
16.	Promote take up of Southwark's SPA proof of age card in all Southwark schools and through individual applications	Young People	Programme of education/ awareness work around the SPA proof of age card in X youth and community settings	NI115 Substance misuse by young people	Monitoring applications	Ongoing	Trading Standards	

			Dissemination of applications to X number of Schools					
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**Treatment:**

	Action	Target Group	Critical Success Measures	Outcomes	Evaluation Methods	Timescales	Lead Officer	Supporting Officers
17.	Ensure that young people have easy access to specialist treatment for young people with alcohol related problems.	Young people	Increase the numbers into treatment	NI115 Substance misuse by young people	Service evaluation forms, Service Users feedback, NTDMS contract monitoring	Ongoing	YPSMJC Group	
18.	To offer effective and integrated care co-ordination of young people with alcohol treatment needs across universal, targeted and specialist children's services.	Young People	100% of Young People in treatment to have a care plan and 75% leave treatment	NI115 Substance misuse by young people	Service evaluation forms, Service Users feedback, NTDMS contract monitoring	Ongoing	YPSMJC Group	

**Enforcement:**

	Action	Target Group	Critical Success Measures	Outcomes	Evaluation Methods	Timescales	Lead Officer	Supporting Officers
19.	Carry out a planned programme of test purchasing for the underage sale of alcohol based on targeting problem traders, intelligence, and sampling.	Licensed premises	X test purchase operations carried out.	NI23 Make communities safer  NI115 Substance misuse by young people  X Compliance rate Reduction in retailers selling to under 21s Improved health outcomes for young people living in southwark	Responses to intelligence.	Ongoing	Trading Standards	Police
20.	Take formal enforcement action consisting of license reviews, prosecutions, simple cautions, fixed penalty notices, warnings	Licensed premises	Programme of work agreed for all problematic premises	NI23 Make communities safer	Data	Ongoing	Trading Standards	Police



	as required from test purchasing outcomes.		X reviews	NI115 Substance misuse by young people  X Compliance rate Reduction in retailers selling to under 21s  Improved Health outcomes				
21.	Devise protocol for the Street Wardens continued use of current legislative powers to tackle alcohol related disorder and underage drinking.	Wardens	Protocols to be set	Gaps identified and new/better ways of working established.  NI23 Make communities safer  NI20 – Assault with injury crime  NI 39 Reducing alcohol-harm related hospital admission rates	Protocol agreed and signed off	Mar – Jun 2010	Alcohol Coordinator	Wardens + Key partners

## HEALTH & SOCIAL CARE

### Information gathering:

	Action	Target Group	Critical Success Measures	Outcomes	Evaluation Methods	Timescales	Lead Officer	Supporting Officers
22.	Ensure that all necessary Health needs assessment information is gathered to inform the 2012/15 Alcohol Strategy. Information to include: <ul style="list-style-type: none"> <li>monitoring and assessing levels of alcohol treatment and retention through NDTMS figures</li> <li>assessing diversity profile of people using alcohol</li> </ul>		Timely and accurate data collected	Links and gaps identified  NI 39 Reducing alcohol-harm related hospital admission rates  NI119 Self reported measures for		Ongoing	Steering Group	expert help from PCT Substance Misuse Commissioning Team (SMCT)

	<p>treatment services through contract monitoring information</p> <ul style="list-style-type: none"> <li>• data from A&amp;E, Maternity and other necessary secondary healthy care services</li> <li>• the health and social needs of 'frequent flyers' create a local database, pulling together existing local and national data to inform the needs assessment, commissioning and performance management.</li> <li>• Collect and analyse data that examines the link between mental health difficulties and alcohol misuse</li> </ul>			people's overall health				
23.	Establish framework of all national performance indicators relevant to alcohol provision to provide a baseline assessment of current performance and to enable the setting of key targets in the 2012/15 Alcohol Strategy			Baseline data			DAAT Manager	Alcohol Coordinator
24.	Continue work with Guys and St Thomas and Kings College Foundation Trust to review and deliver services for people presenting with alcohol misuse to A&E	Patients presenting to Southwark Acute Hospital Trust	Improved partnership working	<p>Improved patients experience in A&amp;E</p> <p>NI23 Make communities safer</p> <p>NI 39 Reducing alcohol-harm related hospital admission rates</p>	Better knowledge of feed into future strategies	Ongoing	PCT	Alcohol Coordinator

**Treatment:**

	<b>Action</b>	<b>Target Group</b>	<b>Critical Success Measures</b>	<b>Outcomes</b>	<b>Evaluation Methods</b>	<b>Timescales</b>	<b>Lead Officer</b>	<b>Supporting Officers</b>
25.	Monitor the effectiveness of treatment and support for	Dependent drinkers	Promoting good relations between	NI 39 Reducing alcohol-harm		Ongoing	Alcohol Steering	

	dependent drinkers and make recommendations for ongoing services.		members of different groups	related hospital admission rates  NI120 All age all caused mortality rate			Group	
26.	Set up a Health specific sub group of the Steering Group to take forward Health actions nominated by the steering group and to explore further opportunities for Health partners to work together to address alcohol need.	Health and Social Care commissioning  Public health, Health and Social Care Performance Team, Health and Social Care service providers	Full engagement of stakeholders	Fully functioning steering group, robust information and analysis, preparations for 2012 strategy	Compliance and reference of the group	Steering Group Jan – Mar 2010		PCT (SMCT), Health and Social Care performance management, Public Health
27.	Expand the current remit of the Assertive Outreach service to ensure that the two Alcohol Workers can provide effective targeted work and service coordination response to the health, social care and alcohol treatment needs of people drinking on the streets.	Street Drinkers	Cohesion across settings in approach to alcohol misuse.  Promoting good relations between members of different groups	Increase outreach team	Outreach team's case load	Jan - Mar 2010	Alcohol Coordinator + PCT (SMCT)	

### **CRIME & COMMUNITY SAFETY: DOMESTIC VIOLENCE AND SEXUAL OFFENCES**

#### **Information Gathering:**

	<b>Action</b>	<b>Target Group</b>	<b>Critical Success Measures</b>	<b>Outcomes</b>	<b>Evaluation Methods</b>	<b>Timescales</b>	<b>Lead Officer</b>	<b>Supporting Officers</b>
28.	Work with the Sexual Offences and Domestic Abuse (SODA) group to devise mechanisms for collecting robust and comprehensive data relating to sexual offences, domestic violence and alcohol misuse. Information to be gathered from the Domestic Violence and Sexual Offences	Domestic Violence and Sexual Offences response agencies  Police  MARAC	Timely and accurate data  Promoting good relations between members of different groups	Local knowledge of the impact of alcohol on this community  NI23 Make communities safer	Bi monthly to SODA and alcohol steering group	Ongoing	Alcohol Coordinator	SODA + LBS Data Analyst

	<p>response agencies, as well as Southwark Police (Safer Neighbourhood Teams, MARAC and Sapphire Teams). Findings from data to inform 2012-2015 Alcohol Strategy. (SODA will be implementing a programme of mapping and reaching out to diversity groups and BAME communities in 09/10, so SODA / alcohol information gathering to be requested as part of this work.)</p>	Sapphire Teams.						
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**Prevention / Education:**

	<b>Action</b>	<b>Target Group</b>	<b>Critical Success Measures</b>	<b>Outcomes</b>	<b>Evaluation Methods</b>	<b>Timescales</b>	<b>Lead Officer</b>	<b>Supporting Officers</b>
29.	<p>Raise awareness among door and bar staff in licensed premises about the links between alcohol misuse and sexual offences; and ensure that know what to do in the event of a sexual assault, including how to respond to and support victims and how to preserve evidence.</p>	Licensed premises door staff	X of premises will take part in the awareness sessions	<p>Increased knowledge in this area by bar staff</p> <p>NI23 Make communities safer</p>	Evaluation feedback from license premise staff	Note: This needs to be tied in with next two proposals. Planning needs to be discussed	Police, Licensing,	SODA + Alcohol Coordinator
30.	<p>Plan and deliver an awareness raising campaign aimed and educating young women about their vulnerability to sexual assault when they have been drinking.</p>	Young Women	Campaign monitoring process	<p>Increased knowledge in this area by young women</p> <p>NI23 Make communities safer</p>	Feedback from young women	Ongoing	Alcohol Coordinator	SODA
31.	<p>Plan and deliver an awareness raising campaign aimed at educating young men about the importance of getting active consent to sex, particularly where either partner has been drinking alcohol.</p>	Young Men	Campaign monitoring process	<p>Increased knowledge in this area by young men</p> <p>NI23 Make communities safer</p>	Feedback from young men	Ongoing	Alcohol Coordinator	SODA

				NI20 – Assault with injury crime				
32.	Support above awareness raising campaigns by promoting a 'safe journey home' campaign with licensed club, pub and bar operators	All drinkers	X licensed premise to take part in the event	NI23 Make communities safer  This can be monitored via performance on the following NI's:  NI20 – Assault with injury crime  NI 39 Reducing alcohol-harm related hospital admission rates	Was the programme successful?  Are more people using a taxi service?  Have assaults and drink driving incidents reduced?	Note: This needs to be tied in with above two proposals. Planning needs to be discussed	Licensing	Police
33.	Work with alcohol retailers to ensure licensees understand the responsibilities they have associated with selling or supplying alcohol to intoxicated persons.	Licensees	Reduction in alcohol related incidents		Data and intelligence	Ongoing	Licensing	Police Wardens
34.	Work with DV services to create a protocol document guiding work with victims and perpetrators who misuse alcohol.		Reduction in adverse outcomes	Quality of service received	Feedback/evaluation from victims interviews	Apr- Sep 2010	SODA	Alcohol Coordinator
35.	Ensure that all SODA services are given Models of Care Integrated Care Pathways information and are confidently able to refer individuals for substance misuse interventions.	SODA Stakeholders	Models of care pathways issued to xx services	Workers are able to refer individuals for substance misuse interventions.	Feedback/evaluation from victims interviews	Apr- Sep 2010	Alcohol Coordinator	SODA

**Treatment:**

	Action	Target Group	Critical Success Measures	Outcomes	Evaluation Methods	Timescales	Lead Officer	Supporting Officers
36.	Ensure alcohol specialist services are represented appropriately at MARAC.	Service workers	Reduction in adverse outcomes	Representation at the MARAC	Feedback from MARAC	Ongoing	MARAC Coordinator	
37.	Ensure that a Routine Enquiry (DV) programme is	Service workers	Action plan for Routine Enquiry roll out	Quality of service received	Routine Enquiry has been rolled	Planning – Apr – June	SODA + Alcohol	

	planned and implemented across Southwark's substance misuse services.				out across services  Feedback/evaluation from victims interviews	2010	Coordinator	
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**COMMUNITY SAFETY, ANTI-SOCIAL BEHAVIOUR AND DISORDER**

**Information Gathering:**

	Action	Target Group	Critical Success Measures	Outcomes	Evaluation Methods	Timescales	Lead Officer	Supporting Officers
38.	<p>Plan and implement mechanisms for gathering and analysing comprehensive data about alcohol-related night-time economy disorder and crime including:</p> <ul style="list-style-type: none"> <li>Collecting alcohol related ambulance pick up data, for analysis and hotspot area mapping exercise every six months.</li> <li>Collecting data on Alcohol related Violence against a person, disorder and rowdiness associated with licensed premises.</li> <li>Reviewing the data that licensees may be able to share – e.g. refusals data and disorder calls – and decide on the merit of gathering such data.</li> <li>Ensure that data gathering also seeks to establish an understanding of the experiences of vulnerable diversity groups in relation to alcohol related disorder and violence.</li> </ul> <p>Data to be gathered to inform the development of the 2012-2015 Alcohol Strategy, as well</p>	Alcohol steering group POG Licensing	<p>Timely and accurate data</p> <p>Inform development of 2012-2015 Alcohol Strategy, as well as the 2012-2015 Southwark Statement of Licensing Policy</p> <p>Data gathered by community desk will not be able to establish understanding of experiences of vulnerable groups. If want to do this will need to review how you will do this.</p>	<p>Targeted resources</p> <p>Safer communities</p>		<p>Jan – Mar 2010</p> <p>Bi weekly to POG</p> <p>Jan – Mar 2010</p>	LSB Data Analyst	Licensing + Alcohol Coordinator

	as the 2012-2015 Southwark Statement of Licensing Policy; and to identify areas that require an immediate partnership response.							
39.	Analysis of above data to be provided on six-monthly basis to be reported to Licensing Committee for consideration and development of saturation policies dealing with cumulative impact of alcohol licensed venues.		Reduction in alcohol related VAP and disorder and rowdiness within saturation zones	Member-level decisions made on introduction, continuation and cessation of saturation zones as appropriate	Effectiveness of saturation zones borne out by analysis of alcohol related VAP and disorder and rowdiness,	Reports Licensing Committee in Jan Mar 2010. Reported onto Council Assembly as appropriate	Licensing	Partnership Analyst Police EPT Legal Services Corporate Support
40.	Consideration to be given to the extent of data that can be published and circulated to licensees, together with consideration of protocols for sharing information within trade on refusals.	Alcohol licence holders	Regular information provided to licensees on alcohol related harm	Licensees become more informed	Formal information sharing process established.	Jan -Mar 2010	Licensing	LBS Data Analyst
41.	Review outcomes of Home Office 'Safe, Sensible & Social: Selling Alcohol Responsibly' consultation and take necessary steps to implement proposed code of practice around socially responsible alcohol retail.	Alcohol licence holders	Mandatory licence conditions introduced.  Process for discretionary conditions established.  Unit alcohol / health information requirements distributed	Compliance with conditions / requirements achieved  Cessation of irresponsible alcohol promotions  Greater information for consumers	Objective assessment by inspecting officers	Jan - Mar 2010	Licensing	Trading Standards  Food Safety
42.	Develop and promote good practice guide for licensees incorporating social responsibility issues.	Licence holders	Good practice guidance established	Improved management of licensed premises	Level of incidents relating to alcohol licensed premises recorded	Apr - Jun 2010	Licensing	Police  Trading Standards  SIA
43.	Seek to establish a Licensing Partnership Forum.	Licensees	Partnership established	Improved level of communication between	Fact	Jan -Mar 2010	Licensing	Police  Trading

				agencies & licensees				Standards
44.	Identify key alcohol-related ASB issues e.g. street drinking and late night disorder to enable alcohol control zones to be monitored for improvement.	Street Drinkers and Individuals committing crime and disorder	Programme of interventions agreed for problematic individuals	<p>Reduce incidents of alcohol related rowdy, inconsiderate and violent behaviour</p> <p>This can be monitored via performance on the following NI's:</p> <p>NI20 – Assault with injury crime</p> <p>NI 39 Reducing alcohol-harm related hospital admission rates</p> <p>NI 41 Reducing perceptions of drunk or rowdy behaviour as a problem</p>	<p>Feedback on problematic individuals</p> <p>Everywhere in Southwark will be a Safe and attractive place to live, visit and work.</p>	Ongoing	Alcohol Coordinator	
45.	Review data requirements for monitoring problems associated with street drinking and establish best mechanisms for collecting data to inform strategic planning, as well as intelligence gathering for immediate operational responses to need.		Programme of work agreed	<p>Local knowledge of the impact of alcohol on this community</p> <p>NI23 Make communities safer</p> <p>NI20 – Assault with injury crime</p> <p>NI 39 Reducing alcohol-harm related hospital admission rates</p> <p>NI 41 Reducing</p>	Feedback/evaluation from wardens	Jul - Sep 2010	Alcohol Coordinator	Wardens + St Mungos



				perceptions of drunk or rowdy behaviour as a problem				
46.	London Fire Brigade (LFB) to continue monitoring data relating to fires where alcohol intoxication is implicated and to make this information available for the 2010 Alcohol Needs Assessment.	LFB workers	Timely and accurate data	Targeted resources to inform the development of 2012-2015 Strategy  NI23 Make communities safer		Ongoing	LFB	
47.	Monitor alcohol-related community safety and disorder data to highlight any areas of immediate urgent concern.	Alcohol strategy group  POG		Reduced alcohol related disorder  NI23 Make communities safer  Targeted resources		Bi- weekly to POG	Data Analyst	Alcohol Coordinator

#### Prevention / Education:

	Action	Target Group	Critical Success Measures	Outcomes	Evaluation Methods	Timescales	Lead Officer	Supporting Officers
48.	Continue to support new licensees with induction training around their responsibilities under the Licensing Act	New (alcohol) licence holders	Level of licence compliance among target group upon next inspection	Improved premises management	Objective assessment by officers conducting inspections	Ongoing	Licensing	Police
49.	Develop and deliver to partner agencies a rolling programme of training around raising fire safety awareness (linked to alcohol misuse) for staff working directly with service users, e.g. key workers, carers, frontline housing staff; including information about risks and referral information relating to free Home Fire Safety Visits.		Series of performance measures within LFB strategy	NI49 Number of primary fires and related fatalities/ non-fatal casualties, excluding precautionary checks  NI33 Arson incidents	Performance management framework will be used to monitor progress	Ongoing	LFB	
50.	Devise an action plan to		Series of performance	NI49 Number of	Performance		LFB	

	ensure that information about LFB services is disseminated to key local agencies.		measures within LFB strategy	primary fires and related fatalities/ non-fatal casualties, excluding precautionary checks	management framework will be used to monitor progress			
51.	Where appropriate and possible within resources, deliver alcohol and fire awareness sessions visits and / or talks to service users at community based projects.		Series of performance measures within LFB strategy		Performance management framework will be used to monitor progress	Ongoing	LFB	
52.	Run an awareness campaign on alcohol-related fires and include information in council tenant induction packs		Series of performance measures within LFB strategy	NI49 Number of primary fires and related fatalities/ non-fatal casualties, excluding precautionary checks  NI33 Arson incidents	Campaign evaluation form	Ongoing	LFB	Alcohol Coordinator
53.	Continue to support and enable Pubwatch schemes.	Alcohol licence holders	Annual growth in pub watches established.  Regular attendance at meetings achieved	Licensee support networks established and maintained	Formal records	Ongoing	Licensing	Police,
54.	Provide prevention and education information to communities around key sporting and seasonal events.		Reduction in adverse outcomes, alcohol related disorder	NI23 Make communities safer		Ongoing	Street Wardens	

**Treatment:**

	<b>Action</b>	<b>Target Group</b>	<b>Critical Success Measures</b>	<b>Outcomes</b>	<b>Evaluation Methods</b>	<b>Timescales</b>	<b>Lead Officer</b>	<b>Supporting Officers</b>
55.	Ensure Street Wardens are provided with information about alcohol services available within the borough and supported to sign-post individuals who are street drinking to those services.		Reduction in adverse outcomes, alcohol related disorder	NI23 Make communities safer  Targeted resources		Ongoing	Street Wardens	

56.	Ensure that St Mungos Assertive Outreach service becomes a central point for targeting and tasking work with individuals who are street drinking and can respond with key partners to hot spot street drinking areas as they arise.		Reduced alcohol related disorder	NI23 Make communities safer  Targeted resources		Ongoing	Alcohol Coordinator and St Mungos	
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**Enforcement:**

	Action	Target Group	Critical Success Measures	Outcomes	Evaluation Methods	Timescales	Lead Officer	Supporting Officers
57.	Run awareness and training campaign for licensed premises about their responsibilities around safe and sensible drinking.	licensed premises	X licensed premises to take part in awareness raising  Reduction in rowdy, inconsiderate and violent behaviour resulting from alcohol misuse	Help licensees maintain a safe, secure and relaxing environment for your customers  NI20 – Assault with injury crime  NI 39 Reducing alcohol-harm related hospital admission rates  NI 41 Reducing perceptions of drunk or rowdy behaviour as a problem	Everywhere in Southwark will be a Safe and Attractive place to live, visit and work.  Training course feedback	Ongoing	Licensing	Police  Trading Standards
58.	Continue to use current legislative powers to tackle alcohol-related disorder and plan the appropriate application of the range of new legislative provisions that relate to alcohol related crime and disorder including: • Drinking Banning Orders (from 09/10) • Direction to leave powers under section 27 Violent	Individuals committing crime and disorder	Programme of interventions agreed for problematic individuals	Reduce incidents of public based alcohol related disorder (rowdy, inconsiderate and violent behaviour)  This can be monitored via performance on the following NI's:	Feedback on programme of interventions for problematic individual  Everywhere in Southwark will be a Safe and Attractive place to live, visit and work.	Ongoing	Alcohol Steering Group	

	Crime Reduction Act (VCRA) • DPPO (Southwark evaluation)			NI20 – Assault with injury crime  NI 39 Reducing alcohol-harm related hospital admission rates  NI 41 Reducing perceptions of drunk or rowdy behaviour as a problem				
59.	Improve signage relating to controlled drinking zone	Community including problematic street drinkers	Increase signage in identified areas	Signs are located in all known problematic and surrounding areas	Visible signage in problematic and surrounding areas	Ongoing	Alcohol Coordinator	
60.	Carry out programme of during operation inspections of licensed premises to check for compliance with terms conditions and restrictions of licences and licensing law, with frequency of inspection determined on risk-assessed basis.	Alcohol licence holders / DPS	Percentage of planned inspections undertaken  Level of compliance achieved	Improved management of alcohol licensed premises	Objective assessment by inspecting officers	Ongoing to year end	Alcohol licence holders / DPS	
61.	Enforce the current and any forthcoming provisions of consumer protection legislation with regard to fake / substituted alcohol, ensuring correctly marked alcohol strength and correct alcohol measures.		Reduce availability of fake /substituted alcohol	NI182 Satisfaction of business with local authority regulatory services		Ongoing	Trading Standards	

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<sup>1</sup> Tackling the Impact of Alcohol: Southwark priorities

<sup>2</sup> Southwark's alcohol misuse scoping review 2008-2011

<sup>3</sup> The Statistic's on Alcohol: England 2009

<http://www.ic.nhs.uk/webfiles/publications/alcoholeng2009/Final%20Format%20draft%202009%20v7.pdf>

<sup>4</sup> "Safe. Sensible. Social. The next steps in the National Alcohol Strategy", 2007, Department of Health, Home Office, Department for Education and Skills, Department for Culture, Media and Sport

[http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH\\_075218?IdcService=GET\\_FILE&dID=141302&Rendition=Web](http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH_075218?IdcService=GET_FILE&dID=141302&Rendition=Web)

<sup>5</sup> Alcohol and the family: a position paper from Alcohol Concern

[www.alcoholandfamilies.org.uk](http://www.alcoholandfamilies.org.uk)

<sup>6</sup> Understanding Alcohol Issues for Professionals working with Parents,

[www.alcoholandfamilies.org.uk](http://www.alcoholandfamilies.org.uk)

<sup>7</sup> 'Use of alcohol among Children and Young people' DCSF 2008

<sup>8</sup> National Statistics on Alcohol: England 2009

<http://www.ic.nhs.uk/webfiles/publications/alcoholeng2009/Final%20Format%20draft%202009%20v7.pdf>

<sup>ix</sup> Cabinet Office – Strategy Unit's Alcohol Misuse, Interim Analytical Report

[http://www.cabinetoffice.gov.uk/media/cabinetoffice/strategy/assets/su%20interim\\_report2.pdf](http://www.cabinetoffice.gov.uk/media/cabinetoffice/strategy/assets/su%20interim_report2.pdf)

<b>Item No.</b>	<b>Classification:</b> Open	<b>Date:</b> 23 March 2010	<b>Meeting Name:</b> Executive
<b>Report title:</b>		Southwark Circle: A Brief Update – Scrutiny Review	
<b>Ward(s) or groups affected:</b>		All	
<b>From:</b>		Health and Adult Care Scrutiny Sub-Committee	

## RECOMMENDATION

1. That the executive considers the comments of the strategic director of health and community services in response to the recommendations of the health and adult care scrutiny sub-committee (as listed in the appended report), and requests a corresponding action plan, according to their acceptance of the officer response.

## BACKGROUND INFORMATION

2. The council’s arrangements to establish Southwark Circle were subject to call-in by the overview and scrutiny committee (OSC) on 18 and 20 May 2009. The main challenge was whether the allocation of £1m in grant funding to finance the project for the first three years was an appropriate and proportionate use of the financial risk reserve.
3. The call-in outcome was that OSC agreed to refer the decision back to the executive member for health and adult care, with three related requests (as listed under section 1.3 of the appended report).
4. The health and adult care sub-committee asked for an update on Southwark Circle at its 20 January 2010 meeting, just over six months after the project start. The resulting report is based solely on the officer briefings considered at that meeting and is not intended as a comprehensive review. The sub-committee identified several issues, however, that it believes warrant comment and the recommendations as listed below.

## KEY ISSUES FOR CONSIDERATION

### Comments from the Strategic Director of Health and Community Services

5. The response from the strategic director of health and community services to scrutiny’s recommendations is set out below.
6. The Strategic Director of Health and Community Services welcomes this scrutiny report on the early development of Southwark Circle, and the comments made by members of the Health and Adult Care Scrutiny Sub-Committee. In response to the recommendations officers will work with Daniel Dickens to extend the regular performance monitoring to include proxy

measures of the financial benefit to Southwark Circle members of accessing support from Circle helpers and, as recommended by Scrutiny members, progress in implementing these recommendations will be reported to members at six monthly intervals. This will provide elected members with regular opportunities to monitor and scrutinise the progress of Southwark Circle and therefore indirectly the work of the steering group. In addition to this the Lead Executive Member for Health and Adult Care already receives regular reports on the development of Southwark Circle. It is therefore proposed that, rather than extend membership of the steering group to elected members, the six monthly reports to Scrutiny can continue to provide the opportunity for members to be more actively involved in influencing the continued development of the organisation.

7. Officers have discussed the recommendations with Daniel Dickens who has indicated his willingness to work with officers to progress these matters. He will continue to visit Community Councils and other existing community networks to promote Southwark Circle membership and to seek other opportunities to publicise the organisation throughout the borough. As part of this Southwark Circle will be participating in the Southwark Silver festival this spring.
8. With regard to the recommendation to extend membership of the steering group to include active Southwark Circle members, Mr Dickens would like to reassure members that Southwark Circle is guided by its community members in virtually every aspect of its activities, from the monthly newsletter and member calendar to daily requests for practical services. Throughout the organisation there is an emphasis on participation, contribution and a continual feedback loop built into the delivery strategy so that members can share their perspectives regularly, as well as in more depth as part of project evaluation. This necessary alignment between members and the organisation's activities was part of the logic behind its design as a membership organisation.
9. Whilst Southwark Circle recognises and shares Council Members' desire to ensure that its members contribute to the strategic direction of the project Mr Dickens respectfully proposes that, as a membership organisation, attendance by individual members at the steering group may not be the most effective way of achieving this. Officers will work with Southwark Circle to ensure that active members of Southwark Circle continue to be involved in the further development of the organisation, and that their views and feedback are taken into account by the steering group. It is further proposed that the six monthly reports to Scrutiny committee will include feedback from Southwark Circle members.

## APPENDICES

No.	Title
Appendix 1	Southwark Circle: A Brief Update - Report of the Health and Adult Care Scrutiny Sub-Committee, March 2010

**BACKGROUND DOCUMENTS**

<b>Background Papers</b>	<b>Held at</b>	<b>Contact</b>
Southwark Circle 36 month budget plan (CLOSED paper).	Communities, Law and Governance 160 Tooley St, London SE1 2TZ	Rachael Knight Scrutiny Team 020 7525 7291

**AUDIT TRAIL**

<b>Lead Officer</b>	Shelley Burke, Head of Overview and Scrutiny	
<b>Report Author</b>	Rachael Knight, Scrutiny Project Manager	
<b>Version</b>	Final	
<b>Dated</b>	1 March 2010	
<b>Key Decision?</b>	No	
<b>CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / EXECUTIVE MEMBER</b>		
<b>Officer Title</b>	<b>Comments Sought</b>	<b>Comments included</b>
Strategic Director of Communities, Law & Governance	No	-
Finance Director	No	-
Strategic Director of Health and Community Services	Yes	Yes



# **SOUTHWARK CIRCLE: A BRIEF UPDATE**

Report of the Health and Adult Care  
Scrutiny Sub-Committee

March 2010



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## **1. Introduction and background**

- 1.1 In June 2009 the council launched Southwark Circle - a membership organisation for older people, providing both help with practical tasks and a social network that aims to increase opportunities for local residents to build up their own informal support networks.
- 1.2 The council's arrangements to establish Southwark Circle were subject to call-in by the overview and scrutiny committee (OSC) on 18 and 20 May 2009, when some members challenged whether the allocation of £1m in grant funding to finance the project for the first three years was an appropriate and proportionate use of the financial risk reserve. OSC members also raised concerns about issues such as the use of due consultation; the level of clarity regarding the project's aims and desired outcomes; and how the expected savings would be achieved according to the project's "invest to save" principle.
- 1.3 The call-in outcome was that OSC agreed to refer the decision back to the executive member for health and adult care, with the following requests:
  - a. That an accurate budget account is produced with predicted growth figures;
  - b. That clear and robust performance outcomes and targets are developed for monitoring the performance of Southwark Circle, with the provision to terminate the funding agreement should the steering group consider that Southwark Circle is falling short of the agreed targets;
  - c. That the Memorandum and Articles of Association for the Community Interest Company be amended to ensure that at the end of the three year agreement any surplus money is reinvested into other Southwark communities.
- 1.4 In view of the time pressure to reach this call-in conclusion and the large sum of money involved in the original decision, some members felt that their referral back to the executive member involved a leap of faith and harboured lingering reservations about the project legitimising such a considerable draw down of the council's reserve budget.
- 1.5 As the remit of our sub-committee includes adult care issues, we requested an update on the project at our 20 January 2010 meeting, just over six months after its inception.
- 1.6 The update was provided by the council's interim assistant director of health and community services and the Southwark Circle managing director. (The written update is attached as an appendix to this report.)

## **2. Key Evidence Considered**

### **Performance monitoring**

- 2.1 Daniel Dickens, managing director at Southwark Circle, outlined how the programme has started well, in particular regarding membership growth and the number of requested services. Targets set in June had been achieved early: 100 members had joined by 1 December 2009, for example, when the aim was to reach this figure by the end of 2009.
- 2.2 Mr Dickens also identified an emerging pattern that people are initially joining Southwark Circle with the view to obtain help with an immediate practical need, and are subsequently discovering the benefit of other aspects of the project, in particular the social events and opportunities to share their own skills. He illustrated several examples for us while the sub-committee was in closed session (requesting that these personal experiences remain confidential.)
- 2.3 The sub-committee also heard that Southwark Circle's performance in relation to the contract requirements and performance targets is monitored by a steering group that meets quarterly and is chaired by the council's chief executive.
- 2.4 Members raised questions about who sits on the steering group and how the level of involvement in the project is monitored. We learnt that the steering group comprises as follows: Annie Shepherd, Southwark's chief executive; Edwina Morris, the council's interim assistant director of health and community services; Tom Branton, a council project manager; Hilary Cottam, from Participle; Hugo Manassei, Southwark Circle board member and Participle director; Daniel Dickens, Southwark Circle managing director.
- 2.5 Following further queries it was confirmed that that currently no Southwark Circle participants are invited to attend the steering group, as the focus of the group is to ensure that the project is achieving good value for the money invested. Several sub-committee members suggested, however, that the inclusion of project users on the steering group could be vital and valuable, both in terms of providing due place for service user representation and in helping to achieve the value for money objective.

### **Project Promotion**

- 2.6 Members were similarly interested to learn more about how the project is being promoted, and in particular whether Southwark Circle is being presented to members of the public at community council (CC) meetings. Mr Dickens responded that a first presentation to a CC would be made the next day at the Borough and Bankside CC meeting. Our chair, Councillor Zuleta, explained that, as she had not seen any activity of the project in her part of the borough, she had invited Southwark Circle to present an item at that meeting. She acknowledged that the project had deliberately been started in one neighbourhood with the intention of expanding outwards but explained that, because there had been a measure of reservation about the project achieving value for money, she would anticipate that other councillors would

be looking for evidence that members of their constituency communities were having access to this opportunity.

- 2.7 Responding to a question about when the project will be expanded, Mr Dickens stated that anyone in any part of the borough is currently welcome to join, and listed the various ways in which they could contact Southwark Circle staff to do so. He added that activity was concentrated on Camberwell and Peckham at the moment, as the project tends to grow organically; because it has the aim to increase community cohesion; and as staff are working to establish an understanding of what type of services will be most requested in different areas of the borough. He also outlined other means used to raise the project's visibility, including a stand at the Camberwell Christmas market and Surrey Quays shopping centre, and emphasised that he would be pleased to promote Southwark Circle at Community Councils.
- 2.8 Mr Dickens also made clear that Southwark Circle does not stipulate any required age on its promotional material, and that while membership is aimed for Southwark residents over 50, one current member is 47 years old.
- 2.9 It was also reported that Southwark Circle staff do not monitor other personal information, such as participants' ethnicity, as strictly as this is often carried out with other council programmes. This is in order to support a sense of informality and prevent a form of institutionalising the programme, which could make it less attractive to some residents. Members recognised the merits of this approach and supported the level of informality.

### **Recording realistic proxy values**

- 2.10 During the 18 May 2009 call-in meeting, OSC members acknowledged the positive aim of Southwark Circle, but observed that it was not possible at that stage to determine likely savings. It was therefore suggested, as referenced in the OSC decision above, that it would be helpful for the council to start considering what information could be gathered regarding performance in order to inform and support future decisions. If a long-term aim from funding Southwark Circle was a saving on health care, for example, then appropriate data would be requisite to support this.
- 2.11 At the May 2009 meeting, the strategic director of health and community services stated that it was difficult to assess the impact of preventative work. She agreed, however, that a suitable method would be necessary to gather useful information about the project's achievements and that she would report back to OSC on how outcomes and savings could begin to be assessed.
- 2.12 As highlighted above, OSC members underscored the importance of this issue by requesting from the executive member for health and adult services that "clear and robust performance outcomes and targets are developed for monitoring the performance of Southwark Circle, with the provision to terminate the funding agreement should the steering group consider that Southwark Circle is falling short of the agreed targets."
- 2.13 At the 20 January 2010 update, we were particularly interested therefore to query how much money the project had so far saved. The assistant director stated that it was still early to say; that over time it was hoped that people would approach the council for social care at a later stage than is currently

typical, and that some people who have stopped receiving care due to the change in adult care eligibility criteria have joined Southwark Circle.

- 2.14 While we accept this reasoning, we remain concerned that insufficient data is being recorded for this purpose and suggest that records be kept of equivalent costs for the services that participants purchase through the project, as this would provide one way of calculating savings. We believe that this should be feasible both for services that are overtly practical with and that have an equivalent commercial value, as well as for services that are more akin to social care support.
- 2.15 After discussing the factors outlined above, we highlighted again the innovation and promise of the Southwark Circle project and agreed that it has the potential to achieve considerable benefits for many Southwark residents. As outlined, however, we also consider it critical that this project demonstrates good value for money and, with this as the foremost concern, make the following recommendations:

**Recommendations:**

1. That it be noted that the members of the health and adult care scrutiny sub-committee welcome the Southwark Circle project and particularly favour aspects such as its level of informality; its comparative absence of bureaucracy; and its organic approach for development;
2. That membership of the Southwark Circle steering group be expanded to include active Southwark Circle members;
3. That more targeted work be carried out, such as the promotion of the project at community councils, with the aim to involve more people from other parts of the borough;
4. That a simple method be devised for logging a realistic proxy value or average equivalent commercial charge for each service delivered within the Southwark Circle scheme; with the view to measure what savings are being achieved; and
5. That Southwark Circle be requested to provide further updates either to the overview and scrutiny committee or to the health and adult care scrutiny sub-committee on a six monthly basis, in order to monitor whether the project's performance targets continue to be achieved and the extent to which recommendations 2 to 4 above have been implemented.

Health and Adult Care Scrutiny Sub-Committee (as present on 20 January 2010)

Councillor Lorraine Zuleta (Chair)  
 Councillor Dora Dixon-Fyle (Vice-chair)  
 Councillor Jonathan Mitchell  
 Councillor Abdul Mohammed (Reserve 20 January 2010)  
 Councillor Wilma Nelson (Reserve 20 January 2010)

## APPENDIX

**Extract of information pertaining to the development of Southwark Circle, from the following report:**

<b>Item No.</b>	<b>Classification:</b> Open	<b>Date:</b> 20 January 2010	<b>Meeting Name:</b> Health and Adult Care Scrutiny Sub-Committee
<b>Report title:</b>		Response to Scrutiny questions on Personalisation and the development of Southwark Circle.	
<b>Ward(s) or groups affected:</b>		All	
<b>From:</b>		Strategic Director of Health and Community Services	

### Southwark Circle

16. Southwark Circle is a membership organisation that provides on-demand help with life's practical tasks through local, reliable Neighbourhood Helpers, and a social network for teaching, learning and sharing. Membership is open all Southwark residents over the age of 50.
17. Southwark Circle has grown ahead of membership targets during its first two quarters of operation. The target of 100 members was reached before December 2009, one month ahead of projections. Membership has continued to grow at an increasing rate thanks to a high-visibility Christmas gift marketing campaign ("No More Socks") and currently stands at approximately 120 members and 55 helpers. Members are representative of the full ethnic and economic diversity of the borough. More detailed age, gender, geographical and ethnicity information is available in Appendix 1 and details of the No More Socks campaign is contained in Appendix 2.
18. Most helpers are paid for the work that they do, with the pay rate set at the London Living Wage. Helpers register with Southwark Circle, identifying their skills and abilities and, following receipt of a satisfactory Criminal Records Bureau check, are matched by Southwark Circle to members' requests for help. Helpers carry out a wide variety of practical tasks. Appendix 1, which shows the categories and volume of tasks undertaken month by month since the launch of the service.
19. Daniel Dickens, from Southwark Circle, will be in attendance at the Scrutiny meeting and will be able to show members photographs of Southwark Circle activities and give some verbal case examples of the experiences of members and helpers. The Southwark Circle website includes two short videos explaining the concepts of "Member" and "Helper", and featuring actual members and helpers. This can be viewed on the following links:
20. <http://www.southwarkcircle.org.uk/member.htm>  
<http://www.southwarkcircle.org.uk/helper.htm>

21. The financial arrangements between the Council and Southwark Circle include start up funding of £250,000 following by quarterly payments of £62,500. The following table summarises Southwark Circle expenditure to date:

	<i>Funding Allocation</i>	Actual and Committed Spend (up to Dec 2009)	Committed Spend Q3 (Dec-March)	Total Spend of Allocation	Under spend (contingency fund received formal approval to be carried forward)
<i>Launch Funds</i>	<i>£250,000</i>	£191,125	£33,875	£225,000	£25,000
<i>Q1 June-Sept 09</i>	<i>£62,500</i>	£55,109	n/a	£55,109	£7,391
<i>Q2 Oct-Dec 09</i>	<i>£62,500</i>	£57,745	n/a	£57,745	£4,755
<i>Total</i>	<i>£375,000</i>	£303,979	£33,875	£337,854	£37,146

Running costs for each quarter of operations have been in line with projections and launch funding has been allocated according to the project budget. Project teams have negotiated discounts whenever possible and have followed an iterative development process for IT projects so as to achieve the best outcome for the least money. The remaining funding (under spend) is primarily composed of the 'contingency fund' that was approved as part of the initial funding. As with any under spend, this requires formal approval during steering group meetings to be carried forward.

21. Southwark Circle has provided more detailed information from its Christmas campaign "No More Socks" that provides an example of co-production by members and Circle staff and a positive message for Southwark residents and families. Please see Appendix 2.

## **POLICY IMPLICATIONS**

22. The national policy direction for implementation of personalisation was set out by the Department of Health in policy documents including "Putting People First", December 2007, and two Local Authority Circulars titled "Transforming Adult Social Care" in January 2008 and March 2009. The policy implications have been summarised in paragraph 3 above.

## **COMMUNITY IMPACT STATEMENT**

23. The work plan of the Personalisation Programme Board includes the completion of an Equality Impact Assessment of the implications of moving to a system of self directed support and personal budgets to ensure that the new system does not discriminate against any members of the local community.
24. The Southwark Circle Steering Group will continue to monitor the membership of the organisation as it grows to ensure that the methods of operation continue to provide opportunities for all members of the community to participate.



<b>Item No.</b>	<b>Classification:</b> Open	<b>Date:</b> 23 March 2010
<b>To</b>	Executive	
<b>Report title</b>	Gateway 1 – To provide Care and Support Services in Extra Care Sheltered Housing	
<b>Ward(s) or groups affected</b>	All- borough wide facility	
<b>From</b>	Strategic Director of Health & Community Services	

### RECOMMENDATION (S)

1. That the Executive approves the procurement strategy outlined in this report to provide Care and Support Services in Extra Care Sheltered Housing in Southwark.
2. That the Executive approves the delegation of the award of the contract to the Strategic Director of Health and Community Services

### BACKGROUND INFORMATION

3. Extra Care sheltered housing is a model of supported accommodation which provides an integrated care and support service, which allows frail older people to live as independently as possible in the community.
4. The estimated annual cost of the contract is £1,000,000 for a period of 3 years making a contract value of £3,000,000.
5. The contract has extension provision for 2 years duration, making a total estimated contract value of £5,000,000.
6. Lew Evans Sheltered House is a 38 bed unit owned and managed by Southwark Council. Two of the units are used as intermediate care “step up/ step down” flats which enable appropriate discharge from hospital and provide a more appropriate environment (non clinical) for rehabilitation.
7. Southwark’s sheltered housing recently underwent a reconfiguration to modernise service delivery following strategic recommendations agreed by the Supporting People Commissioning Body arising from a strategic review of older people’s services funded by the Supporting People grant. The key change in service delivery following the service reconfiguration is that Lew Evans no longer has a dedicated onsite warden between the hours of 8am-4pm. Housing related support is now provided by sheltered housing support officers who provide a visiting service for around four hours per day Monday to Friday.
8. Although it has been recognised that this can not be a long-term arrangement for an extra care scheme, the scheme does incorporate services such as SMART community alarms monitoring and response during out-of-hours, and the use of Telecare assisted living equipment. Currently there is an interim temporary arrangement in place to provide 24 hour cover at Lew Evans Sheltered House via an external provider.
9. Lime Tree Sheltered House is a purpose built extra care sheltered housing unit that is currently managed by In Touch Care and Support. In Touch being the Support and Care subsidiary of Hyde Housing Association. Lime Tree Sheltered House accommodation is a

54 bed unit and provides a 24 hour integrated social care and support services for older people with medium to high support needs to maintain their independence.

10. In November 2007 the Council entered into a three year contract with In Touch Care and Support for the provision of an integrated care and support services at Lime Tree House and this contract expires in November 2010. The contract was awarded following a fully compliant EU procurement process for a Part B service
11. There has been a variation to the existing contract to provide 24 hour care at Lew Evans for eleven months to coincide with the initial term of the three year contract and to enable the tender process, as outlined in the proposed timetable, to be completed. The terms of the original contract permitted a further two year extension and should this be required to enable the tender process to be completed further contract extension reports will be brought forward for approval.

### **Summary of the business case/justification for the procurement**

12. Extra Care housing can enable most older people to continue to self care and enjoy their independence. It offers people the opportunity to continue to live independently and have the same privacy that they would have in any other kind of housing but with access to other services and facilities that help them.
13. The redevelopment of Lew Evans Sheltered House was initiated by a Department of Health Capital Grant bid for extra care housing. The receipt of this grant provides justification for the procurement to provide a holistic model of 24 hour care and support which offers an alternative to nursing and residential care that is not only provides support, greater independence and choice for users but also achieves this at reduced cost to the Council.
14. The contract is to provide supported accommodation with a 24-hour integrated care and support for older people to live independently in the community. The support element is funded through the Supporting People Programme and the personal care element of the service is funded by Southwark Health and Community Services.
15. It is proposed not to initiate an individual procurement process for Lew Evans House but to maximise the efficiency and opportunity for economy of scale and consistency of service delivery tendering process and to include the retendering of the Lime Tree House contract. The service model proposed is to have one service provider providing both care and increased hours of support which would offer good value for money and allows tighter contract management.

### **Market considerations**

16. Preliminary market research has identified that there are a number of potential providers in the market who would be interested in bidding for this service. It is likely that the Authority will be able to meet the requirements to seek at least 5 tenders.
17. This research has included:
  - networking with organisations known to Health and Community Services
  - speaking to other local authorities and national organisations
18. Research and discussions with organisations that provide extra care services revealed that many of the organisations would be able to provide the service required.

## **Options for procurement including procurement approach**

### **Option 1**

19. The council could consider commissioning Community Housing Services through the sheltered housing team to provide 24-hour care and support at both schemes. From discussion with the Head of CHS this option is not considered feasible. It would require CHS to register as a domiciliary care agency with the Care Quality Commission (CQC) in order to provide the care element of the integrated service which, in the context that Southwark externalised its home care arrangements many years ago, would not be in line with the strategic direction for services.

### **Option 2**

20. Consideration could be given to maintaining the current arrangement with sheltered housing support officers providing housing related support but extending this to cover 8-4pm and service users continuing to receive their individual care packages separately. In consideration of best practice for extra care and learning from the service benefits and user outcomes at Lime Tree House this option is not considered to be a preferred option. It would not deliver an integrated, on site care and support to providing 24 hour cover which has been identified as the model required at both Lew Evans and Lime Tree House.

### **Option 3**

21. Consideration could be given to initiating an individual procurement process just for Lew Evans House and to exercise the option to extend the Lime Tree House contract. While this would secure a solution for Lew Evans House it would reduce the opportunity for achieving the best value for money through economy of scale and a tighter contract management across the two extra care schemes. It may also compromise the ability of the service provider to respond to operational teams' demands for placements in extra care and the need to vary the level of care and support depending on the profile of service user need at any given time.

### **Option 4**

22. Consideration could be given to not put in place an integrated care and support service for Lew Evans House and to let the contract with Lime Tree House with a view to each tenant in both schemes managing their care and support needs via individual budget and support plan. While strategically this is the direction for services in delivering the Putting People First agenda and personalisation of services, at this stage the practical mechanisms to make this happen are still being worked out and it is considered that an interim solution should be put in place to ensure service delivery at Lew Evans and Lime Tree House while social care commissioners and operational staff work with service providers to develop this option in the future. Any option we choose must allow for the introduction of personalisation.

### **Option 5 – Recommended Option**

23. In consideration of the above the recommended approach to securing and integrated care and support service for both Lew Evans House and Lime Tree House is to undertake a tender exercise that covers both extra care schemes.

### **Proposed procurement route**

24. It is intended to follow the two stage EU restricted procurement procedure requiring the submission of expressions of interest, pre qualification short listing, invitation to tender, evaluation and contract award.
25. This is a Part B service and does not involve the publication of an OJEU notice but an award notice will be required at the end of the process.
26. To determine their suitability for inclusion on the tender list , the Pre Qualification Questionnaires submitted by organisations expressing an interest will be formally scrutinised in terms of experience, capacity and their financial stability, and their approach to Health and Safety and Equality and Diversity. Technical References will also be sought.

### **Identified risks and how they will be managed**

27. The main risks to this procurement are that bidding organisations may overstretch their capacity to provide the service. These risks will be mitigated through:
  - Drawing up a realistic timetable to manage the whole process including the use of PQQ and a two stage process to identify bidders with the capacity and expertise to submit full tenders
  - Ensuring that the timetable allows sufficient time for transition from current contract arrangements to the new arrangements; for example. enough time for the successful bidder to gear up to the delivery of the new contract
  - Ensuring that there are good controls in place for the tender process including the robust use and review of a risk register and issues log reported to an established project structure within the Commissioning Unit
28. Any ongoing service delivery risks would be managed through the contract management and quality assurance processes that are currently in place within Health and Community Services.
29. There is also the risk to this tender that the procurement strategy may not be approved at March Executive which would result in the timetable being delayed and Executive approval being sought in June.

### **KEY ISSUES FOR CONSIDERATION**

30. The service at Lime Tree and Lew Evans Sheltered House will provide an integrated care and support service, which accommodates the needs of older people and offers an alternative to residential and nursing care. These include:
  - A dedicated care team that responds to service users' care requirements immediately.
  - Housing related support provided throughout the day by a team of support workers.
  - Assisted Technology –Telecare Equipment
  - The provision of catering on site
  - Design features, such as assisted bathing facilities
  - A common approach to contract management and service development combining care and support.

## Policy implications

31.

- Extra care sheltered housing is being promoted both locally and nationally through a number of different policy initiatives. These include:
- NHS White Paper “ Our Health Our Care Our Say” which promotes choice for Older People and other recipients of care services.(2006)
- The Government’s “Quality and Choice for Older People’s Housing- a Strategic Framework” (2001)
- The “20-20” Green Paper for housing, care and support services for older people by the year 2020. (2006)
- Southwark’s Five year Supporting People Strategy 2005-2010
- “Putting People First” sets out the shared agreement between Government, Local Government and their partners for the transformation of adult social care. Central to the transformation of social care is the concept of personalisation, prevention and intervention. Part of this vision is the extension of choice and control through self- directed support and personal budgets to all those with ongoing care and support needs. Southwark have considered this option but at present the infrastructure e.g. resource allocation system, support planning and brokerage is still to be developed and the mechanics of how this would work in specialist housing settings.

All of these policy initiatives aim to maximise choice for older people, by offering a range of care and support options, one of which being Extra Care, aimed at maintaining independence.

32.

It is the councils policy that it will only procure care and support services from providers that are CQC rated good or excellent and the evaluation approach will incorporate this policy requirement. Successful bidders will also need to set out how they would maintain good or excellent ratings throughout the lifetime of the contract.

## Procurement project plan

33

- Procurement project plan

Activity	Complete by:
Forward Plan (if Strategic Procurement) <i>Note: Submissions to forward plan should be made soon as reasonably possible after the prospective decision period is known for Gateway 1 and 2 and should be regularly updated and kept under review</i>	1 <sup>st</sup> February 2010
DCRB/CCRB/CMT Review Gateway 1: Procurement strategy approval report (this report) <i>Note: CMT review for full executive decisions only.</i>	26 <sup>th</sup> February 2010
Notification of forthcoming decision - Five clear working days (if Strategic Procurement)	8 <sup>th</sup> March 2010
Approval of Gateway 1: Procurement strategy report (this	23 <sup>rd</sup> March

Activity	Complete by:
report)	2010
Scrutiny Call-in period and notification of implementation of Gateway 1 decision Note: You should allow a minimum of 8 clear working days. This is subject to the decision not being called-in. If the decision is called-in the timetable will need to be adjusted accordingly.	31 <sup>st</sup> March 2010
Completion of tender documentation	14 <sup>th</sup> April 2010
Advertise the contract	21 <sup>st</sup> April 2010
Closing date for expressions of interest	26 <sup>th</sup> May 2010
Completion of short-listing of applicants	11 <sup>th</sup> June 2010
Invitation to tender	28 <sup>th</sup> June 2010
Closing date for return of tenders	30 <sup>th</sup> July 2010
Completion of evaluation of tenders	13 <sup>th</sup> September 2010
DCRB/CCRB/CMT Review Gateway 2: Contract award report <i>Note: CMT review for full executive decisions only.</i>	30 <sup>th</sup> September 2010
Notification of forthcoming decision (five clear working days)	8 <sup>th</sup> October 2010
Approval of Gateway 2: Contract Award Report	5 <sup>th</sup> November 2010
Scrutiny Call-in period and notification of implementation of Gateway 2 decision Note: You should allow a minimum of 8 clear working days. This is subject to the decision not being called-in. If the decision is called-in the timetable will need to be adjusted accordingly.	18 <sup>th</sup> November 2010
Contract award	1 <sup>st</sup> December 2010
Recommended Alcatel Standstill Period	1 <sup>st</sup> December to 10 <sup>th</sup> December 2010
Publication of OJEU award notice	15 <sup>th</sup> December 2010
TUPE Consultation	1 <sup>st</sup> December 2010 to 28 <sup>th</sup> February 2011
Contract start	1 <sup>st</sup> March 2011
Initial Contract completion date	1 <sup>st</sup> March 2014
Extended contract completion date	1 <sup>st</sup> March 2016

### **TUPE implications (if no TUPE implications write 'not applicable')**

34

- There are potential TUPE implications for the Authority as an employer in relation to the activities currently provided at Low Evans House by the sheltered housing visiting support service and these are addressed in the legal concurrent below. There will also be TUPE implications for the staff currently employed by InTouch, should they be unsuccessful in the tender and the service contract be awarded to another provider., .

### **Development of the tender documentation**

- The specification will be developed with input from service users, current providers, operational staff, service managers and commissioning colleagues.
- Evaluation criteria will be developed with input from service users, operational staff, service managers, legal representative, finance representative, procurement representative and commissioning colleagues.
- Health and Community Services Commissioning in conjunction with the Legal Contracts Section and Corporate Procurement will develop and produce the Instruction to Tender (ITT)
- Health and Community Services Commissioning will develop the associated pricing documents and schedules.

### **Advertising the contract**

35. This contract will be advertised in a range of publications and other means e.g. Community Care, Inside Housing, Supply2Gov, South London Press, Supporting People K web and the Council's web site along with personal invitations to known providers of extra care housing.
36. This service is an EU part B service and is therefore not subject to the publication of an OJEU advertisement but an award notice will be published at the end of the process.

### **Evaluation**

37. It is proposed that a 50:50 price/quality weighted model will be used to evaluate tenders.
38. This procurement will be carried out in 2 stages. Any organisation successful at stage 1 shall be invited to proceed to the second stage.

Stage 1 PQQ short listing criteria are as follows:-

- Organisational viability
  - Experience
  - Health and Safety
  - Equal Opportunities
  - Financial capacity
39. Those expressing an interest will be required to complete a pre qualification questionnaire, which will assess organisational viability and test the applicants against a number of technical points that will focus upon proven experience in care and support in sheltered housing.

40. Those identified as eligible against the short listing criteria will be invited to tender. Tenders will be evaluated by an evaluation team comprising the following members and details of the evaluation methodology will be advised to tenderers accordingly:

- Operational Managers from Health and Community Services, Commissioning Officers and service user representatives, Legal, Finance, and Corporate procurement will provide technical support and guidance to the process.
- Once tenders have been opened they will initially be screened to ensure full compliance with the Instructions of Tendering and with the requirements of the Council. Potential providers will be asked to submit method statements on the qualitative aspects of the service specification. Evaluation of the tenders will on the basis of the most economically advantageous bid.

Stage 2 Tender Evaluation criteria are as follows:-

- **Resources** -ability to deliver contract specification
- **Quality Control**- ability to provide consistent high standard of service delivery
- **Partnership and collaborative working** -ability to deliver Council objectives
- **Customer satisfaction**- ability to achieve and maintain customer satisfaction
- **Price**

### **Community Impact Statement**

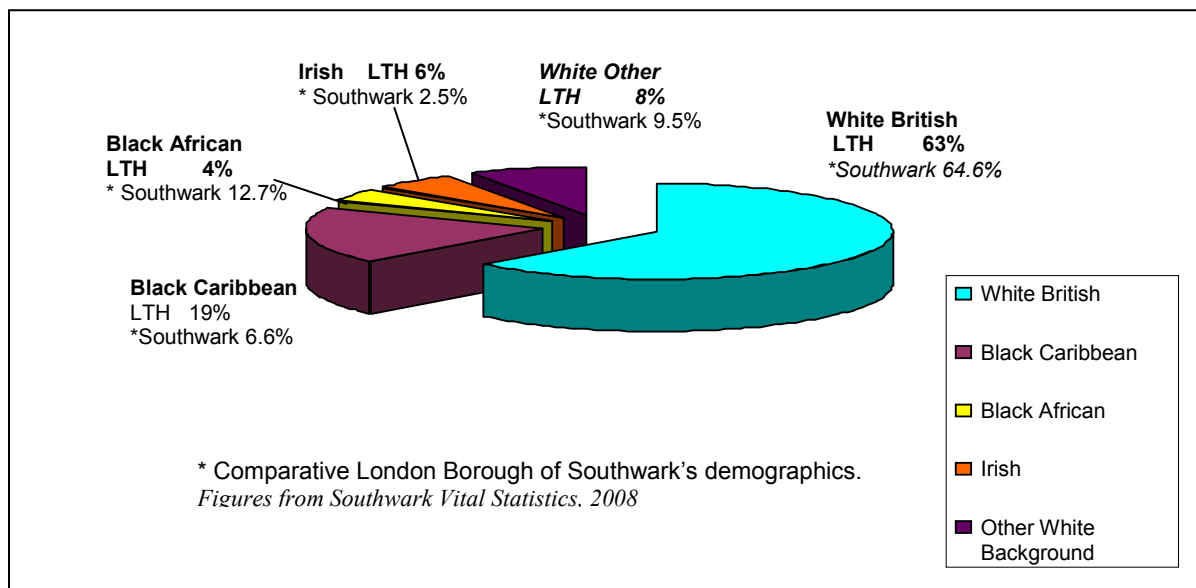
41. Extra care housing provides both care and housing-related support to older residents forming an integrated community of older people from a range of backgrounds. Our priority is for this community of older people to be reflective of the diversity of its surrounding community. Although BME numbers are relatively low in sheltered housing and the two existing extra-care schemes in the borough, the number of BME elders opting to move into extra care has risen somewhat over the years and figures are nearing the corresponding borough demographics (See Figure 1.1). The Seasons outreach support project commissioned by Supporting People has done some good work in engaging older people from the BME community but it could be argued that a lot more could be done in other areas. With older people living longer healthier lives, the provision of accessible extra care will ensure that older people across all ethnic groups will be provided with more opportunity as to where they choose to live and this will be continually monitored.

### ***Tenant Satisfaction at Lime Tree House and Outcomes***

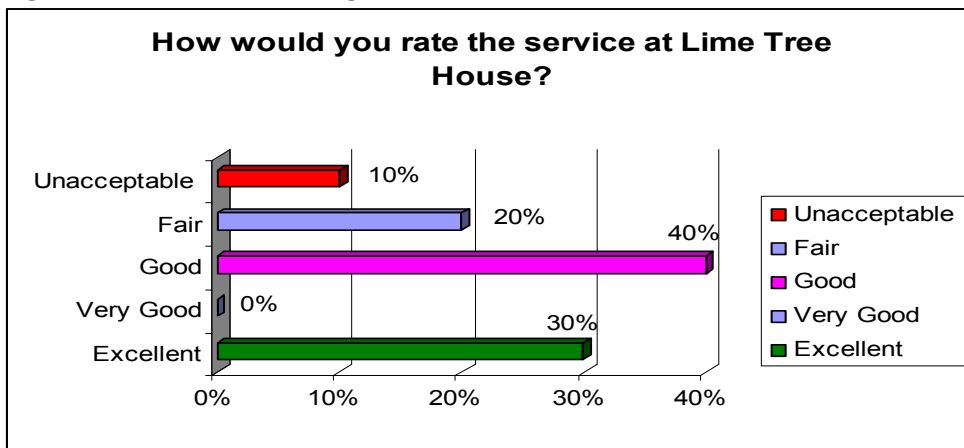
42. Tenant satisfaction at Lime Tree House was assessed using an interview based survey in November 2008. The survey found that 70% of the sample tenants at Lime Tree House rated their care as excellent (30%) or good (40%) (See figure 1.2). Tenants commended their current extra-care service on housekeeping, amenability of carers and felt that the level of respect and dignity they perceived as recipients of this service was high.



**Figure 1.1 Pie Chart Showing Ethnic Make-up of Tenants at Lime Tree House**



**Figure 1.2 Graph Showing Satisfaction Levels of Service Users at Lime Tree House**



**Sustainability considerations**

**Economic considerations**

- 43. The contract value annually will be £1,000,000 for a period of three years making a contract value of £3,000,000.

**Social considerations**

- 44. The contract will be advertised in the local press and a range of different publications to reach a broad range of potential bidders. Health and Community Services commissioning will also ensure work is undertaken through our existing networks e.g. Partnership Boards and Community Action Southwark to enable small businesses, ethnic minority owned business and social enterprises and third sector organisations to actively participate in the tender.

45. The evaluation approach to be developed and to be advised to bidders will include a requirement for bidders to state their arrangements for level 1, level 2 and level 3 apprenticeships.

### **Environmental considerations**

- 46 The successful contractor will be required to have in place targets in accordance with the contract model to minimise consumption of energy and emissions of pollutants. Data will be obtained from the contractor on an annual basis. This will include:

- Energy use
- Waste

### **Plans for the monitoring and management of the contract**

47. It is proposed that the contract to be monitored for
- a) Quality of performance by:
- The contractor providing quarterly performance data to enable reporting of Key Performance Indicators
  - Bi- annual monitoring meetings
  - Service user questionnaire and
  - Home visits
48. Health and Community Services will also establish a steering group that will meet on a monthly basis with the Provider to track the progress of the service and establish whether it is achieving the desired outcomes.

### **Resource implications**

- 49 There will be no additional cost of carrying out this procurement as this will be retained within existing staffing structures in the Health and Community Services Commissioning Unit.
- 50 The additional financial commitment required for this contract will be contained within overall Health and Community Services budgets through reduced placement activity into residential care
- 51 The unit cost of care provision provided through extra care housing is approximately £160 per week which is significantly below that of traditional residential accommodation of about £450 per week. Full utilisation of this facility will therefore generate savings from within the residential placements budget which will fund this contract. The cost can therefore be met from within existing budgets.

### **Staffing/procurement Implications**

52. The staffing implications are retained within existing staffing structures in Health and Social Care Commissioning Unit.

### **Financial implications**

53. Please see the concurrent report of the Finance Director below.

### **Legal implications**

54. Please see the concurrent report of the Strategic Director of Communities, Law & Governance below.

### **Consultation**

55. Consultation will be carried out on the service specification with tenants, family, carers, the assessment and care management and supporting people teams.
56. On contract award, commissioning will be carrying out ongoing consultation with a wide range of stakeholders, such as service users, their family, carers, assessment and care management and other colleagues such as health professionals.

### **Other implications or issues**

## **SUPPLEMENTARY ADVICE FROM OTHER OFFICERS**

### **Strategic Director of Communities, Law & Governance**

57. The Strategic Director of Communities, Law & Governance (“SDCLG”, acting through the Contracts Section) notes the content of this report and, in particular, the proposed procurement strategy for the new extra care contract. As a “Part B” service within the definition contained in the current EU Procurement Regulations, it will not be necessary for the contract to be advertised via a contract notice in the Official Journal of the European Union (“OJEU”) although a contract award notice must be published in the OJEU following the conclusion of the procurement process and the award of the contract. Officers must ensure that the procurement is carried out in a way which is consistent with EU Treaty principles of transparency, fairness and equality of treatment.
58. The procurement will also be subject to the application of the Council’s Contract Standing Orders (“CSOs”), which require that all reasonable steps be taken to obtain at least five tenders following a publicly advertised competitive tendering process, in line with CSOs and corporate Procurement Guidelines. Paragraph 16 indicates that this requirement will be met.
59. With a potential value of £5 million, the procurement of the proposed contract is a strategic procurement for CSO purposes, and, as such the decision to approve the procurement strategy is one which is to be taken by the Executive or executive committee, after taking advice from the Corporate Contract Review Board. CSOs provide for requests to delegate powers to award contracts, and therefore the recommendation set out in paragraph 2 is also a matter which may be approved by the Executive.
60. There are potential TUPE implications for the Authority as an employer, in relation to the activities currently provided at Lew Evans House by the sheltered housing visiting support service. If the activities will continue to be provided by the new contractor, albeit in a different way (as part of an integrated on site model) then this will amount to a service provision change which is a relevant transfer for the purposes of TUPE. However it is understood that those employees who are carrying out the sheltered housing visiting support service at Lew Evans House will not have that as their principal purpose by the

contract start date then TUPE will not apply to them and their employment will not transfer. It is understood that the effect of the proposal will not result in a reduction in the need for service wide sheltered housing visiting support. Therefore there are no potential redundancies envisaged and the Council's Redundancy and Redeployment Procedure will not apply.

With regard to staff employed by In-Touch to deliver the service, if the service is contracted out to a new provider then this will amount to a service provision change and TUPE will apply to transfer their employment to the new provider. As the original contract did not involve the transfer of Council employees to the first generation contractor, In-Touch, and there are no former Council employees employed on the contract neither the Code of Practice on Workforce Matters in Local Government Service Contracts nor The Best Value Authorities Staff Transfers (Pensions) Direction 2007 will apply to the retender.

### **Finance Director**

- 61 This report seeks members approval to a procurement strategy to provide, Care and Support Services in Extra Care Sheltered Housing in Southwark.
- 62 The resource implications included in the report states that there will be no overall budgetary impact to this procurement. Savings sufficient to fund this contract will be achieved from residential placement budgets.
- 63 As this moves toward award of contract, assurance of the achievability of overall resources to match the overall cost will need to be confirmed.

### **Head of Procurement**

- 64. This report is seeking approval for the procurement strategy to provide care and support services in extra care sheltered housing in Southwark.
- 65 Paragraph 15 confirms that as a result of a recent service review, a bundling opportunity has been identified. By procuring these care and support services in one package, officers believe they will be able to maximise efficiencies both through the procurement process and by streamlining the contract management arrangement. With a larger contract it is also possible that better rates may be secured.
- 66. The proposed timeline appears to be appropriate and achievable. Paragraph 36 confirms that a weighted evaluation model will be used and paragraphs 37 - 39 confirm the high level approach to be taken with evaluation.

**KEY POINT SUMMARY**

- This procurement will follow a *strategic* procurement protocol
- This contract is for *services* and is *replacing an existing provision*
- There will be EU procurement implications

**BACKGROUND DOCUMENTS**

Background Documents	Held At	Contact
Contract Specification , risk log	Health & Social Care Commissioning Unit 160 Tooley Street	Helon Bent 0207 525 3837 Beverly Titioso 0207 525 0719

**AUDIT TRAIL**

<b>Lead Officer</b>	Jonathan Lillistone – Head of Commissioning Adult Social Care		
<b>Report Author</b>	Helon Bent, Beverly Titioso		
<b>Version</b>	Final		
<b>Dated</b>	12 March 2010		
<b>Key Decision?</b>	Yes	<b>If yes, date appeared on forward plan</b>	1 <sup>st</sup> February 2010
<b>CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / EXECUTIVE MEMBER</b>			
<b>Officer Title</b>	<b>Comments Sought</b>	<b>Comments included</b>	
Strategic Director of Communities, Law & Governance	Yes	Yes	
Finance Director	Yes	Yes	
Head of Procurement	Yes	Yes	
<b>Contract Review Boards</b>			
Departmental Contracts Review Board	Yes	Yes	
Corporate Contracts Review Board	Yes	Yes	
<b>Executive Member</b>	Yes	Yes	
<b>Date final report sent to Constitutional Team</b>			12 March 2010

<b>Item No.</b>	<b>Classification:</b> Open	<b>Date:</b> 23 March 2010	<b>Meeting Name:</b> Executive
<b>Report title:</b>		New Aylesbury Trust	
<b>Ward(s) or groups affected:</b>		Faraday Ward	
<b>From:</b>		Strategic Director of Regeneration and Neighbourhoods	

## RECOMMENDATIONS

That the executive

1. Agree the winding up of the Aylesbury Regeneration Steering Group (“Steering Group”) with effect from 1 April 2010.
2. Consider and agree 3 appointments to The New Aylesbury Trust Limited (“New Aylesbury Trust”).

## BACKGROUND INFORMATION

3. The Steering Group was established following executive approval in September 2005.
4. Its membership comprises representatives of the council, the four tenant and resident associations (“TRA’s”) and the New Deal for Communities (“NDC”). Its principal purpose has been to support the regeneration of the Aylesbury estate via;
  - Consultation
  - Information
  - Development of policy and practice
5. During the development of the Aylesbury Area Action Plan and the regeneration of the early sites it has established a reputation for honesty, transparency and delivery.
6. Working in parallel with the Steering Group are two other key stakeholder groups, the NDC Board and the New Aylesbury Trust (known as “Creation Trust”).
7. The NDC Board has for the last 10 years successfully overseen the delivery of the NDC programme which concludes March 2010. This is a resident- led body which will end at the conclusion of the programme.
8. The New Aylesbury Trust, a company limited by guarantee with charitable status was established around 2 years ago as the successor body for the NDC programme. Its key aims are;
  - Engaging the community within the regeneration programme
  - Tackling issues around skills and training, young people and health and wellbeing

9. It is proposed to wind up the NDC and the Steering Group and amend the constitution of the New Aylesbury Trust so that it effectively becomes a new body which replaces all three existing bodies. The New Aylesbury Trust will provide a single resident/stakeholder focus on the regeneration programme, bring together the good working practice of the earlier organisations and effectively meet the challenges that lie ahead. Its aims are broadly threefold;
- To provide a clear resident focus for all housing related matters whether they relate to redevelopment or on-going housing management. This will require close collaborative working with the newly established Aylesbury Housing management function
  - To provide a focus for the range of non-housing services (health, education, community safety) that impact on the lives of Aylesbury residents
  - To attract additional funding to the estate for a wide range of social and economic activity which will add value to the services outlined above
10. The trustees of the New Aylesbury Trust are to include three councillors.

### **KEY ISSUES FOR CONSIDERATION**

11. The membership of the New Aylesbury Trust body will comprise residents, stakeholders and elected members. It is proposed that 3 Southwark councillors are nominated as trustees as this number will facilitate working within the confines of Government legislation on local authority controlled companies.
12. It is intended that a joint meeting of the Steering Group and the New Aylesbury Trust will take place at the end of March 2010. At this meeting the required changes will be made to the New Aylesbury Trust's constitution to facilitate the adoption of the new functions and membership. The New Aylesbury Trust is receiving independent legal advice on these changes. Following this meeting, the Steering Group will be woundup.
13. It is proposed that one of the non-council stakeholder trustees will be asked to act as company secretary. The registered company address will be 1 Thurlow Street. As part of the NDC succession arrangements resources have been identified to support the administrative and organisational costs of the New Aylesbury Trust.
14. It is for the executive to make appointments to outside bodies in connection with the functions which are the responsibility of the executive (e.g. housing, education, social services, regeneration etc).

### **Legal Implications**

15. There are no specific legal implications.

### **Community Impact Statement**

16. As regards recommendation 1, the previous functions of the Steering Group will be incorporated within the New Aylesbury Trust and there is therefore no direct impact on the community.

17. As regards recommendation 2, the nominations process has no direct impact on the community.

### Consultation

18. As regards recommendation 1, the proposal has been subject to extensive consultation using all the available consultative arrangements.
19. As regards recommendation 2, the political group whips have been consulted and have been invited to submit nominations.

### BACKGROUND DOCUMENTS

Background Papers	Held At	Contact
N/A		

### APPENDICES

No.	Title
N/A	

### AUDIT TRAIL

<b>Lead Officer</b>	Anne Lippitt, Strategic Director of Regeneration and Neighbourhoods	
<b>Report Author</b>	Martin Smith, Aylesbury Project Director	
<b>Version</b>	Final	
<b>Dated</b>	12 March 2010	
<b>Key Decision?</b>	No	
<b>CONSULTATION WITH OTHER OFFICERS</b>		
<b>Officer Title</b>	<b>Comments Sought</b>	<b>Comments included</b>
Strategic Director of Communities, Law & Governance	Yes	Yes
Finance Director	Yes	No
<b>Executive Member</b>	No	No
<b>Date final report sent to Constitutional Team</b>		12 March 2010



<b>Item No.</b>	<b>Classification:</b> Open	<b>Date:</b> 23 March 2010	<b>Meeting Name:</b> Executive
<b>Report title:</b>		Motions Referred from Council Assembly	
<b>Ward(s) or groups affected:</b>		All	
<b>From:</b>		Strategic Director of Communities, Law & Governance	

### RECOMMENDATION

1. That the executive considers the motions set out in the appendices attached to the report.

### BACKGROUND INFORMATION

2. Council assembly at its meeting on Wednesday, 27 January 2010 agreed a number of motions and these stand referred to the executive for consideration.
3. The executive is requested to consider the motions referred to it. Any proposals in a motion are treated as a recommendation only. The final decisions of the executive will be reported back to the next meeting of council assembly. When considering a motion, executive can decide to:
  - Note the motion; *or*
  - Agree the motion in its entirety, *or*
  - Amend the motion; *or*
  - Reject the motion.

### KEY ISSUES FOR CONSIDERATION

4. In accordance with council assembly procedure rule 2.9(6), the attached motions were referred to the executive. The executive will report on the outcome of its deliberations upon the motions to a subsequent meeting of council assembly.
5. The constitution allocates responsibility for particular functions to council assembly, including approving the budget and policy framework, and to the executive for developing and implementing the budget and policy framework and overseeing the running of council services on a day-to-day basis.
6. Any key issues, such as policy, community impact or funding implications are included in the advice from the relevant chief officer.

### BACKGROUND DOCUMENTS

Background Papers	Held At	Contact
Motions submitted in accordance with council assembly procedure rule 2.9 (6).	Town Hall, Peckham Road, London SE5 8UB	Lesley John Constitutional Team 020 7525 7228

**LIST OF APPENDICES**

<b>Number</b>	<b>Title</b>
Appendix 1	Social Care in Southwark
Appendix 2	Local Rail Services
Appendix 3	Improving Public Transport on the River

**AUDIT TRAIL**

<b>Lead Officer</b>	Ian Millichap, Constitutional Team Manager	
<b>Report Author</b>	Lesley John, Constitutional Officer	
<b>Version</b>	Final	
<b>Dated</b>	15 March 2010	
<b>Key Decision?</b>	No	
<b>CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / EXECUTIVE MEMBER</b>		
<b>Officer Title</b>	<b>Comments Sought</b>	<b>Comments included</b>
Strategic Director of Health and Community Services – Appendix 1	Yes	No
Strategic Director of Regeneration & Neighbourhoods – Appendix 2 and 3	Yes	Yes
<b>Executive Member</b>	-	-
<b>Date final report sent to Constitutional Team</b>	15 March 2010	

### **Social Care in Southwark**

At council assembly on Wednesday 27 January 2010 a motion on social care in Southwark was proposed by Councillor Dora Dixon-Fyle and seconded by Councillor John Friary. The motion was subsequently amended and the amended motion stands referred to the executive as a recommendation.

#### **Recommendation**

1. That council assembly is grateful for the hard work and dedication of both the council's own social care staff and those of partner organisations providing care in the borough.
2. That council assembly regrets the publication of the recent draft report from the Care Quality Commission (CGC) without any input from the council because of the commission's refusal to discuss their findings with the council and notes the significant flaws, inaccuracies and factual errors including:
  - a) criticism of the the council's customer service centre based on a small sample survey which ignored evidence from the council's own customer service surveys showing increasing satisfaction. Council assembly also notes the inspector failed to visit the dedicated and specialist call centre dealing with the most vulnerable residents.
  - b) contradictory assumptions about the council's spending on adult social care including the claim that "the proportion of council spend directed to adult social care was in the lowest quartile nationally", when the Audit Commission confirms that the council spends in the highest quartile nationally and the social care component of the council's formula grant as calculated by the Department for Communities and Local Government (DCLG) is in fact £22 million less than actual spending.
  - c) failure to recognise the council's beacon status for promoting cohesion, equality and driving out discrimination.
3. That council assembly welcomes the statement by Labour Minister of State for Care Services, Phil Hope, who in his letter to the council on 2 December acknowledges that the council is not a poor performer.
4. That council assembly believes that if the CQC report was a true reflection of a deterioration in service that this would have been picked up through complaints, MPs casework and council questions and motions. Council assembly notes that Harriet Harman states in her most recent annual report that social care issues were just 1.5% of the total, for Simon Hughes these were just 2% of the total caseload and that opposition members asked not a single question on the quality of social care in the last two years.
5. That council assembly supports the call for the findings to be subject to independent scrutiny to establish the facts, to allow the council to agree where improvement is actually needed and take action to improve services.

#### **Comments of the Strategic Director of Health and Community Services**

None received at the time of agenda despatch.

### **Local Rail Services**

At council assembly on Wednesday 27 January 2010 a motion on local rail services was proposed by Councillor Toby Eckersley and seconded by Councillor Nick Vineall. The motion was subsequently amended and the amended motion stands referred to the executive as a recommendation.

### **Recommendation**

1. That in light of the potentially detrimental effect on the amenity of the Herne Hill and Elephant and Castle area, the council views with serious concern the proposals by Network Rail and/or First Capital Connect to terminate the Thameslink Wimbledon loop services at Blackfriars. Council notes concern amongst residents over adequate consultation and calls upon the executive and officers to liaise with other affected London boroughs to explore alternative options for the continuation of the current service providing through trains to Farringdon (for Cross Rail), to Kings Cross St Pancras (for Eurostar and other mainline services) and points north to Bedford.
2. That council assembly welcomes the recent extension of SouthEastern services from Nunhead, Peckham Rye, Denmark Hill and Elephant & Castle stations through the Thameslink tunnel from Blackfriars to Kentish Town, providing through trains for residents in Nunhead, East Dulwich, Peckham Rye and Camberwell to City Thameslink, Farringdon, Kings Cross St Pancras and Kentish Town. Council supports the proposal that these services should be retained on completion of the Thameslink programme in 2015 and calls on the executive to lobby to protect these services and indeed for additional services and destinations to be added for these stations when the increased capacity through the Thameslink tunnel is available.
3. That council assembly also notes the abysmal service currently being provided by First Capital Connect (FCC) and calls on the executive to support local MPs and London Assembly members in lobbying to ensure that a full service is restored, including removing the franchise from FCC if services do not improve rapidly, and to ensure that commuters are properly compensated for the disruption.

### **Comments of the Strategic Director of Regeneration & Neighbourhoods**

It is proposed for services via the Wimbledon Loop to terminate at Blackfriars where services from Denmark Hill, Catford and Bromley would provide a through service to central London and beyond.

It is currently proposed to double services via the Wimbledon Loop to provide a 4 train per hour service. However passengers would need to change at Blackfriars for through services. When works are completed passengers will have to wait a maximum of 3 minutes for an onward connection to St Pancras and beyond.

To provide a through service, from the Wimbledon Loop would mean reduced capacity for services from Denmark Hill, Catford and Bromley. In addition, due to financial constraints it is also unlikely that the doubling of service frequently from the Wimbledon Loop would be achieved.

The train service pattern post 2015 has yet to be set and will be an ongoing process as the Thameslink programme progresses. In addition, the South-eastern franchise will be refranchised in mid 2015 with consultations regarding service patterns commencing up to a year before this time.

There has been widespread recognition of the disruption on First Capital Connect (FCC) services, with a number of bodies expressing their disappointment. London Travelwatch noted that, 'During the last performance period, only 63% of Thameslink services and 72% of Great Northern services ran on time despite the operator running a much reduced timetable particularly on the Thameslink route. Worse still, almost 12% of services were cancelled.'

Alongside the weather, FCC's services have suffered major disruption in recent weeks due to industrial action by drivers. With commuters frequently facing long delays as the current timetable on the Thameslink route has been abandoned, including services being cut entirely at times on the Wimbledon Loop. Both the Mayor of London and London Travelwatch have made representations to the Department of Transport over the operation of FCC.

### **Improving Public Transport on the River Thames**

At council assembly on Wednesday 27 January 2010 a motion on improving public transport on the river Thames was proposed by Councillor David Hubber and seconded by Councillor Lewis Robinson. The motion was subsequently amended and the amended motion stands referred to the executive as a recommendation.

#### **Recommendation**

That council assembly notes:

1. The River Thames is an integral part of the London Borough of Southwark, not just as a landmark, but as part of our transport system.
2. The recent publication of the report “At a Rate of Knots – Improving Public Transport on the Thames”, that contains a number of proposals to improve river transport.

That council assembly believes:

3. That the restoration of the River Thames on the next edition of the standard tube map, recognising its potential as part of London’s transport network, should be welcomed.
4. Improved river transport will attract more visitors to the borough, as demonstrated by the successful shuttle service which runs between Tate Modern and Tate Britain.
5. The council’s plans to complete the Thames Path in Southwark will provide greater accessibility to river transport and enable visitors to explore the borough with greater ease.
6. That the potential for the expansion of river services exists, although it would wish to be assured that increased public subsidy for river services (as recommended by “At a Rate of Knots”) could be achieved without a knock-on effect on subsidy levels for those transport modes on which a wider range of Southwark residents rely, including buses, underground and mainline rail.
7. That improving cross-river links is of equal importance to the borough. Council assembly therefore regrets the indications from the Mayor of London that Transport for London (TfL) is unlikely to contribute towards the development of a foot and cycle bridge over the Thames at Rotherhithe.

That council assembly requests the executive:

8. To consider how Southwark can promote greater awareness amongst our residents of existing river services and how they can use them.
9. To request that Southwark's transport policy team consider the proposals in the report, liaise with Transport for London (TfL) and the London Mayor's office, produce a report to executive on their viability and how Southwark could support them.
10. To request that Southwark's transport policy team also consider as part of this report any public realm improvements associated with the completion of the Thames Path.
11. To request that the executive re-iterates its support for a new foot and cycle river crossing in the east of the borough and writes to the Mayor of London asking him to reconsider his position on such a project.

### **Comments of the Strategic Director of Regeneration & Neighbourhoods**

'At a Rate of Knots' is a publication by the policy think tank, the policy exchange, and provides a number of recommendations for the operation, subsidy and improvement of river services and facilities. The key recommendations focus on integrating piers and river services to the wider transport network including ticketing, service information, and public realm improvements including signage.

On the more strategic level the document suggests a central control of river services including both scheduled and tourist services and an increase level of subsidy. The report also recommends a review of the speed limit restrictions.

These recommendations may have both positive and negative impacts on the borough and would need to be given careful consideration. It is worth noting that the council have limited influence in altering the more strategic improvements to river transport.

In the autumn the council will be preparing the borough's transport plan and this provides an opportunity to consider proposals in the report and give greater consideration for the potential for improving connection to river passenger services.

In the meantime, officers are currently working on a number of improvement projects to promote access to the river Thames and the Thames Path focussing on the area linking the River to the Brunel museum and Rotherhithe station.

<b>Item No.</b>	<b>Classification:</b> Open	<b>Date:</b> 23 March 2010	<b>Meeting Name:</b> Executive
<b>Report title:</b>		Southwark Schools for the Future: BSF Phase 3	
<b>Ward(s) or groups affected:</b>		All	
<b>From:</b>		Strategic Director of Children's Services	

## RECOMMENDATIONS

Executive is asked to:

- 1 Approve the submission of the Phase 3 Stage 0 submission to Partnerships for Schools.
- 2 Note the revised strategy for the Phase 3 investment including the separation of the Bredinghurst BESD School and the Pupil Referral Units.
- 3 Note the reprogramming of Sacred Heart to Phase 2 and the delivery of this project as a joint PFI with St Thomas the Apostle College.
- 4 Note the outline programme dates for the Phase 3 projects.
- 5 Note that a financial update report will be submitted for Executive approval following financial close of Phase 2 in Autumn 2010.
- 6 Approve the proposed timings of Gateway 1 and Gateway 2 decision making through the development of the Phase 3 programme.
- 7 Give approval to the Finance Director to sign certificates under the Local Government (Contracts) Act 1997 which are required to be given to the LEP for Phases 2 and 3, and which certify that the local authority has the power to enter into these contracts (further details of which are given in paragraph 91-2).

## BACKGROUND

- 8 On 2<sup>nd</sup> May 2007, Southwark Executive approved the Southwark Schools for the Future Outline Business Case (OBC). This OBC outlined a programme of investment in Southwark's secondary school estate enabled by funding from Partnerships for Schools (PfS) of £179m.
- 9 In May 2009 Southwark entered into a Strategic Partnering Agreement with Transform Schools and a Local Education Partnership was established to deliver the BSF programme. This partnership has since been rebranded as 4Futures.
- 10 The Building Schools for the Future (BSF) programme was to be procured in three phases with funding committed to Southwark upon approval of a Stage 0 submission at the outset of each Phase. This Stage 0 submission is required to



reaffirm the commitments made to the relevant projects and programme at OBC and outline any changes to the proposals.

- 11 It was anticipated in the report to Executive in May 2007 that inflation and location factors for these later phases of construction would result in some fluctuation of the total PfS funding allocation. The precise funding allocation for a project or phase is confirmed (including for inflation etc) following approval of a Stage 0 submission.
- 12 Phase 1 projects are progressing on site. Current projections are that Tuke will open in September 2010 and St Michael's in January 2011. These projections are ahead of the opening dates anticipated within the OBC.
- 13 Phase 2 projects (St Michaels and all Angels/Highshore, St Thomas the Apostle College, New School Aylesbury, Spa) are moving into their detailed design and planning phase in order to reach financial close in July and a start on site during August 2010.

## KEY ISSUES

### Phase 3 Programme at OBC

- 14 The phase 3 programme as outlined in the OBC incorporated investment in the following schools:

*Table 1: Phase 3 OBC Summary*

School	Type	Build Type	Contract Type	Pupil Number
Notre Dame	VA	Remodel	Design and Build	620
Sacred Heart	VA (with resourced unit)	New	PFI	625
St Saviour's and St Olave's	VA	Remodel	Design and Build	750
New School Rotherhithe	New	New	Design and Build	900
Bredinghurst Learning Campus (Bellendon Road Site)	Special and co-located KS4 PRU	Remodel	Design and Build	90
Bredinghurst Learning Campus (Stuart Road Site)	Special and co-located KS3 PRU	New	Design and Build	126
Charter School	Foundation	ICT only	ICT Only	1200

### Changes to Phase 3 Programme

- 15 In August 2009, with PfS approval, Sacred Heart was re-phased in order to mitigate challenges arising in funding of PFI projects and bring about economies through a combined PFI arrangement. It is intended that Sacred Heart is now to be delivered in Phase 2 as a joint PFI project with St Thomas the Apostle College subject to resolution of affordability challenges through the technical, legal and financial workstreams.
- 16 In the summer of 2009 Children's Services re-evaluated the overall educational strategy driving the construction programme in Phase 3. A confederated special school bringing together KS3 and KS4 Pupil Referral units and provision for BESD was no longer considered to represent the most appropriate educational solution and a revised vision document was developed by education specialists. This reconsideration of the Bredinghurst option was described in the November report to the Executive.
- 17 This revised vision outlines the development of three distinct institutions with specialist and appropriate facilities requiring a review of site opportunities. This review makes the following recommendations:
  - In collaboration with Southwark College, a centre of excellence is developed for vocational teaching for 14-16 year olds at the Camberwell site of the College, which has also offered to host the Key Stage 4 pupil referral unit on site at a peppercorn rent;
  - Highshore school is redeveloped as a specialist Key Stage 3 pupil referral unit ; and
  - The Bredinghurst site is used to create a small specialised school for pupils with behavioural, emotional and social needs.
- 18 The educational rationale for the creation of three distinct institutions is provided as appendix 1.
- 19 The construction proposals developed with Notre Dame and St Saviour's and St Olave's within the OBC have been revisited to ensure that they meet the evolving aspirations of the school and offer value for money. Through these discussions it was clear that the scope of work developed as the preferred option no longer met the aspirations or requirements of the schools.
- 20 4Futures have worked closely with the Head Teachers of Notre Dame and St Saviour's and St Olave's to challenge their requirements and develop and agree revised deliverable outline schemes.

- 21 When Executive approved the OBC it was acknowledged that a site for new school Rotherhithe was yet to be found. Any site identified may require funding to realise it in addition to that available through Partnerships for Schools. Executive noted the potential costs of site realisation when approving the OBC in May 2007. This report incorporates an allowance for securing an appropriate site within the funding envelope described for this school.
- 22 To ensure that the delivery programme for the Rotherhithe School (and the Phase 3 more widely) is achieved a site will need to be confirmed for the new school in Rotherhithe before September 2010. A report on this issue will be brought to the Executive in Summer 2010.
- 23 It is intended to submit the required Stage 0 submission to Partnerships for Schools in March 2010 in order that approval of the detailed programme can be received and Southwark's funding allocation be confirmed ahead of any hiatus in governmental decision making arising from the local and national elections.

### **Phase 3 Programme**

- 24 In February 2010, 4 Futures completed a review of the Phase 3 programme and its implications on the delivery of the wider BSF programme. 4 Futures recommended to the Strategic Partnering Board a revised delivery programme with design development progressing after financial close on Phase 2.
- 25 In order to bring about financial economies in project development and contract negotiations it is intended that Phase 3 be progressed as a single phase with a common contract close across the programme. To mitigate programme delays this may have to be revisited should specific project issues arise that cause delay to a single project.
- 26 The Phase 3 programme has been reviewed. The council and 4Futures consider it prudent to commence Phase 3 development after the contractual close of Phase 2 to ensure that the budget available for Phase 3 is clear and unambiguous, that is after all Phase 2 potential risks and liabilities have been identified and the council is in contract for Phase 2.
- 27 It is considered that a delay to the start of design development of Phase 3 to September 2010 will allow staff to move smoothly into the next Phase and ensure that good working practices developed through Phase 2 are integrated into the delivery of Phase 3. This also ensures that design development begins following the summer holiday period avoiding the hiatus that this period would cause if the process was to start in the Spring.
- 28 The Phase 3 programme has been considered by the Strategic Partnering Board. The dates are as follows:
- Stage 0 submission to PfS March 2010
  - Stage 0 Approval March 2010
  - New Project Requests Issued September 2010
  - Stage 1 Submission November 2010

- Stage 1 Approval November 2010
- Stage 2 Submission May 2011
- Contract Close July 2011
- Construction commencement August 2011

29 The construction commencement dates for Phase 3 projects outlined in the OBC were between March and September 2011. The planned delivery dates for the Phase 3 schools and the target date at OBC are shown in Table 2.

*Table 2: Phase 3 Programme Dates*

<b>School</b>	<b>OBC Target Delivery Date</b>	<b>Revised Target Delivery Date</b>
Bredinghurst	April 2013	Jan 2013
St Saviour's and St Olave's	Sept 2012	April 2013
Notre Dame	Sept 2012	Aug 2013
New School Rotherhithe	Sept 2013	July 2013
KS3 Pupil Referral Unit	April 2014	July 2014
KS4 Pupil Referral Unit	April 2013	July 2013

- 30 The two schemes for which the revised target programme is most changed from the OBC target date are Notre Dame and St Saviour's and St Olave's. Construction start dates are in line with those outlined at OBC however through the development of the design proposals it is considered that the original periods allowed on site are insufficient.
- 31 This revised Phase 3 programme has been considered and approved by the Strategic Partnering Board. The development of Phase 3 will start in September 2010 leading to contractual close in Summer 2011.

### **Approvals and Delegated Authority**

- 32 In February 2009 the Executive delegated authority for Gateway 1 and Gateway 2 approvals for phase 2 and phase 3 of the BSF programme, together with the related school procurement and governing body agreements, to the Local Authority Representative (LAR).

- 33 The February 2009 report outlined that the Phase 3 BSF projects would go through the following approval process:
- New project request – the Council will issue a new project request to 4 Futures. In order to issue this request Partnerships for Schools need to approve a Stage 0 approval document (anticipated in March 2010), which confirms that the information contained in the Outline Business Case (approved by Executive 2 May 2007) have not changed or any changes are acceptable and are fully funded. At this point a procurement agreement is also signed with the school to commit them to taking part in the process and to set out their affordability envelope for ICT and FM services.
  - Stage 1 approval – following receipt of the New Project Request, 4 Futures will undertake a Stage 1 work. This work is equivalent to a feasibility study.
  - Stage 2 approval – following recipient of Stage 1 approval, the 4 Futures will proceed to undertake Stage 2 work. This work is detailed design, and includes submission of a full planning application for the scheme. At this point the back-to-back governing body agreement is signed with the school to commit them to the financial and other obligations necessary for the Council to enter into the Contract with 4 Futures.
- 34 The Local Authority Representative was given delegated authority to approve Gateway 1 and Gateway 2 reports (including authorisation of the issue of New Project Request and approval of Stage 1 and Stage 2 requests for phase 2 and phase 3 BSF projects), subject to the following constraints:
- The scope of the schemes is consistent with that agreed by Executive; or the scope of an individual scheme has increased but is fully funded by a third party and has no detrimental impact on any other school in the programme.
  - The financial implications to the council are in keeping with the parameters set out in the SSF OBC Update report noted by Major Projects Board at its meeting of November 21 2007.
- 35 Under the current arrangements at the conclusion of the Stage 1 4 Futures submit to the LAR a Stage 1 approval request for approval to proceed to Stage 2. At conclusion of Stage 2 4 Futures submit to the LAR a Stage 2 approval request. These submissions from 4 Futures are used to seek the relevant council Gateway 1 and Gateway 2 approvals prior to authorisation to proceed with the subsequent project stage being given to 4 Futures.

- 36 Approval is sought to amend the timing of the Gateway approvals. It is recommended that Gateway 1 approval is sought prior to the issue of a New Project Request report and Gateway 2 approval is required prior to the letting of the construction contract at Stage 2. Under this arrangement the Stage 1 submission would be considered by the Strategic Partnering Board chaired by the LAR and approval to proceed to Stage 2 would be delegated to the LAR with advice from the board. It is anticipated that this approach will enable a reduced Phase 3 design development programme allowing financial close to be achieved ahead of the 2011 summer holiday period.
- 37 Phase 2 financial close is programmed for July 2010 to enable site establishment and disruptive works to take place during the summer holidays. Slippage to the Phase 2 close would have a significant impact on the schools if these essential works were to progress during term time. Phase 2 is currently on programme.

### **School Funding**

- 38 Schools will be expected to make a financial commitment to their projects. This funding will be agreed with the schools in consideration of their means and their remaining liabilities (i.e. a new build school will have fewer capital liabilities in future years than a school subject to a partial refurbishment). School contributions will be identified in the Gateway 1 required prior to the New Project Request issued to 4 Futures.
- 39 This funding will be in addition to the revenue funding agreed at OBC to support the delivery of Facilities Management and ICT at the schools.

### **Phase 3 Funding**

- 40 The closed version of this report provides detailed commentary on the revenue and capital position of the BSF programme. The closed report outlines the affordability position and sets out a risk management strategy, including associated recommendations, for managing financial risk moving forward.
- 41 Executive are asked to note that further reports regarding Council spending decisions for Phase 3 schemes will be prepared following the financial close on phase 2. This will allow Executive the opportunity to consider options and make decisions on the basis of an updated risk profile and the feasibility assessment.

### **Local Government (Contracts) Act 1997**

- 42 Authority is requested to enable the Finance Director to sign Contract Acts Certificates in respect of a number of contracts for Phases 2 and 3. Although the council will enter into the contracts for these phases an individual officer will be responsible for certifying a number of these contracts, including the Project Agreement for St Thomas the Apostle College and Sacred Heart, ICT agreements for both phases and the Funders Direct Agreement, and such certification must be authorised by the council.

- 43 The certificates are required under the Local Government (Contracts) Act 1997, and by providing such certificates confirms that the council has the necessary powers to enter into these contracts. The length and nature of these contracts requires that the council is required to provide certificates in respect of them. The Act also sets out those officers of the council who are permitted to give these certificates, one of whom is the Finance Director.

### **Supplementary Advice from Other Officers**

#### **Head of Property**

- 44 The Head of Property has considered the content of this report and has advised on the likelihood, financial impact and mitigation of the property and technical related risks arising through the BSF programme and outlined in the closed report.

#### **Finance Director**

- 45 The Finance Director has considered the content of this report and has advised on the financial implications outlined in the closed report.
- 46 The Finance Director concurs with the recommendations as set out in this report and agrees with the management strategies to ensure the programme is delivered according to the Executive decisions for the OBC, subsequent and future decisions.
- 47 The proposed changes from the OBC to Phase 3 of the programme (paragraphs 15-31) demonstrate a commitment to incorporate emerging priorities and to seek economies where possible whilst maintaining the desired educational outputs. In particular, the proposal to combine the phase 2 and 3 PFI schemes is designed to bring about economies through reduced financing and procurement costs. The proposal to let the phase 3 contracts as one will also contribute to reduced procurement costs. The provision of the KS3 and KS4 pupil referral units and specialist educational delivery has been reassessed to take into account current and future needs at a saving to the OBC preferred option. Likewise, the requirements of Notre Dame and St Saviour's & St Olave's have been challenged and deliverable preferred option schemes developed.

#### **Strategic Director of Communities, Law & Governance**

- 48 The Executive is asked to approve a number of recommendations relating to Phase 3 of the Southwark Schools for the Future project. The Executive is advised that a number of representatives of the Strategic Director of Communities, Law & Governance have been working with the SSF team since this project commenced and will continue to assist throughout phase 3, as required. External legal advisors (Trowers and Hamlin) who are specialists in the BSF field have also been appointed to provide legal advice and are working with the in-house team.

- 49 Paragraph 12 requests the Executive to give approval to enable the Finance Director to sign Contract Acts Certificates in respect of a number of phase 2 and phase 3 contracts. Under the Local Government (Contracts) Act 1997, a number of the contracts (details of which are given in paragraph 91) must be certified. Although the council will be the contracting party for these contracts, it is necessary under the Act for an individual officer to be responsible for certifying these contracts, and such certification must be authorised by the council. The effect of certification is that the Authority is deemed to have the requisite powers to enter into these contracts – giving those involved in the contract, and particularly the funders for this project the comfort they need to enter into these major contracts. Under the Act only certain officers are permitted to give such certificates, one of whom is the Finance Director.
- 50 Approval is also sought to amend the timing of the Gateway approvals of the individual contracts for works/services at each Phase 3 school. As required by Contract Standing Orders, Gateway 1 and 2 reports will be approved – such approval to be given by the LAR (as previously delegated by the Executive). However for programme reasons, it is felt more appropriate to seek gateway 1 approval prior to the issue of the New Project Request report, and Gateway 2 approval prior to the letting of the contract.

#### **BACKGROUND DOCUMENTS**

<b>Background Papers</b>	<b>Held At</b>	<b>Contact</b>
BSF Outline Business Case	160 Tooley Street	Sam Fowler, SSF Project Director

#### **APPENDICES**

<b>No.</b>	<b>Title</b>
1	BESD Strategy



**AUDIT TRAIL**

<b>Lead Officer</b>	Terry Parkin, Deputy Director of Children's Services	
<b>Report Author</b>	Sam Fowler, SSF Project Director	
<b>Version</b>	Final	
<b>Dated</b>	11 March 2010	
<b>Key Decision?</b>	Yes	
<b>CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / EXECUTIVE MEMBER</b>		
<b>Officer Title</b>	<b>Comments Sought</b>	<b>Comments included</b>
Strategic Director of Communities, Law & Governance	Yes	Yes
Finance Director	Yes	Yes
Head of Property	Yes	Yes
Head of Procurement	No	N/A
<b>Date final report sent to Constitutional/Community Council/Scrutiny Team</b>		11 March 2010

## Appendix 1

### BESD Provision

Southwark recognises the need to improve provision for students with BESD, accordingly a proposal to alter provision was made in the original OBC. This contained principles and outcomes which remain unaltered. However, after consideration, Southwark has decided that the OBC solution for this provision does not fully meet the needs of the full spectrum of students. Subsequently a review has taken place which has led to improved educational definition of the spectrum of need, a reassessment of how this should be met and, consequently, reconsideration of the required accommodation solution.

The review has enabled Southwark to gain further understanding of, and therefore respond more appropriately to, the needs of children with BESD by providing a continuum of behavioural support close to the point of need, which is flexible, focused, responsive, accessible and has impact. This will be developed over the next three years. There are broadly two groups of students requiring BESD support:

- Those who have a medical or psychological condition that prevents them controlling their behaviours
- Those whose behaviour is being conditioned by environment and personal choices.

However, these groups exhibit significant overlap as do the latter with students in mainstream settings.

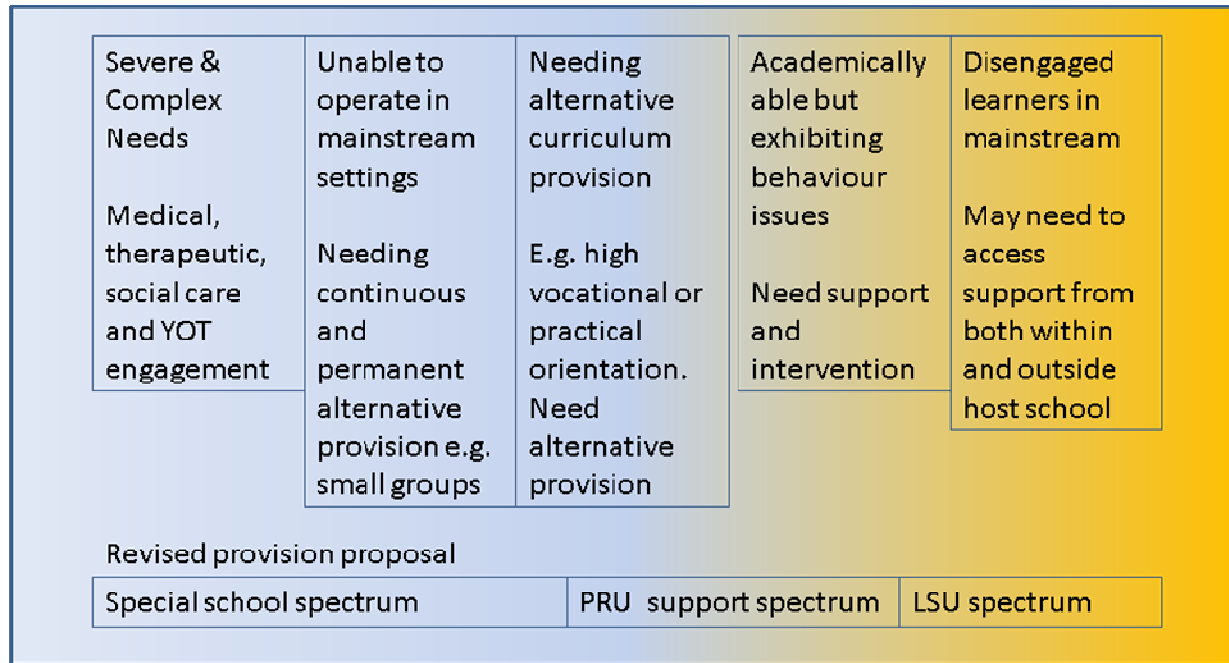
The current provision has been found to have created a special school that has to cater for too broad a range of pupils so that the school has historically found it difficult to meet needs appropriately. The new analysis has resulted in a view that the OBC proposal is at risk of exacerbating this situation by increasing the range of need through collocation of these two groups of student.

A system will be put in place whereby all mainstream schools will be expected to manage behavioural needs up to a certain agreed threshold before accessing the next stage in the continuum of provision. This next stage is provided by the Southwark Integrated Learning Service or SILS, which fulfils both a behaviour support service to mainstream schools and delivers the pupil referral unit function. Beyond this will lay special school provision for pupils with the most acute needs.

The OBC proposed the amalgamation of the KS3 and KS4 PRUs with the BESD provision at Bredinghurst school.

Current Bredinghurst intake

OBC Planned Bredinghurst /PRU integration



There is now agreement that provision for the full range students with BESD should not be on one site. Following review, the co-located special school/PRU option is not considered to be the best educational solution because of the difficulty in managing and supporting the large numbers of students with varied needs.

The revised vision is to provide a truly personalised curriculum which takes into account the skills, talents, interests and needs of individual students by making the provision on separate sites that are distinctive and tailored to need.

Provision	Headline description of provision	Key accommodation requirements
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11-16 BESD Special School Provision (currently Bredinghurst)	A functional and therapeutic approach for students with the most acute needs who require medical and psychological intervention and multi-agency support. A curriculum focused around personal and social development. High staff to pupil ratios including small group and 1:1 support as a norm.	General learning bases of good size to accommodate a maximum of seven students plus staff. Access to serviced space suitable for science, technology and art learning. Good sports and PE facilities. Access to small respite rooms and spaces suited to multi-agency support e.g. medical, counselling activity. Fixed and secure access to ICT.
KS3 PRU Provision	A parallel curriculum experience to mainstream KS3 in a more controlled and supportive environment for students who will be out of mainstream settings for either a fixed period of time or who may not return to school. Increased emphasis on key skills and an enhanced vocational or practical orientation. Some respite and multi-agency intervention.	General learning bases of good size to accommodate a maximum of eight students plus staff. Access to serviced space suitable for science, technology and art learning. Good sports and PE facilities. Enhanced vocational learning spaces. Access to small respite rooms and spaces suited to multi-agency support e.g. medical, counselling activity. More flexible ICT solution including access to mobile technology.
KS4 PRU/Alternative Curriculum Provision	An alternative curriculum provision for students who are unlikely to return to mainstream settings or who require an alternative provision for part of their schooling and who will be dual	General learning bases of good size to accommodate a maximum of eight students plus staff. Access to specialist vocational learning spaces beyond those normally associated with secondary

	<p>registered with a secondary school.</p> <p>Increased emphasis on key skills and an enhanced vocational or practical orientation. Some respite and multi-agency intervention. Real world orientation with strong FE or employer links.</p>	<p>schools. Access to serviced space suitable for science, technology and art learning. Good sports and PE facilities. Enhanced vocational learning spaces. Access to small respite rooms and spaces suited to multi-agency support e.g. medical, counselling activity. More flexible ICT solution including access to mobile technology. Informal learning space for individual, collaborative and ICT base learning. Distance and e-learning opportunities provided through ICT. Flexible and adaptive ICT provision including innovative use of mobile technologies.</p>
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Whilst the premise of the OBC proposal and the planned outcomes remain unchanged it is apparent that the revised proposal will ensure a more strategic and appropriate educational delivery for all students with BESD. It better addresses long standing issues for Southwark in terms of our BESD provision.

To support the delivery of this vision the Authority has a commitment from Southwark College regarding collaboration and co-location of a KS4 PRU provision on the College site. This will enable access to a wider range of vocational options for students requiring an alternative provision 14-16, whilst securing a home base environment that is both supportive and responsive to students' needs.

The proposal provides a more secure educational solution because the provision will:

- Ensure that the six facets of ECM are met for each group of learners
- Ensure that all students with BESD needs experience a personalised learning offer in an appropriate setting

- Provide purposefully designed accommodation for students with BESD
- Provide a focused, flexible, responsive and accessible learning and teaching environment
- Provide multi agency and therapeutic facilities
- Provide suitable specialist facilities, especially those of a vocational nature
- Provide separate educational settings for BESD school attendees and those attending a PRU
- Offer separate PRUs for KS3 and KS4 facilitating better opportunities for the reintegration of KS3 students into mainstream school
- Provide extended vocational education for students in KS4 in conjunction with the local college and businesses and offer an alternative education environment for students in mainstream school who would benefit from a different vocationally orientated element to their 14-16 education
- Establish a provision that guarantees a college place for all PRU students at KS5
- Reduce the NEET population post 16 and levels of non-attendance pre 16
- Enable the provision of support for families in line with the Team Around the Child principle by providing appropriate work and support environments at the school sites
- Aid staff in developing the delivery of support and education for students with BESD through reduction in the range of learner needs to be accommodated in each setting
- Enhance opportunities for outreach work and alternative curriculum provision in support of mainstream schools

This revised vision, alongside the opportunities available through the involvement of Southwark College, has driven the Phase 3 accommodation strategy.

<b>Item No.:</b>	<b>Classification:</b> Open	<b>Date:</b> 23 March 2010	<b>Meeting Name:</b> Executive
<b>Report title</b>	Gateway 2 – Contracts Award Approval Housing Major Works Contracts		
<b>Ward(s) or groups affected</b>	All		
<b>From</b>	Strategic Director of Environment and Housing		

## RECOMMENDATIONS

The Executive is asked to:

1. Approve the award of contracts for major works for a period of five years with the option to extend for a further five years, subject to appropriate reviews of value for money and performance, as follows:-
  - Contract area 1, Borough and Bankside**, to **Breyer Group PLC**, for an estimated annual value of £16m per annum.
  - Contract area 2, Bermondsey and Rotherhithe**, to **Wates Construction Limited**, for an estimated annual value of £25m per annum.
  - Contract area 3, Camberwell and Peckham**, to **Apollo Property Services Group Limited**, for an estimated annual value of £20m per annum.
  - Contract area 4, Nunhead, Peckham Rye and Dulwich**, to **A&E Elkins Limited**, for an estimated annual value of £8m per annum.
  - Contract area 5, Borough-wide street properties, temporary accommodation and major voids**, to **Saltash Enterprises Limited**, for an estimated annual value of £6m per annum.
2. Approve the reserve contractor arrangements set out in paragraph 42 below.
3. To delegate the works packages approval process to the Strategic Director of Environment and Housing as set out in paragraph 47 below.
4. Note the savings that will be delivered through these new long-term partnering contracts as set out in paragraph 28.

## BACKGROUND

5. This is a Key Decision which has been included on the forward plan for March 2010.
  - The tendered costs of the contracts vary according to size and value as set out in below
  - Contracts are initially for five years with the option to extend, all, part or none of the contracts, for a further five years
  - Contract prices are capped until March 2012 and then index linked by RPI.

## 6. Timetable for procurement process followed

Timetable for procurement process

Activity	Date completed
<b>Gateway 1:</b> Approval given for procurement strategy	20 October 2008
Completion of tender documentation	1 December 2008
Notice of Intention Issued (Section 20 Consultation)	1 December 2008
Advertise the contract	8 December 2008
Close of Notice of Intention observation period	27 January 2009
Closing date for expressions of interest	6 February 2009
Invitation to tenders	6 July 2009
Closing date for return of tenders	1 September 2009
Completion of evaluation of tenders	18 December 2009
<b>Notice of Proposal Issued</b>	28 January 2010
DCRB Review Gateway 2: Contract award report	11 February 2010
CCRB Review Gateway 2: Contract award report	4 March 2010
<b>Close of Notice of Proposal</b>	1 March 2010
<b>Gateway 2:</b> Contract award for approval	23 March 2010
Alcatel Standstill Period	6 April 2010
Place award notice in Official Journal of European Union (OJEU) (if applicable)	9 April 2010
Start date of contract	12 April 2010
Contract completion – Initial term	31 March 2015

### Description of Contract Outcomes

7. The contracts are partnering contracts using Term Partnering Contract 2005 (amended 2008) to deliver internal and external refurbishment of the Council's housing stock.
8. It is envisaged that the proposed work to be delivered through the contracts will be (but not limited to) the following:
- Repairs and/or renewal of roof coverings, rainwater installations and lightning protection
  - Replacement of windows and external doors
  - Replacement of front entrance doors (FEDs) to dwellings
  - Concrete repairs and coatings
  - Brickwork repairs and repointing
  - Repairs/renewal of paving to public and private balconies
  - Redecoration of external surfaces
  - Redecoration and/or refurbishment of common stairways, access ways and link bridges
  - Replacement of electric risers and lateral mains
  - Incoming service intakes, dry risers



- Refurbishment/remodelling of kitchens
- Refurbishment of bathrooms and WCs
- Upgrading electrical installations, comprising partial or complete replacement and installation of smoke alarms as appropriate
- Upgrading and/or installation of individual gas fired low pressure heating and hot water installations as appropriate
- Replacement and/or refurbishment of mechanical ventilation installations
- Ad hoc adaptations as required by occupational therapists.
- Works to external areas and upgrading of environmental works.
- Works in connection with the Client's "Hidden Homes" policy.

## KEY ISSUES FOR CONSIDERATION

### Policy Implications

9. The proposed partnering contracts aim to improve the current arrangements of individually tendered scheme-by-scheme contracts. The current approach has proved highly inflexible with each individual scheme having to be programmed 18 to 24 months in advance. The long delays in bringing schemes to fruition, and the protracted process involved in specifying and managing schemes makes delivery highly inefficient and build a high level of inflexibility into the delivery of the capital programme.
10. In addition to the historical individual specification of schemes previously, a wide range of design options were used which increased the cost of individual schemes (certainly in management terms), and create longer-term maintenance problems for the Council, because of the problems in sourcing a wide variety of components. There is also no joining up of arrangements between contracts, even with the same contractor, to speed delivery, reduce costs or introduce added value benefits, such as community chests or apprenticeships.
11. Resident satisfaction with the current arrangements schemes is relatively low within the Borough, often dropping to below the 90% industry average. The three main causes of dissatisfaction, identified through residents' feedback on schemes are:
  - Scaffolding erected for the term of block refurbishment contracts but not utilised for much of the works. Scaffolding is unsightly, and causes community safety problems
  - Length of time on site – contracts for block refurbishment tend to range from 12 to 18 months, a significant period of disruption and inconvenience
  - The quality of the work is not consistently of a high standard and this is often linked to dissatisfaction with the cost of the works for leaseholders.
12. The new approach was agreed by the Executive in October 2008 and the desired strategic outcomes of the new procurement strategy are to:
  - Introduce a longer term contract for procurement of major works programmes.
  - Maximise investment outcomes by achieving best value in contracting arrangements.
  - Maximise the positive impact of stock investment for residents and address the ongoing concerns expressed by residents about the quality and cost of major works.
  - Increase residents' satisfaction with major works projects.
  - Provide an effective vehicle for delivering an effective asset management strategy.
  - Reduce the number of major works contractors operating on estates to a minimum of four and a maximum of eight.
  - Introduce better controls of the supply chain and minimise the number of components used across the housing stock.

- Improve the perceptions of leaseholders as to the quality and value for money of major works
- Reduce the level and cost of internal resources committed to tendering.

### Tender Process

13. The procurement strategy was outlined in the Gateway 1 report and approved by the Executive in October 2008. The subsequent packaging strategy for delivery of the works was agreed in an IDM the Deputy Leader and Executive Member for Housing in January 2009. The strategy proposed five contract areas with no contract area being awarded to more than one contractor (although the Council reserved the right for multiple awards to a single contractor in the event that a contract area could not be otherwise awarded). The five agreed areas are shown below:
  - Contract Area 1 - Borough, Bankside and Walworth (including Browning EMB) – estimated annual value of £16m
  - Contract Area 2 - Bermondsey and Rotherhithe – estimated annual value of £25m.
  - Contract Area 3 – Peckham and Camberwell – estimated annual value of £20m
  - Contract Area 4 – Dulwich, Nunhead and Peckham Rye – estimated annual value of £8m
  - Contract Area 5 – Borough wide street properties (including temporary accommodation and major voids) – estimated annual value of £6m.
14. The tender process has followed the requirements of the EU Procurement Regulations (Restricted Procedure). The evaluation of tenders was based on the Most Economically Advantageous Tender, with 50% of marks based on quality and 50% on price.
15. The contracts were advertised in the Official Journal of the European Union (OJEU) on 8<sup>th</sup> December 2008.
16. A total of 116 contractors from across Europe requested a copy of the Council's Pre-Qualification Questionnaire (PQQ) in response to the OJEU.
17. In order to qualify for the Invitation to Tender Stage (Stage Two), all contractors had to demonstrate that they were financially viable and technically capable of delivering the contracts.
18. The Council received a total of 46 completed PQQs (40% return) by the closing date of Friday 6<sup>th</sup> February 2009. A wide range of contractors returned PQQs from large multi-nationals through to local painting contractors.
19. PQQ's were evaluated by an evaluation panel consisting of officers from Investment and Asset Management, Home Ownership, Environment and Housing Procurement along with a resident representative from the Homeowners Council. The PQQ was the first stage test to ensure organisations were capable of delivering the contract. The evaluation process involved a robust and thorough assessment of technical capability. Four areas were tested and organisations needed to pass all four to be invited to stage two, the Invitation to Tender (ITT). The four areas used for PQQ assessment were:
  - Financial – Experian checks (credit rating test) and Turnover Tests (an assessment of turnover to ensure organisations were of the appropriate size to deal with the value of the contract for which an expression of interest had been made).
  - Equality and Diversity – must meet the Council's standards.
  - Health and Safety – must meet the Council's standards.
  - Technical questions about partnering and delivering major works contracts (detailed method statement were required and scored by the Evaluation Panel) – must meet the Threshold.

20. Following this thorough process, a total of 30 contractors were rejected because of failing to meet the technical threshold. Most contractors failed to meet the required standard because they failed to demonstrate the appropriate experience, expertise and track record to deliver partnering contracts.
21. On Friday, 3 July 2009, Invitation to Tenders were sent to 16 contractors. The closing date for returned tenders was Friday 21<sup>st</sup> August 2009. One contractor withdrew on 8<sup>th</sup> July, because it did not have the capacity to respond to the ITT in the timescale.
22. A series of tender clarification questions were received. The issues ranged from clauses in the technical specification through to the evaluation model being used. Questions were responded to within 48 hours and circulated to all contractors.
23. The closing for return of tenders was subsequently extended to Tuesday 1<sup>st</sup> September 2009, following requests from a number of contractors requesting more time to complete the documents. On the 1<sup>st</sup> September 2009, the remaining 15 contractors returned the ITT.

### Tender Evaluation

24. In accordance with the Gateway 1 report, two evaluation panels were established; one to deal exclusively with quality and the other with price. The quality panel consisted of the same combination of officers that undertook the PQQ assessment as set out in paragraph 18 above. The separate evaluation panel for price consisted of Quantity Surveyors from the Investment and Asset Management Team and one external Quantity Surveyors from the approved consultants' framework. For probity, panels were kept separate so that quality and price could be independently reviewed. Both evaluation panels were challenged and facilitated by senior staff in Corporate Procurement and Housing Management.

### Price

25. The 50% for price broke down with sub weightings as follows:

	<u>Element</u>	<u>Sub weighting</u>	<u>Maximum Score</u>
(1)	Lowest Price for the Tender in respect of the Pilot Scheme contained within Part 3 of the Tender and the site specific Preliminaries		15
(2)	A - Lowest overall Pricing of Term Composite Items and the Term Preliminaries contained within Part 4 of the Tender (the Price Framework).  B - Lowest overall Pricing of Term Composite Items contained within Part 4 using the Structured Model	5  10	15
(3)	Lowest Percentage Profit put forward by Bidders in Part 4 of the Tender.		10
(4)	Lowest Central Office Overheads put forward by Bidders in Part 4 of the Tender.		10
			<u>50</u> ——

26. For Contract Area 5 borough-wide street properties and major voids, item 2B above was replaced with the lowest price for the major voids priced schedule of rates.
27. The was price variation between the tenders submitted.
28. The price evaluation panel identified a number of items that required resolution. These included differential approaches to pricing the Term Preliminaries and arithmetical errors. The process for seeking clarifications was guided by Legal and Corporate Procurement and these issues were satisfactorily resolved.
29. In terms of price analysis, the proposed rates in the tenders are very competitive and in some instances 5-10% lower when compared against traditionally tendered contracts over the same period using GC Works contracts (the form of contract currently used for most of the Council's major works refurbishment). Notably, items such as kitchens, bathrooms, boilers, and windows are generally lower than the Council has secured in the past. In addition rates for profit and overheads were also lower than previously secured. Profit ranged from 1% - 4% and overheads from 1.5 - 6.5%. The industry standard for profit is between 6-12% and overheads from 8-15%. The suppressed rates perhaps reflect the current economic conditions, and set a very positive baseline at which to start the term arrangement. However, robust control measures are being put in place to make sure that contractors do not seek to increase costs disproportionately after the two year price freeze has expired. Current changes in the Council's contract management arrangements and a clear price framework are the main risk mitigations, and contractors were also asked to demonstrate how low prices would be sustained over time.
30. Some tender prices stood out as being low, though were considered to be achievable within the terms of the contract.

### Quality

31. The quality assessment was based on 14 tender questions which covered all aspects of partnering contract mobilisation and delivery. The questions for Contract Areas 1-4 were identical as the proposed work is the same. For Contract Area 5, borough-wide street properties and major voids, there were slightly different questions to take account of the differences in delivery of this type of work. The maximum score available was 50. The score was based on the contractors submission but this was clarified (and its veracity and accuracy verified) by the following methods:
  - At a structured interview
  - By responses to clarification questions (if any)
  - Written feedback from referees
  - Visits to reference sites and evidence of service delivery performance in situ.
32. In terms of quality clarification issues, all tenderers for Contract Area 5 were written to on 4<sup>th</sup> December 2009 to confirm that their tender had taken account of TUPE. All tenderers responded by 14<sup>th</sup> December to confirm that their tenders contained provision for TUPE. There were no other quality clarification issues.
33. As mentioned in paragraph 30 above, the verification process involved structured interviews, site visits and references. No issues of contradiction or uncertainty arose from this process.
34. The standard of quality submissions varied significantly. Some contractors showed a clear understanding of partnering, had a history of attaining high levels of resident satisfaction and set out an impressive approach to innovation and improving service delivery.

35. For the five recommended contractors, the Evaluation Panel identified areas of potential concern because the score for a particular question was less than satisfactory. The areas included mobilisation arrangements, supply chain procurement and quality assurance procedures. While there was no minimum threshold, the Council will ensure these areas are addressed during the three month mobilisation period and through on-going contract monitoring arrangements set out in paragraphs 50 to 54 which will mitigate any risk that these issues may present.

### **Combined Price and Quality Scores**

36. Once the evaluation of both price and quality was completed the scores were added together to achieve a combined overall score.

### **Selection and Allocation Procedure**

37. As set out in paragraph 12 above, the Council's agreed procurement strategy set out the Council's intention to not award more than one Contract Area to any single contractor. This is to ensure that the Council has a range of contractors across its total estate in order to maximise the opportunities for identifying savings and a suitable supply chain and also to ensure that the Council's exposure to a contractors economic or performance failure is reduced.
38. Accordingly, the Contract Areas were evaluated in the order set out below. The contractor that emerged as the most economically advantageous tender for the highest ranked Contract Area would be eliminated from subsequent consideration for a further contract area. This was particularly important as a number of contractors applied for more than one Contract Area. Contract Areas were ranked according to size with the largest value ranked the highest.

<b>Rank</b>	<b>Contract Area</b>	<b>Estimated value</b>
No.1	2 – Bermondsey & Rotherhithe	£20m-25m
No.2	3 – Peckham and Camberwell	£15m – £20m
No.3	1 – Borough, Bankside & Walworth	£12m - £16m
No. 4	4 - Dulwich, Nunhead and Peckham Rye	£3m - £8m
No. 5	5 – Major voids and street properties	£3m - £6m

### **Proposed Contract Awards**

39. By evaluating the tenders in accordance with selection and allocation procedure above, Contract Area 2 was evaluated first and Contract Area 5 evaluated last. The proposed contract awards are set out below.

<b>Contractor</b>	<b>Contract Area</b>
Wates Group Ltd	2
Apollo Group	3
Breyer Group Plc	1
A & E Elkins Ltd	4
Saltash Enterprises	5

40. The recommended five contractors are a mix of large national organisations: Wates, Apollo and Breyer and local small medium enterprises: A&E Elkins and Saltash. This is a healthy balance of contractors with a wide range of experience and expertise. This should ensure the very best performance from the partnering contracts. All five recommended contractors have successfully previously completed work for Council, and with the exception of Wates, all are currently delivering major works for the Council. A company profile for all five contractors is attached as Appendix 1.

## Reserve Contractor Status

41. There are five Contract Areas and it is the Council's intention that each area be awarded to one contractor. However, there may be circumstances of extremely and persistent poor performance or termination of the contract where the Council may (but will not be obliged to) award work to a reserve contractor for a period of time until either performance improves or alternative delivery arrangements are procured. The circumstances are limited but this is nevertheless an important safety net for the Council, residents and contractors alike.
42. The options considered for reserve status were to either contain delivery within the five contractors within this arrangement or call-off from a list of alternative formally appointed reserve contractors. The latter option is complicated to manage and deliver and could be construed as a framework, which is not the basis by which these contracts have been procured. The advantages of the former option are the contractors will already be working in the area and have some understanding of the stock, its residents and the high expectations of the Council.
43. The reserve contractor arrangements are set out below. The specialist nature of Contract Area 5 means no other contractor from this arrangement will provide reserve status. In the event of contractor poor performance or termination short-term cover arrangements could be provided through the two repairs and maintenance contractors: Southwark Building Services and Morrison FS. In the event that reserve contractor arrangements are to be used the decision will need to be approved by the Strategic Director of Environment and Housing.

<b>Contract Area</b>	<b>Principal Contractor</b>	<b>Reserve Contractor</b>
2 – Bermondsey & Rotherhithe	Wates Group Ltd	Breyer Group Plc & Apollo Group
3 – Peckham and Camberwell	Apollo Group	Wates Group Ltd
1 – Borough, Bankside & Walworth	Breyer Group Plc	A & E Elkins Ltd
4 - Dulwich, Nunhead and Peckham Rye	A & E Elkins Ltd	Saltash Enterprises
5 – Major voids and street properties	Saltash Enterprises	No Reserve Status

## Transfer of Undertakings Protection of Employment (TUPE)

44. TUPE will apply only to Contract Area 5. The Council has confirmed with Saltash Enterprises that they have submitted a TUPE bid and will assume responsibility for pension and other employment terms and conditions on contract award.

## Proposed Approval Process

45. One of the key benefits of a long term arrangement is the flexibility it affords to improve the quality of service and product and make changes that improve efficiency and reduction in costs. The Council's decision making made the benefit of partnering less effective in the current partnering contract operating in Peckham.

46. The Peckham partnering contract (known as Housing Planned Maintenance – Phase 2) received Executive Approval in 2004 but each phase of works has to pass through individual inception, Gateway 2, forward plan processes which were designed to risk manage and monitor unconnected, ad-hoc conventionally tendered contracts. This is because the value of the works package exceeded the level delegated to a Chief Officer. The normal protocol attached to these stages causes delays to the start of each successive works phase and therefore an interruption to the flow of work as an instruction to proceed cannot be given until approval is signed off.
47. This in turn hinders the service from negotiating supply deals beyond the phase(s) of works currently approved. Long term supply chain benefits are therefore at risk. A key benefit of partnering should be lower component costs achieved through partnering down the supply chain but this requires both long term commitment and some guarantee as to expected works although it is recognised that robust monitoring procedures must be in place.
48. It is proposed that individual decisions on work package approval within the investment programme are delegated to the Strategic Director of Environment and Housing. This is to achieve the benefits of cost efficiency speed of works and flexibility that such a partnering arrangement are designed to achieve.
49. Throughout the life of the Contract, works or task/s may arise that are outside of the normal scope of works for which the Contract was designed. In this circumstance the procedures for varying a contract as set out in the Council's Procurement Guidelines and Contract Standing Orders would apply.

#### **Plans for the Transition from the Old to the Contract**

50. A mobilisation project team has been established with a dedicated mobilisation manager, to ensure that smooth transition takes place.

#### **Plans for the Monitoring Contract**

51. A new robust governance structure will be introduced to ensure the new contracts are effective. At a local level each Contract Area will have each own Partnering Team. The Partnering Team will focus on operational delivery and be attended by the Council's investment delivery staff, contractor's operational staff and residents. Sitting above each Partnering Team will be an Operational Core Group, which will meet monthly. Attendance will be drawn from third-tier Council officers, senior contractor staff and residents. The Operational Core Group will keep an overview of delivery and resolve any issues escalated from the Partnering Team. Finally, a Strategic Core Group is to be established. It will meet quarterly and be led by the Head of Housing Management. Directors and Managing Directors from each of the contractors will attend along with residents. The Strategic Core Group will monitor performance across all five Contract Areas and ensure high standards are consistently delivered. This group will amongst other things lead on the re-allocation of work for the best performers, oversee the downward harmonisation of prices and resolve any issues escalated from the Operational Core Group.
52. The Form of Contract has been amended to place more controls with the Council. Amended provisions include the re-allocation of work for the best performance as well as a tough but fair default mechanism for managing under-performance, including persistent failure. New processes for escalating problems and resolving disputes have also been introduced.

53. The restructure of technical services (Client Review) in the housing management service, will increase the capacity to deliver a multi disciplinary client service. This includes a new section devoted to performance of contracts, both from a technical perspective and from a contract monitoring perspective. This will ensure the Council is able to tackle under performance in the quality of the work, the timeliness of contractors and the value of the work undertaken. The new team will be place to help manage the three month mobilisation process before contracts start on site and address any issues of concern identified in the evaluation process.
54. There are a clear suite of key performance indicators that will drive the contractors performance. Examples of the performance indicators include, resident satisfaction, client satisfaction, timely completion of work (target times for internal and external refurbishment), cost predictability (final account costs against order costs) and timescales for the production of final account for the Home Ownership Unit.
55. Downward price harmonisation (pool purchasing to achieve economies of scale) is a stated objective of the new contracts. This is set out in the Partnering Overlay Agreement which binds the five contracts together at a strategic level. At their own cost, contractors are to appoint a price harmonisation manager, six months after contract award to commence the work on harmonisation. It is anticipated that this work will take 18 months to put in place. Components such as kitchens, sanitary-ware, windows and roofs particularly lend themselves to harmonisation and are frequently used. The Council has protected its position on price by capping increases until April 2012. Contractors who fail to participate in harmonisation beyond 2012 will only receive 50 percent of the Retail Price Index (RPI – the index used on these contracts to deal with inflation). This will dissuade contractors from non-participation. This position will be closely monitored to ensure the desired outcomes are achieved.

#### **Performance bond/Parent Company Guarantee**

56. Performance bonds will be required for these contracts, the cost of which has been included in the tender sums.

#### **Other considerations**

##### **Leasehold Implications**

57. The partnering contracts have been subject to full statutory consultation with leaseholder under section 20 of the Landlord and Tenant Act 1985 (as amended). This consultation was carried out in two parts as set out paragraphs 57 and 58 below.
58. Schedule 2 Notice of Intention – a pre-tender notice giving details of the Council's proposed procurement strategy, identifying works to be carried out under the agreements, justifying the strategy and giving leaseholders the opportunity to make comments – was served on 20<sup>th</sup> November 2008. All leaseholders who made observations received a written response and the consultation ended on 27<sup>th</sup> January 2009.
59. Schedule 2 Notice of Proposal – a post tender consultation giving details of the tender process and proposed contractor for each area – was served on 28<sup>th</sup> January 2010, with the consultation due to end on 1<sup>st</sup> March . Dispensation has been sought from the Leasehold Valuation Tribunal for a part of the regulations that the Council does not believe it can comply with. At the time of writing this report the decision is still awaited. The observation period cannot be closed until we receive this, but in the meantime any leaseholder who makes observations will receive a full written response.



60. Once the contracts have been entered then leaseholders will be entitled to a third stage of consultation if rechargeable work are programmed to their block or estate. This will be in the form of a Notice of Intention, giving the scope of work and details of the reasons why it is necessary, the cost of the works and an individual estimated service charge. Leaseholders then have an opportunity to make observations on the specific work due to be carried out and the costs attributable to them.
61. The amended governance processes still include a protection for leaseholders, in that confirmation that statutory consultation has been carried out, including a summary of observations and responses, must be included in the approvals process to let individual packages of work.
62. There are risks associated with partnering contracts and recharges to leaseholders. Any leaseholder can challenge the reasonableness of the resultant service charge for a package of works in the Residential Property Tribunal Service (RPTS). However, if the Council can show a clear audit trail of the decision making process, the tender process and tender appraisal along with bench-marking against current market forces then partnering can be defended as a reasonable approach. There is a risk that the bench-marking will show that a traditional procurement process leads to lower costs, but bench-marking is imperative if the Council is to show that partnering is a best value approach for leaseholders.
63. A good quality of work is also necessary if the Council is to ensure that any applications to the RPTS can be successfully defended.
64. Works will not progress until the Home Ownership Unit confirm in writing that the appropriate notices are served and the observation period is complete.
65. The overarching intention of the procurement is not just to capture the lowest price but the best value for money which must include quality considerations, thus the award of these contracts is proposed on the basis of both price and quality. In some cases the quality aspect of the tender achieved a greater score than the price and visa-versa. This factor, combined with the Council's decision to create an internal market by limiting contractors to one area, means that in some areas the lowest price tender has not been recommended for award. As a result, in the early years of the term, leaseholder service charge costs are not determined by lowest price alone. As mitigation, the evaluation process has assured both a competitive market price against our existing arrangements, coupled with a much greater promise of value for money. Moving to term contracts will reduce area variations, and the price harmonisation mechanism will push prices across the borough toward a lower and more similar level over the course of the contract. The benefits for leaseholders are therefore significant.
66. One of the key benefits of a long term arrangement is the flexibility it affords to improve the quality of service and product and make changes that improve efficiency and reduction in costs. The Council's decision making made the benefit of partnering less effective in the current partnering contract operating in Peckham however, paragraph 47 sets out how this will be addressed for these new contracts.

### **Community Impact Statement**

67. The move to a life-cycle approach to major works procurement will spread the benefits of investment over a wider area, and will enable better targeting of investment at stock with failing components. This is likely to benefit the wider community, and will be consulted on during the development of the Investment Delivery Strategy. The inclusion of local employment clauses will be used to support the Council's local economic development objectives. Experience in other authorities is that long term partnering arrangements are more likely to generate local employment opportunities given the stability and length of the contracts.
68. In addition, as part of the structured interview and tender question, each contractor was asked to confirm the how and at what cost apprenticeships would be delivered within these contracts. Each has confirmed that, subject to uninterrupted workflow and sufficient turnover, they will provide one apprenticeship per £1m spend at no cost to the Council.

### **Sustainability considerations (Including Economic, Social and Environmental considerations)**

69. Following the introduction of the government Ni185 indicator which requires local authorities to measure their progress in reducing CO2 emissions from all buildings and transport they use and report the results to Defra on an annual basis, suppliers will be asked to supplement their management information to include mileage per journey, whether the vehicle used was petrol/diesel. Steps will also be taken to record vehicle registration years so as to allow compliance with Ni194 (air quality).

### **Market Development Considerations**

70. The key market considerations are:
- The successful tenderers are private limited business organisations
  - Three of the contractors, Wates, Apollo and Breyer, have more than 400 staff; Saltash has between 50 and 250 employees and A&E Elkins employ less than 50 staff.
  - Wates, Apollo and Breyer have a national area of activity. A&E Elkins and Saltash have an area of activity in and around Southwark.

### **Resource Implications**

71. There are no additional resource implications for the Council since the Housing Management Division has the technical and human resources to manage the delivery of these new contracts within existing resources.

### **Staffing Implications**

72. There is currently a review of technical services in housing management with the central thrust being improved contract management and delivery of improved major works. Investment staff in the Housing Management Division are being reorganised into teams that are coterminous with the new major works Contract Areas. Each new team has a good spread of technical, project management and resident liaison skills to ensure the new contracts are delivered effectively.
73. As some staff will be working with partnering contracts for the first time, a programme of training and awareness raising has commenced and will continue once the contractors are appointed and work starts on site.

**Financial Implications (FIN0555/CN)**

74. These are Term Partnering Contracts so expenditure will take place as blocks of work within the Housing Investment Programme (HMIP) are approved. Approvals will take place as funding allows. It is anticipated that funding for the HMIP will remain around the present levels (around £42m for Decent Homes, £39m for other schemes). There are likely to be variations to this funding. It is not possible to accurately predict the size of these changes and such things as sales of voids and income from hidden homes are difficult to forecast. Nevertheless, no matter what size such variations are, the expenditure on this contract will be varied to match the resources available. There are therefore no budgetary implications to this contract.

**Second Stage Appraisal**

75. A satisfactory second stage appraisal has been received from corporate finance covering the Experian financial check. A further financial check was undertaken using Mint UK. Mint UK is a source of UK Company information, which has been used to help identify any risks posed to the Council by engaging in contracts with specific companies. In addition to the published financial statements of companies Mint UK also shows information on parent and subsidiaries, peer group comparisons and includes a searchable news article section from various high profile sources. The reports Mint UK produces has allowed for a detailed analysis of these contractors. The use of Mint UK is a new approach for the Council and has been specifically introduced to increase financial assessments in the current climate. All recommended contractors have been placed at low risk financially.

**Legal Implications**

76. Please see concurrent report of the Strategic Director of Communities, Law & Governance below.

**Consultation**

77. Before and during the procurement process presentations were made to both Tenants and Home Owners Councils. In addition representatives from both Councils have been involved in the procurement process. Further presentations are scheduled to be made to Tenant & Home Ownership Council in March 2010 and further consultation with TRAs will be part of the mobilisation process.
78. Staffing consultation within the housing management service has begun and will extend once the Executive take the decision to award the contract.
79. Departmental and Corporate Finance, Departmental Procurement and internal and external legal advisers have collectively supported the approach to this Gateway Report and will continue to be consulted in the post award mobilisation.

## SUPPLEMENTARY ADVICE FROM OTHER OFFICERS

### Strategic Director of Communities, Law & Governance

80. The Strategic Director of Communities, Law & Governance ("SDCLG", acting through the Contracts Section) has advised the report author and project board in connection with the procurement of the proposed contracts and notes the content of this report.
81. The procurement of the proposed contracts is subject to the requirements of the current EU Procurement Regulations and the SDCLG confirms that those requirements have been complied with throughout (paragraphs 12 to 22 refer).
82. The procurement process is also compliant with all relevant requirements of the Council's Contract Standing Orders ("CSOs") and the report explains how the works packages will be funded. The decisions to approve the recommendations set out in paragraphs 1 to 4 (including the possible delegation of future decisions) are ones which are required to be taken by the Executive, in line with CSOs.
83. Specialist external legal and procurement advice has been provided in connection with the tender evaluation methodology and conditions of contract, and as noted in paragraph 51 the contracts have been drafted in such manner as to provide the Council with more control over the delivery of the works, through a clear default process and the ability to reallocate work packages according to contractor performance. In the light of the current economic climate, the SDCLG and external legal advisers have also considered the possible effect on the proposed contracts of "take-overs" or mergers between appointed contractors (or between the appointed contractors and other construction companies) and therefore the contracts will include a provision which prohibits an appointed contractor from assigning any of its obligations to a third party for any reason without the Council's prior consent.
84. On the 22<sup>nd</sup> September 2009 the Office of Fair Trading published the findings of its investigation into infringements of competition law, specifically "cover pricing" - the practice of obtaining from a competitor a price at which to bid, in the anticipation that the cover price received would be too high to win the tender process. This resulted in the imposition by the OFT of fines totalling £129.5 million on 103 construction companies across England for engaging in such anti-competitive behaviour.
85. As several of those companies are noted on various Council Approved Lists and had been invited to tender for the proposed contracts, the OFT's findings and recommendations were reviewed by the SDCLG and external legal advisers. Following consultation with the report author, the SDCLG advised that there was insufficient evidence to justify and support punitive sanctions against any of the contractors named in the OFT report, and further recommended that it would not be appropriate to exclude any of them from the ongoing tender evaluation process. However, as a precautionary measure and in the interests of maintaining a clear audit trail and to ensure good procurement practice the SDCLG issued a revised Certificate of Non-Collusion to all firms and companies that had submitted a tender. This required each firm or company to declare that it had not engaged in anti-competitive behaviour either before or during the tendering period. The report author has confirmed that an unqualified certificate has been provided by each of the organisations recommended for contract award.
86. The decision to award the proposed contracts is a key decision as defined in the Council Constitution and the report confirms that this item has been noted on the Forward Plan. The decision will be subject to call-in before it can be implemented.

## Finance Director

87. The Finance Director concurs with recommendations 1 and 2 for the award of the contracts for the five contract areas to the stated bidders and the back up arrangements for reserve contractors. It is recommended that the decision to award the contracts is deferred until the outcome of the Leasehold Valuation Tribunal dispensation hearing is received (see paragraph 58).
88. The procurement process has produced a very competitive selection of bidders for each of the contract areas. There were between five and eleven bids received for each contract area. As stated in the report the bids have included a comparative reduction in material costs, profit margins and overheads. Prices have been capped until March 2012 to provide short term cost certainty. Under the contract management proposals (paragraphs 50 - 54), contractors will be encouraged under the partnering arrangements to participate in supply chain harmonisation. This will ensure material standards will be maintained across the contract areas and may result in economies of scale being shared between the contract areas. Where contractors are not willing to engage in the partnering arrangements the annual cost increases will be capped at 50% of RPI inflation. Thus this procurement demonstrates value for money at the outset and with ongoing contract management as outlined in this report value for money will continue to be achieved for future years.
89. The budgets for these contracts are contained within the remit of the Strategic Director of Environment & Housing. The award of separate contract blocks will be managed with regard to the overall budgets available within the housing management and investment programmes. Recommendation 3 that the award of the blocks of works is delegated to the Strategic Director of Environment & Housing is supported by the Finance Director.
90. The management, monitoring and delivery of this contract will be met from existing resources.
91. Due to the size of the contracts and the current economic conditions additional financial checks have been made for the recommended contractors. An initial financial check was made at PQQ stage in February 2009. Further checks were made on the proposed contractors at the completion of the review of the tenders in December 2009 and again prior to the recommendation in this report in February 2010. All of the recommended contractors have shown acceptable levels of risk from their trading activities and have satisfactory credit checks. However, given the current economic conditions faced by the construction industry, it is recommended that further periodic checks are carried out at least on a six monthly basis.

## Head of Procurement

92. This report is seeking approval to award five separate contracts to five different contractors for the delivery of major works across the borough.
93. These are partnering contracts and as such have additional requirements for all five contractors to work together with the council to improve service delivery, share best practice across the borough and drive down costs. Although these are partnering contracts, additional controls have been inserted in the contracts to strengthen the Councils position. There will be flexibility to shape and change the way things are delivered throughout the lives of the contracts.

94. Paragraphs 12 - 22 outline the tender process that was followed and confirms that it was in line with the procurement strategy approved in October 2008. In view of the current economic climate, a high level of interest was anticipated and therefore a very robust and detailed short listing stage was adopted. This approach proved very effective by allowing 46 contractors to be reduced to 16 at the short listing stage.
95. The evaluation methodology is summarised in paragraphs 23 - 37. All bid submissions were assessed in detail and verified through site visits and structured interviews. With a number of contractors bidding for more than one contract, a selection and allocation procedure was included in the process. This helped ensure that the awards were based on the best overall deal for the council rather than on a lot by lot basis.
96. The report is proposing the work package approval process be delegated to the Strategic Director of environment and Housing. Paragraph 47 outlines the justification for this delegation.
97. Paragraphs 51 - 55 describe the monitoring arrangements that will be in place to manage the contracts. Also paragraph 72 confirms that there is a programme of training and awareness underway to help staff ease in to the partnering arrangement.
98. This proposed partnering approach aims to improve on the previous arrangements of individually tendered major works schemes. The new contracts coupled with the new client management framework will provide the necessary tools and environment to achieve the desired strategic outcomes.

#### **KEY POINT SUMMARY**

- This procurement followed a *strategic* protocol
- This contract is for *works* and is *a replacing a range of existing provisions*
- EU Regulations were followed during the procurement of this contract
- The procurement route followed Restricted procedure

**BACKGROUND PAPERS**

<b>Background Papers</b>	<b>Held At</b>	<b>Contact</b>
Gateway 1 - Housing Major Works Procurement and Delivery Strategy – 20 October 2008	160 Tooley Street	David Lewis Investment Manager 020 7525 7836
Major Works Evaluation Methodology – July 2009	160 Tooley Street	David Lewis Investment Manager 020 7525 7836
Price and Quality Evaluation Report – December 2009	160 Tooley Street	David Lewis Investment Manager 020 7525 7836
Various Project Board Reports - October 2008 – February 2010	160 Tooley Street	David Lewis Investment Manager 020 7525 7836

**APPENDICES**

<b>Appendix number</b>	<b>Title of appendix</b>
Appendix 1	Contractor Company Profiles

**AUDIT TRAIL**

<b>Lead Officer</b>	Gill Davies, Strategic Director of Environment and Housing		
<b>Report Author</b>	Margaret O'Brien, Head of Housing Management		
<b>Version</b>	Final		
<b>Dated</b>	15 <sup>th</sup> March 2010		
<b>Key Decision?</b>	Yes	<b>If yes, date appeared on forward plan</b>	March 2010
<b>CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / EXECUTIVE MEMBER</b>			
<b>Officer Title</b>	<b>Comments Sought</b>	<b>Comments included</b>	
Strategic Director of Communities Law and Governance	Yes	Yes	
Finance and Resources Director	Yes	Yes	
Head of Procurement	Yes	Yes	
Executive Member	Yes	Yes	
<b>Date final report sent to Constitutional Support Services</b>	15 March 2010		

## **Contractor Company Profiles**

### **Apollo**

Apollo began trading in the construction industry in 1976, becoming one of the largest and most successful service providers for refurbishment in occupied properties and public buildings in London and the Home Counties.

Apollo currently employ 879 (848 full time & 31 part time) and their annual group turnover for 2009 was £301million. Around 90% of their current workload is in the refurbishment of social housing (internal and external), of which 65% is through Partnering contracts.

Apollo has worked in partnership for a number of local authorities carrying out works to their municipal properties and non-housing portfolio of buildings. Under Apollo Public Buildings they have a wealth of experience of working in buildings for public use, most of which have remained functional throughout the duration of the works.

Some of their other main clients include: Brent Housing Partnership; Ascham Homes; Circle Anglia; EastEnd Homes; Homes for Islington; Gravesham, Milton Keynes, Dacorum, Stevenage and the London Borough of Camden.

Previous work that they have carried out for Southwark include the Peckham Partnership; John Harvard Library; Rennie Estate 2, 3 & 4; Balman House; Pelier 1 & 2; Tissington Court; Brydale House; New Place Sq; Rockingham and County St; Hanworth House; PPM / DDA Works - Phase 2; Lordship Lane; Brandon 3 & 4; Barton Close;; Monteagle Way; Robert Keen Close; Falmouth Rd and Great Dover Street; Clifton & Pomeroy; Laing & Livingstone Houses; Haddon Hall Estate; Aird, Binnie and Brunlees; Aylesbury Estate Phase 1; Medway & Strood; Peckham & Nunhead external decorations; Newman House; Beckett & Westerham.

### **A&E Elkins**

A & E Elkins are a small to medium enterprise and currently employ 15 employees. They have an annual turnover of £9.6million for tax year end 2008/2009. Their specialisms include building maintenance and refurbishment, flat roofing (asphalt and specialised felt) slate and tile roofing, building and refurbishment.

Some of their other main clients include: Kilby & Gayford Limited; Genesis Medical Pre-installations Limited; Leathermarket Joint Management Board; Jacobs; Michael Lawrie Magar Limited; Piggott & Whitfield and Area Estates Limited c/o CHP Management Limited.

Southwark has been their main client for the last few years and for whom they have carried out large 'Decent Homes' contracts in the Borough. A & E Elkins are currently working on Weller/Pickwick and Oliver External Refurbishment. They have completed Internal Decent Homes to 1 - 359 Neckinger, also External Refurbishment 188-359 Neckinger. They are close to completing works to Casby & Lupin Internal Decent Homes, 1-32 Grange House Internal/External Refurbishment and Bowley House Door Entry.

A & E Elkins have been consistently working toward government approved quality registration schemes and are accredited to the following schemes: CHAS; ISO 9001:2001; Construction line; Exor; Trust Mark; Safe Contractor Scheme; National Federation of Roofing Contractors; Mastic Asphalt Council. They are currently working towards ISO 14001 and Investors in People.



**Breyer**

The Breyer Group currently employs 457 staff and their annual turnover for May 2008/May 2009 is £100,133,778. For the past ten years 80% of their workload has involved either external or internal refurbishment and new build, or a combination of all three on some of their regeneration projects. The majority of their work has been carried out in live environments within existing communities; most with residents still in occupation during the works and in 2008 the value of this work totaled £80million.

Their core areas of operation are acting as Main Contractor to deliver sheltered housing and new build, Decent Homes refurbishment, external refurbishment, cyclical decorations and void refurbishment to local authorities, Arms Length Management Organisations (ALMO's).

Breyer Group is organised into two distinct Divisions, 'Construction' and 'Specialist Roofing'. The Construction Division undertakes refurbishment and new build projects in the housing sector, including Decent Homes programmes, planned and responsive maintenance works, new build homes in the private and public sector, refurbishment and new build projects in the Education, Healthcare, Public and Commercial sectors.

Their specialist Roofing Division is highly experienced in planned and responsive works for both refurbishment and new build projects on flat roofs, pitched roofs, flat to pitched conversions; and innovative green and brown roofing solutions on Public, Commercial, Healthcare and Residential buildings.

Breyer Group has over fifty year's experience of working in the public sector. Their top clients are Ascham Homes, Ealing Homes and Hammersmith and Fulham Homes which provide 20% of their annual turnover. Other main clients for whom they provide comparable works include: Riverside Housing; Lambeth Living; London Borough of Islington; London Borough of Hackney; Circle Anglia; Kent County Council; A2 Dominion; City of Westminster; Leeds City Council; London Borough of Barking and Dagenham; Newham Homes and Ealing Homes.

Breyer Group is independently audited by Construction line and CHAS. Breyer Group is a registered member of the British Safety Council and considers Health and Safety as a high priority within all company activities and procedures. They have won 'International Safety Awards' for their Construction projects, including both refurbishment and new build. They have recently attained accreditation for their health and safety Management System under ISO OHSAS 18001:2007.

Some of the previous works that they have carried out for Southwark include external refurbishment including extensive concrete repairs, full external redecoration and window replacement to the Brandon Estate. They were also appointed as principle contractor to carry out works to occupied housing on the Rouel Road Estate in 2007; Decent Homes works to 76 units on the Swan Road Estate in addition, carried out Decent Homes work and external refurbishment work to the Taplow Estate.

**Saltash**

Saltash is a medium sized, local contractor, providing a large, directly employed workforce and operating in-house scaffolding, joinery and aids and adaptations divisions. They currently employ 169 staff and operate a partnered supply chain. Their turnover for the last financial year was £19,331,363.

The principal service areas provided by Saltash include: major works refurbishment programmes; planned maintenance programmes; void refurbishment; responsive repairs and maintenance; specialist aids and adaptations and new build projects.

Saltash have worked extensively in the provision of similar such frameworks for social housing providers and have recently successfully completed such frameworks for clients such as London

Borough of Merton; London Borough of Croydon, Lewisham, Wandsworth, Tower Hamlets, Lambeth and Sutton; London and Quadrant Housing Trust and Hyde Housing Association.

Saltash also carry out similar frameworks in the Education Sector for clients such as London Borough of Bexley, Kent County Council and London Borough of Sutton and also for Government Bodies such as the Parliamentary Estate and the Department of Trade and Industry.

Each of these frameworks has involved major works and planned maintenance/cyclical improvement works with residents in occupation, primarily in Inner London Boroughs. The Saltash culture embraces working collaboratively with their clients and 75% of their work now extends to long term partnering arrangements with their clients.

Over the years, Saltash have been committed to developing 'partnering initiatives' with its clients, in favour of traditional service based relationships. Time after time, this approach has proven to be invaluable for all parties concerned, when fulfilling their respective key objectives. Saltash has thrived on this and subsequently won coveted awards in recognition of this.

### **Wates**

Wates are an experienced employer with over 2,200 employees and £1 billion annual turnover. They have a strong balance sheet with a cash balance of over £170million and an annual turnover of £1009 million.

Whilst Wates undertakes construction activities with relevant skill-sets, their annual turnover taken directly from Social Housing Projects is around £300million. Their relevant experience, completing 26,000 Decent Homes in 2008 alone, means that they can bring extensive added value, skills and commitment to the Southwark Major Housing Works Programme.

Recent success includes assisting CityWest Homes, Northwards Housing Association and Sandwell Homes to achieve 3 stars and Birmingham City Council to become one of only three local authorities in the UK with an overall 2 stars.

Previous projects for Southwark include the conversion and refurbishment of Goldwell House, the pilot for the larger regeneration of the East Dulwich Estate and the past conversion of an existing building at Grove Park into a short stay hostel.

Southwark community projects that the Wates family have supported, principally via their independent charitable contributions through the Wates Foundation Trust and Wates Giving, almost total £200,000 in the last 3 years. They include Kickstart Youth, the Southwark Homeless Information Project, Ivorian Advice & Support Group, Charterhouse in Southwark, the Day Centre for Asylum Seekers, the Cathedral Education Centre and the Southwark Educational Alliance Africa.

<b>Item No.</b>	<b>Classification:</b> Open	<b>Date:</b> 23 March 2010	<b>Meeting Name:</b> Executive
<b>Report title:</b>		Elephant and Castle Regeneration Agreement – Update Report	
<b>Ward(s) or groups affected:</b>		Cathedrals, Chaucer, East Walworth and Newington	
<b>From:</b>		Deputy Chief Executive	

### RECOMMENDATIONS

1. That Executive note the significant progress made in connection with the Elephant and Castle Regeneration Project in that the principal commercial terms have now been agreed with Lend Lease subject to legal drafting.
2. That Executive instruct officers to complete the negotiation of the Regeneration Agreement (RA) with Lend Lease (LL) in order that the finalised terms can be reported in June for consideration and approval.
3. That Executive note progress made in relation to negotiations with St Modwen and instructs officers to report back in June on the outcome of those negotiations.

### BACKGROUND INFORMATION

4. At the reconvened meeting of the Executive, held on 30<sup>th</sup> November 2009, officers were requested to report back to Executive providing an update on the project and in particular how negotiations were proceeding pertaining to the agreement of a RA. A report was presented to the Executive on the 9<sup>th</sup> February 2010 providing an update. A further request was made that officers report back to the Executive meeting of 23<sup>rd</sup> March 2010 to provide a further update on the RA; which is the purpose of this report.

### PROGRESS

5. Significant progress has been made since the 9<sup>th</sup> February 2010 Executive meeting. There have been a series of meetings which have been carried out against an agreed performance management framework which sets out the key actions required and timetable for agreement of the final document. In this context, the Council and LL have been meeting regularly to discuss the key principles and drafting of the RA document and its associated annexures and appendices. This process has resulted in the agreement being redrafted several times in order to better reflect the aspirations of both parties and the discussions that have taken place.
6. It is important to recognise that the RA forms the basis of a long-term relationship between the Council and LL and is a complex legal document with a large number of annexures which sets the framework for that working relationship. It is not simply a more

detailed Heads of Terms. It is therefore critical that appropriate consideration and advice is taken on key aspects of the document to ensure that it is fit for purpose and protects the Council's interest. As a result of the discussions, officers are pleased to confirm that all key principles within the RA have now been agreed between the Council and LL, subject to legal drafting. The drafting is well underway and a verbal update will be provided to the Executive.

7. Concurrently with the negotiations on, and drafting of, the RA the Council and LL have been holding discussions with the owners of the Shopping Centre, St Modwen. These discussions are exploring options on how to bring the shopping centre forward at an earlier date than might have been the case. These discussions have been positive and officers are hopeful that an agreed position between all parties will be possible. However, as agreement has not yet been reached, officers request an extension of time until June 2010 to try and complete these negotiations.
8. It should be noted that, under the terms of the procurement process, the RA itself is between the Council and LL; as the Council will only enter into this contract with one named party. It was envisaged in the Heads of Terms, and is incorporated into the drafting of the RA, that LL can enter into joint ventures and consortia arrangements with other interested parties, subject to certain financial vetting by the Council. The outcome of the discussions with St Modwen will not therefore impact on the content of the RA itself but could provide the basis of a subsequent arrangement between LL and St. Modwen for an early resolution of the Shopping Centre. In the event that an appropriate arrangement has not been negotiated between Lend Lease and the owners of the Shopping Centre by June 2010, officers will still be bringing the RA with LL forward for consideration and approval at that time.
9. New leisure facilities will be an essential outcome of the regeneration process and work has already been undertaken to consider options for the preferred site to be included in the master plan. Detailed site appraisal work is now being carried out on the shortlisted sites in order to allow cost and delivery comparisons, including comparative timescales for delivery on each site. A recommended option will then be presented to the Executive in June 2010 for approval, inclusion in the master plan and project initiation.
10. As outlined in the 9<sup>th</sup> February 2010 Executive report, the demolition process at the Heygate estate has already begun as the preliminary works such as the 'soft strip' and 'vermin baiting' were being carried out. A demolition agreement has been completed with LL for Phase I.

### **Statement of Community Impact**

11. As acknowledged in the November 2009 Executive report, it is intended to review the EQiA once the Regeneration Agreement has been signed, this is still the position and this will be kept under review.

## SUPPLEMENTARY ADVICE FROM PROFESSIONAL ADVISORS

### Legal Advisers - Herbert Smith

12. Negotiations are progressing well on the RA. We have had regular meeting and calls with LL's legal team and are intending to finalise the wording of most of the agreement within the next few weeks.
13. The key annexures are being progressed. The legal annexures relating to CPO process, construction warranties and forms of headlease are in circulation and most key principles and much of the detail is agreed.

## SUPPLEMENTARY ADVICE FROM OTHER OFFICERS

### Strategic Director of Communities, Law & Governance

14. The legal implications are set out in the report from the Council's legal advisers, Herbert Smith.

### Finance Director

15. There are no new financial implications arising from this report. Further financial analysis of the regeneration agreement will be presented once final details of the RA are agreed and presented to the Executive in June.

## BACKGROUND DOCUMENTS

Background Papers	Held At	Contact
24 <sup>th</sup> November 2009 Executive Report Elephant and Castle Update Development Agreement - Update on negotiations with Lend Lease	Everton Roberts Constitutional Team	Everton.roberts@southwark.gov.uk Ext. 57221
9 <sup>th</sup> February 2010 Executive Report Elephant and Castle Update Development Agreement - Update on negotiations with Lend Lease	Everton Roberts Constitutional Team	Everton.roberts@southwark.gov.uk Ext. 57221

**AUDIT TRAIL**

<b>Lead Officer</b>	Eleanor Kelly – Deputy Chief Executive	
<b>Report Author</b>	Stephen Platts – Head of Property	
<b>Version</b>	Final	
<b>Dated</b>	15/3/2010	
<b>Key Decision?</b>	Yes	
<b>CONSULTATION WITH OTHER OFFICERS / DIRECTORATES / EXECUTIVE MEMBER</b>		
<b>Officer Title</b>	<b>Comments Sought</b>	<b>Comments included</b>
Strategic Director – Communities, Law & Governance	Yes	Yes
Finance Director	Yes	Yes
<b>Executive Member</b>		
<b>Date final report sent to Constitutional Team</b>	15 March 2010	

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Susanna White	1		
Duncan Whitfield	1		

**Dated:** 06/10/09